APPENDIX A
THE POLICY DEVELOPMENT PROCESS

The very term development may be taken to imply a neat, incremental, highly rational and structured approach. This is rarely the case. Nevertheless, we will treat the policy development process as a logical progression through six steps: problem definition, goal clarification, option generation, selection, implementation, and evaluation.

OVERVIEW

1. Problem Definition
   (a) problem recognition
   (b) situation analysis
   (c) problem definition
   (d) priority determination

2. Value and Goal Clarification
   (a) consideration of values and goals
   (b) clarify normative foundation
   (c) describe desired results
   (d) develop criteria and indicators

3. Option Generation
   (a) focus on goals
   (b) develop alternatives
   (c) think broadly and outside of established norms.

4. Selection
   (a) use tools to evaluate alternatives
   (b) understand potential impacts
   (c) consider, debate alternatives
   (d) compromise, make tradeoffs, bargain
   (f) decide/recommend
   (g) close the loop

5. Implementation
   (a) understand success factors
   (b) assess capacity
   (c) assign responsibility
   (d) choose instruments
   (e) align
   (f) transfer
6. Evaluation
   (a) monitor/obtain feedback
   (b) compare actual and desired results
   (c) learn
   (d) modify as necessary

POLICY DEVELOPMENT PROCESS

The following is an expanded discussion of each of the six steps in the policy development process.

1. Problem Definition

a) Problem recognition or identification
   • policy development system as an early warning device
   • preliminary definition

b) Situation analysis
   • What is going on?
     – facts, data, information
     – views, perspectives
   • What circumstances surround the issue?
   • See the big picture:
     – look through the right end of the telescope.
   • Assess the situation with regard to risk or perceived risk, technical complexity,
     jurisdiction, nature of conflict, level of conflict, sector scope and interests, geographic
     boundaries, financial implications, media interest, ongoing public consultations, and
     social and economic inclusion.
   • Do we seek help from the policy community?

c) Problem definition
   • confirmation/modification
   • essence, progressive clarity
   • need to understand and include multiple perspectives
   • all stakeholders need to see their concerns expressed
   • “It is better to be approximately right than precisely wrong.”

d) Determine overall priority for this problem
   • action, no action, further information, watching
Opportunities for involvement of the policy community

Needs: Two-way information sharing — data, views, perspectives, and interests
Techniques: Meetings, publications, survey, open house, focus group, advisory committee

2. Value and Goal Clarification

a) Consider values and goals of stakeholders and society
   • multiple, conflicting, changing
   • held by all actors
   • Is there an overarching policy framework or platform to inform and provide context?

b) Clarify the normative foundation
   • understanding societal values that must be considered and reflected in the policy and/or respected in the policy process
   • Are there stated values to help guide our thinking?

c) Describe the desired results
   • be clear about ends and means
   • What do we want it to look like when we are successful?

d) Establish criteria and indicators
   • must be developed now if monitoring is intended and evaluation to be meaningful
   – criterion: a standard (measure) by which the accuracy, quality or result of something is judged
   • indicator: shows the extent to which a criterion is being met

Opportunities for involvement of the policy community

Needs: Two-way information sharing — data, views, perspectives, and interests
Techniques: Meetings, publications, survey, open house, focus group, advisory committee

3. Option Generation

a) If we do not know where we are going, ideas about how to get there may be premature.

b) Formulation of alternatives
   • innovation and creativity
   • brainstorming
• research
• experience
• trial and error

c) Thinking outside the box
• beyond the existing policy paradigm.

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<th>Opportunities for involvement of the policy community</th>
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<td><strong>Needs:</strong> Ideas, possibilities, innovation and creativity</td>
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<td><strong>Techniques:</strong> Meetings, publications, advisory committee, workshop, search conference and open space</td>
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4. **Selection**

a) *Use tools to evaluate alternatives*
• cost/benefit analysis
• social impact assessment
• environmental impact assessment

b) *Understand potential impacts*
• develop comparative data on pros and cons, stakeholder views, likely impacts.
• determine public interest, assess societal values, effectiveness and efficiency, social and economic inclusion

c) *Consider/debate alternatives*
• compromise, tradeoff, bargain
• interest instead of positions
• understand stakeholder needs
• consensus-building and collaboration

d) *Close the loop with stakeholders*, especially if their views and interests could not be accommodated.
Opportunities for involvement of the policy community

**Needs:** Information, views, perspectives and priorities

**Techniques:** Meetings, publications, workshops, advisory committee, survey and focus groups

**Needs:** Analysis against criteria, determining priorities and making trade-offs

**Techniques:** Consensus process and interest-based negotiation

5. Implementation

a) Policy success is dependent upon a number of factors, including support from politicians, the bureaucracy, stakeholders and citizens; adequate funding; leadership and management; clarity of purpose and objectives; and efficient and effective administration.

b) *Assign responsibility for delivery.*

c) *Assess existing structure of organization for capacity.*

d) *Choose instruments:*
   - economic incentives and disincentives
   - legislation regulation guidelines
   - program project
   - public enterprise
   - partnerships code of practice voluntary compliance.

e) *Ensure alignment with existing legislative and policy context.*

f) *Transfer responsibility to operational staff* through workshops, guidelines, posting FAQs and case studies on web sites, visits to field by policy staff.

Opportunities for involvement of the policy community

These are generally more limited than opportunities at other stages of public policy. However, it should be noted that this is changing as current devolution and decentralization trends continue.
6. Evaluation

a) Monitoring/feedback
   • develop criteria and indicators in agenda setting and goal clarification
   • develop capacity to identify changing conditions
   • know key factors and variables
   • be prepared for unanticipated consequences.

b) Comparison of actual results with desired results
   • What range of outcomes is acceptable?
   • What will we do if ... (contingency plan in place?)

c) Learning
   • continuous feedback
   • critical for adaptive behaviours
   • double-loop learning, which questions basic underlying assumptions

d) Willingness and ability to modify policy as necessary.

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<td>Needs: Data collection, assessment against criteria and shared learning</td>
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<td>Techniques: Committees, workshops and survey</td>
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