



## PUBLIC POLICIES FOR ENERGY

- ❑ Some considerations on Epistemology and Methodology
- ❑ Defining and qualifying Public Policy
- ❑ The “stagist *approach*” to policy making



# PUBLIC POLICIES FOR ENERGY

## Make Observations

### Practice

- 8: Obtaining, evaluating, and communicating information

## Develop General Theories

### Practice

- 2: Developing and using models
- 6: Constructing explanations
- 7: Engaging in argument from evidence
- 8: Obtaining, evaluating, and communicating information

## Gather Data to Test Predictions

### Practice

- 3: Planning and carrying out investigations
- 4: Analyzing and interpreting data
- 5: Using mathematics and computational thinking

## Think of Interesting Questions

### Practice

- 1: Asking questions
- 8: Obtaining, evaluating, and communicating information

## Formulate Hypotheses

### Practice

- 3: Planning and carrying out investigations

## Develop Testable Predictions

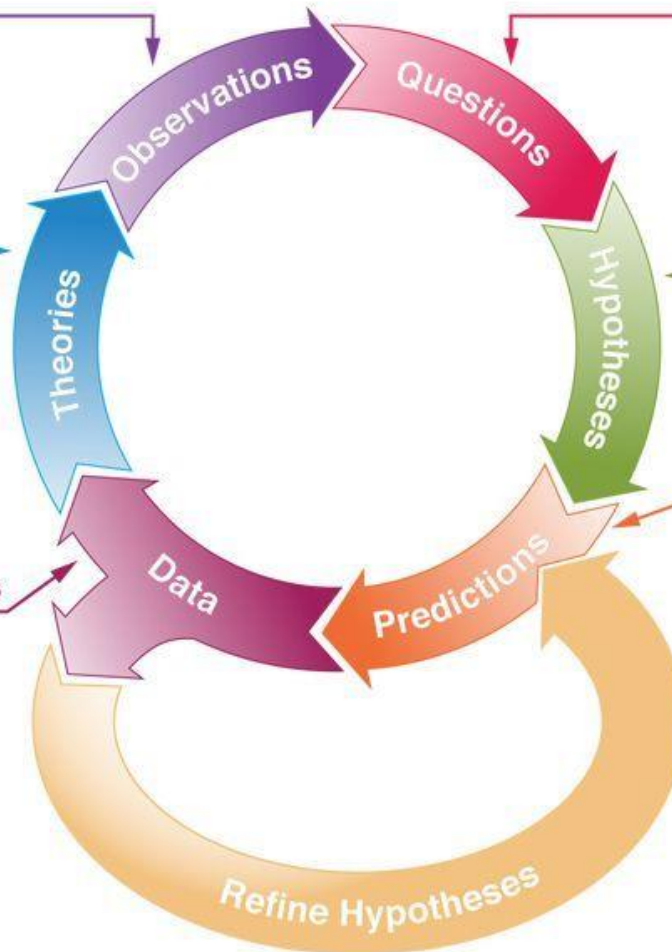
### Practice

- 3: Planning and carrying out investigations

## Refine, Alter, Expand, or Reject Hypotheses

### Practice

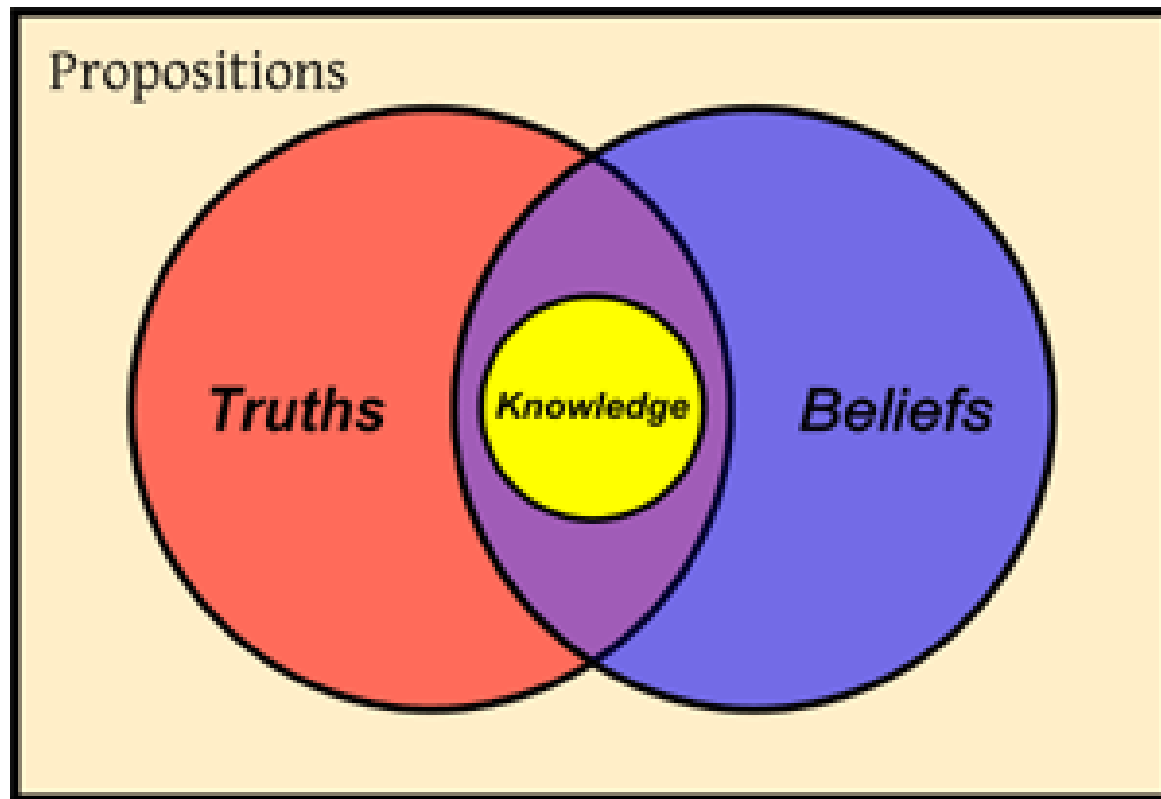
- 3: Planning and carrying out investigations



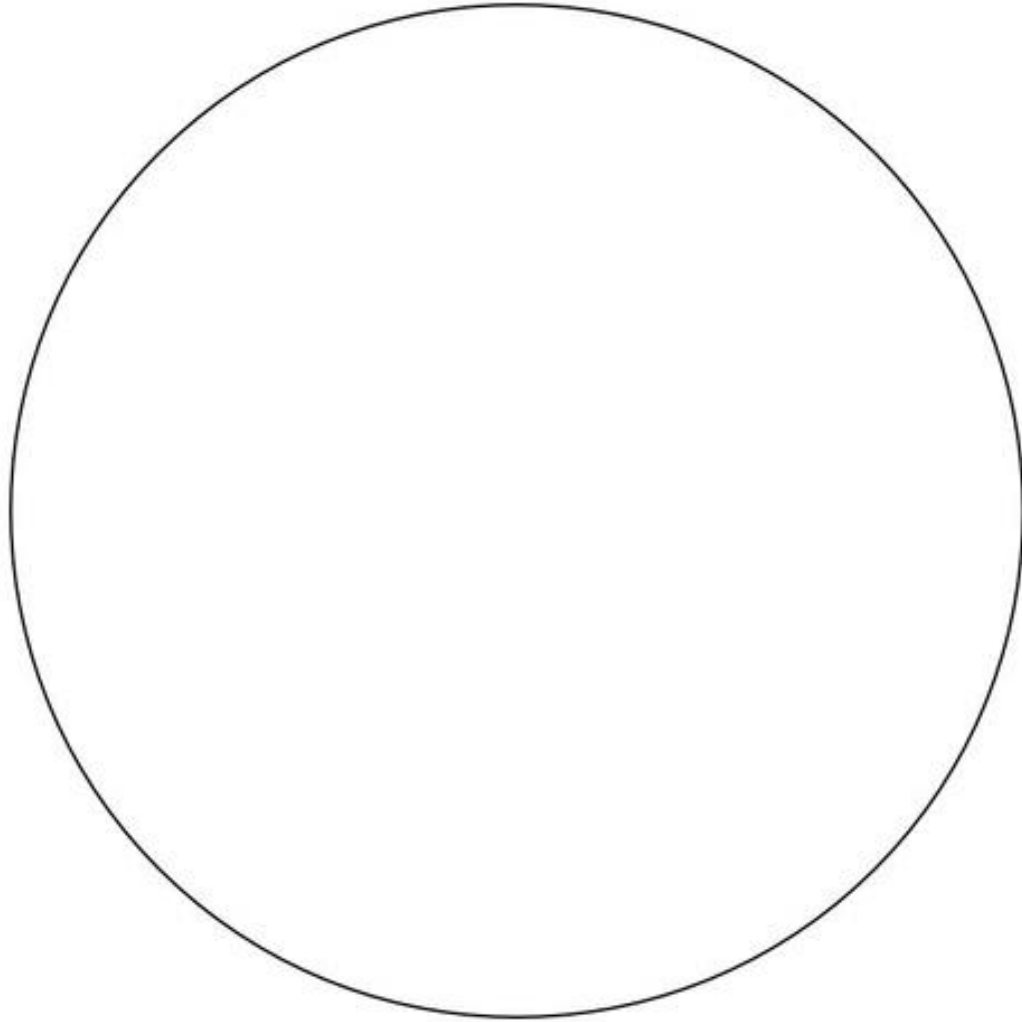


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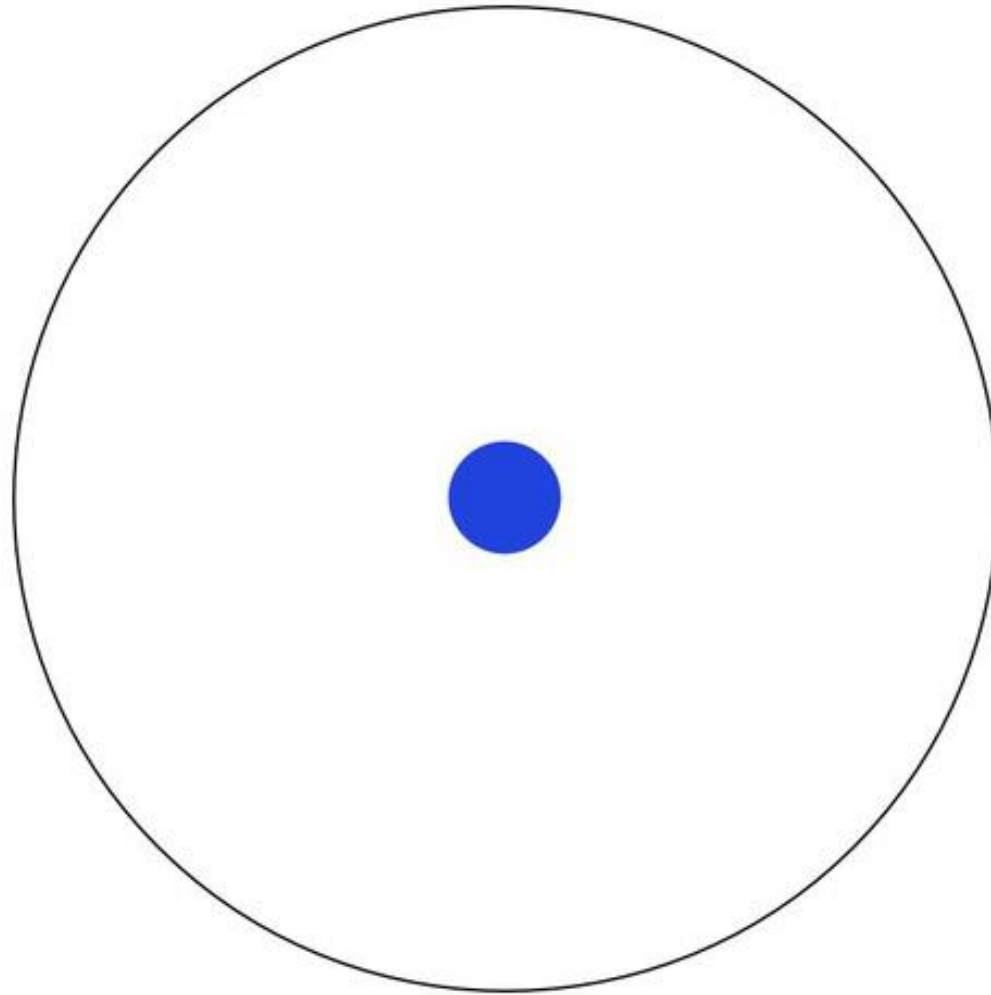
- Some considerations on Epistemology and Methodology



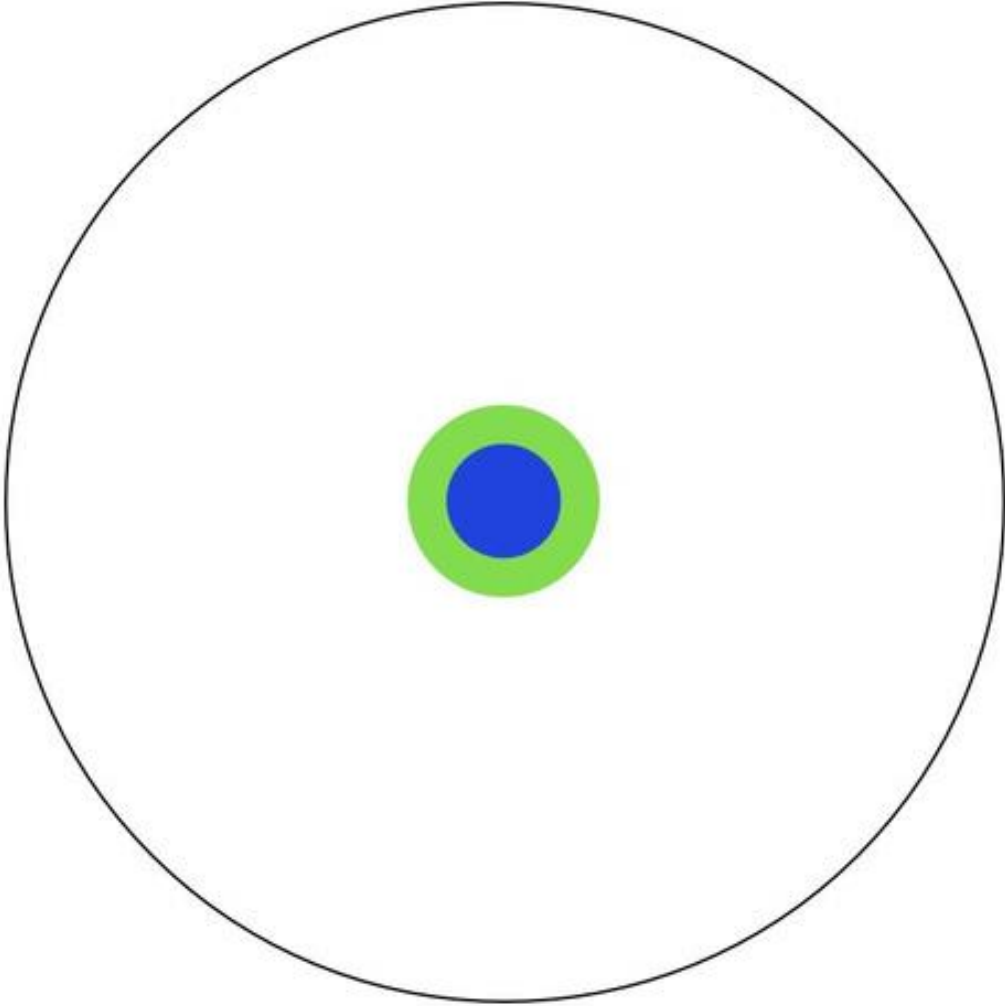
Imagine a circle that contains all of human knowledge:



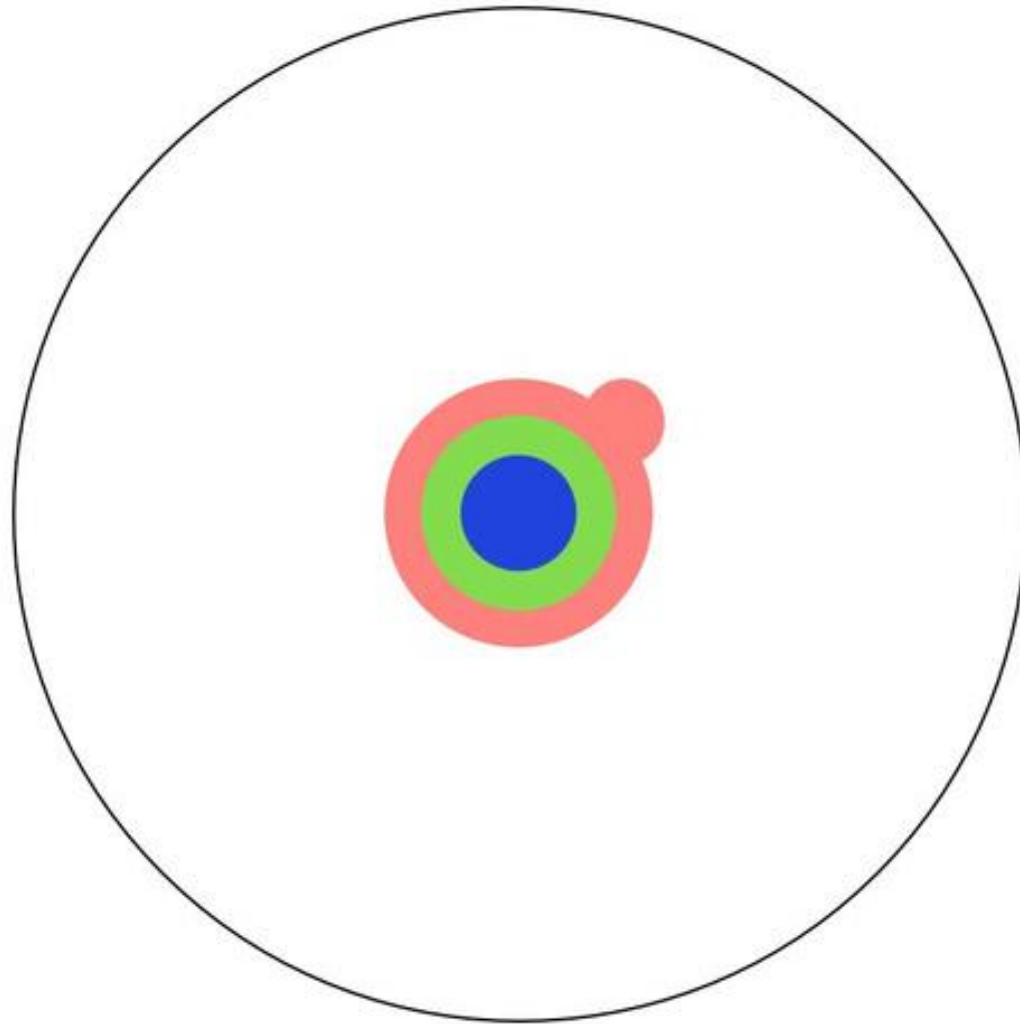
By the time you finish elementary school, you know a little:



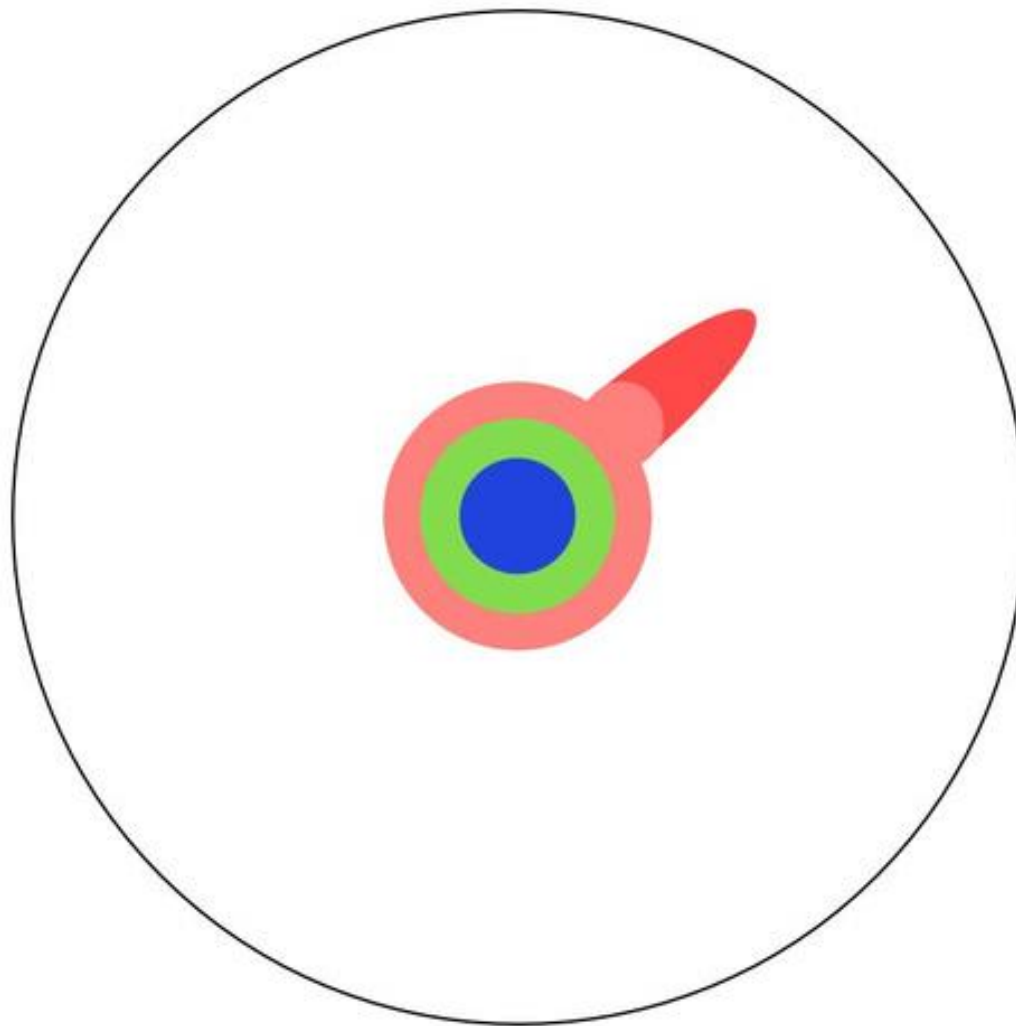
By the time you finish high school, you know a bit more:



With a bachelor's degree, you gain a specialty:

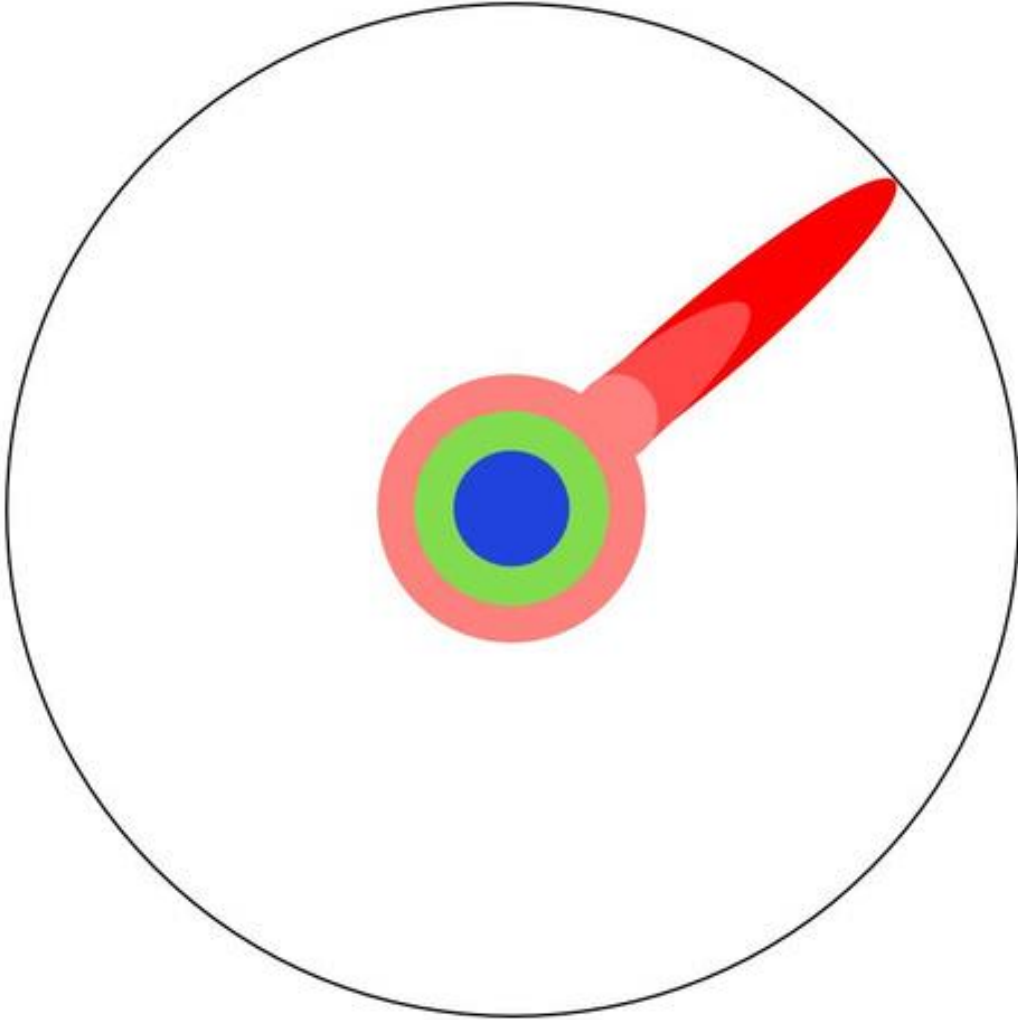


A master's degree deepens that specialty:

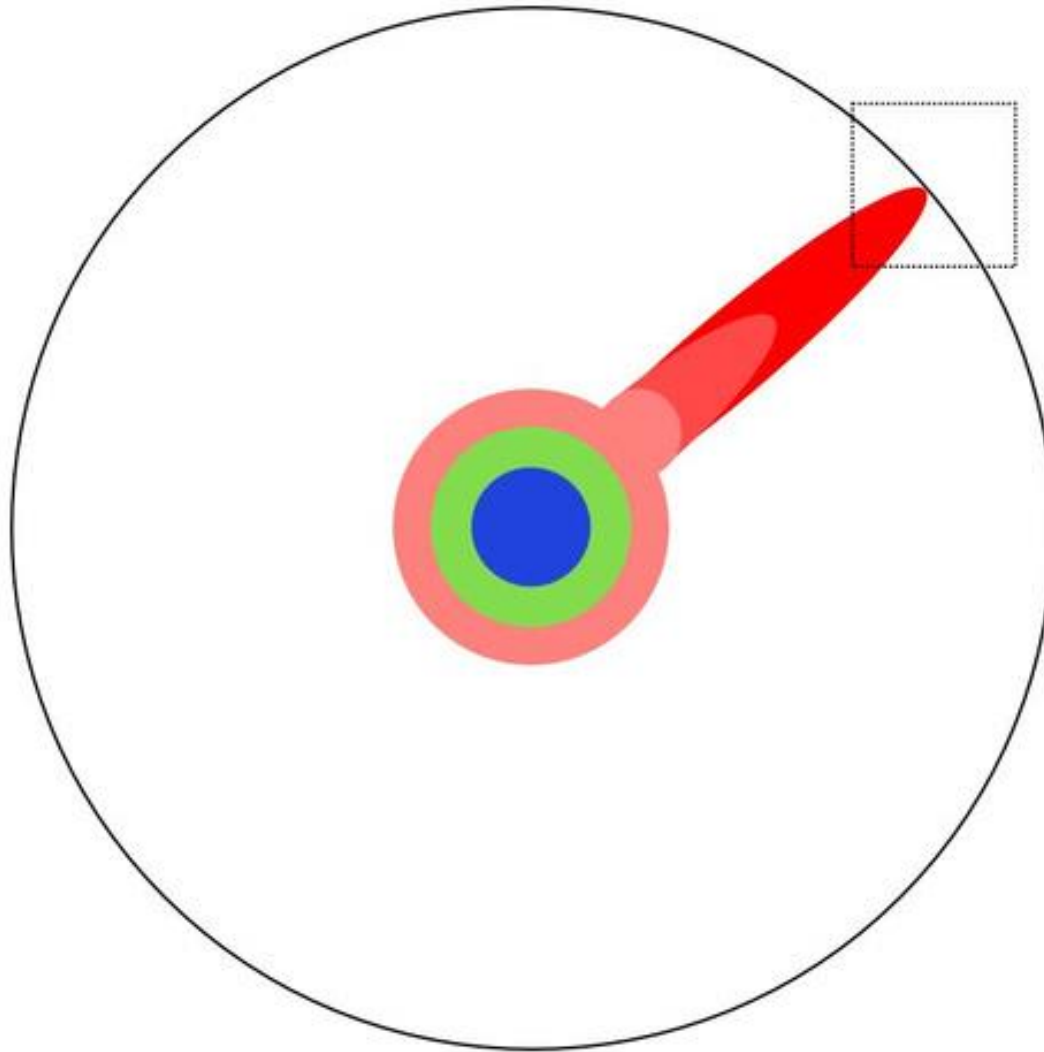




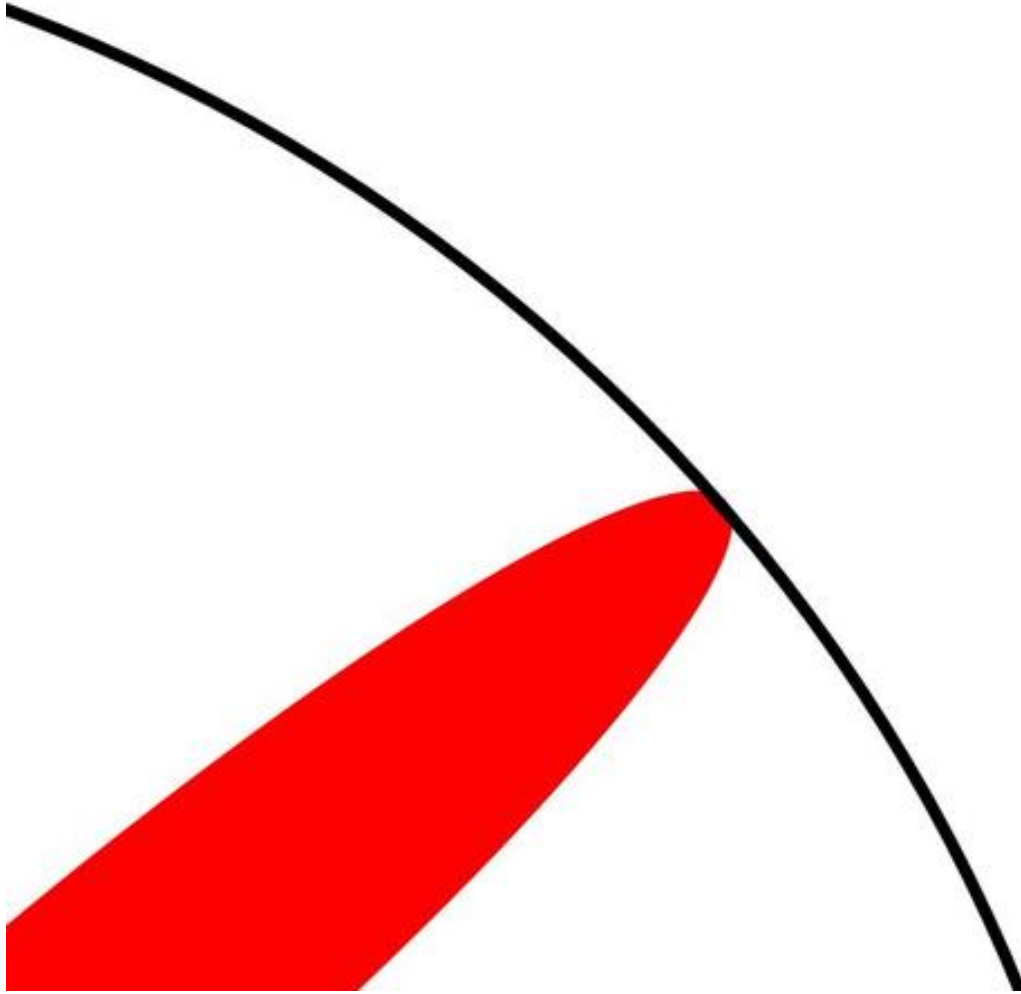
Reading research papers takes you to the edge of human knowledge:



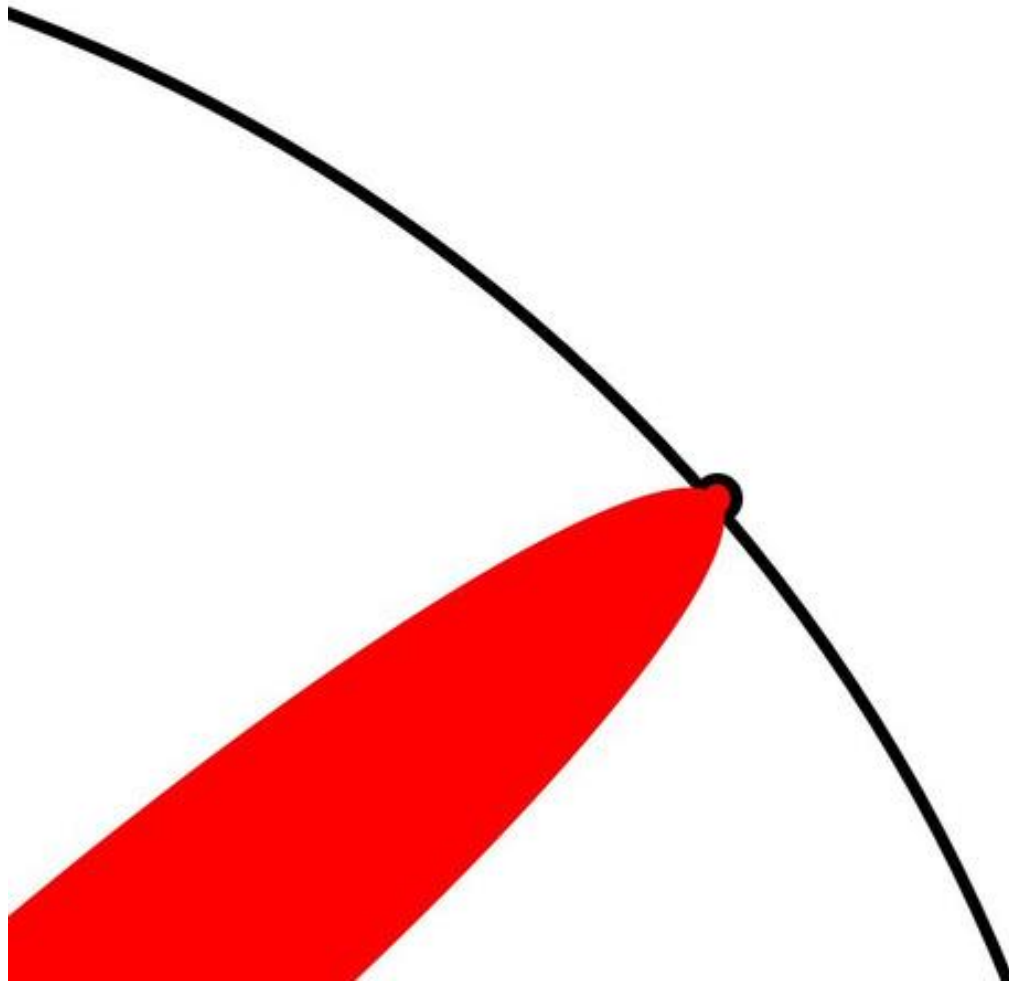
Once you're at the boundary, you focus:



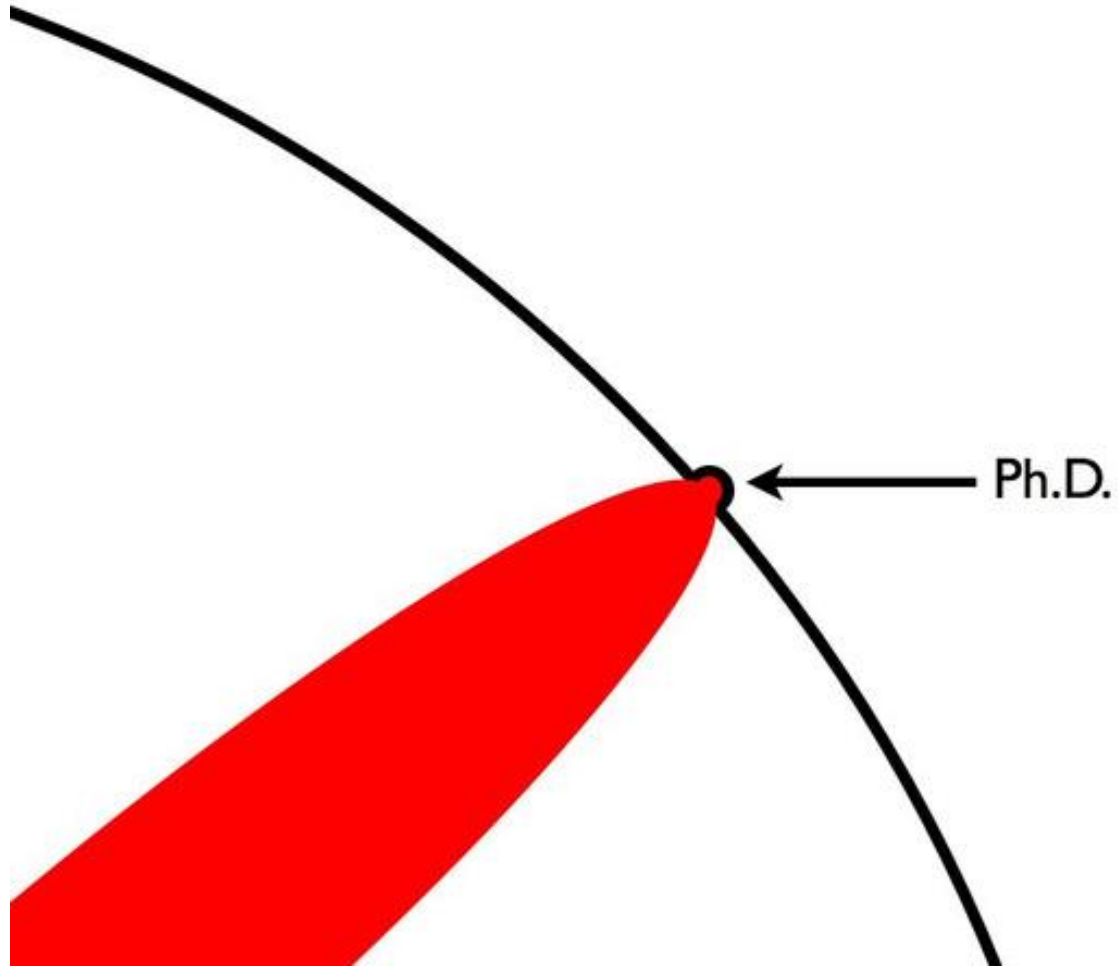
You push at the boundary for a few years:



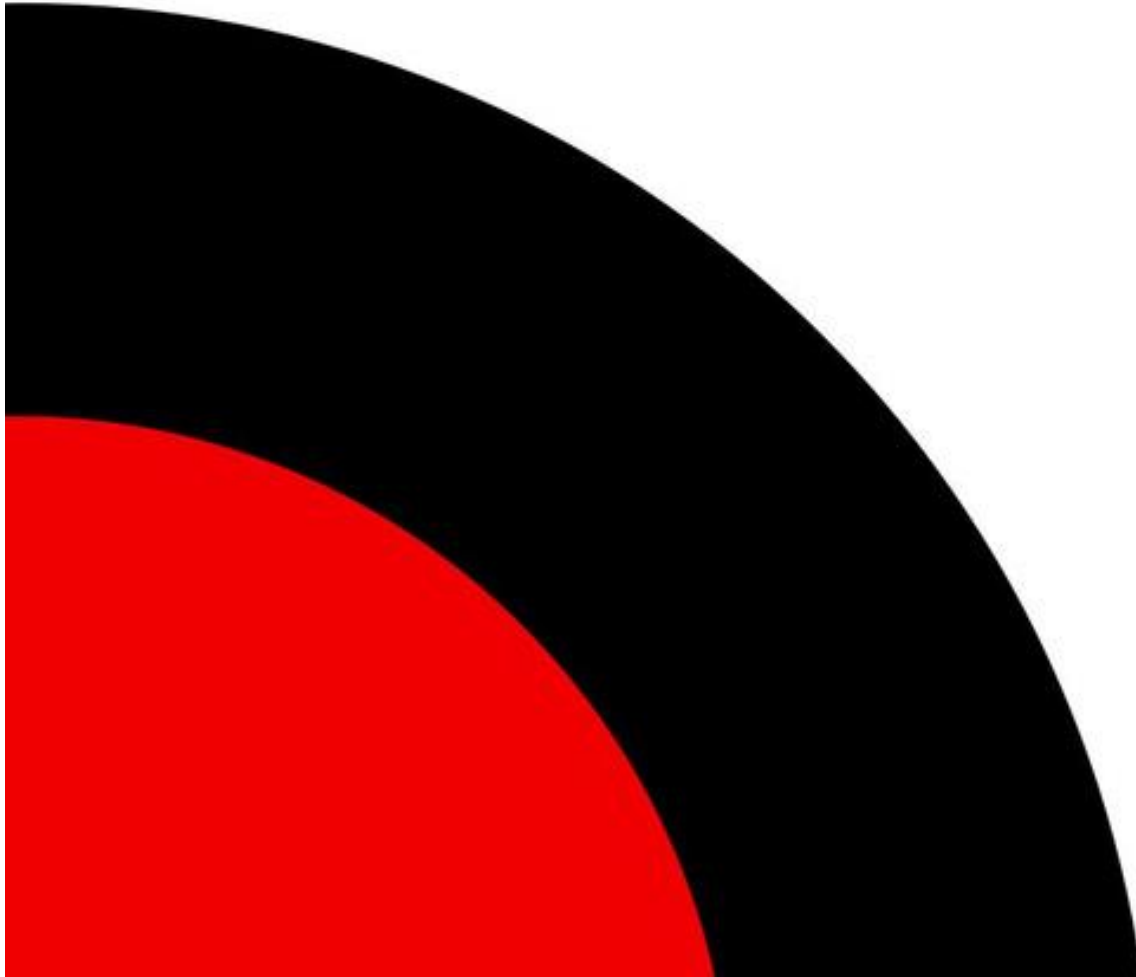
Until one day, the boundary gives way:



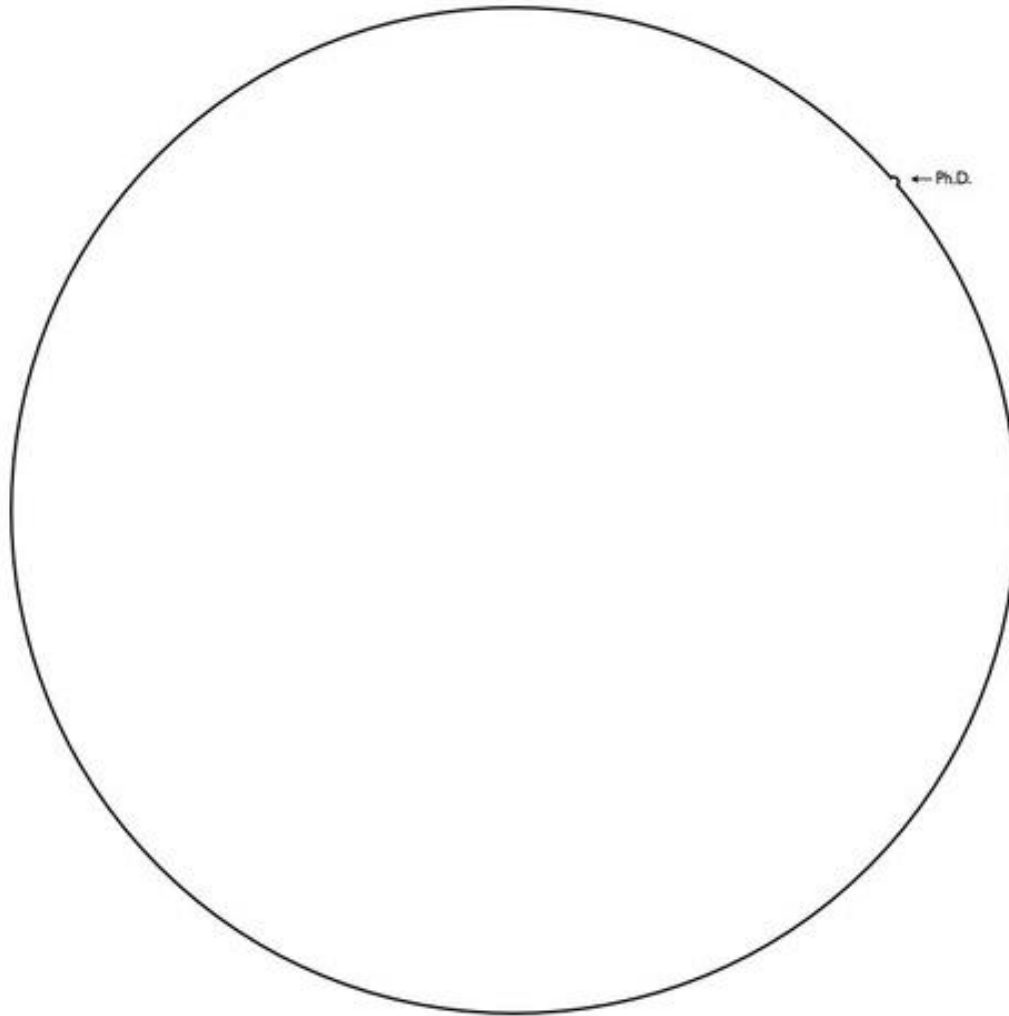
And, that dent you've made is called a Ph.D.:



Of course, the world looks different to you now:

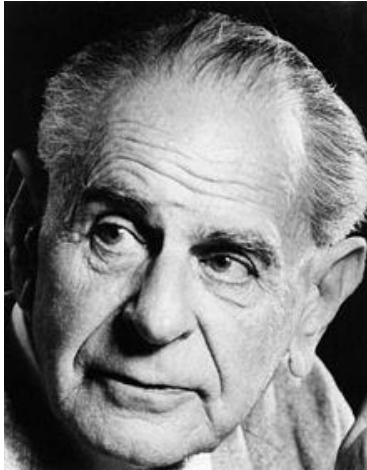


So, don't forget the bigger picture:





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Sir Karl Raimund Popper  
1902-1994

*The Logic of Scientific Discovery*  
(1934)



Thomas Samuel Kuhn  
1922-1996

*The Structure of Scientific  
Revolutions* (1962)





# PUBLIC POLICIES FOR ENERGY





# PUBLIC POLICIES FOR ENERGY

## ☑ Defining and qualifying Public Policy

➤ Public Policy a question of Semantics

A noção de “políticas públicas”, uma questão semântica

Um aglomerado de vários aspectos que são distintos nas línguas anglo-saxónicas:

Polity / esfera política

Politics / actividade política

Policy / acção pública

Refers to the processes engaged in the development and implementation public action programs – in other words, it deals with instrumentalization of the political and administrative apparatus on behalf of explicit objectives

Os processos envolvidos na elaboração e implementação programas de acção pública, ou seja a instrumentalização de dispositivos politico-administrativos em prol de objectivos explícitos



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A policy establishes a “local order” and an interorganizational space, in as much as it consists in a political construct that is relatively autonomous and through which occurs the regulation of conflicts between organized interests, guaranteeing the articulation and adjustment of individual and collective objectives.

Uma Política Pública estabelece uma «ordem local» e um espaço inter-organizacional e consiste numa construção política relativamente autónoma ao nível da qual se opera a regulação dos conflitos entre interesses organizados, e que garante a articulação e o ajustamento dos seus interesses e objectivos individuais, a par dos interesses e objectivos colectivos.

FRIEDBERG Erhard, *Le pouvoir et la règle*, Paris, Seuil, 1993



## PUBLIC POLICIES FOR ENERGY

### ☑ The “stagist *approach*” to policy making

#### Aproximação por fases

1. *agenda setting* / Incorporação na agenda ou agendamento
2. *policy formulation* / Produção de soluções e alternativas
3. *the decision* (difficult to identify since it's often not institutionally contained) / A decisão (dificilmente identificável por não se conter apenas no quadro institucional)
4. *implementation (or not)* / Implementação (ou não)
5. *policy evaluation* / Avaliação
6. *program termination* / Extinção

JONES Charles O., *An introduction to the Study of Public Policy*, Belmont, Duxbury Press, 1970



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## ☑ The genesis of public action / A génese da acção pública

KINGDON John, *Agendas, Alternatives and Public Policies*, Boston, Little Brown, 1984

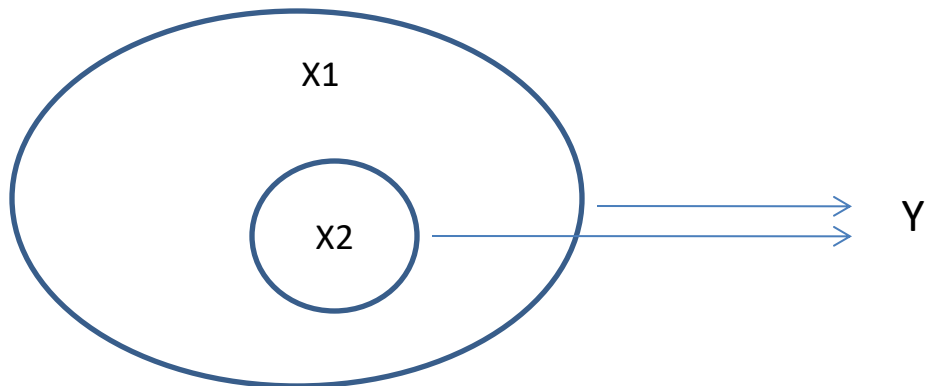
Multiple and simultaneous causality / Causalidade múltipla e simultânea



Sequential causality / Causalidade sequencial



Intricate Causality / Causalidade intrincada





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A “**window of opportunity**” according to Kingdon:

There are junctures in time that constitute «an opportunity for mobilized actors to promote the solutions that are most preferable to them or to draw attention to specific issues»

A “**janela de oportunidade**” de Kingdon:

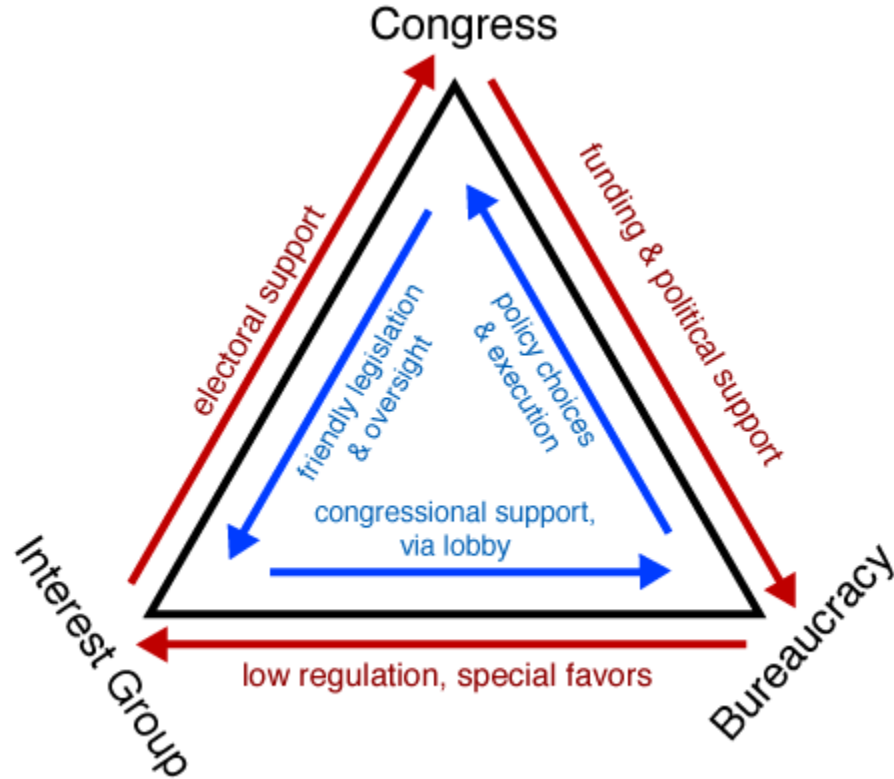
Existem conjunturas temporais que representam «uma oportunidade para actores mobilizados poderem promover as soluções que lhes são preferidas ou para atirarem a atenção para questões específicas»

KINGDON John, *Agendas, Alternatives and Public Policies*, Boston, Little Brown, 1984



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- ☑ The iron triangle / O triângulo de aço





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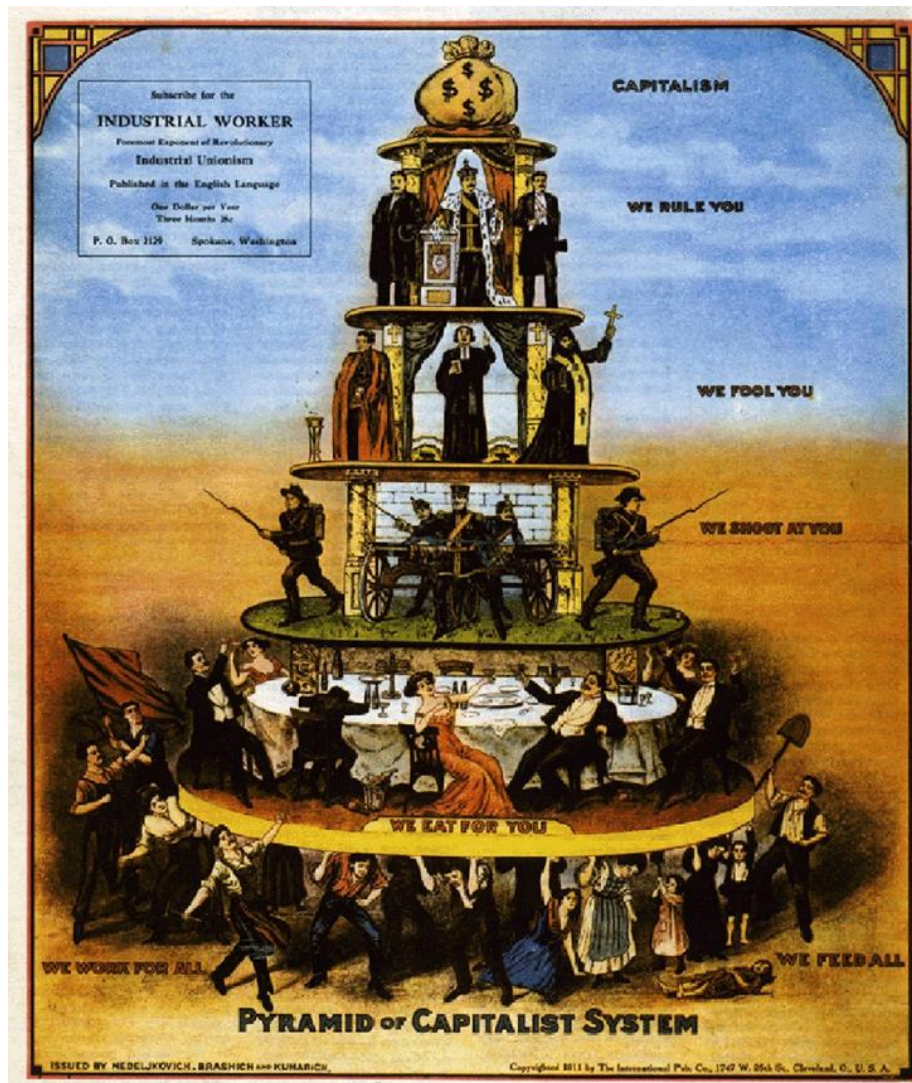


*"I'm sorry, Senator. I didn't realize you were meeting with a lobbyist."*



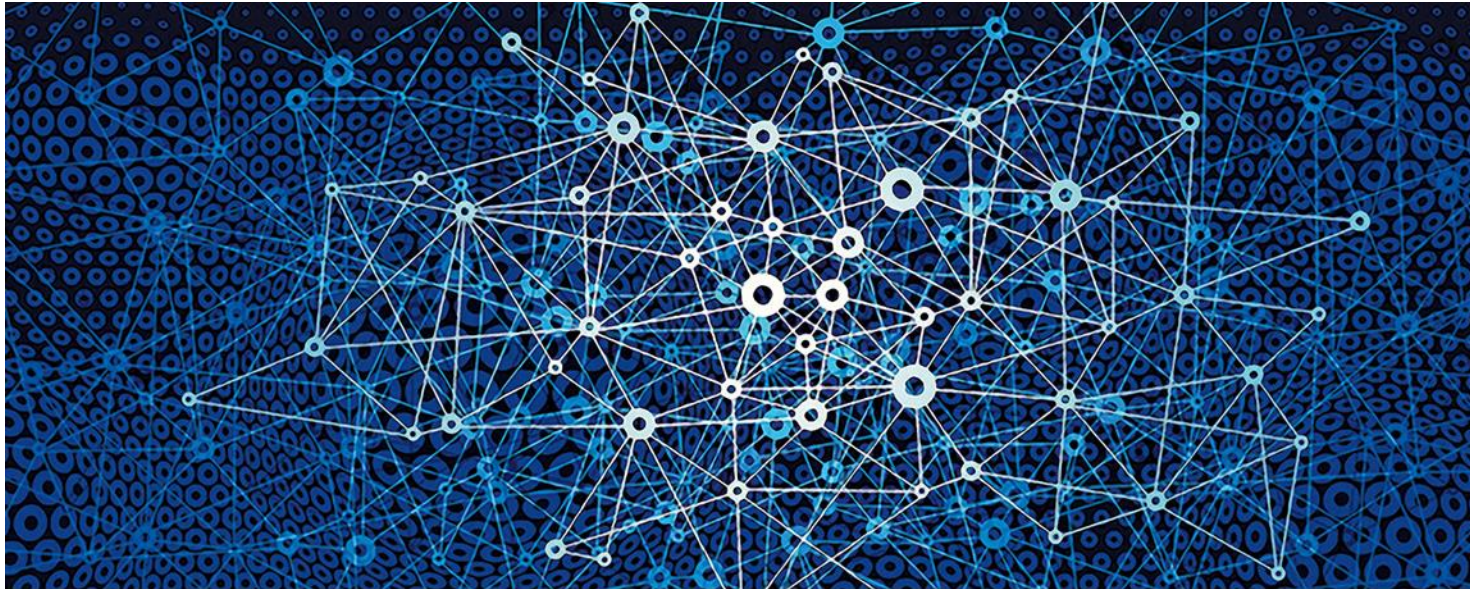


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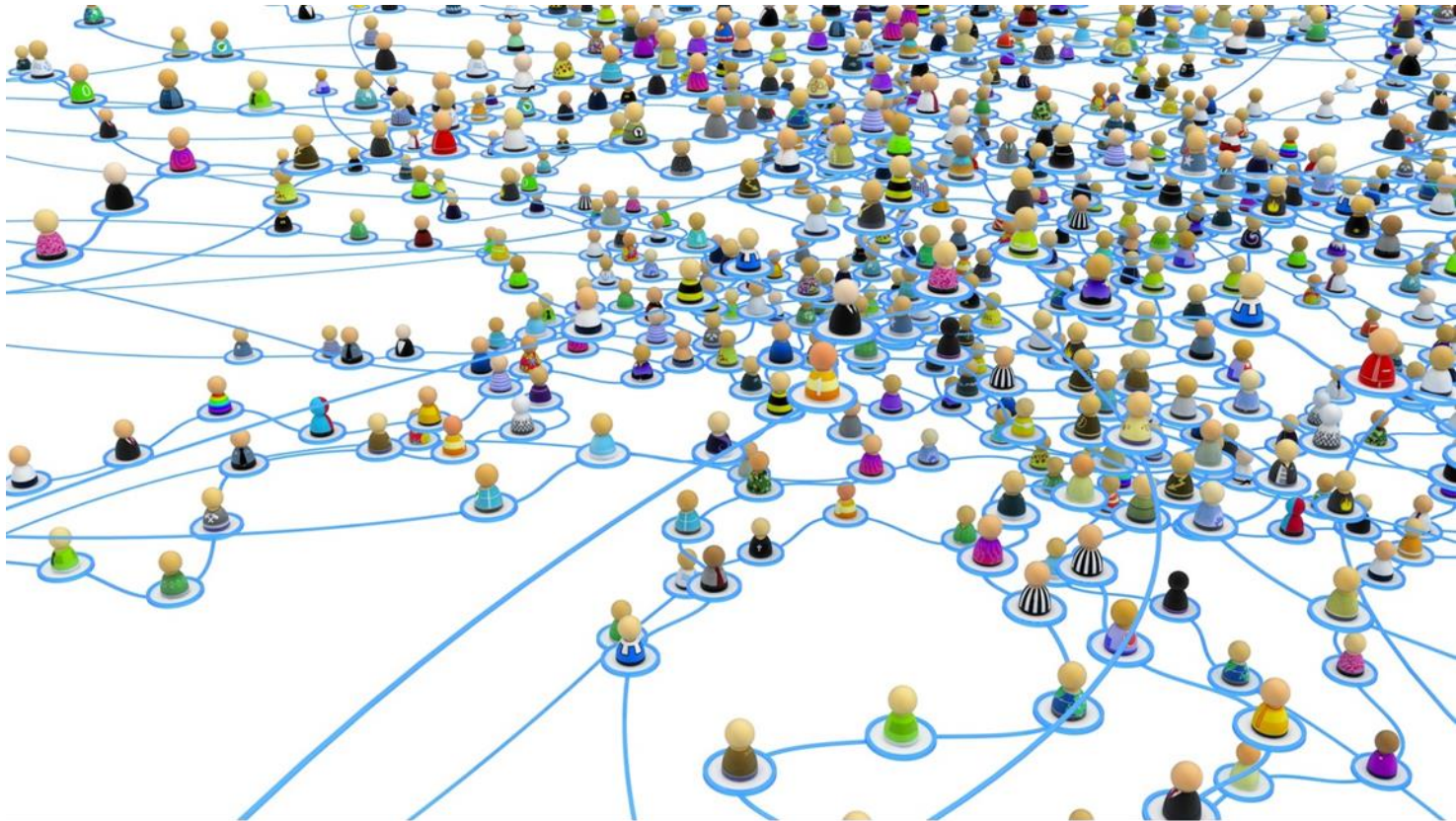
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**World Wide Web**



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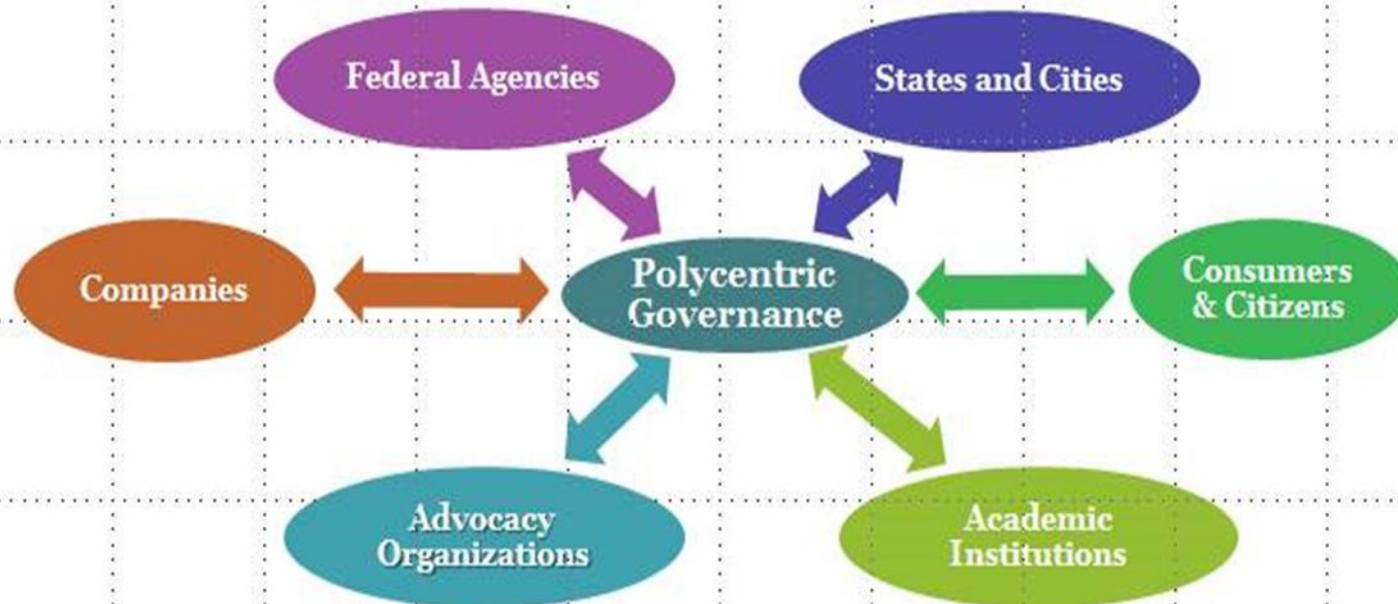


***Social Networks***



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# From Single-Scale, Monocentric Governance to Multi-Scale, Polycentric Governance

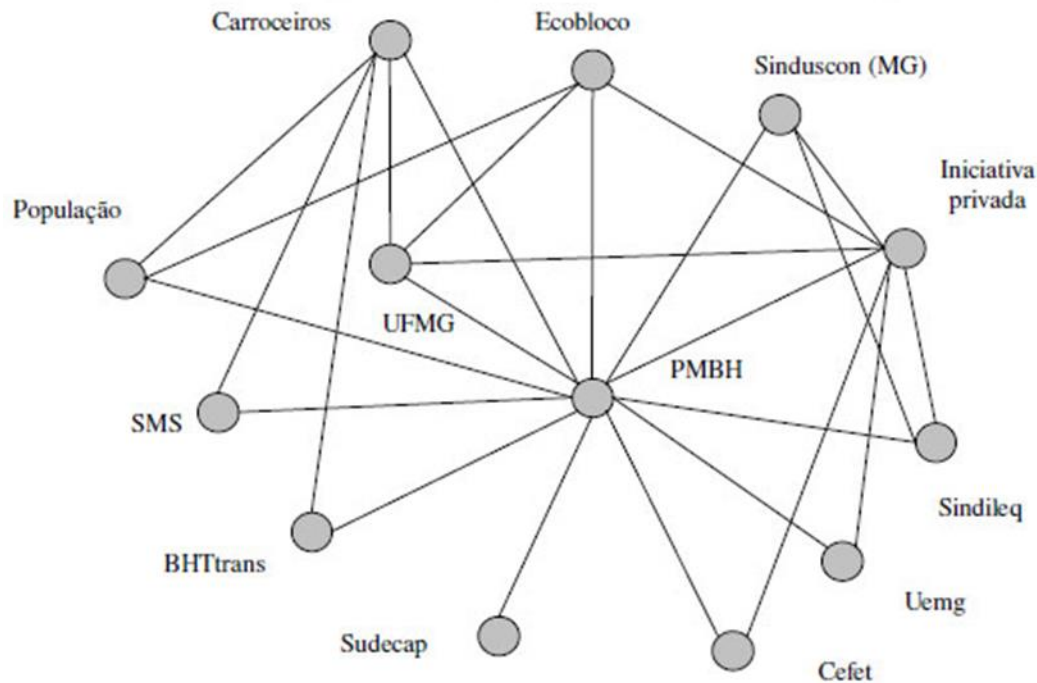




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Figura 2

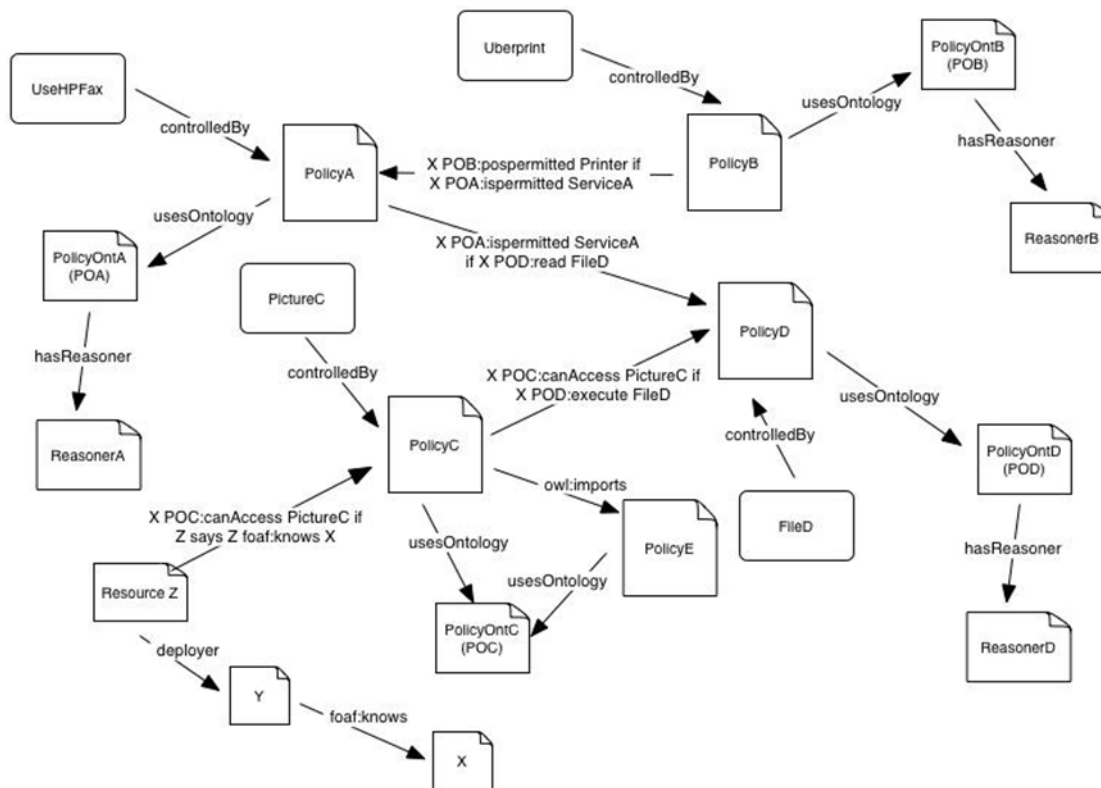
*Rede de política pública de gestão de resíduos da construção civil*



Fonte: elaborado pelos autores.

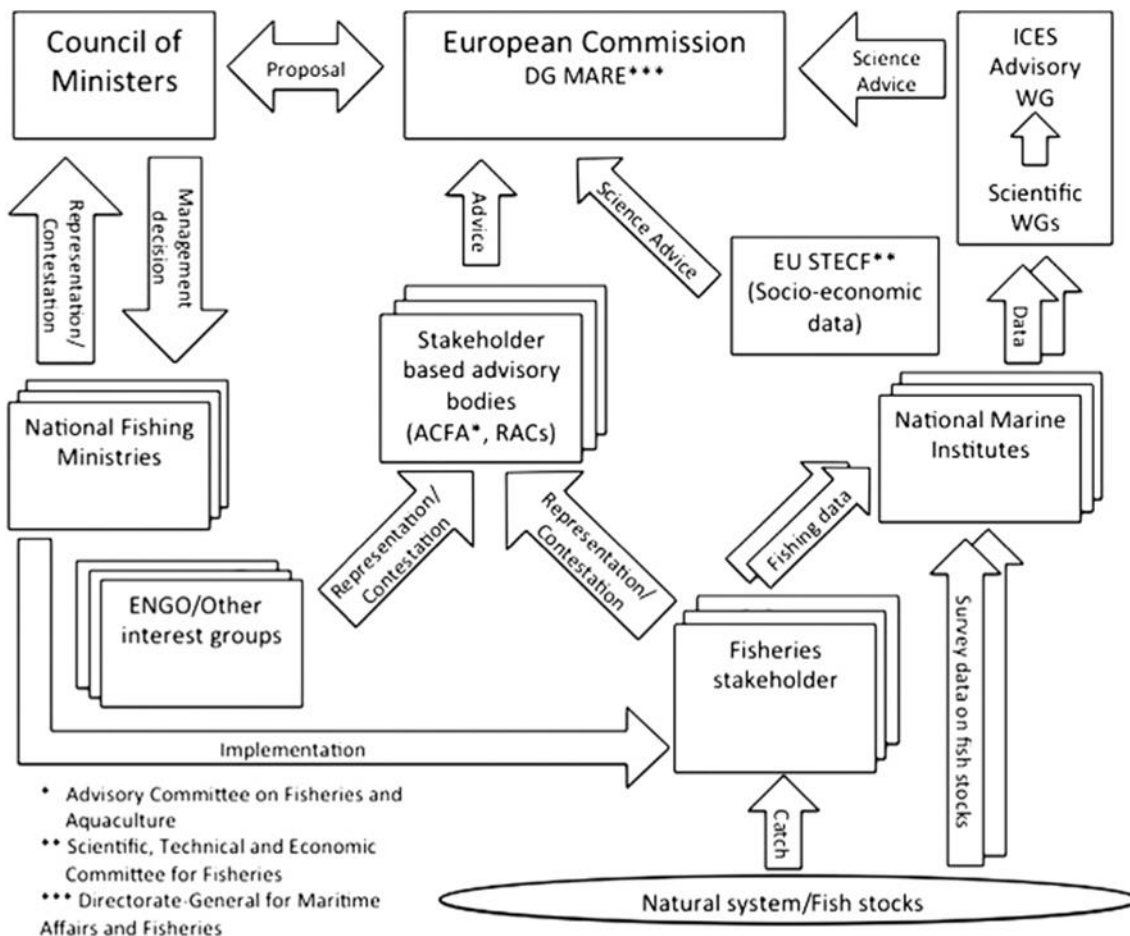


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## Contemporary forms of public governance as a new form of government

- A. The principal of cultural neutrality
- B. Five principles of democratic governance
  - a. Governance pertains to a number of institutions and policy actors that transcend the political and administrative body of the state
  - b. Governance recognizes the tenuous boundaries that exists between private and public sector actors in the appropriation of social and economic issues
  - c. Governance assumes the underlying factors of dependency between institutions and actors involved in collective action
  - d. Governance refers to the activity of policy networks that are autonomous and self-regulating by nature
  - e. Governance recognized the viability of public action without the government authority





## PUBLIC POLICIES FOR ENERGY





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## Evaluation in the policy life cycle



- The trend is the presence of evaluation at all stages of the life cycle of a policy.
- Either prospective or retrospective.



# PUBLIC POLICIES FOR ENERGY

## The role of evaluation in the European Union decision process





# PUBLIC POLICIES FOR ENERGY

## Evaluation role in the European Union decision process

- “The link between evaluation and impact assessment needs strengthening. This should be a continuous loop: a good evaluation should be influenced by the quality of the preparation which went into an intervention (i.e. the impact assessment); good impact assessments should draw on the lessons learnt from evaluations, which should identify problems, deficiencies, challenges and successes.”
- “In the future, each Commission proposal for any significant change should be accompanied, in the implementation plan, by an evaluation framework containing the objectives and indicators for the action and proposed programming for the monitoring and evaluation of the performance of the action.”

Strengthening the foundations of Smart Regulation – improving evaluation. COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS

[http://ec.europa.eu/smart-regulation/docs/com\\_2013\\_686\\_en.pdf](http://ec.europa.eu/smart-regulation/docs/com_2013_686_en.pdf)



# PUBLIC POLICIES FOR ENERGY

## Evaluation role in the European Union decision process

- “This Communication sets out a series of actions which demonstrate the Commission’s renewed commitment to apply Better Regulation to its everyday work.”
- “The aim is to work more transparently and inclusively to produce higher quality proposals, and ensure that existing rules deliver important societal goals more effectively.”

Better Regulation package of Junkers’ Commission (May 2015)

Better regulation for better results - An EU agenda, COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS

[http://ec.europa.eu/smart-regulation/better-regulation/documents/com\\_2015\\_215\\_en.pdf](http://ec.europa.eu/smart-regulation/better-regulation/documents/com_2015_215_en.pdf)



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## Evaluation vs Monitoring

### ■ **Monitoring**

Consists exclusively on the collection of a set of indicators that allow to follow the evolution of the context and the policy performance. Concentrates itself on the measurement of tangible measures and it is mainly concerned with results and resources consume.

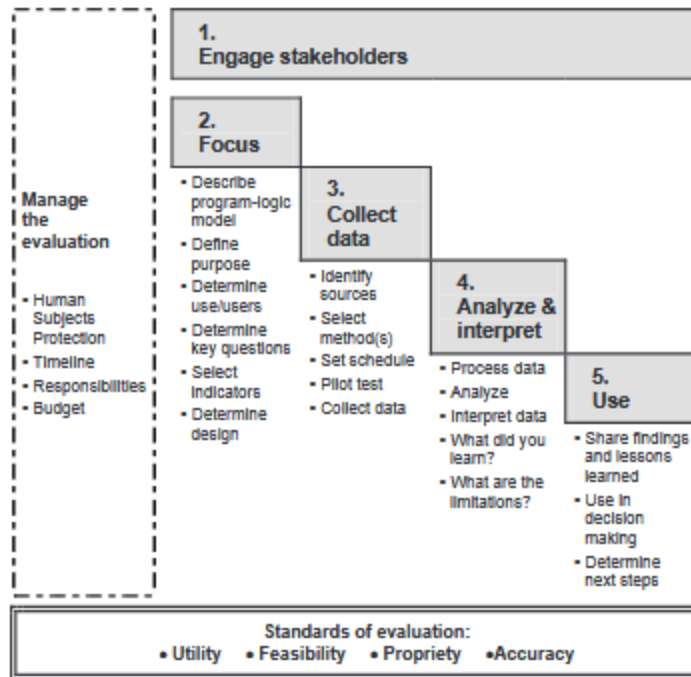
### ■ **Evaluation**

Usually it is supported by the same data used in monitoring but it completely distinguishes itself by the analysis that is performed. It is not restricted to the simple analysis of the evolution of the indicators and seeks to understand how is that evolution related to the implementation of the policy. Focus on more intangible measures and adopts a medium/long term perspective.



# PUBLIC POLICIES FOR ENERGY

## Main stages in the evaluation process



Source:  
University of Wisconsin  
<http://www.uwex.edu/ces/pdande/evaluation/>,  
12 de Novembro de 2013.





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## Construction of an evaluation methodology

- The main aspects to consider when building an evaluation methodology can be summarized in the following areas:
  - **Goal**
  - Focus
  - Temporality
  - Criteria
  - Indicators
  - Referentials
  - Availability of resources
  - Evaluation team composition
  - Structure and context of implementation



# PUBLIC POLICIES FOR ENERGY

## European Commission Guidelines

- The main purposes for carrying out evaluations are as follows:
  - To contribute to the design of interventions, including providing input for setting political priorities,
  - To assist in an efficient allocation of resources
  - To improve the quality of the intervention
  - To report on the achievements of the intervention (i.e. accountability).

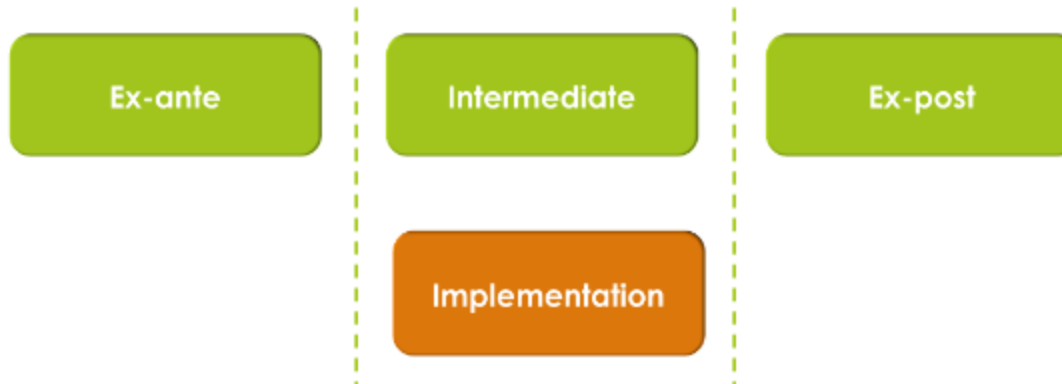
Evaluating EU activities – a practical guide for Commission Services, Luxembourg: Office for Official Publications of the European Communities, 2004

[http://ec.europa.eu/agriculture/eval/guide/eval\\_activities\\_en.pdf](http://ec.europa.eu/agriculture/eval/guide/eval_activities_en.pdf)



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## Temporality





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## Criteria importance

- In the assessment of their programs of development assistance OECD uses essentially the first five criteria presented:
  - **Relevance**
  - **Effectiveness**
  - **Efficiency**
  - **Sustainability**
  - **Impact**
  
- In the assessment of its policies the European Commission's adds two more criteria:
  - **Coherence/Complementarity**
  - **Community value added**



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## Indicators

- The indicators can be:
  - Direct measures
  - Statistical measures  
(ex: average, median, standard-deviation, etc...)
  - Aggregated indicators  
(ex: inflation, human development index, etc...)



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## Referentials

- Referentials play a fundamental role in the evaluation of public policies, as they allow to evaluate its performance.
- The ideal sources for referentials are:
  - The existence of precise objectives
  - The existence of detailed studies of the context previous to implementation.



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## Evaluation team composition

- Concerning the composition of the evaluation team, the most important is to ensure the independence, objectivity and fairness of the evaluation process
- In what concerns the relation between the evaluator and the evaluation object there are two major possibilities:
  - **Internal**
  - **External**



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## Structure's policy and context of implementation

- It is essential to know in detail the policy and the context of implementation:
  - The goal(s)
  - The objective(s)
  - The available resources
  - The beneficiaries and the rest of the stakeholders
  - The activities conducted during implementation





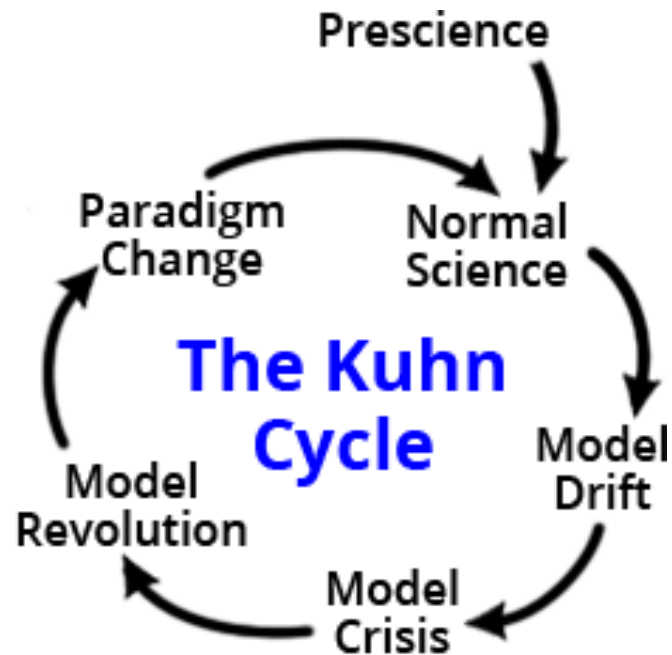
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### Cognitive Public Policy Analysis

What type of mental processes underlay public action?



## PUBLIC POLICIES FOR ENERGY



Thomas Samuel Kuhn  
1922-1996

*The Structure of Scientific  
Revolutions (1962)*



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“The paradigm represents the aggregate of beliefs, recognized values and techniques which are common to a given group”

Given differences in [aggregate of beliefs, recognized values and techniques] of the subject matter, adherents of each paradigm have different **exemplars**, here defined as orientations and bodies of work that serve as icons and models for practitioners within each paradigm.



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“An advocacy coalition consists of actors from a variety of public and private institutions at all levels of government who share a set of basic beliefs (policy goals plus causal and other perceptions) and who seek to manipulate the rules, budgets, and personnel of governmental institutions in order to achieve these goals over time” Paul A. Sabatier



## PUBLIC POLICIES FOR ENERGY

### The **referential** of a public policy

Sensical structure with four levels perception:

Values

Norms

Algorithms

Images



## PUBLIC POLICIES FOR ENERGY

“they involve value priorities, perceptions of important causal relationships, perception of world state (including the magnitude of problem), perception of the efficacy of policy instruments, and so on” Paul A. Sabatier



## PUBLIC POLICIES FOR ENERGY

### The process of **Mediation**

Two sets of dimensions:

Cognitive dimension / normative dimension

Intellectual field / power field



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The relation between  
“Sector referential” and “global referential”





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