



GUIDELINES FOR APPLYING EPIC

MAY 2018

I. What is the intended outcome of applying EPIC?

The ultimate aim of policy-data integration tool, EPIC, is to enable the analyst to understand statistical needs for monitoring policy issues regarding social, economic, environmental and institutional core concepts outlined in a given policy, inclusive of all beneficiary target groups. This objective is achieved through developing a National Sustainable Development Indicator (NSDI) framework to benchmark actions and outcomes related to these core concepts. The NSDI is the result of closely reviewing national planning and policy documents and other existing relevant national indicator sets, to identify appropriate indicators to track progress, which are then mapped against regional and global frameworks such as the SDGs. As a result of applying EPIC, analyst will be able to identify current demands and lack of demands for data as well as opportunities for further enhancement of linkages between policy and data and across different policy domains. The application of EPIC also provides necessary information to both policy makers and data producers to further analyse gaps in policy and data.

The following matrix illustrates the results of applying EPIC. This matrix and others presented in this guideline document can be generated once the accompanying Excel sheet is duly completed by the analyst.

	Reflected in the policy				Not Reflected in the policy		
Core concepts	Issues	Target groups	Indicator	Core Concepts	Issues	Target groups	Indicator
Prevention	Early marriages	Children in plantation sector	Proportion of early marriages among children from plantation sector	Participation and Coordination of Services	School council involvement in decision making	Members of school councils	Proportion of School Councils that enable participants to make decisions
Compensations	Innovative Financial Instruments	Survivors Of Gender Based Violence	Proportion of Survivors of Gender Based Violence receiving compensations	Incentives and Sanctions	Eliminate school fees	School goes under income threshold	Percentage of school goes under income threshold currently paying fees
Decent Work	Working conditions	Women working in garment sector	Proportion of garment factories in free trade zone offering decent work	Legal Infrastructure	Implementation of legislative restrictions to passive smoking exposure in public places	Passive Smokers	Proportion of public places enforcing exposure of passive smoking in public places

This above analysis is likely to generate a discussion on the utility of core concepts and indicators in policy formulation and or monitoring of policies.

II. How to apply the EPIC tool?

The following steps are involved in applying EPIC. It involves two stages. *Stage (I)* relates to preparing for the analysis and *Stage (II)* involves the content analysis. *Stage (I)*: relates to the preparation for the analysis. It involves the following four steps:

- Step 1: Identify potential members to form a team for analysis
- Step 2: Identify a policy document for the analysis
- Step 3: Identify sections of policy to analyse
- Step 4: Read and familiarize definitions of issues, target groups and core concepts

Stage (II): The following six steps are involved in the analysis:

- Step 5: List issues and target groups as contained in the policy document
- Step 6: Associate issues and target groups with core concepts
- Step 7: List issues and target groups not included in the policy
- Step 8: Identify a list of national indicators for the issues identified in the previous steps (both in and not in the policy)
- Step 9: Map the indicators to regional/sub-regional/global indicator set(s)

- Step 10: Develop a matrix illustrating policy and indicator strengths and gaps

IMPORTANT:

All policies are multidimensional and every policy **MUST** be reviewed from social, economic, environmental, and institutional perspectives in this exercise. In order to ensure that, analysts are strongly advised the following:

(a) To assess each selected policy (regardless of the topic) against all core concepts when relevant. Not to pre-judge about relevance of core concepts should be made; and

(b) For every identified issue (inside and outside the policy document) may potentially be relevant to more than one core concept across all three dimensions.

(c) List issues as many times as needed under different core concepts. This is important because different indicators may be identified/developed for the same issue under different core concepts.

Stage I: Preparing for the Analysis

Step 1: Identify potential members to form a team for analysis

- We suggest that you first identify potential members of the team. Typically, it will include a colleague from the Ministry of Planning and Finance, National Statistical Office and Focal Point for Sectoral Policy/Plan (for instance, Focal point for Education- from Ministry of Education; Focal point for Health- from Ministry of Health, etc). For cross cutting issues include the relevant focal points (For example- Disability and Gender focal points across government departments).

Step 2: Identify a policy document for the analysis

- Once you have assembled a team of analyst, start with creating a list of policies ***that are currently being implemented by the government***. Such policies are typically found in a range of government documents, including sector plans, strategy, policy, and national budget

documents. You may wish to select one of the high-priority policy or a range of policies across government departments.

- In the absence of a program for government create a list of policies currently being implemented by individual government departments. Hence it is important that you consider involving colleagues from the Ministry of Planning and Ministry of Finance or its equivalent in creating a list of policies as these ministries are often the central organ of the public administration for planning, resourcing and coordinating the implementation of government policies.

Step 3: Identifying sections of policy to analyse

- In step two you had identified a policy document for analysis. Now as a group you need to identify and agree upon the appropriate section(s) of the policy to analyse.
- The policy document is likely to present detailed description of the program showing how the program activities will lead to the immediate outputs, and how these will lead to the outcomes and goal (the terminology used varies by organisation). This is normally shown as a matrix, called a log frame or presented at the start of the policy document which is recognisable as it presents a logical explanation for the actions to be taken by the policy (i.e., planning logic). See Appendix that presents pictorial representation of the levels of the log-frame. Kindly note not all policies will contain a log-frame but a detailed summary of the planning logic may be presented in the policy document.
- The log-frame may also be shown as a flow chart, which is sometimes called a logic model. It is recommended that EPIC being implemented at the highest level of log-frame which are likely to be either based on outcome or goals.

- Alternatively, or in addition to log-frame, policy documents present the current status of the nation/region in relation to specific sector. It then sets an outline of the big picture, including issues related to sector that influences change and may show all the different pathways that might lead to change, even if those pathways are not related to program of action outlined in the policy.
- It would then describe how and why policy makers think change is likely to occur based on actions outlined in the policy and details related to assessment of the evidence (indicators; monitoring and evaluation).
- It also often describes the target groups that are either most vulnerable or most likely to be exposed to an issue. Often times this may be articulated as a planning logic, theory of change or situation analysis or simply introduction to each strategy/objective/outcome in the log frame. It is important to also review these parts of the policy document for identification of issues and target groups and core concepts (next step).

Step 4: Read and familiarize definition of issues, target groups, core concepts, and key questions

- It is very important to hold a preparatory meeting among the team members in order to read and familiarise **definition of issues, target groups, core concepts, and key questions**.
- Once you have identified a policy document for analysis convene a meeting of the fore mentioned team. As a team you need to read, discuss and understand the social, economic, environmental, institutional core concepts as outlined in EPIC (29 core concepts).

In order to apply the framework the analyst need to have a good understanding of the core concepts. While the name of the core concept may be familiar to analyst the manner in which

it applies to the policy analysis is unique. Hence to assist the analyst each core concept is accompanied by one or more key questions that the analyst is required to understand and become familiar with in order to apply the framework for analysing the chosen policy. Inter-rater reliability improves significantly when time investment is made at this stage by all those involved in the analysis.

Stage II: Carrying out the analysis

Step 5: List issues and target groups reflected in the policy document

- Now that you have understood the log-frame or the section outlining the planning logic and selected meaningful sections of the policy it is time to content analyse each section.

Take each selected section of the policy and read word by word and sentence by sentence. Try to make meaning of each word and sentence. As you read identify issues and target groups.

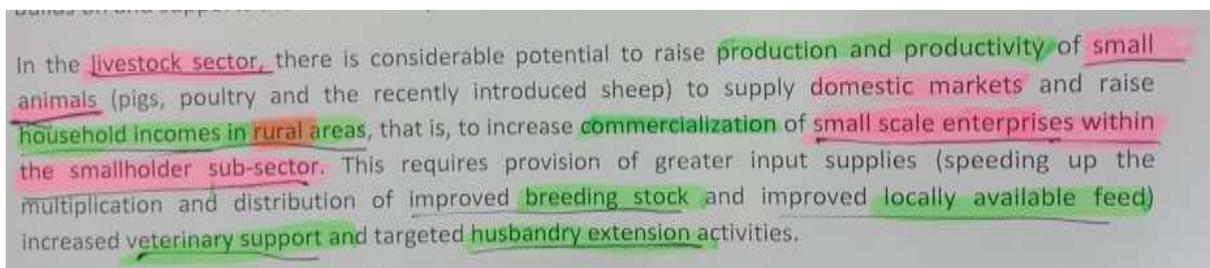
- Here is a recap of the definition of Issues and Target Group:
 - o Issue: A set of words identified in the policy document that articulates the scope of thought, action or influence.
 - o Target Group: The target groups in EPIC context refer to those impacted upon by the selected policy. Target groups can be social (e.g. women, children, unemployed, poor, families, households, etc.), economic (e.g. enterprise, establishment, sector) and environmental (e.g. oceans, mountains, freshwater, cities, forests, species, etc.).
- In each of the sentence read from the relevant policy section identify as many issues and target groups. For every issue, policy is likely to have named one or more identifiable target groups somewhere in the same sentence or the same paragraph. Therefore, it is important that

immediately after identifying an issue, we look for the target groups relevant to the same issue and list them.

Note that list of issues and target groups reflected in the policy is identified at two levels. They include: (a) reflected elsewhere in the narrative part (or outcome statements or problem statements, or theory of change) of the policy but not in the log-frame or planning logic; and (b) reflected in the log-frame or planning logic. In some cases, the issue may be reflected in both.

The distinction is very important for understanding effective demand for statistics as it is unlikely that monitoring framework propose any indicators for issues that are not directly reflected in the log-frame. In order to provide clarity on identifying the two types of issues reflected in the policy document, see sample analysis below.

The following graphic illustrates sample analysis carried out on a paragraph of agricultural sectoral plan.



In the livestock sector, there is considerable potential to raise production and productivity of small animals (pigs, poultry and the recently introduced sheep) to supply domestic markets and raise household incomes in rural areas, that is, to increase commercialization of small scale enterprises within the smallholder sub-sector. This requires provision of greater input supplies (speeding up the multiplication and distribution of improved breeding stock and improved locally available feed) increased veterinary support and targeted husbandry extension activities.

The analyst has decided to highlight issues in green and associated target groups in red. Issues covered include: Potential to raise production; Supply to domestic markets; Raise in rural household income, Increased commercialization of small scale within smallholder, distribution of improved breeding stock and locally available feed; increased veterinary support and husbandry extension activities.

In the picture below the analysis corresponds to the same section but as outlined in the log-frame.

Outcome Statement	Indicator(s)
End of Sector Plan Outcome (ESPO)	
ESPO2: An increased supply and consumption of competitively priced domestically produced food.	<ul style="list-style-type: none"> - Volume and price index of local food products (crops/livestock/fish) - Share of local food products in top 10 household food purchases
Intermediate Outcomes	
2.1: Increased farm production and productivity from adoption of improved sustainable and resilient farming practices and technologies	<ul style="list-style-type: none"> - Budget resources for research and extension services - Areas planted & production of key food commodities - Yield/factor input for key food commodities - Number of fish farms and volume of production
2.2: Increase in household commercial agriculture and fisheries activity together with an increased household income from agriculture and fisheries activities	<ul style="list-style-type: none"> - Share of households with agricultural activity mainly for sale - Proportion of income usually derived from agriculture & main purpose of fishing
2.3: Improved food quality throughout the domestic food chain	<ul style="list-style-type: none"> - Number of farms using GAP - Estimated post-harvest losses/wastage in priority food chains
2.4: Increased agriculture income and employment generating opportunities for women and youth	<ul style="list-style-type: none"> - Gender and age disaggregated data on employment/commercial activity in agriculture
2.5: Increased community awareness and understanding on production and consumption of local nutritious food	<ul style="list-style-type: none"> - Range of nutritious fruits and vegetables available on farms and in domestic markets - Dietary diversity score

It is clear that only few of the issues and many of the target groups are NOT captured in the policy log-frame. Therefore, these issues, though mentioned in the policy document elsewhere is not covered in the outcome statement which outlines indicators.

Step 6: Associate “issues” and “target groups” with core concepts

Now that you have completed identifying issues and target groups *for all the selected sections*, the next task is to associate issues and linked target groups with corresponding core concepts. In order to help you with this task key questions are outlined for each core concept.

- Read and re-read the issue (or statement in which issue is identified) and discuss among the team as to which one of the key question(s) seems to be addressed by the statement. Note a statement from the policy document could relate to more than one core concept.

- Discuss with team members why you consider the statement/issue to be addressing a particular core concept.
- While some core concepts may have several associated issues and target groups, there may be other core concepts without any associated issues and target groups.
 - o This does not immediately mean that these core concepts are not applicable in the context of the policy being analysed.
 - o The core concepts that have no associated issues and target groups should be closely reviewed and considered to gather insight into possible “policy gaps”.

To illustrate what the process will yield see Box 1 (Sample of Analysis).

A strategy has been developed to enhance engagement with development partners and other Ministries.

The underlying issue is ‘enhance engagement’ and it corresponds to the core concept of Coordination of services under Social domain.

The country has been participating in seasonal work schemes in Australia and New Zealand.

The underlying issue is ‘seasonal work’ and it corresponds to core concept Impact beyond national borders (schemes in Australia and New Zealand), and distinct entities (Seasonal Workers are entities produced) under economic domain.

Education is a key priority for the development of the country. Having citizens with strong literacy and numeracy skills is the cornerstone of developing a contemporary workforce with the ability to compete internationally and ultimately be in a position to capably mobilise to meet the demand for skills in neighbouring developed countries such as New Zealand and Australia.

The underlying issue is ‘strong literacy and numeracy skills’ and ‘meet the demand for skills in New Zealand and Australia’. They correspond to social and economic core concepts of Capability based services and Impact beyond national borders respectively.

The Ministry concentrates on legislative and regulatory directions for the health sector. All health related legislation reviewed and updated by 2008. Evidence of sound administration of legislation, including legislation specified in Schedule 1 of MOH Act 2006. Ministry of Health and Attorney General’s Office will be responsible (for this action).

The underlying issue is ‘review and update’ of legislation which relates to the core concept of Legislative Framework and the target group is Attorney General’s Office and Ministry of Health.

At the end of the policy analysis you will be able to capture the following information on to a matrix which provides a snapshot of core concepts, issues, and target groups covered in the policy log frame.

Domain	Covered in the policy		
	Core Concepts	Issues	Target groups
Social	Partnership and Coordination of Services Capability based services	Enhance Engagement Strong literacy and numeracy skills	Development Partners and Other Ministries All citizens
Economic	Exchange and Impact	Demand for skills (overseas)	All citizens
Environmental	People-nature Harmony	Curriculum on Climate Change and Role of Citizens	All school goers
Institutional	Legislative Framework	Review and update of legislation	Ministry of Health Attorney General's Office

Step 7: List issues and target groups not included in the policy

Identifying what is not included in the policy **MUST** only be attempted once the policy has been analysed in its entirety. *In this step the analyst needs to identifying the issues and target groups that are **NOT MENTIONED IN ANY PART** of the policy document but h/she considers it to be appropriate to be covered as suggested by a relevant core concept .*

This step will importantly lead to discussions on what are issues and target groups not mentioned in any part of the policy document. Thus the analysts cannot only depend on reading and analysing the log-frame or planning logic contained within a policy document to carry out this step. In order to do so, it is important to read the introduction, background, current context, and what the intent of the policy as articulated in the entirety of the policy document and then try to answer key questions under all relevant core concepts. Given their familiarity to the policy this part of the analysis can be led by the focal point on the respective policy being analysed. While it is led by the policy colleague we seek all analysts to contribute to the analysis so as not to allow any potential bias.

Assuming that decision on the relevance of the core concept have already been made in the earlier steps, now the team should read the key question related to each core concept at a time, discuss the core concept within the context of the policy being studied and identify issues and target groups not covered in the policy.

Based on the discussions a sample matrix such as the one displayed below can be generated that presents a snapshot of core concepts, issues, target groups that hadn't been covered in the policy. In the below example you will note that no issue was identified under the environmental core concepts in this particular section of the policy. This does not mean that other sections of education policy should not be reviewed for relevant environmental core concepts.

Not Covered in the policy				
Domain	Core Concepts	Key questions	Issues	Target groups
Social	Participation	What are ways that policy target groups can participate in the decisions that affect their lives, enhance their empowerment, or increase their access to services provided by the policy?	School council involvement in decision making	School Council Members
Economic	Compensations	What are compensations for the people negatively affected by the impacts of the policy?	Eliminate school fees	School goers under income threshold
Environmental	People-Nature harmony	What are the environmental impacts of the policy on peoples' healthy lives? Which groups are beneficiaries (e.g., types of water users, land holders, small farmers...)?	None	None

Not Covered in the policy			
Domain and Core Concept	Issues	Target groups	Indicators
Social Participation and Coordination of services	School council involvement in decision making	School Council Members	Proportion of School Councils that are enabled to make decisions
Economic Compensations	Eliminate school fees	School goers under income threshold	Percentage of school goers under income threshold currently paying fees

Step 8: Identify a list of indicators for the issues identified in the policy

The next task is to map the indicators you have listed as needed to monitor the policy action. It is suggested that the representative of the Statistical Office takes a lead on this discussion and document the information needed across issues and target groups covered in the policy. Here below is a sample table where a list of indicators is drawn for issues covered in the policy and ones not covered in the policy.

Important: Indicators may come from (i) the policy document that is being reviewed, and/or (ii) any other relevant national indicator sets

The key purpose of this and the next step are to identify the extent to which data supply adequately meets the policy requirements and to identify potential data demands. This process also is likely to identify data unused (indicators collected but not related to policy actions) as well as unmet data needs (policy has an indicator requirement but no relevant indicator available across indicator sets).

- To facilitate the mapping of the indicators an excel template is made available to the analyst.

The core concepts, issues, and indicators that the team had drawn from analysing the policy is to be populated first on the template.

Domain and Core Concept	Covered in the policy		
	Issues	Target groups	Indicators
Social Coordination of Services Capacity based services	Enhance Engagement Strong literacy and numeracy skills	Development Partners and Other Ministries All citizens	Proportion of departments engaged in coordination of service delivery Levels of literacy Levels of Numeracy (Disaggregation: Across all age groups)
Economic Exchange and Impact	Demand for skills (overseas)	All citizens	Proportion of seasonal work carried out by people across working age group Proportion of seasonal workers available for overseas employment by people across working age group

Environmental People-nature Harmony	Curriculum on Climate Change and Role of Citizens	All school goers	Percentage of successful completion of curriculum on climate change by school goers
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Step 9: Map the indicators to the existing regional/international indicator set(s)

The mapping at this step is to occur across a range of existing regional and international indicator set(s).

- The team is required to familiarise themselves with the indicator set(s) provided. Once you are familiar with them you are required to ascertain whether there is an existing corresponding regional/global indicator that corresponds to and or equivalent to the national indicator your team had listed in the previous step.

Step 10: Develop a matrix illustrating policy as well as indicator strengths and gaps

The final task is to map the indicators occur across a range of existing national, regional and international indicator set(s). The key purpose of this task is to identify the extent to which data supply adequately meets the policy requirements and to identify potential data demands. This process also is likely to identify data excess (indicators collected but isn't related to policy actions) as well as policy excess (policy has an indicator requirement but no relevant indicator available across indicator sets). To facilitate the mapping of the indicators an excel template is made available to the analyst. The core concepts, issues, and indicators that the team had drawn a list of from analysing the policy is to be populated first on the template.

Then the team is required to familiarise themselves with the indicator set(s) provided. Once you are familiar with them you are required to ascertain whether there is an existing corresponding national/regional/international indicator that corresponds to and or equivalent to the indicator your team had listed. At the end of this analysis your team will be able to indicate if the indicator you had drawn up in your list has an exact match, partial match, or not mapped to national/regional/international indicator.

Indicator Mapping	Exact Match to SDG	Partial Match to SDG	No match to SDG
Covered in Policy	5	4	8
Not covered in Policy	2	4	1

	Exact Match to Regional Framework	Partial Match to Regional Framework	No Match to Regional Framework
Covered in Policy	3	4	2
Not Covered in Policy	4	8	1

Appendix 1: Highest level of log frame

