

Lesson 1

PUBLIC POLICY: MEANING, NATURE, SCOPE AND IMPORTANCE

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1.0 Objectives:

1. Students would know about the definition, meaning and nature of public Policy.
2. Students would be able to learn about the scope and importance of public policy.

1.1 Introduction:

The lives of the citizens everywhere are formed by public policies, whether we are aware of them or not. The dream for improved life while its achievement rest on our own efforts, will probable to contain public policies to aid the result of it. Public policy is a subject or field of inquiry has a long past, though the current public policy analysis have a specific American and 20th century fragrance. The public policy seeds were sown in 1940s and made a significant influence on the government and academic organizations over these years. In the early 1950s public policy has developed as academic search and from then it has been securing new measurements and is stressed tough to attain the position of a discipline in the area of Social science. As a study of 'products' of government, policy forms a significant

contrasting to scopes concerning 'private'. The measurements of public is usually mentioned as, 'public ownership' or governor for 'public purpose'. The term public contains all the measurements of human action observed as needing governmental involvement or social directive. Though, there has been battle between what is 'public' and what is 'private'.

1.3.2 The Notion of Policy:

The notion of 'public', the idea of 'policy' is also not exactly defined. Policy signifies, between other things, 'guidance for action'. It might take the procedure of:

1. Commanding conclusion,
2. Principle or value
3. Purposive course of action,
4. Method of governance
5. Manifestation of considered judgment
6. Look of political rationality and
7. Declaration of common goals.

In a Machiavellian sense, policy is the base of power. While bureaucracy derived its legitimacy from its claim to "State", the politician claimed that their authority rested on the approval of their policies by the electorates. Hogwood and Gunn specified ten usages of the word policy as:

1. A label for the field of activity
2. An expression of desired state of affairs
3. Specific proposals
4. The decision of governments
5. Formal authorization
6. A programmes
7. Output
8. Outcome
9. A theory or model

or non-governmental units indicted with the accountability of transporting out the intensions, and distribution of resources for the necessary tasks. To recognize public policy, it is very much needed to examine the nature. A policy may contain with specific or general, broad or narrow, simple or complex, public or private written or unwritten explicit or implicit, discretionary or detailed and quantitative or qualitative.

Public policy is in fact a skill because these tasks regularly some information about the social sciences and in this case the stress is on the 'public policy' which is known as 'government policy', selected by a government as a 'direction for action'. From the perspective of public policies, actions of government could be put broadly into two groups and they are:

1. Definite or Specific policies and
2. General, vague and inconsistent policies.

In reality a government rarely will have a fixed of supervisory values for all its actions and in fact the significant public policies are frequently made more clear specifically where the issue of law, regulation or strategy is involved. The Supreme Court can give its decisions, by new interpretations to some of the articles of the Constitution which can be develop into new policy.

These policies may be too unclear or too broad and may not be reliable to each other, in turbulent atmospheres like the current ones government has to make regular actions without reference to any particular policy, sometimes government announces some sort of policy for political convenience or for some reasons, in such cases, government will not have any intention to carry it successfully. Hence, it is likely to have a policy without action or it can have action without policy. Public policies alive only in set of practices and precedents. The public policies are embodied only in an unwritten Constitution of United Kingdom is the best instance of this form of a public policy.

Public policy contains major segment of actions, like, development policy, economic growth, socio-economic growth, equality, social justice, or any other such policy may be accepted by national policy. Hence, it can be observed a single policy in various written documents, it may be narrow, covering a particular action, like family planning which is reserved to certain division of the people or it can be for extensive range of the people in the country, for instance, government can accept that, no child is adult unless he attains the age of 16 years (recent amendment). Public policy is an area commonly defined by policy areas like health, education, housing, economic, environment, transport and social and it is mostly set that interdisciplinary and intergovernmental relations taking place. These policies can be

publically built transport facilities, communicate by the post offices or quasi-public telephone system, drinks his public drinking water, disposes of his garbage through a public removal system, reads his library books, picnics in his public parks, is protected by public police, fire, and health systems. Ideological conservatives notwithstanding his daily life is inextricably bounds up with government decisions on these various public services".

Public policy stress on the problems of the public, according to Heidenheimer, the public policy is the study of "how, why and what effect governments pursue particular courses of action and inaction". Dye, stated about it as, "what government do, why they do it, and what difference it makes".

According to Lasswell, policy orientation is multi method, multi-disciplinary, problem which emphasizes worried to plan the context of the policy procedure.

1.7 Importance of Public Policy:

It is evident that the public policy is the significant factor in the democratic government and it emphasizes on the public and its problems, in fact it is a discipline which is branded as public. The concept of public policy assumes that there is an area of life which is totally individual but said in public. Likewise, public policies have a significant purposes to work in the society where the democracy is prevails. The important role of the public policy is to make the society to lead a better life and to maintain the delivery of the goods and services are significant, it is regarded as the mechanism for developing economic-social system, a procedure for determining the future and so on.

1.8 Conclusion:

It is evident that the area of public policy has an important role in the public domain, it can upsurge the growing density of the society. Public policy is not only worried about the explanation and extension of the reasons and concerns of the government actions. It also has the development of scientific information about the services determining public policy. The examination of public policy aids us in determining the social ills of the matter under the examination.

Policies do more than effect alteration in the situations of the society, they bring the people together to follow the uniformity in the state. These public policies are the main devices for any democratic nation and they improve the social and economic procedures from the present of the future. Hence, the examination of the public policy has become a significant element of the academic society as well.

freedom of speech, press, religion, assembly, petition, and excellence before the law are indispensable to a democratic system of government. Politics, parties, and politicians are the catalytic mediators that create democracy workable.

Democracy is not adopted merely to create governmental decisions. Democracy, in the 20th century involves more than just universal suffrage and elected representatives. Its requirement on the part of the voters and their elected representatives is to follow certain types of social and economic policies. In the words of Maxey, "Democracy as interpreted in the twentieth century is, therefore, seen to be more than a political formula, more than a system of government, more than a social order. It is a search for a method of life in which the voluntary free intelligence and activity of men can be harmonized and coordinated with the least possible coercion, and it is the belief that such a method of life is the best method for all mankind, the method most in keeping with the future of man and the nature of the universe"

In order to accomplish the goals, which the democratic institutions keep before it, there are certain necessities to be met for better performance. What is needed at the outset is the unambiguous and constant community consciousness. What we want and how to attain it to the best of the circumstances prevailing necessity be very clearly imprinted on our minds. If the clear consciousness is lacking then the chances to fall prey to casteism, linguism, communalism, and provincialism are quite bright and such circumstances approximately, to think of sound policies is not in the fitness of things. Clarity of community consciousness depends on the moral soundness of the society as a whole. Without honesty and integrity of the people, democracy cannot be a success. An effective public opinion. qualitative social conscience and sound general will are also the necessities to create democracy a laudable success. These factors cannot be created unless and until the people have proper education. Literacy amounts to considerable growth in the general awareness of the society and" the awareness resolves so several characteristics which would otherwise remain highly complicated. The political masters in

democracies necessarily provide opportunities to the masses for free expression of their opinion and free discussion of issues. Furthermore, the atmosphere should be made of the type in which people feel genuinely interested in public affairs. For the adequate functioning of political democracy, democracy in conditions of economic events is also required. Abundant inequalities of wealth can amount to the undue power exerted through the rich on the political masters, which leads to nothing less than ignoring the governing will of the masses.

Totalitarian System

It is a system of governance in which there is authoritarianism of the State, and it controls almost every aspect of individual's life. Totalitarian governments do not tolerate activities through individuals or groups, such as, labor unions, youth organizations, etc., that are not directed toward the State's goals. Totalitarian dictators maintain themselves in power through means of a secret police, propaganda disseminated through all media of communication, the elimination of free discussion and criticism, and widespread use of terror tactics. Internal scapegoats and foreign military threats are created and used to foster unity through fear. Totalitarian regimes have abundant regimentation standing for absolute scope of power. State has unlimited authority and stands for supreme, perfect, complete and intangible power. Being essentially authoritarian, a totalitarian system stands for use of political power through the rulers in an arbitrary sense. Every possible effort is made to crush the freedom of the people and nowhere the scope is left for the opposition to be in subsistence. It has an ideological base, which could be religious — fundamentalist or tyrannical. A totalitarian system, in all absolute conditions, stands for the single party dominance through an exalted leader. It has been claimed through some scholars that the communist States are the totalitarian States and governments because of the recognized philosophy in accordance with which the governance is made that is the single party dominance, concentrated decision-making, denial of subsistence to other parties, etc.

Gary Bertsch and others in their book, ‘Comparing Political Systems: Power and Policy in Three Worlds’, have talked of policy process in Communist Party States. As per them, the policies are made in these States in accordance to the synoptic or rational-comprehensive mode. The policy makers specify the needs confronting their system and, accordingly, review all information. The goals relating to the specified and felt needs are recognized and as per the needs prioritized. All such actions or alternatives which could help attain the goals are examined with a careful cost benefit analysis of each and every thought of alternative. Following this, the outcomes to be of each alternative are evaluated for selecting the best course of action which maximize the probabilities of achieving the desired goals.

The policy process in a totalitarian State has a series of activities. These could be categorized as:

- Setting Goals: It is a fact that unless the goals are set, the governance cannot be effective. Ideology, social needs, and developmental thrust are the major bases of setting goals in this system. In the words of Barrington Moore, “once an ideology has been determined it enters in as a determination factor in its own right in subsequent social situations. It has an effect, sometimes slightly sometimes considerable, on the decisions taken through those who hold it. In its turn, it is customized, sometimes slightly, sometimes considerably, through the impact of subsequent thoughts”. Besides ideology, the leaders’ perceptions of the needs of the people and the State, intricate interplay flanked by the leaders and the masses are the other bases for setting of goals;
- Taking action: Once the identification of the goals has been done, the after that stage is to take action of it through policy proposals. 'The top parley leadership discusses the policy options and alternatives with the associates and advisors before, finally, presenting those to the top body — the politburo. The policy options are often referred to through the leaders in their speeches in order to see the public response, debate, and discussions on the same. It is done to initiate newspaper coverage

as well. After the period of discussion and debate, the alternative policy actions are brought formally before the politburo. The politburo is the body having ultimate decision-making power. Thorough discussion on each action takes place at this stage and, finally, through vote most policy alternatives are either picked up or dropped.

- Producing Outcomes: After reaching at a decision in the second stage, the policy actions are put before dissimilar government institutions/agencies for ratification of the same. After that to the ratification is the task of the government bureaucracy for executing the policy in order to attain the goals as specified therein.

The focus of discussion in this section has been on the democratic and totalitarian systems of governance. We can conclude that the nature of public policy making is related to its contextual setting. It therefore differs from one system of governance to the other. In order to understand the steps involved in policy process, we have to look into the several troubles faced through it and the solutions that could be offered. Public policy necessity not is studied out of its context. For having a clearer picture of the policy making process in the modern world, Yehezkel Dror in his book, ‘Public policy Re-examined’, has talked of the policy making process in the developing and developed countries.

Policy Making In Developing States

The major features of policy making process in developing states contain:

- Inheritance, legacy and working pattern of ruling elite form the characteristics of policy making process
- Feedback system and mechanism is too weak
- Policy strategy is not consciously determined. “The optimal strategy of public policy making is often one of maxima, with low security stage and higher risks”
- Prioritization of values and operational goals are well spelled out
- Intense search for policy alternatives is made

the given States have to succumb to the pressure of its own people as well as other States. One aspect is very clear that the policies enacted through an adopted tools and system in a State have great bearing of the tools adhered to. The government institutions and agencies work in accordance with the same.

Contextual Setting Of Public Policy Making In India

The nature of State, system of governance, and the tools of State have been discussed in the earlier sections. It provides us a comprehensive thought in relation to the method the State governance operates in the context of process of policy making in dissimilar types of political systems. In order to understand the role of contextual setting in the policy making in a better manner, the discussion in the following sections is focused on contextual setting vis-à-vis the policy making in India.

Basic Objectives

India is a sovereign, socialist, secular, democratic republic having the parliamentary form of government. The institutions of legislature, executive, and judiciary play a significant role in policy making. Besides, some non-governmental organizations perform a major part in the total process. The Indian system of governance is in accordance with some of the basic objectives having been laid down through the planners, of course, in the light of the Constitution of the country. Broadly, in the context of these objectives, the policies have been and are being framed. Some of these objectives contain — elimination of poverty, elimination of illiteracy, initiating events of social justice, bringing in relation to the reduction of disparities in income and wealth, even sharing of economic power, helping weaker sections, establishing greater excellence opportunity, resisting inflationary pressures, utilization of manpower possessions to the fullest extent, boosting industrial productivity, achieving self-sufficiency in basic needs of shelter, clothing and health for all, augmenting agricultural production, achieving economic and technological self-reliance, promoting active involvement of all the sections of people in the

process of development, developing the transport system, promoting policies for controlling the growth of population, etc. These are just some of the basic objectives which our development policies have been trying to achieve. The main thrust of the system has been on self-reliance, economic growth, industrialization, modernization, and social justice. In the context of these major goals the policies have been formulated and, implemented. We would now be focusing on these five major thrust areas of our system.

Self-reliance

In order to be economically sound and independent, a State has to follow the path which fulfils its needs and is in accordance with its basic possessions and values. It was strongly felt through the Indian planners and policy makers that for attaining self-reliance, India has to come out of the yoke of dependence on other countries with regard to trade, investment, and technology. For attaining self-reliance, the focus has been on: diversification of domestic production; less dependence on foreign aid, reduction in imports for each and everything, imports for only critical commodities, and exports promotion to earn foreign currency for paying for the commodities imported.

The purpose for being self-reliant was to have relationship on equal footing with the outside nations and to bring reduction in pressures being exercised on the country for the purposes of depending much upon them. Self-reliance and self-sufficiency are two dissimilar conditions and so should not be confused with each other. In sectors, like food granules, defense, etc. self-sufficiency is required. Self-reliance is sought in the areas where normally the demand is fulfilled from the domestic sources, and only in acute cases the imports of few things from other countries is done on the basis of foreign exchange earned through exports.

Economic Growth

Economic growth has been the major thrust area of Indian planners. It has been the basic underlying objective behind the fixation of plan targets and

allocation of possessions to dissimilar sectors. Unless and until the economic growth is increased, no country can think of producing in accordance with its needs and for being on a developmental path. Several development policies and strategies adopted through India indicate that augment in production has been the corner stone. The increased rate of production is measured to be a requirement for meeting the basic needs of the people. For achieving the objective of a high rate of production amounting to economic growth, the focus has always been on appropriate use of man power possessions accessible in the country. It has twin objectives—firstly, to satisfy the people's needs through getting them job opportunities, and secondly, to create use of them for augment in productivity. It also leads to reduction in poverty, establishment of just and equitable society, and raising the living standards of the people. “Growth is expressed both in conditions of output and employment, although it is quite clear in the context that the planners put the emphasis on the first. The desire to reduce inequality, which is sometimes explicitly associated with the need to abolish poverty, leads, in turn, to a concern with a reduction in concentration of economic power and land reform. The decision to pursue a socialist pattern of development was an explicit political decision, adopted at the Avadi Congress, in 1954, to have a Socialistic pattern congenial to the native genius of the people.” The objective of the economic policy that is most fully articulated and the one which the government has measured to be the most important is economic growth.

Industrialization

Besides developing and promoting cottage and small level industries, the objective has been to develop the medium and large level industries for helping the country to be self-reliant. In accordance with this objective, the government policies for industrialization have been formulated. Need for more development in the sphere of capital goods and basic industries was measured to be significant, for which major stress was laid on the development of industries for producing more of coal, steel, chemicals, etc. Planning objective has always been the development of such sectors of economy, viz.: industry,

mining, power, communication, etc. so that India could develop industrially. In accordance with these objectives, the industrial policies and strategies have been formulated and adopted.

Modernization

The term ‘modernization’, in this context is associated with the separate structural and institutional changes in the overall framework of economic activity. Marked change in sectoral composition of production, activities’ diversification, coupled with technological development and institutional uniqueness has remained a part of the move for modernization. The pace of economic growth gets accelerated with the proper application of scientific knowledge and tools and use of technology appropriate to a given aspect. For ushering in modernization to cope with both the internal, as well as, external compulsion, the promotion of industrial growth and diversification has been emphasized upon. Industries producing basic materials and capital goods have been promoted. The modern thinking of the government is to create a move towards privatization and also involve more multi-nationals for fulfilling the goal of modernization.

Social Justice

India is a country of multi-dimensional inequalities and, easily, one could discover gross disparities in social, economic, political, and cultural spheres. Fundamental rights and other political rights and liberties guaranteed to the people through the Constitution cease to have effect because of the attendance of social inequalities. Greater equity, put to use in effective sense, is required to remove poverty, unemployment, regional imbalances, and inequalities on count of income. India has adopted mixed economy to establish socialist pattern of society. Social gain instead of individualistic benefits has been the major criterion for determining growth. The Second Five Year Plan has suggested that the significant decisions concerning planning should be made to such agencies which are committed to social upliftment. In accordance with the major objective of social justice, the thrust in Indian plans, which is

reflected in the several policies formulated in excess of the period of time, has been on reducing inequalities in income, removal of poverty, removal of unemployment, removal of regional imbalances, and upliftment of backward classes.

Keeping the above mentioned objectives in view, the policy framers had been making policies in dissimilar areas/sectors from time to time. This establishes the bearing of some basic line of thinking and action on the policies made in the country. The illustrations from India have been made for understanding the importance of contextual setting in policy making. These objectives certainly form a significant part of the overall context, in accordance with which the policies are made.

Role of Governmental and Non-Governmental Agencies

Based on the basic types of polity, the spirit of the Constitution, and the types of objectives, as referred to in earlier sub-section, the policy framing agencies, which are primarily the governmental agencies and institutions, create the public policies. India is a democratic country having a parliamentary form of government. The three significant wings of the government are: Executive (both political and permanent), legislature, and judiciary. Besides these, the non-governmental agencies also play a role in policy making. For ascertaining the importance of contextual setting in policy making, we would be discussing the role of governmental and non-governmental agencies, separately.

Governmental Agencies

In a democratic system, like that of India, the real political power rests with the executive organ of the government. It would not be wrong to say that we are residing in an executive-centered era. Of course, to legislate on the issues for the purpose of enacting policies is the job of legislature to whom even the political executive is responsible, but in actual practice the things are altogether dissimilar. The issues on which the policies are to be formulated are

thought in excess of and decided through the executive and submitted to the legislature for formal approval of the same. On the basis of its strength in the legislature, the executive is able to get the policy issues submitted to the legislatures as public policies. The executive in most of the under-developed and in some of the developing countries, exercise more power in policy making in comparison to most of the developed countries. The permanent executive, that is, the bureaucracy also has a significant role to play in the overall policy making process.

In the parliamentary form of government, the position of legislature seems to be apparently superior to that of the executive. The executive is in position to take action on an issue only once it is decided so through the legislature. The legislature formulates and expresses the will of the State through the policies. The executive can stay in power so long as it enjoys the confidence of the legislature. The actual position is of course, dissimilar. The executive has the support of the majority of the members in the legislature and so can get policies formulated on any issue. It does not mean at all that the legislature has no fruitful and meaningful contribution in the process of policy making. It not only brings the issues (measured for policy making) under scrutiny and deliberation in the House, which has the representation of the opposition parties representatives too, but also keeps a vigil check on the functioning of the executive vis-à-vis the policies already framed. The deliberations on the Bofors issue and resignation of the External Affairs Minister on an aspect related to that speaks of the importance of the legislature.

Though legislation is the task of the legislatures, the courts and the judicial organs also legislate in a dissimilar method and therefore play a role in policy making. Whenever any policy is silent on an issue or is not in consistence with other policies, it is the judiciary which provides its interpretation in the light of basic premises underlying the Constitution. The courts are guided through the values of equity and justice. Their decisions give legitimacy to the governmental institutions in several policies. The power of judicial review speaks of the role of the judiciary in policy making. Indian judiciary has used

the powers' granted to it through the Constitution as and when the matters of Constitutional disputes have arisen.

Through the tools comprising executive, legislative, and judicial institutions, the Indian government formulates the policies. The role of the institutions has an important place in the overall environment and contextual setting in a given system. Adhering to the basic objectives and ideology of the party in power, especially in democratic countries, the policies are made.

Non-Governmental Agencies

The contextual setting of policy making, besides governmental institutions, has some non-governmental institutions like political parties, interest groups etc. The citizens are also a type of non-governmental force that plays a crucial role in policy making. Political party is a group of organised individuals often having some measure of ideological agreement in order to win elections, operate government, and determine public policy. It won't be wrong to say that in the functioning of modern democracies, political parties, in one form or the other, are omnipresent. According to Burke, "It is a body of men united for promoting the national interest on some scrupulous principles on which they are agreed". A political party normally observes democratic and peaceful events for gaining power and implementing its line of action through policies formulated in order to protect and promote its specific interests in the light of its major objectives, ideology, and overall national goals and objectives. The political process is integrated, simplified, and recognized through the political parties. They act as a link flanked by the governmental institutions and citizens, As said earlier, the party having majority in the legislature shapes the government, yet the remaining parties recognized as opposition parties play a significant role in the policy making process. Besides, they keep check on the activities of the party in power which again reflects their crucial role in policy making.

The interest groups are organised groups in which members share common

views and objectives and actively carry out programmes to power government institutions, officials, and policies. Unlike political parties, interest groups are mainly interested in influencing the determination of public policies that directly or indirectly affect their members' interests. Groups are the first type of structure which is encountered in the analysis political system. In the words of Blondel, "The study of groups raises very serious practical and theoretical troubles. This is because groups are not as such part of the study of politics. We are interested in groups to the extent that they enter the political process, but not in the groups themselves. Some of them may be involved so often in politics that they cannot easily be separated from political life; but even then these are not wholly in politics. Conversely, though, any group, or approximately every group is involved from time to time in the political process. Therefore, we become concerned with practically all the groups which exist in society". The interest groups adopt techniques like lobbying, strike, agitation, dharma, etc. for influencing the policy making process in order to get such policies enacted which serve their members interests.

The government is supposed to work on the lines whereby it could give maximum gains to the citizens. Of course, the gains and the benefits could be derived depending upon the possessions and capacities of the system. The point of concern in excess of here is not to measure the positive or negative gains or losses the political system has given to its citizens, but to ponder in excess of the importance and significance attached to a citizen so distant as his participation in the policy making process is concerned. We are aware that the policies are meant for the public and are implemented for them. In the overall environment, citizens occupy a pivotal position. All the characteristics relating to politics and policies revolve approximately citizens. The citizens alone put a party or executive in ruling form. When the comparison is made flanked by policy making and legislature, interest groups, political parties and citizens, almost certainly citizen is the only one who little control in comparison to the control has exercised through the other three for policy making. The place and position of direct democracy has been taken through indirect democracy. So almost certainly, it is not feasible to consult each and every citizen on each

and every policy issue or alternative. Of course, in some political systems, like Sweden, the citizens, still vote directly on legislation. But this practice is not in operation in other countries.

It does not mean that the governments or policy framers indulge in policy making which hamper the overall interests of the citizens. The governmental agencies do create policies on the issues which the political party in power places before the citizens at the time of elections and which are approved through the electorate. The amount of active participation, in casting votes, involvement in party activities, and display of interest in politics through the citizens vary in degree. It is said that, at the time of voting, citizens attach little importance to the policy issues raised through the political parties, and the citizens cast votes on the basis of factors like caste, language, money, regionalism, etc. Whatever be the thoughts, once the citizens have elected their representatives, and, on the basis of it, the government has been shaped, the party in power has to create policies on the issues raised through it, and supported through the citizens. There is no point in ruling out citizens' participation in policy making. It is agreed that the participation is not direct but it is definitely there in an indirect form. The citizens, those who have the intellectual capabilities, keep on contributing to the policy process in the form of providing new ideas and concepts to the policy framers. Ultimately, if we analyze the political party and interest groups functioning, we will discover that this is also on the basis of the individuals' participation and interests.

Role of Culture, Ethics, and Values in Policy Making

The pattern of orientation towards government and politics within a society is called political culture. It usually connotes the psychological dimensions of political behavior—beliefs, feelings and evaluative orientations. A political culture is the product of the historical experience of the whole society as well as the personal experience that contribute to the socialization of each individual. Within a national political culture, one may distinguish flanked by the elite and mass sub-cultures, reflecting differences in the

orientations of the political decision makers from those of the less active citizens. The mass culture may in turn consist of numerous sub-cultures, based on class, ethnic, regional, or other differences. Some what similar phenomena have in the past been studied under such labels as national character temperament, ethos, spirit or myth, political ideology, political psychology, and fundamental political values.

It would be worth while to mention here in relation to the meaning of the word 'culture' to know in relation to its role in policy making. Culture is the aggregate of learned, socially transmitted behavior patterns, and features of a given society. The culture of a social group is developed and maintained through formal and informal learning, language, knowledge, folkways, beliefs, customs, traditions, and institutions. In sum, it is the totality of social experience. A political system is shaped through related cultural factors and may, in turn, promote cultural change through influencing other behavior patterns of society. A highly pluralistic society, for instance, might be congenial to the maintenance of democratic institutions, and the latter would be likely to give a setting where cultural diversity flourishes.

The role of political parties, interest groups, rising stage of literacy, etc. have brought in awareness in Indian citizenry. Under such situations the norms, values, attitudes, beliefs, traditions, and customs prevailing in the society cannot be put to minimal through the policy makers while formulating the policies. Though, it takes quite long for any nation to have its culture but keeping in view the fact that cultural diversity has to be allowed to flourish, the dissimilar sub-cultures ought to be kept in view while making the policies. The policies formulated having reflections on the cultured characteristics, are not tolerated, nor do the policy makers effort to do so, because, ultimately it could lead to their own losses in the elections. No group or sub-group ever tolerates that the accepted beliefs and orientations having acceptability are done absent with through having one policy or the other made to that effect.

Ethics has an influential role to play in policy making process. In the

words of Fred M. Frohock, being a “good guy” is usually more appealing politically than being a “bad guy”. Also bad guys sometimes go straight to jail from their political office. But the definition of a ‘good guy’, someone ethically straight, is not always clear. Nor is it always understood that the system itself may be an ethical issue, nor the people running it. Ethical offences that have direct bearing on political characteristics and office are more significant politically. Actions, like power-peddling, issuing, or making misleading statements, outright demagoguery are unethical in the political sense though it may not be illegal. Any person trying to gain advantage through issuing a wrong or misleading statement is doing an unethical task. In legal sense, his/her action may not be wrong but on ethical grounds he/she is misleading the people through doing so. Likewise concealment of damaging information is unethical. The official misconduct is for all purposes an act of unethical method of functioning. Likewise, illegal action and unjust actions are unethical ones. Any one trying to do so would be doing injustice to the system or the office he/she is holding. Whatever the case may be the policy formulators have to create policies in accordance with the fact that sense of being unethical is not at all reflected. Equality, justice, fairness, etc. could never be put at stake for achieving any short-run goal or purpose.

Preservation of basic dignity of human beings, protection of the Constitution, maintenance of State-fabric; upholding democratic spirit, just and fair play, principled stand on issues, determination of policies on “pressing issues and demands” rather than adherence to narrow parochial party or individualistic interests, and care for the sentiments, beliefs, and orientations of all concerned, etc., are some of the points which could be termed as ‘ethical issues’ or ethical code, which the policy makers can never do absent with. Especially, democratic systems, like that of India, any public office holder, or holders attempting to be unethical are put to severe criticism. Rising awareness in the middle of people, role of opposition parties, interest groups, operations, role of press, etc. keep a vigilant check on policy makers and any action of the framers of policies which can be called unethical are never tolerated.

A concept of what is desirable or good, or in some usages, the good or desired thing itself is recognized as “value”. Values may therefore reflect what a person wants — a goal, a preference, or they may reflect his concept of what is good and right, what he ought rather than what he wants to do. Values are internal, subjective concepts that postulate standards of morality, ethics, aesthetics, and personal preference. A set or related values held through a person, or shared through a group, is called a value system. In excess of a period of time, what is good, how a thing should happen, when the action should take place, in a society take the name of social values, which a group of like thinkers in the society adheres to, and which has its acceptability even outside that group in the society. As stated above the values are subjective. This element in the values at times makes troubles for the policy makers. Conflicting goals within the society inhibit the effective utilization of scientific information for policy purposes. In the words of Alice Rivlin, “we are failing to solve troubles because we do not know how to do it—the troubles are genuinely hard. The difficulties do not primarily involve conflicts in the middle of dissimilar groups of people, although these exist. Rather, current social troubles are hard because they involve conflicts in the middle of objectives that approximately everyone holds. These conflicts make technical or design difficulties which override the political ones. Not one is sure how to do it”. It is hard to describe the system without moral judgments creeping in. For, to look at a system, not from within but from outside implies that it is not the only possible system. In describing it we compare it with other actual or imagined systems. Differences imply choices which in turn imply judgments. One just cannot escape from making judgments and such judgments originate from the ethical preconceptions which have soaked into one's view of life. The values prevailing in a system have to be regarded but in an appropriate, objective, and ethical method whereby, the values and the facts are integrated while framing the policy.

In one form or another, six major societal values emerge in public policy issues. These contain excellencies the middle of individuals; individual

freedom, order within society justice for individuals; legitimate decision-making process; and efficiency of government operations. All these have a bearing on policy process. Therefore, culture, ethics, and values play a dominating role in bringing to focus the contextual setting of a policy making process.

THE POLICY CYCLE: CONSTRAINTS IN POLICY MAKING

Policy Formulation

Before doming to the actual formulation of policies, we necessity be clear concerning how the issues/troubles reach the policy agenda. In a democracy, there are several methods in which a government's attention is drawn towards troubles that need its consideration. The people's representatives in the Parliament and state assemblies raise issues and demand action from the government. These issues pertain to the areas where either the government has failed to take adequate action or its scrupulous action has created certain troubles. There are also organised pressure groups that can demand that the government should act in a scrupulous method. For instance, there are associations of business and industry like Federation of Indian Chambers of Commerce and Industry or of central government employees or trade unions that effort to power government's policies. Social protest movements, like the Chipko Movement can also attract government's attention towards specific issues.

Voluntary organizations and mass media also play a significant role in drawing government's attention to a scrupulous problem or area of concern. Governments also frame policies on their own within the broad ideology that they espouse. Welfare or socialist ideals enshrined in our Constitution brings forth a whole package of policies to power dissimilar characteristics of social behavior and economic development. Political parties help in articulating ideological positions and policy demands on the government. The opposition parties use several public or parliamentary for to ask the government to adopt certain policies. Therefore in a democratic set up, the government not only

frames policies on its own but also responds to the several demands made through dissimilar organised groups and political and social institutions in the society. It is when these groups and institutions cannot play their role adequately that social conflicts develop and present the troubles more starkly.

Once a problem has been brought on the policy agenda, processes begin to form a governmental response and objectives, targets and goals are decided upon to tackle the problem. Three major components of policy need to be decided at this stage. First component is concerned with the setting of goals and objectives. It means a perspective has to be determined which should be able to generate broad goals of a policy. For instance, in case of anti-poverty programmes, first component is concerned with the setting of goals and objectives. It means a perspective has to be determined which should be able to generate broad goals of a policy. So, in case of anti-poverty programmes, policy makers have to identify the problem of what can be done to alleviate poverty. Alternative policies have to be generated and a choice made concerning a specific policy. This policy can be set in long-term perspective (15 to 20 years) and then divided into concrete goals that have to be achieved in five years or one year. Therefore, there can be a 15 to 20 year plan, a five year plan, and an annual plan. One significant consideration in setting these goals and devising a policy is whether these are implementable or not. Policy and its goals need to be realistic and should be based on the actual parameters of action. There is no point in having a policy that is not implementable; the goals of such a policy can never be realized. If, say 200 million people live below the poverty line, then a policy that takes care of approximately 20 million poor in a Five Year Plan period, without taking into account the yearly increases in poor population, cannot achieve the goals of poverty alleviation.

Second issue or component that needs to be measured is the strategy needed to implement the policy. For instance, poor can be helped in several methods. They can be given food and shelter at rates lower than the market

rates or they can be provided with employment opportunities which may enable them to earn wages needed for the fulfillment of basic necessities. They may also be given assets from which additional income can be generated. Therefore it has to be decided as to what type of strategy should be adopted to help the poor to cross the poverty line. Just a single strategy can also be thought of in order to achieve the policy goals and a proper mix of strategies can also serve the objective. This issue also has to be decided at this stage.

Once the strategy is chosen, the implementation machinery has to be determined. This is the third component of policy making. Some strategies may demand a new administrative set up, others may not. Integrated Rural Development Programme was recognized to enable the poor to generate additional income with the help of assets provided through loan and subsidy. Some strategies may only require increased financial outlay. If food granules at reasonable rates have to be provided, then the budget needs to allocate greater subsidy and greater amount of food granules for public sharing system. The role of bureaucracy and non-governmental organizations also has to be specified for implementing policy goals.

Therefore, at the policy formulation stage, choices have to be made in relation to the objectives and goals, strategies and instruments of implementation. There can be recognized properly only if the policy design is given due consideration. Policy design is a very crucial stage, as choices have to be made in a method that a coherent framework emerges. It is this framework that determines, to a great extent, the integration of several factors and possessions required to achieve the objectives. The design has to identify the interlinkages and interdependencies in the middle of personnel and material. If the design is inadequate or faulty, then it will have its power on the implementation and performance of the policy.

Formulating a policy design requires skills and competence in the middle of the policy makers. The policy makers necessarily have the necessary expertise required in gathering and analyzing appropriate information,

generating alternatives and choosing in the middle of the alternatives. It is the competence of policy makers that determines the extent of choice accessible. The actual choice is a political decision and the question as to who has made the choice and why? has to be looked into. The performance of the policy is influenced through the motivation of the decision maker. The interest taken through the actors in the policy process and their commitment to policy objectives gets reflected in performance of the policy. In making a choice, the decision makers may also be influenced through their ideologies, caste and class interests or regional and ethnic loyalties.

Sometimes a policy design may not be the handiwork of national policy makers; it may come from external sources and may merely be adopted to suit the circumstances prevailing in the country. For instance, the Community Development Programme had its genesis elsewhere and was funded through external agencies. Therefore, policy designs can emanate from internal as well as external sources. So we can say that in order to understand the policy process and its consequences, some significant questions have to be raised. First question is concerned with the policy design wherein a coordinated and integrated framework is developed which concretizes the objectives, gives for their achievement, and establishes choices of strategy and implementation. The second question is related to the mix of political and professional insights required to create these choices. The final question is concerned with the motivation of policy makers which powers them in making these choices.

Policy Implementation

Now we come to the after that stage of the policy cycle. This is a very crucial stage. In order to achieve the policy objectives, we have to see that the policy is implemented with full enthusiasm and commitment. There has been an assumption in most of our Five Year Plans that once a policy has been formulated, it will be systematically implemented and the desired results as envisaged through the policy makers will follow. But this assumption rests upon several political and organizational factors. All policies may not be the

result of a serious commitment to resolve the issues. The political motivations can power policies in such a method that it changes their whole complexion. These powers can become apparent at the formulation stage itself. Though, what is significant to understand is that the clash of political institutions and interests is not just confined to the formulation stage. It continues at each stage of implementation. This leads to cases where implementation can deviate from the goals that have been set.

Policies can become very hard to implement if the implementers are not given enough autonomy and flexibility in carrying out their tasks. In order to ward off political pressures and adhere to the goals of a policy, the implementers need adequate powers. Very often the government itself modifies or abandons its policy in the face of opposition from interest groups. A second cause why the policies may be hard to implement is that the bureaucracy does not have the necessary professional skills needed for the implementation of the policies. Bureaucracy necessarily has experts from dissimilar areas of specialization, but due to inappropriate recruitment policies, such expertise is not accessible. In such cases, vast training programmes are initiated so that adequate skills can be imparted to those who need them most. Bureaucracy should be strengthened to enable it to become an effective instrument of policy implementation.

Lack of possessions, personnel, financial and technical also acts as a hindrance in implementation of public policy. Inadequate staff, lack of expertise and skills, shortage of funds etc. blocks proper policy implementation. Another problem in policy implementation could be lack of response from the target groups. Sometimes people do not take interest in implementation of a programme; at times they are also not aware of the objectives and goals of a programme. Lack of people's participation often leads to breakdown in implementation. Actually the effectiveness of policy implementation depends to a great extent on the policy design. The activities associated with these two stages of policy cycle are closely inter-linked. The setting of goals and objectives, allocation of possessions, minimizing political

powers and choice of implementation strategies power the extent to which policy aims can be achieved.

Policy Education

Policy education is a very significant stage in policy cycle. Several troubles in policy implementation can be solved through policy education. People have to be made aware of the objectives of the policies, the benefits that can be derived from them, the implementation machinery chosen for the policies, the changes that could be brought in relation to the through the policies, the nature of their effect on the people, agencies and institutions involved in their implementation, monitoring and evaluation etc. Such type of education can go a long method in developing the right type of attitudes in people towards government policies and rising people's participation in policy formulation, implementation, and evaluation. People should not just be the end of public policies that is the targets or beneficiaries of policies but should also be the means for achieving the goals of the policies. Therefore policy education necessity receive due attention if public policies have to be made easily implementable and acceptable.

Adequate public support can create the role of voluntary agencies much easier. Leakages and corruption can be minimized and required expertise and skills can be incorporated. Voluntary agencies can act as a very crucial alternative mode of implementation. Therefore before going into actual implementation of a policy, it necessity be made sure that those who are involved in the implementation as well as those who are going to be affected through its implementation are well aware of the formulated objectives and impact.

Policy Evaluation

Policy evaluation is the final and the most significant stage in policy cycle.

In order to determine the success or failure of a policy, it is essential that a systematic and effective policy evaluation system exists in the country. A precondition to fool proof policy evaluation system is proper policy monitoring. After the implementation of the programme, it has to be ensured that implementation machinery functions adequately. Agencies, people, and institutions involved in implementation are not corrupt, possessions needed for carrying out the programme are sufficiently accessible and intelligently spent, and the duration targets are met with. Only after keeping a track of all these activities can proper evaluation of a policy is possible.

Policy evaluation has to be quantitative as well as qualitative. Unfortunately, the qualitative evaluation of policy in India has not got enough attention. The first and foremost thing that should be determined in policy evaluation is the distinction flanked by objectives and goals.

Goal is a wider term and to achieve the goals certain objectives are set. For instance, the goal of a rural development programme can be generation or additional income In order to achieve this, sharing of cattle can be one of the objectives. It is quite possible that while objectives can be achieved they may not lead to achievement of goals. In several rural development programmes, this has happened. For instance, sharing of buffaloes has been complete but incomes of beneficiary families have not increased. So, we have to clearly against the evaluation of this type and in no method should the intermediate goals be equated with ultimate goals. Therefore a clear and measurable definition of goals and objectives is required, this activity is usually not taken so seriously, and the goals are hazily defined. Moreover there is no guarantee that throughout the policy cycle the same goals remain operational. Goals and objectives change as policy gets implemented. Policy may even have multiple goals which need not be in harmony with each other. Goals may come into disagreement with each other and achievement of one goal may lead to failure of another. For instance, the public sector enterprises have not been able to resolve the disagreement flanked by their social service and profit-oriented goals. All this has to be looked into.

Another method to evaluate a policy is to determine its efficiency with regard to time and cost involved in its implementation. It has to be seen that the policy that is being implemented is able to create use of the money accessible for it or sanctioned for it in the most appropriate manner in order to avoid extravagant spending. It is also necessary that implementation of a policy is complete within the allocated time. Time and costs are interrelated factors which create or mar the policies. If policy implementation takes more time than required then the cost of possessions and other ingredients needed for making the policy a success also goes up and as a result, there are cost overruns or extra expenditure. Therefore time overruns and cost overruns need to be avoided. Throughout the course of policy implementation itself alternative methods to bring in relation to the efficiency have to be thought of so that money wasting and time wasting exercises get restricted.

Another type of evaluation can be qualitative evaluation. As mentioned earlier this is the area which needs due attention. It has to be determined whether the policy is beneficial for the people at large; whether the objectives formulated are proper and in consonance with the changing scenario, whether it will be viable in the long run; and whether it will be able to meet the rising expectations of people or not. The stated objectives of a policy might be development oriented but sometimes these get directed against people's demands. These days the controversies in excess of Teri Dam Project and Narmada Dam are examples of such policies that several people regard as anti-development, anti-human rights and anti-environment. Usually only a small number of people are able to derive benefits from a policy. As a result several policies have led to accentuation of economic and social inequalities. There can be policies which may generate conflicts in the middle of social groups, such policies become unacceptable even if the objectives set out in them are achieved in an efficient manner.

Therefore there are many criteria of evaluation of a policy and a policy has to satisfy the interests of all sections of the community no matter on what

criterion it is evaluated. Policies can be effective if there is consensus and agreement on issues. The goals and objectives underlying a policy are usually disputed if such type of consensus and agreement do not exist. Therefore evaluation of a policy has to be done very cautiously so that subsequent policies do not suffer from similar troubles and lasting solutions can be thought of.

Constraints In Policy Making: Need For An Effective Policy Process

The success of any policy depends on how well it is intended, formulated, implemented, and evaluated. Therefore all the stages of policy cycle are crucial. Still a systematic policy design, a full-fledged policy education programme, and a close to fool-proof evaluation system can go a long method in making the policy effective. Policy analysis is a very significant technique through which a policy can really be made viable. It is a very effective method of reducing policy troubles; it gives all the relevant information needed to solve problematic policy issues. Suffice it to say in excess of here that lot of thinking and rethinking has to go into the whole policy process. At each stage of the process proper analysis has to be made of all activities pertaining to policy, whether it is identifying the priority areas, surveying the possessions accessible, setting the goals and objectives determining the implementation machinery, educating the people in relation to the policies, activating the agencies and institutions involved in implementation, supervising the programmes, identifying the loop holes, formulating alternative strategies or analyzing the performance of policies.

There are several constraints in policy making which adversely affect the policy process. To recapitulate, inadequacy of financial possessions is one problem which affects the smooth functioning of the policy procedure. The augment in expenditure due to non-adherence of time schedules etc. worsens the situation. Inadequate expertise and skills accessible with the personnel occupied in policy making is another constraint which can be rectified through proper training and education. Lack of clarity of goals and emphasis on short-

term benefits also act as constraints. Political interference, lack of people's support, non-involvement of socially enlightened groups is some other constraints. Moreover faulty policy design, non-subsistence of policy education, improper monitoring, and evaluation of policies can also be added to the list of constraints.

While discussing the nature and troubles of policy formulation, implementation, and evaluation, it has to be kept in mind that political activity powers every stage of policy cycle. At each stage choices have to be made. The choice activity gives the arena where political groups can create their power work. The final choice or outcome can then be either a product of bargain in the middle of many groups or a choice of a dominant group. In both cases, the final choice should be acceptable to the people that are to the society at large. A policy has to acquire a degree of legitimacy and credibility. Unless and until it is acceptable to the people, mobilization of their support for systematic implementation becomes a very hard task. The groups who are affected through it should not get the feeling that the policy is being forced upon them. In a democracy, genuine bargain should function and the political institutions should be such as to allow the expression of disagreements.

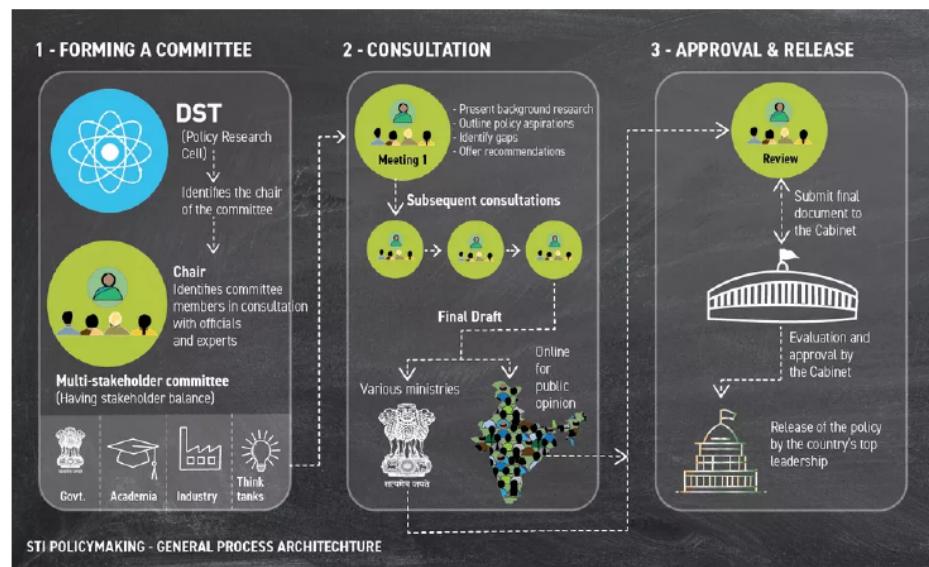
Policy formulators also have to mobilize public opinion in favor of policy choices. Again political parties create a major contribution in this area. For drastic reforms, this type of support becomes a must, otherwise, policies cannot succeed. The stage of determining the implementation machinery also requires mobilization of people's support. Bureaucracy in India has always had to face the wrath of the people. The involvement of bureaucracy in the implementation of programmes is often looked upon with suspicion and distrust through the people. Bureaucracy in its new role of a change agent has not yet been accepted through the people. Rising people's support and participation, in policy implementation therefore becomes a necessity. Political parties have to seek the support of the target groups in order to create the policies effective. Therefore, for a policy to be viable, its aims, and objectives should be formulated in such a method that people do not hesitate

in India

B. Chagun Basha

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POLICY

What is Science Policy? How are Science, Technology and Innovation (STI) policies made in India? Is there an institutional mechanism for STI policymaking? Who are the players involved in the STI policy process? How does evidence flow into this process? This article, as the first in the Science Policy 101 series, attempts to answer, think-through, and discuss these questions.



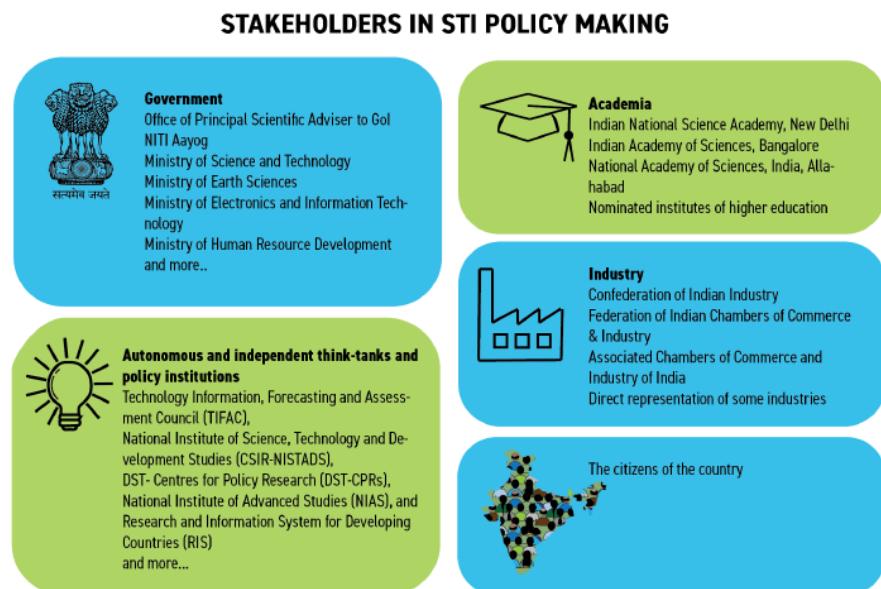
General Process Architecture of STI Policymaking (Infographic by Lakshmi Ganeshan)

What is Science (Technology and Innovation) Policy?

The interactions between 'Science' and 'Policy' require a clear conceptual understanding to define what we mean by Science Policy. Science could be used in (any) policymaking for making better-informed policy choices. This is known as '*Science for Policy*' or, in other words, '**Scientific advice for policymaking**'. On the other hand, a policy, which is made with an aim to promote, advance, apply, and regulate Science towards an anticipated outcome is known as '*Policy for Science*' or in other words, '**Science Policy**'. In this article, we talk about the latter, i.e. Science Policy. Here, the term 'Science' is used in a much broader sense to refer to the whole enterprise of science. Also, it is imperative to note that 'science for policy' and 'policy for science' are not mutually exclusive.

As an example, let's take one of the most pressing issues of our time which has a strong policy implication — climate change. In this case, scientific data generated through research and/or experimental observations informing climate-change policies, is a **Science Advice** activity. On the other hand, a policy having climate change-related research as one of its objectives – for better understanding of climate variables, generating and advancing the know-hows for climate change mitigation and adaptation – is a component of **Science Policy**. Scientifically informed climate-change policy is an example of ‘science for policy’ and science policy that helps in generating that scientific data/understanding to inform climate-change policy is an example of ‘policy for science’.

Who makes our national STI policies?



Stakeholders in STI Policy Making

As per the mandate drawn from Government of India’s allocation of business rules 1961, the Department of Science and Technology (<https://dst.gov.in/>) (DST), which is a part of the Ministry of Science and Technology, is **the nodal agency** which formulates policies that relate to Science and Technology. Although DST is primarily responsible for making STI policies, it is not the only agency involved in the STI policymaking process. It would

be appropriate to say that DST initiates and coordinates this policymaking process, taking various stakeholders on board. DST has a dedicated division called Policy Research Cell (PRC) which coordinates these activities.

“STI policies have an impact on all sections of society, and therefore require reflections/interventions from various stakeholders: the government, academia, industry and the society at large.

Priority areas for policymaking are derived through a rigorous multi-stakeholder consultation process. This is a facilitated discussion amongst all involved players with an aim to gather different perspectives, build trust, and develop a better understanding and consensus. It is important to note that within the government's institutional structure, the scope of public policies related to STI is not only limited to the Ministry of Science and Technology, but cuts across a range of other ministries, departments and agencies.

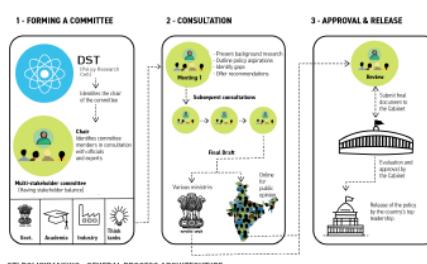
Some of these, including the Ministry of Earth Sciences (<https://moes.gov.in/>), Ministry of Electronics & Information Technology (<https://meity.gov.in/>), Ministry of Human Resources Development (<https://mhrd.gov.in/>), Office of the Principal Scientific Adviser to the Government of India (<http://psa.gov.in/>), NITI Aayog (<https://niti.gov.in/>) (erstwhile Planning Commission), Department of Biotechnology (<http://dbtindia.gov.in/>), Department of Scientific and Industrial Research (<http://www.dsir.gov.in/>), Department for Promotion of Industry and Internal Trade (<https://dipp.gov.in/>), Department of Agricultural Research and Education (<http://dare.nic.in/>), Department of Health Research (<https://dhr.gov.in/>), and State S&T Councils are directly involved in the STI policymaking process.

Academia is roped in through representation from national science academies ([Indian National Science Academy](http://www.insaindia.res.in/)(<http://www.insaindia.res.in/>), New Delhi, [Indian Academy of Sciences](https://www.ias.ac.in/) (<https://www.ias.ac.in/>), Bangalore, and [National Academy of Sciences India, Allahabad](https://dst.gov.in/professionalbodies/national-academy-sciences-allahabad) (<https://dst.gov.in/professionalbodies/national-academy-sciences-allahabad>)), and a few nominated institutions of higher education. Industry perspectives are included via their representation from industry associations such as the [Confederation of Indian Industry](https://www.cii.in/) (<https://www.cii.in/>), [Federation of Indian Chambers of Commerce & Industry](http://ficci.in/) (<http://ficci.in/>) and [Associated Chambers of Commerce and Industry of India](https://www.assocham.org/) (<https://www.assocham.org/>).

In addition, autonomous and independent think-tanks and policy institutions also actively contribute to this process. These include [Technology Information, Forecasting and Assessment Council](http://tifac.org.in/) (<http://tifac.org.in/>) (TIFAC), [National Institute of Science, Technology and Development Studies](https://www.nistads.res.in/) (<https://www.nistads.res.in/>) (CSIR-NISTADS), DST- Centres for Policy Research (DST-CPRs), [National Institute of Advanced Studies](https://www.nias.res.in/) (<https://www.nias.res.in/>) (NIAS), and [Research and Information System for Developing Countries](https://www.ris.org.in/) (<https://www.ris.org.in/>)(RIS).

The Institutional composition has been fairly consistent for all the STI policies made in India so far. However, from time-to-time, there are minor changes in the institutions/ actors involved in the policymaking process, and this is influenced by various factors.

How are STI policies made (so far)?



General Process Architecture for STI Policymaking in India

A *policy statement* is a declaration of plans and intentions which conveys the purpose of a specific policy and spells out a set of principles or guidelines

to help achieve certain objectives. There is no one standard way through which the need for a new policy is felt. There is no periodicity followed in releasing a new policy statement. In India, thus far, four STI policy statements have been issued. These include (i) Scientific Policy Resolution (SPR 1958), (ii) Technology Policy Statement (TPS 1983), (iii) Science and Technology Policy (STP 2003) and (iv) Science Technology & Innovation Policy (STIP 2013). The motivation for each of these policy statements was multifactorial and sometimes driven by the needs of that time. [A detailed discussion on motivations, salient features and impact of all four policies will be presented in our next article.]

Once a need for new STI policy arises, the policymaking process starts with the constitution of a Committee. Following are a set of general steps involved.

Forming a Committee

- DST identifies a renowned 'leader' in Indian Science, usually an eminent scientist, as the Chair of the policy committee.
- The Chair, in consultation with various officials and experts, identifies suitable members for the committee. The members are both ex-officio (by the virtue of holding some official post) and subject matter experts.
- The committee is constituted to have a balanced stakeholder representation from government, academia, industry and non-governmental organisations/think tanks. Also, gender and geographic representation are taken into consideration while appointing the members of the committee.

Consultation

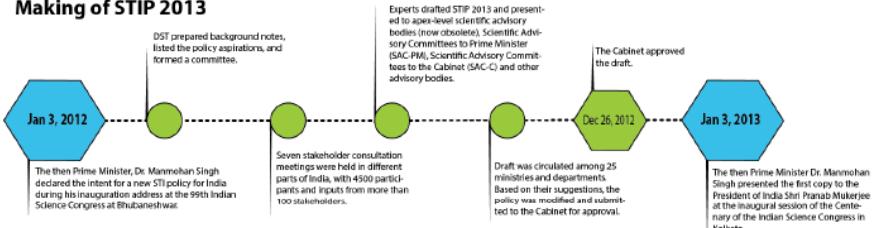
- The committee meets more than once for the multi-stakeholder consultation. The first meeting usually

starts with a background document which outlines the policy aspirations through a set of goals and objectives.

- Various stakeholders also present a set of additional documents to the committee. These documents may include relevant background studies which identify the gaps and offer recommendations that the committee can consider.
- The first consultation largely captures the essential components of the policy in the form of an initial draft. Here, a consensus is built amongst stakeholders.
- As per the Chair's discretion, the committee meets for subsequent consultations where the members deliberate more deeply on individual items of the initial draft, engage more with fellow members of the committee to understand various perspectives, feasibility and challenges. This peer questioning and direct engagement adds necessary rigour to the policy-making process.
- After sufficient rounds of consultation, the committee agrees on a final draft version of the policy document. This final draft is then sent out to various ministries and departments for wider consultation. The final draft is also published online to provide sufficient time for the public to view and provide any feedback.

Approval and Release

- The committee meets again to discuss and incorporate the feedback and suggestions obtained from the public consultation process.
- Once approved by the Chair, the committee submits the document to the Cabinet for approval.
- The Cabinet carefully evaluates the policy document and seeks clarity if there are any observations.
- The Cabinet approves the policy document after performing its due diligence and the policy is released by the country's top leadership.

Making of STIP 2013

Following is the process and timeline that was followed for the STIP 2013. [Many thanks to Prof. T. Ramasami, former secretary of DST, for sharing these first-hand details]

“Evidence-based” STI policy framework

“Around the world, it is widely being acknowledged that evidence plays a critical role in determining success (or failure) of any policy.

Evidence, as it is simply referred to in the policy process, is nothing but rigorously established objective knowledge. Evidence-framework is a term commonly used to denote the institutional mechanism to introduce evidence into the policy process. Evidence could come directly from data, expert-level advice, and through policy research and analysis. In the Indian scenario, the national academies, think tanks and other individual experts bring evidence into the policy process through various means. These could be policy bulletins, inferences drawn from research data (and experimental observations), field reports or expert opinions. Particularly, in the case of STI policies, the data on STI (gathered through R&D and innovation statistics) form a critical portion of the collective evidence base. However, the robustness of evidence-framework in Indian STI policy process is still debatable. To strengthen the institutional mechanism for building a robust evidence framework, starting from 2013 onwards, DST established the Centres for Policy Research (DST-CPRs) in different parts of the country.

Observations

The following are some observations made by the author on the existing national STI policy ecosystem.

- The present STI policy ecosystem in India is not structured enough to be easily comprehended. This presents both challenges and opportunities. Sound institutional memory (for preservation of best practices, knowledge, and learned experiences) and knowledge transfer processes (for ease of dissemination of knowledge) have to be built to make the ecosystem more robust and to help transfer good practices to the next generation of policy practitioners.
- Evidence should form the basis of the policymaking process and must be used to inform every step of the STI policy process including its implementation. It is promising to see that efforts are being made by DST, MHRD and other agencies in the form of establishing policy centres and fellowship programs to create and institutionalise a robust evidence framework for STI policy in the country.
- STI systems are becoming complex, dynamic and are witnessing rapid changes. To support the dynamic nature of these systems, both evaluation and adaptation should be an integral part of the STI policy cycle.

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work by competent persons. This requires adequate information feedback, resources and political will.

3.3 FORMULATION OF PUBLIC POLICY

3.3.1 Constitutional Framework for Policy-Making

Policy-making in India is shaped within the framework of the constitutional system, of which four features stand out most prominently: democratic and sovereign republic, parliamentary system, the federal character of the Constitution and a broad socio-economic philosophy - reflected especially in the preamble, the chapters on Fundamental Rights and the Directive Principles of the state policy.

3.3.2 Institutional Factors

In addition to these four constitutional factors there are other factors that govern policy-making in India.

Legislature

Parliament in India is the supreme public policy-making body. It reigns supreme because the council of ministers headed by the Prime Minister is dependent upon the support of a parliamentary majority to remain in force. It enacts laws which will bring the policies into effect. It also legitimises the policy decisions of the government.

In reality, however, it does not reign supreme. It does not determine policies except in a formal sense. It influences public policies through general discussions and debates. Most of the legislation in India is prepared within the executive and introduced in the legislature by the minister concerned. The executive is assured of a legislative majority for the policy proposals it presents.

Executive

It is the constitutional task of the executive to decide the policies which are to be submitted to Parliament. The executive at the Union level in India consists of the President of India, the Council of Ministers and the machinery of government. The main bodies engaged in policy formulation in the executive are:

- i) **Cabinet:** The real executive is the Council of Ministers consisting of the Prime Minister, cabinet ministers, ministers of state and the deputy ministers. It is well-known that the Council itself hardly meets, and all the policy functions are performed by the Cabinet.
- ii) **The Prime Minister:** Within the Council of Ministers in general and the cabinet in particular, the Prime Minister enjoys a special position in the realm of policy-making. The Prime Minister is expected to exercise control over the cabinet decision-making process.
- iii) **Secretariat-Department and Ministry:** The secretariat is an administrative organisation to assist the government in the discharge of its executive and legislative responsibilities. It is a complex of departments and ministries whose administrative heads are known as secretaries and whose political

heads are the ministers. The secretary acts as the chief adviser to the minister. He assists the minister(s) in the formulation of public policies. As policies can be framed only on the basis of availability and adequacy of data, the secretariat makes relevant information available to the minister, thus helping him to formulate policies.

Judiciary

The judiciary in India also plays a constructive role in shaping and influencing public policies in two ways: a) by its power of judicial review, and b) judicial decisions.

The Constitution empowers the Supreme Court, and High Courts at the state levels to exercise a judicial review of legislation. Judicial review is the power of the courts to determine the constitutionality of actions of the legislature and the executive. They are not only specifying the government's limits with regard to certain actions, but also stating what it must do to promote public interest. Besides, the higher judiciary is also exercising its influence through its decisions in Public Interest Litigation cases.

3.3.3 Non-Governmental Institutions

Some non-governmental organisations such as political parties, pressure groups, media and citizenry are also informal participants in the policy process. Their views and influence are of critical value to the policy-making process.

Political Parties and Pressure Groups

The pressure exerted by pressure groups and political parties is an important factor in the making of policies. The political parties provide impetus to policies through their election manifestoes, and by enlisting support at the time of elections. Pressure groups strive to influence the decisions of the government in manifold ways. Often, these groups are found to have conflicting values on a particular policy issue. Obviously, well-organised and active pressure groups have more influence than groups whose members are poorly organised and inarticulate.

The Individual Citizen and the Media

The people initiate the process of legislation and policy-making by voting for candidates with specific policy preferences. A democratic government is supposed to reflect the wishes of the people. Yet, in reality citizen's participation in policy-making is very negligible. Acting alone, the individual citizen is rarely a significant political force. The media can also influence public opinion in a situation. Media influence, however, depends upon the level of responsiveness from the government.

External Agencies Influencing Policy

External agencies and non-state actors are an important source in the initiation of new public policies or modification of pre-existing policies, especially in Third World countries like India. They include agencies such as the United Nations and its allied agencies (WHO, ILO, UNEP, UNDP, etc.) the World Bank, the International Monetary Fund, the Organisation for Economic Cooperation and Development (OECD) and other multilateral agencies is of critical importance in shaping policy outcomes.

The Policy Formulation Process

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Introduction

In the course of our daily lives, we are affected directly and indirectly by many policies. These policies can be public or private/business in nature. A public policy is what the government chooses as guidance for its actions. On the other hand, a business policy is what a company chooses as guidance for its actions. A policy can be defined as ‘a purposive course of action taken by those in power in pursuit of certain goals or objectives’ (Sapru, 1994:3). Examples of policy goals or objectives would be to resolve particular problems in society such as HIV/AIDS, poor education services, energy crisis, poverty and corruption, among others.

The process of making a policy, in any sector, involves going through a number of interdependent stages. These are: problem identification/policy agenda setting, policy formulation, policy adoption, policy implementation and policy evaluation. For the purposes of this paper, we are going to discuss the policy formulation process. To achieve this, the paper will begin by discussing the idea of policy formulation and its importance

to an organisation. Secondly, we will look at forces in the policy formulation process. Thirdly, we will outline the key steps in the policy formulation process. Fourthly, we will look at the importance of consultations and involvement of stakeholders in the policy formulation process. Fifthly, we will discuss policy marketing. Sixthly, we will discuss policy implementation. Seventhly, we will look at policy evaluation. Finally, a conclusion will be given.

The idea of policy formulation and its importance to an organisation

To begin with, the concept of policy formulation refers to the process of identifying courses of action, often called alternatives or options, to resolve problems faced by a particular organisation (Anderson, 2003:27). In this case, an organisation could be a business firm/company, government department, ministry or political party. The idea of formulating a policy comes as a result of policy demands or claims for action on a particular issue that are made by other actors. The actors could be citizens, customers or the civil society, among others. For example, a demand could be made to prohibit certain activities within the community or organisation. In response to these policy demands, officials like government ministers, Members of Parliament (MPs), party officials and company directors make decisions that give direction on what should be done. The decisions may be to enact a statute, issue executive orders, make administrative rules or make judicial interpretations of laws (ibid: 4).

The importance of formulating a policy is that it acts as the formal expression of the organisation's intentions and goals and what should be done to achieve the same goals.

This creates order in the organisation, which in turn, helps the organisation to move from the past to the future. In this case, the future state would be to develop the economy or to sustain improvements in the social system or to increase the capacity of the organisation (Sapru, 1998:11).

Forces in the policy formulation process

The process of formulating a policy involves the exercise of power by different individuals and groups. These individuals and groups put some kind of pressure or force in the policy formulation process. The force comes from the following actors:

1. Individual citizens: - in a representative democracy, it is assumed that power flows from people (individual citizens). This entails that power to formulate policies is delegated from the people to representatives who form the legislature and in turn formulate policies on behalf of the people. In this case people initiate the process of policy formulation by voting for candidates whose opinions and values they know. In fact, the aspect of subjecting certain office-holders to periodic elections ensures that 'attention is paid to the interest of those who are represented.' Through the legislature, the representatives of the people formulate policies by a majority vote (*ibid*: 48).
2. Political parties: - in the case of public policies, political parties serve as links between citizens and government policy makers. Firstly, political parties tend to have programmes or manifestoes that they present to the citizens. Ordinarily, people would vote for a particular party based on its programme rather than individuals. 'The electorates expect that the party they vote for, if elected to

office, will formulate policies on pledges made in the election manifesto.'

Secondly, the party that wins the elections is expected to implement its programme while opposition parties must present alternative programmes. At this stage, the choice of public policies can be influenced by exercising control over party officials who are in government such as the President and Vice-President, among others (ibid: 49-56).

3. Pressure groups: - these are formal structures whose members share a common interest. Examples of such groups include civil society organisations. These groups 'strive to influence the decisions of the government without attempting to occupy political office' (ibid: 52).

Official policy formulators

Despite pressure groups putting force in the policy formulation process, they are not official policy formulators. Official policy formulators are those officials who have the legal authority to formulate policies. These officials include:

1. Legislatures: - these are the supreme policy making bodies of organisations especially in government. For example, the legislature in a government system would be the National Assembly/Parliament. Similarly, other organisations such as political parties and business companies also have bodies of similar standing, that is, the supreme policy making organs. These include national conventions and board of directors, respectively.
2. The Executive: - this is the organ of an organisation that is responsible for implementing policies. For example, in a government system, this organ is usually

headed by the president and comprises several government ministries and departments. This organ participates in policy formulation because the legislature tends to delegate a substantial amount of policy formulation authority to the president. Similarly, other organisations like political parties tend to have organs that are in charge of implementing policies and would have delegated authority to make policies in certain areas. For example, the executive would be given power to make decisions and administrative appointments that would facilitate effective implementation of policies.

3. The Judiciary: - apart from enforcing the law, the judiciary in a democratic state plays a key role in policy formulation. The courts, especially the Supreme Court plays this role through judicial review of laws. Judicial review refers to ‘the power of the judicial courts to determine the constitutionality of actions of the legislature and executive and declare them null and void if such actions do not conform to the constitutional provisions.’ In this regard, when a judge interprets the meaning of legislative provisions then his/her interpretation becomes the policy for the issue being contested (Sapru, 1998: 78).

The key steps in the policy formulation process

In the case of public policies, the following are the key steps in the policy formulation process:

Step 1

Minister identifies a problem in his/her sector i.e. demands being made by people for action to be taken by the ministry e.g. demands on bad roads, crime, waste, inefficiency, etc. Minister drafts a bill for the proposed policy. Draft bill shows policy objectives and courses of action or alternatives to achieve the objectives. This is done after consultations with key stakeholders like ministry officials, policy analysts, political parties, NGOs, etc.

Step 2

Draft bill is published in the Government Gazette for comments by various stakeholders e.g. members of the public, political parties, NGOs, etc. This is done within a given period of time.

Step 3

Draft bill is redrafted by the ministry taking into consideration comments from various stakeholders

Step 4

Draft bill is submitted to Cabinet for consideration

Step 5

Draft bill is taken to government legal advisers for certification (usually under the Ministry of Legal Affairs/Department of Justice)

Step 6

Draft bill is taken to the National Assembly for consideration

Step 7

Within the National Assembly, the bill is referred to the relevant committee for consideration. The committee calls for submissions from stakeholders to help refine the bill. The committee then submits a report for debate in the National Assembly.

Step 8

The National Assembly debates the bill and approves it.

Step 9

After approval by the National Assembly, the bill goes to the Republican President for Assent so that it becomes an Act, Law or Policy.

Step 10

The Act is published in Government Gazette and it becomes the policy for that sector, ministry or government department.

Even other organisations such as political parties and companies have organs similar to those of government and follow the same steps in the process of formulating their policies.

The importance of consultations and involvement of stakeholders in the policy formulation process

The importance of consultations and involvement of stakeholders in the policy formulation process is to create the sense of policy ownership among stakeholders. In other words, it enables the stakeholders to see the policy as reflecting their beliefs or needs. If there is limited or lack of involvement of stakeholders then the affected stakeholders might regard the policy as unnecessary. This is because it may be seen as offending their ideological inclinations. The result would be strong opposition to the policy. Eventually, there would be need to go through the formulation process again so as to make the policy more effective or to remove portions that appear to be ineffective/offensive (Anderson, 2003: 274).

Policy marketing

Formulation of a policy, on its own, is not enough. The benefits of a policy can only be realised when that policy is implemented. However, policy implementation may not be easy. Sometimes, serious political struggles may emerge at this stage, especially when dealing with very controversial issues like environmental protection, affirmative action and abortion. Stakeholders that suffer losses in the policy formulation process may want

their needs to be met by influencing or disrupting implementation of the policy (ibid: 194). As such, there is need to market the policy so that it becomes acceptable to stakeholders and enhance its implementation. This requires dissemination of information about the adopted policy to various stakeholders and lobbying for their support. A number of methods can be used to do this. They include holding conferences, briefings and meetings.

Policy implementation

This is the stage at which the policy is put into action. It involves organising and directing resources so as to achieve the objectives of the policy. At this stage institutions are established, facilities constructed and services provided. However, policy implementation is not a very predictable process. This is because stakeholders may continue to have differing interests. As such, there is need for coordination and cooperation among stakeholders.

Actors in the implementation process

In the case of public policies, the organ that implements policies is the executive wing of government, which is made up of ministries and government departments or administrative agencies. These are the ones that organise inputs or resources like human resources, money, materials and equipment that are necessary to implement the policy. The other actor is the legislature, which holds administrative agencies accountable for what they do. This is done through committee hearings and investigations that are used to review the implementation process (ibid: 198). The judiciary also plays a role through

judicial interpretation and application of the law. The civil society can also be engaged in implementing policies. For example, some NGOs and community organisations can be used to implement policies in particular sectors of the economy like agriculture, education and health sectors.

In the case of policies for other organisations such as political parties and companies, they can also have organs similar to those of government so that the same procedures of policy implementation are followed.

Policy evaluation

After implementation of a policy, it is important to establish the extent to which policy objectives have been achieved. This is done through the process of policy evaluation. Evaluation allows the policy to be measured in terms of its effectiveness to resolve the initial problem. In most cases, evaluation tends to show that the policy was able to solve one problem and at the same time create another problem. For example, there could be a policy aimed at protecting the environment by way of heavy fines on industrial emissions. On the one hand, this policy would enhance preservation of the environment. On the other hand, the same policy would make the cost of production to be very high thereby making goods and services very expensive for poor people. Eventually, poverty levels would increase. This becomes a new problem, which requires a new agenda to be set and to go through the policy formulation process again so as to deal with the new policy problem. At this point, we can see that the process of policy making is a cycle, without a starting or end point.

Conclusion

In conclusion, it can be mentioned that a policy is guidance for action. It can be for a public or private organisation. Policy formulation is one of the interdependent processes of policy making, which involves the exercise of power by different individuals and groups who may do so through their representatives. Despite pressure groups putting force in the policy formulation process, they are not the official policy formulators. Official policy formulators are those organs and officials who have the legal authority to formulate policies such as legislatures, the executive and judiciary in the case of public policies.

The key steps in the process of formulating public policies include problem identification and drafting of the bill, publishing the draft bill in the Government Gazette, redrafting the bill, submitting the bill to Cabinet, certification of the bill by government legal advisers, debating and approval of the bill by the National Assembly, assenting of the bill by the president and publishing the policy in the Government Gazette. The whole process requires sufficient consultations and involvement of stakeholders so as to create the sense of policy ownership among them. After formulation, the policy is supposed to be implemented. Thereafter, the policy should be evaluated so as to establish the extent to which policy objectives have been achieved.

References

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