

Session 3

The Policy Development Process

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| Purpose Review several policy development frameworks and the basic steps to develop a policy, and highlight which advocacy activities to use during the steps in the policy development process. | |
| Objectives By the end of this session, participants will: <ul style="list-style-type: none">• Describe common elements of the policy development process after reviewing several policy development frameworks• Agree on a set of steps for a generic policy development process based on reviewed examples• Describe the types of advocacy activities that occur during the steps in the policy development process Total time: ~1 hour | Session Preparations Materials Needed: <ul style="list-style-type: none">• Session3_PolicyDevProcess_PowerPoint file• Handouts:<ul style="list-style-type: none">- Other examples of the policy development process (create handouts of examples or insert/replace slides 3-6 in presentation)- Policy Development Process/Cycle• Preprinted cards—Advocacy Activities during the Policy Development Process (at end of this file)• Blank index cards or Post-it Notes• Prepared flip chart:<ul style="list-style-type: none">- Policy Development Process (draw cycle diagram as appears on slide 13)• Flip chart paper and markers Set-Up: <ul style="list-style-type: none">• Small groups at tables (four to five groups/tables) |

Policy Development Process Overview—40 minutes

1. Use the speaker notes, questions, and probes provided to encourage participant interaction during the session.

Show slide 1.

Explain: **To be an effective advocate, you need to understand the opportunities that exist for influencing the development of policy. This session reviews the common elements of a policy development process.**



2. Show slide 2 (title only).

Say: Before beginning, let's review a few definitions.

Advance the slide to reveal one definition at a time.

Say: Earlier we defined *policy* as shown here.

A *policymaker* is a member of a decision-making body responsible for policy change. A policymaker is always a person and may be a part of a leadership council of an institution, an advisory board, a chief executive officer (CEO), or a member of Parliament, for example.

Policymaking is the course of action for dealing with a problem or a matter of concern. It is the process of turning a political vision into programs and solutions. Another term for policymaking is policy development.

In this session, we will focus on the process of policymaking.

Definitions

- **Policy**—a law, rule, regulation, or a set of guidelines, procedures, or norms from a higher-level authority to guide a course of action
- **Policymaker**—a member of a government department, legislature, or other organization responsible for policy change
- **Policymaking**—a course of action dealing with a problem or matter of concern

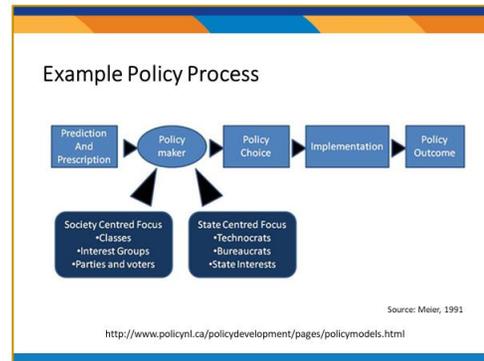
3. Show slide 3.

Note: If local examples of a policymaking process are available, replace these models with appropriate local examples. Alternatively, with some advance work, you may have participants provide these examples. Do not spend a great deal of time describing the details of each process; instead, explain that there are many examples of the process that share common elements.

Explain: Each policymaking body has a different process by which policies are formulated and approved. This process is called the policy development process. Let's go through a few examples.

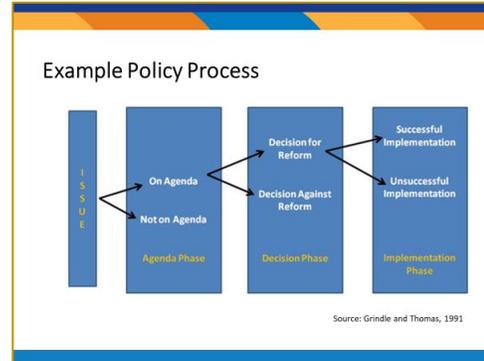
Advance the slide to reveal the first model/diagram.

Say: In this model, suggestions about policy change are given to a policymaker, who decides about the options. These are implemented and lead to a policy outcome. The focus here is on policymakers and how they go through the decision-making process.



4. Show slide 4.

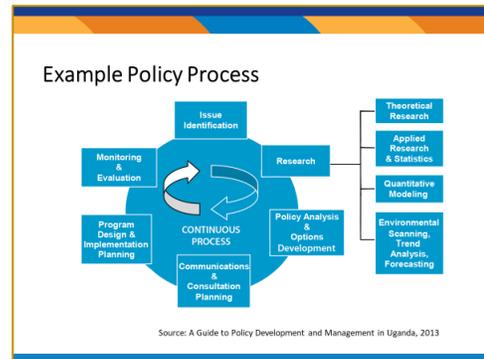
Say: This is another example, where the key elements are the stages and the decision to move forward or to halt the policy. At each “stage” a decision can be made *for* or *against* the policy.



5. Show slide 5.

Say: This example is specific to the government of Uganda and places emphasis on research. Different types of research are conducted after the issue is identified, and results feed into policy analysis and options development.

Let’s look at the common elements across these models.



6. Show slide 6.

Read each step to the group.

Say: The common elements in most policy development processes fall into these six steps. Let’s review these steps in more detail.

- ### Generic Steps in the Policy Development Process
1. Problem Identification
 2. Policy Formulation
 3. Placement on the Policy Agenda
 4. Adoption of Policy Change
 5. Policy Implementation
 6. Outcome Monitoring and Evaluation
- Adapted from: AJMC Primer on Population Health, 2013.

7. Show slide 7.

Say: Problem identification is the first step; a problem or issue must be clearly identified and articulated.

Ask participants: What are some ways that a problem can be identified?

Solicit ideas from the participants. Probe for: through data review, observation, or analysis of a previous policy and realizing the policy did not achieve its intended purpose.

Advance the slide to reveal the bullets.

Explain: After articulating the issue, decide if the issue requires a policy solution. A policy solution addresses a problem through a policy

Policy Development Process—Step 1 Problem Identification

- Articulate the issue
- Determine if the problem requires a policy solution

| Examples of Identified Issues | Is a Policy Action Needed? |
|---|---|
| Youth are the most vulnerable, but no data on HIV risk behavior, prevention, and access to HIV counseling and testing | Yes (to ensure that needed data are collected) |
| A private clinic that provides critical HIV services to key populations is about to close due to lack of funds, leaving hundreds without care | No (fundraising is needed to reopen clinic or government facilities must prepare to fill the gap) |
| Workers with HIV are fired or discriminated against in the workplace | Yes |

Adapted from: A2 Advocacy Training Manual, Analysis and Advocacy (A2) Project, 2007.

change. Not all issues are best resolved through a policy solution.

Advance the slide to reveal the *first* example.

Ask participants: **Is this a problem that can be fixed with a policy solution?** Probe for: yes (to ensure that needed data are collected).

Note: Keep the series of questions and answers brief—do not belabor the details of the examples.

Advance the slide to reveal the *second* example.

Ask participants: **Is this a problem that can be fixed with a policy solution?** Probe for: no (fundraising is needed or government facilities must prepare to address the gap by training/hiring staff; acquiring commodities; sharing information, education, and communication (IEC) materials about alternative options with key population (KP) members who frequent the clinic).

Note: Participants may say that a policy change is needed here to request government funding. While a policy change may help allocate funds, there are also other ways to address this issue as this is a private clinic.

Advance the slide to reveal the *third* example.

Ask participants: **Is this a problem that can be fixed with a policy solution?** Probe for: yes (a policy change is needed).

Note: Participants may give examples of how policy change is or is not needed in each of these cases. Explain that often there are multiple solutions to each problem, and most problems may require both a policy change and another strategy, such as a behavior change communication program, to reach a given goal. These examples look at what type of change will have the greatest impact on the identified issue.

8. Show slide 8.

Say: The next step is policy formulation, which involves developing and considering or evaluating potential policy options to address the identified problem. This step is about selecting a policy solution.

Advance the slide to reveal the example.

Note: If you want to include additional examples, use the “hidden” slides included at the end of this presentation.

Say: Let’s continue with the example of the fired workers with HIV from the previous slide.

Ask: What policy action might be useful in this case? Accept suggestions from one or two participants.

Advance the slide to reveal some possible policy actions.

Say: Often there are several policy solutions to address a problem. After potential solutions are identified, decision-makers evaluate the solutions to select the most appropriate one. There is no standard set of criteria that can be used to evaluate every policy solution. Generally, policymakers balance many priorities when evaluating potential policy solutions, including monetary constraints, available evidence for each solution, will for change, and stakeholder or constituent opinions regarding policies, personal beliefs, and more. Policymakers also rely on available evidence, policy papers, and the opinions of trusted advisors to evaluate solutions.

9. Show slide 9.

Say: The next step is to place the issue on the policy agenda. Due to limited time and resources, decision-makers cannot address all problems or may be sidetracked by emergency issues such as natural disasters or civil unrest. A decision-maker needs to determine which problems are worth the time and attention, which is done by placing an issue on the policy agenda.

Policy Development Process—Step 2

Policy Formulation

- Determine potential solutions
- Evaluate solutions to select the most appropriate

| Examples of Identified Issues | Is a Policy Action Needed? | Types of Policy Actions to Be Considered |
|--|----------------------------|--|
| Workers with HIV are fired or discriminated against in the workplace | Yes | <ul style="list-style-type: none"> Businesses can consider anti-discriminatory workplace policies Labor ministry can implement a system to regularly collect data on discrimination against people living with HIV or AIDS (PLWHA) |

Policy Development Process—Step 3

Placement on the Policy Agenda

| Examples of Identified Issues | Is a Policy Action Needed? | Types of Policy Actions to Be Considered | Decision-makers and Agenda Items |
|--|----------------------------|--|--|
| Workers with HIV are fired or discriminated against in the workplace | Yes | <ul style="list-style-type: none"> Businesses can consider anti-discriminatory workplace policies Labor ministry can set up a system to regularly collect data on discrimination against PLWHA | <ul style="list-style-type: none"> Board of directors for in-country company appoints a working group to review workplace policies and develop a report with recommendations by the next board meeting Ministry of Labor task force on discrimination adds item to annual budgetary meeting agenda |

Sometimes gaining the interest of policymakers to address an issue can become a challenge within itself and may require advocacy.

Advance the slide to reveal the possible examples.

Review the examples with the participants.

Say: Notice that the examples list the type of decision-maker to consider the agenda item and the type of meeting or gathering where the topic may be considered or discussed.

10. Show slide 10.

Say: Adopting a policy change is when the decision-maker or decision-making body who considered the policy as a part of their agenda formally approves the policy through the established decision-making process of the organization.

Advance the slide to reveal the example.

Review the example with the participants.

Say: The Board of Directors reviewed the recommendations from the working group and put in place the antidiscrimination program recommended by the working group.

In some cases, policies are NOT adopted. In these instances, the process starts over. To move to the final steps in the cycle, the suggested policy change must be adopted.

11. Show slide 11.

Say: Often, the body that implements a policy is not the same one that decides the policy should be implemented. In the workplace example, the Board of Directors determined that there should be an antidiscrimination program, but the human resources department will implement this decision. Putting a policy into action requires the implementer to interpret the policy's language. Interpretation will influence how a policy is implemented, which may change the outcome.

Policy Development Process—Step 4
Adoption of Policy Change

- Formal acceptance of the policy by the decision-maker or decision-making body

| Examples of Identified Issues | Types of Policy Actions to Be Considered | Decision-makers and Agenda Items | Policy Adoption |
|--|--|---|--|
| Workers with HIV are fired or discriminated against in the workplace | Businesses can consider anti-discriminatory workplace policies | Board of directors for in-country company appoints a working group to review workplace policies | Board of directors reviews recommendations from the working group and puts in place an anti-discrimination program |

Policy Development Process—Step 5
Policy Implementation

- The policy change decision is put into effect.
- The policy may or may not be implemented by the decision-maker/decision-making body.
- The body that implements the policy may also interpret the language in the policy.

12. Show slide 12.

Explain: Often policies cause unintended consequences or benefits. In this example, an unintended benefit might be that employees feel more empowered to address and report workplace harassment.

At the end of an advocacy process, it is important to evaluate the outcome to see if the original goal was achieved. In our example, an outcome assessment could include a six-month, one-year, and three-year evaluation to examine whether discrimination has decreased in the workplace or not—and if not, why not.

Ask: Using our example of the antidiscrimination program, what are some items that a process assessment might uncover?

Probe for: A process assessment might review whether copies of the antidiscrimination policy are provided to new hires, whether they are displayed in the workplace, and/or whether they are included as part of annual human resources policy reviews. An outcome assessment might examine how the policy has been enforced.

Sometimes the feedback received during the monitoring and evaluation process causes the process to restart, which is why this is called a policy cycle.

Policy Development Process—Step 6
Outcome Monitoring and Evaluation

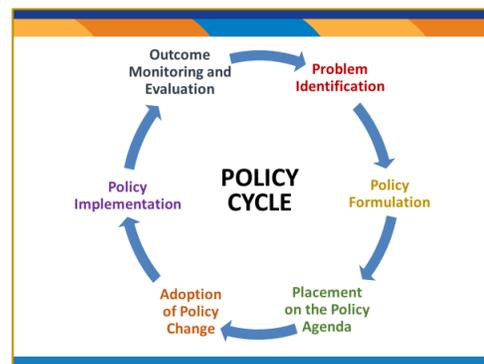
- Process and outcome assessments and evaluations
 - To ensure the policy has been properly implemented
 - To determine whether the desired outcomes were achieved

13. Show slide 13 (optional).

Note: Some participants may wish to review another example of the policy development process. This slide used together with the handout, provides a relevant example of the policy process/cycle. The case in the handout is hypothetical; it is recommended that a real-life, local case be used if another example is needed.

Say: Here is a simple diagram of the policy development process/cycle. Let's review another case, step by step.

Distribute copies of the Policy Development Process/Cycle handout to the group.



Review the information provided in the handout for each step of the cycle. Point out each step of the cycle in the diagram on the flip chart or slide:

- Problem identification
- Policy formulation
- Placement on the policy agenda
- Adoption of policy change
- Policy implementation
- Outcome monitoring and evaluation

Ask the group if there are any questions.

Activity—20 minutes

14. Show slide 14.

Say: **There are many potential barriers within the policy cycle where advocacy may be needed to move an issue to the next stage.**

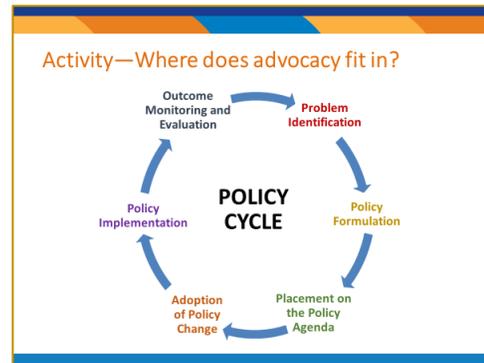
Let’s examine the policy cycle again and consider the many places where stakeholders can be involved in the policy development process through advocacy.

Post the prepared flip chart of the policy development cycle on the wall.

Distribute markers and prepared cards (see end of this session) to each table/small group (four or five depending on the number of tables in the room). Each table should have multiple prepared index cards (one activity printed on each card) as well as several blank index cards or Post-it Notes. A photo showing the typical results of this activity is included at the end of this session plan.

Explain: **As a group, decide where the activity printed on your cards falls within the cycle. Each group has multiple preprinted cards to discuss. If there are other advocacy activities that you want to include in the policy development process, or if you think that the activity on one of your preprinted cards occurs in several places in the policy cycle, write those activities on one of the blank cards.**

As your group decides where to place your advocacy activities, select a spokesperson from your group to present your decisions to the



larger group and describe the rationale for your decisions.

Allow the groups 10 minutes for discussion and to place their cards on the policy development process flip chart at the front of the room. Give periodic updates about the amount of time remaining.

Circulate among the groups to answer questions. Once all the cards have been placed, ask each group to briefly explain their card placement and which activities were most difficult to place.

Encourage participants to ask questions and provide feedback as each group presents its cards. If presenters do not provide details about their rationale or participants do not ask questions, initiate discussion by asking these questions:

- Are there other steps in the process where that activity might also be a useful tactic? Why?
- Are there steps in the process where this activity might be more effective—or less effective? Why?

If there is discussion or confusion about where a specific activity falls, point out that many activities can occur at multiple steps in the process and that disagreement is okay. In many instances, there are several steps in the process where a specific advocacy activity can be effective.

Here is an “answer key” for the suggested placement of activities:

- *Problem Identification to Policy Formulation*—policy analysis, letter writing, lobbying, writing a briefing note, public awareness campaign, data collection and analysis, cost effectiveness modeling, conducting research and developing a peer-reviewed journal article, developing a policy brief
- *Policy Formulation to Placement on the Policy Agenda*—policy analysis, lobbying, face-to-face meetings, share policy briefs, press conference
- *Placement on Policy Agenda to Adoption of Policy Change*—lobbying, meeting with decision-makers, demonstrations, study tours, press conference
- *Adoption of Policy Change to Policy Implementation*—face-to-face meetings, meeting with implementers, policy monitoring and tracking
- *Policy Implementation to Outcome Monitoring and Evaluation*—writing a policy brief, outcome

evaluations, cost-benefit analysis, policy analysis, policy monitoring

- *Outcome Monitoring and Evaluation to Problem Identification*—writing a policy brief, policy analysis, press conference, cost effectiveness evaluations, modeling, lobbying

Ensure that by the end of the presentation, advocacy activities are depicted throughout the cycle—not skewed toward the *Placement on the Policy Agenda to Adoption of Policy Change* step, which is where participants may tend to focus.

15. Show slide 15.

To summarize, say: **As you can see, advocacy occurs throughout the policy development cycle. To plan your advocacy strategy effectively, you must know:**

- The process by which policies are made for the issue on which you are focusing
- The timing of the steps; for example, are budgets reviewed at the same time each year, or are there specific meetings where current policies are reviewed and considered
- The steps where you as an advocate may be able to influence a decision-maker

Keep these in mind as we work through the steps to develop your advocacy strategy in the upcoming sessions.

Wrap-Up

16. Show slide 16.

Conclude the session by reviewing the learning objectives, summarizing the key concepts and definitions, and clarifying any participant questions.

Remember:

Advocacy occurs throughout the policy cycle.

For advocacy to be effective, you must:

- Know the policy process
- Know the timing
- Know where you can influence

Learning Objectives—Session 3

- Describe common elements of the policy development process after reviewing several policy development frameworks
- Agree on a set of steps for a generic policy development process based on reviewed examples
- Describe the types of advocacy activities that occur during the steps in the policy development process

Examples of a typical flip chart created during the Advocacy Activities/Policy Cycle group activity

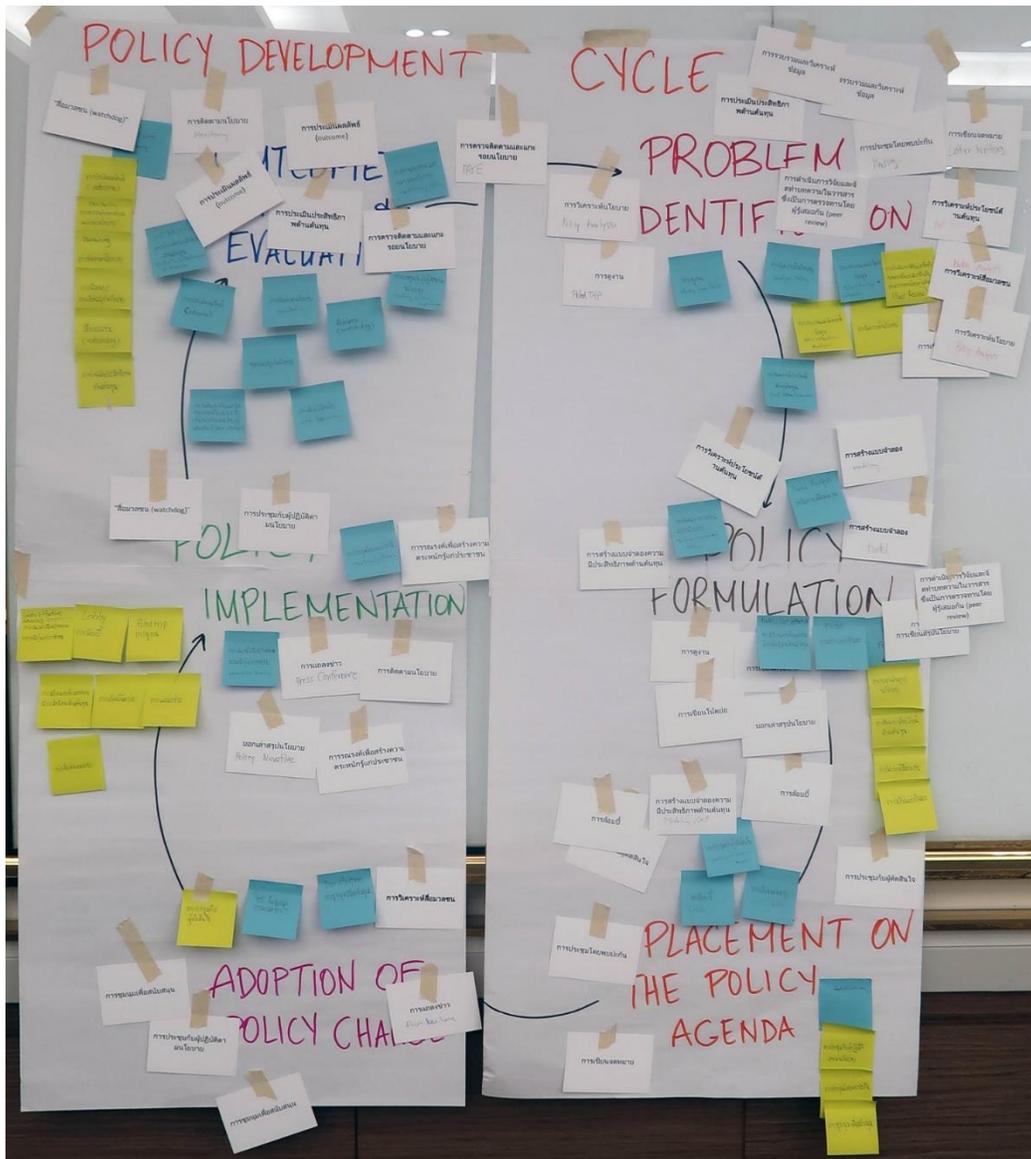
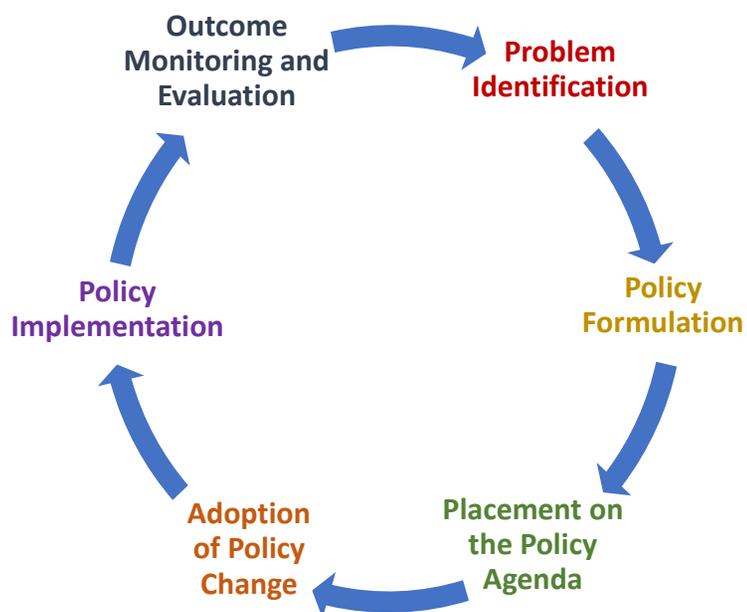


Photo Credit: Amita Mehrotra (FHI 360)



Photo Credit: Trinity Zan (FHI 360)

Policy Development Process/Cycle



| Stage of Cycle | Case Example of Potential Activities in This Stage |
|--|---|
| Problem Identification | <ul style="list-style-type: none"> - KP-led NGO XYZ reviews HIV testing data from a province with high KP HIV prevalence and sees that testing uptake is limited as compared to the population size and prevalence estimates. - Focus groups are conducted and additional data are collected to better understand low uptake of testing. - The issue identified is that KP members would feel more comfortable having testing conducted by other KP individuals. |
| Policy Formulation | <ul style="list-style-type: none"> - The NGO conducts extensive consultation with community members, clinics, local medical associations, medical technologists, etc. - Policy change proposed: National guidelines for HIV testing should be revised to allow NGO workers, instead of medical technologists, to conduct HIV testing. |
| Placement on Policy Agenda | <ul style="list-style-type: none"> - National guidelines are overseen by the HIV testing technical working group (TWG), which meets four times a year. For the policy to be reviewed, the group requires results of a pilot test demonstrating that NGO workers can meet the same rigorous testing standards as medical technologists. - Pilot study is completed and the HIV testing TWG agrees to review outcomes of study at the third-quarter meeting that year. |
| Adoption of Policy Change | <ul style="list-style-type: none"> - After reviewing the data, the HIV testing TWG agrees to recommend revision of national guidelines; the new guidelines will need to be approved by the national HIV committee. - After numerous conversations, an ad campaign, and technical briefs shared by a coalition of NGOs led by NGO XYZ, the national HIV committee agrees to include the recommendations in the national guidelines. |
| Policy Implementation | <ul style="list-style-type: none"> - The new guidelines are written by the national HIV committee and distributed to local NGOs. The guidelines require specific training to be undertaken by NGO workers to provide testing. |
| Outcome Monitoring and Evaluation | <ul style="list-style-type: none"> - After two years of the new HIV guidelines, NGO XYZ sees a slight change in uptake of HIV testing but struggles to have staff complete the training. This is because there are limited training opportunities but a high demand to attend the training. - NGO XYZ recommends to the national HIV committee that additional trainings be added to train more NGO workers. - This starts the cycle over again. |

Session 3. Activity Cards

Advocacy Activities during the Policy Development Process

The following pages contain the “cards” for the activity. Follow the instructions below to create the cards (or create your own by handwriting the terms on blank cards).

- 1- Print each sheet single-sided on heavy paper.
- 2- Cut each sheet along the dotted lines as indicated.

If these cards are translated into the training participants’ language, include both the translated and English terms on the card to make it easier for an English-speaking facilitator to process the activity.

Conducting a
policy analysis

Writing letters

Lobbying

Writing a
briefing note

Implementing a public awareness campaign

Collecting and analyzing data

Conducting cost-effectiveness modeling

Conducting research and developing a peer-reviewed journal article

Developing/writing
a policy brief

Holding face-to-face
meetings

Sharing policy briefs

Holding a press
conference

Meeting with
decision-makers

Conducting
demonstrations

Conducting
study tours

Meeting with
implementers

Conducting policy
monitoring
and tracking

Conducting
outcome
evaluations

Conducting a
cost-benefit
analysis

Conducting
policy monitoring

Conducting
cost-effectiveness
evaluations

Modeling