Proposed OUP Handbooks

August 31, 2015

Letter to International Network on Social Policy and Teaching Research

Editor: Karen Baehler

Dear members of the International Network on Social Policy Teaching and Research,

Thank you for the opportunity to present a few ideas for the new Oxford Library of International Social Policy (OLISP). I co-edited one volume under the earlier Besharov-Gilbert series on International Policy Exchanges, and a second completed volume is under review now. It is exciting to see the earlier series growing into an innovative, modular 3-D library.

The very first paragraph of the OLISP proposal lists public administration (PA) as one of the core disciplines contributing to international social policy. That is the niche that Doug and Neil have asked me to explore with you here.

PA is core to international social policy because policies have to be translated into operational programs before they can begin to address real social problems, and it is the job of public administrators to make such programs functional. Beyond this simple truth, however, it is difficult to say definitively what counts as "good" public administration. Within the PA field, a healthy diversity of viewpoints exists around the following headline issues:

1. **Public Administration's Contribution to Good Governance:** Nearly everyone agrees *that* public administration matters, but not *why* it is so. Some schools of thought point to PA's contribution toward ensuring that public interventions meet their goals (effectiveness), while others focus on its role in upholding constitutional principles. Some stress the need for public sector reforms that maximize value for money (efficiency), while others emphasize the power of public managers and administrators to influence citizens' views about state legitimacy for good or ill.
2. **Measuring and Evaluating Public Administration:** Those who wish to assess the quality of public administration against effectiveness, efficiency, equity, legitimacy, or any other evaluative standard quickly confront significant measurement challenges. Data on key outputs, outcomes (including citizens' attitudes), processes, and values is often scarce or inaccessible. Even when good data is available, researchers struggle to prove which factors among many (including PA) should receive credit or blame for the relevant results. Considerable progress has been made in this subfield over the past 20 years, and more work is needed.

3. **Public Sector Reforms That Work:** Given the heterogeneity of value perspectives in the PA sphere (see 1 above) and the difficulties associated with measurement and evaluation (see 2 above), it is no surprise that scholars and practitioners are continually revising their conclusions about what works to improve the quality of public administration. Even thirty years after the coining of the term "New Public Management" (NPM), the PA community continues to argue about the degree to which NPM improved or degraded the societies that adopted its various reform practices. Such debates also extend to other streams of reform.

4. **Tools for Modernizing Public Administration:** Within and between the various schools of thought, management tools are needed to convert abstract principles of good governance into practical structures and processes. In certain domains, such as performance measurement and management, practical tools have proliferated, while other domains suffer from a lack of hands-on, operational innovations (e.g., adaptive governance, complexity and resilience).

5. **What Comes Next?** Anticipating the next waves of public sector reform and the next big ideas in public administration requires a deep understanding of the relationship between past and present, which in turn requires research methods that track very long-term patterns of continuity and change. Lively current debates about the relative merits of various such research methods are likely to continue.

These five headline issues provide a useful framework for thinking about a proposed project within the Besharov-Gilbert Library to be entitled *The Oxford Handbook of Modern Public Administration.* The purpose of the PA Handbook would be to assemble cutting-edge thinking about the big issues that have long animated this field: Why does PA matter? Can the quality of PA be reliably measured and evaluated, and if so, how? What do we know so far about what works to improve PA? What practical tools are available to public administrators to help them achieve the ambitious goals set by citizens and PA scholars? Is it possible to anticipate future directions in PA, and if so, by what methods? The handbook would not attempt to reconcile the various debates surrounding these questions (which would be both impossible and misleading). Nor would it merely catalog the various theories and empirical findings developed to date. Instead, the Handbook editors would invite each contributing author to look beyond their own points of view to engage with the larger debates and move them forward through a combination of theory, empirical findings, and lessons from practice.

This approach distinguishes the proposed *Oxford Handbook of Modern Public Administration* from the 2007 *Oxford Handbook of Public Management.* The latter surveyed the broad field of public management using categories that one would find in a standard public management textbook. Sections had encyclopedia-type labels such as "Basic Frameworks," "Theoretical and Disciplinary Perspectives," "Current Themes," etc. In contrast, the new PA Handbook's sections would be organized according to the big questions and cutting-edge issues identified above, which would locate it at the frontier of PA thinking. In addition, the PA Handbook would ask contributing authors to focus as much as possible on public administration within the domain of social policies and programs.

Each of the five sections of the PA Handbook could be published on its own as a stand-alone volume. Alternatively, sub-topics under each of the section headings could be expanded into stand-along volumes. Here are a few examples for the purpose of seeding discussion:

1. **Public Administration and Good Governance**
   - *Blending Markets, Networks, and Hierarchies: Emerging Models in the Wake of NPM:* In the post-NPM period, countries appear to be embracing multiple standards of good governance. This manifests in the mixing and matching of NPM-type administrative practices with alternatives such as network-based models (the New Public Governance or NPG), bureaucratic modernization initiatives (the Neo-Weberian State or NWS),[1] models based on constitutional competence,[2] democratic participation-based models (the New Public Service or NPS),[3] and co-production[4]? Have national tastes for public sector reform fragmented and diverged in recent years, or do the NPM-NPG-NWS-NPS et al blended models constitute a new, emergent international paradigm (or two, or three new paradigms)? What impacts are current PA reform trends having on social service delivery? There is plenty of material here for a stand-alone volume.
     - Alternatively, this topic could be sliced regionally. One logical title would be *The Evolution of NPM Down Under* (both Australia and New Zealand were early adopters of NPM in different forms, but have moved toward more complex models since then), or we could focus on Commonwealth countries (Britain, Canada, Australia, New Zealand, South Africa), which, together with the U.S., constituted what some call the Anglo-Saxon model of public sector reform. Central and Eastern Europe and developing countries offer alternative/additional foci that raise somewhat different issues. Co-editors would be identified in whatever region(s) is selected.

2. **Measuring and Evaluating Public Administration**
   - *Tax and Transfer Policies vs. Social Services: Substitutes, Complements, Combinations:* Evaluations of social service programs often produce disappointing results. Many programs appear to generate weak outcomes and many would fail a simple cost-benefit test. If such findings result from poor implementation, then better administrative practices are needed. But if such findings result from basic flaws in the logic of social services, then wholescale changes may be needed in our approach to social problems. One such change would involve a shift of resources from social services toward more generous redistribution arrangements via taxes and cash transfers. Some of the recent

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[1] See Christopher Pollitt and Geert Bouckaert (2011), *Public Management Reform: A Comparative Analysis*, 3rd Edition, OUP.

[2] See David Rosenbloom, Robert Kravchuk, and Richard Clerkin (2014), *Public Administration: Understanding Management, Politics, and Law in the Public Sector*, 8th Edition, McGraw Hill.

[3] See Janet V. Denhardt and Robert B. Denhardt (2011), *The New Public Service: Serving, Not Steering*, 3rd edition, M.E. Sharpe.

[4] See John Alford (2009), *Engaging Public Sector Clients: From Service-Delivery to Co-Production*, Palgrave MacMillan.

surge in research and commentary on income and wealth inequality endorses such a shift. This chapter/volume would explore the intersection between two long-standing global debates: To what extent should lackluster performance in social programs be blamed on weak administration vs. flawed program logic? Moreover, what do the answers to that question tell us about the relative virtues of tax-and-transfer vs. social services-based responses? As a chapter and/or a stand-alone volume, this topic clearly demonstrates what can be gained from focusing on the intersections between public policy and public administration.

3. **Public Sector Reforms That Work**
   - *Assessing the Performance Management Movement:* One important subset of the New Public Management (NPM) reform principles calls for improving public sector accountability mechanisms tied to outputs and outcomes, i.e., the domain of performance measurement and management practice, which has fierce proponents and detractors. This chapter/volume would filter through the vast literature on performance management to highlight high-quality research on the presence and absence of social policy impacts in different contexts. It would seek to understand why some performance/accountability regimes have worked better than others and how much of the experience to date can be generalized to other times and places. In a possible stand-along volume, the editors would assemble chapters that look not only at efficiency and effectiveness with respect to outputs and outcomes, but also at effects on citizen engagement, constitutional values, and public sector legitimacy.

   - *Resilient Organizations: What the Complexity and Adaptation Sciences Can Contribute to Improving Social Programs:* Critics of NPM sometimes point to the limitations of linear cause-and-effect models and the flawed assumptions of *homo economicus* which performance-management approaches tend to apply. The field of complexity sciences offers an alternative paradigm for thinking about the dynamic, non-linear, emergent behavior of individuals, organizations, neighborhoods, and whole societies. Recent research on complex adaptive systems has been applied extensively in the fields of environmental and defense policy, as well as in public administration and management more generally. Do the lessons learned from these fields about adaptation and resilience translate to the domain of social policy and program administration, and if so, how? This chapter/volume will explore the multiple dimensions of that question.

4. **Tools for Modernizing Public Administration**
   - *Management Tools for Social Policy Planning and Implementation:* As PA paradigms have proliferated, so have related tools for social planning and program operation. These range from various methods for measuring and comparing performance to incentive schemes for social program operators. Tools continue to evolve for the perennial purposes of needs assessment, program choice, contract design, monitoring, evaluation, and (to borrow from the IT field) repeated beta testing of new program features. This chapter/volume will scope the landscape of both existing and emerging social policy management tools.

- *Alternatives to the Policy Outcomes Matrix* or *Is it Time to Move Beyond the Policy Outcomes Matrix?* This chapter/volume would focus more narrowly on the management of social policy design processes based on critiques of the standard approach to policy design and selection – the outcomes matrix[5] – as it is taught in many public policy and public administration courses in the U.S. and elsewhere. Alternatives to the outcomes matrix include logic models, systems maps, scenario writing, and other methods more frequently employed outside the U.S. The planning process for this chapter/volume would include a search for additional, lesser-known, alternative tools.

5. **What Comes Next?**
   - *Taking the Long View: International Public Administration Reform in Historical Context:* Progress in both descriptive and normative scholarship often requires taking the long view of where we have come from and where we might be going. In his 2013 John Gaus Lecture to the American Political Science Association, Prof. Robert Durant took the PA field to task for fixating "on linear causation, on parsimony, and on the search for independent variables rather than on interdependent secular trends as explanatory factors. [The field] has been largely focused on predicting cross-sectional and short-term longitudinal relationships rather than on understanding the reciprocal effects of those longer-term secular forces that incorporate history, context, and contingency as explanatory variables" (p. 8).[6] This chapter/volume would collect examples of the type of PA research that Durant endorses – historical-institutionalist and critical-realist studies of continuity and change in public sector management from multiple countries and regions – and distill key findings for international social policy.

   - *Globalization and the Forces of Convergence in Social Policy and Administration:* This section/volume would explore broad international PA trends as they shape, and are shaped by, evolving social and economic theory and practice. On one hand, forces of globalization are often accused of pushing all nation-states into a "race to the bottom" with respect to social, labor market, and environmental protections as nations compete to attract job-creating industries (which arguably favor locations with lower taxes, looser regulatory frameworks, and a leaner public administrative apparatus). On the other hand, assuming that social, labor market, and environmental goods behave as normal goods, we would expect nations to demand more of them as their economies develop and average incomes rise. Policy harmonization efforts in the Eurozone seek to push back against race-to-the-bottom pressures, but that logic has been challenged.[7] Which of these global forces tends to dominate, and why? How do administrative arrangements interact with political pressures to generate convergence or divergence? What other forces are at play? What role, if any, do trade regions play in these processes? This chapter/volume would address such questions either across all countries or with a focus on one or more specific regions.

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[5] See popular texts by Eugene Bardach and Weimer and Vining.
[6] See Robert Durant (2014), "Taking Time Seriously: Progressivism, the Business-Social Science Nexus, and the Paradox of American Administrative Reform," *PS,* January, pp 8-18.
[7] See the winner of the best article award in the *Journal of Comparative Policy Analysis* (JCPA) last year: Giandomenico Majone (2014), "Policy Harmonization: Limits and Alternatives," JCPA 16(1), pp 4-21.

The list of potential co-editors for the Handbook and possible stand-alone volumes is quite long, as is the list of potential contributing authors. Ideally, this project would showcase a mix of titans in the field (e.g., Hood, Pollitt, Bouckaert, AuCoin, Peters, Weaver, Lynn, Alford, Christensen, etc.) and emerging scholars and research-oriented practitioners with fresh voices, including voices from Asia, Africa, and Central and South America. I have not linked specific names to any of the chapter/section descriptions in order to give first consideration to members of your institutions who may be interested in participating.

The ideas proposed above are just a sample of how *The Oxford Handbook of Modern Public Administration* and related volumes would try to capture the warp-and-woof relationship between PA and social policy. There will be an opportunity to discuss these ideas more fully at the network meeting in September, and I look forward to those discussions and to meeting you then. In the meantime, if you have preliminary comments, please let me know. Please contact me, also, if you or any members of your faculty are interested in contributing to any of these proposed chapters/sections/volumes.

Kind regards,

Karen Baehler

Handbook of Social Policy Issues in Latin America

Editor: Ariel Fiszbein

Latin America is a region of the world well known for experiencing high levels of inequality and weak performance in social indicators, considering the levels of per capita income of most of its countries. The last two decades have seen important transformations and experimentation in social policies across the region. There is a very high quality supply of scholarly work on these topics.

The volumes in this series would serve two goals. First, bring the best available research to an audience both in Latin America and among students of Latin American issues in both the US and Europe. Second, many of the topics proposed below are of significant global interest and thus a subset of the chapters could also become part of other sub-series being considered.

The list below includes a set of potential titles that could be produced over a multi-year period. Some of them could be considered 'low hanging fruit' as they could rely on research that is already completed or well advanced. Others would demand more work and time.

Commitment to Equity: Fiscal Policy and Income Inequality

How much inequality and poverty reduction is being accomplished through social spending, subsides and taxes? How equalizing and poverty reducing are specific taxes and transfers? Within the limits of fiscal prudence, what could be done to increase redistribution and poverty reduction through changes in taxation and spending? These are fundamental questions countries across the world are facing. The Commitment to Equity project (commitmentoequity.org) has addressed these questions in a systematic way in thirteen countries in Latin America. This volume would be a collection of country studies using the CEQ methodology. The volume would be edited by Nora Lustig (Tulane University and Inter-American Dialogue) with contributions from over a dozen top contributors from across the region.

Declining Inequality in Latin America: Are the Good Times Over?

Income inequality in Latin America declined in the 2000s. What are the salient aspects in the observed trends? What have been the main drivers of the decline in inequality? What role has social policy played? Has declining income inequality been accompanied by social progress more generally?

What will weaker demand for low-skilled workers and more austere government budgets mean for inequality trends in the future? Will governments be able to reconcile the goals of social inclusion of the poor with the rising demands of a disappointed group of the new middle class? Building on the papers presented at a conference held on April 2015 at Brown University, this volume will address these questions with contributions from some of the top researchers working on these issues under the coordination of Richard Snyder (Brown University), Ricardo Lagos (Brown University) and Nora Lustig (Tulane University).

Money Matters: Education Financing in Latin America

Over the last two decades governments in Latin America have dramatically expanded their investments in education, from an average of 3% to close to 5% of GDP. Education spending is now one of the key components of government budgets, representing on average 15% and up to 20% of consolidated public expenditures. This has enabled a continued expansion of enrollment rates but with limited progress in learning achievements. Several countries (e.g. Chile, Brazil, Colombia) have implemented reforms to enhance the allocation and use of resources. This volume would first take stock of the current state of public education financing in the region. It will also review the evidence on household spending on education. It will then focus on a set of specific topics (e.g. funding inter-governmental arrangements in the context of decentralization of education services, teacher salaries policies, school performance incentives, etc.) through country case studies. These will provide the basis for a forward looking assessment of education financing trends in the region which should be of great interest for other regions of the developing world. Both the Inter-American Development Bank and UNESCO's Institute of Statistics are putting significant emphasis on these issues and could contribute to the volume. Potential editors: Ariel Fiszbein (Inter-American Dialogue) and Gregory Elacqua (Inter-American Development Bank).

Making Social Policies Work: Institutional Reforms in the New Century

The last 15 years have seen significant innovations in the design and implementation of social policies across Latin America. A case in point is the establishment of cash transfer programs that demanded a range of functions (from new targeting systems to payment and complaint/redress mechanisms) that previously did not exist. Establishing bodies in charge of evaluation (both sector specific —e.g. learning assessment systems-- and multi-sectoral) as well as new inter-governmental arrangements to regulate the provision of services at the sub-national level are two other important examples. Other areas include the coordination of child development and workforce development policies across ministries. This volume would analyze these reforms both with country specific cases (e.g. the experience of Mexico's commission for the evaluation of social programs) and cross-country analyses (e.g. the experience with setting up learning assessment systems across the region). Potential co-editors of the volume: Ariel Fiszbein (Inter-American Dialogue), Javier Corrales (Amherst College) and Mariano Tommasi (Universidad de San Andres).

Handbook of Social Insurance in Latin America

Latin American countries are characterized by the combination of high levels of labor market informality and bifurcated (pension, health and unemployment) social insurance systems with contributive legs covering formal workers and non-contributive ones covering informal workers. Many of these systems suffer serious problems of inequity, inefficiency and sustainability. There is a growing literature on the topic. OUP recently published a volume on the subject in collaboration with the World Bank, the Inter-American Development Bank and IZA (http://ukcatalogue.oup.com/product/9780199685233.do). Given the importance of the topic and the high level of research activity in this area, we propose a 'library' approach that could even include a set of volumes focused on various aspects of the social insurance system: health insurance, old age pensions, unemployment protection, etc. Both fiscal and political economy aspects would be a core aspect of the library. Potential contributors/editors include: Cristian Baeza (IHME @ University of Washington), Ariel Fiszbein (Inter-American Dialogue), Matthew Carnes (Georgetown University), Carmen Pages (Inter-American Development Bank), David Robalino (World Bank), Alvaro Forteza (Universidad de la República, Uruguay) among others.

Migration and development in the Americas: in the paradox between inequality and equity

Foreign labor mobility has historically been a byproduct of poor economic performance and inequality in Latin America and the Caribbean. In the Caribbean and Central America region alone, for example, one in three households have a relative working abroad. In South American countries, the statistic is one in five households. Such trend has shaped both economic growth and modernization. Migrants abroad send more than US$70 billion dollars to their families, import more than 40 billion in agricultural and invest and donate in substantial amounts. But government policy lags behind, and often is disconnected to, the reality of foreign labor mobility. This volume offers to provide three key sections showing the intersection between migration and development. It will explore the trend and determinants of international migration from Latin America and the Caribbean, the ways in which migrants and families are shaping economic and social dynamics in the region, and the development agenda and policy responses among governments. The volume will be edited by Manuel Orozco (Inter-American Dialogue) with contributions from scholars and experts from across the Americas.

Handbook of Social Welfare and Public Policy in East Asia

Editor: Scott Fritzen

East Asia holds a special place in the literature on social welfare and social policy. No other region of the world has experienced the levels of high and sustained economic growth coupled with poverty reduction as East (including Southeast) Asia. By 1993 the World Bank among other institutions was heralding the "East Asian Miracle", centered on the premise that 'growth with equity' was demonstrably viable development strategy – if only policymakers could get the right institutions and policies in place.

Much has happened since the publication of *The East Asian Miracle*, which had focused on Japan, South Korea, Hong Kong, Thailand, Malaysia, Singapore and Indonesia. Transformative growth (and significant poverty reduction) in China and Vietnam appeared to provide confirmatory evidence of the 'miracle' hypothesis. At the same time, two rounds of regional economic crisis coupled with skyrocketing inequalities in several countries shook many observers' faith in the inevitability of progress in this domain. Meanwhile, the institutional and ideological underpinnings of social welfare provision in the region have, as in other parts of the world, shifted significantly, due to such secular trends as commercialization in the delivery of social services and decentraliation of the public sector.

This handbook provides an authoritative survey the state of social welfare and policy in East Asia. It has five parts, each with 5-10 chapters. Depending on interest, some of these could be pursued separately, or for publication prior to completion of a full Handbook.

Part 1: Macro-Trends and Trajectories in East Asian Social Welfare

This part is an overview of social welfare indicators, dimensions and trends across major East Asian countries. Chapters may be included on 'human development' as a theoretical lens, inequality, ways of conceptualizing the effects of globalization on social indicators, migration trends, etc. The chapters are all comparative, and all will focus on three questions: assessing the historical trends driving the indicators across different countries and sub-regions; unpacking key drivers of change from different theoretical traditions; important controversies at present; and likely trajetories moving forward.

Part 2: Social policy sectors

This part moves to the in-depth investigation of particular sectors, including health, social protection, pensions, education, housing, and ethnic policies, among other possibilities. As in Part 1, the discussion would ideally be comparative within each of the sectors, though some separate treatment of countries of particular significance (because of their size or the salience of the trends they represent for other countries in the region) could be pursued as well.

Part 3: Actors and Institutions: The Emerging Landscape in East Asian Social Policy

This part explores the changing role of key actors in the provision of social welfare services: the state, communities and non-governmental orgaizations, markets and international actors. In many countries, traditionally state-delivered services have been replaced or supplemented by hybrid arrangements involving numerous corporatized or private actors, or the introduction of commercial pressures into the service deliver environments in which nominally state personnel operate. How are these changing arrangements affecting the performance of social service delivery?

Part 4: Decentralization and Social Policy in East Asia: Trends, Politics and Consequences

This part can be seen as an extension of part 3, but with the in-depth examination of public sector decentralization trends that have buffeted almost all countries in the region in different forms in social policy. How have these trends affected the provision of social services and social protection? The connections can go the other way too – sector sectors have often been sites of experimentation and innovation in broader decentralization reforms. This part draws on and hopes to integrate the large number of individual sector or country-level case studies to help reach broader conclusions about the decentralization-social policy nexus in East Asia.

Part 5: **Pedagogies and Practices: Social Policy Education in a Transforming Asia**

Part 5 – which depending on interest might serve better as a stand-alone volume, and could be individually authored or form the basis of an edited collection – aims to explore the ways in which social policy, broadly construed, is taught in different Asian countries, and by extension the way practitioners are trained and socialized into their various professions. It will also examine the emergence / maturation (depending on the country) of social work as a professional field over the past twenty years. Some chapters in this part will also the interface between social policy *analysis,* the development of professional *interest groups* undergirding particular social policy regions, and governmental *decisionmaking*,

Combatting Corruption in the Social Services: Problems and Innovations in China, India and Indonesia

Over 40% of the population of the world reside in China, India and Indonesia, countries that are widely assessed to suffer from problems of endemic corruption, including in the provision of basic social services on which the most vulnerable portion of those populations depends. In addition to its direct impact on welfare, the direct public experiences of corruption by street-level representatives of the state drives the political salience of the corruption issue, which in all three countries – depsite their dramatically different political economies – cannot be overstated. Nation-wide anti-corruption movements, protests or campaigns, whether sponsored by the state or those seeking to overturn existing orders, have buffeted all three countries in the past several years as never before.

While problems are massive and cynicsm rife, it is also the case that in all three countries the churn of public anger and political attention to the issue has produced high-profile attempts at institutional and policy reform, many of which have been heralded as innovative, effective or at least promising. In Indonesia, an anti-corrupion commission with almost unprecendented powers has put hundreds of senior politicians and bureacrats of all parties behind bars over a ten year period. In India, 'Right-to-Know' legislation has generated huge interest and action among a growing number of activist groups, and helped fuel nation-wide calls for further institutional reforms. China is in the midst of a top-down anti-corruption campaign which has distinguished itself from its predecessors in terms of both the scope of its application and some tinstitutional reforms to buttress the oversight arm of the executive, including at the local levels of government where experiementation has gone largely undocumented.

This volume compares and contrasts corruption trends and trajectories, root causes and types, and anti-corruption reforms specifically in the social sectors of health, education and child protection across these three countries. Drawing on both a comprehensive review of the literature (including in the Chinese and Indonesian languages in addition to English) and fieldowork conducted in each country, it seeks to answer such questions as:

- To what extent are the forms of corruption in these specific sectors similar across the three countries? How do existing cross-cutting frameworks for the diagnosis of corruption stand up to analysis from the two countries?
- What is known about the effects on social welfare of corruption in the various sectors?
- How should we identify and assess specific innovations in anti-corruption policymaking as they have affected these sectors? Where do innovations originate? What is the evidence regarding their likely effectiveness to date?
- How do the differeing governance arrangements of the countries influence the type and effectiveness of anti-corruption reforms?
- What is the likely trajectory of current reform attempts, and their effectiveness, considering overall policy design, level of actual implementation effort and institutional constraints?

Handbook of Impact Evaluation of Social Policy

Editor: Jacob Klerman

The Need. In social policy, the key evaluation questions are: Does this policy or program work at all? And, would some tweak to program design make the program work better? These questions arise across the range of social policy domains, including labor market policy, education policy, nutrition assistance policy, criminal justice policy, child welfare policy, housing policy. The academic field and practice of "impact evaluation" attempts to answer these questions.

In the impact analysis tradition which will be the focus of this *Handbook*, answers to these key policy questions are developed by observing outcomes for the program (or a pilot of the program) and then approximating the "counterfactual"; i.e., what outcomes would have been for these seem units (usually, but not always, people), holding all else equal. The difference between outcomes with the program and outcomes for the counterfactual are defined as "impact". Impact is usually the key information for making policy decisions; i.e., will outcomes be better with the program (or program variant) than without? And, how much better?

Conventionally the "gold standard" for approximating the counter-factual is random assignment. When properly implemented (and when other technical conditions are satisfied) random assignment guarantees that there are no systematic differences between those who got the program and those that did not. Thus, comparisons between outcomes for these two groups properly estimates the counterfactual allowing the estimation of impact.

Random assignment is intrusive, expensive, has long time lags, and is not always feasible or ethical. The field of impact evaluation is developing and exploring the properties of a range of quasi-experimental (some would prefer the term "non-experimental") approaches. Those approaches go by names such as: regression, matching, propensity score matching, interrupted time-series, difference-in-differences, instrumental variables, regression discontinuity. Understanding under what circumstances—and, in particular, in what domains—these quasi-experimental approaches properly estimate the policy quantity of interest—impact—is an area of active research, in general and in particular policy domains.

The current spirit of the field is captured by the title of the slogan of the upcoming Fall 2015 Meeting of the (American) Association for Policy Analysis and Management (APPAM): "The Golden Age of Evidence Based Policy." Application is spreading rapidly; methods are

improving. Now is an appropriate time to launch a *Handbook* to take stock of the key methodological issues in the field, what we know about them, and key substantive insights.

The Vision. This *Handbook* is intended to capture the state of this rapidly advancing field.

The first volume of the *Handbook* would be a methodological volume on methods of impact analysis, generically for impact analysis of social policy (of course, drawing examples from impact analysis of multiple areas of social policy). Appended to this proposal is a more detailed discussion of that volume. The tentative plan is for a unified volume authored by Klerman and Martini (rather than a collection of solicited chapters). Discussions with the editors about the appropriate audience and technical level for the entire *Handbook* seem appropriate. Those issues seem most salient for this, initial, methodological volume.

Then, the core of the *Handbook* would be a series of volumes, each on a different substantive domain. The current vision is for a volume editor (or editors) and a volume made up of approximately a dozen contributed, separately authored, chapters. Within each volume, individual chapters would consider the key methodological issues. One key suite of issues usually concerns the applicability of random assignment and the various non-experimental approaches (e.g., propensity score matching, difference-in-differences, regression discontinuity). Another key suite of issues concerns issues of measurement, including what are the right outcomes (short-term and long-term), the relative merits of survey and administrative data, and appropriate survey batteries to capture the concepts of interest.

Last, but not least, each volume would include chapters considering substance: What have we learned from impact analyses to date in this field? What are the key open questions? What are promising approaches to addressing those questions? However, in a *Handbook* of this form, substance needs to be considered with care. Findings evolve relatively rapidly; results are to some extent dependent on social and administrative context such that findings—and even whether findings are relevant—are likely to vary sharply across countries. Thus, for *Handbook* treatment, substance should generally focus, not on results of specific studies, but instead on broader themes and insights into key theoretical and operational considerations.

Exact details would vary with the robustness of the field. For example, random assignment evaluation of educational interventions is well developed, but varies sharply by sub-domain such that chapters by sub-field (e.g., curriculum, use of technology, class size, parental choice and charge schools) seem appropriate. In this case, each chapter would consider methods of estimation, data issues, and findings.

In other areas, multiple methods co-exist and mutually reinforce. For example, both the literature on services to speed reemployment among the unemployed and the literature on services to the disabled include both strong random assignment studies and strong propensity score matching studies. In that case, pairs of papers on each domain might be appropriate.

Specific substantive volumes are still in development. The list of areas of social policy at the very beginning of this proposal—labor market policy, education policy, nutrition assistance policy, criminal justice policy, child welfare policy, housing policy—gives a sense of the likely

volumes. Exact specification of volumes will be determined based on the richness of completed impact analyses in the area (one can not generate a book length survey until the literature reaches a threshold level of richness) and the specific interests and perspectives of the editors for each volume.

To give a sense of the vision for the substantive volumes, appended to this proposal is a more detailed discussion of a volume on job training policy (an area in which Klerman is deeply involved, for which he would serve as editor, and for which he would write at least one of the chapters). Preliminary discussions are already underway for volumes on education policy and child welfare policy, with volumes on criminal justice policy, nutrition policy, and housing policy likely to follow thereafter.

Proposal for an Opening Volume on "Estimating Impact of Social Programs"

Volume 1 of this *Handbook of Impact Evaluation of Social Policy* would be a broad overview of the methods for impact evaluation, as applied across the range of social policy impact evaluations. This volume would draw on Martini's work for the European Union, Klerman's award winning course at the Pardee RAND Graduate School for Policy Studies, and Martini and Klerman's broader experience as practicing evaluators. As such, the volume would include both developed and developing country examples, but weighted more towards the developed country examples. Also suggesting this approach is that the developing country domain is already well covered by books by Gertler (published by the World Bank) and Glennerster and Takavarasha (published by Princeton University Press).

Our tentative plan is to situate the discussion at an intermediate level of technical rigor, by which we mean a book that assumes little formal knowledge (high school math up to, but including neither calculus nor matrix algebra), but that requires comfort with formal equations (e.g., manipulate algebraic expressions, understand arguments made in terms of algebraic experssons) and some basic statistics (through basic statistical testing and an introduction to regression). A book of this form should be accessible to an upper-year undergraduate, to a masters student, and to most practicing impact evaluators. We look forward to refining that plan in consultation with the editors at OUP.

Finally, we envision a book firmly in the "impact analysis tradition". As the outline below emphasizes, that tradition has a clear, but secondary, role for other forms of evaluation (e.g., formative evaluation, process evaluation).

Early Working Outline <second level entries would constitute chapters; third level entries sections of chapters>

   1. Introduction <5-10 pages>
        a. What we want to know for policy; i.e., impact
             i. The concept of impact

        ii. Varieties of impact: Up/down, Variant A vs. Variant B
- b. Estimating impact
    - i. "Ideal Impact" via matching
    - ii. Endogenous selection and the impossibility of "ideal impact"
    - iii. Random assignment as a solution
    - iv. Quasi-experimental methods and the impossibility of "ideal impact"
- c. Vision for the volume
    - i. Level and audience
    - ii. Plan for the volume

2. Framing <20-30 pages>
    - a. What we want to know
        - i. The concept of impact
        - ii. "Pure prediction problems"; i.e., understanding impact by examples of (rare) cases where policy requires description (not impact)
        - iii. Uses of impact estimates
    - b. Non-impact analysis methods
        - i. Problem identification and initial program specification (e.g., survey analysis, anthropology, pure theory)
        - ii. Logic models
        - iii. Formative evaluation
        - iv. Pre-impact analysis toll-gate (Epstein and Klerman, 2012)
    - c. What impacts to estimate?
        - i. Introduction to logic models
        - ii. The infeasibility of ideal outcomes
        - iii. Longer-term outcomes
        - iv. Thinking about short-term outcomes (Baehler and Klerman, 2015)

3. Random Assignment/Induced Variation <50-100 pages>
    - a. Basics of random assignment
        - i. Concept
        - ii. Valid (and invalid) random assignment analyses
        - iii. Analysis
        - iv. Standard errors and multiple comparisons
        - v. Implementation (blocking, stratification)
        - vi. Ethics
    - b. Generalizations
        - i. Cluster random assignment
        - ii. Multi-armed trials
        - iii. Factorial designs
        - iv. Estimating structural parameters and functional form
        - v. External validity
    - c. Sizing studies
        - i. Concept of power analysis
        - ii. Application to the random assignment case
        - iii. Extension to clustered designs
        - iv. Practical considerations in design
        - v. A critique of conventional power analysis

      d. Intention to Treat vs. Treatment on the Treated
           i. What does random assignment estimate?
          ii. Bloom Estimator and its generalizations
         iii. Assumptions and what is estimable
         iv. A critique of treatment-on-the-treated

4. Quasi-Experimental Methods/Observed Variation <50-100 pages>
      a. Regression discontinuity
           i. Definition
          ii. Estimation
         iii. Threats to validity and testing the specification
         iv. As a prospective design
          v. Power analysis for regression discontinuity
         vi. Evidence on validity for estimating impact
      b. Regression and propensity score matching
           i. Definition
          ii. Estimation
         iii. Threats to validity and testing the specification
         iv. Evidence on validity for estimating impact
      c. Interrupted time series and difference-in-differences
           i. Definition
          ii. Estimation
         iii. Small number of time series problem and construction of standard errors
         iv. Threats to validity and testing the specification
          v. Evidence on validity for estimating impact
      d. Instrumental variables
           i. Definition and what is estimated
          ii. Sources of instruments
         iii. Estimation
         iv. Weak instruments
          v. Multiple instruments
         vi. Threats to validity and testing the specification
        vii. Evidence on validity for estimating impact

5. Technical Appendices <25-50 pages>
      a. A review of basic statistical concepts
      b. <Advanced> A review of mathematical statistics
      c. <Advanced> Restatement of arguments in matrix terms

Proposal for a Volume on "Impact Analysis of Job Training Programs"

After a hiatus following the disappointing results from the random assignment Job Training Partnership Act, there has been a strong resurgence in rigorous impact evaluations of job training programs. This resurgence began with non-experimental, propensity score matching, analyses—in the United States and in Europe, in the first decade and a half of the 21st century. In the second half the second decade, the release of results from multiple expected random assignment studies is expected.

We envision a volume of invited survey papers. A working list of papers follows.

1. Methods for impact analysis of job training
   a. Propensity Score Matching
   b. Random Assignment—Field Issues
   c. Random Assignment—Estimation
   d. ITT/Intention to Treat vs. ToT/Treatment on the Treated
   e. Meta-Analysis
   f. General Equilibrium Effects
2. Data for impact analysis of job training
   a. Survey vs. Administrative Data
   b. Characterizing Programs and Career Pathways
   c. Time Aggregation and Sizing Studies
   d. Short-Term vs. Long-Term Outcomes and Cost-Benefit Studies
   e. Economic Theory and Sizing Studies
3. What do we know about the impact of job training?
   a. Pre-2000 evidence in retrospect
   b. Recent propensity score matching studies
   c. Recent random assignment studies
   d. What works for whom, advising, and trainee choice
   e. Training strategies