

Working Paper Series

Every Policy Is Connected (EPIC): A generic tool for policy-data integration

Arman Bidarbakhtnia*, Christopher Ryan*, Sharita Serrao*¹

The Working Paper Series of ESCAP Statistics Division disseminates latest developments and analysis of statistical measurements, methodologies and concepts to users and producers of statistics.

Working Papers are issued without formal editing. Views expressed herein do not necessarily reflect that of ESCAP or any UN agency.

For more information, please contact:

Statistics Division
Economic and Social Commission for Asia and the Pacific (ESCAP)
United Nations Building, Rajadamnern Nok Avenue, Bangkok 10200, Thailand
Email: stat.unescap@un.org

Previous Working Paper Series: <http://www.unescap.org/resource-series/sd-working-papers>

¹ The authors are grateful to the Regional Steering Group on population and social statistics in Asia and the Pacific for their guidance in developing the EPIC tool. In particular, they are thankful to the statistical systems of Samoa and the Philippines for their excellent contribution in development and piloting of the tool. The tool has benefitted from technical contribution of Hasheem Mannan from University College Dublin (including proposal for the name EPIC). The authors also appreciate contribution from various staff members of ESCAP.

ABSTRACT

Evidence-based policy making requires reliable and high-quality statistics at a desirable level of aggregation. However, evidence on what and what levels of aggregation are desirable are questions that statisticians alone cannot answer. This paper introduces features and application of a tool called EPIC (Every Policy Is Connected) that facilitates policy-data dialogue aiming to identify policy priorities as well as data needs. The tool integrates the four dimensions of development (Economic, Environmental, Institutional and Social) in every policy plan and develops a comprehensive indicator framework for policy monitoring. The outputs from the application of EPIC are two types: data and aggregation/disaggregation needs (for immediate action), and recommendations on policy formulation and indicator development (for future considerations).

Key words: Indicator framework, sustainable development, policy-data integration, disaggregation, vulnerable groups, leave no one behind.

CONTENTS

I. Background.....	1
II. Conceptual framework.....	2
III. Features of the EPIC tool.....	3
IV. Implementation steps.....	5
V. Concluding remarks.....	6
References.....	7
Annex1- Core concepts (CCs) and key questions.....	8
Annex 2- Case study.....	12

I. Background

Vicious cycle

Lack of data is often blamed for the absence of appropriate policies due to insufficient evidence, whilst the lack of demand is seen as the main challenge for producing relevant data. The root cause analysis begins with “lack of demand” or “lack of supply” for data, depending on who the analyst is - the data producer or the policymaker. Bidarbakhtnia (2018) identifies the silo mentality in policy formulation and monitoring processes as the main bottlenecks in breaking this policy-data vicious cycle and proposes a structured, principle-based and participatory user-producer engagement to integrate production processes of policy and data. Three major issues that can be addressed by such integration are (i) identifying (and creating) clear demand for (disaggregated or appropriately aggregated) statistics for policy monitoring and evaluation, (ii) establishing interlinkages between the four key development pillars (Economic, Environmental, Institutional, and Social) at the planning as well as data production and dissemination levels, and (iii) enhancing development plans to be inclusive of all relevant issues and target groups.

Addressing the above three issues requires regular and active engagement between producers and users of official statistics. However, it is not common that data producers actively participate in policy discussions to understand where the evidence for policymaking is missing, and policymakers often fail to specify what data and at what level of disaggregation is needed for monitoring sectoral and national policies. Advocating for user-producer dialogue and evidence-based decision is not a new topic (Heine K & Oltmanns E, 2016; Vardon M et al, 2016), however, the efforts are often focused on making use of available data. There has been very little effort in identifying issues or target groups neglected by the policy that, in principle, must be addressed/targeted (Heine K & Mause K, 2004), and data currently being produced is often neither demanded nor useful for some policy formulation and monitoring (Jules M, 2017).

Two characteristics are necessary for any effective framework for facilitation of user-producer dialogues: a set of principles on which all parties

can agree up on, and identification of key issues requiring action to be addressed by all target groups which are affected by (benefit from) policies. The EPIC is developed based on these two building blocks to facilitate principle-based and participatory engagement of policy makers and data producers for effective “monitoring” of “inclusive” policies.

Indicators, linking policy and data

The estimation process in statistics is making a scientific guess about an unknown parameter. It begins by identifying statistical units that carry characteristics of the parameter and then estimating the parameter based on observed characteristics of the statistical units. Official statistics play the same role in policy monitoring. To be relevant to policy, statistics have to measure the right characteristics from the right statistical units. Indicators are defined to assure that data and statistics are produced to measure the same parameter that policy is trying to change. Therefore, indicators play a critical role of bridging gaps between policy and data and need to be developed in a collaborative manner, owned by both parties. The process of developing an indicator framework should involve a deep understanding of priority issues that require policy action (parameters) as well as characteristics of beneficiaries of policy implementation (statistical units and target groups). The next sections in this paper will elaborate how an indicator framework and agreed principles (Economic, Environmental, Institutional, and Social) can play a central role in integrating policy and data.

EPIC, bridge builder

Structured engagement between data producers and users at the national level is critical to address the above problem. National statistical offices need to engage with national planning agencies, line ministries and other relevant national agencies to understand data and information needs, so that produced official statistics are adequately responsive to policy needs and demands.

While the need for coordination and engagement between data producers and users is not a new discussion and has been registered time and again by the international statistical and policy communities, what has been lacking, or at least

partially lacking, is specific guidance on how to promote and operationalize such engagement and collaboration in a practical sense. EPIC, is a tool that can deliver practical guidance on systematic and purpose-driven engagement between users and producers of data. The participatory process that it promotes not only helps in identifying and streamlining data needs (particularly at the disaggregated level), identifying data gaps and even data waste, but also in reviewing and reformulating national and sectoral plans by engaging all relevant stakeholders at the national level.

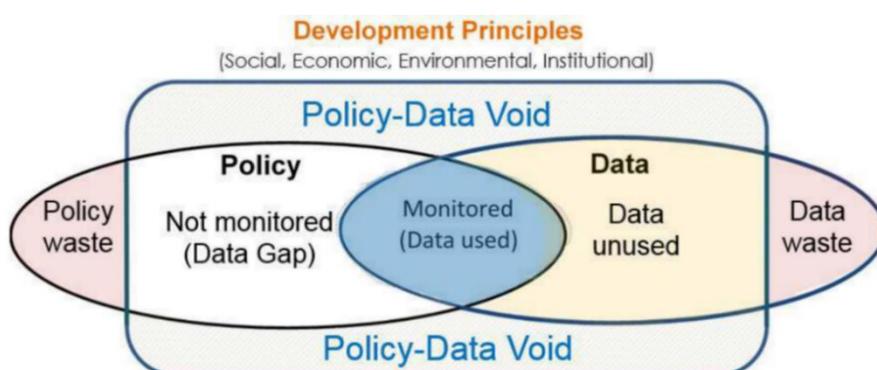
The tool guides identification of priority issues and sub-groups as stated in existing national development plans and policies; uses this information to identify data needs, including required level of disaggregation; and thereby works towards the development and/or strengthening of monitoring/indicator frameworks for the specific national development policy or plan.

The rest of the paper is organized as follows: part II presents a conceptual framework based on which EPIC is developed and which its outputs are designed. Part III describes the main features of the tool and provides definitions of the main concepts. Part IV provides a step-by-step guide to the implementation of EPIC, which are further demonstrated by a case study. Part V concludes the discussion.

II. Conceptual framework

Inclusiveness and sustainability are symbiotic dimensions of development. One cannot be achieved without the other. In 2015, the world leaders committed to “reach the furthest behind first”, when signing the 2030 development agenda² at the general assembly of the United Nations. This means that all national and sectoral policies endeavour to be inclusive of needs and priorities of vulnerable groups that are most likely to miss the “development train”. This ambition cannot be achieved without a paradigm shift in planning, monitoring and evaluation processes. Vulnerable groups of the population are not easily identifiable by single-dimensionally developed policies. The same way that development pillars (economic, environmental, institutional, and social) are interlinked, vulnerability is often a result of various deprivations that cut across the four dimensions. Therefore, demand for and use of evidence (produced from disaggregated statistics) on the situation of vulnerable groups arises from deep understanding of the issues pertaining those groups. At the same time, commitment for addressing the identified issues must be reflected in monitoring and evaluation frameworks through formulation of the most appropriate indicators. This is the first step in defining what has to be measured and where. In other words, identifying issues that require policy action and beneficiary target groups are primary to indicator production and disaggregation requirements in the policy planning and monitoring process. To understand policy-data dynamics better, Bidarbakhtnia (2018) proposes a framework within which policy and data interact and defines a knowledge space that can be expanded by linking policy with data (figure 1).

Figure 1 - Policy-Data landscape



² http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/70/1&Lang=E

In all four dimensions of development, there are agreed principles embedded in international conventions ratified by the UN Member States. Those principles are bedrocks of national policies that are reflected in the international conventions. At the national level, three situations exist:

- 1) National statistical systems are responsible to inform such policies and naturally should be guided by the same underlying principles.
- 2) When policy-data (or user-producer) dialogues are taking place on the basis of only endorsed policies (rather than agreed principles), it is likely that dialogues focus only on monitored policies (data used) and “data gap” for monitoring existing policies.
- 3) In a less realistic situation, such dialogue may also focus on data and statistics that are produced by not being used (or useful) for policy monitoring (data unused).

In all three cases, the focus of dialogue is on what we “know” about needs and uses of data. While there are obvious cases of lack of policy that is consistent with agreed guiding principles; such as policies that explicitly assure equal opportunities for members of society (non-discrimination) as recommended by Universal Declaration of Human Rights³; or policies that are accounting for the impact of economic activities on ecosystem and people’s healthy lives as recommended by Rio Declaration on Environment and Development⁴. It is often seen that policy-data dialogues are taking place around what is already reflected in the policy and don’t sufficiently discuss what is NOT IN the policy. Ironically, most of the vulnerable groups and social, economic, environmental and institutional issues that relate to such groups are not acknowledged by the policy documents and therefore are left out of both policy and hence data production (policy-data void). At the same time, statistical systems and planning organizations spend Millions of dollars annually on collecting data that is often never being used in monitoring or formulating policies that in turn have aspects which are never implemented (policy and data waste).

EPIC has been developed to help users and producers of data to expand their knowledge space from “data used” to void and waste in the policy-data landscape by maximizing effective and structured interaction. In other words, the tool aims to cut the waste, close the gap and fill the void in an integrated and participatory manner. The fundamental principle that is the cornerstone in the development of EPIC is that tools which aim to successfully facilitate policy-data integration have to (a) focus on common interest of policy and data, and (b) benchmark against neither policy nor data, but a set of principles that are agreed upon by both data producers and decision makers. To achieve this objective, EPIC is designed to focus on Issues for Action (IA) and Target Groups (TGs) as common interests of all stakeholders. Moreover, EPIC benchmarks the needs against a set of core concepts that cut across the four key development domains (Economic, Environment, Institutional, and Social), taken from internationally agreed frameworks, and naturally the expected outputs are both policy and data recommendations. Utilizing EPIC allows for a participatory process for stakeholders to map policy onto data requirements and enables articulation of data gaps as well as an opportunity to strengthen the content of policies. In other words, the tool is developed to identify existing unmet demand for data, lack of demand and potential demands for the future, as well as the mismatch between data demand and supply.

III. Features of the EPIC tool

EPIC consists of three major components: a) Issues for Action (IAs) and Target Groups (TGs); b) Core Concepts (CCs); and c) linking core concepts with Issues for Action and Target Groups to develop a national sustainable development indicator set. The IAs, TGs and CCs serve as inputs in the process, while the proposed indicator set is in effect one of the key outputs that emerges from the process of policy-data integration and systematic user-producer engagement.

³ <http://www.un.org/en/universal-declaration-human-rights/index.html>

⁴ <http://www.un.org/documents/ga/conf151/aconf15126-1annex1.htm>

Issues for Action and Target Groups

While IAs signify specific national or local concerns on which the policy or plan intends to act or make an intervention, the IAs would make more sense when the policy connects it with a TGs pointing out specifically for whom/what the action is being taken or who/what is likely to benefit from the action. It should be noted that TGs are not just population groups e.g. women, children, unemployed, poor, families, households, etc. (covering the social dimension), but may also address enterprises, establishments, sectors etc. (economic dimension); oceans, mountains, freshwater, cities, forests, species, etc. (environmental dimension), as well as service providers, agencies, organizations, etc. (institutional dimension).

Core Concepts

The second component, CCs, are derived from existing international conventions and declarations ratified or adopted by UN member States such as the Universal Declaration of Human Rights (underlying principles for CCs covering the social and institutional dimensions);⁵ principles for inclusive economic growth (underlying principles for CCs covering the economic CCs);⁶ and Rio 92 Declaration on Environment and Development (underlying principles for the environmental CCs).⁷ The proposed tool has currently identified 29 CCs and countries applying the tool are free to identify additional CCs if considered relevant. The initial draft of CCs was inspired by the list of CCs in a tool called Equiframe which was developed to assess public health policies against core concepts of human rights and identify vulnerable groups that, in principle, must be targeted by public health policies (Amin M et al, 2011).

The CCs are a unique feature of the tool as they allow each IA and corresponding TGs to be assessed for its potential to address the social, economic, environmental and institutional pillars of development, as appropriate and relevant. In effect, each IA and TG could link to more than one

CC. In the real world, it is a known fact that often sectoral policies are applied in isolation. Also, adequate linkages are often not established between SDG targets. This stove-pipe approach to policy formulation and implementation often leads to inadequate understanding and appreciation of the multiple and simultaneous disadvantages and vulnerability faced by a population and corresponding identified TGs. Thus, policies often do not reach the most marginalized groups, which in turn also results in fragmented data collection without looking at simultaneous or nested disaggregation characteristics. Thus, the CCs could serve as an aid to bring about better integration of each IA and TGs across the various pillars of development, to address the principle of “leave-no-one-behind” in the policy-making and data collection processes.

In addition to establishing linkages across the social, economic, environment and institutional dimensions of development, the CCs also broaden perspectives and provide insight on each IA and TGs, which could potentially have been relevant for coverage in the policy document but were overlooked. For instance, while enhancing women’s labour force participation could primarily be an IA addressing the economic pillar of development (as it could concern the issue of creating decent work for women; their protection for working across borders etc.), the policy may fail to realize the need to reduce or redistribute women’s unpaid work burden at the intra-household level (social dimension), omit the environment-related health issues that affect women and men differently in certain occupations (environmental dimension), or the legal infrastructure in the country is not conducive (institutional dimension), thus related policies may not reach those facing multiple forms of deprivation. The core concepts therefore provide insight on what may be potentially important and relevant in the national context but has been overlooked in the policy. They thus assist in providing useful inputs and guidance for policy review or reformulation in the future.

⁵ http://www.un.org/en/udhrbook/pdf/udhr_booklet_en_web.pdf

⁶ <https://sustainabledevelopment.un.org/index.php?page=view&type=400&nr=893&menu=1561>

⁷ <http://www.un.org/documents/ga/conf151/aconf15126-1annex1.htm>

National sustainable development indicator set

Assessing each IA and TG from the angle of the various pillars for development allows for the development of a more comprehensive supporting indicator framework, as the indicators required to measure these various dimensions (economic, environment, institutional, social) are likely to differ. Understanding IAs and their corresponding TGs helps define measurable factors (or parameters), their characteristics (i.e. variables), leading to the identification of standard measures to explain the state of change for policy monitoring (i.e. indicators). If the EPIC tool is applied consistently across all sectors in a country, this can help put together a “one-stop-shop” of sustainable development indicators that are directly responsive to national policy demands, which identify data gaps and prevent data waste. This comprehensive indicator set is compiled by aligning IAs and TGs with existing national, regional and global indicators, allowing for changes in indicator description or formulation of new indicators as needed, but with careful consideration of international standards on indicator development.

IV. Implementation steps

The EPIC tool can be applied to any type of policy/planning document which tackles a thematic area (sector), or range of thematic areas within a country. The manner in which the document had been structured however, will impact on how effectively the tool can be applied. A well-structured document where it is clear which section is devoted to discussing the priority issues of that thematic area/s, and has a corresponding logical framework summarising these issues with; courses of action, outputs, and most importantly indicators to track progress, is the ideal.

From the document itself, three key pieces of information need to be obtained during the application of the tool, each of which were addressed above:

1. Key “Issues for Action”
2. “Target Groups”, as specifically mentioned or implied in the document
3. Suggested “Indicators”

Before applying the tool and extracting the required information from the document being assessed, it is important to understand the nature of the document, identifying and focusing on the key sections which contain the pertinent information outlined above. [Annex 2](#) describes a case study in which EPIC is applied on a plan from the education sector. In this particular example, only three components of the document were required to be consulted: the narrative in “major issues related to the sector”, and annexes on “logical framework” and “monitoring and evaluation framework”.

- i. The other relevant information required by the EPIC user includes:
- ii. All other indicator frameworks considered relevant to the document being reviewed, either from a national source or regional/global source. In our case study, official SDG indicators⁸ as well as indicators from the Incheon Declaration on Education 2030⁹ were used.

The list of CCs to be applied to each IA and corresponding TGs

The full implementation of EPIC takes 11 steps that can be summarized in four steps as follows:

⁸ <https://unstats.un.org/sdgs/indicators/indicators-list/>

⁹ <https://unesdoc.unesco.org/ark:/48223/pf0000245656>

Step	Details of step	Information collected to assess the efficiency of the document
1	Scrutinize the relevant narrative and logical framework (logframe) to identify all key IAs in the document	If the document contains a logframe, collect details on how well the document narrative and logframe align
2	Map each IA against the list of CCs, assigning one or more to each.	
3	For each CC mapped on an IA (IA/CC combo), specify the reference population being addressed by each IA, and detail any target groups (TGs) specifically mentioned (or implied) in the document.	Collect details on whether additional target groups need to be addressed, with the EPIC user being given the opportunity to make recommendations
4	For each IA/CC combo, identify relevant indicators to track progress of that IA/CC, within the “national context”, and from relevant regional/global frameworks.	When indicators have been identified in both the document itself, and another relevant national or regional/ international indicator framework, which can track progress against the same IA/CC combo, collect details on how well aligned these indicators are.

The details provided in the far-right column of the matrix above illustrate what sort of outputs can be produced after applying the EPIC tool to a Policy/Planning document, to assess its effectiveness. There are other such outputs which may also be generated by applying the EPIC tool which will also assist in undertaking such an assessment which include:

- a) A list of indicators suggested in the Policy/Planning document, which don't seem to have any significant relevance to the key issues addressed
- b) A list of IAs addressed in the document, for which no indicator has been suggested in the document to track its progress.
- c) A frequency count of CCs which have been mapped to all IAs in the document, to assist in alerting the document owner if any key principles (which should be relevant to the document theme), have been overlooked or under-represented.

V. Concluding remarks

EPIC has proved to work on a diverse range of policy documents¹⁰. Through regional and national workshops organized by the United Nations Economic Commission for Asia and the Pacific (UNESCAP), planning and statistical experts have identified it as an effective and “eye-opening” tool that facilitates user-producer dialogue, helps policy formulation, identifies data needs, and informs statistical development plans. In 2018, leaders of the statistical community in Asia and the Pacific region have endorsed the tool¹¹ and recommended that United Nations have to support its implementation by its member states on all statistical domains in support of achieving the SDGs. Nevertheless, the application of the tool is time consuming and requires strong coordination among stakeholders. To address the time constraint, ESCAP has developed an online application that assist users in a step by step

¹⁰ <https://www.unescap.org/blog/connecting-policymakers-and-data-producers>

<https://www.unescap.org/blog/progressing-women-economic-empowerment>

¹¹ <https://www.unescap.org/intergovernmental-meetings/committee-statistics-sixth-session>

application of EPIC and analysis of the results¹². Moreover, the role of national statistical offices and planning organizations are extremely important to coordinate and engage all relevant stakeholders in the process. At the same time, implementation of the SDGs and its challenging indicator framework has created a unique opportunity and common goal for the statistical community to engage with policy makers. EPIC has the potential to energize and facilitate such a union. However, it has to be emphasized that EPIC application is not an end in itself, it produces two important sets of outputs that open up for separate streams of work. The indicator set and indicator-related issues provide important inputs for data planning for monitoring sustainable development and developing NSDS. On the other hand, recommendations for policy formulation (additional core concepts, strengthening logical frameworks, and specifying vulnerable groups) are important inputs to the policy making processes.



Login

Username

Password

<https://epic.unescap.org/login>
Login
Reset

References

Amin, M., & MacLachlan, M., Mannan, H., El Tayeb, S., El Khatim, A., Swartz, L., Munthali, A., Van Rooy, G., McVeigh, J., Eide, A., Schneider, M., (2011). *EquiFrame: A framework for analysis of the inclusion of human rights and vulnerable groups in health policies*. *Health & Human Rights: An International Journal*; 13 (2).

Bidarbakhtnia, Arman., (2018). *Policy-Data Integration: key to achieving the SDGs for all*, UNESCAP, Working Paper Series (SD/WP/07/April 2017).

Heine, K., Mause, K., (2004). *Policy Advice as an Investment Problem*. *Kyklos*, Vol 57 (2004), 403–428.

Heine, K., Oltmanns, E., (2016). *Towards a political economy of statistics*. *Statistical Journal of the IAOS* 32 (2016) 201–209.

Jules, M., (2017). *The most underutilised source of data for smart cities*. *CitiesToday*, 10th February 2017 (available at: <https://citiestoday.com/industry/underutilised-source-data-smart-cities/>)

Vardon, M., Burnett, P., Dovers, S., (2016). *The accounting push and the policy pull: balancing environment and economic decisions*. *Ecological Economics* 124 (2016) 145–152.

¹² <https://epic.unescap.org/login>

Annex 1- Core concepts (CCs) and key questions

No.	Core Concepts	Key Questions
1	Access	<p>What are physical, economic, and information requirements for full access to services by all policy target groups? (<i>e.g. accessible transportation; physical structure of the facilities; affordability and understandable information in appropriate format</i>)</p> <p>What are mechanisms that ensure all beneficiaries of the policy implementation have equal access to services and entitlements (<i>including to justice system</i>)?</p>
2	Accountable and transparent management	<p>To whom, and for what, service providers are accountable? And what is the mechanism for beneficiaries to provide feedback and receive responses?</p> <p>Are the processes through which services are provided to target groups transparent to the beneficiaries?</p> <p>What are mechanisms for reducing any form of corruption in implementation of the policy or delivery of the services?</p> <p>Are data and evidence available to inform policy and track progress in delivery of priorities to beneficiaries and their intended impacts?</p>
3	Capability based Services	<p>What are capabilities and skills that target groups possess to absorb services and leverage to enhance the policy outcomes? (<i>e.g. skill development among unemployed, farmers capacity to absorb new farming methods</i>)</p>
4	Compensation	<p>What are the compensations for the target groups that may be negatively affected by the impacts of the policy? (<i>eg. inflations after subsidy reforms, pollution from new industries, unemployment after introducing new technology, ...</i>)</p> <p>Is the economic value of impacts (<i>i.e. environmental, economic and social</i>) determined? If so, how?</p>
5	Cross-sectoral impacts	<p>What are effects of the policy implementation from and on other sectors? (<i>e.g. environmental impacts of agriculture sector policy, social impact of economic policy, etc</i>)</p>
6	Cultural Responsiveness	<p>How does the policy include cultural aspects (<i>such as beliefs, values, gender, interpersonal styles, attitudes, cultural, ethnic, or linguistic</i>) that may influence lives and livelihood of individuals and members of target group in service delivery of public goods?</p>
7	Decent employment	<p>How does this policy enable decent employment to individuals and target groups?</p> <p>Is the quality of employment for those groups or individuals that produce goods or provide services that are subject of this policy? (<i>note: according to ILO work is decent if it is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men.</i>)</p>

No.	Core Concepts	Key Questions
8	Ecosystem Impacts	<p>What are the impacts of policy on earth's ecosystem?</p> <p><i>Note: When there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation</i></p> <p>What are stocks and flows of natural resources and ecosystem renewable resources that may be affected by the policy?</p>
9	Efficiency	Does policy maximize use of available resources for the most benefits to target groups at the minimum cost?
10	Equal Opportunities	<p>Who are the target groups (including disadvantaged groups) that need equal opportunity of access to public goods and services provided by the policy? <i>(Example of selection of target groups: such as people living in poverty, women, groups living away from services, persons with disabilities, ethnic minority or elderly)</i></p> <p>How does the policy enable and monitor equal opportunities?</p>
11	Exchange and Impact (International)	<p>What are types and levels of exchange of products (goods and/or services) with outside the country's borders?</p> <p>What are effects of the policy implementation beyond national borders? <i>(i.e. environmental, economic, social impacts)</i></p> <p>How the policy implementation is affected by change in overseas conditions for deriving direct benefits to the target groups? <i>(e.g. tourism arrivals depend on global and source market economic conditions)</i></p>
12	Family/group Resource	How does the policy consider family and or representative organization of target group as a resource in enabling themselves to access public goods and services? <i>(e.g. resources held by household, characteristics of members, family/community members looking after the target groups, etc.)</i>
13	Generational impacts	<p>What are the effects of the policy on future generations (including past trends and future projections)?</p> <p>Does the policy identify individuals or target groups who may be prone to generational impacts?</p> <p>Which parts of the society may be more vulnerable to potential negative externalities of the policy outcomes? <i>(e.g., multi-generational chronic poverty among women headed household/ethnic minorities)</i></p>
14	Human Resources	What are the capacity requirements (skills and education) of the individuals that deliver and or produce goods or provide services? <i>(eg. skill requirements of social workers, teachers, family planning advisors, farmers, managers, engineers, long-term human capital development etc)</i>

No.	Core Concepts	Key Questions
15	Incentives and Sanctions	<p>How policy creates incentives for target groups to reduce potentially negative impact of their activities?</p> <p>increase their productivity and efficiency for improving outcomes for the beneficiaries?</p> <p>How policy deal with target groups that are generating potentially negative impacts?</p>
16	Income Distribution	<p>Income refers to any economic profit gained from provision of goods and/services by implementation of this policy.</p> <p>How income is being distributed across all the beneficiaries and target groups?</p>
17	Infrastructure	<p>What are the infrastructure requirements for production of quality goods and/or provision of services addressed in this policy? (<i>e.g. roads, schools, hospitals, transportation, fiscal and financial infrastructure, banking system, utilities, ICT</i>)</p>
18	Innovation	<p>What are the capacity requirements for this sector to embrace innovation and adopt new technologies?</p> <p>What are types of innovations promoted by the policy to increase quality of services/products?</p>
19	Re-integration	<p>What are the means by which target groups who need to be re-integrated into society due to change in their status, receive tailored services or opportunities? (<i>e.g. immigrants, ex-prisoners, etc.</i>)</p>
20	Legal Infrastructure	<p>Do necessary rules, regulations and legislation exist that support implementation of the plan?</p> <p>What are mechanisms that ensure enforcement of laws and compliance with existing legislations that are put in place for implementation of this policy?</p> <p>What are mechanisms that ensure all beneficiaries of the policy implementation have equal access to justice system?</p>
21	Participation	<p>What are ways that policy target groups can participate in the decisions that affect their lives?</p>
22	Partnership and Coordination of Services	<p>What are the mechanisms for coordination among stakeholders that enhance partnerships for better policy outcomes?</p>
23	People-nature harmony	<p>Are there any environmental impacts of the policy on peoples' healthy lives?</p> <p>Which groups are beneficiaries (<i>e.g., types of water users, land holders, small farmers...</i>)?</p>
24	Prevention	<p>What are the mechanisms (if applicable, primary, secondary and tertiary) for preventing beneficiaries from vulnerability? (<i>e.g. issues for action that prevent target groups from diseases, violence, losses from disasters, becoming poor or losing jobs, disaster risk management, climate change adaptation etc</i>)</p>

No.	Core Concepts	Key Questions
25	Production and Productivity	<p>How does this policy enhance economic value (value add) by producing goods or delivering public goods and services?</p> <p>How does this policy assess productivity of the inputs (financial, material [both raw and intermediate] and human resources) per value added units produced?</p>
26	Protection from harm	<p>What are potential harms (physical and none-physical) to policy target groups during their interaction with service providers? (<i>e.g. protecting beneficiaries' privacy when their confidential information is necessary for service delivery, or protecting terrestrial sites</i>)</p>
27	Quality	<p>What are different types of services that are provided under this policy?</p> <p>What quality dimensions of the services can be improved for better policy outcome?</p>
28	Services and entitlements	<p>What are the specific service needs and choices available to the target groups?</p> <p>What are the tailored services or entitlements made available to target groups by the policy?</p>
29	Sustainable investment	<p>What are different types of investment that are required for increasing quality and range of products (goods and/or services) produced by implementation of this plan? (<i>including public, private and foreign investments</i>)</p>

Annex 2- Case study

The following case study describes the experience of applying the EPIC tool to a policy document from the Education Sector.

Document review

The selected policy document consisted of a range of chapters addressing the “major issues related to the sector”, “goals and objectives”, “plans and outputs”, “resource limitations”, “operational plan”, “monitoring and evaluation”, and “continuity of the programme”. There were also a series of Annexes which summarized a lot of this information into matrices covering “logical framework”, “implementation plan”, “monitoring and evaluation framework”, to name a few. The sections of the planning document which were considered relevant for application of the EPIC tool consisted of just the chapter on “major issues related to the sector” which outlined each of the key Issues for Action (IAs) in the narrative, and the annexes “logical framework” and “monitoring and evaluation framework”, which aimed to summarize these issues, and also provide suggested indicators for tracking progress.

Alignment within the document

The key IAs were identified by assessing both the narrative and logframe/M&E framework, which also often summarizes the key issues for action. During the application of the tool, details were recorded where the information in these matrices didn’t sufficiently align with the issues raised in the narrative of the document, to ensure important indicators to track these issues weren’t overlooked.

Mapping of the Core Concepts (CCs)

Each IA identified in the document (either through the narrative or logframe), was then mapped to the list of CCs to identify the various principles of relevance to each issue. The result from this exercise was a list of IA/CC combinations, for which target sub-groups and indicators would be identified later in the application of the EPIC tool. A summary of the frequency for each CC was also produced at the end of the tools application, to inform the document owner of the coverage of the document, to see how it aligned with expectation for the education sector. The table below lists two examples of IAs mapped on the relevant CCs:

Issue for Action	Reference population	Target Group	CC Number	CC description
Development of leadership and management skills	Teachers, school principals and head teachers	None Specified	3	Capability based services
Development of leadership and management skills	Teachers, school principals and head teachers	None Specified	14	Human resources
Development of leadership and management skills	Teachers, school principals and head teachers	None Specified	29	Sustainable investment
Lack of commitment, low morale and low motivation to teach at their best	Primary and secondary teachers	None Specified	7	Decent employment
Lack of commitment, low morale and low motivation to teach at their best	Primary and secondary teachers	None Specified	15	Incentives and sanctions

Identification of key target groups

The narrative examined during the application of the EPIC tool, identified a few sub-groups which were considered important for some IA/CC combinations. These included “persons from poor families”, “persons living in remote areas”, “disabled children”, and so forth. An examination was then made to see how well these levels of disaggregation were captured in the indicator suggestions in the document with feedback collected for the document owner.

Alignment with other national documents

The EPIC tool enables the user to look beyond one sector to identify indicators which could be used to track progress of IA/CC combinations. Within the national context, the country national development plan was used for this stage of the exercise, and indicators presented within this document (from the education chapter) were consulted and mapped to the IA/CC combinations from the sector plan. The EPIC tool enabled the user to identify alternative indicators from the national plan which could be adopted to track progress of the IAs, for consideration by the document owner. The table below shows a couple of examples of nationally suggested indicators for tracking the IA/CCs:

Issue for Action	Reference population	Target Group	From Sector Plan	From National Plan
Access to proper school for children with disabilities	Primary and secondary students	Children with disabilities	Number of children with disability enrolled in mainstream schools, by gender	
Drop-out rate among boys	Primary and secondary students	Male students		Enrolment and retention rate of students

Alignment with regional/global initiative indicators

Additional indicator frameworks which were consulted during the application of the tool was primarily the SDG (Goal 4), and the Incheon Declaration Indicators (43 indicators). Once again, these indicators were mapped to the IA/CC combinations identified from the sector plan, to suggest alternative indicators which could be used to track progress of these IA/CC combinations, for consideration by the document owner. The table below shows additional indicators identified from global frameworks:

Issue for Action	Reference population	Target Group	SDG indicator	Incheon Declaration indicator
Teachers poorly paid	Teachers	None specified		Average teacher salary relative to other professions requiring a comparable level of education qualification
Teachers in primary school don't have adequate training	Teachers in primary level	None specified	4.c.1- Proportion of teachers in: (a) pre-primary education; (b) primary education; (c) lower secondary education; and (d) upper secondary education who have received at least the minimum organized teacher training (e.g. pedagogical training) pre-service or in-service required for teaching at the relevant level in a given country, by sex	

In addition to immediate outputs (examples provided in the tables above), the exercise provided a list of recommendations for future considerations. These include both policy as well as statistical recommendations that all parties involved may take into consideration for future developments.

Recommendations on policy	Recommendations on data
<p>Closer alignment between the document narrative and the document logframe should be encouraged</p> <p>The policy document should give further consideration to a much wider range of target sub-groups, to ensure no-one is left behind.</p> <p>A review of the coverage of the policy document should take place using the frequency counts of the CCs, to assess if all principles have been suitably addressed.</p>	<p>If target sub-groups are discussed in the document narrative, as being important to a particular Issue for Action, then these sub-groups should be clearly spelt out in the indicator suggestions as a level of disaggregation</p> <p>The policy document owner should review all indicators identified as a potential indicator for tracking progress against each IA (from national and regional/global sources), and choose the most suitable</p>