

## Reading 1) A stakeholder analysis [1]

### Intro

#### Stakeholder analysis

- Stakeholder Approach, a tool or set of tools for generating knowledge about actors: individual and organizations
- To understand their behavior, intentions, interrelations and interests
- Assessing the influence and resources they bring to bear on decision-making or implementation process

#### Purpose of Stakeholder analysis

- Feasibility of future policy directions
- Facilitate the implementation of projects
- Develop strategies for managing important stakeholders

#### Aim of the Paper

- Discuss a set of interrelated questions to be considered before undertaking a stakeholder analysis
  - What are the purpose and time-dimensions of interests
  - What are the time-frame and resources available?
  - In what contexts and at what level will it be undertaken?
- Explain the process of conducting the analysis, by literature & empirical studies in Alcohol policy in Hungary
- Caveats and limitations around data validity and reliability are discussed

#### Preliminary questions

##### What is the aim and time dimension of the analysis?

- Identify the scope and time dimensions: *Past, Present, Future*
- Past
  - Retrospective dimension
  - (Broad) Comprehensive analysis on policy-making process
- Present
  - (Narrow) Goal-oriented, Implementation of a specific policy
  - (Short period) Strategic planning to scan current, or predict the future organizational environment
- Future
  - Prospective dimension
- Characteristics of stakeholder analysis
  - To increase the chances of project success through informing design, preparation, and implementation
  - Evaluation, during or after project completion
  - The result of analyses can be used to develop project logical frames, and useful in identifying assumptions on which the success or failure of project outcomes depend.
  - less complex and time-consuming endeavor

##### What is the context?

- Understanding the culture and Context is necessary for deciding how to interact with stakeholders, collect and analyze data
  - Managerial, administrative policy culture & traditions
  - Ethnic and cultural affiliations make demands on politicians to maintain communication channels
  - Cultural and interpersonal communication can affect the success of analysis

##### At what level will the analysis take place?

- Research levels: Local, Regional, National, International
- Local level analysis
  - All stakeholders can be reached and interviewed individually
- Supra-national analysis (National & International)
  - Review of policy documents, reports and existing data

#### Preparation

##### Analysts and analysis teams

Analyst: Individual or team

- Analyze & quantify qualitative data
- Team: Compensate for and neutralize individual biases
  - More objective
  - Perspectives of stakeholder positions and interests
  - assessment of levels of resources

- influence they can bring to bear
- Single analysts
  - More uniform approach in collecting qualitative data
  - valid cross-comparisons of data
- Analysts: **Insiders or Outsiders**
  - Are they involved in the project?

*Managers (insiders) can sometimes hold strong opinions about stakeholders which conflict with generalised perceptions of the environment. The external analyst can play a valuable role as an 'independent auditor' of those stakeholders (Crosby, 1992)*

- Cultural insiders
    - Familiar with the local modes of verbal and non-verbal communication
    - Good understanding environment and context
  - Outsiders
    - \* Gain insight how their assumptions may be bias the analyst
- > Mixed team of insiders & Outsiders to analyse the environment.

## Conducting the analysis

### Identifying and approaching stakeholders

- Identify the different components of the policy issue or problem.
- **Stakeholders**: Actors who have an interest in the issue under consideration.

### Data collection methods and data

- Data collection methods
  - Face-to-Face interviews*
  - Semi-structured interview
  - Contemporaneous note-taking*
  - Published and unpublished documents, reports, policy statements, internal regulations of organization
  - \* Interviews provide opportunity to access unpublished documents

인터뷰는 단체장보다는 단체 소속 개인에게 접근하기 쉬운 방식으로, 공식적인 데이터보다 개인의 주관적이며 경험적인 데이터를 확보하기 쉽다. 따라서, 인터뷰어의 bias와, 기관 내부 culture와 context에 따른 인터뷰 대상의 bias의 영향을 고려하여 데이터의 품질을 관리해야 하며, 인터뷰어의 역량이 데이터 품질에 큰 영향을 줄 수 있다. 대상 표본 설정, 인터뷰방법(1:1, 1:n 대면, 인터넷 설문 등), 질문지 구성 등에 따라 다른 데이터를 획득할 수 있다.

반면, 출판된 문서, 내부 규범, 리포트 등의 문헌 조사는 공식적인 데이터를 수집할 수 있어 보다 명확하고 신뢰할 수 있는 정보를 수집할 수 있다. 하지만, 기관의 내부 자료를 수집하기 어려우며, 접근이 가능하더라도 비공식적인 자료를 사용하는 경우 정확한 정보를 담고 있지 않거나, 보안 이슈, 엠바고 등의 사유로 연구 결과를 출판하기 어려울 수 있다.

## Organizing and analyzing data

- Outputs
  - Constructed to quantify stakeholder interacts
- Feedback
  - Build trust and enable to correct & qualify
  - Cons: influence and later the stakeholder's position, reducing the utility of the analysis

### Present findings (Output)

- Characteristics of stakeholders
  - ex) matrix tables or map
  - Involvement, Interest, Influence, Position, Impact ...
  - Levels of influence and support
    - Changes in time-line
- Short-term pragmatic goal: Implementation of policy, Identification and assessments

## Using the findings

- Identify the optimal strategies for managing other stakeholders,
- Identify current and future opportunities and threats'
- Strategies of stakeholders
  - Supportive - Involve
  - Mixed - Collaborate
  - Non-supportive - Defend
  - Marginal - Monitor

## Limitations, Validity, and Reliability

- The environment, the context of the analysis, stakeholder interests, positions, alliances, and influence changes over time.

- The analyst should consider:
  - The position of a respondent in an organization*
  - How stable or provisional that position may be
  - Responses reflect individual views which may contradict or run counter to those of the organization*
  - The degree to which a stakeholder has implicit or covert position on an issue

Stakeholder analysis 연구는 각 기관의 정체성을 정의하고 정책 분야에 있어 기관의 향후 방향을 제시하여 Policy-maker에게 인사이트를 제공할 수 있다. 또한, 각 기관에 소속된 개인에게도 직간접적인 영향을 줄 수 있어, organizational culture & context의 변화에도 기여할 수 있을 것이다.

본 논문은 정확한 분석을 하기 위한 방법론을 제시했지만, 어떻게 연구 결과를 publish하고, 분석 대상인 기관에 배포하여 response를 이끌어낼 수 있는지에 대한 논의도 함께 진행되어야 한다.

## Reading 2) Policy Success, Policy Failure, and Grey Areas In-Between<sup>[2]</sup>

### Literature review

1. Literature on policy evaluation and policy improvement is close to [Lasswell](#) (1956, 1971) vision of a policy sciences which contributes to societal betterment.
    - Criteria of policy: Guidance to policy scientists to bring about improved capability in the formation and execution of policy
    - Provide info for decision making process.
  2. Concept of [Public value](#)
    - Mark Moore(1995) Assumptions
      - Government tends to be wasteful and bureaucratic
    - Public Values
      - 1) Production of things of value to clients and stakeholders
      - 2) Legitimacy in being able to attract resources and authority from the political authorization environment
      - 3) being operationally and administratively feasible
- 이 주제는 이번 주 research question: Why is the problem important?와 연관있다. Policy와 Public value의 관계를 명확히 설명하여 정책의 legitimacy를 확보하는 것이 Policy success의 주요 요건 중 하나인 것으로 예상된다.
3. Good practice in the process of policy making and management
    - Implication of 'Policy success'
      - Policy design, Deliberation, Public engagement, Incremental bargaining, Problem definition, People skills
  4. Political aspects of policy have implications for what constitutes political success
    - Evaluating policies in terms of their ability to produce benefits for particular political actors or groups

## Three strands of policy: The basis for Succeeding and Failing

### Process

Which societies could and should make collective choices in the public interests

- Researches
  - Lasswell(1956), Lindblom(1959, 1965), Easton(1953, 1965)
  - Deliberative engagement, Policy design, Resolving controversies, Solving problem, Policy cycle ...
- Governments do process and they may succeed and/or fail

### Program

What governments do, Concrete form of generalized intentions on statements of policy

참고) Project vs Program vs Policy (a.k.a 3Ps) Hierarchy

- Project: Targeted works that go into a program
  - Program: What facilitates projects
  - Policy: What drives the program
- Policy > Program > Project 순으로 위계 피라미드가 구성된다. (In defense industry, we often used 'program' rather than 'project' since it is bigger term, so that PM states for program manager not project manager.)

### Politics

The choice of government have consequences for the reputation and electoral prospects of politicians, and their capacity to manage political agenda.

## Defining policy success

### Policy Success

- A policy is successful if it achieves the goals that proponents set out to achieve and attracts no criticism of any significance and/or support is virtually universal.
  - Government can and sometimes does attain the goals it seeks in each of its three realms of policy.
  - Not everyone will perceive government's achievements as successful

- Heuristic purposes, The tension between the objective and dimensions of success.

## The spectrum from Policy success to Policy Failure

Typology of Policy Success, [Political success](#)

### 1. [Process Success](#)

1. Preservation of government's policy goals and instruments
2. Attaining legitimacy through a general acceptance that the policy has been produced through means that are legal and normal procedures
3. Marshalling of a sustainable coalition of supporting interests and not just an ad hoc coalition securing the initial adoption of a policy
4. Success may stem from a process which encourages innovation

### 2. [Program success](#)

- Government stance produces the results designed by government
  - Implementation that produces the desired outcome
- Measure of success
  - Satisfying criteria in particular policy community
  - Efficiency in public budgeting ...

### 3. [Political success](#)

- Outcome of policy provide significant political benefits, enhance electoral prospects and reputation of the government
- [Manageable](#) law and order problem
  - <-> Opposing [wicked problems](#) ex) long-term racial discrimination and urban deprivation

### 4. [Resilient success](#)

- Opposition and shortcomings make second best outcome.
- Government achieves its policy in broad terms notwithstanding small modifications and setbacks.

### 5. [Conflicted success](#)

- Achieved goals in some points, but has to backtrack, or make modifications
- Substantial controversy, galvanizing opposition parties, and forcing government into a defence of core values and aims of the program.

### 6. [Precarious success](#): edge of failure.

- Small achievement, short of intentions, and controversy is substantial.
- Failure and termination
- Precarious political successes are a substantial liability for government.
  - Costs are greater.

### 7. Failure

A policy fails if it does not achieve the goals that proponents set out to achieve, and opposition is great and/or support is virtually non-existent.

- Consequence of the *Mobilization of bias*
- Government is defeated in its ambition to enact legislation or make a decision
- Politicians and parties that sponsor also failed programs.

## Contradictions between different forms of success

### • **Successful Process vs Unsuccessful Programs**

- to get decisions taken and legislation passed, using executive powers to steer the policymaking process towards such goals.
- Policymaking without sufficient checks and balances is prone to producing flawed policies because goals and/or instruments have not been refined in order to produce workable policies through incremental bargaining, deliberative engagement, partisanship and plurality and careful policy design.

### • **Successful Politics vs Unsuccessful Programs**

- Political success necessitates programs that leave much to be desired in terms of tackling policy problems.
- Criteria of political success
  - Enhancing government or leader's reputation / electoral prospects at the expense of programs
  - Easing the business of governing through the agenda management of wicked issues
    - symbolic or placebo elements

### • **Successful Programs vs Unsuccessful Politics**

- Not always result in political success
- Successful programs may rebound on government agendas because of unintended consequences of an excess of success

### Research Question

Which stage of policy cycle is most efficient for stakeholder analysis? What makes stakeholder analysis efficient for policy making process? How could the research enhance the success of policy & politics?

1. Varvasovszky, Z and Brugha, R. (2000). A Stakeholder Analysis, Health Policy and Planning, 15(3), 338-345 ↩
2. McConnell, A. (2010) 'Policy Success, Policy Failure and Grey Areas In-Between', Journal of Public Policy. 30(3), pp.345-362. ↩