

## Social Policy

### Policy: *Conceptualization*

**Ranney** (1968:7) defines *policy* as ‘a declaration and implementation of intent’;

**Easton** (1953:129) defines policy as ‘the authoritative allocation of values through the political process, to groups or individuals in the society’;

**Hogwood and Gunn** (1984:23-24) define policy as ‘a series of patterns of related decisions to which many circumstances and personal, group and organizational influences have contributed’;

**Dye** (1978:4-5) defines policy as ‘a comprehensive framework of and/or interaction’;

**Heclo** (1972:85) states that ‘a policy may usefully be considered as a course of action or inaction rather than specific decisions or actions’;

**Starling** (1979:4) defines policy as ‘a kind of guide that delimits action’;

**Roberts** (quoted in Jenkins (1997:30)) defines policy as ‘a set of interrelated decisions taken by a political actor or group of actors concerning the selection of goals and the means of achieving them within a specified situation where these decisions should, in principle, be within the power of these actors to achieve’;

**Baker, et al** (1975:12-15) define policy as ‘a mechanism employed to realize societal goals and to allocate resources’ and **Parsons** (1997:14) defines it as ‘a course of action or plan, a set of political purposes’.

### Short and snappy definition

**Anderson** (2000:4) provides possibly the most succinct distillation of the above, defining policy as ‘*a relatively stable, purposive course of action followed by an actor or a set of actors in dealing with a problem or issue of concern*’.

This definition is useful in that it differentiates between policy as **intent** and policy as **action** (accentuating the latter without disregarding the former), and also makes it clear that a policy should not be mistaken for a decision (which denotes a specific choice between alternatives).

### Introducing Social Policy

#### Definitions: Terminological Departure

**Social:** This term can be seen in different ways. It can be used very widely and has different meanings. We can group these various definitions into five categories:

- A) The word social is associated with entertainment or leisure
- B) It is used as antonym or opposite of individual:
- C) The word social is used to indicate relationship or social relations:
- D) The word social is used as antonym of economic:

E) The word social is something which people have intrinsic rights:

### **Policy Cont'd**

- It is a plan of action adopted/persuaded by an individual, government, party, business groups, etc.
- It can also be defined as general guideline formulated at macro-level (e.g. Social and economic policies).
- Refer to the rules and regulations, which govern the day-to-day delivery of specific services.
- In other words, policy can be defined as the operating guidelines for formal organizations, which deliver human services.

### **Social policy: Defined**

When I tell people that I teach social Policy, a fairly common response is Oh! ..... What's that exactly? Social policy textbooks sometimes try and suggest that social policy is a hard to define. Or else they contend there is something 'confusing' about the distinction to be drawn between social policy as an academic subject on the one hand and the specific outcomes of the social policy-making process the other; or about whether social policy is 'merely' an interdisciplinary field of study, as opposed to a social science discipline in its own right.

For my part however, I don't find the question difficult at all. Social policy is the study of human wellbeing, to which there can be two kinds of response:

- So it is all about doing good for people?
- So it must be about pretty much everything really?

The answer to both comments is 'well, yes and no'. More specifically social policy initials the study of the **social relations necessary for human wellbeing and the systems by which wellbeing may be promoted.**

It's about the many and various things that affect the kind of life that you and I and everyone can live.

My preference, incidentally is for the term 'wellbeing', rather than 'rather than 'welfare', because wellbeing is about how well people are, not how well they do (which strictly speaking, is what welfare means).

Think for a moment about things you need to make life worth living: essential services such as healthcare and education; a means of livelihood, such as a job and money, vital but intangible things such as love and security.

Now think about the ways in which these can be organized: by government official bodies; through business, social groups, charity, local associations and churches; through neighbors, families, and love ones.

**Understanding these things is the stuff of social policy.**

Social policy is concerned with much, much more than the things that **governments spend our money on.**

Nevertheless, though it refers only to the visible type of the social policy iceberg, the most conspicuous evidence of the importance of social policies is '**social spending**' ...

**Social policy** as an academic field of study is one of the curious items.

It is the theoretical pursuit of norms about how we think society 'ought' to behave, but also the practical application and implementation of those policies that we consider to be 'social'.

**Social policy** is the study of the social services and the welfare state.

The field of study has grown over time, and it stretches rather more widely than it might first appear, but the **social services** are where the subject began, and they are still at the core of what the subject is about.

The social services are mainly understood to include **social security, housing, health, social work and education- 'the big five'**- along with others which are like social services, including **employment, prisons, legal services** (Spicker, 1995).

The term social policy is not only used to refer to an **academic discipline and its study**, however, it is used to refer to **social action** in the real world.

**Social policy** is the term used to describe actions aimed at promoting wellbeing: it is also the term used to denote the academic study of such actions.

**Social policy**: can be also defined in different ways.

- In one sense it can be defined as the aims of a group of citizens in a particular problem. For example, we can talk about family policy, health policy, education policy, etc.
- It can also be defined as a set of programs developed either by government or private organizations to deliver particular welfare services.
- is an **interdisciplinary and applied subject** which is concerned to analyze the distribution and delivery of resources in response to social need. Studies the ways in which societies provide for the social needs of members through structures and systems of distribution, redistribution, regulation, provision and empowerment.
- is essentially focused on aspects of the economy, society and polity that are necessary to human existence and the means by which they can be provided.
  - ✚ basic human needs include
  - ✚ adequate food and shelter,
  - ✚ a sustainable and safe environment,
  - ✚ the promotion of health and treatment of the sick,
  - ✚ the care and financial support of those unable to live a fully independent life, and

- ✚ the education and training of individuals to a level that enables them to fully participate in their society
- is the term applied to the study of the **development, implementation and impact of policies** which influence the **social situations of people**
- is defined as a discipline in the social sciences, as a field of study, or as 'social action in the real world'

### **Social policy**

- Problem solving definition is "a collective strategy that prevents and addresses social problems"
- Social Policies are established to prevent and address social problems such as
  - I. Victimization of persons by the rich
  - II. Inability of citizens to meet their survival needs, obtain skills and knowledge to get employed,
  - III. Discriminatory treatment of members of out groups by employers, schools, public facilities, transportation companies,
  - IV. Excessive inequality and insufficient resources

### **Recapitulate definition of social policy**

Social policy is not an easy arena or discipline to define three different ways

#### **1<sup>st</sup> social policy**

- has conventionally been used as a term to denote
  - ✚ a set of policies and practices concerned with promoting social welfare and wellbeing
  - ✚ associated with the provision of social welfare through institutions of the state
  - ✚ social policies can be made, enacted and implemented within and outside the auspices of the state
  - ✚ The conventional study of social policy has been concerned with the welfare state and its main social services (health, housing, education, social security and personal social services)

#### **2nd Social policy**

recognized as a distinctive field of study.

#### **3rd Social policy**

- As a distinctive academic discipline-not only with a subject matter and empirical agenda, having its own theoretical and conceptual frameworks
  - ✚ as an intellectual discipline emerged out of a particular historical moment (of the postwar welfare states) and
  - ✚ built a theoretical and conceptual base from the assumptions that underpinned that moment Like other social science disciplines, it has been challenged and reshaped by broader theoretical developments, such as

- ❖ feminism,
- ❖ postmodernism and
- ❖ post structuralism

### Instance of 3<sup>rd</sup> definition

- alongside other social science discourses, the discourse of social policy have been increasingly subjected to critical scrutiny

### Comprehensive definition

- Marshall (1965) - founder of social policy theory, defined it as **The actions of government that have a direct impact on the welfare of people by providing services and income**
- as principle of action policies translate governments responsibility to its citizens
- policy reflects the societal values, ideals, and vision of what the world should look like

### Social policy includes

1. Guidelines that support a decision making process
2. Methods of explaining the people's action
3. Boundaries that define the relationships and obligations of government to citizens
4. Processes that produce programs, services or interventions
5. Response to societal needs and political pressures
6. Corrections of inequalities to improve the conditions of disadvantaged people

**Social policy** is an instrument applied by governments to regulate and supplement market institutions and social structures.

**Social policy** is often defined as social services such as education, health, employment, and social security. However, social policy is also about redistribution, protection and social justice.

**Social policy** is about bringing people into the center of policy-making, not by providing residual welfare, but by mainstreaming their needs and voice across sectors, generating stability and social cohesion.

**Social policies** can also create a vicious circle linking **human and economic development** that, in the long run, will benefit everybody by boosting domestic demand and creating stable cohesive societies.

### Back ground of Social policy

In the 1980s and 1990s, the scope of social policy, focused on delivery of limited services and welfare was insufficient to achieve balanced social and economic development.

Social policy was considered **residual, secondary** to the focus on growth as then mainstream development theory focused on “**economic growth first**”.

As such, social policy was given **lesser importance and funding**, and often was centered on mitigating the unintended consequences of economic change.

This residual approach was dominant for about two decades and led to increasing social tensions and malaise. This minimalist vision of social development was not common in earlier times in the 20th century.

On the contrary, today's high-income economies invested heavily in social development, and the populations of Europe, Japan, North America, Australia and New Zealand experienced a level of prosperity unseen in history.

Following their example, many developing countries also saw the need to apply social policies as an instrument for nation building.

East Asia's social policies or the comprehensive social security systems in some Latin American countries are examples of these initiatives.

These governments saw that social investments were essential not only to modernize and develop a country, but also to achieve **social cohesion and political stability**.

After having been pared to a minimum, social policies were reconsidered during the 1990s with the renewed attention of development policies to poverty reduction. Even then, social policies were treated as **marginal, reduced** to little more than the idea of social safety nets in times of economic crisis as in the Asian Financial Crisis and the extension of basic education elsewhere, often left to donor-funded social investment programs. These were well-intentioned initiatives by committed professionals but not adequate as lasting solutions.

These interventions did not address the structural causes of social tensions or build institutions to ensure equitable and sustainable development, decent work and social cohesion.

In the early 21st century, a consensus has emerged that social policy is part of the primary function of the state, and that social policy is more than a limited set of safety nets and services to cover market failure.

Well-designed and implemented social policies can powerfully shape countries, foster employment and development, eradicate marginalization and overcome conflict.

Social policies are an essential part of any National Development Strategy to achieve growth and equitable social outcomes.

Social policy is also necessary in a globalizing world.

The extreme inequality in the world distribution of income and assets seriously undermines the effectiveness of global growth in reducing poverty.

The magnitude of distribution asymmetries is significant:

In 2000, the richest 1 % of adults alone owned 40 % of global assets, and the richest 10 % of adults accounted for 85 % of total world assets;

In contrast, the bottom half of the world adult population owned barely 1 % of global wealth.

This urgent need to **reduce poverty, exclusion and conflict** has brought social policy to the forefront of the development agenda.

Debate on Economic development Vs Social development

✚ Is growth alone enough?

✚ What is the contribution of social development for economic development and the vice verse?

### **The first view on the debate**

Social policies should not be a primary policy objective for developing countries.

Economic growth should be the first priority, as the benefits of growth will “trickle down” eventually to the poor.

### **What are the rationales?**

- Growth is a pre-requisite for poverty reduction. The benefits of growth will eventually trickle down to the rest of society.
- The rich save more; higher inequality means higher rates of savings, investment and future growth.
  - Poverty keeps the labor force cheap and thus encourages investment.
  - Minimal social policies and regulations make labor markets flexible, and employment more likely.
  - Taxation on higher income groups should be limited to maximize the retained income available for investment.
  - Later, as the country becomes richer, defenders of this view argue, governments may invest in social development.

Such views are still influential in development debates, mostly in the form of a vague “*trickle down plus*” approach: **growth as first priority, with some basic education, health and other limited social development interventions.**

Such arguments serve to delay social development and other equitable policies.

**However, a considerable amount of recent research shows that economic growth and social development policies must be pursued simultaneously, rather than sequentially, as:**

### **The second view on the debate**

- Poverty and inequality inhibit growth, depress domestic demand and hinder national economic development. Developing countries with high inequality tend to grow slower.

- A low-wage policy has adverse effects on productivity, encouraging countries to compete on the basis of cheap labor, in a "race to the bottom", further depressing real wage levels.
- While sustained high rapid growth may lift people out of poverty, growing inequality may undermine its impact on poverty reduction, as in China recently.
- For the vast majority of developing countries, more modest growth and growing inequality have limited, even no, poverty reduction impact.

The greater the inequality, the less the “trickle-down” effect.

- Only 4.2% of the world's growth reaches the poorer half of the world's population.
- Poverty and inequality are an obstacle to social progress, and can lead to social conflict and political instability.
- Historically, social development accompanied industrialization and economic development in most countries. In much of Europe and elsewhere, popular struggles led social development.
- In East Asia’s ‘late industrializers’, social investment was an integral part of modernization processes, nation building, and productive development.

### **Concluding remarks on the debate**

- There is now a consensus on the urgency to promote robust social and economic policies in **parallel**, in a **complementary and mutually reinforcing manner**.
- Economic growth permits sustained investments in social development; and human development raises the capacities of people to contribute to growth.
- Sustainable growth and poverty reduction require socially inclusive National Development Strategies.

### **What are the possible justifications for Social policy?**

1. Social policies are necessary because the benefits of economic growth do not automatically reach all.
2. Inadequate social policies ultimately limit growth in the medium and long term.
3. Social policies are justified not only from a humanitarian viewpoint; they are an economic and political need for future growth and political stability, minimally to maintain citizen support for their governments. :

### **Specifically, the arguments for equitable development policies are**

- Investing in people enhances the quality and productivity of the labor force, thus improving the investment climate and, hence, growth.
- Raising the incomes of the poor increases domestic demand and, in turn, encourage growth; greater consumption ratios among lower income groups contribute to expanding the domestic market.
- Highly unequal societies are associated with lower rates of growth.



- Among children, poverty and malnutrition damage health, reduce body weight and intelligence, resulting in lower productivity in adulthood, a high tax for a country to pay.
- Investing in girls and women has numerous positive multiplier effects for social and economic development.
- Unequal societies are not only unjust but also cannot guarantee social and political stability in the long term, which is a barrier to economic growth.
- Gross inequities and their associated intense social tensions are more likely to result in violent conflict, ultimately destabilizing governments and regions, and may make people more susceptible to terrorist appeals and acts.
- Not least, inequality is inconsistent with the United Nations Charter, the Millennium Declaration and the Universal Declaration of Human Rights according to which everybody is entitled to minimum standards of living (food, clothing, housing, education, medical care, social security and others).
- Therefore, **economic and social policies** need to be promoted in parallel, in a mutually reinforcing way, from an early development stage, as part of the country's national development strategy and the social contract between government and citizens.

### **Redistribution is Critical to Reduce Poverty and Sustain Growth**

- Sustained poverty reduction is a twin function of the rate of growth and of changes in income distribution.
- Redistribution has faster impacts on reducing poverty than growth, but economic growth is necessary to sustain the process over time.
- An exclusive focus on distribution leads to inflation and stagnation, leaving populations worse-off – the fate of some “populist” governments.
- An exclusive focus on growth leads to large inequalities, as many countries experienced in the 1980s and 1990s.
- Redistribution is not antagonistic to growth;
  - ✚ it stimulates consumption,
  - ✚ raises productivity and
  - ✚ is important to sustain growth itself.
- What is needed is to find combinations of instruments and policies that will deliver both **growth and equity**
- World Bank Chief Economist F. Bourguignon stresses that income distribution matters as much as growth for poverty reduction.

- Redistribution is a legitimate goal of public policy, to balance the tendency of the market to concentrate resources.
- Redistribution may be achieved through
  - ✚ domestic taxation,
  - ✚ increased development aid and
  - ✚ new proposed international sources such as taxes on short-term speculative financial transactions, on arms trade, pollution and others.

### **Without equitable policies, poverty will not be eradicated**

#### **Importance of Political Commitment:**

- The World Summit for Social Development (1995),
- residual approaches to social policies and its adverse consequences,
- the need for comprehensive universal social policies to ensure a “society for all”, in which economic and social development are mutually reinforcing.

Their concerns and recommendations were incorporated into the Millennium Declaration, which restates international commitments to core values of freedom, equality, solidarity and peace.

Adopted in 2000 by a vote of 189 member nations of the UN, it serves as the basis for the Millennium Development Goals (MDGs),

MDGs: a set of quantifiable and time-bound targets that measure progress in achieving public goods essential to the welfare and cohesion of a society.

These were reaffirmed at the 2005 World Summit, with governments’ pledging more ambitious National Development Strategies, backed by increased international support.

To achieve the MDGs, political commitment is necessary, particularly at a time when governments have a reduced national “policy space” (a constriction of domestic policy-making capacity in an open economy), less autonomy in public sector interventions and reduced fiscal capacity.

- To be sustainable, social policies also require the creation of supportive political coalitions, and need to be designed with an eye to constituting such coalitions, while resisting policy capture by elite or vested interests. Successful social policies require the political commitment of a country's leadership, and cannot be imposed by donor-driven conditionalities.

There is no “one-size-fits-all” policy. Choices ultimately depend on

- ✚ country context,
- ✚ domestic needs,
- ✚ internal political agreements/alliances,

- ✚ fiscal space, and
- ✚ government motivation.

➤ A state's underlying motives for social policy may include

- ✚ nation building,
- ✚ fostering domestic development,
- ✚ social cohesion and
- ✚ political stability.

### **Social Policy in National Development Strategies**

Governments launch National Development Strategies to build countries that are :

- ✚ **socially inclusive,**
- ✚ **employment generating,**
- ✚ **economically robust and**
- ✚ **politically stable.**

To be effective, national strategies have to be articulated in an integrated manner and supported by a coalition of social and political forces, or social pacts, involving state, business, and organized civil society

This shared vision is the critical factor to sustain development processes.

Ultimately, it is the willingness of different social groups to pursue a common interest that allows development to succeed.

### **National Development Strategies entail:**

- ✚ A diagnosis of social and economic issues, identifying national socio-economic objectives to promote equity, growth and political stability
- ✚ A review of the effectiveness of current policies to address them;
- ✚ A proposed set of short, medium and long-term policies to optimize developmental impacts;
- ✚ Choosing options in view of a country's fiscal space and national socio-economic priorities;
- ✚ Drafting a National Development Strategy and Action Plan, with the agreed priority policies in the short, medium and long term to achieve national development targets, including the MDGs;
- ✚ Adequate budgetary allocations to support policy priorities;
- ✚ Effective implementation arrangements, and
- ✚ Monitoring and evaluation mechanisms, to assess effectiveness and to allow for adjustments and improvements when the national development strategy is revised (normally every 3-5 years).

### **Common Problems of National Development Strategies**

#### **1. Lack of information:**

Diagnosis is done without adequate statistical information and analysis, e.g., generalizations about "the poor", or failure to consider some social group in a country, or ignoring sources of conflict.

## **2. Lack of coherence between diagnosis, priorities and budgets:**

Diagnosis is correct, but strategies and action plans do not follow from it; national priorities are not based on the diagnosis.

Strategies and Action Plans say the correct things but do not have targets or deadlines.

Diagnosis, strategies and action plans are fine, but priorities are not backed by adequate budgetary allocations, which tend to perpetuate earlier expenditure patterns.

Many strategies and plans, including some PRSPs, are not properly translated into public investment pipelines.

## **3. Lack of participation:**

Diagnosis, strategies, plans and/or budgets done with very limited or non-representative public consultation, resulting in poor policy design or later rejection.

Sector plans are technically good but lose perspective on the reality facing people;

Thus, it is necessary to develop **participatory National Action Plans** for the elderly, youth, or indigenous populations, to ensure they are served adequately by all sectors

## **4. Lack of understanding of the interaction between economic and social policies:**

Linkages between economic and social policies not clear to many, *e.g. education*

Poverty reduction does not happen only because of targeted micro-interventions at the local level, but mainly because of equitable policies at the macro and sector levels.

### **Social Diagnosis (Analysis)**

Designing good social policies requires understanding **the needs of a country's population** from different perspectives.

The objectives of social policy are to

- enhance the well-being of all citizens,
- build human capital,
- support employment and
- Enhance social cohesion.

Thus, the needs and risks of populations, as well as labor market dynamics and sources of conflict, have to be identified in order to determine **the priority objectives of social development**.

**Identifying needs:** As agreed by international declarations, conventions and national legislation, and simply by the social contract between the state and citizens, all the population groups of a country have a right to a

decent life (food, clothing, education, health services, employment standards, social security, accessible housing, etc).

Whether starting from the rights of people or from a simpler basic needs approach, the gaps between the reality of citizens and their potential well-being need to be mapped with a drive towards finding solutions.

- ✚ What are the gaps?
- ✚ Who are excluded from a decent life and basic needs, and why?
- ✚ Which social group(s) should be targeted with the highest priority?
- ✚ What social policies are needed?

Provide quantitative and qualitative data with a view to prioritizing needs of the different social groups in the country:

Life-cycle and gender differentials

- Children (boys and girls)
- Youth (males and females)
- Male and female adults of working age
- Old-age males and females

**Income groups:**

- Groups of people above and below the national poverty line(s)
- Headcount ratios: always use the national poverty line, the \$2/day (international poverty line) as well as the \$1/day (extreme poverty line).
- Middle classes are important for development (often a small group in low income countries) and should be differentiated.
- Whenever possible, disaggregate the findings by region, age, ethnicity, gender and minority status.

**People in the formal/informal sector:**

- Men and women working in the formal and informal sectors
- Main employment categories/livelihoods of people should be considered, as well as differences between urban and rural populations

**Special population groups**

- Discriminated groups (because of caste, sex, ethnic origin, etc)
- Men and women with disabilities
- Indigenous Peoples
- Migrant men and women
- Refugees, internally displaced persons (IDPs).

**Identifying obstacles:** In order to build a good strategy, it is essential to identify the barriers and structural reasons that impede social development.

**What are the reasons for lack of opportunity and access?**

**Political:**

The most common obstacles are usually related to elites and vested interests insistent on holding on to their privileges. There are no easy solutions to this problem.

They must be tackled in the context of public policies that promote public information, transparency, civil society engagement and other activities that strengthen the social contract.

Public Expenditure Reviews are useful tools for public discussion. Well-designed universal policies may help break the deadlock.

**Economic:**

Most developing countries lack sufficient economic investments and activity to fully employ labor and finance social development. **land, water** for example are in short supply, even when evenly distributed.

**Social:**

Traditional social norms may perpetuate inequality and discriminate against the excluded, for instance by preventing them from entering certain professions, or using public services, etc.

There may be racial, caste or religious exclusion; choice to maintain ethnic traditions; or confining women to the home, and depriving them of access to certain occupations, autonomous sources of income, legal assistance and means of redress against in cases of discrimination and exploitation. These must be tackled in the context of sectoral policies.

**Institutional:**

Requirements and procedures that hinder the excluded from benefiting from services; these barriers to access tend to be easy to correct.

**Environmental and geographical:**

- Lack of accessible infrastructure is an obstacle for persons with disabilities;
- Geographical isolation and some physical environments (e.g. desert) are obstacles for many communities to benefit from development processes.

**Psychological:**

- Prejudice and negative attitudes towards some groups
- Distrust and apathy work against inclusive development.

Prejudice, values and behavior may be changed by adequate social policies,

**Identifying risks:**

Poverty and deprivation are not static conditions.

Populations, households, and individuals may be in a good condition at one point, but may face various risks that can plunge them into poverty over time.

Societies have to take steps to reduce their vulnerability and to cope with shocks when they occur.

- ✚ Vulnerability indicates exposure to hazards and the likelihood that the welfare of an individual or a household falls below minimum consumption levels.
- ✚ Risks may include natural disasters, financial crises, harvest failure, war, and serious illness, among others.

Communities have traditional mechanisms to cope with risks, which should not be disturbed unless replaced by more effective options.

However, community and family arrangements should not be the center of social policies, as they fail to provide one of the most important functions of social policy: ensuring the equitable distribution of the benefits of growth at a national scale.

### **Identifying labor market dynamics:**

Work is the main source of income for the majority of citizens and particularly the poor.

A labor market strategy is critical to reduce poverty, develop human capital, address gender discrimination, and enhance welfare and productivity. Labor market assessments require a coordinated effort among different ministries and a good understanding of the linkages between economic and social policies. The assessment of the labor-absorbing development pattern of the country is based on

- ✚ an analysis of the composition of economic growth and the relative labor intensities,
- ✚ the leading sectors and sub-sectors of the economy,
- ✚ the size of the informal sector,
- ✚ domestic and foreign investment prospects, and growth and population projections in the medium and long term.

The links with macroeconomic policies are critical. This provides the basis for evaluating options to overcome the mismatch between supply and demand for labor, and to determine which growth, investment and labor market policies may best promote employment with good working conditions.

- ✚ What are the characteristics of growth, employment and poverty?
- ✚ Has the poverty rate been reduced at the same speed as the rate of growth?
- ✚ Which are the most dynamic sectors of the economy?
- ✚ Are they labor-intensive?

- ✚ What is their contribution to public revenue (e.g. taxes)?
- ✚ What can be done to promote them and generate more revenue that can be directed towards social development?
- ✚ What is the percentage of the population below 18 years of age?
- ✚ Will the economy be able to absorb all new entrants into the labor market?
- ✚ Which policies should be prioritized to ensure youth employment?
- ✚ What policies can ensure equal opportunities for women or people of excluded ethnic groups?
- ✚ What can be done to accelerate employment-generating growth?
- ✚ Which macroeconomic policies and sector interventions should be promoted in the short/medium term to secure employment and prosperity for all citizens?
- ✚ What specific active and passive labor market interventions should be prioritized to promote labor demand and good working conditions?

### **Identifying sources of conflict:**

Conflicts of interest among different groups are intrinsic to societies, but major problems emerge when there are no mechanisms to deal with them or when these are ineffective.

Unattended conflicts leading to violence, whether at micro or macro level (war), carry high human and economic costs. Economists and development specialists tend to design national strategies assuming peace and stability, without taking into account on-going or potential conflict. By ignoring internal tensions (e.g. ethnic), conflicts often escalate.

Early warning is essential: Most conflicts are ignited by grievances in respect of economic disparities (unequal distribution of resources, unemployment), cultural differences (ethnic, religious), or militarization and human rights abuses. Listening to people's grievances and identifying effective solutions, including mechanisms to deal with dissent, are essential for conflict prevention. National development strategies can be mechanisms to start dialogue, build trust and achieve social cohesion.

Conflict prevention analysis is a useful tool to identify sources of conflict and priorities to deal with them.

### **Gender inequality issues:**

It should never be assumed that policies benefit men and women equally. Women comprise more than 50 per cent of the population and are amongst the most excluded groups in all too many societies, particularly when poor, informal, disabled, indigenous, etc. Gender status is generally a predictor of relative exclusion (discrimination, violation of equal rights, lower access to education and paid employment, and lack of agency).



However, women are found in equal numbers in each income deciles, rich and poor. Combining gender data with age, caste, ethnicity, religion, language, or geographical location, produces a much stronger predictor of vulnerability. Furthermore, women's critical role as social protection providers is often invisible and unpaid: they are involved in unpaid care and called upon as care providers in times of economic crisis.

## **Varying values and principles in social policy**

### **Social policy has many definitions**

- **In market economies (capitalist) countries**, social policy usually targets selected population groups, problems or functions of society.
- It tends to be decentralized to regional and local authorities, eclectic in goals and programs, and associated mainly with social welfare, the poor and the disadvantaged.

In contrast, in **non market economies (socialist) countries** social policy is centralized at the national bureaucratic level and usually provides *universal coverage*.

**The reasons behind the variation of social policies in different contexts include the following points:**

#### ***1. Social problems are in the eyes of the beholder***

Social problems are subjective, as they result from norms, values and priorities. For instance, **unemployment**

#### ***2. Political Ideology- a cluster of values***

There are a number of distinct schools of thoughts including **anarchist, fascist, liberal, social democratic, socialist and communist**.

What separate these doctrines is

✚ ***their views to society,***

✚ ***their beliefs about the proper role of the state, and particularly the extent to which (and the ways in which) a state may intervene in the lives of its citizens.***

At one extreme, it may be thought that there should be no authority beyond the individual. Each person commands absolutely the conduct of his/her own life and bows to no other individual or corporate authority. At the opposite end of the spectrum, a state may treat (at least some) individuals as chattels (assets) allowing them to be bought and sold as property of other people, or even making them slaves of the state.

**Liberalism:** Those who believe in liberalism seek to curtail the range and magnitude of Government intervention. Clearly, **with in a liberal state the individual is paramount and the scope for state intervention in the form of social policy is likely to be minimal.**

**Socialism** – emphasizes an equality and fraternity and supports much state intervention to ensure the values of equality and fraternity.

### **3. Policy purposes**

Social policies may vary due to the varying purposes they may be intended to satisfy. Policy purposes meant from the general ideologies and believe.

Policy purposes could be

- A. To keep things as they are or to effect change
- B. To privilege a special group or to treat all people equitably
- C. To promote equality or extend inequality
- D. To promote a set of specific values or to accommodate diverse

#### **Stability or change**

policies may be developed in order to bring about certain changes or may be intended to resist change and maintain the status quo. Policies designed for stability will support the prevailing norms, values and beliefs. In doing so they will tend to exclude or subordinate any competing sets of values and norms.

#### **Privilege or equal treatment**

Policies may either seek or resist change. But beyond this they may also influence the way governments act towards the population at large. Policies may foster the equal treatment of all citizens, or may serve privileges for some to the detriment (harm) of other.

**For example:** Apartheid in South Africa.

At that time, policies across the entire spectrum of government were constructed on the basis of racial differentiation, and in particular were built on the assertion of white superiority. Consequently, in politics black people and those mixed race were disenfranchised. In education, the apportionment (distribution) of resources heavily favored those schools attended by white children and in terms of access to health services; priority was reserved for white people.

#### **Equality Vs in-equality.**

Policies in their actualization either reduce or enhance differences between people. In states where the values of individual autonomy are promoted as opposed to collective values, policies will not attempt to ensure equality. Individuals will be encouraged to make their own way, and in so far as they abide by the law, they will be free to increase their wealth, property and scope of activity. **Inequality is almost certain to flourish in such conditions.** However, in other states where more collective values hold sway, gross inequalities will be regarded as both problematic and undesirable.

In reality, many western nations, whilst accentuating the autonomy of the individual in recent years, still subset be to some collective provision of certain basic “welfare” services such as education, health and social security.

## Uniformity vs. diversity.

Many societies embody different communities, races, creeds and cultures. Within these states, there are values and principles that we may call “plural” as much as they support and encourage diversity. But there are also values and principles that tend to imposition of conformity or even uniformity. These we call “particular” or particularistic principles. Here diverse groups are invited or compelled to submit to the norms and ideologies of economic groupings.

## Historical development of social policy: A comparative perspective

The section will especially try to give a comparative perspective on social policy as experienced and practiced in:

- ✚ Western market oriented countries
- ✚ Socialist countries
- ✚ Third world countries

### I. Social policy and welfare state in western countries

After WWII the welfare state came in to being. **Welfare state** refers to the provision of social services by the state to its citizens. The major benefits include education, health care services, and income maintenance payments like pension, family allowance, and unemployment compensation for jobless people.

#### Theoretical justification for the coming of the welfare state.

In 19th century Britain, there were two sources of help for the poor:

1. The state system of the poor relief dating from 16th century and.
2. Charity provided by voluntary organizations and individuals.

The state system of the poor relief was based on the poor law amendment acts. **Poor law=group of laws relating to the relief and care of the poor, now replaced by social security services.** The major assumption behind the poor laws was that, *if one was fit and pauper, then it was his fault. Able bodied poor should work and they do not deserve any help.*

In late 19th century, there was a growing realization that poverty among able bodied people was not necessarily the individuals' fault. Even if people work hard, **impersonal forces** could be the cause of poverty. So, middle class socialists, trade unions, radical thinkers, philosophers and academicians start to push the state to do interventions. Lassie faire thinkers used to advocate the idea that any state intervention would diminish individual liberty.

Socialist thinkers on the other hand replied that liberty does not simply mean freedom for investment, but doing what one desires. So, the state could actually increase liberty by removing obstacles to do what one desires. Poverty by itself is an obstacle for the individual liberty.

## **Why the welfare state provides Social services ?**

it believes that poverty is not necessarily personal problem and that the society has the responsibility to handle it. In western industrial countries, social policies were thus introduced by the welfare state to provide social services for the needy.

## **What are the factors for the coming of the welfare state and social policy?**

1. Advancing Industrialism (migration factor)
2. Capitalist Development
3. Labor Movements (Trade unions)

### **1. Advancing Industrialism**

Modern social policy has its roots in the dissolution of feudalism and the rise of capitalism. In the transition from feudalism to capitalism, **poverty** became a concern of the state. The emerging capitalist production system required **a large labor of wage earners**. These wage earners were **a new social class** constituted out of the old feudal peasantry when feudalism broke down and peasants were uprooted not all of them were needed in production all the time

Capitalists profited from this surplus of wage earners, because it depressed the cost of labor owing to supply and demand forces of the market. On the other hand, the labor surplus was disadvantageous to workers, for it meant unemployment and lower wages. As a result, workers as a group developed interests that were inimical to the capitalist labor market: their slogans were “**work for all at an adequate wage, and income security when work was not an option**”. Capitalist production was eventually predicated on the concentration of wage earners into an urban factory system. This concentration provided capitalists with powerful production advantages such as mass production and the use of machines. With the advancement of industrialization increasing proportion of the labor force has been out of self employment. More and more people were exposed to unemployment, sickness, industrial injury, etc. Along with industrialization, the proportion of senior citizens increased and the question of retirement benefits became crucial (Demographic factor). Increasing industrialization had also meant progressively greater urban development. The coming of urbanization brought the question of regulated urban environment. The intervention of the state in housing and land planning became a prerequisite of urban life. Through all these developments, the advancement of industrialization had facilitated the emergence of the welfare state and their intervention into the market through social policies.

### **2. The capitalist Development**

The capitalist economy is characterized by **severe periodic fluctuations of booms and depressions**. This is one of the major contradictory natures of the capitalist system. So, in order to regulate the crisis brought

about by the collapse of the economic system, governments were forced to make interventions through social policy. In effect, therefore, the capitalist system contributed to the development of social policy.

### 3. Labor movements

The fact that wage earners had been uprooted from their peasant communities and concentrated in urban districts threatened capitalist production: unlike peasants, workers had nothing to fall back on during times of unemployment and underemployment. Lacking the cushion of food production, they were more likely to suffer. This was a strong incentive for action or political activism. Their concentration in urban localities produced social interaction which facilitated a sense solidarity among workers. This was the basis for the development of labor unions. Such organization allowed desperate workers to collectively mobilize and improve their situations.

- ✚ Such anti-capitalist mobilization of workers was facilitated by their increased literacy, a development that was promoted by the requirements of the industrial production.
- ✚ Workers waged centuries of struggle to expand jobs, wages, and income security.
- ✚ Capitalists responded by legislation of social policies, not out of altruism, but because of the political threat represented by organized workers.

The ruling class also saw social policy legislation as **an antidote to socialism**. Labor unions themselves forwarded social policy legislation as **a means of improving the life chances of the working people**. Socialists also had supported these measures **as a step towards the ultimate goal of socialist society**.

The major reason for the first social insurance program in Germany in the late 19th century was Bismarck's desire to provide workers with an alternative to socialism. In Britain the political influence of the working class through trade unions and the labor party was decisive in the creation of the welfare state. In the United States unions, especially the industrial unions, and the Democratic Party played a similar role, thus, the ruling capitalist class was forced to expand social policy in order to guarantee its security. Although other factors were important for the emergence of the welfare state, **the role of working class political organization was crucial**. We can, therefore, identify **urban based class struggle of industrial capitalism** as the central factor for the emergence and development of welfare state /social policy. In addition to producing the modern class struggle, industrial capitalism was the basis for demographic changes, such as the aging of population.

### Critics to the Welfare State

The welfare state has been criticized by **neo-classical economists and Marxist theorists**.

**Neoclassical economists** take an individualistic perspective by supporting price competition, private enterprise, free trade and laissez-fair economic policy. For them government intervention in the market brings harmful results. **Market theorists** like Fred rich hike, Daniel usher, Milton Friedman perceive that welfare state leads to lower economic efficiency, and less individual freedom. By enacting high taxes, authorizing large expenditure for social services, establishing huge bureaucracy, making plan for the total economy, etc, it decreases savings, deter industrial investment, and reduce the incentive to work hard.

**Marxists** also give severe critics against the welfare state. Marxists see the welfare state both in positive and negative terms; the positive feature is the services like education and health that enhance the individual welfare. On the other hand the state uses the services to ensure social control and conformity of the mass. The state provides all these services in order to produce productive labor force for capital accumulation.

### **Variations in Welfare States**

The goal of welfare state social policy is to **reduce income inequality and poverty**. More advanced welfare states have less income inequality, more income redistribution, and less poverty than do less advanced welfare states. The sources of variation in welfare states is due to

- ✚ its racial and cultural heterogeneity,
- ✚ its political decentralization and
- ✚ its lack of feudal past, all of which have helped to produce less clearly defined class politics.

We have seen that **class struggle and the maturity of working class** political strength are **prime movers in welfare state development**.

The United States has relatively weak labor unions and no working class political party. In comparison, Sweden is ethnically homogeneous, politically centralized and a nation with feudal past. This characteristic helped to produce more clearly defined class politics in Sweden, including a relatively strong labor movement and a working class /social democratic/ political party. Compared to other welfare states, US social policy has been constrained by political decentralization. The pronounced localism or provincialism of the US society has contributed to its more laissez-faire approach to social needs. Also individualism is a stronger value in the United States than in other welfare states. In the US it is more difficult to achieve any objective that relies upon **cooperation**.

Another factor for the backwardness of US as a welfare state is the miniaturization of its economy. US devote a considerably higher proportion of its resources **to warfare (versus welfare) than do other welfare states**. World Bank data shows that it ranked first among fifteen welfare states in the percent of total central government expenditure going to defense, while Sweden ranked seventh.

## Social Policy in Socialist Countries

There are basic differences and similarities between social policy in socialist countries and capitalist welfare states. In capitalist welfare states, social policies are accessories to the market. The differences of social policy in these two settings is that

**In capitalist nations** social policies go through **a cycle of expansion and contraction, following the ups and downs of the economy and the ins and outs** of parties, while in **socialist nations** their development is more even. Data consistently demonstrate that socialist nations despite their lower level of economic development make a greater social welfare effort than do capitalist nations. In this sense socialist nations are truer welfare states than are developed capitalist nations. Socialist nations also show lower level of income inequality than do welfare states. There are several reasons for the generally higher social welfare effort of socialist nations. Their goals of social policy greatly differ from those of welfare states. In welfare states social policy aims to provide for minimum human need, while maintaining the essential differences between social classes.

**In socialist nations**, social policy is directed toward the reduction of differences between social classes. Socialist societies heavily subsidize the provision of basic social needs such as healthcare, housing, and transport so that these goods are either free or very cheap. Additionally, socialist nations promote a full-employment economy and exert control over wages to reduce income inequality.

In capitalist countries social services developed in a piecemeal and pragmatic fashion. But in socialist societies the development of social services has been more planned and deliberate inspired by Marxist ideology. In the west, change has occurred in the context of political and ideological pluralism.

In contrast in socialist countries, social policy has been determined by the top leadership with in the context of unitary social ideology. In the ex-soviet union, the Bolshevik government proclaimed extensive provision of social services. Income security system envisaged by Bolshevik leaders was to be universal (cover all members of the community),

- ✓ Comprehensive (meet all major forms of income need)
- ✓ Adequate (high level of benefit)
- ✓ As a right (with no condition of eligibility)

Health commissariat was formed to ensure free and qualified medical and pharmaceutical assistance to all. Education was declared free and compulsory until the age of seventeen. But due to practical problems there were retreats from the above principles. For instance, social insurance was modified to cover only employed persons because of lack of resources. So, the vast majority of peasants and artisans were left out. In 1926,

sickness benefit becomes conditional on the evidence of work. A 25 years of work record was made a condition for old age pension. In 1930, the government abolished unemployment benefits.

*In conclusion, we can see the influence of ideology on the type of social policy, and the constraints steaming from low level of economic development.*

### **Social Policy in the Third World**

Third world countries comprise poor countries of the world that are primarily agricultural. This category includes the bulk of Asia, Latin America and Africa. It is the world of colored people (Black, brown, yellow and all shades in between). It comprises the over whelming majority of the world's population. Most contemporary third world countries experienced direct colonial rule and exploited by the first world. They had been providing cheap natural resources and labor for the historic development of the first world capitalism. Many of them got independence relatively recently. Countries in Asia got independence in 1940s, most African countries in 1960s. Latin American countries in the first half of 19th century. Thus, the growth of social policy in these countries is related with **colonialism**. Most important feature of colonial society was the administration directed by and in the interest of foreigners.

### ***Let us see health services***

Many argue that the present health services in developing countries have grown out of colonial medical systems. Observers state that the pattern of health services was designed to meet the needs of Europeans and their families. Hospitals and health centers were established in the major European settlement. These institutions were made essentially curative. The objectives of colonial policy were to provide a safer environment for Europeans. The pattern was designed in the desire to spread the scientific or "modern" methods of western medicine, because the indigenous system was considered as "backward" or traditional. The approach was inimical to the development of an appropriate health system. After independence, governments tried to expand health services in the manner designed by colonialists. Health services remained urban based and tailored to the needs of educated middle classes.

More recently, many countries advocated preventive services giving priorities to rural communities. But in practice it is found to be the other way round, i.e. the pattern is curative and urban based. Preventive strategies emphasize health education while the curative one is the provision of medical facilities. The later is costly which can be difficult to afford for poor countries.



A study by WHO and UNICEF, indicated that the existing approach in developing countries is not in the right direction. It stated that.

1. Basic health needs of the majority remained unsatisfied.
2. In many countries less than 50% of the rural population and other privileged groups have access to health services.
3. The strategy adopted by many developing countries has been modeled with that of developed countries.

In conclusion, the study emphasizes

- ✓ the need for clear national health policies and strategies,
- ✓ the need for massive redistribution of resources and re-orientation of health services to community based health workers

### **What is Public Policy?**

Despite the multiplicity of definitions for a policy as raised above, the brief definition is the one provided by Anderson: *A relatively stable, purposive course of action followed by an actor or a set of actors in dealing with a problem or matter of concern.*

This statement focuses on

- ✓ **what is actually done** instead of **what is only proposed or intended**, and
- ✓ It differentiates a **policy** from a **decision**, which is essentially a choice among competing alternatives.

**Public policies** are those developed by governmental bodies and officials. Nongovernmental actors and factors may of course influence public policy development. The special characteristics of public policies stem from their being formulated by the “authorities” in a political system. In short, public policies are those produced by government officials and agencies. It would be helpful now to consider some of the implications of the concept of public policy as a relatively stable, purposive course of action followed by government in dealing with some problem or matter of concern i.e., there are a few key implications of such a conceptualization.

**First**, the definition links policy to *purposive or goal-oriented action* rather than to *random behavior or chance occurrences*.

Public policies in modern political systems do not, by and large, just happen. They are instead designed to accomplish specified goals or produce definite results, although these are not always achieved. In actuality, the goals of a policy may be somewhat loosely stated and cloudy in content, thus providing general direction rather than precise targets for its implementation. Therefore, a policy (public or private) is aimed at changing, achieving or solving something. It does not refer to a random act.

**Second**, policies consist of *courses or patterns of action* taken over time by governmental officials rather than their *separate discrete decisions*. A policy includes not only the decisions to adopt a law or make a rule on some topic but also the subsequent decisions that are intended to enforce or implement the law or rule. Therefore, they should not be viewed as single, isolated events – it is important to contextualize policies within the greater scheme of things, as continual outcomes rather than individual outputs. As such, a policy is the outcome of a political process that involves *negotiation, bargaining, persuasion and compromise-policies* should be conceptualized and implemented in a broad enough sense that they need not be replaced and reformulated every year. It is clear that policy has a cyclical nature and arises from a process over time.

**Third**, public policies are the result of some *societal public demand*. The latter may originate with private citizens, groups of individuals, pressure groups, lobbyists, civil society organizations, or within public officials itself. These actors demand that public/governmental action be taken to solve a problem or address an issue of concern in society. This issue of concern will most likely be of common interest to citizens of that state – for instance, a call for the improvement of public roads to provide antiretroviral drugs to HIV positive individuals in government service, or take a position and legislate on the scourge of infant rape.

**Fourth**, policy involves what governments actually do, not just what they intend to do or what they say they are going to do. That is, what government actually does with regards to a problem.

**Fifth**, a public policy may be either positive or negative. Some form of overt governmental action may deal with a problem on which action is demanded (positive), or governmental officials may decide to do nothing on some matter on which government involvement was sought (negative). In other words, governments can follow a policy of laissez-faire, or hand off, either generally or on some aspects of economic activity. Such inaction may have major consequences for a society or some groups.

**Inaction** becomes a public policy when officials *decline to act on a problem*—that is, when they decide an issue negatively. This choice differs from non action on a matter that has not become a public issue, has not been brought to official attention, and has not been considered or debated.

**Finally**, public policy, at least in its positive form, is based on *law and is authoritative*. In other words, a policy should ideally be legitimate (enacted or acted upon by a legitimate government) and can be legally enforced by the state (having the monopoly over the legitimate use of coercion). Thus public policy has an authoritative, legally coercive quality that the policies of private organizations do not have. Some public policies may be widely violated even though they are authoritative. Moreover, enforcement may be limited, piecemeal, or sporadic.

Are these still public policies? The answer is yes, because they are either were or currently are on the statute books and enforcement was provided for. Whether such policies are effective or wise is another matter. **Authoritativeness** is a necessary but not a sufficient condition for effective public policy.

### **Why Study Public Policy?**

Students of public policy consequently seek answers to such questions as these: What effect do urbanization and industrialization have on welfare policies?

- ✚ What role do interest groups have in forming environmental policy?
- ✚ What is the actual content of development policies?
- ✚ Who benefits, and who does not, from current tax policies?
- ✚ What are the problems in implementing various development policies?
- ✚ Although such questions are often difficult to answer, especially with precision, they direct our attention to the actual operation of the policy process and its societal consequences.

✚ We now come to the question posed in the heading of this section: Why study public policy?

One response is that it is important, that we are all affected in many ways by public policies, and thus we should know something about them, including why they are so difficult to enact, budget, and implement.

### ***Scientific Reasons***

Public policies can be studied *to gain greater understanding of their origins, the procedures by which they are developed and implemented, or their consequences for society*. This, in turn, will increase our understanding of political processes and political behavior. Policy may be regarded as either a dependent or an independent variable for this sort of analysis.

### ***Professional Reasons***

In this case we can distinguish between the “**scientific estate**,” which seeks only to discover knowledge, and the “**professional estate**” which strives to apply scientific knowledge to the solution of practical social problems. Policy analysis has an applied orientation and is intended to determine the most efficient (or best) alternative (i.e., the one that will yield the largest net social benefit) for dealing with a current problem.

### ***Political Reasons***

Some social scientists do not believe that they should strive to be neutral or impartial in studying public policy. Rather, they contend that the study of public policy should be directed toward helping ensure that governments adopt favored public policies to attain the “right” goals. They reject the notion that the study of public policy should be value-free, contending rather than political science should be silent or impotent on how best to deal with current political and social problems.

In short, they engage in policy advocacy and are undeterred by society's substantial disagreement over what constitutes "correct" policies or the "right" goals of policy. Research engaged in by policy advocates is often skewed by the desire to develop "evidence to support their cause. Policy study, in contrast, is motivated by the intention to be impartial.

### **Theoretical Approaches to Policy Study**

Political and social scientists have developed many models, theories, approaches, concepts, and schemes *for analyzing policymaking and its related component, decision-making*. In this section I will survey several theoretical approaches to the study of public policy. But first we must distinguish between **policymaking and decision-making**,

**Decision-making** involves making a discrete choice from among two or more alternatives, A policy as defined earlier, is "a relatively stable, purposive course of action followed by an actor or a set of actors in dealing with a problem or matter of concern."

**Policymaking** thus typically encompasses a flow and pattern of action that extends over time and includes many decisions, some routine and some not so routine.

The theoretical approaches discussed here include:

- I. Political systems theory,
- II. Group theory,
- III. Elite theory,
- IV. Institutionalism, and
- V. Rational choice theory.

Although most of these approaches were not developed specifically for analyzing policy formation, they can readily be bent to that purpose. They are useful to the extent that

- ✚ they direct our attention to important political phenomena,
- ✚ help clarify and organize our thinking, and
- ✚ suggest explanations for political activity or, in our case, public policies.

### ***Political Systems Theory***

Public policy may be viewed as a political system's response to demands arising from its environment. The political system, as Easton defines it, comprises those identifiable and interrelated **institutions and activities** (what we usually think of as governmental institutions and political processes) in a society that make authoritative allocations of values (decisions) that are binding on society. The environment consists of all phenomena –

- the social system,
- the economic system,
- the biological setting-that are external to the boundaries of the political system.

Thus at least analytically one can separate the political system from all the other components of a society.

**Inputs** into the political system from the environment consist of *demands and supports*. *Demands* are the claims for action that individuals and groups make to satisfy their interests and values. *Support* is rendered when groups and individuals abide by election results, pay taxes, obey laws, and otherwise accept the decisions and actions undertaken by the political system in response to demands. The amount of political support for a political system indicates the extent to which it is regarded as legitimate, or as authoritative and binding on its citizens.

**Outputs** of the political system include *laws, rules, judicial decisions*, and the like.

Regarded as the authoritative allocations of values, they constitute public policy. The concept of feedback indicates that public policies' (or outputs) made at a given time may subsequently alter the environment and the demands arising there from, as well as the character of the political system itself. Policy outputs may produce new demands, which lead to further outputs, and so on in *a never-ending flow of public policy*

### **Limitation of the political system theory**

- The usefulness is limited by its highly general and abstract nature.
- It does not, moreover, say much about the procedures and processes by which decisions are made and policy is developed within the "black box" called the political system.

Indeed, systems theory depicts government as simply responding to demands made upon it, and its results are sometimes characterized as "input-output studies." Nonetheless, this approach can be helpful in organizing inquiry into policy formation.

It also alerts us to some important facets of the political process, such as these:

- How do inputs from the environment affect the content of public policy and the operation of the political system?
- How in turn does public policy affect the environment and subsequent demands for policy action?
- How well is the political system able to convert demands into public policy and preserve itself overtime?

### **Group Theory**

According to the group theory of politics, public policy is the product of the group struggle. One writer states, “What may be called public policy is the equilibrium reached in this [group] struggle at any given moment, and it represents a balance which the contending factions or groups constantly strive to weight in their favor.” Many public policies do reflect the activities of groups.

Group theory rests on the contention that interaction and struggle among groups are the central facts of political life. A group is a collection of individuals that may, on the basis of shared attitudes or interests, make claims upon other groups in society. It becomes a political interest group “when it makes a claim through or upon any institutions of government.” And many groups do just that. The individual is significant in politics only as a participant in or a representative of groups. It is through groups that individuals seek to secure their political preferences.

A main concept in group theory is that of **access**. To have influence and to be able to help shape governmental decisions, a group must have access, or the opportunity to express its viewpoints to decision-makers. Obviously, if a group is unable to communicate with decision-makers, if no one in government will listen to it, the chances that it will be able to affect policymaking are slim. Access may result from the groups being organized, from its having status, good leadership, or resources such as money for campaign contributions. In the nature of things, some groups will have more access than others. Public policy at any given time will reflect the interest of those who are dominant. As groups gain and lose power and influence, public policy will be altered in favor of the interests of those gaining influence against the interests of those losing it.

#### **Limitation/ Short coming of group theory of policy**

- it seems both to overstate the importance of groups and to understate the independent and creative role that public officials can play in the policy process. Indeed, many groups have been generated by public policies.
- in actually many people (e.g., the poor and disadvantaged) and interests (such diffuse interests as natural beauty and social justice) are either not represented or only poorly represented in the group struggle. Those who are not represented will have little voice in policymaking and thus their interests are likely to be slighted therein.
- Finally, from the methodological perspective, it is misleading and inefficient to try to explain politics and policymaking solely in terms of interests and the group struggle. This bias leads to neglect of many other factors, such as ideas and institutions, which abound and which independently affect the development of policy.

#### ***Elite Theory***

Approached from the perspective of elite theory, public policy can be regarded as reflecting the values and preferences of a government elite.

The essential argument of elite theory is that public policy is not determined by the demands and actions of the people or the “masses” but rather by ruling elite whose preferences are carried into effect by public officials and agencies. Professors Thomas Dye and Harmon Zeigler provide a summary of elite theory:

1. Society is divided into the few who have power and the many who do not. Only a small number of persons allocate values for society; the masses do not decide public policy.
2. The few who govern are not typical of the masses who are governed. Elites are drawn disproportionately from the upper socioeconomic strata of society.
3. The movement of non-elite to elite positions must be slow and continuous to maintain stability and avoid revolution. Only non-elites who have accepted the basic elite consensus can be admitted to governing circles.
4. Elites share a consensus on the basic values of social system and the preservation of the system.
5. Public policy does not reflect demands of the masses but rather the prevailing values of the elite. Changes in public policy will be incremental rather than revolutionary.
6. Active elites are subject to relatively little direct influence from apathetic masses. Elites influence masses more than masses influence elites.

So stated, elite theory is a provocative theory of policy formation. Policy is the product of elites, reflecting their values and serving their ends, one of which may be a desire to provide in some way for the welfare of the masses.

Elite theory does focus our attention on the role of leadership in policy formation and on the reality that, in any political system, a few govern the many. Whether the elites rule and determine policy, with little influence from the masses, is a difficult proposition to handle. It may be that elite theory has more utility for analysis and explanation of policy formation in some political systems, such as developing or Eastern European countries, than in others, such as the pluralist democracies of the United States and Canada.

### ***Institutionalism***

Traditionally, the institutional approach concentrated on describing the more formal and legal aspects of governmental institutions: their formal structure, legal powers, procedural rules, and functions or activities. Formal relationships with other institutions might also be considered, such as legislative-executive relations.

Usually little was done to explain how institutions actually operated as opposed to how they were supposed to operate, to analyze public policies produced by the institutions, or to discover the relationships between institutional structure and public policies.

Institutionalism, with its emphasis on the formal or structural aspects of institutions, can nonetheless be usefully employed in policy analysis. An institution is, in part, a set of regularized patterns of human behavior that persist over time and perform some significant social function or activity. It is their differing patterns of behavior that really distinguish courts from legislatures, from administrative agencies, and so on.

These regularized patterns of behavior, which we often call rules or structures, and the like, can affect decision-making and the content of public policy. Rules and structural arrangements are usually not neutral in their effects; rather, they tend to favor some interests in society over others and some policy results over others.

In summary, institutional structures, arrangements, and procedures often have important consequences for the adoption and content of public policies. They provide part of the context for policy making, which must be considered along with the more dynamic aspects of politics, such as political parties, groups, and public opinion, in policy study. By itself, however, institutional theory can provide only partial explanations of policy.

### ***Rational-Choice Theory***

The rational-choice theory, which is sometimes called social-choice, public-choice, or formal theory, originated with economists and involves applying the principles of microeconomic theory to the analysis and explanation of political behavior (or non market decision-making).

Perhaps the earliest use of rational-choice theory to study the political process is Anthony Down's Economic Theory of Democracy. In this respect, Downs assumes that voters and political parties act as rational decision-makers who seek to maximize attainment of their preferences. Parties formulated whatever policies would win them most votes, and voters sought to maximize the portion of their preferences that could be realized through government action.

In attempting to win elections, political parties moved toward the center of the ideological spectrum to appeal to the greatest number of voters and maximize their voting support. Thus, rather than providing voters with "meaningful alternatives," parties will become as much alike as possible, thereby providing an "echo rather than a choice."

Let us now look more closely at the major components of rational-choice theory. One of its basic axioms is that political actors, like economic actors, act rationally in pursuing their own self-interest. Thus economist James Buchanan, a leading proponent of rational-choice theory, contends that politicians are guided by their self-interest rather than an altruistic (unselfish) commitment to such goals as statesmanship or the national interest.



“This could be no surprise,” says Buchanan, “because governments are made up of individuals, and individuals operate from self-interest when they are engaged in a system of exchange, whether this is in the market economy or in politics.” Being rational, individuals are able to comprehend and rank their preferences from most to least desired.

In making decisions (whether economic or political), they are guided by these preferences and will seek to maximize the benefits they gain. In short, people are self-interested utility maximizers, not the uninformed, confuse, or irrational choice-makers often depicted in analyses of political behavior.

A second basic axiom of rational-choice theory involves methodological individualism. The individual decision-maker is the primary unit of analysis and theory. The individual’s preferences or values are assumed to be more important than other values—collective, organizational, or social. Conversely, rational-choice theorists argue that the actions of organizations and groups can be satisfactorily explained in terms of the behavior of a model individual.

Some rational-choice theorists have begun to explore the effects of incomplete or imperfect information and uncertainty on policymaking. Political decision-makers are said to be possessed of differing amounts of information (a condition called information asymmetry) and are uncertain about the outcomes or consequences of laws and policies when they are implemented. **Rational-choice studies of political behavior are often characterized by rigid and narrow assumptions, mathematical equations, abstractions, and remoteness from reality.**

Rational-choice theory both alerts us to the importance of self-interest as a motivating force in politics and policymaking, and provides a better understanding of decision-making processes. Many contend, however, that politics is not as devoid of altruism and concern for the public interest as the rational-choice theorists assume. The adoption of “good public policy,” for example, is frequently a goal of members of Congress.

### ***Concluding Remarks***

Although individual political scientists often manifest strong preference for one or another of these theoretical approaches (or others, such as incrementalism), I cannot authoritatively state which is the “best” or the most satisfactory. Each approach focuses one’s attention on different aspects of policymaking and politics, and thus seems more useful for understanding some situations or events than others.

Group theory and elite theory are mutually exclusive explanations of how the policy process operates and, most important, of who controls or dominates and benefits from it. Or, briefly: Who rules? Sharp intellectual struggles have been waged between group (or pluralist) theorists and elite theorists about who controls decision-making on public policy.

Systems theory and institutionalism both focus on the process of policymaking, albeit in different ways, and are not incompatible. Institutionalism can be used to help explain what goes on within the “black box” (the political system), which is neglected by systems theory. Because neither theory directly confronts the question of who rules, either group or elite theory could be combined with them to some degree.

Rational-choice theory, because of its narrow focus, must stand pretty much by itself. Institutions appear as the individual writ large: little attention is given to the policy environment, how issues are brought to the attention of government, or how policy preferences are developed. Like institutionalism, however, rational-choice theory does show much interest in how rules and structures help determine the outcomes of decision-making.

On the question of who rules, rational-choice theory asserts that democratically elected officials will promote their own interest rather than the people’s. This conviction frequently leads to the normative (and conservative) conclusion that less government is better government. Group theorists feel that the interests of dominant groups (however determined) prevail, and for elite theorists the few (a ruling class) govern in their own interest, perhaps with some concern for the condition of the masses.

The various theories thus raise some controversial questions about politics and policymaking process. They also tend to skew research findings. Not surprisingly, pluralists find groups in control, elite theorists detect dominance by an elite, and rational-choice theorists find that self-interest dominates. These theories are therefore not merely neutral alternatives for guiding analysis.

It seems wise not to be bound too dogmatically or rigidly to one model or approach. A good rule for the policy student is to be eclectic and flexible, and to draw from theories or concepts that seem most useful for the satisfactory and fair-minded description and explanation of political events and policies.

The objective explanation of political behavior rather than the validation of one’s preferred theoretical approach should be the goal of political inquiry. Each of the theories discussed, if drawn upon skillfully and selectively, can contribute to a better understanding of policymaking.

### **The Policy-making Process**

It is necessary to explicitly differentiate amongst the various stages that delimit the process of policy-making. Such a differentiation is beneficial in that theorists on public policy tend to refer to or apply these stages in their models without necessarily clarifying their use, or explicitly stating how one stage in this process follows on another (or not).

On the whole, the policy process is messy, replete with considerable randomness, but careful research can have an important impact- from problem identification through the implementation stage. Most theorists

view the policy process as a series of stages. This is important, since the different values and perspectives brought to bear on each phase of the policy process can determine the definition of the issue at that point. This process or series of stages should be contextualized within a policy environment. According to Anderson (2000:44), the policy environment in its broadest sense includes factors such as natural resources, demographic variables such as population size, race and age distribution, spatial location, political culture, the regime type of the state in question, social structure, class system, other nations, geopolitical position and the economic system.

In this section, we begin to analyze the policy-making process as a sequence of functional activities. The *basic stages in the policy process* approach include **problem identification, agenda setting, policy formulation, policy adoption, policy implementation and policy evaluation.**

### ***1. Problem Identification***

Problem identification is probably the most undervalued stage in the policy-making process. Normally grouped with ‘agenda-setting’, it is ignored by many analysts in its entirety. Upon reviewing the definition of ‘policy’ early in this paper, it is clear that policy-making always occurs in response to a societal ill – it aims at purposefully solving/changing something. The implication is that some issue in society has to be identified for amendment or amelioration. If there were nothing to solve, policy responses would not be necessary.

Parsons (1997:87) makes a related point, noting that the genesis of a policy necessarily involves the recognition of a problem. However, not all troubling issues in society constitute problems to be addressed via public policy-making. For instance, HIV/Aids prevalence might be an issue, but it does not in itself equal an addressable problem. Rather, the actual problem might be the impact of the disease on the economy, in response to which government could then design a policy.

The accurate definition of the problem is therefore of paramount importance in terms of the drafting of an appropriate policy response. In order to qualify as a public problem, an issue has to be (1) deemed unsatisfactory by a significant group in the public domain, and (2) something that can be addressed by government action – if there is no solution to such an issue, no policy would bring about any change: the attempted drafting of such a policy would therefore be superfluous (unnecessary).

Problem identification is further complicated by the fact that one person’s problem might not be another person’s problem. Furthermore, conditions that are treated as public problems at one point in history might not be perceived as such by a government 20 years later. For instance, the South African government had detailed policy responses to the ‘problem’ of sexual mixing amongst the races in 1980, while this problem has become a non-issue in contemporary, democratic South Africa.

On the other hand, conditions that at one time are accepted as the normal order of things may later, because of social change, be treated as problems. For centuries in Ethiopia, wife-beating, child abuse, and other forms of family violence were private matters except, perhaps, when the regular criminal laws, as against homicide, were violated. They are no longer so treated. Problems and the perception thereof can, therefore, change over time - as Dunn (1994:299) states,

*Problem structuring does not occur once, at the beginning of the analysis, but occurs at many points throughout the analysis yielding information about the potentially relevant goals, objectives, alternatives, criteria, target groups, costs, and benefits to guide the analysis.*

The important point here is that public policy analysis cannot offer solutions to problems when there is no general agreement on what the problems are. But who should decide when 'sufficient consensus' has been established on the definition of a public problem? In addition to underlining the inherently political nature of problem identification, this question brings the issue of values to the fore.

In general, for our purpose, a policy problem can be defined as a condition or situation that produces needs or dissatisfaction among people and for which relief or redress through governmental action is sought. For instance, dirty air, the practice of abortion, urban congestion, food insecurity, and global warming are conditions that may become problems if they produce sufficient anxiety or dissatisfaction to cause people to seek a remedy.

And a problem is a problem only if something can be done about it. For example, hurricanes and earthquakes as such are not likely to become public problems because government can do nothing to prevent them. However, the conditions of human distress and property destruction caused by hurricanes do become public problems. Relief programs, building regulations, and early-warning systems are devised to prevent or reduce hurricanes' adverse consequences.

## ***2. The Agenda-setting Process***

Not all public problems make it onto the public policy agenda. Of the thousands and thousands of demands made upon government, only a small number will receive serious consideration by public policy-makers. In other words, each problem must compete for official attention because legislators and executives have limited time and resources.

Decisions to consider some problems mean that others will not be taken up, at least for the time being. The demands that policy-makers choose to or feel compelled to act on at a given time, or at least appear to be acting on, constitute the policy agenda. To get onto the public policy agenda, a problem must be converted into an issue that the government actually responds to.

**Cobb and Elder** (1983:85) qualify this further by differentiating between the systemic public agenda and the institutional, or governmental, agenda. The former refers to those issues on which there is general political consensus as to what merits public attention (e.g., high levels of property crime in Addis Ababa), while the latter denotes those issues on which the government and its institutions feel compelled to act (e.g., the approval of treaties, or government departmental budget requests).

Clearly, the media, lobby and other interest groups, and the head of state him/herself play important roles in establishing both systemic and institutional agenda items, and expanding the issue from a rather contained nature into the ambit of the general public. In addition, individual members of parliament, agency representatives and citizens who push policy proposals also act as so-called policy entrepreneurs in the agenda-setting process.

But the converse is also possible that some individuals or groups in society might work against certain issues attaining agenda status. If such a play were to work, an issue could lose its status as a problem to be addressed by government, and the issue might then actually lose its agenda status, slipping from the public policy domain.

### ***3. Policy Formulation (The formulation of policy proposals)***

Once an issue has become a problem, and the problem has made it onto the public policy agenda, it is incumbent upon the government to strategize an appropriate response to that public problem. Policy formulation involves developing pertinent and acceptable proposed courses of action (often called alternatives, proposals, or options) for dealing with public problems.

Policy-makers may be confronted with several competing proposals for dealing with a problem; or they may have to struggle with devising their own alternative. Policy-makers may decide not to take positive action on a problem, but instead to leave it alone, to let matters work themselves out. Or they may be unable to agree on what to do.

In making choice, officials would be taking into account the policy environment and the input from various policy entrepreneurs in society. The final choice of policy would take into account the constraints posed to every alternative and the government needs to decide which policy alternative would (in their opinion) have the most fortuitous outcome and outputs.

It is important to note that this entire process is iterative, in other words, one stage of the policy formulation process might not neatly follow on any previous stage: the process might be interrupted, with novel variables impacting on the outcome of the policy formulations at the end. Important in this regard is the impact of scenario planning, forecasting, and cost-benefit analyses in general.

Based on the above, the policy decision-makers will decide on their preferred policy alternative. The criteria applied in this last process (which may, in turn, be fed back into the policy formulation for the purposes of policy refinement) would then be measured in terms of envisaged effectiveness (is the policy able to actually solve the problem?),

Efficiency (how much effort will this require?), adequacy (are societal needs met?), equity (are these needs met across the board?), responsiveness (are those most affected by the problem shielded from any negative future impacts?), and appropriateness (are the assumptions underlying the policy's objectives attainable?).

#### **4. Policy Adoption**

This is the stage during which a selected policy, once formulated, is legitimized and formalized. Policy adoption therefore, has direct correlates with decision-making- who decides on any specific policy alternative, what the variables are those impacts on that decision-maker, and so on.

Clearly, public policy adoption means political support from the 'powers that be' – the government. The latter may adopt a policy and sell it to the public and various individual stakeholders through command, persuasion, bargaining (yet again, it should be pointed out that this is a non-exclusive, iterative process which might encompass more than the adoption of a particular strategy, especially given the particular political culture in a state and the specifically of the policy problem in question).

Here we examine the three styles of collective decision-making: bargaining, persuasion, and command. Each entails action to reach agreement and induce others to comply.

*Bargaining* can be defined as a process in which two or more persons in positions of power or authority adjust their at least partially inconsistent goals in order to formulate a course of action that is acceptable but not necessarily ideal for all the participants. In short, bargaining involves negotiation, give-and-take, and compromise to reach a mutually acceptable position. For bargaining to occur, the bargainers must be willing to negotiate, they must have something to negotiate about, and each must have something (i.e., resources) that others want or need.

*Persuasion*, on the other hand, occurs when those in power decide on a specific policy alternative and then attempt to convince others (stakeholders, the public) of the correctness of the decision, thereby causing them to adopt it as their own position. Thus persuasion involves the marshaling of facts, data, and information, the skillful construction of arguments, and the use of reason and logic to convince another person of the wisdom or correctness of one's own position.

Unlike bargainers, persuaders seek to build support for what they favor without having to modify their own positions. This task may involve striving to convince others of the merits or soundness of one's position, or the benefits that will accrue to them or their constituents if they accept it, or some combination of the two.

Accurate information, reason and logic, and effective argument are the instruments of persuasion; deception, and bullying and hectoring (intimidating, threatening) are beyond its bounds.

A *command* strategy involves a policy decision by those in power that is then projected onto the rest of the populace without necessarily the latter's consent (a tax hike might be taken as a fiscal example of such a policy decision). In this regard, bargaining involves interaction among peers; command involves hierarchic relationships among super ordinates and subordinates. Command is the ability of those in superior positions to make decisions that are binding upon those who come within their jurisdiction. They may use sanctions in the form of either rewards or penalties, although usually sanctions are thought of as penalties, or reinforce their decisions.

### **Theories of Decision-Making**

Decision-making, as stated earlier, involves making a choice from among alternatives. Given the fact that policy adoption is the actualization of decision analysis, Anderson's (2000:130-34) typology of the theories of decision-making is instructive of the dynamics involved at this point. Three theories of decision-making that emphasize the procedure and intellectual activities involved in making a decision are presented here:

- the rational-comprehensive theory,
- the incremental theory, and
- Multiple advocacy.

To the extent that these theories may describe how decisions are actually made by individuals and groups, they are empirical.

#### ***The Rational-Comprehensive Theory***

Perhaps the best-known theory of decision-making is the rational-comprehensive theory. It draws considerably from the economist's view of how a rational person would make decisions as well as from theories of rational decision-making developed by mathematicians, psychologists, and other social scientists. It should not be confused with rational-choice theory.

Whereas rational-choice theory is used for developing deductive models of self-interested decision-makers, the rational-comprehensive theory specifies the procedures involved in making well-considered decisions that maximize the attainment of goals, whether personal or organizational.

The rational-comprehensive theory usually includes these elements:

- The decision-maker is confronted with a problem that can be separated from other problems or at least considered meaningfully in comparison with them.

- ✚ The goals, values, or objectives that guide the decision-maker are known and can be clarified and ranked according to their importance.
- ✚ The various alternatives for dealing with the problem are examined.
- ✚ The consequences (costs and benefits, advantages and disadvantages) that would follow from selecting each alternative are investigated.
- ✚ Each alternative, and its attendant consequences, is then compared with the other alternatives.
- ✚ The decision-maker will choose the alternative, and its consequences, that maximize attainment of his or her goals, values, or objectives. Rational decisions may make either large and basic or limited changes in public policies

The result of this procedure is a rational decision-that is, one that most effectively achieves a given end. In short, it optimizes; it is the best possible decision. The rational-comprehensive theory has had substantial criticism directed at it. The theory is criticized for assuming that the policy problem is a clear-cut, readily cognitively separable that can quantitatively evaluated on its own and it has been argued that the problems faced by public policy decision-makers are rarely so well defined and articulated.

Also, the theory is criticized for assuming that the policy decision-maker is (1) rational and (2) that sufficient information is available to make a circumspect (careful) decision. That is it assumes that he or she will have enough information on the alternatives for dealing with a problem, will be able to predict their consequences with some accuracy, and will be capable of making correct cost-benefit comparisons of the alternatives.

### ***The Incremental Theory***

The incremental theory of decision-making is presented as a decision theory that avoids many of the problems of the rational-comprehensive theory and, at the same time, is more descriptive of the way in which public officials actually make decisions. Incremental decisions involve limited changes or additions to existing policies, such as a small-percentage increase in agency's budget or a modest tightening of eligibility requirements for university admission.

### **The Policy-making Process**

- It is necessary to explicitly differentiate amongst the various stages that delimit the process of policy-making



- Such a differentiation is beneficial in that theorists on public policy tend to refer to or apply these stages in their models without necessarily clarifying their use, or explicitly stating how one stage in this process follows on another (or not).
- This is important, since the different values and perspectives brought to bear up on each phase of the policy process can determine the definition of the issue at that point.
- This process or series of stages should be contextualized within a policy environment.

According to **Anderson** , the policy environment in its broadest sense includes **factors** such as

- **natural resources,**
- **demographic variables such as population size, race and age distribution,**
- **spatial location,**
- **political culture,**
- **the regime type of the state in question,**
- **social structure,**
- **class system, other nations,**
- **geopolitical position and**
- **the economic system**

### **Stags in policy process**

The **basic stages in the policy process** approach include

1. problem identification,
2. agenda setting,
3. policy formulation,
4. policy adoption,
5. policy implementation and
6. Policy evaluation.

#### ***1. Problem Identification***

- Problem identification is probably the most undervalue stage in the policy-making process.
- Upon reviewing the definition of ‘policy’ early in this paper, it is clear that policy-making always occurs in response to a societal ill – it aims tat purposefully solving/changing something. The implication is that some issue in society has to be identified for amendment or amelioration. If there were nothing to solve, policy responses would not be necessary.

- Parsons (1997:87) makes a related point, noting that the genesis of a policy necessarily involves the recognition of a problem.
- However, not all troubling issues in society constitute problems to be addressed via public policy-making.
- The accurate- definition of the problem is therefore of paramount importance in terms of the drafting of an appropriate policy response.
- In order to qualify as a public problem, an issue has to be
  - (1) deemed unsatisfactory by a significant group in the public domain, and
  - (2) Something that can be addressed by government action –

Problem identification is further complicated by the fact that one person's problem might not be another person's problem. Furthermore, conditions that are treated as public problems at one point in history might not be perceived as such by a government 20 years later.

- On the other hand, conditions that at one time are accepted as the normal order of things may later, because of social change, be treated as problems.
- The important point here is that public policy analysis cannot offer solutions to problems when there is no general agreement on what the problems are. But who should decide when 'sufficient consensus' has been established on the definition of a public problem?
- In addition to underlining the inherently political nature of problem identification, this question brings the issue of values to the fore.

### **What is a policy problem?**

- a policy problem can be defined as a condition or situation that produces needs or dissatisfaction among people and for which relief or redress through governmental action is sought.
- For instance, dirty air, the practice of abortion, urban congestion, food insecurity, and global warming are conditions that may become problems if they produce sufficient anxiety or dissatisfaction to cause people to seek a remedy.
- a problem is a problem only if something can be done about it.

### ***2. The Agenda-setting Process***

- Not all public problems make it onto the public policy agenda.
- Of the thousands and thousands of demands made upon government, only a small number will receive serious consideration by public policy-makers.
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- The demands that policy-makers choose to or feel compelled to act on at a given time, or at least appear to be acting on, constitute the policy agenda
- To get onto the public policy agenda, a problem must be converted into an issue that the government actually responds to
- Cobb and Elder (1983:85) qualify this further by differentiating between the systemic public agenda and the institutional, or governmental, agenda. The former refers to those issues on which there is general political consensus as to what merits public attention (e.g., high levels of property crime in Addis Ababa), while the latter denotes those issues on which the government and its institutions feel compelled to act (e.g., the approval of treaties, or government departmental budget requests).
- Clearly, the media, lobby and other interest groups, and the head of state him/herself play important roles in establishing both systemic and institutional agenda items, and expanding the issue from a rather contained nature into the ambit of the general public. In addition, individual members of parliament, agency representatives and citizens who push policy proposals also act as so-called policy entrepreneurs in the agenda-setting process. But the converse is also possible that some individuals or groups in society might work against certain issues attaining agenda status. If such a play were to work, an issue could lose its status as a problem to be addressed by government, and the issue might then actually lose its agenda status, slipping from the public policy domain

### ***3. Policy Formulation (The formulation of policy proposals)***

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- Policy formulation involves developing pertinent and acceptable proposed courses of action (often called alternatives, proposals, or options) for dealing with public problems.
- Policy-makers may be confronted with several competing proposals for dealing with a problem; or they may have to struggle with devising their own alternative.

**Policy-makers may decide not to take positive action on a problem, but instead to leave it alone, to let matters work themselves out. Or they may be unable to agree on what to do.**

- In making choice, officials would be taking into account the policy environment and the input from various policy entrepreneurs in society. The final choice of policy would take into account the constraints posed to every alternative and the government needs to decide which policy alternative would (in their opinion) have the most fortuitous outcome and outputs.
- Based on the above, the policy decision-makers will decide on their preferred policy alternative.

- The criteria applied in this last process would then be measured in terms
  1. Effectiveness (is the policy able to actually solve the problem?),
  2. Efficiency (how much effort will this require?),
  3. Adequacy (are societal needs met?),
  4. Equity (are these needs met across the board?),
  5. Responsiveness (are those most affected by the problem shielded from any negative future impacts?),
 and
  6. Appropriateness (are the assumptions underlying the policy's objectives attainable?).

#### **4. Policy Adoption**

- This is the stage during which a selected policy, once formulated, is legitimized and formalized.
- Policy adoption therefore, has direct correlates with decision-making- who decides on any specific policy alternative, what the variables are those impacts on that decision-maker, and so on.
- Clearly, public policy adoption means political support from the 'powers that be' – the government.
- The Government may adopt a policy and sell it to the public and various individual stakeholders through command, persuasion, bargaining
- Here we examine the three styles of collective decision-making: bargaining, persuasion, and command. Each entails action to reach agreement and induce others to comply.
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- Command is the ability of those in superior positions to make decisions that are binding upon those who come within their jurisdiction. They may use sanctions in the form of either rewards or penalties, although usually sanctions are thought of as penalties, or reinforce their decisions.

### **5. Policy Implementation**

- This stage of the policy-making process entails the translation of decisions into action. When the adoption of phase of the policy process has been completed and, for instance, a bill has been enacted into law by a legislature, we can begin to refer to something called public policy.
- Policy implementation (or administration), which can succinctly be defined as “what happens after a bill becomes law.”
- The uncertainty that typically prevails concerning what a policy will accomplish and the consequences that it will have for the society makes the study of policy implementation both interesting and worthwhile from a policy studies perspective. Policy implementation is neither a routine nor a highly predictable process.
- There **are two main ways of thinking** about policy implementation

#### **1. Top down approach-**

Implementation of policy describes a process of top-management driving at the attainment of predetermined goals. In this view, a policy is only successful to the extent that it reflects pre-set outcomes. That is, top-downers focus on the actions of top-level officials, the factors affecting their behavior, whether policy goals are attained.

**2. Bottom-up approach-** bottom uppers contend that this approach gives too much attention to top-level officials and either ignores or underestimates the efforts of lower-level officials to either avoid policy or divert it to their own purpose.

- The main premise of ‘bottom-up’ approach is that implementation is not so much the preserve of senior officials who know exactly what the policy objectives are; rather, the implementation stage is and should be defined as a heuristic device – appropriate and flexible policy interventions should be discovered by the actual implementers (more junior officials) as implementation happens.

- Implementation studies, they argue, should focus on lower-level officials and how they interact with their clients.
- State and local economic conditions, the attitudes of local officials, and the actions of clients are among the factors affecting implementation.

## **6. Policy Evaluation**

- final stage is policy evaluation
- More of an art than a science, policy evaluation encompasses the estimation, assessment, or appraisal of a policy, including its content, implementation, goal attainment, and other effects. Evaluation may also try to identify factors that contribute too the success or failure of a policy.
- policy evaluation is learning about the consequences (positive and negative) of public policy
- As a functional activity, policy evaluation can occur throughout the policy process, not simply after a period of policy implementation.
- Evaluation may identify problems or shortcomings that cause the policy process to recycle (problem definition, formulation, adoption, and so on) in order to continue, modify, strengthen, or terminate a policy.
- Government may evaluate its own policies by instructing officials to provide reports, do site visits, measure programme effectiveness, conduct public hearings, evaluate citizens' complaints and compare outputs with professional standards.

### **Forms of policy evaluation**

1. The first one is that legislators, administrators, judges, pressure-group officials, media commentators, and citizens have always made judgments about the worth or effects of particular policies, programs, and projects.

- Most of us are familiar with this style of policy evaluation and have perhaps enjoyed doing a bit of it ourselves. Much conflict results from this sort of evaluation, however, because different evaluators, depending upon the values or criteria they employ, may reach sharply divergent conclusions on the merits of the same policy.

2. The second form of policy evaluation centers on process, on the operation or administration of a policy or program (a program can be defined as a set of rules, routines, and resources created to implement a policy or portion thereof).

- This kind of evaluation, which may involve much monitoring of agencies and their officials, will tell us something about whether there is honesty or efficiency in the conduct of a program, but, like the first kind of evaluation, it will probably yield little or nothing in the way of hard information concerning the

societal effects (outcomes) of a program. **-Process evaluation** is often helpful to program managers wanting to improve the administration of their programs and reduce their potential for political criticism.

### 3. **Systematic and intended objective evaluation** of programs.

- This form of evaluation, which I will refer to as systematic evaluation, employs social science methodology to measure the societal effects of policies or programs and the extent to which they are achieving their goals or objectives.
- Systematic evaluation seeks information on the effects of a policy or program on the public need or problem at which it is directed. Utilizing particularly the talents of social scientists, it involves the specification of goals or objectives; the collection of information and data on program inputs, outputs, and consequences; and their rigorous analysis, preferably through the use of quantitative or statistical techniques.

### **Elements of Policy Analysis**

#### **Objectives of Social Policy Analysis**

Why Analyze Policy? /Objectives/

- ✚ To understand the origin , evolution and effectiveness of the policy
- ✚ To understand impacts on people
- ✚ To consider what exists and what alternatives there might be
- ✚ To think about other needs that might be anticipated
- ✚ To look for negative consequences of policies, even if they are useful
- ✚ To foster the development of the discipline

### **Types of Analysis**

#### **Structural**

What the policy contains – how it will work – what elements are included in THIS policy and perhaps not in others

#### **Process**

How the policy came about – what forces drove it and/or tried to stop it

**Both types are necessary for a complete analysis**

#### **Motivating Forces**

- ✚ Client concerns (but rarely)

- ✚ Media investigations and reports
- ✚ Issues raised with parliamentarians by key constituents
- ✚ Research reports and studies
- ✚ Concerns raised by service providers
- ✚ International pressures

## **General Considerations**

### **Adequacy**

How completely does this policy respond to the social need being addressed

### **Equity**

How fair this policy is:

to the target population and the general population

### **Efficiency**

Does this policy produce the best result for the expenditure

- Six categories of analysis
- Each will have specific items and evaluative criteria
- You need to keep them all in mind as a policy is being considered

## **What To Look For**

- ✚ Historical analysis
- ✚ Goals and objectives
- ✚ Forms of benefit
- ✚ Entitlement rules
- ✚ Service delivery systems
- ✚ Financing methods

## **Historical Analysis**

- ✚ What has been tried in the past
  - What worked and what failed
- ✚ What has been proposed in the past but not tried
- ✚ How can we avoid making the same mistakes as in the past

## **Goals and Objectives**

- **Goals**
  - ✚ Abstract
  - ✚ Not measurable



- **Objectives**
  - + Specific
  - + Measurable
- **Some people treat them as the same thing – they are not**
- **Manifest Goals – those which are expressly stated in the policy**
- **Latent goals – those which are not stated but can be deduced from some aspects**
  - + The political context
  - + The “tone” of the policy
  - + Its relationship to other policies
  - + The way that supporters or opponents talk

## **Evaluative Criteria**

### **Goals**

- + Stated in general terms
- + Clarity / understandable to the reader

### **Objectives**

- + Must be stated in a way that can be assessed specifically
- + Clear language that allows an analyst to determine success or failure

## **Forms of Benefits**

All policies contain some form of benefit

- + Cash
- + Expert services
- + Material goods and services
- + Protective regulation
- + Legal relief
- + Loan guarantees

## **Benefits Evaluative Criteria**

- + Target efficiency
- + Cost effectiveness
- + Cost efficiency
- + Universal vs. selective or targeted benefits

## **Entitlement Rules**

The procedures that determine who can get the benefit and who cannot

- ✚ Prior contributions
- ✚ Means testing
- ✚ Administrative rules
- ✚ Professional discretion
- ✚ Administrative discretion
- ✚ Judicial decision

### **Evaluative Criteria**

- ✚ Target efficiency / off-targeting
- ✚ Stigmatization potential
- ✚ Over-utilization
- ✚ Under-utilization
- ✚ Potential to create work disincentives
- ✚ Consumer sovereignty

### **Financing Methods**

Many but not all policies have a financing method attached or implied in the nature of the policy

- ✚ General revenue appropriations
- ✚ Voluntary contributions
- ✚ Grants and contracts
- ✚ Fees for services

### **Financing Evaluative Criteria**

- ✚ Protection against demographic change
- ✚ Protection against inflation
- ✚ Cash flow issues
- ✚ Cost benefit analysis
- ✚ Cost effectiveness analysis

### **Service Delivery Systems**

- ✚ Centralized
- ✚ Decentralized
- ✚ Contracted services
- ✚ Services designed for specific populations
  - Ethnic groups
  - Specific priorities

## Delivery Evaluative Criteria

- ✚ Accessibility
- ✚ Affordability
- ✚ Appeal rights
- ✚ Client empowerment
- ✚ Continuity of Care

## Other important points

- ✚ Strategies employed
- ✚ The Effectiveness of current policy
- ✚ other options that could be anticipated
- ✚ Positive and negative effects
- ✚ Monitoring and evaluating Criteria
- ✚ Literature that could support specific policy implementation
- ✚ General issues concerning the policy under analysis

## Social welfare

**Welfare** is a vague term, used in three main senses

### 1. Commonly refers to 'well-being'

In welfare economics, welfare is understood in terms of 'utility'; people's well-being or interests consist of the things they choose to have.

2. Refers to the range of services which are provided to protect people in a number of conditions, including childhood, sickness and old age

- In the United States, welfare refers specifically to financial assistance to poor people (e.g. Temporary Aid to Needy Families)

3. Welfare is often associated with needs, but it goes beyond what people need; to achieve well being, people must have choices, and the scope to choose personal goals and ambitions

## Arguments for welfare

The basic arguments for collective provision are

1. **Humanitarian** - concerns about poverty and need have been central to many developments

2. **Religious**.

Several of the world's major religions make **charity** as a religious duty.

- Beyond charity, Catholicism recognizes a duty of social solidarity (or mutual social responsibility);

- Judaism, Islam and Lutheran Christianity require collective responsibility for one's community

### 3. **Mutual self-interest-**

Many welfare systems have developed, not from state activity, but from a combination of mutualist activities, gradually reinforced by government

### 4. **Democratic** - Social protection has developed in tandem with democratic rights

- **Note** - welfare provision has economic and social benefits
  - Countries with more extensive systems of social protection tend to be richer and have less poverty

### **Arguments against welfare**

The main objections to the provision of welfare come from the 'radical right'. They are against welfare in principle, on the basis that

- it violates people's freedom.
- Redistribution is theft;
- taxation is forced labor.

These arguments rest on some questionable assumptions:

- People have absolute rights use property as they wish.
- People in a society are interdependent, and the production of property depends on social arrangements.
- Rights to property are conventional.
- Liability to taxation is part of the conventions.
- People do not consent to welfare provision; **redistributive arrangements** are based in **compulsion**. This is not necessarily true.
- Several countries have developed welfare systems, in whole or in part, on a voluntary, mutuality basis - Denmark, Finland and Sweden have moved to compulsion only recently.

### **Argument against**

#### **1. The rights of the individual are paramount.**

- Property rights are certainly important, but few people would argue that property rights are more important than every other moral value.
- If one person owns all the food in a region while everybody else is starving, do the others have no moral claim on it?

#### **2. The radical right also claims that the welfare state has undesirable effects in practice.**

Economically, it can be argued that economic development is more important for welfare than social provision.

### 3. **the welfare state undermines economic performance.**

In social terms, the welfare state is accused of fostering dependency and trapping people in poverty.

Evidence on the dynamics of poverty shows that

- ✓ poverty and dependency are not long-term, but affect people at different stages in the life cycle;
- ✓ the population of welfare claimants is constantly changing.

**The real disputes are not about whether welfare should exist, but about how much provision there should be, and how it should be done.**

### **Who is welfare for?**

#### **1. Residual welfare**

- ✚ Welfare provision is often seen as being for the poor.
- ✚ This was the dominant model in English speaking countries; the English Poor Law (1598-1948) was exported to many other countries.
- ✚ This has been taken as the model of a residual system of welfare, in which welfare is a safety net, confined to those who are unable to manage otherwise.

#### **2. Solidarity**

Welfare in much of Europe is based on **the principle of solidarity, or mutual responsibility.**

The responsibilities which people have to each other depend on their relationships; people in society are part of solidaristic social networks. Many of the rights which people have are relationships, not on general rights protected by the state. Those who are not part of such networks are said to be 'excluded'.

#### **3. Institutional welfare**

An institutional system is one in which need is accepted as a normal part of social life. Welfare is provided for the population as a whole, in the same way as public services like roads or schools might be. In an institutional system, welfare is not just for the poor: it is for everyone.

#### **4. Industrial achievement/ performance**

Welfare has often been seen as a 'handmaiden' to the economy. It helps employers, by preparing and servicing the capacity of the workforce, and it acts as an economic regulator, stimulating demand when production is low.

#### **5. Universality and selectivity**

Universal benefits and services are benefits available to everyone as a right, or at least to whole categories of people (like 'old people' or 'children'). Selective benefits and services are reserved for people in need. The

arguments refer to the same issues as 'institutional' and 'residual' welfare, but there is an important difference.

Institutional and residual welfare are principles: universality and selectivity are methods. A residual system might use a universal service where appropriate (e.g. a residual system of health care might be associated with universal public health); an institutional system needs some selective benefits to ensure that needs are met.

Universal services can reach everyone on the same terms. This is the argument for public services, like roads and sewers: it was extended in the 1940s to education and health services.

### **Problems with selective services**

1. Recipients have to be identified, the services can be administratively complex and expensive to run, and
2. There are often boundary problems caused by trying to include some people while excluding others.

Selective services sometimes fail to reach people in need.

### **Models of welfare**

Esping-Andersen has described three main types of welfare regime:

1. **corporatist regimes** - Work-oriented and based on individual contribution
2. **Social democratic regimes** -favor universalist values
3. **liberal regimes**-tend to be residualist.

What examples are there with regard to welfare?

- **France is solidaristic**, but its performance has still secured coverage as good as the institutional welfare states.
- **The German system is work oriented**: it excludes some people who have not contributed, and it does not extend to those on the highest incomes.
- The system in the **US** has substantial **residual elements**, and social policy is often hostile to the poor.

### **Food for thought**

- 🚩 What is welfare in Ethiopian context?
- 🚩 How does the country's policy address it?

### **Social need**

#### **Need**

- 🚩 The idea of need refers to the kinds of problem which people experience;
- 🚩 requirements for some particular kind of response; and a relationship between problems and the responses available.

✚ A need is a claim for service.

### **Bradshaw identifies four main categories of need:**

#### **1. Normative need**

Need which is identified according to a norm (or set standard); such norms are generally set by experts. Benefit levels, for example, or standards of unfitness in houses, have to be determined according to some criterion.

#### **2. Comparative need**

concerns problems which emerge by comparison with others who are not in need. One of the most common uses of this approach has been the comparison of social problems in different areas in order to determine which areas are most deprived.

#### **3. Felt need**

Need which people feel that is, need from the perspective of the people who have it.

#### **4. Expressed need**

need which they say they have. People can feel need which they do not express and they can express needs they do not feel.

### **Poverty**

There is no generally agreed definition of poverty. This is because, Piachaud argues, the definition of poverty is a moral question-it refers to hardship which is unacceptable. 'Poverty' may refer to:

- **material conditions** – needing goods and services, multiple deprivation, or a low standard of living;
- **economic position** – low income, limited resources, inequality or low social class; and
- **Social position of the poor** -through lack of entitlement, dependency or social exclusion.

Conventionally, poverty is represented in two main models.

#### **1. Absolute poverty**

Based on subsistence, a minimum standard needed to live.

✚ Seebohm Rowntree's research identified a 'poverty line' on the basis of minimum needs.

✚ The Copenhagen Declaration defines absolute poverty as "**a condition characterized by severe deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education and information. It depends not only on income but also on access to social services.**"

#### **2. Relative poverty**

based on a comparison of poor people with others in society. **Peter Townsend** defines poverty as "**the absence or inadequacy of those diets, amenities, standards, services and activities which are common**

**or customary in society.”** Poverty, like all need, is defined in terms of the society where it takes place: what people can eat, and where they can live, depend on the society they live in. That does not mean that it is based on a comparison with others in the same society; there are some countries where most people are poor.

### **Measuring poverty**

- Because there is no agreed definition of poverty, there can be no agreed measure. Even if definitions were agreed, though, poverty would be complex and difficult to quantify.
- Measures of poverty have to be 'indicators', or signposts.
- The most commonly used measure is based on income.
- The World Bank, for example, uses the arbitrary standard of \$31 dollars a month (\$1 a day); at this level there are nearly 1200 million poor people in the world. At \$2 a day, another arbitrary line, the figure approaches three billion.
- Some nations use 'budget standards', estimating the cost of a minimum basket of goods. The US defines its poverty threshold by identifying the cost of a food basket and estimating from that how much income is necessary.
- Others use relative measures. The European Union uses a comparative measure which sets a poverty line at 50% of the median income. (The median comes half-way up the income distribution).
- This means that there is more poverty where there is more inequality, or 'economic distance'.

Social science surveys have estimated the numbers of poor people in various ways. Some use budget standards; others use a 'subjective' poverty test, to see whether people identify themselves as poor. Others again have developed a 'consensual' method, where an opinion poll is used to identify what people in that society see as essential and working from there to see who can afford that standard.

### **The causes of poverty**

The problems of poverty have been explained in many ways.

**1. Pathological explanations** are those which attribute poverty to the characteristics or behavior of poor people. They include:

#### **A. individualistic explanations.**

Poor people are assumed to be inadequate, to have made bad choices, or to have chosen their lifestyle.

#### **B. familial**

Poverty is believed to run in families, with the transmission of inadequate behavior from one generation to the next. This proposition has been thoroughly researched; it is untrue.

#### **C. sub-cultural views**



The 'culture of poverty' suggests that poor people learn to be different, and 'adapt' to poverty. The evidence here is ambiguous, and much disputed.

## **2. Structural explanations**

explain poverty in terms of the society where it occurs. They include:

### **A. class-based explanations.**

Poverty is the result of some people's marginality in relation to the process of economic production, which limits their life-chances.

### **B. 'agency' views**

Poverty is attributed to the failures of public services.

### **C. inequality**

Poverty is attributed to inequalities in the structure of society, which lead to denial of opportunity and perpetuation of disadvantage. Examples are the inequalities of income, wealth, race, and gender.

## **Social exclusion**

People are excluded when they are not part of the networks which support most people in ordinary life-networks of family, friends, community and employment. Among many others, poor people, ex-prisoners, homeless people, people with AIDS, people with learning disabilities or psychiatric patients might all be said to be at risk of exclusion. This is a very broad concept: it includes not only **deprivation, but problems of social relationships**, including stigma, social isolation and failures in social protection.

## **The practice of exclusion and its context**

- 1. Financial:** exclusion is identified with poverty, and its effect on a person's ability to participate in normal activities.
- 2. Exclusion from the labour market:** exclusion is strongly identified with long-term unemployment (though there is some research evidence to question whether long-term unemployed people are really excluded).
- 3. Exclusion in its social sense:** exclusion partly with alienation from social networks, and partly with the circumstances of stigmatized groups.

## **Unemployment**

The causes of unemployment are complex

**Some kinds are long term:** technical unemployment happens when people's skills are made redundant.

**Some are medium term:** cyclical unemployment happens because there is inadequate demand to keep production going.

**Some are short term:** frictional unemployment happens because people change jobs or locations.

**Seasonal work, casual employment and sub employment** are patterns of work which lead to people being employed only for short periods at a time.

## **Old age**

There are increasing numbers of elderly people throughout the developed world. Many have no problems, but there is a risk of increasing dependency.

**The main reasons for dependency are:**

### **1. Sickness**

The health of old people is often poor, not simply because of old age, but also because diet, housing, occupation and lifestyle in previous times have not been conducive to good health.

### **2. Physical disability**

At least a third of people over 75, probably more, can be classified as 'disabled'. The single most common cause of disability seems to be arthritis; the main single reason for ill-health is probably smoking.

### **3. Mental impairment**

Dementia is believed to affect about 5% of the elderly population.

### **4. Poverty**

Poverty is, for some, the result of an extended period on low incomes; for others, simply a continuation of previous circumstances. In general, the older a person is, the more likely these problems are to occur. Other problems may include:

- ✚ isolation, as friends and families die or move away
- ✚ Bereavement(grief), when spouses die
- ✚ housing: old people often live in older housing, which may be deteriorating
- ✚ the problems of carers. Many old people are looked after by women who are themselves ageing.

## **The need of children**

Children have the same human needs as everyone else - for example, for material security, social contact, and personal development. But they also have particular needs related to their development. Mia Kellmer Pringle identifies these as needs for:

- ✚ love and security
- ✚ new experiences
- ✚ praise and recognition, and
- ✚ responsibility.

In large part, children's needs are seen as dependent on their parents. The United Nations Declaration of the Rights of the Child declares:

*'The child, for the full and harmonious development of his personality, needs love and understanding. He' shall, wherever possible, grow up in the care and under the responsibility of his parents, and in any case in an atmosphere of affection and of moral and material security. '*

**The needs of children are treated as a social issue** when families fail to meet them-either because

- ✚ the family is unable to make provision (education and child poverty) or
- ✚ the family itself is a source of problems (neglect and abuse).

### **Mental illness**

**'Mental illness'** is a broad term covering a range of conditions. The most important are

- **Functional psychoses, mainly schizophrenia and manic depression.** Schizophrenia is itself a set of conditions rather than a single illness. It is characterized by a complex of symptoms including,
  - a clouding of consciousness,
  - disconnected speech and thought,
  - variations of mood,
  - feelings that one is being externally controlled, or hallucination (which can be auditory, visual or tactile. Manic depression leads to severe and sometimes prolonged extremes of mood
- **organic psychoses**, caused by infections, drugs, metabolic disturbances, or brain traumas
- **neuroses**, including anxiety states, phobias, obsessional states, hysteria(calmness Anonym), and some depressions.
- **'behavioral' disorders**

These are not true 'illnesses'. Probably the most important is psychopathy, which is characterized mainly by a lack of social awareness, consideration, or conscience towards others. Mental illness can be seen as primarily a **medical or physiological condition**; however, because it is identified through the behaviour of the mentally ill person, it can also be seen as **social**, 'Anti-psychiatrists' have argued that conditions like schizophrenia and depression are best understood and responded to in **social terms**.

### **Learning disability**

**'Learning disability' refers to a state of delayed intellectual development.**

In the US used to be called "mental retardation and now is called 'intellectual disability'; in Australia it is 'intellectual handicap'. Although it is associated with other conditions - a high proportion of people with severe learning disabilities are also severely physically handicapped-most has no physical or organic origin. Because many people have learning disabilities from early childhood, the problems have tended to be

constructed in terms of to families. In practice, the main support for most people with learning disabilities comes, not from the state or even from voluntary organizations, but from families (and in particular women in the families). The effect of services is mainly to supplement the care given by the family.

### **Physical disability**

**Physical disability** is not one problem, but a wide range of problems of different kinds. It includes people

- ✚ who have lost limbs,
- ✚ who are blind or deaf,
- ✚ who have difficulty moving or walking,
- ✚ who are unable to sustain physical effort for any length of time, and so on.

The treatment of disability as if it was a single problem may mean that disabled people receive insufficient or inappropriate assistance. The problems that disabled people have in common are not so much their physical capacities, which are often very different, but limitations on their life style. Income tends to be low, while disabled people may have special needs to be met. Socially, disabled people may become isolated, as health declines, they struggle to manage on the resources they have, and they may be socially excluded.

### **WHO's elements of disability**

1. Problems in bodily function or structure, which they used to call 'impairment';
2. problems relating to activities, or 'disability'; and
3. problems related to social participation, which they called 'handicap'.

groups of people with disabilities have objected to the **idea of 'handicap'** and prefer to talk of a **social model of disability**, understanding disability in terms of the social norms and expectations which shape the experience of people with disabilities.

### **Welfare and Society**

- Social policy draws on sociology to explain the social context of welfare provision.
- If we are trying to improve people's welfare, it is helpful to try to understand something about
  - the way that people are, and
  - how welfare policies relate to their situation.
- Some writers have gone further, arguing that because welfare takes place in a social context, it can only be understood in that context.

### **The Social Structure**

Societies are 'structured' in the sense that people's relationships follow consistent patterns. Social policy is dominated in practice by the dominant values of society ...families, work and nation.

### ***Family***

A range of policies are built around the idea of the 'family' as a man, woman and children. Examples are child benefits, education and child care. Some countries have policies built on the idea of the man as 'breadwinner', with support based on the idea that the marriage is permanent and the woman will not work.

### ***Work***

Many systems of social protection depend on a stable work record for basic cover in unemployment, ill health and old age. Workers who misbehave- for example, by striking or being dismissed - may be penalized.




### ***Nation***

Most systems discriminate against non-citizens, and many have residence rules for particular benefits or services. Immigrants are likely to have different, and often second-class, services.

### **Nation**

#### **Nations and welfare**

Nations are seen at times as

-  groups linked by a shared history or culture;
-  collective group of people in a specific geographical location, with a common identity; or as
-  political communities.

Historically, social welfare became important shortly after the rise of "nation states", and in some views the ideas are closely associated. David Miller, argues that the nation is the principal community on which welfare provision depends. National identity is as often used, however, to exclude people from welfare as to promote inclusion, and the influence of nationalism on welfare has tended to be negative.

### **Social stratification**

#### **Class**

**Class** is an ambiguous term, used in three main senses.

##### ***1. Economic position.***

Max Weber defined class in terms of relative economic position. There are obviously economic differences between people depending on how much money they have, but there are also many other economic groups - it is possible to distinguish people, for example, according to employment status, or the kind of income they have (such as fees, salaries, and social benefits).

##### ***2. Productive relations.***

Marxists understand class in terms of the economy. The main distinction in Marxism falls between **those who own the means of production** and **those who sell their labour**, but if the basic criterion is accepted

there must be other classes: the petit bourgeoisie, who own small shops and firms, or the underclass (Marx's 'lumpenproletariat') who are marginal to the labour market.

### **3. Occupational status**

Classifying people by occupational status has proved very useful in sociological analyses of other issues, including educational disadvantage and health inequalities.

## **Social divisions**

### **Gender and social policy**

Social roles, or expectations, determine the range of opportunities for women and men. Understanding gender divisions is important for social policy, partly because

- ✚ issues affecting women are part of the agenda which social policy must tackle,
- ✚ many of the concerns of social welfare - like poverty, health and old age-are related to gender.

Feminist critiques of welfare have argued that **social policy is strongly 'gendered'**. Jane Lewis has suggested that, although the dominant models of welfare all assume that women are dependent on a male breadwinner, there are important variations: a strong '**male breadwinner' model** supposes that women's incomes are secondary to men's.

This is the model in the UK and Ireland. a modified model gives women a special status in relation to motherhood. This is the model in France

### **Feminist perspectives on social policy**

There are three main classes of feminist theory:

- ✚ liberal,
- ✚ Marxist and
- ✚ Radical.

They share a common concern with gender as a focal issue in social policy.

#### **1. Liberal feminism**

Emphasizes the rights of women as individuals. argues against discrimination & stereotyping, and for equality of respect and opportunity. they suggest that women should benefit from the same as men.

#### **2. Marxist feminism**

Views the oppression of women as the result of the economic structure of society. Domestic relationships are seen in class and the relationship of the household to the means of production.

#### **3. Radical feminism**




Argues that society is dominated by patriarchy, a structure of power in which men dominate women. Patriarchy is "sexual politics where by men establish their power and maintain control". This analysis is combined with the moral position that women should be able to live and act autonomously.

### **Social problems**




Social policies can be seen as collective responses to social problems. A problem is social when it is socially recognized: important issues like grief and emotional distress are not necessarily 'Social', and there may be no social policies to deal with them.

### **Values in Social Policy**

This section reviews some of the principles and values which are applied to social policy.

-  **Individual and social well-being**
-  **Solidarity**
-  **Rights**
-  **Justice**
-  **Freedom**
-  **Democracy**
-  **The state**

### **Individual and Social well-being**

- **Well being** is a multi-faceted concept: it might refer to
  -  **needs** - the things which people must have
  -  **interests** - things which are good for people, or
  -  **Wants** - the things which people choose for themselves.

Despite the ambiguity; some generalization are possible: in each sense, Poverty can be identified with a lack of well-being. Individualists (and economists) define well-being as a property of 'individuals'. Social well-being is the interests of people in groups, which is not always the same as the people within it; there are often conflicts between the interests of individuals, families and communities.

Individual and social welfare coincide because people are interdependent, social creatures, and people rely on social mechanisms (like social interaction, exchange, the division of labour, and education) for their personal development and well-being.

### **Solidarity**

The idea of solidarity is referred to in Catholic social teaching as *"a firm and persevering determination to commit oneself to the common good, that is the good of all and of each individual, because we are all really responsible for each other."*

The basis of solidarity is **mutual obligation**. This is mainly expressed through **reciprocity, or exchange**. "Balanced reciprocity" occurs where people make a direct return for the things they receive. People give because they have received something in the past, or because some future reciprocity is possible.

For example,

- ✚ parents give to children because their own parents gave to them;
- ✚ people support pensioners in the expectation that future generations will support them when they are pensioners.
- ✚ **Generalized reciprocity** is the norm within families, but it also occurs in mutual insurance.

Solidarity can be difficult to distinguish from 'altruism', but there is no reason to suppose that the motivation is unselfish. The central problem of solidarity is that it is often exclusive - confined to a special group.

## **Rights**

**Rights** are rules: they can protect liberties or impose duties on other people. **Moral rights** are rights which are backed by a moral claim; legal **rights** are rights which are backed by a legal sanction. Rights to welfare can be general (applying to everyone) or particular (applying only to specific people).

**Citizenship** is the right to have rights.

T H Marshall called citizenship as 'a status bestowed on those who are full members of a community.'

This idea, like solidarity, can be exclusive; it can be used to deny people rights, as well as to include them.

## **Justice**

There are two main approaches to justice.

- **The platonic idea** sees justice as what is good, right or desirable.
  - ✚ John Rawls, for example, asserts that freedom is part of justice. if justice is about what makes for a good life, then freedom might be part of justice.
- **The Aristotelian view** sees justice as a principle of proportionate action.
  - ✚ Social justice is basically a distributive principle: it concerns the proportions in which people should contribute to and receive things from society. Corrective justice means that the punishment should fit the crime; distributive justice means that people should have fair shares.

Justice begins with a **presumption of equality**; people should not be treated differently without a reason. The criteria which have been proposed as the basis for distribution are complex: They have included

- ✚ need,



- ✚ desert,
- ✚ contribution to society,
- ✚ Hereditary status and many others.

## Freedom

Freedom has three elements. A person must be free from restraint, to do something. Freedom is, then:

- ✚ Psychological - people must be able to make a choice
- ✚ Negative - people must not be prevented, and
- ✚ Positive - people must be able to act.

**Individualists** argue for a model of freedom where people's freedom depends on their independence. Social welfare and state intervention are seen as undermining independence, and so freedom. **A social model of freedom** begins from the view that freedom depends on interdependence. To be able to act, people have to have the power to choose in society. In this model, poverty negates freedom. Social welfare empowers people and enhances their freedom.

## Democracy

**Democracy** can refer to

### ➤ a system of government.

'Representative' democracy is a system of elected government. Democracy consists mainly of a competitive struggle for the popular vote, which makes governments responsive and accountable

### ➤ a system of decision-making.

'Participative' or 'direct' democracy gives decisions to the people who are affected by them.

### ➤ a society where people have rights.

'Liberal democracy' accepts majority voting only because a majority is made by the agreement of a collection of minorities. Welfare provision has grown hand in hand with democracy.

## The state

**The state** is a general term for the institutions, agencies and procedures related to government. The idea of the 'welfare state' suggests that social policy is mainly a governmental responsibility, though in practice many of the functions of welfare states are undertaken by agencies beyond the government. If governments are concerned about the welfare of their citizens (some are not), they will have some responsibility for social protection.

## The Politics of Welfare

### The Politics of Welfare

#### ➤ Government

➤ **Ideology and social welfare** Marxism Socialism Social democracy Conservatism and Christian Democrat Liberal individualism Fascism

➤ **The economics of the welfare state** The welfare state and economic performance the "crisis" of welfare

## **Government**

### **Definitions**

Edmund Burk wrote that *"government is a contrivance of human wisdom to provide for human wants"*.

**“the group of people who are responsible for controlling a country or a state**

**a particular system or method of controlling a country”( oxford dictionary)**

## **Governments have a wide range of possible actions**

### **1. Governments establish rules.**

Governments set the rules by which they and other organizations (like companies or charities) operate.

### **2. Governments coerce.**

Governments can prohibit action (such as child abuse). or require some forms of action (such as sending children to school

### **3. Governments provide or purchase services.**

Provision means that states provide services themselves. Public housing, national health services or state education are examples. Purchasing services implies that the state accepts responsibility for ensuring provision, but that the service can be obtained from another agency.

### **4. Governments subsidise.**

Subsidy consists of a financial inducement to act in a particular way, which may be a reward for doing things (e.g. increasing employment), a form of compensation, or an incentive to do things. Tax can be used in the opposite direction, as a negative subsidy e.g. to deter people from smoking.

### **5. Governments persuade.**

Examples are propaganda, exhortation and directed education.

### **6. Governments plan.**

Governments 'steer' ( guide) a society by watching and adjusting policy.

### **7. Governments produce.**

Like independent organizations, governments may offer services to customers- e.g. insurance, banking or commercial production. There is no rule which says that government activity has to be tax-based or financed.

## **Ideology and social welfare**

Political views on welfare are often divided into 'left' and 'right' wing views. **The left wing** is: For welfare For public provision Collectivist for institutional welfare. **right wing** is: against welfare against public individualist for residual provision welfare. The positions people hold are not, however, **straightforward**. There is an individualistic left wing, and a collectivist right wing. Left-wingers favour social security (which enable people to buy food in the private market) rather than soup kitchens (which can be publicly provided). Many right-wingers accept the principle of institutional welfare, and many left wingers are uncomfortable about institutional measures, like earnings-related pensions or student grants, which favour richer people over poorer ones.

### **What are the main political positions?**

From the perspective of welfare, the main political positions are:

1. Marxism
2. Conservatism
3. Liberal individualism
4. Socialism
5. Social democracy
6. Fascism

### **Marxism**

Marxists see society in terms of a conflict between economic classes. A dominant class (the bourgeoisie or 'capitalist' class) owns and controls the means of production; an industrial working class, the 'proletariat', is exploited by them. The Marxist analysis of welfare concentrates principally on its relationship to the exercise of power. The state can be seen either as an instrument of the ruling capitalist class, or as a complex set of systems which reflects the contradictions of the society. it is often argued that welfare has been developed through the strength of working-class resistance to exploitation. Marxism is not a single doctrine; it has come to stand for a wide range of opinions within an analytical framework that is critical of 'capitalist' society.

**Neo-Marxists** argue that the state has two main functions.

1. To improve the conditions for the accumulation of capital-that is, the chance for industries to make profits.
2. to legitimate the capitalist system, by introducing measures (like welfare policies, pensions and health services) which lead people to accept the system as it stands.

The requirements of accumulation and legitimation may be contradictory, and the costs of legitimation have led to a 'legitimation crisis'.

The basic objections to Marxist analyses are that *the description of 'capitalism' is false, that power in society is divided, and not based in ownership*; and that states which promote the welfare of their citizens are not pretending to be more legitimate-they are more legitimate.

## Socialism

Socialism is misrepresented in many popular texts. (Both the Encyclopedia Britannica and Wikipedia get it badly wrong.)

*- A set of political economic theories based on the belief that everyone has an equal right to share of the countries wealth's and that the government should own the main industries ( oxford dictionary)*

Marxists want to claim that socialism is just another name for Marxism; right-wing critics want it to stand for the state running everything. There is not one common thread, but many competing understandings.

The main models, which can be found in many permutations, include representations of socialism as

- ✚ a general movement for the improvement of society by collective action
- ✚ a set of methods and approaches linked with collective action, such as cooperatives, mutual aid, planning and social welfare services (e.g. the co-operative movement);
- ✚ a set of arguments for social and economic organization based on ownership and control by the community (e.g. in communism and anarchism)
- ✚ an ideal model of society based on cooperation and equality (e.g. Ownism);
- ✚ a critique of industrial society, opposing selfish individualism (e.g. Christian socialism); and a range of values, rather than a particular view of how society works.

### The key socialist values are

- ✚ **collectivism,**
- ✚ **empowerment and**
- ✚ **Egalitarianism-the 'liberty, equality, and fraternity' of the French revolution, interpreted in collective and social terms. Some socialists** would add to that issue of rights and democracy.

### ➤ **Socialism is collectivist:**

People have to be understood in social context, rather than as individuals. socialism is often represented in Europe in terms of 'solidarity', which means not just only standing shoulder-to-shoulder but the creation of systems of mutual aid. Socialism calls for people to be enabled to do things through collective action, a principle variously referred to as 'freedom' and (in recent years) as '**empowerment**'. This principle has been central to 'guild socialism' and trades unionism.

**Socialism is egalitarian**, in the sense that socialists are committed to the reduction or removal of disadvantages which arise in society.

Historically, socialism is strongly associated with working-class movements, and in much of Europe 'socialist' issues are closely linked with labour relations. It is not equivalent to Marxism: the Marxist analysis of society is irrelevant to much of the mainstream of European socialism, which grew from a range of religious, occupational and communal groups.

### **Social democracy**

#### **Differences b/n social democrat and socialists**

The differences are hazy; because their ideals may coincide in some aspects and not in others, but two are particularly important.

**First**, many social democrats are individualists rather than collectivists; even if they accept arguments for mutual aid or the reduction of disadvantage, they think it important to stress the liberty of the individual, to develop individual rights (as liberals do), and often to restrict the role of the state.

**Second**, some social democrats are not concerned to remove inequality, but only to mitigate its effects through social arrangements which protect people from the worst consequences of a market society.

### **Conservatism**

Conservatives believe in the importance of **social order**. This is reflected in a respect for tradition, an emphasis on the importance of religion, and a stress on the importance of inequality as the basis for structured social relationships.

**Welfare is a secondary issue**, but the kinds of concerns which conservatives have are likely to impose restraints on welfare, with a particular emphasis on traditional values in work, the family, and nationhood.

Christian democratic thought is closely related to conservatism, but it also has important distinguishing features. Like conservatives, Christian Democrats place a strong emphasis on order; but order is to be achieved, not primarily through state action, but by moral restraints.

### **Liberal individualism**

- Liberalism begins from the premise that everyone is an individual, and that individuals have rights.
- As a political position, liberalism has been important as a means of defending people from abuse by authority.
- Although liberalism was initially a radical doctrine, it has also been used since the 19th century to stand for a deference/respect of propertied interests

The central value of liberalism is **freedom**. All freedoms are not equally important; the main liberal values are concerned with certain particularly important freedoms, such as **freedom of assembly, of speech, and of worship**.

Liberals mistrust the state and argue that society is likely to regulate itself if state interference is removed. **Hayek argues that all state activity, whatever its intentions, is liable to undermine the freedom of the individual;**

### **Fascism**

Fascism is often represented in the academic literature as **a pseudo-ideology**, lacking any coherence or system of thought. Fascist ideology is based in an **authoritarian collectivism**. *The individual is meaningless; the collectivity (the state, the nation or the race) is paramount*

Fascism has been characterized by a strong social agenda; in Nazi Germany, the desire to foster racial supremacy included **extensive state intervention in society and the economy, with a stress on socialization (both through schooling and youth movements) and eugenic policies**.

### **The economics of the welfare state**

Social policy is to a large extent dominated by **economic policy**, because economic policy determines the amount that government is prepared to spend. There are two main views of public spending: **monetarist** and **Keynesian**.

**Monetarism** is based on a view of the economy as self-stabilizing. In times of stringency, it is necessary to reduce spending, on the basis that increased saving will lead to growth later. If the government does not balance its budget, there will be inflation (money will be worth less) and there will be fewer resources available to the private sector for the economy to expand productively.

**Keynesiansm** sees government intervention in the economy as necessary for the stability of the economy.

- ✚ **Public spending is an Important regulator** which can be used to **stimulate the economy** at a time of a slump or to damp down growth if it happens too quickly.

- ✚ Unemployment is unnecessarily wasteful.

- ✚ In the long run, Keynes argued, the economy may correct itself; but in the long run, 'we are all dead'.

In recent years both views have been supplanted by **a new financial orthodoxy**, which combines government regulation with market-based provision, "targeted" expenditure and balanced budgets.

### **The welfare state and economic performance**

There are competing views of the impact of social welfare on the economy.

- ✚ **'handmaiden' model**, sees welfare as an essential complement to industrial development:

✚ Social policy helps the economy to grow by serving the workforce, providing services to industry and offering a secure basis for development.

✚ This has been the dominant model in Germany

**Keynesian economics** sees spending on welfare as a useful economic regulator, helping to balance the economy in periods of recession. On the other hand, both **neo-liberals and Marxists** have represented the welfare state as a major burden on economic performance. Public expenditure is seen as a fetter on economic growth. There is no consistent evidence to support either view.

The relationship of the economy and public spending is complex. Atkinson has brought together evidence from a wide range of opposing studies. Although developed countries generally spend more on welfare than less developed countries, developed countries with higher welfare spending do not generally do better or worse than developed countries which have less.

### **The 'crisis' of welfare**

The term "crisis" is used fairly indiscriminately by critics of the **right and left**. From the perspective of the right, welfare is undesirable and economically damaging. To Marxists, welfare is often represented as unsustainable.

**Neither position is supported consistently by the evidence, but as both positions are held on faith they have been impossible to dislodge.**

**Pierson points to three main uses of the idea of a "crisis". They are:**

#### **1. Crisis as a turning point.**

A crisis is a period when long standing problems become particularly severe.

#### **2. Crisis as an external shock.**

Examples include war, problems in the international economy or the "oil crisis" of the 1970s.

#### **3. Crisis as a long standing contradiction.**

Marxists believe that welfare and capitalism are incompatible, and have been claiming that crises spell doom for a hundred and fifty years. If we take "crisis" in its normal, everyday sense, as a sudden, serious problem, there is no current crisis of welfare.

### **Social Administration**

#### **Social Administration**

**The provision of welfare** Public sector private sector voluntary sector mutual aid informal sector. **The Public services** the structure of social services Social service management Planning Finance Evaluate policy **.Service delivery** Targeting Rationing Discretion Empowering users

**Social Policy** is an applied subject; it was developed to meet the needs of people who would be working in the public services. **Social administration** is the area of the field concerned with the practicalities of service organization and delivery. In the US, it is dealt with as 'public policy' or 'policy analysis'.

### **The Provision of welfare**

There are five main sectors:

- ✚ public sector (provision by the state),
- ✚ Private (provision for profit by commercial organizations or individuals),
- ✚ Voluntary (provision on a non-profit basis),
- ✚ mutual aid (provision by solidarity) and
- ✚ informal (provision by friends, neighbours and families).

For some, the idea of the '**welfare state**' means the same as '**state welfare**', and opposition is seen as a commitment to the 'private market'. This is a false choice. The state is not the only provider of welfare in any country, and the 'private market' does not consist of activity for profit, but a wide range of different motivations. There is a 'mixed economy of welfare'. The state does not operate in isolation; rather, it acts in conjunction with a number of non-statutory organizations. The state is actively involved in regulation, finance or subsidy, and direct provision.

### **The public sector**

There are four main arguments for public sector provision

#### **1. Universal standards**

The state is uniquely able to impose a general regime, and so can ensure uniform or minimum standards. **2.**

#### **Social control**

Control is used where people need protection (e.g. child abuse), as punishment (like prisoners), and where control increases freedom (like compulsory education).

#### **3. Economic benefit**

The state may be able to perform the action more cost-effectively than is the case elsewhere. National health systems have proved to be cheaper than many liberal systems.

#### **4. Residual provision**

The state may act as a safety net where other sectors do not provide.

### **The Private sector**

Economic liberals argue that the **private market** is the best method of arranging the distribution of resources. **Arthur Seldon** argues that the price mechanism leads to

- ✚ choice for the consumer



- ✚ a service led by the consumer rather than by the professions
- ✚ more efficient services at lower costs (because this increases profitability)
- ✚ responsiveness to need (because their payment depends on it)
- ✚ education of people as to the implications of their choices

*If poor people cannot afford services, we can give them the money to decide for themselves-as we do with food and clothing; there does not have to be a publicly provided service.*

**The main arguments against this position are:**

- **Market failure.**

Markets do not work if people do not have choice (e.g. in health care), where there are monopolies, and if people do not bear the costs of their actions themselves.

- **Exclusion.**

Markets exclude 'bad risks' and people with extreme needs.

- **Social preference.**

Markets respond to individual preferences; social needs may be different.

## **Mutual aid**

**Can it really stand pretty much by itself as a sector?**

Mutual aid is sometimes represented as private, and sometimes as voluntary. There is a good case to consider this category as a sector in itself, because the organization and behaviour of solidaristic groups is quite different from that of other non-profit organizations. Historically, mutual aid was one of the main foundations of welfare organizations, through trades unions, professional associations and friendly societies; in many countries, solidaristic services of this kind have continued to be one of the main focuses through which welfare is provided.

**Central principle of mutual aid** has been voluntary collective effort, which is both self-interested and supportive of others. People who enter such arrangements make some kind of contribution - such as **paying a subscription, offering labour, or participating in management - and receive support on a mutual basis**. The most common model is probably a system of voluntary insurance, usually for income maintenance or health care, which offers social protection in return for a basic contribution.

Example in Ethiopia context?

But there are many other examples, including co-operatives, self-help groups, and the trades unions themselves. The scope of mutual aid is considerable, but solidarity cannot be comprehensive: some people have a limited ability to contribute, and others are likely to be excluded by the conditions of membership.

## **The voluntary sector**

The voluntary sector is extremely diverse, ranging from small local societies to large, very 'professional' agencies. Jones, Brown and Bradshaw classify the different types of volunteering as follows:

- ✚ direct service giving
- ✚ running voluntary organizations
- ✚ participation or self-help groups
- ✚ fundraising
- ✚ public service (many elected officials are unpaid volunteers)
- ✚ pressure group activity.

The role of the voluntary sector is often supplementary to statutory services, but it can also be seen as complementary through:

- ✚ the initiation of new approaches and techniques
- ✚ the development of specialist expertise
- ✚ the establishment of partnerships' with statutory services -like the provision of meals on wheels
- ✚ provision to groups which statutory services do not reach, like drug addicts

### **The informal sector**

The 'informal sector' consists of communities, friends, neighbours and kin. The emphasis on informal care has grown for three reasons:

#### **1. Ideology**

Conservatives have emphasized the pluralistic nature of welfare, and an 'organic view' of society as a series of interconnecting relationships, and the role of family and duty.

#### **2. The emphasis on community care.**

The discharge of people from institutions, and maintenance of individuals at home, has led to a greater emphasis on the role of carers. Ex HIV/AIDs

#### **3. Comprehensive planning.**

Most care is provided by informal carers, not the state; the role of the state is supplementary to the care given by others. Planning has to take this into account.

This approach has led to a range of criticisms.

1. Feminist writers have criticized the burden imposed on women. Most care of this type occurs within families, and in practice the burden falls substantially on women within families.
2. The economic costs to carers are underestimated because they are not charged.

## **Social Security**

**Social security** is sometimes used to refer specifically to social insurance, but more generally it is a term used for personal financial assistance, in whatever form it may take “income maintenance”.

**why financial assistance are given?**

**1. The relief of poverty.**

**2. Social protection.**

The idea of 'social security' implies that people ought to be able to feel secure. This involves, not only being protected against poverty, but being protected against the hardships that may arise through a change in circumstances. If people become sick, or unemployed, they should not, have to lose their possessions or deprive themselves as a result. This is why people on benefit should be expected to have cares .

**3. Redistribution.**

Benefits which go to people who have inadequate incomes, at the people who are more, are progressive.

Support for children, by contrast, is mainly a form of **horizontal redistribution**, going from people without children to people with children.

**4. Solidarity.**

Social security is seen not simply as charity, but as a form of mutual co-operation. it is a principle which can be extended to the rest of the welfare state.

## **Social security benefits**

**Types of social security benefit.**

**1. Social insurance.**

These are benefits paid for by contributions.

**2. Means-tested benefits.**

These are for people on low incomes.

**3. Non-contributory benefits.**

There is no test of contribution or of means, but there may be a test of need.

Benefits for people with disabilities are sometimes organized on this basis.

**4. Universal benefits.**

These benefits are based on broad categories of people with no tests of means or needs.

Family allowances and some old age pensions may be examples.

**5. Discretionary benefits.**

Discretion is widely used in the provision of social assistance, the provision of benefits for those in need who are not covered otherwise .

## Social insurance

The principle behind social insurance is that people earn benefits by contributions, paid while they are at work.

### Advantages of an insurance scheme

- ✚ People should feel they are entitled to benefits.
- ✚ Contributions are way of raising money for benefits.
- ✚ Because people have paid for their benefits, it is supposed to be difficult to abolish the benefits.

### Disadvantages

- **People must work to qualify.**

This leaves out large numbers of people-

- unemployed school leavers,
  - women who have been looking after children,
  - chronically sick and disabled people.
- The insurance system may also distinguish the 'deserving' and the 'undeserving' poor.
  - if contributions are set too high people cannot pay them. This may mean benefits are set too low.
  - Poor people are less able to afford contributions.

### Means tested benefits

**Means tested benefits** are based mainly on a **test of income**, though some also include **tests of assets** or **capital**. They are extensively criticized in the literature, being seen as the basis of a residual system of welfare.

### Advantages of means tests

- ✚ they concentrate resources on those most in need
- ✚ they are progressive, and redistribute, resources vertically from rich to poor.

### Disadvantages

- ✚ they are complex and difficult to administer
- ✚ they often fail to reach those in need.

The reasons commonly given for low take up are,

- ignorance
- complexity,
- the effect of changing circumstances,

- fear,
  - stigma, and
  - the history of means-testing.
- ✚ they create a 'poverty trap', creating disincentives to work, People who have an increase in earnings suffer from the withdrawal of benefits as their earnings increase.

### **Non-contributory benefits**

- ✚ This is a broad term which can be used for any non-insurance benefit, but which tends to be used for specifically for non-means tested benefits.
- ✚ Non-contributory benefits based on a test of need are used, for example, for people with physical disabilities, as a form of compensation for severe disability or as a means of meeting special needs (such as a need for social care)

The existence of a test means that the benefits are often administratively complex - in the case of disability benefits, they often require medical examination. Although they avoid a 'poverty trap' in the strict sense there are continuing problems of policing the borderlines and the potential to penalize people whose circumstances improve.

### **Discretionary benefits**

Discretionary benefits are given at the discretion of officials. Because some needs are unpredictable, many social assistance schemes have some kind of discretionary element to deal with urgent or exceptional needs; where social assistance is tied to social work; discretionary payments may also be used as a means of encouraging and directing appropriate patterns of behavior. Some provision for discretionary benefits is generally seen as a necessity, because it is impossible to provide for every need in advance. However, in circumstances where other benefits are inadequate to meet basic needs, discretionary benefits are liable to be called on more frequently than is appropriate administratively.

The element of 'discretion' in discretionary benefits varies. **In some cases, the 'discretion' is the discretion of an agency; in others, it is the discretion of an individual officer.**

### **Why discretionary benefits?**

The basic rationale for discretionary benefits is **the need for flexibility**, and 'discretion' which is reserved to a large national agency does not always achieve that.

### **Universal benefits**

**Universal benefits, or 'demogrants'**, are benefits given to whole categories of a population, like children or old people, without other tests. The benefits are administratively simple, but their wide coverage tends to

make them expensive. Proponents of universal benefits have argued for a different type of social security system, a Citizens Income, which would be tax-financed and unconditional.

Its **proponents** argue that it would be simpler, fairer, and would protect those in need more effectively than current systems. **Opponents** argue that it would be expensive, would undermine incentives to work, and that its apparent simplicity would prove illusory when special circumstances arose.

### **Employment services**

The main response to unemployment is through economic policy, which addresses the issues by considering the workings of the economy as a whole. General measures to manage the economy have to be distinguished from 'targeted' employment measures. Like employment subsidies and wage supplements, intended specifically to affect the labour market. Targeted measures are liable to be inefficient, because they help people who may not have stayed unemployed anyway, or they displace problems to other groups.

**There are two main approaches in Europe.**

**1. Activation** (an idea from Denmark) seeks to promote active participation in the labour market through motivation and the development of skills.

**2. Insertion, or social inclusion** (from France) is based on a contract between the individual and society.

The '**contract of insertion**' made between individuals and the local Commission to develop opportunities.

### **Social policy and the Ethiopian Context**

#### **Social Policies**

Policies are usually made at macro level. To this effect, the Government of Ethiopia has formulated different economic and social policies

- Education and Training Policy; Health Policy;
- Youth Policy; Women's Policy;
- Population Policy; Social Welfare Development Policy;
- Cultural Policy; Sport Policy, etc.

#### **Poverty reduction Strategy Papers (PRSPs)**

##### **The country's national development plan**

- Poverty Reduction Strategy Papers (PRSPs) were undertaken in 1999 and aim
  - 🇪🇹 to describe a country's macroeconomic, structural and social policies and
  - 🇪🇹 to promote growth and reduce poverty.
- PRSPs tend to span over a 5 year period and are often linked to countries' longer term development visions.
- Ethiopia has its own national plan, which mainly focuses on poverty eradication.

- Although the PRSP process started in 2000 as a process largely between government and the donors, it has now evolved beyond that, and the PASDEP (a plan for accelerated and sustained development to end poverty) is national plan for guiding all development activities.
- The current Ethiopian Government ruled by the EPRDF has had a PRSP/ MDG based National Development Plans since 2001. Before that the GoE had different strategy/program documents to manage and guide the recovery and transformation of the economy.
- In 2001 the GoE had the Interim PRSP which was approved by the IMF and the World Bank and hence paved the ground for the emergence of the first PRSP.
- The first PRSP under the current Government was from 2002/03-2004/05 (Sustainable Development and Poverty Reduction Program- **SDPRP**);
- The Second PRSP from 2005/06-2009/10 which is called **Plan for Accelerated and Sustained Development to End Poverty (PASDEP-I)** and
- The current and the third one which is called **PASDEP-II Growth and Transformation Plan 2010/11-2014/15**. [Growth and transformation plan PASDEP-II.doc](#)
- The main feature that may distinguish the Ethiopian PRSPs from other African countries is the country has had PRSPs which are **an MDG based**

## **DEVELOPMENT PROGRESS IN ETHIOPIA**

- From a low base, Ethiopia's growth and expansion of basic services have been among the most impressive in Africa in recent years.
- Since 2000, Ethiopia has recorded the second fastest improvement in human development in the world.
- One of the Millennium Development Goal Summit in New York was the latest international event to showcase the significant progress that Ethiopia is making towards the MDGs.

## **History of Ethiopian national development plan**

- before the PRSPs came to exist we had our versions of the National Development Plans since the Emperor's regime during the late 1950's which plans are of a five year development.
- the Derg /Military Junta/ with the Marxist-Leninist ideology had its own successive five year development plans since the late 1970's to the early 1990's.
- It shows that the country has a long history of preparing different national development plans with different focuses or interests of intervention areas.
- For Example, the Development Plans during the Emperor regime focuses more on Industrialization and the progress that had been seen in that sector was tremendous.

- The Military Junta had its own led by the Marxist-Leninist socialist ideology
- the current one has a major focus on
  - ✚ alleviating poverty,
  - ✚ ensuring equal opportunity for citizens-men and women,
  - ✚ enhancing the social service, employment creation and building the infrastructure, etc.
- The 2nd PRSP of Ethiopia forward important strategic directions perused under the first PRSP(SDPRP-related to infrastructure, human development, rural development, food security and capacity building.
- The 2nd PRSP embodies some bold new directions such as
  - ✚ greater commercialization of agriculture,
  - ✚ private sector enhancement,
  - ✚ focusing on industry urban development and scaling up of efforts to achieve the MDGs to reduce poverty by half.
- The Ethiopian government PRSP are country driven broad based and requires all inclusive participation
- The government launches this principle as 1st and most important pillar strategy to end poverty as it states 'building all inclusive implementation capacity'.
- Accordingly, the governments effort is **becoming a middle income country by the end of 2025**;that is why Ethiopia now invests mainly on pro- poor sectors gender main streaming flourishing democracy and good governance vests decision making power to the majority

## PART II Planning

### Definition

- ✚ Planning is an organized, conscious and continual attempt to select the best available alternative courses of action to achieve specific goals.
- ✚ It is the art of getting future things done
- ✚ It is the rational application of human knowledge to the process of reaching decisions which are to serve as the bases of human action.

All definitions of Planning commonly imply that planning involves **making decisions or choices** about how best to use available resources to achieve particular aims or objectives sometime in the future.

### Planning and Policy

Planning is part of a complex process of decision making which begins with the formulation of broad policy goals and objectives and then extends through a series of stages in which these goals are translated into detailed plans for specific programs or projects which are then actually implemented. Thus, planning and



policy making are closely related and the planner should therefore have some understanding of the policy decisions which s/he is trying to implement.

One may say that policy making means making decision about the type of change or development which is required, while planning is the process of deciding how best to bring about this change or development.

In most cases the actual policy decision will be made by the politicians rather than by the planners. However this decision will be based on information and alternatives presented by planning staff. Thus, planning is viewed not as an isolated activity but as part of a complex process of decision making which involves a number of related activities including:

1. The identification of **goals or objectives** (policy)
2. The formulation of broad development **strategies** to achieve these objectives.
3. The translation of the strategies in **to specific programs and projects**.
4. The **implementation** of these programs and projects
5. **Monitoring** their implementation and **evaluating** their impact in achieving the stated goals and objectives

## **Development planning**

What it meant to you?

## **Growth Vs Development**

Development is simply defined as the process of improving the qualities of human lives. **Todaro** has indicated three important aspects of development.

1. ***Raising peoples living standard*** - increasing the incomes and consumption levels of food, medical services, education, etc, through relevant economic growth.
2. ***Creating conditions conducive for the growth of people's self esteem.***

Development should create self-esteem through different social, political and economic institutions.

Self esteem refers to human worthiness. If there is no respect for humanity, economic growth could not be considered as development.

E.g. 1. During Apartheid the economy of South Africa was on the rise, but that alone could not be considered as development.

2. Until recently women had no right to elect and to be elected, while the economy of Kuwait is better off. Thus, we cannot say that Kuwait is a developed country.

3. **Increasing people's freedom to choose by enlarging options to choose or increasing varieties of consumer goods and services.**

There have been changes in the scope or content of development planning which can be attributed to changes in the concept of development itself. Immediately after WWII, development was primarily seen in economic terms, and the achievement of economic growth was the main focus of development planning. However, since 1970s, development is seen in much broader terms involving a complex of social, political and environmental as well as economic factors. As a result, development planning has become a much more complex process with a wide range of goals and objectives. This led to the rise of social planning as part of the practice of development planning.

### **The Spread of Development Planning**

Prior to WWII, Soviet Union was the only country engaged in systematic development planning introduced in 1929 for the first time. Influenced by the Soviet Union, India introduced a ten years Development Plan in 1933, which was intended to double the national economy in ten years. After WWII, the European Recovery plan (Marshal Plan) was introduced in 1948 to facilitate the recovery of European countries from the effects of the war.

The World Bank was created to assist this task of recovery. Countries participating in marshal plan were expected to draw a comprehensive four years plan. USA actively supported the formulation of plans and provided financial and technological assistance to war torn countries. Marshal plan was meant for western European countries.

### **Eastern European countries were under the influence of USSR.**

The planning techniques of USSR were adapted to eastern European countries. In Asia, the Philippines prepared five year plans to recover from the effects of the war. In India, planning commission was established in 1950. Similar developments have taken place in south East Asia such as Pakistan, Singapore, and other countries. China adopted the Soviet model of 5 year planning. The World Bank has been an important agency in initiating organized planning since 1960s. Other aid donors had been promoting planning in developing countries. Countries like China, Afghanistan, Pakistan, and Korea made plans to fulfill the requirements of donors. **In order to get loans or grants, poor countries had to prepare development plans.**

### **The planning process**

There are different approaches and procedures of development planning, but the common elements in the planning process include the following.

1. **Attempting to define policy objectives:** This has to be seen from the political view of the government (ideology). Policy determines planning and the reverse is not true.
2. **Stating out the strategy** by means of which it is intended to achieve the objective.

Planners has to set out strategies to achieve the over all objectives or goals. When one sets strategies s/he has to know the **objectives and available resources**.

3. **Attempting to present principles and policies:** The planner attempts to present centrally coordinated sets of principles and policies.

- ✚ All governmental policies should be centrally coordinated (education, health, economic, Agricultural policies etc.)

- ✚ Policies of various ministries and branches should be integrated or should be consistent.

- ✚ If the economic policy requires more educated human labor, the education policy should be in a manner to be able to produce the required quality of labor.

4. **Comprehension of the whole economy:** Understanding and analyzing the dynamics of the macro economic situation of the country.

5. **Use of micro economic model:** Understanding the details of the economy in terms of micro economic analysis, i.e., at the household and firm level.

6. **Covering a certain period:** Development plans typically cover a certain period of time that can be long term, medium or short term.

### **Types of Development Planning**

➤ Development planning takes many forms, i.e. it is not the same for all countries nor to a country for all times.

➤ A country may have different development plans at different times.

➤ The nature of a country's development planning is influenced by many elements. Such as

- ✚ the availability of resources,

- ✚ skilled man power,

- ✚ level of technical, administrative and managerial competence and

- ✚ level of development.

### **Types or approaches to planning:**

1. Centralized planning

2. Decentralized planning

3. Mixed Economy planning

#### **1. Centralized planning**

- ✚ is practiced in command Economies.

- ✚ The state controls through directives and regulations the following things:

- Level of savings

- Amount and composition of output and investment
- The structure of prices.

### **What are the practices of Central planning authorities?**

- ✚ issue detailed directives and instructions to enterprises.
- ✚ specify what and how much they have to produce.
- ✚ The raw materials and supplies are regulated by price settings.
- ✚ The amount of labor required, how costs are to be determined, what prices to be charged for products, and where it is to be delivered, what investments are to be made, etc are determined at the center.

**Such type of planning is said to be appropriate at the early stage of development.**

### **Advantages of centralized planning**

- ✚ It can conserve scarce resources or ensure the efficient allocation of scarce resources for development and
- ✚ help transform the social and economic structure.

Some people argue that central planning is necessary at early stage of development for the following **two reasons**.

1. The need to mobilize resources to industrialization.
2. To respond to the grave shortage of managerial personnel in development.

If developing countries are interested in promotion of industries, they need experienced and qualified managerial personnel. Since there is lack of such personnel in Third world countries, development activities should be directed from the center where experienced personnel are found. In developing countries economies are simple and planners find it easy to direct the whole economy. So in simple economies and at the early stage of development, central planning is very important.

So where is the problem?

- when the economy becomes complex, i.e., when industries and services sectors are enormous.
- At this stage planners would find it difficult to take account of frequent changes of the economy, and to predict the performance of the economy.

### **Disadvantages**

1. Scarcity of important commodities is observed in centrally planned economies.

Thus, central controlling of every aspect of enterprise operations **stifle initiative, creativity and reduce quality of products**.

2. The allocation of resources to different sectors of industries will be distorted; consumption and capital investment targets will not be balanced.

So, central planning has failed in many instances and countries abandon the exercise of central planning. For instance countries like Yugoslavia, Poland, USSR, Czechoslovakia had abandoned their plans (5 yr or 6 yrs plans)

Gradually Eastern European countries realized the problems of central planning. Socialist leaders admitted the failure of central planning and start to take measures to decentralize their economies. Yugoslavia was the first to take the initiative of decentralization followed by other Eastern European countries, USSR and china.

## 2. Decentralized Planning

It is practiced in countries with market economies such as USA, Japan, UK etc. In these countries planning plays vital roles in the economy, although it is done relatively **indirectly**. Governments make conscious efforts to attain rapid economic growth, high employment and stable prices through various **fiscal and monetary policies**.

Governments have realized that they should not leave the economy to market forces, The market does not govern the economy completely. Governments have to play roles to create conducive conditions that would prevent economic instability through policy instruments including.

1. Expansionary monetary policy
2. Increased government spending
3. Tax rate adjustment

Tax rate adjustment balances the profit of people. When there is high profit, people can invest and employ workers. Inflation and deflation are controlled by **interest rate adjustment** (monetary Policy) and **wage price** (government spending). Balance of payment (import-export balance) is controlled by

- ✚ adjusting tariffs,
- ✚ exchange rates,
- ✚ import quotas, and
- ✚ Tax incentives.

Such policy instruments are **indirect** but active measures to dictate the economy in the desired direction.

hey are indirect because they create favorable conditions that influence private decision makers without direct involvement in the economy.

Decentralized planning do not involve in detailed development planning. Governments exercise limited development planning mainly focusing on the analysis of tax performance of the economy and projection of the future. The plan is indicative, i.e., indicates the future.

### **3. Mixed Economy Planning**

Most of the third world countries are referred to as mixed economies. In such countries a substantial portion of the economy is owned and controlled by the public sector, and the remaining part is controlled privately. In this institutional arrangement we can identify two principal components of development planning.

1. Government's deliberate utilization of domestic savings and foreign finance to carry out public investment projects and to mobilize and channel scarce resources to achieve long-term objectives.
2. Government policies like taxation, import quota, wage and prices policy, etc which are designed to stimulate, direct or to control private economic activities.

This is done to create harmonious relationships between **the private businessmen's desire and social objectives of the central government.**

### **Rationale for Development Planning in the Third World Economies**

Development planning in the third world countries is a tool for development. **Why third world countries accepted mixed development planning?** There are a number of fundamental economic and institutional arguments.

#### **1. The Market failure argument.**

Markets in less developed countries are characterized by structural and operational importations. That is, their commodities and factor markets are poorly organized and the prices are distorted. The structure of the market is **imperfect** and, producers and consumers lack the necessary information in order to carry out efficient production and distribution.

#### **2. Absence of well-organized capital markets and specialized financial institutions performing variety of monetary functions is also an important reason for market failure.**

This is a serious problem which makes it difficult to channel private savings in to loan markets. The banking service is poor as far as distribution is concerned. Where there is no banking service, people cannot save and capital cannot be accumulated. This has made the economic system inefficient. To make the economic system efficient, governments should intervene through development planning (micro financing) Third world countries cannot afford to waste their limited finance and skilled labor. So, investment projects must

be chosen within the content of an overall development program which takes account of external economies and long term objectives.

### **3. Attitudinal or Psychological Argument**

Development plans are comprehensive as it encompasses social development. Plans include the construction of roads, clinics, schools, certain percent of economic growth, an increase in per capita income by certain amount, etc. Such plan document has important attitudinal /psychological impacts on the general population which is diverse and fragmented. The development plan makes people happy because the plan contains the development of social services for the general population. This will help to secure the cooperation of the society in the struggle against backwardness.

### **4. The Foreign Aid Argument**

Countries or government formulate development plans with specific projects. Thus donor countries give aid /financial material/ in order to implement the projects. So in order to secure aid, governments prepare development plans.

### **Social planning**

The term social planning was first used in developed countries to refer to the provision of social services. It used to denote social welfare planning. A UN report published in 1970, defined social welfare planning as the body of activities designed to enable individuals, families, groups and communities to cope with social problems of changing conditions. There are specific services in social welfare planning such as family counseling, daily care services, nursery, caring the aged, services to migrants and refugees, child care services, parent education, etc.

These groups of activities are known as social work or social welfare work. The current usage of social planning is different from welfare planning. Currently when we say social planning it is related to development planning. The fact that social planning was viewed as social welfare planning reflects that developed nations do not normally practice development planning.

### **Emergence and meaning of social planning**

Before 1970 it was generally accepted that the primary goal of development was to increase the rate of economic growth as fast as possible. The assumption behind this goal was that rapid economic growth would result in significant improvements in the lives of the general population of the third world. This idea was supported by historical experiences of western nations. Because of industrialization, they were able to transform their subsistence economy. Economists emphasized the need for mass capital investment in the industrial sector and the application of modern technology in production. Any expenditure on social services was assumed to be non productive and wastage of resources. Neo-classical political economists argued that

social needs should be satisfied through individual efforts in the market place. Because of such reasons, social planning was given a marginal place in development planning.

However, the above assumptions could not come true due to:

1. Economic growth could not be achieved in third world countries as expected.
2. Even in countries where economic growth was achieved, governments were not able to guarantee improved level of living for the general population.
3. Governments were faced with a growing demand primarily in urban areas to extend modern social services such as education and health. Economists also start to support such ideas because it is an investment in human capital.

As a result, many changes occurred in the field of development planning dating 1970, and one of the most significant changes was the **increasing emphasis placed on the social aspect of planning**. This has resulted in the rise of a discipline and profession called social planning.

**Social planning** is concerned with planning for and by people with the non-economic aspects of development (distribution, gender, education, health)

The practice of social planning in the context of development planning **is a process of policy formulation, plan design and implementation**, which attempts to meet basic human needs, solve specific social problems, and bring about better equity and social justice. Social planners are those who are trained to formulate policies, and design plans, which seek to achieve these objectives in collaboration with planners, administrators and those in political authority. They are generally interested in the well being of the population.

### **Roles of social planning**

Social planning plays three important roles:

1. Planning social services
2. Taking account of social factors and considerations in development planning
3. Ensuring popular participation in development planning.

#### **1. Planning social services**

The most straight forward use of the term social planning refers to planning the provision of such social services as education, health, water supply, sanitation, housing, recreation and other services.

#### **Stages in the process of planning social services**

- A. Data collection and analysis
- B. Policy formulation
- C. Preparation of specific programs and projects



## **A. Data collection and analysis**

An important component of social service planning. There for **two types** of data necessary to planning

### **1. Data on the existing provision of social services.**

In the case of health, for example, one has to know the number of hospitals, clinics and other relevant information on the available facilities and personnel in terms of qualification.

### **2. Demographic data on the patterns of the population in terms of age sex composition, fertility, mortality, etc**

The prevalence of disease or epidemiology, morbidity, the cultural life of the people in relation to the health, the economic situation, type of occupation, level of income etc should be understood.

Generally all relevant information should be obtained. Data on future need /demand of services should also be gathered. This involves making forecasting and projections based on the existing data.

## **B. Policy formulation**




The planner should be familiar with relevant policy issues. S/he should provide information, which helps for policy decision and implementation.

**Some of the policy issues include:**

**A. Importance of the social service:** Justifying the relative importance of the services, in relation to national resources and practices. The planner has to weigh up the social and economic benefits of the service/project.

**B. B. Choosing between different kinds of services:** Since there is a great need for social services, with scarce resources all services cannot be provided.

Hence, decision as to be made to choose among different social services including:

 Education	Health
 Rehabilitation center	Water
 Lodge	Prisoners

## **C. Distribution of services**

- Gender
- Age
- Ethnicity
- Regional

## **C. Preparation of Detailed Programs/project documents**

This is a document proposed for the development of the services. Eg, construction of primary schools in North Gondar zone. The proposal document should be worked in detail. It should indicate the number of

students to be enrolled, resources required like staff, capital and recurrent expenditure, construction facilities and budget breakdown.

## **II- Taking Account of Social Factors and Considerations**

In development planning social factors must be considered so that the plan should bring comprehensible socioeconomic transformation.

### **Major social factors include**

**A. The Human Factor:** refers to people's cultural and social environment, which influences the way they perceive their needs and react to development programs. People have their own Knowledge/perception toward something. For example to what extent the people of rural Ethiopia will accept family planning programs? What strategy shall be used to convince the people that the program is important? That means what methods should be used to change the negative attitude towards family planning. Many programs like irrigation and resettlement need the same consideration.





**B. Provision of social needs like health, housing, education, water etc.**

**C. Social Equity/Justice-** We have to see the impact of development programs in terms of equity among individuals, groups, communities and regions. For eg. If a health center is established, for which individuals, groups or regions is it accessible?

**D. Integral Human Development-** Development should be man-centered. This means, human beings should be the focus of any development effort.

## **III- Ensuring popular participation in Development planning**

The responsibility for ensuring that local people are adequately involved in the planning is often placed in the hands of the social planner. Many countries have recognized the need for popular participation in planning and this is reflected in the common use of terms such as

-  “bottom up planning”
-  “grass roots involvement”
-  “Democratic planning”,
-  “participatory planning”

### **Reasons why popular participation is considered to be so important:**

A. It is a means of obtaining information about local conditions, needs and attitudes without which development programs are likely to fail.

- B. People are likely to be committed to development programs if they are involved in its planning.  
Participation gives sense of ownership. (eg. Many development programs during the dears regime)
- C. Popular participation is viewed a basic democratic value by its own right.

## **Planning Skills**

There are many planning skills relevant for all sorts of planning the most important of which are:

1. Decision making skill
2. Implementation skill

### **1. Decision Making Skills**

**Planning** is a process of decision making, and the decision must be rational. Rational means that one should exercise his reasons rather than emotional impulses or reactions. Here we are talking about social rationality, which means that the planner is expected to ensure social goals, values and objectives are given sufficient priority and weight. **Decision making process** involves.

- A. Forecasting
- B. Comparing alternative courses of action

#### **A. Forecasting**

Since planning involves making decisions about the future the planner is constantly faced with the task of forecasting, i.e., knowing what is likely to happen in the future. Eg. At what rate is the population likely to grow over the next ten years? What improvements can be expected from the provision of health services by hospitals and clinics?

## **Forecasting techniques**

### **1. Trend extrapolation**

If we collect data for the last 20 years about the conditions of the population, we can investigate the growth trend of the population. The major shortcoming of this method is

- ✚ it assumes that future friends are unlikely to be different from the past. Since it cannot take into account the future population conditions, it merely considers the trend of the past.
- ✚ it requires reliable quantitative data.

In Developing countries the availability of reliable data is impractical or not feasible. Since trend extrapolation is subject to such limitations other methods of forecasting are required which are less quantitative.

### **B. Comparing alternative courses of action**

Planner must compare alternative actions. Most of the techniques are related to the general concept of cost benefit analysis. Cost benefits of each alternative are calculated and priority is given to the one in which the rate of benefits to costs is highest.

## **2. Implementation Skills**

The purpose of planning is not to produce plans but to achieve practical results. One of the most critical step in the process of planning is how to implement a particular project or program. **Implementation skills**

- A. The process of operational zing
- B. Budgeting
- C. Monitoring and Evaluation

### **A. Operational zing requires**

#### **1. Ensure that all relevant steps (components) of the plan are identified**

e.g. to construct a clinic steps are

- A. Securing the land
- B. Getting the contractor (Engineer)
- C. Follow up
- D. Equip the clinic with necessary facilities
- E. Recruit health personnel

#### **2. Ensure that sufficient fund and manpower are available for the implementation of the above steps.**

#### **3. Assigning responsible personnel to Cary out each step.**

### **B. Budgeting:**

When we try to implement programs we need money; and when we utilize the money we have to know the various coherent of the budget. When the plan is prepared, budget preparation is part of it. There are various budget components in to which the budget is broken down. You have to utilize properly the appropriate budget.

### **C. Monitoring and Evaluation:**

**Evaluation** is the act of discovering how successful we are in **achieving our objectives**. It is the analytical process which attempts to determine as systematically and objectively as possible the effectiveness, efficiency and relevance of ongoing and accomplished projects by comparing plans with accomplished projects and explaining significance differences between the two.

**Evaluation** represents an attempt to learn from the collective experience of persons knowledgeable about or involved in the project. It should be constructive effort rather than judiciary review. It can take many forms depending on the purpose/objective of evaluation, and It can be carried out by consultants, donor representatives, staff personnel or a combination of all these.

### **Levels of Evaluation.**

1. Process evaluation
2. Impact evaluation
3. Comprehensive evaluation

**1. Process Evaluation** is generally concerned with two questions.

A. That means whether programs are executed or implemented in the way originally designed. Whether or not a

particular program, or intervention was implemented according to its stated guidelines.

B. Whether or not the program has been directed at the appropriate target population or area.

### **2. Impact evaluation**

Is concerned with gauging the extent to which the program resulted in the desired change. It implies that there is a set of pre-specified, operationally defined goals and criteria of success. For instance a health project may have such goals or criteria of success as:

- Morbidity rate will decrease by 20% in 5 yrs
- Mortality rate will be reduced by 10% in 5 yrs

**3. Comprehensive Evaluation** refers to evaluation activities that include both process and impact evaluation.

### **Monitoring Vs Evaluation**

Monitoring and evaluation are basically different though complementary. **Evaluation** assesses objectives against achievements to maximize the impact of a project and to provide guide lines for the planning of a new one. In contrast, **monitoring** is primarily concerned with overseeing the process of implementation to verify that inputs are made available on time and properly utilized.