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Course revision

6. Public Policy Training Course

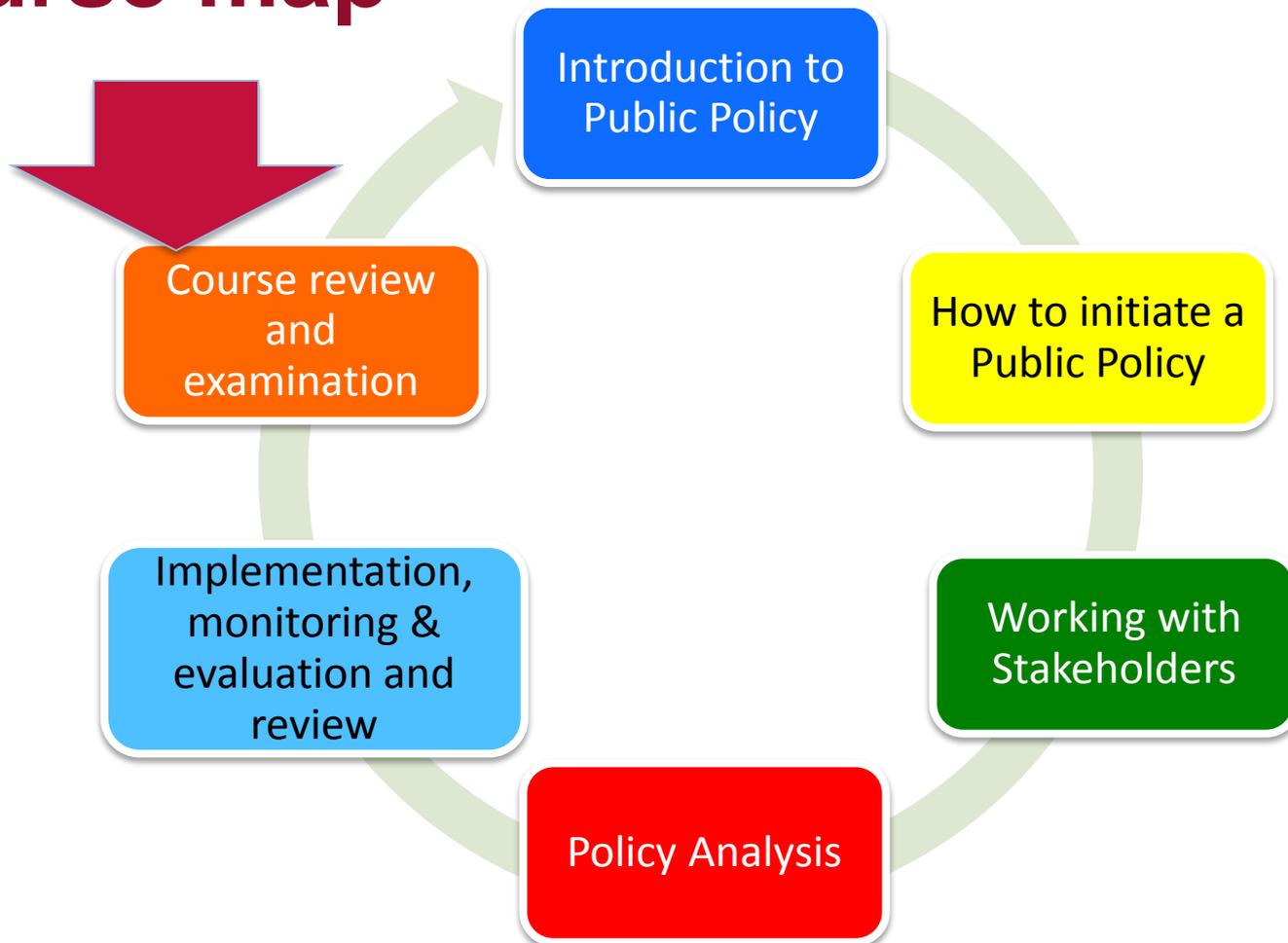


Why are we here?

- ✓ Develop our knowledge and skills in the public policy process
- ✓ Strengthen our internal capability & embed best practice discipline
- ✓ Ensure that what we do has a direct link back to improving our communities
- ✓ Learn from each other, share ideas and experiences
- ✓ Work as a team



Course map





Workshop objectives

The workshop is divided into 3 parts-

- A very brief overview of the introduction to public policy;
 - Discussion about the features of good policy making; and
 - An overview of the policy steps and methodologies that we covered in the course.
- You will have the opportunity to ask any questions and to go over any areas of the course that you need clarification at the end of the course.



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Overview of the introduction to public policy



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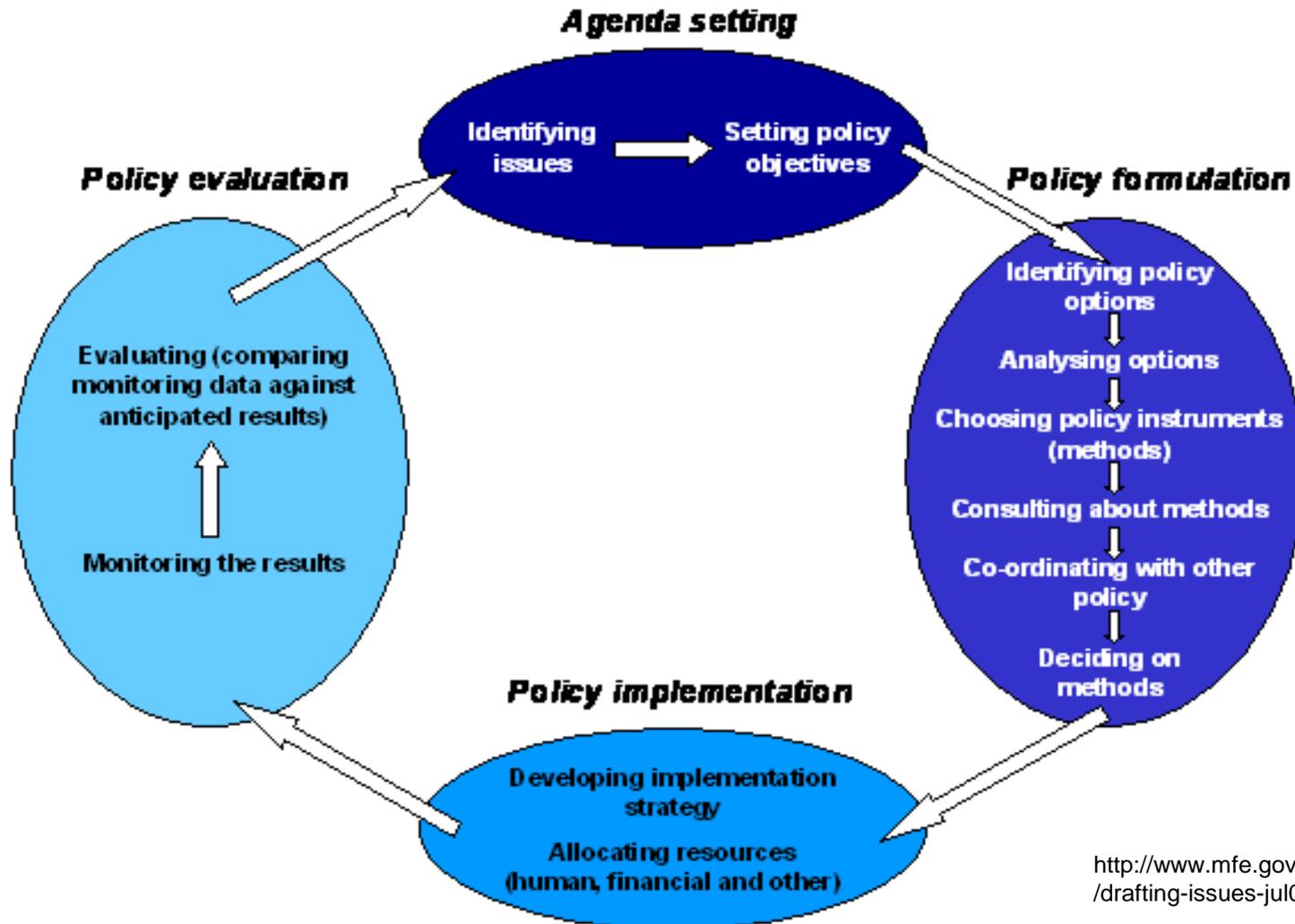
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The role and purpose of public policy

Public policy as a way to set the government's agenda and to implement good governance



The policy cycle





The Actors

- The actors are many, varied and play roles in different parts of the cycle.
- Policy officers are an important group of actors whose job is to facilitate and engage with all of the others to make good strong policies!
- Policy officers support policy decision-makers with strong evidence-based recommendations that have been thoroughly consulted with stakeholders.



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Legal frameworks

The Constitution, international agreements to which Iraq is signatory and Ministry mandates set out the frameworks and limitations of public policy.



Part 2- What is good policy-making?

- ✓ **Forward looking**
- ✓ **Inclusive**
- ✓ **Joined-up**
- ✓ **Innovative, flexible and creative**
- ✓ **Outward looking**
- ✓ **Communication**
- ✓ **Reviews and learns lessons**
- ✓ **Evidence-based**
- ✓ **Evaluation**



Forward looking

- defines its outcomes, or results defined at an early stage.
- SMART = achievable.
- takes a long-term view of what it seeks to achieve and it fits into and develops the long term strategies of the government into actionable plans.



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Outward looking

- Draws knowledge from experiences and solutions found within the region and the rest of the world.
- By looking out, we develop a wider view of what our own local solutions could be.



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Innovative, flexible and creative

‘The policy-making process is flexible and innovative, questioning established ways of dealing with things, encouraging new and creative ideas: and, where appropriate, making established ways work better’

(Ref Office of the First Minister and Deputy Minister. A Practical Guide to Policy Making in Northern Ireland. Page 6. Available at : www.ofmdfmni.gov.uk)



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Evidence-based

DATA DATA DATA!

- All good public policies **MUST** be founded in evidence-based research and decision-making.
- Look at what data exists, assess its quality and if need be, develop your own data by researching the issues yourself or by engaging experts to do it.
- **CALCULATE, MEASURE, BE DEFINITIVE**
- Create baseline data
- **SHARE** the information with others



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Inclusive

What does this involve?

What is the 'golden rule'?



Joined-up

- Joined up policy is policy that is coherent and coordinated
- It links the ministries of the government as well as the regional and provincial governments
- It is also about having policies that are based on the national policies and priorities of the government.

HOW do we achieve this?



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Reviews and learns lessons

Identify –

- what worked
- what didn't work
- what can we do better next time

..... then DO IT better next time!



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Communication

Policy must be well communicated to the public-

- your policy processes and how people can be involved;
- how the policy will affect them;
- how the public can access the new services etc; and
- if legislation is involved, what are their new obligations and how can they comply with them.

Communication is a key element in stakeholder engagement



Evaluation

- ‘Systematic evaluation of the effectiveness of policy is built into the policy-making process. Approaches to policy-making that demonstrate a commitment to evaluation include:
 - Clearly defined purpose for the evaluation set at outset;
 - Success criteria defined
 - Means of evaluation built into the policy-making process from the outset; and
 - Use of pilots to influence final outcomes’

Ref Office of the First Minister and Deputy Minister (Northern Ireland). A Practical Guide to Policy Making in Northern Ireland. Page 6. Available at : www.ofmdfmi.gov.uk



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Part 3 – Overview of the policy steps and methodologies in the course



Summary of policy steps 1.5 Handout

- The policy steps enable you to systematically work through the policy problem, identify options, recommend a preferred option and ultimately prepare a policy statement for adoption by the policy decision-maker/s.
- Within this process, you also have –
 - Research and analysis based on empirical evidence;
 - Stakeholder engagement of various forms;
 - Positive engagement with other relevant levels of government; and
 - Thorough well-written periodic briefings to the minister and Council of Ministers



Policy problem definition

- **Feasibility** - check if a proposed policy is appropriate, legitimate, needed, will produce a meaningful outcome, has the decision-maker's interest, and it not overlapping with the work of other ministries;
- **Research and consult** to fully understand the technical and political dimensions of the policy problem; and
- **Conduct a problem tree analysis** to systematically identify the causes and effects of the problem so we can identify our policy objectives.



The problem/solution tree

- This work forms the logic of the policy and sets out the policy's 'theory of change'. So it must be done very thoroughly and very carefully in conjunction with the key stakeholders.
- In the problem tree, we—
 - write the problem statement in the center;
 - arrange causes as the roots of the tree, showing different levels of 'why'; and
 - write the consequences as the branches, showing the different levels of consequences.

How we develop the potential policy solutions from the problem tree?



Identifying the scope, principles and objectives etc for a policy

- Identify which of the causes/solutions we wish to address in the policy. This sets out our policy's scope and objectives.
- From our research and consultation we can identify the guiding principles for our policy, our vision (direction).
- We always engage our key stakeholders in this process!
- The outcome of this work should be submitted as a policy proposal to the relevant policy decision-maker/s for their endorsement. When they agree, we can proceed to policy analysis



Policy analysis

- In the policy analysis stage, we focus our research on finding the solutions to fit the proposed policy.
- Depending on the nature of the policy –
 - This might involve a highly complex analysis of technical matters, such as the best ways to dispose of medical waste in Iraq. In these instances, we conduct detailed research, generate options and conduct a multi-criteria analysis; or
 - the policy analysis might also be a more simple process of identifying the optimal blend of policy tools to achieve the policy solutions.



Policy tools

We need to identify the optimal use (and combination) of policy tools that we need to use to implement the policy. Policy tools can be –

- Economic, such as setting tariffs, providing subsidies.
- Service provision, such as medical facilities, transport etc.
- Legislative, such as regulating the management of a hazard.
- **name some more?**



Implementing sustainable changes through the application of policy tools

- Explore the policy problem to clearly identify our target
- Enable our target to make the changes we want
- Encourage and enforce through a blend of compliance and enforcement measures
- Engage stakeholders to ensure relevance
- Exemplify through our own behaviors and through opinion leaders; and
- Evaluate our results to see if it worked and how it might be strengthened



Stakeholders

Prepare a stakeholder engagement strategy that identifies the timing, stakeholders and methods you intend to use to engage stakeholders relevant to the policy problem.

- **Key stakeholders** are those who want to work closely with you-
 - **Internal key stakeholders**; and
 - **External key stakeholders**
- **Active stakeholders** are those who want to be consulted (2-way dialogue).
- **Attentive stakeholders** are generally interested in information about how the policy will affect them.



Stakeholder consultation

- The formal consultation period.
- Engages **ALL** stakeholders but especially focuses on the active stakeholders who can provide you with a rich source of information
- Different consultation methods can be used... **name some of these processes...**
- The feedback from the consultation helps us to refine and complete the policy proposal. Once we have this information, we can finalize the proposal and send it to the policy decision-makers for their decision.



The policy brief and draft policy statement

- The **policy brief** presents the findings of the research, options, selection of the options, choice of policy tools and the results of the consultation that all point to a logical and well-argued policy proposal for the policy decision-maker to make a final decision.
- The **policy statement** is the statement that captures the vision, goals, objectives, policy tools etc into a statement of the government's intention.



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Planning implementation, monitoring and evaluation

These plans turn the policy into the implementation detail and show us—

- **Process** - management systems, activities, and track whether this is being done properly or not; and
- **Results** - the expected results of the policy and to test whether the policy and our implementation are achieving what we wanted

These are rich sources of knowledge and information that you can apply to learn and share lessons about the policy problem, the policy solutions (and its embedded theory of change) the policy development processes, our relationships with stakeholders and the policy decision-makers etc and how we can do things differently next time.



Quality

- Policy officers are in a powerful position to influence the decisions made by government. These decisions—
 - are designed to cause changes to people, business, behavior, systems, environment etc;
 - result in substantial investments of time, money and energy; and
 - create winners and losers as a result of the changes.
- Policy officers have an enormous responsibility to make sure they do their work well.



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Questions/Comments



What's Next?

Written examination!

You will be assessed on –

- your knowledge of the public policy processes;
- your knowledge of the methodologies taught in this course; and
- your writing skills.

It will be 2 hours long.



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SHUKRAN!

**We appreciate your dedication to
learning and thank you for your
participation!**



Trainer's notes

Presentation 6.1 - Course revision	
Learning Objective	Participants revise the public policy course, with a focus on the policy steps and methodologies. They also consider the features of good policy-making and quality standards.
Timing	Up to 6 hours depending on the questions asked at the end
Training method	Presentation and group discussions
Materials	<ol style="list-style-type: none"> 1. Power point presentation 2. Handouts <ul style="list-style-type: none"> • Quality standards for policy advice • 1.5 The policy steps

Slides 1 to 4 - Introduction

This workshop revises the public policy training course. We are now in the 'Course review and examination' part of the course.

The workshop is divided into 3 parts-

1. A very brief overview of the introduction to public policy;
2. Discussion about the features of good policy making as this is a good way to put our knowledge into context; and
3. An overview of the policy steps and methodologies that we covered in the course.

You will have the opportunity to ask any questions and to go over any areas of the course that you need clarification at the end of the course.

Warning - The information in this workshop is an overview. Participants should find this useful for the examination but should **not** rely solely on this workshop for the written examination.

Slide 5 – Part 1- Overview of the introduction to public policy

Slide 6 – The role and purpose of public policy

- In the introductory section of this course, we spent a lot of time covering the importance of **public policy as a way to set the government's agenda** and to **implement good governance**.



ASK the participants what are some of the features of good governance and to give examples of how the public policy process implements these features?

ANSWER – extract from handout 1.1

- **Transparency:** decisions and actions are open to public scrutiny
- **Consensus oriented:** the interest of the community is promoted by accommodating the wide range of interests existing within it
- **Accountability:** decision-makers take responsibility for their decisions and actions
- **Inclusivity:** stakeholders feels their needs have been considered
- **Effective and efficient:** resources are used wisely
- **Responsiveness:** the needs of citizens are served
- **Rule of law:** fair legal frameworks are enforced impartially

Slide 7 – The public policy cycle

The **public policy cycle** describes a continuous process that systematically applies the policy steps and promotes continuous improvement.

ASK the participants how the policy cycle does this? Answer- the cycle describes the building blocks that help you to systematically put a policy together, implement it, review its success and then enables you to start all over again with the knowledge gained from the whole process. So in many respects, the cycle should be portrayed as a continuous spiral of knowledge rather than a circle.

However, the public policy process is not as neat and organized as the cycle suggests. Real life policy-making is typically much more complex and messy. Sometimes you will have to go backwards to find better answers. Sometimes you will have to jump around with stakeholder consultation to address their concerns. Sometimes the instructions from your minister can throw you off track entirely....

Slide 8 - The Actors

The most important message of the workshop on the actors is that they are many, varied and play roles in different parts of the cycle.

Policy officers are an important group of actors whose job is to facilitate and engage with all of the others to make good strong policies!

You are required to be professional and recognize that you are NOT making public policy for yourself! Policy officers support policy decision-makers with strong evidence-based recommendations that have been thoroughly consulted with stakeholders.



Slide 9 – Legal frameworks

The Constitution, international agreements to which Iraq is signatory and Ministry mandates set out the frameworks and limitations of public policy.

ASK the participants how the constitution impacts on policies intended to apply to provinces and regions in Iraq.

Answer - if the federal government wishes to make a public policy that applies across the country (outside its article 110 exclusive powers), it must work on achieving inter-governmental coordination and cooperation and with regional and local governments.

Slide 10 – Part 2 – What is good policy-making?

In this part of the workshop, we will look at the features of good policy-making. We will look at each of them in detail in the following slides as it is a good way for us to review and discuss how what we have learned promotes good policy-making.

- ✓ **Forward looking**
- ✓ **Outward looking**
- ✓ **Innovative, flexible and creative**
- ✓ **Evidence-based**
- ✓ **Inclusive**
- ✓ **Joined-up**
- ✓ **Reviews and learns lessons**
- ✓ **Communication**
- ✓ **Evaluation**

Ref : Adapted from the Office of the First Minister and Deputy Minister (Northern Ireland). A Practical Guide to Policy Making in Northern Ireland. Page 6. Available at : www.ofmdfmi.gov.uk

Slide 11 – Forward looking

Public policy should be forward looking. That is, it defines its outcomes, or results defined at an early stage. Remember that these outcomes should also be SMART so they are achievable.

By being forward looking, a policy also takes a long-term view of what it seeks to achieve and it fits into and develops the long term strategies of the government into actionable plans. This is where the policy vision and goals fit in. It is also where the National Development Strategy fits in- it forms the basis for our policies.



ASK the participants what does this mean in the context of what we have been learning in the course...

Encourage participants to consider-

- the overall government strategies of the National Planning Strategy for Iraq.
- The way public policy contains a vision which gives us a direction
- The way public policies specify very clear objectives and outcomes, which we identified very early on in the process through the problem/solution tree process.

Slide 12 – Outward looking

A policy that has been developed in an outward looking manner is one that draws knowledge from experiences and solutions found within the region and the rest of the world. This does not necessarily mean that we have to copy what others have done, but it means that by looking out, we develop a wider view of what our own local solutions could be.

ASK the participants when is the best **time** to look out....Encourage them to consider and discuss that this is best done during two research periods when we -

- research the public policy problem and its causes; and
- research and analyze policy options.

ASK the participants to think through **WHERE** is the best place to look out to?..... This could be anywhere and everywhere and the objective should be to gain KNOWLEDGE. Even if some countries might have solved the policy problem in a way that is not practical for Iraq to follow, it is worthwhile knowing what they did, how they did it and what the outcomes of their policy was. Obviously, it is also good to focus on countries and situations with similar conditions to Iraq and which have attempted to address the policy issue in order to learn from their experiences – what worked? What went wrong? What can we learn from this?

Slide 13 – Innovative, flexible and creative

'The policy-making process is flexible and innovative, questioning established ways of dealing with things, encouraging new and creative ideas: and, where appropriate, making established ways work better'

(Ref Office of the First Minister and Deputy Minister. A Practical Guide to Policy Making in Northern Ireland. Page 6. Available at : www.ofmdfmi.gov.uk)



Ask the participants - How do we achieve innovation, flexibility and creativity? Encourage them to consider-

- **ENGAGING, LISTENING and RESPONDING** to stakeholders as much as possible as they often have more knowledge of the public policy problem and how it can be practically solved;
- brainstorming problems, causes, solutions;
- engaging experts in the field to share their ideas and knowledge, such as academics, think tanks, consultants; and
- the review process itself is aimed at improvement of what we have done, what worked and what we could do better.

Slide 14 – Evidence-based

DATA DATA DATA!

All good public policies **MUST** be founded in evidence-based research and decision-making. To do this, we need to find the data. Look at what data exists, assess its quality and if need be, develop your own data by researching the issues yourself or by engaging experts to do it.

CALCULATE the costs and benefits so you can properly assess options, **MEASURE** the dimensions of the policy problem itself. **BE DEFINITIVE** and provide well-argued details about **EXACTLY** what you propose as the policy solution and **HOW** it will affect the target population.

For example, in a policy for homeless children, you must specify the dimensions of the problem- how many children? Where are they? What is their current status? and if you propose to establish orphanages, you must demonstrate how many orphanages should be built for how many children, for what cost? where and how will they be operated, what services will be provided to meet their identified needs? And define precisely how the proposed solution addresses the policy problem.

Finally, ensure that you are in a position to **COMPARE** the baseline data with the policy's results.....

Your research and empirical evidence gives your policy a strong foundation. Without it, you have no real policy! If your policy is just an unsupported woolly statement of your opinion without tangible evidence to support it, you are **NOT** writing a policy, you risk making the wrong assumptions and you are very likely to waste a lot of time, money and effort!

SHARE the information with others, and especially the stakeholders (both internal and external) so your policy community becomes knowledgeable with you.

Slide 15 – Inclusive



Ask the participants what this means? They should recognize that it is about engaging stakeholders in a way that maximizes their [inclusion throughout the entire policy cycle](#).

Ask the participants what this involves. Encourage them to think through the different types of stakeholders, what they need from you and how you can gain from them. ASK them to name some of the different methods for engaging key stakeholders, consulting with active stakeholders and information for the attentive stakeholder groups.

Inclusive processes also requires you to actively listen and respond to the stakeholders. A policy proposal can, for example, be substantially improved by listening to the views of the stakeholders. It is also your job to listen carefully, assess the reactions to the policy problem, solution, outcome and to report the findings to the policy decision-makers.

The outcome of your stakeholder engagement and especially the results of the consultative process count as part of the evidence base for a policy. It is therefore in your interest for your stakeholder community to be well informed by your research.

The inclusive process continues during policy implementation. You may find that you need to adjust the policy in order to fix a problem identified by the stakeholders. Stakeholders should also be involved in the policy's review.

ASK the participants what is the 'golden rule' to inclusiveness? ANSWER: NEVER EXCLUDE!

Slide 16 – Joined-up

Joined up policy is policy that is coherent and coordinated. We have covered this in detail. Joined-up policy is policy that links the ministries of the government as well as the regional and provincial governments together to work together to solve the policy problem and to implement the policy for the people. It is also about having policies that are based on the national policies and priorities of the government.

Ask the participants **HOW** we achieve joined-up policy...

Answer - To achieve this, we –

- institute strong internal stakeholder engagement processes;
- institute strong engagement processes with the other governments in Iraq;
- pay attention to the direction of the core ministries and the council of ministers, which represents the government as a whole;
- propose policies that are based on implementing the National Development Strategy and other key strategic documents; and



- ensure we have an effective management structures and joint working groups at the lower levels to facilitate streamlined policy implementation. Be clear who is responsible for what in the implementation plan.

Slide 17 – Reviews and learns lessons

Learning lessons was the topic of the last workshop so it should still be very fresh in the participants' minds.

The objective of learning lessons is to identify –

- what worked
- what didn't work
- what can we do better next time

These lessons apply equally to the way we implemented the policy as well as to the essence of the policy itself. Did the policy fix the policy problem? We must take a critical look at what really happened and consider what needs adjusting. This is NOT about criticizing people etc but about learning how to do things better!

THEN MAKE SURE YOU DO IT BETTER NEXT TIME!

- ✓ Inclusiveness is a key to learning lessons.
- ✓ Evidence-based research is a key to learning lessons.
- ✓ The outcomes of our lessons learned can be innovative, flexible, creative...

Slide 18 – Communication

Policy must be well communicated to the public-

- your policy processes and how people can be involved;
- how the policy will affect them,
- how the public can access the new services etc.
- if legislation is involved, what are their new obligations and how can they comply with them.



Ask the participants how this can be achieved. Encourage them to consider the uses of advertisements, media releases, ministry websites, using the stakeholder networks (eg industry associations, NGO networks etc) to get the information out.

Communication is a key element in stakeholder engagement.

Ask the participants to name the stakeholder group that is most interested in information. This is a 'trick' question because they **ALL** do! However, there is one group that only looks for information and this is the 'attentive' stakeholder group – what information do they want? Answer- information about what the government is doing (or proposing to do) and how it will impact on them.

Slide 19 – Evaluation

The following is a quote from the public policy guide for Northern Ireland (Office of the First Minister and Deputy Minister (Northern Ireland)). A Practical Guide to Policy Making in Northern Ireland. Page 6. Available at : www.ofmdfmi.gov.uk) with some explanatory comments.

'Systematic evaluation of the effectiveness of policy is built into the policy-making process. Approaches to policy-making that demonstrate a commitment to evaluation include:

- Clearly defined purpose for the evaluation set at outset (Note- we covered this in the workshop on implementation and M&E planning)
- Success criteria defined (note- ie indicators, baseline data, targets)
- Means of evaluation built into the policy-making process from the outset; and
- Use of pilots to influence final outcomes. Note - we have not covered pilots in this course, they are a way of testing the effect of a policy by implementing it in a smaller geographic area or target group, assessing its results, making adjustments based on the lessons learned from the pilot and then extending the implementation to reach all the intended target population.

ASK the participants- What is the value of implementing a policy that you cannot assess to see if, how and why it worked? The answer is NONE!

Slide 20 – Part 3 – Overview of the policy steps and methodologies in the course

The next few slides will **briefly** cover how we incorporate some of the methodologies covered in this course into the policy steps.



It is worth bearing in mind that there are numerous methods to undertake policy and particularly policy analysis and we have covered only a few in this course. We hope that you continue to explore and find more that will help you to do your work in increasingly effective ways.

Slide 21 - Summary of policy steps 1.5 Handout

DISTRIBUTE 1.5 Handout- the policy steps

The policy steps are laid out to enable you to systematically work through the policy problem, identify options, recommend a preferred option and ultimately prepare a policy statement for adoption by the policy decision-maker/s. Within this process, you also have –

- Research and analysis based on empirical evidence about the policy problem and the policy options;
- Stakeholder engagement of various forms, with key internal and external stakeholders acting as a continuous reference point;
- Positive engagement with other relevant levels of government; and
- Thorough well-written periodic briefings to the minister and Council of Ministers where decisions need to be made (eg on the policy's scope and direction, or to release consultation documentation) or when benchmarks have been reached and there is something of interest to the Minister/Council of Ministers.

Slide 22 - Policy problem definition

A policy problem should be defined very clearly with reference to-

1. **Feasibility** - check if a proposed policy is appropriate, legitimate, needed, will produce a meaningful outcome, has the decision-maker's interest, and it not overlapping with the work of other ministries;
2. **Research and consult** to fully understand the technical and political dimensions of the policy problem; and
3. **Conduct a problem tree analysis** to systematically identify the causes and effects of the problem so we can identify our policy objectives.

Slide 23 - The problem/solution tree



In the workshops, we covered the problem/solution tree process as an effective way to present and understand the policy problem, its causes and consequences, and what can be done about it. How well we undertake this exercise will significantly affect the quality of your policy. This is because **this work forms the basic logic of the policy and sets out the policy's 'theory of change'**. So it must be done very thoroughly and very carefully in conjunction with the key stakeholders. If the theory of change is incorrect, it will become very obvious when we evaluate the results of the policy!

In the problem tree, we–

- write the problem statement in the center;
- arrange causes as the roots of the tree, showing different levels of 'why'; and
- write the consequences as the branches, showing the different levels of consequences.

ASK the participants how we develop the potential policy solutions from the problem tree? Answer: to state the problems and consequences in solutions and outcomes/results.

Slide 24 – Identifying the scope, principles and objectives etc for a policy

- Then we identify which of the causes/solutions we wish to address in the policy. This sets out our policy's scope and objectives.
- From our research and consultation we can identify the guiding principles for our policy, our vision (direction).
- We always engage our key stakeholders in this process!
- The outcome of this work should be submitted as a policy proposal to the relevant policy decision-maker/s for their endorsement. When they agree, we can proceed to policy analysis.

Slide 25 – Policy analysis

In the policy definition stage, we undertake research to develop detailed knowledge of the policy problem. **In the policy analysis stage, we focus our research on finding the solutions** to fit the proposed policy.

This might involve a highly complex analysis of technical matters, such as the best ways to dispose of medical waste in Iraq. In these instances, we conduct detailed research, generate options and identify the costs and benefits of each of the options. So we can compare the options to identify the best one, we identify the criteria that are important for selection of the options. We do this in collaboration with our key stakeholders. Then we undertake a multi-criteria analysis to come up with the preferred solution for recommendation.



Depending on the policy problem, the policy analysis might also be a more simple process of identifying the optimal blend of policy tools to achieve the policy solutions.

Slide 26 – Policy tools

In all cases, we need to identify the optimal use (and combination) of policy tools that we need to use to implement the policy. The policy tools can be –

- Economic, such as setting tariffs, providing subsidies.
- Service provision, such as medical facilities, transport etc.
- Legislative, such as regulating the management of a hazard. We covered this in detail and especially focused on how to design legislation so that it delivers the right degree of enforcement
- ASK the participants to name more types of policy tools and give examples of them. They include providing information, education, advice; providing goods and services; empowerment, networking and capacity-building

Slide 27 – Implementing sustainable changes through the application of policy tools

The choice of policy tools should aim to produce sustainable solutions the policy problem. We do this by paying attention to –

- Exploring the policy problem to clearly identify our target
- Enabling our target to make the changes we want
- Encouraging and enforcing through a blend of compliance and enforcement measures
- Engaging stakeholders to ensure relevance
- Exemplifying through our own behaviors and through opinion leaders; and
- Evaluating our results to see if it worked and how it might be strengthened

We select the best combinations of policy tools to achieve our objectives in the policy that fall within the agreed scope of the policy.

The work we have done to this point gives us enough information to identify –

- The policy problem;
- The policy objectives; and
- The objectives of the policy solutions; and
- How we propose to implement the objectives.



Slide 28 – Stakeholders

At the very beginning of the policy process, we prepare a stakeholder engagement strategy that identifies the timing, stakeholders and methods you intend to use to engage stakeholders relevant to the policy problem.

Key stakeholders are people you engage with every day because they are the people who lead public opinion, know a lot about the policy problem and are likely to know a lot about how to solve them.

There are two types of key stakeholders-

- **Internal key stakeholders**, who are the people in your own ministry and other ministries of the government who actively work on the policy issues. They should be actively and continuously engaged in a process, such as joint working groups, steering committees etc; and
- **External key stakeholders** who are those people in the community with a powerful role in the policy issues. They should be actively and continuously engaged in steering committees, advisory committees etc.

Active stakeholders are those stakeholders who are very interested in the policy problem and the policy solutions and are interested in engaging with you in a dialogue about the policy solutions. They are a rich source of information to you about what will work! These and the key stakeholders are the people who you target in a consultation period.

Attentive stakeholders are generally interested in information about how the policy will affect them.

Each of these types of stakeholders require different engagement methods and we engage with them in different ways at different times.

Slide 29 - Stakeholder consultation

Where we engage with the key stakeholders in the policy formulation process, we seek to engage all stakeholders during the formal consultation process for a proposed public policy. So we implement a strategy where we target each stakeholder group: the attentives want information, the actives want information plus want to give us feedback about what they think, and the key stakeholders will want information, to give feedback and to be actively engaged in the consultative processes as well.

One of the most important things about the consultation period is to share ideas and information with the active stakeholders and there are numerous ways we can do this.



ASK the participants to name some of the processes... ANSWER- They include written and verbal feedback on an issues and options paper, focus groups, public meetings etc. The choice of the process depends on whether you have many stakeholders or a few, and how they are organized (or not).

A proposed policy that we have developed should be submitted for formal stakeholder consultation and feedback.

The feedback from the consultation helps us to refine and complete the policy proposal. So once we have this information, we can finalize the proposal and send it to the policy decision-makers for their decision.

At this point, we also prepare a paper on the results of the consultation, showing what stakeholders said about the proposal and the government's response to them.

Slide 30 – The policy brief and draft policy statement

The policy brief should present all of the findings of the research, options, selection of the options, choice of policy tools and the results of the consultation that all point to a logical and well-argued policy proposal for the policy decision-maker to make a final decision.

The policy statement is the statement that captures the vision, goals, objectives, policy tools etc into a statement of the government's intention.

These two documents present different material and both require the endorsement of the policy decision-makers. Once endorsed, the policy statement becomes the official policy of the government.

The policy statement and outcome of the consultation paper are then released to the community as a demonstration of good governance...

ASK the participants how the policy statement and the outcome of consultation paper reflect good governance?

ANSWER- transparency, responsiveness etc

Slide 31 - Planning implementation, monitoring and evaluation

The implementation, monitoring and evaluation plans should also be prepared around the time the policy is being finalized. The plans outline who, what, when, how etc the policy will be implemented as well as the important baseline information, targets, milestones and other measures for success.

The plans turn the policy into the detail that we need to ensure that we implement the policy in a systematic manner. We can do many things with these plans –



1. **Process** - Identify management systems, activities, who is to undertake the activities etc and track whether this is being done properly or not. If not, it helps us to identify where the problems are and to take quick corrective action; and
2. **Results** - identify the expected results of the policy and to test whether the policy and our implementation are actually achieving what we want it to do. This information also helps us to adjust the policy where this is necessary as well as gives us deeper knowledge of the policy problem, policy solution and what we could do better next time.

... and from this information, you have a rich source of knowledge and information that you can apply to learn and share lessons about the policy problem, the policy solutions (and its embedded theory of change) the policy development processes, our relationships with stakeholders and the policy decision-makers etc and how we can do things differently next time.

Slide 32 - Quality

Policy officers are in a powerful position to influence the decisions made by government. These decisions–

- are designed to cause changes to people, business, behavior, systems, environment etc;
- result in substantial investments of time, money and energy; and
- create winners and losers as a result of the changes.

So policy officers have an enormous responsibility to make sure they do their work well. We must aim to do our work with precision and to avoid unintended consequences from the policy decisions by working smart, listening to stakeholders and being thorough about what solutions we propose.

The table in this slide shows some useful advice for how to check the quality of your work through the steps that we have just covered in this workshop-

DISTRIBUTE HANDOUT 6. Quality standards for policy advice

Quality standards for policy advice

Quality Standard	Advice for Managers
Purpose	Aim of the advice is clearly set to address any questions set
Logic	Assumptions upon which the advice is based are clearly stated Argument is supported by evidence



Accuracy	Evidence used is accurate and reliable All material facts are included
Options	An adequate range of options is presented Benefits, costs and consequences of each option to both the government and the community are identified
Responsiveness	Advice is aware of current realities Advice anticipates developments
Consultation	Evidence of appropriate consultation with other government agencies and affected interests
Presentation and concision	Format meets specified presentation standards Advice is presented in a clear and concise manner
Practicality and relevance	Recommendations take account of anticipated problems of implementation, feasibility, timing and whole-of-government consistency
Timeliness	Advice compiled with deadlines or response times specified by the government

Althaus, Bridgman and Davis C. 2007. *The Australian Policy Handbook*, Table 12.3

Slide 33 - Questions?

Give the participants the opportunity to ask any questions about the course.

DISTRIBUTE the pre-and post training assessment. This is the same assessment as the one the participants completed at the beginning of the course. It is designed to assess how effective the course was to impart knowledge about public policy by comparing your knowledge before and after the course. It is our way to check our own results so we can make improvements to the course!

Give the participants 15 minutes to complete the test.

Slide 34 – Written examination

The written examination will come next.



You will be assessed on –

- your knowledge of the public policy processes;
- your knowledge of the methodologies taught in this course; and
- your writing skills.

It will be 2 hours long.

Provide details to the participants about where and when the examination will be conducted.

Slide 35 – SHUKRAN!

HANDOUT 6- Quality standards for policy advice

Quality Standard	Advice for Managers
Purpose	Aim of the advice is clearly set to address any questions set
Logic	Assumptions upon which the advice is based are clearly stated Argument is supported by evidence
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The Policy Steps

The attached table shows the key steps for the design and implementation of a typical policy and their estimated timelines.

The overall timescale for policy formulation and implementation varies on a range of factors. For example, a policy may need to be formulated urgently so some of the steps may need to be shortened or collapsed together. In these cases, regular communication should be maintained between the Minister's office and the policy office, and between the Ministry and key stakeholders to ensure that the policy's focus is fully workable. The policy implementation process is also longer when legislation is required because of the government and parliamentary steps and consultation.

Every policy is unique. In general, however, the effort put into the policy-making process should be proportionate to the scope, political significance and the amount of public funds involved in each policy. The forms of and timing for internal and external stakeholder engagement and inter-governmental consultations will also vary according to the nature and expected impact of the policy. Communication and stakeholder engagement strategies must therefore be developed for the unique needs of each policy and will inevitably involve steps that are in addition to those noted in the table below.

The Policy Steps

✓	#	Step	Estimated Timeframe		Actor
			Ministry-based or simple policy	Large, complex or controversial policy	
1. Issue identification					
	1.1	Issue selected (typically from the ministry's and/or government's strategic framework or in response to urgent need)	1 to 4 weeks	2 weeks to 6 months	Minister, stakeholders, Ministry staff
	1.2	Check if the problem is feasible for a policy (legal, jurisdictions, mandate of ministry etc)			Policy office in conjunction with legal officers
	1.3	Conduct preliminary research and consultation on the proposed policy problem to identify the dimensions and causes of the problem and linkages into the existing government policy frameworks			Policy officer in conjunction with technical staff and <u>key</u> stakeholders
	1.4	Develop problem/solution tree and identify proposed policy scope, vision and preliminary goals, objectives, targets etc			Policy officer in conjunction with technical staff and <u>key internal and external</u> stakeholders
	1.5	Analyse and map stakeholders and prepare an engagement strategy for internal and external stakeholders on the policy problem <u>as identified</u> and prepare stakeholder engagement strategy			Policy office <u>and key internal and external stakeholders</u>
2. Policy office planning and set-up					
	2.1	Prepare policy office plan for preparation of the policy, including steps, timelines, budget, management and stakeholder engagement strategy	1 to 4 weeks	2 to 8 weeks	Policy office
	2.2	Prepare Ministerial/Council of Ministers Briefing Notes seeking approval to the terms of reference for the policy, policy office work plan and stakeholder engagement strategy.			Policy office
	2.4	Establish policy project team comprising policy and technical experts according to approved plans			Policy office
	2.5	Establish formal internal and external stakeholder engagement arrangements according to stakeholder engagement strategy			Policy office and other relevant ministries

3. Policy analysis					
	3.1	Establish criteria for selection of policy options for the policy problem	4 to 10 weeks	12 weeks to 24 months	Policy officer in conjunction with technical staff and stakeholders (depending on stakeholder strategy)
	3.2	Collect <u>empirical</u> data on the policy issue and <u>conduct-identify</u> baseline <u>study</u> data.			Policy officer and technical staff of ministry
	3.3	Brainstorm options for addressing the policy issue and- <ul style="list-style-type: none"> • Collect empirical data on options; • Undertake initial economic and social appraisal of the options (including gender); • Consider the appropriate policy instruments; • Consider monitoring and evaluation of the policy options; • Consider feedback from discussions with <u>key</u> stakeholders; • Consider budgetary implications of options and consult with Ministry of Finance on budget availability and PMAC/COMSEC for policy coordination and coherence. 			Policy officer, technical staff, in conjunction with stakeholders
	3.4	Develop a proposal for how to proceed with a preferred policy option and identify the issues requiring stakeholder feedback	2 weeks	2 to 6 weeks	Policy office, Director General and other senior decision-makers in the Ministry.
4. Formal external stakeholder consultation					
	4.1	Prepare policy issues and options consultation paper on the preferred policy option and key issues for stakeholder information and feedback. Seek Minister/COM approval for the release of the paper	4 to 8 weeks	4 to 6 months	Policy office, Director General and other senior decision-makers in the Ministry.
	4.2	Undertake formal external stakeholder consultation	8 to 12 weeks	8 to 20 weeks	Policy office
	4.3	Review and refine policy option based on the results of consultation	2 weeks	2 to 6 weeks	Policy officer

5. Policy decision					
	5.1	Prepare policy brief and a draft policy statement to Minister/Council of Ministers for approval documenting the policy development, and outcome of consultative process <u>consultation</u> and recommending the preferred option. The briefing should also give a broad indication about implementation, budget, timelines etc.	2 weeks	2 to 6 weeks	Policy office, Director General and other senior decision-makers in the Ministry.
	5.2	Prepare and disseminate report on the outcome of the consultation showing government's response to stakeholder's feedback <u>showing how the government has responded to public comments.</u>	2 weeks	2 to 6 weeks	Policy officer, <u>communications office</u>
	5.3	Policy statement released as formal policy of the government	1 day	1 day	Council of Ministers/Ministry communications office
6. Implementation and monitoring					
	6.1	Prepare an implementation plan for the policy , including resource mobilisation, management and co-ordination, risk management, communication, and monitoring <u>and evaluation.</u>	2 to 6 weeks	4 to 12 weeks	Policy officer with planning and technical officers, <u>key stakeholders</u>
	6.2	Ministry/s receives resources to implement the policy	Policy duration	Policy duration	Ministry of Finance
	6.3	Undertake implementation of policy according to the plan			Ministry/s and implementation partners
	6.4	Conduct monitoring of deliverables and activities			Ministry/s and implementation partners
7. Legislation (concurrent with step 6) steps and depending on Council of Ministers Secretariat and COR procedural rules					
	7.1	Prepare a plan for the preparation and passage of legislation, including political mapping to identify the entry points and key political issues	6 to 10 months	1 to 2 years	Policy officer and/or legal officer
	7.2	Prepare briefing paper and drafting instructions for submission to Council of Ministers seeking approval in principle to prepare draft legislation			Policy officer and/or legal officer, Director General and other senior decision-makers in the Ministry.
	7.3	Draft legislation			Ministry legal officers
	7.4	Draft legislation submitted to stakeholders and refined following consultation			Policy officer

	7.5	Briefing note to Minister and Council of Ministers for approval to submit draft legislation to Parliament			Policy office, Director General and other senior decision-makers in the Ministry.
	7.6	Draft legislation submitted to Shura Council and Minister for Parliamentary Affairs for approval			Council of Ministers/PM office
	7.7	Draft legislation introduced to Parliament <u>and Parliamentary sub-committees</u>			Minister etc, <u>Parliamentary sub-committees</u>
	7.89	Draft legislation undergoes legislative and executive processes to become law			Parliament, executive
	7.910	Legislation implemented according to implementation plan including necessary administrative changes and information.			Ministry and internal and external implementation partners
8. Evaluation					
	8.1	Evaluate the <u>impact results</u> of the policy	Up to 3 months	1 to 2 years	Policy office and technical staff in conjunction with stakeholders.
	8.2	Report on results <u>of evaluation</u> to Minister, Council of Ministers <u>etc</u>			Policy office, Director General and other senior decision-makers in the Ministry.
	8.3	Communicate results <u>of the evaluation</u> to the stakeholders			Minister and Ministry staff
	8.4	Based on results <u>of evaluation study</u> and feedback from Ministers and stakeholders, consider and recommend future policy directions.			Policy officer, stakeholders, minister etc- as for 1.1 Issue proposed