

Policy Analysis and Policy Advice: Perspectives from Canada



2020

Michael Howlett

Michael Howlett
Department of Political Science
Simon Fraser University
Burnaby, B.C. Canada
howlett@sfu.ca

Central Concern:

How is good public policy made – the role of Policy Experts and Policy Analysts in Government?

Key Questions:

What is the nature of a policy advice system?

And

Who are policy analysts and what do they do?



This talk reports on a set of surveys examining the background and training of federal, provincial and territorial policy analysts in Canada, the types of techniques they employ in their jobs, and what they do in their work on a day-by-day basis.

Conducted in 2010-2015

The profile of policy analysts reveals significant differences between what analysts actually do vs what it is often assumed they do

This has important implications for policy training and practice, and for the ability of nations to improve their policy advice systems in order to better accomplish their goals.

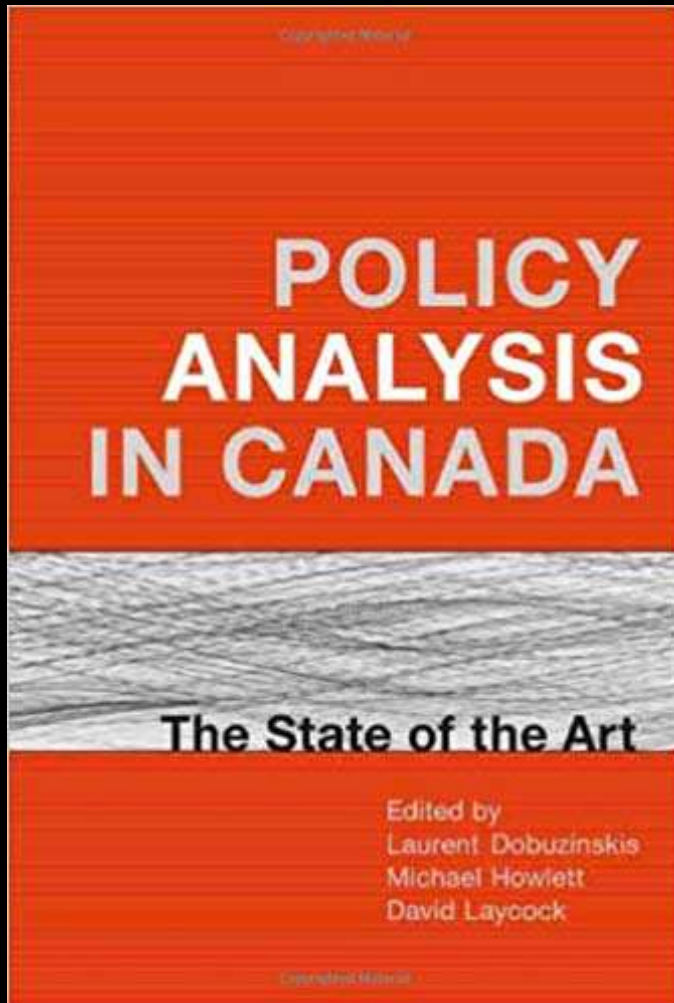


2020

Michael Howlett

23

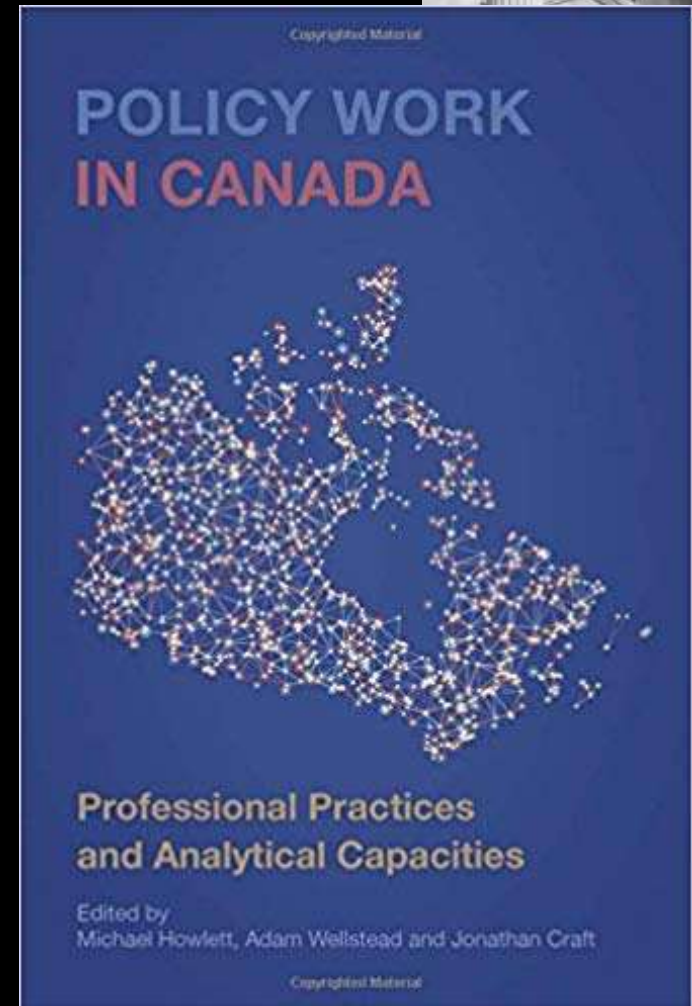
Synopsis of two books 10 years apart (2007-2017) + ILPA Series of 15 Books



Dobuzinkis, Laurent, Michael Howlett, and David Laycock, eds. *Policy Analysis in Canada: The State of the Art*. Toronto: University of Toronto Press, 2007.



Howlett, Michael, Adam Wellstead, and Jonathan Craft, eds. *Policy Work in Canada: Professional Practices and Analytical Capacities*. Toronto: University of Toronto Press, 2017.



Basis for ILPA Series of 15+ Books (including Australia)



2020

Michael Howlett

Outline

The Central Problematic: Poor Data

Key Concepts: Policy Analysis and Policy Advisory Systems

Styles/Modes of Policy Analysis

Canadian Policy Analytical Capacity Survey Project 2010-2015

Findings

1. Similarities & Differences Across Levels of Government
2. Who are They? A Demographic/Career Profile
3. What do They Do? A Task Profile

Conclusion: A Shift in Policy Style?

Four Takeaways on Practice, Paedagogy and Research

(If Time) Future Research Directions (The Search for Substance



Different types of “policy advice systems” exist and what analysts do depends in part on the type of system present and the placement of the analysts within those systems.



	Proximate Actors	Peripheral Actors
Public/Governmental Sector	<p>Core Actors</p> <p><i>Central Agencies</i> <i>Executive Staff</i> <i>Professional Governmental Policy Analysts</i></p>	<p>Public Sector Insiders</p> <p><i>Commissions and Committees</i> <i>Task Forces</i> <i>Research Councils/Scientists</i></p>
Non-Governmental Sector	<p>Private Sector Insiders</p> <p><i>Consultants</i> <i>Political Party Staff</i> <i>Pollsters</i></p>	<p>Outsiders</p> <p><i>Public Interest Groups</i> <i>Business Associations</i> <i>Trade Unions</i> <i>Academics</i> <i>Think Tanks</i> <i>Media</i></p>



Table 1 – Locational Model of Policy Advice System
(Halligan, 1995)

Location	Government control	
	High	Low
Public Service	Senior departmental policy advisers Central Agency advisers /strategic policy unit	Statutory appointments in public service
Internal to government	Political Advisory systems Temporary advisory policy units <ul style="list-style-type: none"> • Ministers Offices • First Ministers Offices Parliaments (e.g. a House of Commons)	Permanent advisory policy units Statutory authorities Legislatures (e.g., U.S. Congress)
External	Private sector/NGOS on contract Community organizations subject to government Federal international organizations	Trade unions, interest groups etc Community groups Confederal international communities/organizations

While very useful and a clear advance on earlier works which focused attention

The Central Problematic: Poor Data for Analyzing Policy Influence of Advisors

Many studies urge certain techniques or practices on professional bureaucratic policy analysts (see for example, Dunn [2004] Patton Sawicki [1993]; MacRae and Whittington [1997] and many others) and this influences instruction, training and recruitment.

But in most countries empirical data on just about every aspect of actual policy analytical practices in government is lacking.



What About Professional Policy Analysts | Government?

This is especially true of professional policy analysts employed by government.

In most cases studies rely on only one or two quite dated works, on very partial survey results, or on anecdotal case studies and interview research.

Very poor data on Sub-national level despite significance in federal countries like Canada and Australia, and many others.

Who are these people and what do they do?





- In general the existing data are so poor that in most cases it is not clear even if the job classifications and titles typically used by public service commissions to categorize professional policy analysts in government for staffing purposes are accurate or if they reflect a true sense of what policy analysts actually do on a day-to-day basis.

What do Policy Analysts Do in Theory and Practice?

Most existing studies and commentaries start from and rely on Arnold Meltzer's classic works on the US situation from the 1970s and early 1980s:

- Meltzer, Arnold. "Bureaucratic Policy Analysts." *Policy Analysis* 1, no. 1 (1975): 115–31.
- Meltzer, A. J. *Policy Analysts in the Bureaucracy*. Berkeley: University of California Press, 1976.
- Meltzer, Arnold J. "Creating a Policy Analysis Profession." *Society* 16, no. 6 (1979): 45–51.
- Meltzer, A. J., and C. Bellavita. *The Policy Organization*. Beverly Hills: Sage Publications, 1983.
- Meltzer, A. J.,. *Rules for Rulers: The Politics of Advice*. Philadelphia: Temple University Press, 1990.



2020

Michael Howlett

*Policy Analysts
in the Bureaucracy*

Arnold J. Meltzer

UNIVERSITY OF CALIFORNIA PRESS
BERKELEY LOS ANGELES LONDON



16

Policy Analysts in the Bureaucracy

Chart 1

		Political Skill	
		High	Low
Analytical Skill	High	Entrepreneur	Technician
	Low	Politician	Pretender



have affected the mix of analytical types. In the case of analysts who have been in government for up to ten years, the percentages of each type are stable, but once the ten-year mark is passed there is a shift. The proportion of technicians decreases from 54 percent to 21 percent, while the percentage of politicians almost doubles and that of entrepreneurs also increases. It would be reasonable to conclude that an analyst who stays in the bureaucracy and survives for over ten years is bound to become socialized and develop some political skills. Some keep their analytical skills and become entrepreneurs, while others lose their analytical skills and join the ranks of the politicians. Another explanation is that the shift is an artifact of the particular group of analysts we chose to interview and of the establishment of PPBS throughout the federal government

Meltsner found 65% (Technicians + Entrepreneurs) to have high analytical skills. But the evidentiary basis for generalizing from this is weak:

- Meltsner's 1976 work is well over 40 years old and was based on (only) 116 interviews conducted in 1970-71 at the federal level in the U.S. (Meltsner 1975: 14).
- Plus not clear what skills he was talking about and/or what "high" and "low" meant.

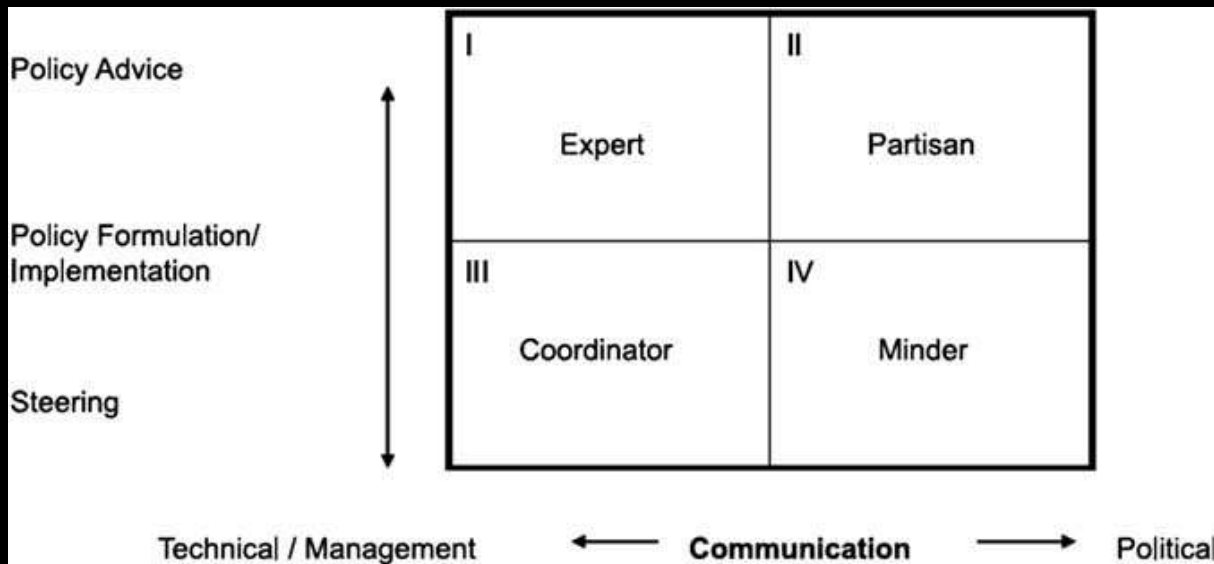


Later works in this same vein (e.g. Durning and Osuna or Page and Jenkins) are very idiosyncratic with odd methodologies and sampling strategies.

- Durning, D., and W. Osuna. "Policy Analysts' Roles and Value Orientations: An Empirical Investigation Using Q Methodology." *Journal of Policy Analysis and Management* 13, no. 4 (1994): 629–57.
- Page, E. C., and B. Jenkins. *Policy Bureaucracy: Governing with a Cast of Thousands*. Oxford: Oxford University Press, 2005 – only sampled a small set of middle manager strata in central UK government

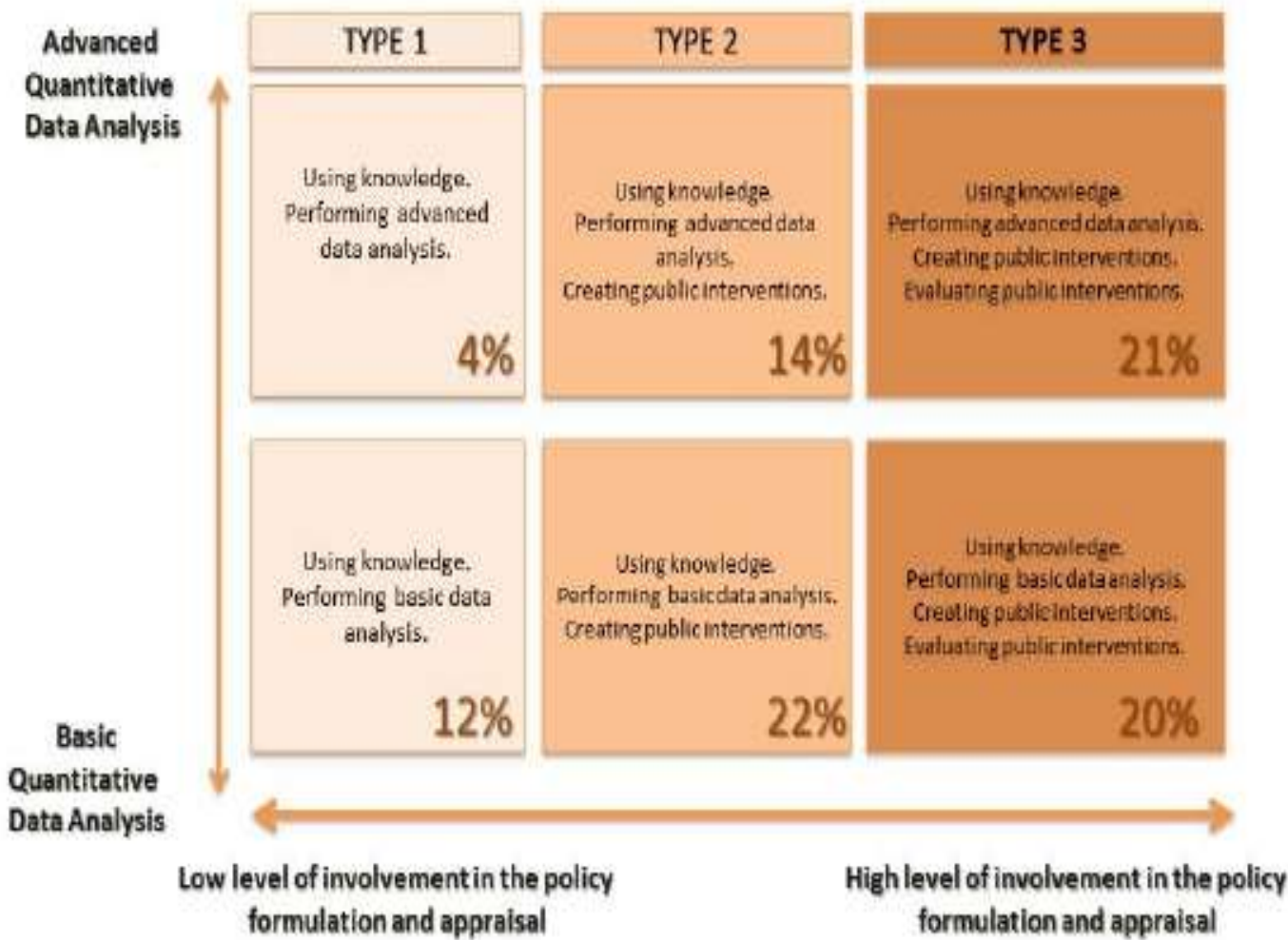


More Recent Works from Ireland, Poland and the Netherlands Paint Different Picture



Connaughton, Bernadette. "Glorified Gofers, Policy Experts or Good Generalists': A Classification of the Roles of the Irish Ministerial Adviser." *Irish Political Studies* 25, no. 3 (September 2010): 347-69
<https://doi.org/10.1080/07907184.2010.497636>.

The role of analysts in public agencies: Toward an empirically grounded typology
 Karol Olejniczak, Paweł Śliwowski, Rafał Trzciński
 University of Warsaw, 2014 IPPA Paper



Canadian Survey Project 2010-2015

Conducted 15 Surveys (10 Provincial, 3 Territorial, 2 Federal – NCC & Regional) –
Difficult to replicate for time series but copied in other countries.

- Together these provide the first comprehensive sampling for analytical tasks and analysts backgrounds ever constructed in Canada, and one of the very few that exist globally (since replicated in several countries from Australia to Poland, Sweden and Czech Republic).



There were 64 questions and close to 350 variables examined. List of names compiled from government phone books & civil service commission & cabinet secretary lists

Note problems in Quebec with accessing lists led to adoption of another snowball method rather than a census. Separate analysis with different methodology conducted there later – similar results

- Bernier, Luc, and Michael Howlett. "La Capacité d'analyse Des Politiques Au Gouvernement Du Québec: Résultats Du Sondage Auprès Des Fonctionnaires Québécois." Quebec City: Rapport complémentaire produit pour le compte de l'institut d'administration publique du Canada, 2009.

- Usually asked to rank items on 5-point scale with 1 low and 5 High
- Very high response rates – avg 43% high of 95% (Yukon) low of 24% (PEI)



2020

Michael Howlett

Table 1 – Provincial and Territorial Survey Sample Sizes and Completion Rates



Province	Initial Mail List Size	Refusals and Rejected E-Mails	Valid Partial Completions	Complete	Response Rate
BC	513	51	30	194	48.5
Alberta	368	23	8	112	34.8
Saskatchewan	246	27	13	80	42.4
Manitoba	161	20	6	98	73.7
Ontario	1613	162	52	557	41.9
Québec*	250	0	44	86	52.0
New Brunswick	162	15	4	62	44.9
Nova Scotia	181	20	15	83	44.1
PEI	27	6	1	4	23.8
Newfoundland	139	24	16	55	61.7
Yukon	75	8	6	58	95.5
NWT	80	2	2	41	55.1
Nunavut	41	8	2	13	45.4
TOTAL (excluding Quebec)	3856	366	155	1357	43.3

- Data were divided into five topic areas:
 - Demographic Characteristics
 - Job Experience;
 - Education and Training;
 - Day-to-Day Duties;
 - Techniques and Data Employed.



1st Finding - Broad Similarities across Levels of Government

58

MICHAEL HOWLETT, ADAM M. WELLSTEAD

Table 1. *Similarities Across All Three Orders of Government (Mean Scores)*

<i>Variable</i>	<i>Federal employees</i>	<i>Provincial employees</i>	<i>Territorial employees</i>
I implement/deliver programs	2.83	2.90	2.87
I deal with issues that emerge as a result of governmental priorities in headquarters	3.73	3.66	3.67
I deal with issues that require coordination with other levels of government	3.04	2.90	3.02
I deal with issues that require specialist or technical knowledge	3.65	3.64	3.50
I appraise policy options	3.43	3.56	3.67
I consult with the public	1.96	1.97	2.17
I deal with regional issues	3.03	3.01	2.71
I identify policy issues	3.85	3.92	4.04
I deal with tasks which demand immediate action (i.e., "fire fighting")	3.94	3.81	3.79
I negotiate with central agencies	2.40	2.62	2.62**
I negotiate with program managers	2.85	3.06	3.07**
I deal with short-term tasks which can be resolved in less than a month	3.69	3.69	3.71
I deal with medium-term tasks which are ongoing for between 1–6 months	3.60	3.59	3.65
I deal with long-term tasks which are ongoing for between 6–12 months	3.61	3.47	3.54
I deal with urgent day-to-day issues that seem to take precedence over long-term thinking	4.18	4.28	4.27
I negotiate with stakeholders	2.68	2.85	2.63**
I consult with stakeholders	2.62	2.76	2.63*
I think policy decisions seem to increasingly be those that are most politically acceptable	3.91#	3.98	3.99
I think there seems to be less governmental capacity to analyse policy options than there used to be	3.37#	3.43	3.52
I think much of the existing policy capacity is outside the formal structure of government	2.76#	2.91	2.82
I think those who have more authority in decision making usually have less specialized technical expertise	3.77#	3.80	3.74
I think government is becoming increasingly accountable for its decisions	3.51#	3.66	3.44*
I prefer networking with colleagues	4.04#	4.08	4.06
I prefer more control from central agencies	2.48#	2.69	2.62
I prefer more control from the regions	2.71#	2.80	2.76

Based on a 1 to 5 scale where 1 = never and 5 = daily

#Based on a 1 to 5 scale where 1 = strongly disagree and 5 = strongly agree

*significant at 0.05 level; **significant at 0.01 level

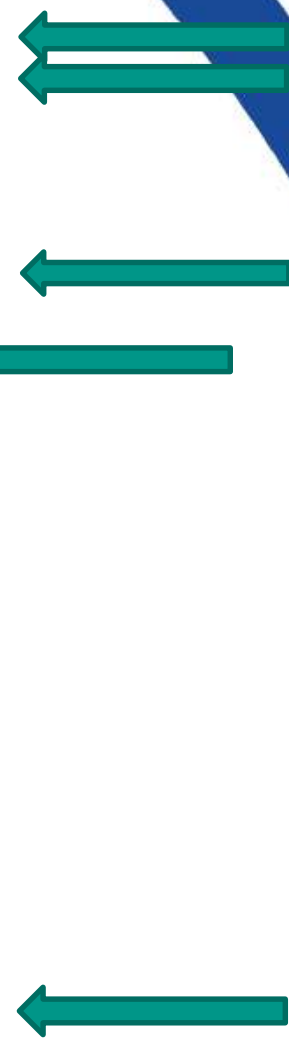


2020

Michael Howlett

Table 2 - Provincial-Territorial Similarities (Federal Differences)

Variable	Federal Employees	Provincial Employees	Territorial Employees
I collect policy related data or information	3.01	3.98	4.05***
I deal with provincial and territorial issues	2.79	4.55	4.47***
I deal with national issues	4.27	2.61	2.71***
I identify policy options	3.55	3.72	3.87**
I deal with issues that demand input from society-based organizations	2.30	2.64	2.85***
I deal with issues that emerge as a result of public pressure on government	3.08	3.31	3.35***
I deal with issues where it is difficult to identify a single, clear, simple solution	3.96	3.81	3.71***
I deal with tasks which are ongoing for more than a year	4.20	3.27	3.33***
I interact frequently with senior regional management	2.47	3.10	2.98***
I interact frequently with other head office staff	3.72	3.83	4.00*
I interact frequently with central agencies	2.50	3.09	3.07***
I interact frequently with municipal government departments	1.40	2.14	2.02***
I interact frequently with federal departments in my region	2.81	2.26	2.13***
I interact frequently with environment/conservation groups	1.57	1.76	1.80**
I am increasingly consulting with the public as I do my policy-related work.	2.32#	2.64	2.78***
I think policy problems increasingly require strong technical expertise.	3.49#	3.83	3.78***
I think an important role of the provincial government is to foster involvement in the policy process by other non-governmental organizations	3.39#	3.71	3.63***
I think formal government institutions are becoming less relevant to policy-making	2.69#	2.92	3.17***
I think decisions about government programs and operations are increasingly made by those outside of government	2.64#	2.86	3.01***
I network with non-governmental organizations	3.64	4.03	4.09***
I network with other provincial government departments or agencies	3.77	4.36	4.39***
I network with municipal government departments or agencies	3.07	3.80	3.66***



I prefer more control from head office	3.14#	2.83	2.93***
I think policy capacity has increased	3.73#	3.31	3.16***

*** Significant at the .001 level

ilarities
d other
profiles
entified

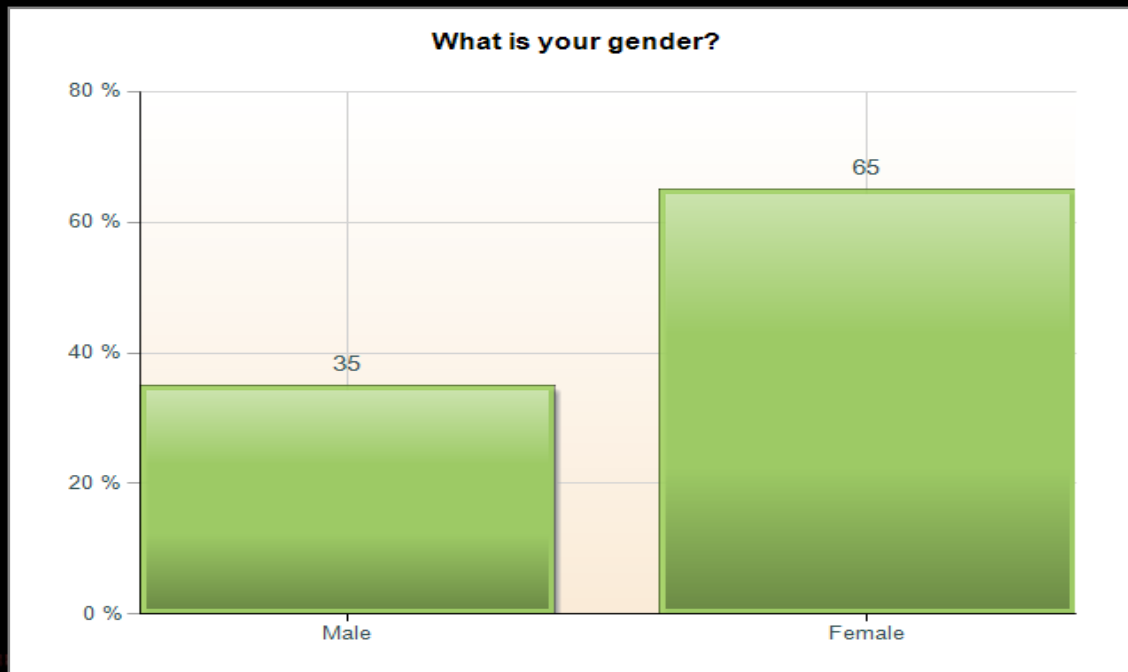
analysts

II. Who Are They?

Profile (Demographics)

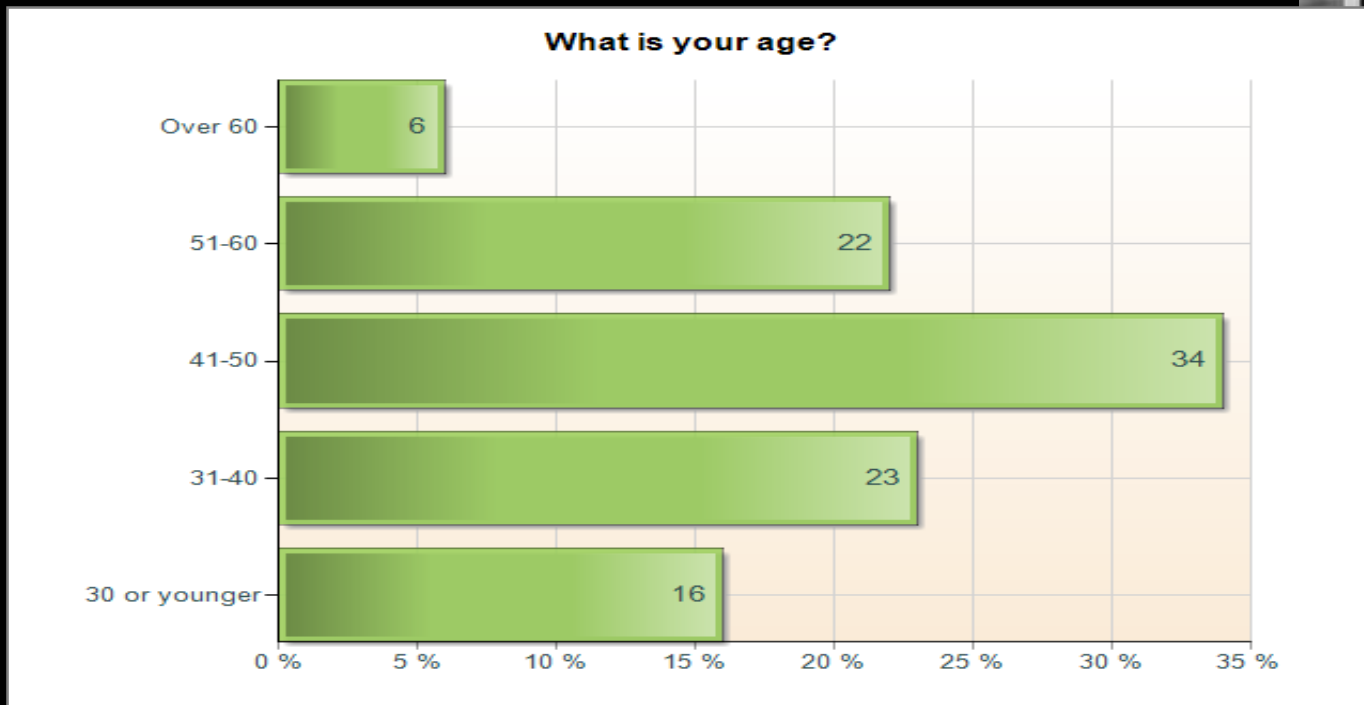
Basic demographic data were collected on provincial policy analysts in terms of characteristics such as gender and age.

- The responses revealed that provincial analysts are predominantly (60%) female, and fairly young in that almost 70% are under 50 years of age and over 40% under 40 years old.



BC Findings (Demographics)

- 40% under 40. - similar to provincial average (43%) but older than federal analysts (58% under 40).



Profile (Job Experience)

- Almost 60% had also been in their present organizations for less than five years, including 15% for less than one year.
- Also most analysts do not expect to stay very long in their current positions, with two-thirds expecting to stay less than five additional years.



As for previous work experience, provincial analysts have varied backgrounds but tend to be recruited from academic institutions (22%) or to have come up through their own provincial government, with 44% citing previous work experience in this area.

Less than 13% claim experience in the federal government and 9% in another provincial government.

Another 11% cite experience at the municipal level and 6% experience in another country. Just over 55% cite any experience outside government, 17% in the not-for-profit sector and 22% in academia.

Only 17% cite private sector experience.



Profile (Education and Training)

A third set of questions examined the background education and training of provincial analysts.

- Generally very high level of formal education attained by this group of civil servants, with 57% having at least some graduate or professional education and fully 95% attaining university-level credentials.
- Provincial analysts' study areas of expertise are quite varied but heavily oriented (over 80%) towards the social sciences. (only 15 % natural and other sciences



2020

Michael Howlett

- NOTE: Generalists not Specialists

The five leading degree fields were

- Political Science with 16.5%, followed by
- Business Management with 13.2%;
- Economics with 11.5%,
- Public Administration with 9.6% and
- Sociology with 8.4%.

→ These five fields accounted for 48% of degrees (allowing for multiple degrees) held by analysts, while a wide range of other social science, law, and humanities credentials accounted for another 40%.

→ NOTE: Health Sciences, Computer Science, Engineering, and Natural Science degrees made up only 12% of analysts' credentials.



2020

Michael Howlett



However also note:

- Little Outside Policy Training

- 44% never took any policy specific courses at the Post-Secondary level and only 33% took three or more. 61% never completed any specific courses on formal policy analysis or evaluation

- Little Internal Policy Training

- 40% participated in some federal or provincial career training but 76% never took any formal internal governmental training on policy analysis or evaluation
- Much higher than provincial norm of 55%

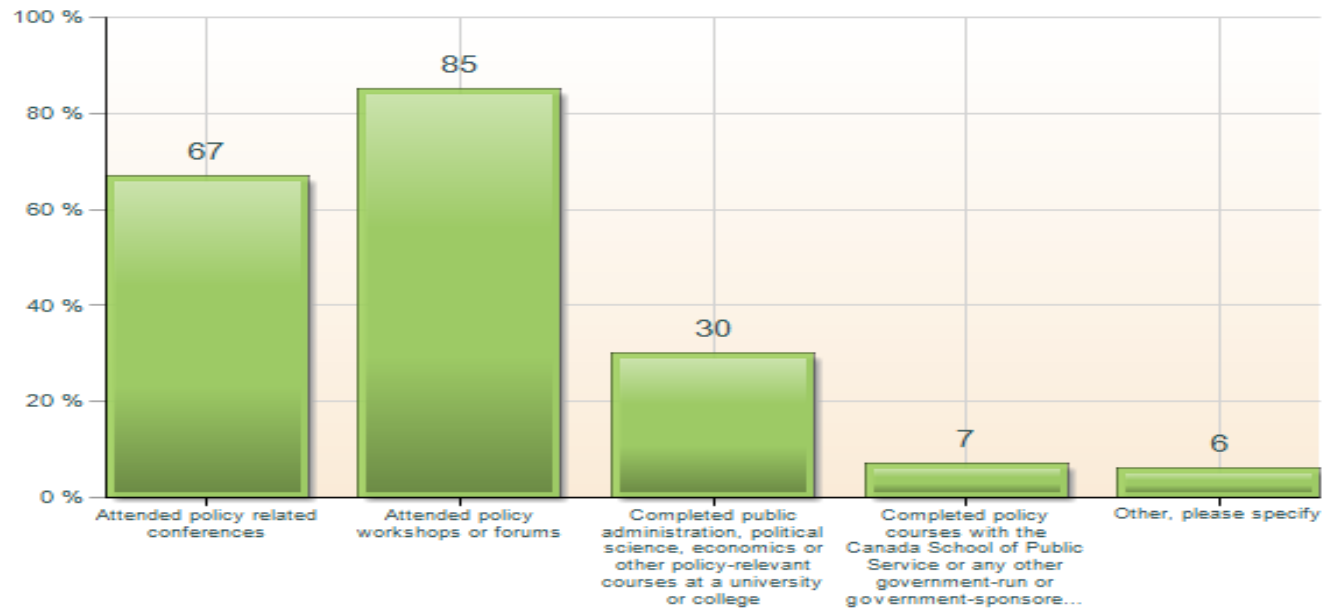
2020

Michael Howlett



And most common form of policy-related training is attending conferences, workshops and forums

While employed with the provincial government, have you undertaken the following types of policy-related training? (Check all that apply)



Profile (Day-to-Day Tasks)

- 90% work in formal policy units but these are generally very small. 60% of analysts work in units of fewer than 10 employees and about 30% in units of fewer than five full-time equivalent employees.
 - And 50% of these units have fewer than five people actually working on policy issues.



And most analysts are isolated in that they work almost exclusively within their own government.

These units are located overwhelmingly in the provincial capital with 78% of respondents indicating a very high frequency of daily activities in the capital



Eighty percent of analysts report no daily interactions on issues related to international government, 65% few or infrequent interactions with local governments, and 50% infrequent interactions with the federal or other provincial or territorial governments.

Fifty-six percent, however, report very frequent, daily, or weekly interactions with other ministries within their own government

2020

Michael Howlett

III. What Do They Do?

(Firefighting vs Long-Term Planning)



- 40% of analysts report fairly frequently working on issues that are ongoing for more than a year, about the same proportion as report as frequently working on issues that are ongoing for between 6-12 months and between 1-6 months.
- 50% report frequently working on issues that can be resolved in less than a month.
- 60% report working on issues and problems that demand immediate attention (i.e. "firefighting") on either a daily or weekly basis.

2020

Michael Howlett

Nine Basic Kinds of Tasks Performed

- Distinct clusters of analysts can be seen around tasks such as auditing and evaluation, data management, legal issues, report writing, budget analysis, program delivery, environmental scanning and assessment, and the formulation of policy options.



	Component							
	Formulation (Cronbach's α =.831) (n=694)	Consultation (Cronbach's α =.725) (n=549)	Implementation (Cronbach's α =.638) (n=524)	Finance (Cronbach's α =.608) (n=331)	Evaluation (Cronbach's α =.575) (n=548)	Data Management (Cronbach's α =.662) (n=140)	Communication (Cronbach's α =.537) (n=340)	Assessment (Cronbach's α =.561) (n=322)
Tasks undertaken								
Formal Legislative or Executive consultation								.790
Legal Consultation								.815
Environmental assessment							.847	
Environmental scans							.773	
Communications and media relations						.601		
Report Writing or Editing						.713		
Report Presentation						.717		
Data collection and entry					.856			
Data management					.851			
Auditing and evaluation				.579				
Formal Policy or Program Evaluation				.776				
Informal Policy or Program Evaluation				.700				
Cost Benefit Analysis			.602					
Budget Analysis			.800					
Finance			.776					
Program development		.745						
Program delivery and Implementation		.834						
Program Administration		.613						
Public Participation Design	.755							
Public Consultation	.837							
Stakeholder Consultation	.723							
Policy analysis	.749							
Policy development	.767							
Formulating Policy Options	.809							
Assessing Policy Options	.792							

Profile (Techniques Employed)

The primary analytical techniques used in these activities are generally more informal than formal.

Eighty-four percent of respondents claim to be involved in “brainstorming”, followed by about 70% in “consultation” and 60% in using “checklists”.

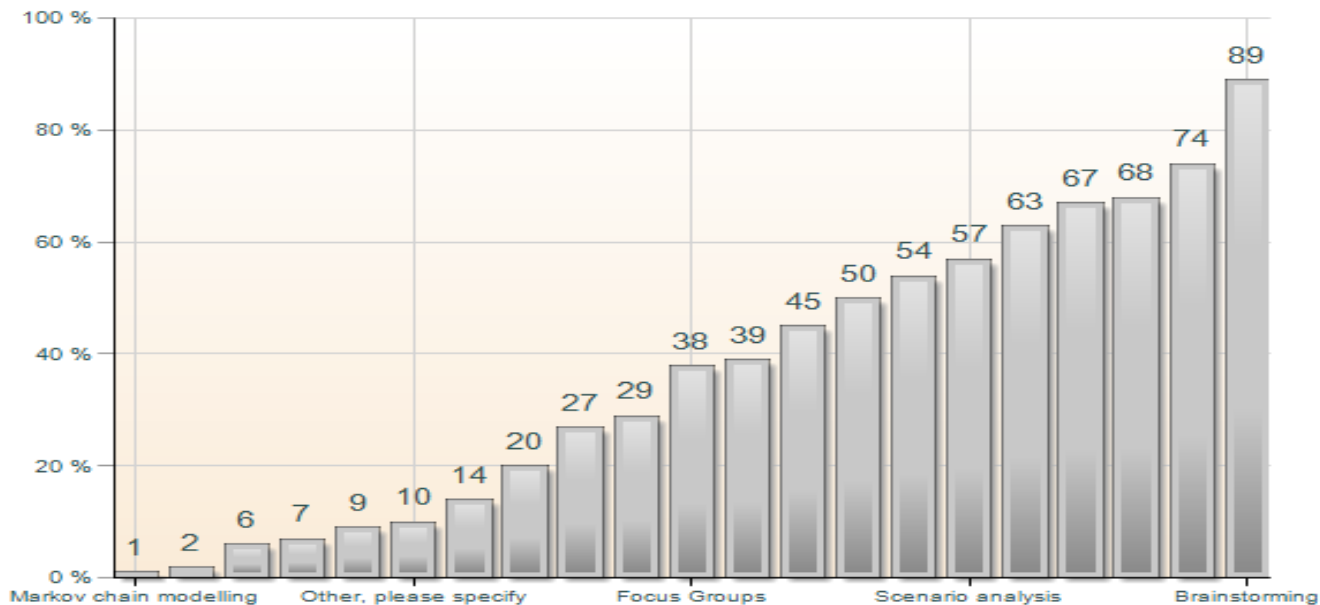
This structure is borne out by the general kinds of tasks conducted at this level, with less formal duties such as environmental scans and issue tracking outweighing more technical financial or legal tasks.



BC Findings (Techniques)



Which, if any, of the following policy-related analytical techniques do you employ in your job? (Check all that apply)



Profile (Techniques Employed)



Table 14. Specific Analytical Technique(s) Used

	Included	
	N	Percent
Brainstorming	1054	83.8%
Consultation exercises	859	68.3%
Focus groups	468	37.2%
Free-form gaming or other policy exercises	82	6.5%
Problem-mapping	393	31.2%
Checklists	744	59.1%
Decision/probability trees	300	23.8%
Expert judgments and elicitation	603	47.9%
Development of sophisticated modeling tools	150	11.9%
Markov chain modeling	10	.8%
Monte Carlo techniques	20	1.6%
Process influence or social network diagrams	101	8.0%
Scenario analysis	633	50.3%
Cost-effectiveness analysis	538	42.8%
Cost benefit analysis	686	54.5%
Environmental impact assessment	348	27.7%
Financial impact analysis	91	7.2%
Preference scaling	765	60.8%
Risk analysis	200	15.9%
Robustness or sensitivity analysis	0	0%
Total	1258	100.0%



Profile (Techniques Employed)

- Cost Benefit Analysis is the only formal technique to attain use by over 50% of respondents.
- But Note: “Lumpy” distribution across different Departments and areas and response of governments to capacity critiques (Kevin Lynch/Fellegi)



2020

Michael Howlett

Lumpy Distribution Across Subject Areas



Table 2. Top 10 policy-related analytical techniques employed by selected departments.

Techniques (top 10)	Education (%)	Environment (%)	Finance (%)	Health (%)	Transportation (%)	Total responses (%)
Brainstorming	86.3	94.8	86.5	96.0	91.3	91.2
Consultation exercises	82.1	80.2	68.9	77.2	63.8	76.3
Risk analysis	66.3	65.5	67.6	74.3	59.4	66.7
Checklists	69.5	70.7	58.1	66.3	58.0	62.7
Cost-benefit analysis	60.0	60.0	74.3	50.5	50.0	57.9
Scenario analysis	60.0	57.8	63.5	53.5	50.7	56.2
Expert judgments and elicitation	51.6	63.8	52.7	51.5	55.1	53.1
Financial impact analysis	54.7	41.4	73.0	45.5	46.4	47.2
Cost-effectiveness analysis	46.3	44.0	58.1	50.5	37.7	45.5
Focus groups	46.3	34.5	27.0	42.6	31.9	38.1

Data: Sources of Information

- Most common sources of Evidence at Agenda-Setting is – Agency or Government Strategic Plans (30% report use) followed by Consultation with affected parties (11%) and with ministers (10%)
- At Policy Formulation is – 17% Consultation with affected parties and 15% Best Practices Research
- At Decision-Making is – 20% Consultation with Ministers and 14% Consultation with Affected Parties
- In Policy Implementation is – 25% Consultation with Affected Parties and 13% Best Practices Research
- In Policy Evaluation is – 24% Feedback on outcomes, 22% outcomes data and 11% Consultations with Affected Parties



2020

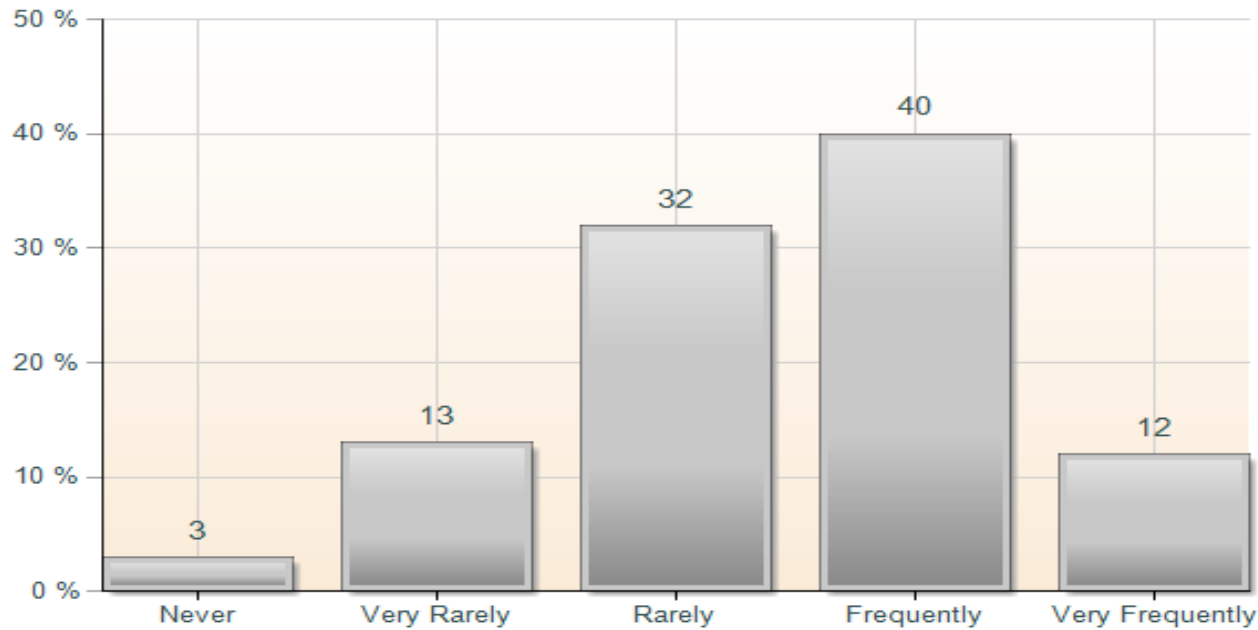
Michael Howlett

BC Findings (Access to Information)

- But note 48% rarely or never access peer reviewed or professional research (slightly below provincial average of 52%) – Library Cards



How often are you able to quickly access academic literature, peer-reviewed publications and professional research relevant to your policy work?



Summary

- Majority of Canadian Policy Analysts in many ways fit the profile of process-oriented troubleshooters, not Meltsner-Style Technicians or Politicians or Entrepreneurs



Summary

- They tend to be:
 - Relatively young and well educated generalists with a social science background,
 - Relatively inexperienced and untrained in formal policy analysis or analytical techniques,
 - Work in small policy shops located in the Capital working on exclusively provincial issues working almost exclusively within their own government and with Headquarters officials,
 - Are often primarily engaged in fire-fighting activities on a day-to-day basis
 - Lack access to academic or professional literature and expertise in their subject areas.



2020

Michael Howlett

Conclusions: Implications for Paedagogy and Future Research Agenda

- Surprises
- A Shift in Policy Analytical Style and its Paedagogical Implications?
- (If Time) Future Research Directions

Consultants, NGOs and The Search for Substance:
Where's the Beef?



Surprises from the Canadian Case Study

- Not surprised Meltsner is no longer accurate
- A bit surprised to find more substantive experts not replacing Generalists (vs The Inevitable Rise of Economists Thesis (Chile) or “Lawyers to Economists” hypothesis)
- But Extent of Consultations a major surprise



2020

Michael Howlett

Implications of Case Study Findings for Practice: Changing Policy Analytical Styles? & Paedagogy

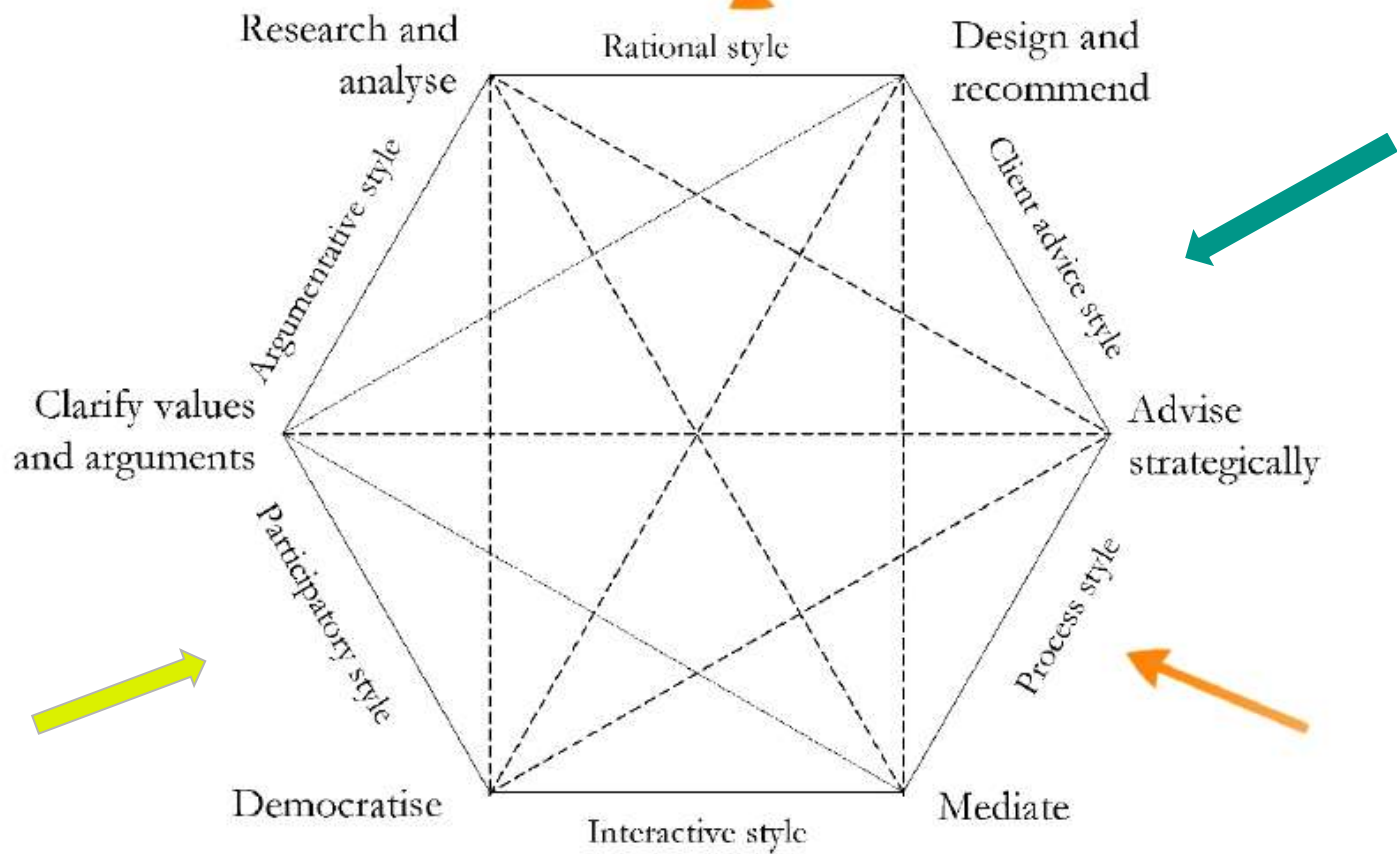
Mayer, Bots and van Daalen (2004) identified six types of policy analytical styles in their work on the Netherlands



2020

Michael Howlett

Figure 2 Policy analysis styles linked to activities



5.1 *The rational style*

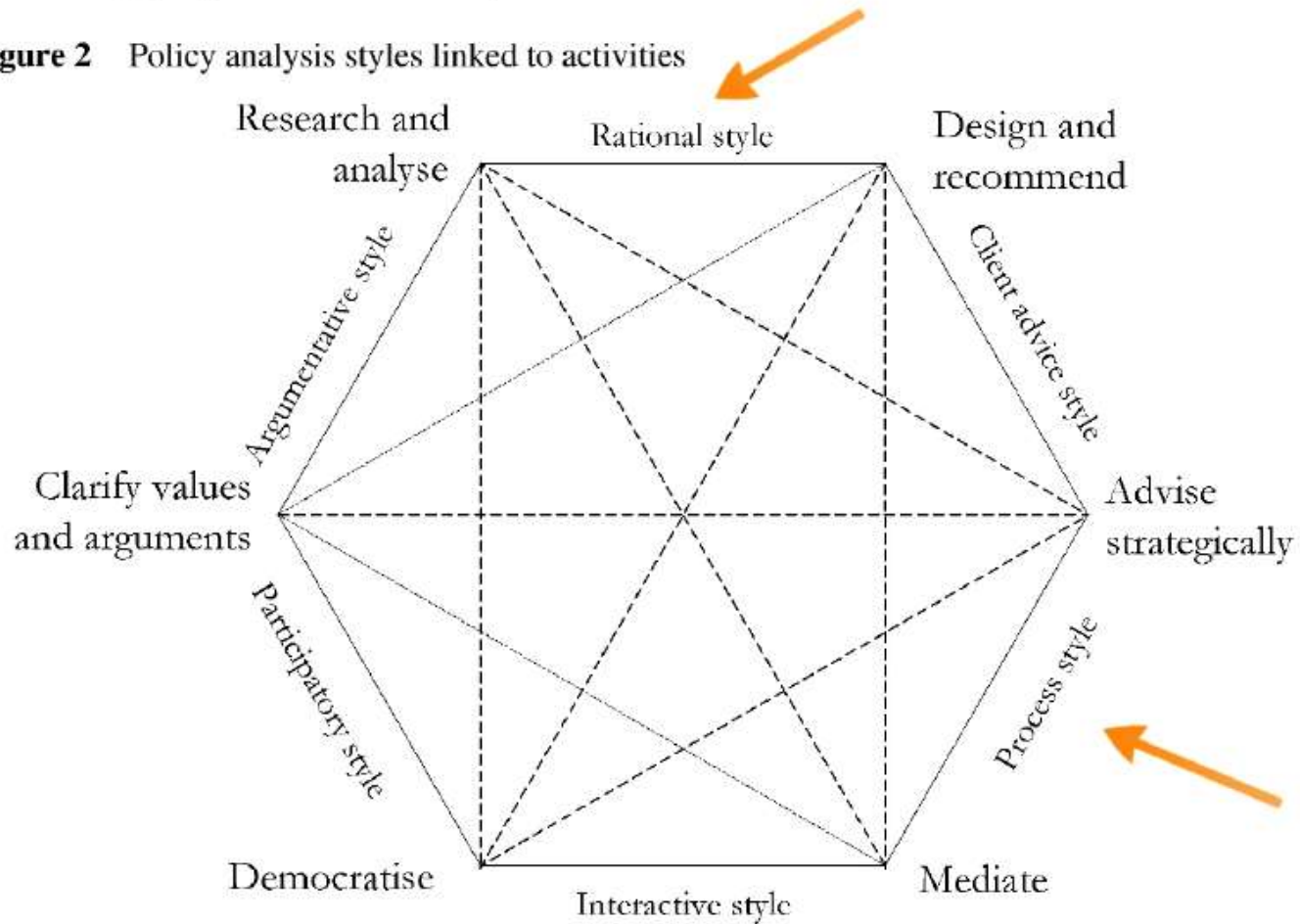
The predominant sets of analysts identified in the Canadian surveys can be thought of as providing strategic advice as well as design and recommendation, or as working in a “client-advice” style bleeding into a “process” one.

This is different from both the traditional “rational” style promoted by textbook and policy schools

What are the paedagogical implications of this?



Figure 2 Policy analysis styles linked to activities



Mayer, I., P. Bots, and E. van Daalen. "Perspectives on Policy Analysis: A Framework for Understanding and Design." *International Journal of Technology, Policy and Management* 4, no. 1 (2004): 169-91.

Implications for Paedagogy and Policy Schools

- More Technical Analysts may not be needed but better training in consultations and communication (HKS Former Student Survey also shows this)
- At minimum Policy Schools should prepare students for this as well as for more traditional technical positions
 - E.g. courses in communications and participatory design & etc.



Final Thoughts & Four Takeaways

1. What do Policy Analysts do? Internal and External Process/Communication/Stakeholder work rather than classic micro-economics inspired technical analysis or CBA

→ Unlike Meltzer but noted by Radin (Beyond Machiavelli)

2. This has pedagogical significance not usually taken into account by Policy Schools. Pedagogy and Practice (Recruitment and training) should be based on more accurate models of professional policy work, rather than continue to rely on out-dated and empirically suspect 'first generation' models.

→ HKS Exit Surveys and Communications vs micro-economics

→ Need for better Process training vs CBA



2020

Michael Howlett

3. This may be indicative of a larger movement in governance from hierarchical state-driven to more collaborative over the long term

- But Mayer et al categories vs snapshot survey data
- And transitions in nature of policy analysis and advice systems need more study
 - Role of Analysts/Analysis also will vary by country & Dept/Sector
 - i.e. some sectors more technical/Lumpy distribution
 - Some countries more in need or consultations/legitimation than others (which may also need more technical analysis)



2020

Michael Howlett

Four Takeaways Continued

4. "Where's the Beef?" in a modern Policy Advice System still a key question

- Need to Investigate links of Sr. Civil Servants & Private Business (and role of Lobbyists) + use of Academics Superusers?



2020

Michael Howlett

- 30 -

(IF TIME) Future Research Directions

- What about Substance?



Raises the Burger King question, "If everything is process, where is the substance of policy coming from" ("Where's the Beef?")

→ Other Canadian Advisory System Studies 2010-Present

- A. Staffers – Craft – Also Process
- B. High and Mid-Level Civil Servants – Duimet – No reports
- C. Politicians – Atkinson - No Expertise (Lawyers)
- D. Business Associations – Stritch – No Capacity
- E. Think Tanks – Abelson – Few and few resources
- F. Parties – Cross – No Capacity (vs UK)
- G. Media – Murray – No Expertise or Longevity



The Search For Substance

What about

- External Consultants ???? - Saint Martin
- NGOs ???? - Gibson
- Sr. Civil Servants ???? - Atkinson & Coleman/Bennett and McPhail (1992)
- -Academics ???? - Peter May (US)
- Lobbyists ???? - Chari/Hopkins



2020

Michael Howlett

Consultants



- Howlett, Michael, Andrea Migone, and Seck L. Tan. "Duplicative or Complementary? The Relationship between Policy Consulting and Internal Policy Analysis in Canadian Government." *Canadian Journal of Political Science*, May 9, 2014, 1-22

Table 8. Policy-related analytical techniques employed by analysts and consultants.

Policy-related analytical techniques (Top three)	Policy analysts	Policy consultants
1	Brainstorming (91%)	Brainstorming (70%)
2	Consultation (75%)	Consultation exercises (67%)
3	Risk analysis (68%)	Focus groups (57%)



External Advice



Table 9. Similarities in analytical techniques employed.

	Analysts (%)	Consultants (%)
Similarities (within 7%)		
Specific analytical technique(s) used		
High use (>50%)		
Consultation exercises	67.5	66.7
Cost-benefit analysis	53.6	55.0
Expert judgments and elicitation	47.8	53.4
Scenario analysis	50.3	47.3
Cost-effectiveness analysis	41.7	41.7
Medium use (>10% and <40%)		
Problem-mapping	31.1	33.8
Financial impact analysis	38.3	31.8
Decision/probability trees	22.9	29.5
Environmental impact assessment	27.6	22.4
Robustness or sensitivity analysis	15.9	18.1
Low use (<10%)		
Preference scaling	7.0	6.4
Free-form gaming or other policy exercises	6.2	3.8
Markov chain modeling	0.8	1.8

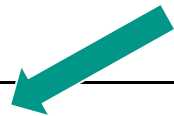


What about NGOs?



Table 7. Policy-related tasks undertaken by analysts, consultants and NGOs.

Policy-related tasks (Top three)	Policy analysts	Policy consultants	NGOs
1	Research and analysis (93%)	Research and analysis (83%)	Consult with stakeholders (96%)
2	Provided advice (92%)	Provided advice (77%)	Identify policy issues (94%)
3	Prepare briefing notes or position papers (91%)	Provided options on issues (61%)	Consult with decision-makers (91%)



Wellstead, Adam, Bryan Evans, and Halina Sapeha. "Policy Advice from Outsiders: The Challenges of Policy Co-Construction." *International Journal of Public Administration* 41, no. 14 (October 26, 2018): 1181–91.



POLICY PROCESS PERCEPTIONS OF SENIOR CIVIL SERVANTS

Results

Perceived importance of various actors throughout the policy process

Our major hypothesis was that actors within the public sector would always be the most important at every stage of the policy process. However, as one proceeds from the earlier to the later stages of the policy process, the relative importance of public sector contacts is expected to decrease compared to contacts with businesses and interest groups. We expect companies will be consistently more important than other non-state actors. The stages of the process that were explicitly dealt with were agenda-setting, policy selection, and policy implementation. The following table shows the most pertinent results, with low numbers representing high aggregate ranked influence and high numbers representing less aggregate ranked influence.

Table 1: *Civil Servant Rankings of Perceived Importance of Different Actors at Three Stages in the Policy Process*

Type of actor	Aggregate ranking at agenda-setting stage	Aggregate ranking at policy selection stage	← Aggregate ranking at implementation stage
Own minister	1	1	1
Other ministers	6	6	11

Bennett, S., and M. McPhail. "Policy Process Perceptions of Senior Canadian Federal Civil Servants: A View of the State and Its Environment." *Canadian Public Administration* 35, no. 3 (1992): 299-316.

Academics (Ongoing Migone/IPAC Project)



Issue expertise in policymaking 207

Table 1. Issue expertise

Category	Percentage Distribution*	Percent Issue Focused†
Federal agencies	37	19
Business and industry	26	54
Research experts‡	19	67
Non-business interests§	13	76
State and local government	5	35
Total/overall¶	100	45
Number of witness appearances	1,112	916

Source: Compiled by authors.

Notes: *Percentage distribution of witness appearances among the designated categories.

†Percentage of those testifying with testimony that had a problem or solution focus rather than informational focus.

‡Includes research and academic experts, consulting firms, think tanks and non-governmental research organisations.

§Includes governmental, professional and other associations and public advocacy groups.

¶Total percentage of testimony with an issue focus.

|| Missing testimonies account for the difference in number of witnesses.



May, Peter J., Chris Koski, and Nicholas Stramp. "Issue Expertise in Policymaking."
Journal of Public Policy, September 5, 2014, 1-24

Lobbyists?



106

Commercial Lobbying in Australia

March 2016

Table 5. Clients listed in register, by type

Client type	Registrations		Unique organisations		Registrations		Unique organisations	
	2012		2012		2014		2014	
	Total	%	Total	%	Total	%	Total	%
Private companies	1141	67.6	968	65.2	1192	67.3	1046	67
National interest group	274	16.2	255	17.2	284	16	252	16.1
Local interest group	119	7.1	114	7.7	105	5.9	93	6
International interest group	15	0.9	15	1	15	0.8	10	0.6
Federal government	6	0.4	6	0.4	6	0.3	6	0.4
State government	5	0.3	5	0.3	3	0.2	3	0.2
Local government	24	1.4	22	1.5	25	1.4	24	1.5
Public institutions	40	2.4	38	2.6	46	2.6	42	2.7
Individuals	12	0.7	12	0.8	23	1.3	19	1.2
Others	51	3	50	3.4	72	4.1	66	4.2
Total	1687	100	1485	100	1771	100	1561	100



2020

Michael Howlett

Halpin, Darren, and John Warhurst. "Commercial Lobbying in Australia: Exploring the Australian Lobby Register." *Australian Journal of Public Administration* 75, no. 1 (March 1, 2016): 100–111.