

UNITED ARAB EMIRATES  
MINISTRY OF CABINET AFFAIRS  
PRIME MINISTER'S OFFICE



الإمارات العربية المتحدة  
وزارة شؤون مجلس الوزراء  
مكتب رئاسة مجلس الوزراء

# Policy Manual

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This manual can serve as a guide for anyone in the public sector on how to develop a policy. It is specifically addressed to policy development teams working within the Federal Government Entities (FGEs) of the United Arab Emirates (UAE).

It is based on the premise that leaders and managers of public organizations should develop and enact effective policies so that they can help fulfill the Vision and Federal Government

Strategy of the UAE, satisfy their organizations' stakeholders and provide better public services in the future.

Each chapter will be organized in a similar manner; beginning with its purpose and definitions of some key terms, followed by the content including a case example where appropriate, and ending with a list of key learnings.

The content belonging to each step of the Policy Development Cycle will be clearly outlined

Key definitions are provided in the beginning of each chapter

## Policy Preparation

This chapter points out the reasons for policy preparation, describes its role in the policy making process and highlights its essential characteristics. It also sets out the steps in policy preparation and gives worked examples of the challenges needed to be addressed. It does so by answering the following questions:

- What part does Policy Preparation play in the overall policy development process?
- What are the main characteristics of the Policy Preparation Phase?
- What are the key steps in Policy Preparation?
- What are the key learnings?

The definitions of some of the key terms used in this chapter are outlined below:

- **Policies** are a definite course or method of action selected from among alternatives to guide and determine present and future decisions

- **Policy development teams:** are responsible for monitoring the need for, assessing and defining the policies pursued by the government
- **Stakeholder:** individual or entity who can affect or is affected by the policy development.
- **Stakeholder Management:** is the systematic identification, analysis and planning of actions to communicate to, influence and manage stakeholders.
- **Logic Tree:** a tool used in solving problems, in which a problem (in the form of a question) is broken down into sub-questions which represent potential solutions to the problem. Each sub-question can be potentially broken down again into sub-questions. It is important to note that questions and sub-questions should not be overlapping, but be hierarchical (i.e. potentially solving the "predecessor"-question)

#### 1.4 What are the key learnings?

No.	Key Learnings	✓
1	Have we broken down the issue using either the SW-1H or PESTLE approaches?	<input type="checkbox"/>
2	Have we determined all information needed and the time required to do so?	<input type="checkbox"/>
3	Have we decided on the potential actions required to address the issue?	<input type="checkbox"/>
4	Have we considered the question: "What if we do nothing?"	<input type="checkbox"/>
5	Have we proposed the necessary actions to the Minister / Director General via a Policy Preparation Findings template?	<input type="checkbox"/>

At the end of each chapter, a key learnings list will be provided to ensure that all the steps outlined have been taken

Users of this manual must be mindful that the field of policy making is a vast and complex field that has been studied for centuries. This has led to the development of varying schools of thought and numerous methodologies for developing policies. Therefore, this manual aims to provide the user with the methodology found

to be most suitable for developing policies for the UAE, to unify the terminologies and approaches used within the UAE government, to enhance the capabilities of governmental entities, as well as to encourage innovations and creativity in developing policies for the UAE.

Introduction	Introducing Policy
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This chapter provides some vital introductory references in the context of policy making. It does so by defining policies and how they should be designed and delivered, discussing the importance of policy making, differentiation between policies and laws and defining the characteristics of successful policy making.

Furthermore, this chapter also delves into the potential sources for policy needs, the types of stakeholders that can influence policy decisions, as well as provide a short overview of the three stages of the policy development process - each of which is further elaborated in subsequent chapters in this manual.

All of these topics are covered by addressing the below series of questions:

- What are policies and how should they be designed and delivered?
- Why is policy making important?
- What is the difference between policy and law?

- What are the different types of policy needs?
- What are the characteristics of successful policies?
- What does the policy development process look like?

The definitions of some of the key terms used in this chapter are outlined below:

- **Policies** are a definite course or method of action selected from among alternatives to guide and determine present and future decisions
- **Policy development teams** are responsible for monitoring the need for, assessing and defining the policies pursued by the government
- **Strategy** is the method chosen by an organization to identify and reach specific goals. Strategy is a declaration of how the organization will go about accomplishing its mandate.

## What are policies and how should they be designed and delivered?

The term 'policy' is generally taken to have two meanings.

- It can represent the choices made at the top of the government or its federal entities, which consequently drive the direction, priorities, values and goals of the government
- It represents the choices and assumptions made in order to keep operations simple and consistent, e.g. the creation of procurement policies and procedures manuals.

**This document focuses on the former use of the word, i.e. in making the key choices for the future, not the establishment of procedures.**

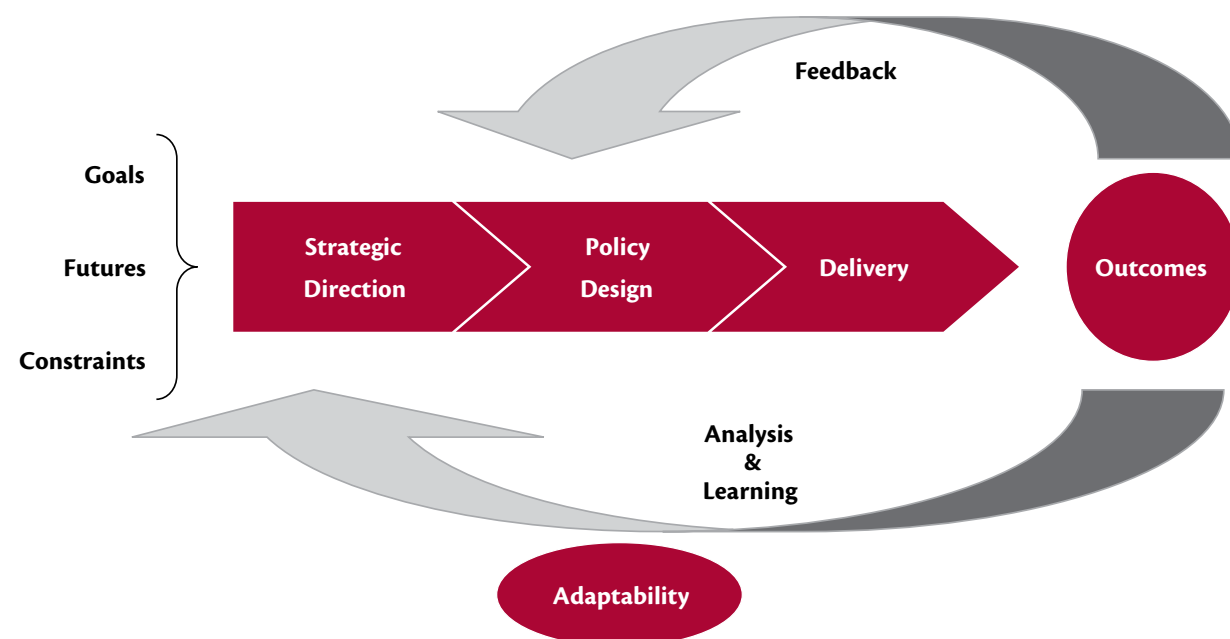
Given this definition, it is critical to note that policy decisions made by FGEs must take into account the strategic direction of the UAE federal government (i.e. Vision 2021 and Federal Government Strategy), as well as be aligned with

the mandate, strategy, and long term objectives of the entity itself.

In addition to being aligned with the strategic direction of the federal government and the entity, policies must also be designed and delivered with specific outcomes in mind (e.g. health policies aimed at increasing life expectancy or education policies aimed at enhancing the levels of literacy)

Furthermore, the implementation of policies needs to include robust mechanisms and defined review processes to gather feedback and learnings so that they can be used to adapt the policy as needed - or even refine the strategic direction if needed.

The below visual illustrates the concept described above:



## Why is policy making important?

The development of policies is critical to future planning and should be done in a proactive, constant manner in order to adapt for the constantly evolving global environment in which we live. Some examples of changes in the global environment that need to be addressed via sound and well thought out policies are:

- Rising food prices
- Climate change
- Obesity
- Global Agreements

These developments influence many sectors, for example:

- Economy
- Energy
- Agriculture
- Environment
- Education
- Healthcare

By studying the implications of the developments on the country's sectors, the government can make important choices about the direction in which the country will go (e.g. requirements for infrastructure development or long term stability of food supplies). In each sector the government has a duty to study the challenge(s) ahead, make informed choices and document these choices in a way that enables long term goals and objectives to be charted.

Governments can directly and decisively change the environment, the supply framework or the demand side of the equation in any sector by organizing its policies and regulatory processes. For example, by enacting a policy or series of policies that make healthcare services more easily accessible, a Ministry of Health would directly influence demand and indirectly influence supply side dynamics. Similarly a Ministry of Economy could introduce policies that would make it easier for foreign investors to set up and operate enterprises, thereby leading to an influx of foreign investments and in turn increased demand for services.

**For example:** In an Asian country, there is due to be disproportionate increase in the young adult population. Existing statistics strongly indicate that the parts of the population most likely to grow are those with a higher disposable income. With this particular part of population growing, the policy development team needs to consider the long term consequences of such a growth in population:

- Such a change in population will affect the distribution and priorities. Can the healthcare system deliver the changes in capacity where it is needed (the largest share of the population will be seeking better emergency services, better primary care and prevention, shorter length of stay in hospital)?
- Will the education system be able to provide the quality of education with the level of accountability demanded by this emerging population?
- Can the transport sector accommodate the considerably higher volumes of both people and goods on specific routes, whilst lowering the road traffic accident rate and lost hours due to traffic congestion?
- Will the water and energy sector be able to deliver the energy, clean air, water and waste management needed to come in line with international environmental targets?

After considering these consequences and introducing appropriate policies accordingly, a policy development team knows it has engaged in sound policy making if the policies result in:

- Improved healthcare systems resulting in better treatment, prevention and shorter length of stay in hospitals
- Enhanced educational systems accommodating increasing population in a sustainable manner while keeping or even improving the quality of teaching
- Improved road infrastructure with capacity increase lowering traffic congestion and lowering accidents rates
- Sustainable environmental targets implemented across all sectors, but primarily focusing on the Energy and Water sector

Therefore policy making is the essential tool to influence and control the future developments of a country.

## What is the difference between policy and law?

One common area of misunderstanding and misinterpretation is the difference between policy and law. It is important to note that a policy outlines what a government entity hopes to achieve and the methods and principles it will use to achieve them. A policy document is not a law, but it will often identify new laws which serve as tools needed to achieve the policy goals.

A law on the other hand sets out standards, procedures and principles that must be followed and enables the government to put in place the necessary institutional and legal frameworks to achieve its aims, but cannot solely achieve the outcome of a policy. Laws must be guided by current government policy. Additionally, if laws are not followed, those responsible for breaking them can be prosecuted in court.



# What are the types of policy needs?

In order to understand the reasons for engaging in a policy development exercise, it is important to look at the various types of policy needs:

Government always experiences the need for policy development or policy review in one of three ways:

Window of Policy	Experienced as	Examples
<b>Urgent, short term</b> (Change needed in < 1 year)	<ul style="list-style-type: none"><li>■ Event, unexpected, of serious consequence, usually causing public outrage</li><li>■ Requiring immediate and necessary decisions.</li></ul>	<ul style="list-style-type: none"><li>■ Natural disasters, e.g. pandemics</li><li>■ Labour law infringement e.g. payment to construction workers</li></ul>
<b>Medium term</b> (Change within 1 to 3 years)	<ul style="list-style-type: none"><li>■ The need to modernize or evolve existing plans and policies, alignment with best practice.</li></ul>	<ul style="list-style-type: none"><li>■ A significant change in company law or labour law</li></ul>
<b>Long term</b> (Change > 3 years)	<ul style="list-style-type: none"><li>■ The need to plan ahead to ensure that future populations have access to housing, education, etc and to ensure the standards are in place to meet emerging needs.</li><li>■ Health Planning, Education Infrastructure Planning.</li></ul>	<ul style="list-style-type: none"><li>■ For hospitals, roads, human capital for the future, to contribute to environmental recovery, to build the right economy</li></ul>

Urgent issues are usually attached to an unexpected event that requires immediate decision-making to resolve such as pandemics and natural disasters. In this case, the first duty of a policy development team is to study the issue swiftly (but not hastily) and present the conclusions to the Minister / Undersecretary for decision-making purposes. If deemed necessary, the policy team will assure all relevant stakeholders through the appropriate communication channels that the issue is being studied and commit to keeping them informed of progress. Once a commitment is made by the Minister / Undersecretary to act upon the issue, the policy development team must initiate a policy development process to ensure that the commitment is met, and study the matter thoroughly to ensure that any possible medium or long-term consequences of the issue are considered and resolved.

When issues with medium term (1-3 years) urgency arise, a policy development team may not need to act as urgently or as decisively as in the case of urgent issues, however, the team would need to ensure that a policy development process is initiated in a reasonable time frame

and a preliminary case for refining an existing policy or developing a new policy is presented to the Minister /Undersecretary.

An example of a medium term policy need would be labor law reforms. Such an issue may not require immediate action but a policy development team would need to initiate a policy preparation process to study the issue further and ensure that appropriate remedial measures could be put in place within a 1-3 year time frame.

Similarly, when long term issues arise, a policy development process is initiated much like when dealing with medium term issues. However, the only difference is that policy decisions associated with long term issues need to be more mindful of consequences in the future (more than 3 years away). An example of such an issue might be the long term health risks associated with diabetes or childhood obesity. While both of these are valid concerns that need to start being tackled in the medium term, the adverse effects associated with these disorders will not likely to be felt for another 5-10 years.

# What are the characteristics of successful policies?

In addition to the need to maintain a long term view that is aligned with the federal and entity strategy, there are six additional characteristics

of successful policy making. These are illustrated in the below diagram:

<b>Evidence Based</b>	<b>Incorporation of intl. best practice</b>	<b>Validation of Assumptions</b>
<b>Incorporation of Stakeholder insights</b>	<b>Conduct an external review</b>	<b>Assessment of Costs and Benefits</b>

**Evidence Based:** One of the most important elements of policy making is basing policy decision on sound evidence (please refer to Appendix on Tools and Techniques for additional details on data gathering).

Each federal entity should routinely collect statistics to gather information regarding the following four areas:

- **Demand - The range, extent and volume of citizen needs**
- **Supply - The capacity and uptake of services**
- **Quality - The standards of services**
- **Prices - The value of the service in monetary terms**

It is important to note that although vast amounts of evidence may be collected, only some of the information collected is of genuine value.

**Incorporation of International Best Practices:** Another key characteristic of successful policy making is leveraging of international benchmarks from similar countries to see how...

- **They use information and data to govern**
- **They have tackled a similar issue(s)**
  - o the information and methods used
  - o the proposed solution
  - o evidence for success (if available)

Potential sources for international benchmarking information can be the internet, policy institutes or even other federal and local entities.

**Validation of Assumptions:** While assumptions often need to be made when utilizing evidence, it is beneficial to validate that the assumptions being made are in context. An example of putting things in context would be assessing whether a growth rate applied in another country is valid for the local environment. For example, while Singapore may forecast an x% increase in demand for chronic healthcare needs, x% may not be a valid growth rate for the UAE given a different population mix (i.e. ethnic, age distribution, etc.), population growth rate, etc.



**Incorporation of stakeholder Insights:** While the government is often the source of vital statistics regarding the country's population, it is possible to seek out any additional credible data and / or evidence that may be gathered by and available via a stakeholder. Specific stakeholders that often have access to credible information are aid agencies (e.g. UN, WHO, etc.), NGO's (e.g. Doctors Without Borders, etc.) or even the business sector. In addition, to provision of credible information, stakeholders may also be able to provide insight into possible approaches for tackling an issue.

**Conduct an External Review:** An external review can be used as a basis for further validation and

building credibility of a policy proposal. Such a review can be done by encouraging local and/or foreign experts or focus groups to present their evidence and experiences on issues which are on the long term horizon. Sponsoring regular external reviews can lead to a more solid policy.

**Assessment of costs of benefits:** It is important to measure initiatives that will be part of a policy based on the tradeoff between cost and benefits. While cost(s) vs. benefit(s) may not be the only driver for enacting a policy decision, engaging in this approach helps to develop sound basis for justifying a policy decision.

# Where does a policy need arise?

There can be varying origins for a policy need. While events, trends and even technological advances are often the source of a policy need, the need for a policy will typically manifest itself via an impact upon or change felt by stakeholder(s).

Each group of stakeholders varies considerably in the way in which it can inform and influence government policies. Therefore, different priorities and importance have to be considered with regards to the different stakeholders. Key stakeholders are:

- **Cabinet:** At the very top of the federal system is the Cabinet which may issue a directive (essentially a high level policy) which can affect more than one federal government entity.
- **FGEs:** At many times, the FGEs themselves feel the need for initiating a policy. They either raise a policy proposal to the Cabinet or proceed with a policy if it does not require Cabinet approval.
- **Local Government Entities:** Local governments may feel the need for initiating a specific policy that could be within the Federal Government's specialties, in which case they can raise a policy proposal to

the relevant FGE or directly to Cabinet to proceed with the requirements.

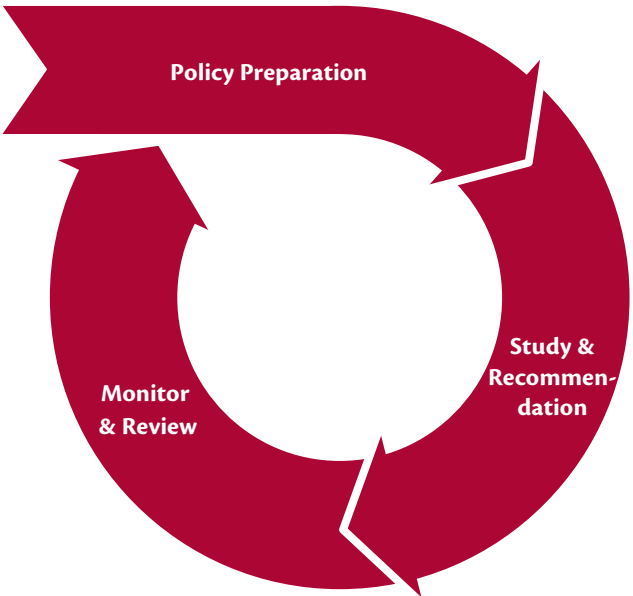
- **Public:** From time to time the public may express grave concern about an issue leading to strong public outcry and media coverage of the issue.
- **Businesses:** Businesses often highlight problems for the government as they feel that actions by the government can help solve the issue or will have a direct impact upon mitigation of risks associated with an issue.
- **Non Government Organisations (NGOs) and International Agencies:** While NGO's and international agencies primarily focus their attention on their ongoing mission, from time to time they will bring a serious issue to the governments attention.
- **Press and Media:** Often the press and media can play a direct role in highlighting policy needs by either writing about issues that may not otherwise be visible or providing an outlet for already contentious issues and thereby making them much more of a concern.

The figure overleaf highlights examples of how different stakeholders may influence a policy design:

Stakeholders	Examples
1 Cabinet, Ministers, Inter-departmental Projects, Legislative Process or other Government entities	■ A Cabinet decision to upgrade the environmental footprint which in turn affects other branches of government such as energy, transport, construction, waste management, education, justice
2 The Public	■ Strong public outcry over a combination of outdated laws or legal loopholes
3 Businesses	■ Evolving the taxation framework, trade free zones and incentives for the manufacturing sector in order to drive economic growth
4 NGO sector	■ The World Wildlife Fund driving the need for the country's carbon footprint to be reviewed heavily
5 International agencies	■ The harmonization of contract, company and humanitarian law with World Trade Organization policy
6 Press and media	■ Perceived slow action in the event of a natural disaster

# What does the policy development process look like?

Effective policy development requires a focus on long term outcomes, the inclusion of robust evidence, careful analysis and the commitment of stakeholders. For these and many other reasons, policy work is best undertaken based on systematic foundations organized within well-defined stages. The framework below outlines these phases and the remainder of this manual will aim at explaining each of the phases in more detail.



## First: Policy Preparation

The Policy Preparation phase is focused on the observation and analysis of new issues or current trends that may require the need to develop a policy response. The process of a policy preparation is done via analysis of the issue, assessment of the external environment and gathering of evidence.

By the end of this phase, the policy development team should have clearly defined desired objectives and outcomes, as well as a recommendation for Minister / Undersecretary as to whether the issue requires further analysis in the form of a policy appraisal or if the government should do nothing.

## Second: Study and Recommendation

The Study and Recommendation phase is conducted for those policy needs that have passed the Policy Preparation stage and have been approved by the Undersecretary / Minister to be further analyzed. This phase is divided into 3 sub-phases:

**Startup:** The Startup sub-phase is summed up of creating the project team, defining project goals, timeline, and desired outcomes, in addition to securing stakeholder support.

**Assessment and Appraisal:** The Assessment and Appraisal sub-phase is summed up of undertaking the analysis needed to incorporate learnings from current and existing policies that will guarantee achieving the desired outcomes, developing initiatives using the appropriate thinking tools, and the viability of identified initiatives is assessed via input from stakeholders and the development of a cost / benefit analysis. After that, outcome-based performance indicators for the initiatives are defined to ensure effective follow-up for policy implementation.

**Recommendation:** The Recommendation sub-phase is summed up of formulating a complete proposal package, beginning with the findings from the Policy Preparation phase and ending

with the final recommendation. The findings are summarized to be presented to the Minister / Undersecretary for approval, and a policy proposal is created should Cabinet request to view the policy.

## Third: Monitor and Review

The Monitor and Review phase is where the

policy development team hands over the policy to the relevant team for implementation. This is where effective policy oversight through measuring performance indicators and ongoing reviews takes place to ensure that the policy is delivering the desired outcomes without having any unintended adverse effects.

Chapter  
1

Policy Preparation

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- What part does Policy Preparation play in the overall policy development process?
- What are the main characteristics of the Policy Preparation Phase?
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- What are the key learnings?

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- **Logic Tree:** a tool used in solving problems, in which a problem (in the form of a question) is broken down into sub-questions which represent potential solutions to the problem. Each sub-question can be potentially broken down again into sub-questions. It is important to note that questions and sub-questions should not be overlapping, but be hierarchical (i.e. potentially solving the “predecessor”-question)

## 1.1 What part does Policy Preparation play in the overall policy process?

Policy preparation is the first of three crucial phases in policy making. The preparation phase serves the purpose of a filtering function; its role is to evaluate if an issue warrants further study prior to the development of a policy or if the government should do nothing. The policy preparation phase is rapid, completed in a few days (should not exceed one month), is entirely desk based, objective and yet responsive to the issues.

It is important to note that the vast majority of issues do not entail the need for a new or improved policy response. However, occasionally it is necessary to investigate a case and have a fully informed, rapid, balanced, and credible response ready. Therefore, the policy preparation phase recognizes this need for rapid response on the one hand and arranges sponsorship for the more serious, deeper and

complex issues to be allocated the time and resources needed in the policy appraisal phase on the other hand.

The major tasks of the policy development teams in this phase are:

- to study the issues
- to gather evidence
- to incorporate international best practice
- to define outcomes for the policy
- to respond to their Minister / Undersecretary rapidly

In the general case where a further study and recommendation phase is needed, the Minister / Undersecretary is provided a recommendation stating this need.

## 1.2 What are the main characteristics of the Policy Preparation Phase?

A policy development team should adhere to the vital characteristics of policy preparation:

- **Responsive and immediate:** It should be possible to give answers to urgent and important questions and a plan for response should be provided within days.
- **Desk based:** Policy preparation is purely desk based and requires the policy development team to gather data that already exists either from internal sources within the FGE, publications by other governmental and/or non-governmental institutions, data on the internet, industry publications and/or commercial databases to name but a few.
- **Pre-emptive:** The policy development team anticipates and is aware of issues that could

arise and is able to prepare the Minister / Undersecretary, or the federal government entity, for them.

- **Understanding of key stakeholders:** The policy development team must have a sense of the key stakeholders impacted by and/or interested in the policy issue, role and game plan of each stakeholder in the question, as well as in each one's potential answer.
- **Confidential:** It is important in this phase to keep the visibility of one's thinking processes away from the public eye. Analysis therefore is based upon existing, usually internal, resources, with information that can be routinely accessed.

### 1.3 What are the key steps in Policy Preparation?

After introducing the framework for a policy preparation, this section looks at how to follow

the steps of policy preparation. There are four basic steps in all policy preparation processes:



#### 1 Analyze the issue

In order to judge if the issue needs to be studied further via a study and recommendation, the issue first needs to be fully understood and analyzed. In order to fully understand an issue, the issue should be broken down into the vital questions which address the various subcomponents of the issue.

A recommended approach for structuring such an exercise is a Logic Tree analysis. (For more details on Logic Trees please refer to Tools and Techniques in the Appendix).

For the purposes of a policy preparation, two distinct approaches can be applied to Logic Tree development.

The first approach entails breaking down the issue via the application of the 6 questions approach (What, Why, Who, When, Where, and How). The theory behind the 6 questions approach is that questions using each of these can be used to get a “full” story on a topic (commonly used for this purpose in journalism and police investigations). The underlying principle is that each question should elicit a factual answer - facts necessary to include for an issue to be completely assessed. Examples of such questions are:

- What is the problem?
- Why is government intervention necessary?
- Who is involved?
- When do we need to develop a response by?
- Where is the problem situated?
- How big is the problem?

The second approach entails breaking down the issue into the sub-components of a PESTLE analysis. The sub-components of a PESTLE analysis are Political, Economic, Socio-cultural, Technological, Legal and Environmental factors. Examples of such questions are:

- **Political:** What is the political context? Where does this fit with Government strategic priorities?
- **Economic:** What are the economic impacts of this issue? For government vs. business and short term vs. long term?
- **Socio-cultural:** Is this a problem that affects all sectors of society?
- **Technological:** Are there technological tools to help deliver change, in the private and/or public sector?
- **Legal:** Is there a legal framework already in place to support any change in this area, or is a new one required?
- **Environmental:** How does this support or conflict with current environmental policies, internationally and nationally?

#### Case Example: Childhood Obesity

The WHO has just issued a strongly worded report suggesting that an Asian country has one of the worst childhood obesity rates in the world. What can the country’s policy development teams do?

The first step to fully understand the issue is developing a Logic Tree analysis which will help guide the team in asking the right set of questions. The team utilized both a 6 questions approach as well as a PESTLE approach to break down the issue into questions

6 Questions Approach	
Areas	Key Questions
What	What does the government want to achieve in relation to childhood obesity? What adverse consequences of childhood obesity does the government want to avoid?
Why	Why is childhood obesity a problem, why now?
Who	Who are the people/families/children/organizations affected by childhood obesity?
How	How can the government assist in resolving the problem of childhood obesity?
When	When does the government need to take action by?
Where	Where is the problem of childhood obesity most prevalent?

PESTLE Approach	
Areas	Key Questions
Political	What is the political context of childhood obesity? Where does healthcare fit within the governments strategic priorities?
Economic	What are the economic impacts of childhood obesity? For government vs. business and short term vs. long term?
Social	Is childhood obesity a problem that affects all sectors of society?
Technological	Are there technological tools to help deliver change, in the private and/or public sector?
Legal	Is there a legal framework already in place to support any change needed to address childhood obesity, or is a new one required?
Environmental	How does childhood obesity support or conflict with current environmental policies, internationally and nationally?



## 2 Assess strategic trends & gather evidence

Based on the high level questions developed in the prior phase of analyzing the issue, the analysis can now be expanded by further breakdown of the issue into sub-questions and in turn information needed to answer each of the sub-questions (e.g. evidence from local and international benchmarks, success stories from other countries, etc.)

**In the case of the childhood obesity example,** the policy development team should obtain the below critical pieces of evidence to serve as a foundation for any additional evidence gathering:

- Identify the international references used to assess the country's childhood obesity ranking
- Obtain local statistics of obese school

children in the country provided by other relevant government entities (e.g. Ministry of Education)

- Obtain the methods and references used by the World Health Organization (WHO) as a part of their research
- Obtain a rapid report which provides a detailed appraisal of the country's childhood obesity rates, using the international references and an assessment of the WHO's report

Some of this evidence can be obtained quickly whereas some evidence will require more time and can be done as a part of the study and recommendation phase (if approval to proceed with policy development is obtained from the Minister / Undersecretary). The policy development team then has to define and document the necessary evidence. This serves as an input for the proposed actions in the last key step of the policy preparation phase.

Case Example: Childhood Obesity			
The policy development team broke the main questions in each of the two approaches into a series of sub questions. They also identified the information needed as evidence to inform any decision or actions to be recommended as:			
Areas	Key Questions	Sub Questions	Information Needed
What	What does the government want to achieve in relation to childhood obesity? What adverse consequences of childhood obesity does the government want to avoid?	<ul style="list-style-type: none"> <li>What is the nature of the evidence we have related to childhood obesity?</li> <li>Do we need more research on childhood obesity?</li> </ul>	<ul style="list-style-type: none"> <li>List of key stakeholders</li> <li>Actions currently being taken by other ministries / agencies or local authorities on the issue</li> </ul>
Why	Why is childhood obesity a problem, why now?	<ul style="list-style-type: none"> <li>Why does government need to intervene in reducing childhood obesity?</li> </ul>	<ul style="list-style-type: none"> <li>Gathering local and international benchmark information and evidence</li> </ul>
Who	Who are the people/families/ children affected by childhood obesity?	<ul style="list-style-type: none"> <li>Who in Government needs to be involved?</li> <li>Who will be involved in the delivery of services needed to reduce childhood obesity?</li> </ul>	<ul style="list-style-type: none"> <li>–Local and International statistics (e.g. OECD, World Bank, UAE National Bureau of Statistics)</li> </ul>
How	How can the government assist in resolving the problem of childhood obesity?	<ul style="list-style-type: none"> <li>How can the private sector be engaged to assist the government in reducing childhood obesity?</li> </ul>	<ul style="list-style-type: none"> <li>Success story from another community</li> </ul>
When	When does the government need to take action by?	<ul style="list-style-type: none"> <li>When do we expect to see the first results in childhood obesity reduction?</li> </ul>	<ul style="list-style-type: none"> <li>Position of regional and international community on the issue – especially trading partners</li> </ul>
Where	Where is the problem of childhood obesity most prevalent?	<ul style="list-style-type: none"> <li>Where in the world have they faced and successfully tackled the issue of childhood obesity?</li> </ul>	

Case Example: Childhood Obesity			
Areas	Key Questions	Sub Questions	Information Needed
Political	What is the political context of childhood obesity? Where does healthcare fit within the governments strategic priorities?	<ul style="list-style-type: none"> <li>Who are the leaders/change makers?</li> <li>Where is the pressure coming from to reduced childhood obesity?</li> <li>Which Govt. Ministries/agencies need to be involved in addressing childhood obesity?</li> </ul>	<ul style="list-style-type: none"> <li>List of key stakeholders</li> <li>Actions currently being taken by other ministries / agencies or local authorities on the issue</li> <li>Gathering local and international benchmark information and evidence</li> <li>–Local and International statistics (e.g. OECD, World Bank, UAE National Bureau of Statistics)</li> <li>Success story from another community</li> <li>Position of regional and international community on the issue – especially trading partners</li> </ul>
Economic	What are the economic impacts of childhood obesity? For government v/s business and short term v/s long term?	<ul style="list-style-type: none"> <li>What would be the effects on the market of government intervention in childhood obesity?</li> <li>For food producers, distributors, retailers, employers and employees, for consumers?</li> </ul>	
Social	Is childhood obesity a problem that affects all sectors of society?	<ul style="list-style-type: none"> <li>Is there sufficient awareness of what causes childhood obesity and its health risks?</li> <li>Are there different cultural/ religious issues in food choices to be addressed?</li> </ul>	
Technological	Are there technological tools to help deliver change, in the private and/or public sector?	<ul style="list-style-type: none"> <li>Are other parts of government developing technological interventions which could support the problem of childhood obesity?</li> </ul>	
Legal	Is there a legal framework already in place to support any change needs to address childhood obesity, or is a new one required?	<ul style="list-style-type: none"> <li>Are there any legal barriers or enablers nationally or internationally either in place or planned for the future?</li> </ul>	
Environmental	How does childhood obesity support or conflict with current environmental policies, internationally and nationally?	<ul style="list-style-type: none"> <li>Will changes to food production and consumption bring new environmental challenges?</li> </ul>	

3 Determine the actions required

Having broken down the issue into sub-questions and determining the information needed, the next step is to set the action plan.

These actions will vary depending on the nature of the issue being studied, but will generally include key steps regardless of the issue at hand such as further validation of stakeholders, the

study of existing policies, identification of new initiatives and performance of cost/benefit analyses. This is in addition to the determination of the logistics of any project, like the time frame, the project team, etc.

If the policy development team is not yet entirely confident on what to propose regarding the issue at hand, they should conduct some more detailed research - within the given time constraint, or request further time to achieve the action plan.

Case Example: Childhood Obesity				
The policy development team considered the sub questions and identified specific actions that need to be taken in order to define the most appropriate steps for tackling childhood obesity. Given the complexity of the issue at hand the team advises that a more thorough study be conducted which would include an assessment of stakeholder impact and influence, identification of potential initiatives and performance of cost / benefit analyses of the initiatives				
Areas	Key Questions	Sub Questions	Information Needed	Actions Needed
What	What does the government want to achieve in relation to childhood obesity?	■ What is the nature of the evidence we have related to childhood obesity?	■ List of key stakeholders ■ Actions currently being taken by other ministries / agencies or local authorities on the issue ■ Gathering local and international benchmark information and evidence –Local and International statistics (e.g. OECD, World Bank, UAE National Bureau of Statistics) ■ Success story from another community ■ Position of regional and international community on the issue – especially trading partners	■ Assessment of influence and impact of key stakeholders ■ Development of a list of potential initiatives needed to deliver change ■ Assessment of the potential cost vs. benefits of adopting a new policy
	What adverse consequences of childhood obesity does the government want to avoid?	■ Do we need more research on childhood obesity?		
Why	Why is childhood obesity a problem, why now?	■ Why does government need to intervene in reducing childhood obesity?		
Who	Who are the people/families/children affected by childhood obesity?	■ Who in Government needs to be involved? ■ Who will be involved in the delivery of services needed to reduce childhood obesity?		
How	How can the government assist in resolving the problem of childhood obesity?	■ How can the private sector be engaged to assist the government in reducing childhood obesity?		
When	When does the government need to take action by?	■ When do we expect to see the first results in childhood obesity reduction?		
Where	Where is the problem of childhood obesity most prevalent?	■ Where in the world have they faced and successfully tackled the issue of childhood obesity?		

Case Example: Childhood Obesity				
Areas	Key Questions	Sub Questions	Information Needed	Actions Needed
Political	What is the political context of childhood obesity? Where does healthcare fit within the governments strategic priorities?	■ Who are the leaders/ change makers? ■ Where is the pressure coming from to reduced childhood obesity? ■ Which Govt. Ministries/ agencies need to be involved in addressing childhood obesity?	■ nList of key stakeholders ■ nActions currently being taken by other ministries / agencies or local authorities on the issue ■ Gathering local and international benchmark information and evidence – Local and International statistics (e.g. OECD, World Bank, UAE National Bureau of Statistics) ■ Success story from another community ■ Position of regional and international community on the issue – especially trading partners	■ Assessment of influence and impact of key stakeholders ■ Development of a list of potential initiatives needed to deliver change ■ Assessment of the potential cost vs. benefits of adopting a new policy
Economic	What are the economic impacts of childhood obesity? For government vs. business and short term vs. long term?	■ What would be the effects on the market of government intervention in childhood obesity? ■ For food producers, distributors, retailers, employers and employees, for consumers?		
Social	Is childhood obesity a problem that affects all sectors of society?	■ Is there sufficient awareness of what causes childhood obesity and its health risks? ■ Are there different cultural/religious issues in food choices to be addressed?		
Technological	Are there technological tools to help deliver change, in the private and/or public sector?	■ Are other parts of government developing technological interventions which could support the problem of childhood obesity?		
Legal	Is there a legal framework already in place to support any change needs to address childhood obesity, or is a new one required?	■ Are there any legal barriers or enablers nationally or internationally either in place or planned for the future?		
Environmental	How does childhood obesity support or conflict with current environmental policies, internationally and nationally?	■ Will changes to food production and consumption bring new environmental challenges?		



The fourth step in the policy preparation phase is for the policy development team to propose the results to the Minister / Undersecretary that includes a summary of the situation, the information needed, and the proposed action plan. It is also important for the policy development team to ensure that all of the questions which could be asked of the Minister / Undersecretary are answered in the proposal. While a number of questions may need to be asked depending on the situation being addressed, in practice there is always one question which must be answered:

#### What if we do nothing?

More than 84% of all policy questions are transient and have no impact upon the final policy of a government, (i.e. no further action is being taken as a result of the enquiry, beyond the policy preparation). Such an approach is often called the Laissez-faire approach, which is a French phrase literally translating as “leave it

to be”. The term is often used to refer to various economic and political philosophies which seek to minimize or eliminate government intervention in some aspects of society.

Such an approach is very context specific and so the policy development team must use experience and sound judgment to decide whether the issue demands action or whether it can be ignored. Consequently, sometimes it may be reasonable for a policy development team to inform a Minister / Undersecretary that the situation requires no action whatsoever.

At the end of this step, whether it is deemed necessary that some policy action must be taken or not, the policy development team should present a report of the policy preparation findings to the Minister / Undersecretary. This report includes a presentation of the issue at hand, analysis, and recommendations. Furthermore, the findings can be summarized in a presentation or by using the template provided below. At this point the Minister / Undersecretary may either decide to request that an analysis and appraisal should be conducted or in rare case involving urgent policy needs (e.g. pandemic, earthquake, etc), directly pass the policy on to the recommendation.

#### Policy Preparation Findings Template

<b>Introduction</b>	Description of the issue (i.e. why the need for and what are objectives of the policy)
<b>Questions Asked In Prep Phase</b>	Questions and sub-questions asked during the analysis process
<b>Information Needed</b>	Required information in order to tackle the issue
<b>Proposed Actions</b>	Actions to take <ul style="list-style-type: none"> <li>Logistics (Time, Team, &amp; Resources)</li> <li>Technical action plan (The main steps needed to develop the policy)</li> </ul>
<b>What if we do Nothing?</b>	Clarifies what the implications are, if the entity does not further do anything about the issue

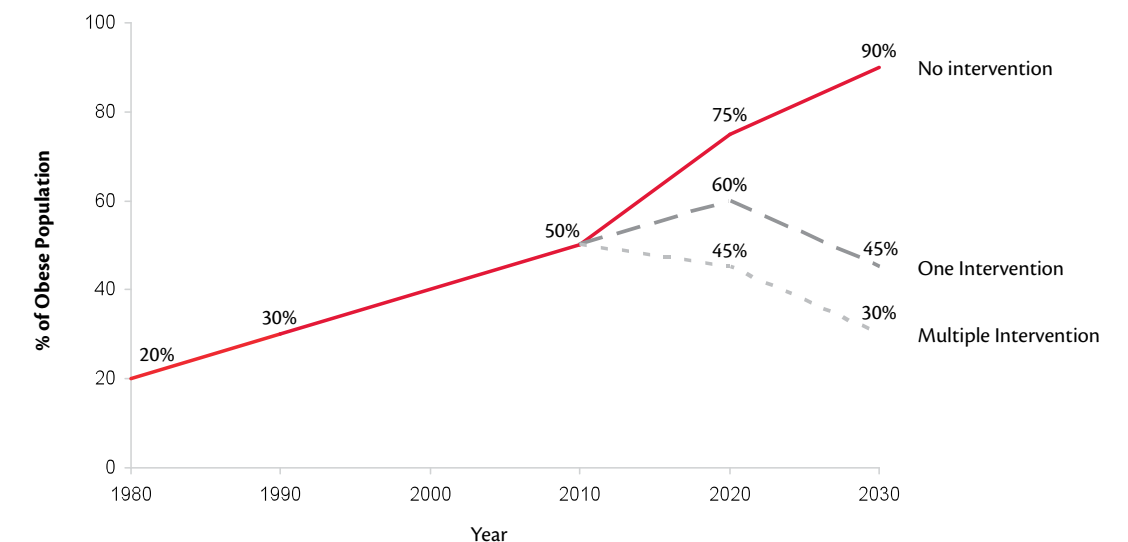
<sup>1</sup> Analysis of the Global Macro environment, (Mutum, 2005)

In the below example we see that doing nothing is not an option and so the policy development

team has recommended a potential course of action for their Minister to consider.

#### Case Example: Childhood Obesity

The policy development team tasked with better understanding the issue of childhood obesity studied the impact if no action was taken by the government regarding levels of childhood obesity and came up with the below forecast. In this case, the policy development team recommended that an approach of multiple interventions towards childhood obesity should be taken.



#### Case Example: Childhood Obesity

The policy development team prepared the following policy preparation template for their Minister as a means of summarizing their policy preparation work and the proposed action plan for the next phase.

#### Policy Preparation Findings Template

<b>Introduction</b>	<ul style="list-style-type: none"> <li>A dramatic increase in the percentage of child population classified as obese (i.e. based on internationally accepted levels of average Body Mass Index) has led to increased prevalence in diabetes and also increases the risk of high blood pressure and heart disease               <ul style="list-style-type: none"> <li>The objective of the policy would be to reduce the percentage of child hood obesity thereby lowering the probability of disease states such as diabetes, high blood pressure and heart disease</li> </ul> </li> </ul>
<b>Questions Asked in Prep Phase</b>	<ul style="list-style-type: none"> <li>What information is required?</li> <li>Where to obtain suitable evidence?</li> </ul>
<b>Information Needed</b>	<ul style="list-style-type: none"> <li>Validation of stakeholder interests and consultation with stakeholders on feasible approach(es)</li> <li>Identification of specific initiatives to tackle childhood obesity problem</li> <li>Assessment of cost vs. benefit</li> </ul>
<b>Proposed Actions</b>	<ul style="list-style-type: none"> <li>Logistics:               <ul style="list-style-type: none"> <li>Initiation of the “study and recommendation phase” over the coming 3-4 months</li> <li>Team setup, resource allocation, etc.</li> </ul> </li> <li>Technical action plan:               <ul style="list-style-type: none"> <li>Analysis of stakeholders interests and influence</li> <li>Identification of potential initiatives to tackle obesity</li> <li>Evaluation of feasibility of initiatives</li> </ul> </li> </ul>
<b>What if we do Nothing?</b>	<ul style="list-style-type: none"> <li>The percentage of obese children has the potential to increase from 50% currently (2010) to 90% by 2030</li> </ul>

# 1.4 What are the key learnings?

No.	Key Learnings	✓
1	Have we broken down the issue using either the 5W-1H or PESTLE approaches?	<input type="checkbox"/>
2	Have we determined all information needed and the time required to do so?	<input type="checkbox"/>
3	Have we decided on the potential actions required to address the issue?	<input type="checkbox"/>
4	Have we considered the question: "What if we do nothing?"	<input type="checkbox"/>
5	Have we proposed the necessary actions to the Minister / Director General via a Policy Preparation Findings template?	<input type="checkbox"/>

# Chapter 2

## Study and Recommendation

The study and recommendation phase is a key function of policy setting and should typically precede a final policy decision by the Minister / Undersecretary. This stage requires the most rigor and it aims to execute the approved action plan, which includes creating the project team, securing the necessary resources, identifying stakeholder interest and influence, and doing a thorough assessment to determine the most viable initiatives to be included in a policy recommendation.

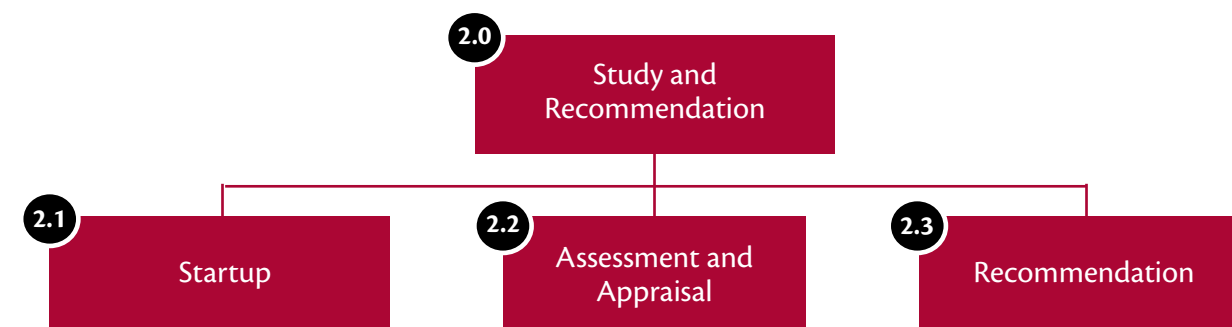
The role of the policy development team is to ensure that it is well prepared, well managed, covers all the significant issues and provides all of the facts and guidance needed for the Minister / Undersecretary to make a well thought through and objective decision. Given its rigorous nature, this phase is broken down into three sub phases; each sub phase includes multiple steps:

- The first, **startup sub phase** involves making the necessary arrangements for the funding, expertise and information needed to execute the appraisal. In addition, it also involves

validation of the interests of stakeholders identified during the policy preparation, as well as formalization of the project via development and approval of a project charter.

- In the second phase, the **assessment sub phase**, the project team undertakes the analysis needed to incorporate learnings from existing policies, develops ideas for potential initiatives to address the issue, categorizes the initiatives into themes, consults stakeholders, prioritizes the initiatives and finally assesses the costs & benefits of the prioritized initiatives and assigning performance indicators for each.
- In the third phase, the **recommendation sub phase** the policy development team summarizes the findings of the appraisal work and formulates a policy proposal package for submission to the Minister / Undersecretary.

The figure below illustrates the three sub-phases, and the rest of this chapter discusses them in further details.



The definitions of some of the key terms used in this chapter are outlined below:

- **Policies:** are a definite course or method of action selected from among alternatives to guide and determine present and future decisions
- **Policy development teams:** are responsible for monitoring the need for, assessing and defining the policies pursued by the government
- **Project Charter:** is a statement of the objectives, scope, deliverables, milestones, boundaries and constraints, budget and project team.
- **Policy Initiative:** a specific program that helps deliver a policy either independently or as a part of a broader package of initiatives
- **Stakeholders:** individuals or entities who can affect or are affected by the policy development project
- **Cost Benefit Analysis:** an analysis of the cost effectiveness of an initiative in order to see whether the benefits outweigh the costs
- **Performance Indicators:** measure the success of a policy at achieving its intended outcomes during its implementation

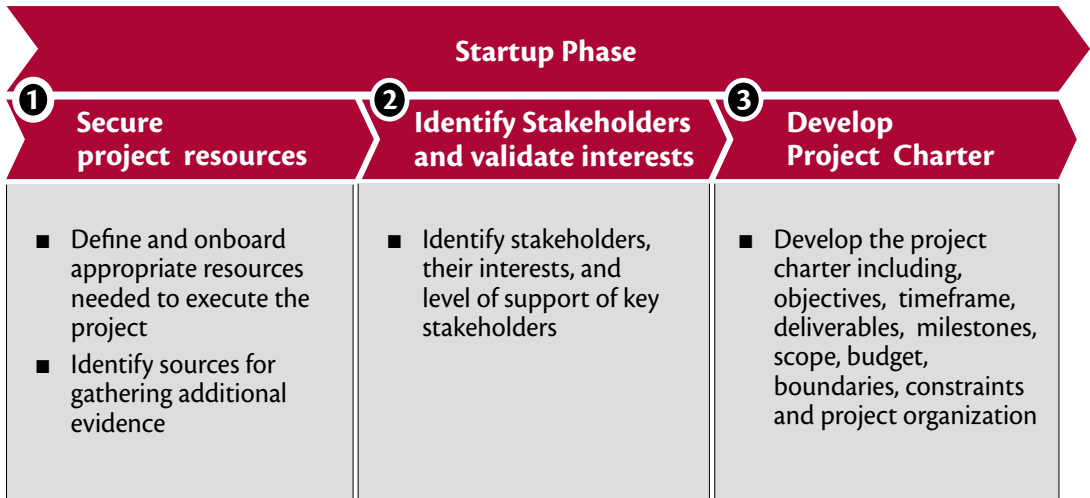
## 2.1 Startup

The first chapter of the study and recommendation phase describes the startup sub-phase of the process through answering the following questions:

- What are the steps of the startup sub-phase?
- What are the key learnings?

### 2.1.1 What are the steps of the startup sub-phase?

This chapter focuses on the startup sub-phase which consists of three sets of activities.



#### **1** Secure project resources

The first step in the startup sub-phase is to secure the resources needed to initiate and sustain the project activities. Such resources include the funding that will pay for the project team and evidence gathering activities, recruiting the project team and identifying sources for obtaining additional evidence; to support the teams' initial hypothesis regarding the issue at hand and secure logistical requirements.

In addition to securing the funding, it is also important to fill the roles required for a project and define communication and information sharing mechanisms. More details on each of these are listed below:

- 1. Setup of the policy development team:** Difficult issues require creative and fresh thinking. A team with the right mix of skills and experiences brings fresh thinking and insights to complex issues. A mix of experts and non-experts, insiders and outsiders (e.g. representative from related governmental entities) work well in ensuring the right balance of focused analysis as well as creativity and imagination.
- In addition, the team must be organized to

meet the specific deliverables of the project and should incorporate, individually or on a shared basis, the knowledge, skills and experience needed to assess the issues, options and recommend an effective, integrated solution. Key issues to consider when recruiting a team are:

- Core team vs. extended team: Team members should belong to either the core team or the extended team; which differ due to these characteristics:
  - A core team member is an active member of the team who is involved in performing the assigned tasks and produces defined deliverables on a day-to-day basis
  - An extended team member is a specialist who is involved in the project for specific tasks or inputs in order to ensure a subject matter expert view is injected into the deliverables.
- The team leader: The leader of a team gives guidance and coaching to the team members. He / She has to be able to recognize and acknowledge the contributions and ideas of the team members, give constructive criticism and feedback, be responsible, dependable



and capable of motivating his / her subordinates

- In addition, a team leader must also have a high level grasp of the technical and / or analytical issues that may be faced by his / her subordinates
- Team expertise: Only the most basic policies can be developed without access to specialized expertise and information. The more important the policy issue, the more complex the underlying subject matter and therefore, the greater the need to have a team with the right combination of skills, information-analysis know-how, international experience and leadership ability. Key skills to consider are:
  - General Public sector experience: The team should collectively have several years of public sector working experience
  - Experience with Policy Development: Some members of the team should have expertise in developing policies or should have been involved in project based work in the past
  - Project Management: The team leader should have project management expertise and leadership skills to ensure proper execution of such an important project
  - Understanding of Stakeholder landscape: A few members of the team should ideally be well acquainted with the key stakeholders and potentially have direct access to them
  - Internal know-how / long-term experience in the organization: In order to reflect the organization's specificities, one or several team members should have extensive work experience within the entity. It is important to note that in selecting such an individual, one has to be cautious of the fact that sometimes people that have been with a single organization for a long time, have difficulties to identify the obvious and often find change difficult

**2. Clear lines of communication:**

Communication is important so that the entire team is aware of the activities and progress of other team members. It is also beneficial so that there is proactive information sharing and hence reduction in the risk of overlapping work and duplication of efforts. An effective means of doing this is holding regular team meetings and information sharing sessions

**3. Information sharing mechanisms:**

In order to ensure information sharing across the team, a project library should be setup (e.g. shared drive or secure online document sharing site). Such a project library should consist of all relevant documents which pertain to the appraisal, information which would be used in the project teams and contact information of all relevant internal and external stakeholders

**2 Identify Stakeholders and validate interests**

After securing the project resources, it is important to identify stakeholders and validate their interests in the policy. Assessment of stakeholder vested interests in current policies and potential impact in the event of a change in policy or adoption of a new policy is important in that, it permits the team to determine whether the stakeholder might view the policy positively or negatively. A clear understanding of stakeholder view(s) allows the team to proactively plan its approach for engaging each stakeholder - at the appropriate time.

In order make a sound assessment of a stakeholder interests, the policy development team needs to consider whether a change in policy or a new policy might have an impact upon, the policies of other entities. For example, a new health policy can affect:

- Municipalities
- Hospitals
- Justice
- Education
- Trade

It is also necessary to consider whether a change in policy or a new policy might increase the

operational complexities (e.g. increase in legal requirements for businesses) or have a negative financial impact on one or more groups of stakeholders (e.g. reduction in revenue or increase in costs.).

As a part of validating stakeholders, a policy development team must map relevant stakeholders by identifying potential interests and thus whether the group of stakeholders would support or oppose the policy.

**Case Example: Identifying Stakeholders and Validating their Interests**

A policy development team tasked with developing a policy to address rapid growth in childhood obesity was faced with a similar situation. Prior to commencing with the assessment phase of the policy appraisal, they validated the positions of the various stakeholders they felt would be impacted if a new policy were to be enacted.

The team did this via an internal workshop where they brainstormed the interests and potential positions of various stakeholders and mapped them on a grid - ranking stakeholder from highly supportive to strongly against.

Non-Exhaustive				
Highly Supportive	Supportive	Neutral	Against	Strongly Against
Insurance Companies	Gyms	Prime Minister's Office	Food wholesalers (association)	Ministry of Finance
Cabinet	Citizens	Media	Food retailers (associations)	Food manufacturers (associations)
Health Authority	Farmer's (associations)	National Bureau of Statistics	Ministry of Economy	Lobby groups
International Organizations	Research Centers	Private schools (association)	Department of Economic Development (DED)	
Social Activists	Dietitians	Municipalities		
General Authority of Youth & Sports	Ministry of Education	Private hospitals (association)		
Ministry of Health	NGOs			
	Education Authorities			

Once a policy development team has clarity around the vested interests of key stakeholders,

the team can better plan an approach for engaging these stakeholders.

### 3 Develop Project Charter

The goal of the last step in the startup sub-phase is to establish a formal charter for the project. In general, a project charter requires clarification and documentation of the project objectives, timeframe, deliverables (incl. milestones), scope, boundaries / constraints, budget and project team. A project charter is important because it is used to formally recognize the existence of the project and to begin the planning process required to

accomplish the project’s goal. Planning and documenting these fundamentals also helps ensure that all stakeholders have a common understanding of the project - hence reducing the possibility of losing focus - and that there is ongoing monitoring and measurement of progress throughout the project. Finally, a project charter also serves to establish the authority of the team leader and empowers him / her to make decisions effecting the successful completion of the project. A sample project charter is illustrated in the below example.

#### Case Example: Project Charter

A policy development team documented the fundamentals for their study and recommendation project in a project charter and obtained approval from the project sponsor.

Project Charter			
Project Name:		Date:	Time Frame:
Reduction in Childhood Obesity		August 1st 2010	3 months
Project Objectives:			
The project is being undertaken to form a clear policy for managing the rapid growth in childhood obesity, as well as a long term reduction in the levels of childhood obesity in the country.			
Scope Definition:		Deliverables (Timelines):	
In: The project includes topic areas directly related to childhood obesity (e.g. diabetes, paediatric heart disease, etc.)		■ Delivery chain associated with childhood obesity (Early Sept)	
Out: The project excludes genetic disorders leading to childhood obesity		■ Pressure Analysis of key stakeholders (Early Sept)	
		■ Initiatives for tackling childhood obesity (Late Sept)	
		■ Cost vs. Benefit analysis of shortlisted initiatives (Mid Oct)	
		■ Policy recommendation for Minister / Director General (End Oct)	
Boundaries and Constraints:			
This project might potentially overlap with and needs to take into account initiatives included in the Ministry of Health’s 3 year strategy planning cycle			
Budget: 1.5 Million AED			
Project Organization Structure:			
Ministry of Health (Policy and Strategy Unit)			
Group	Function in Group	Name	Role in Organization
Project Sponsor	Sponsorship	Margaret T.	Junior Minister
Project Team	Team Leader	John M.	Under Secretary
	Workstream 1	Tony B.	Policy Advisor
	Workstream 2	George B.	Policy Advisor
	Workstream 3	Nicolas S.	Policy Advisor
Project Authorization			
Approved by project sponsor:		Approved by team leader:	
(Date and Signature)		(Date and Signature)	

### 2.1.2 What are the key learnings?

No.	Key Learnings	✓
1	Did we secure up all required resources (i.e. funding, team members, information sources, etc.)?	<input type="checkbox"/>
2	Do the team members have the skills and knowledge to achieve the objectives of the projects?	<input type="checkbox"/>
3	Did we validate the interests of key stakeholders?	<input type="checkbox"/>
4	Did we develop and get approval of a project charter?	<input type="checkbox"/>

### 2.2 Assessment and Appraisal

Assessment and appraisal is a key function of policy-setting and should typically precede a final policy decision by the Minister / Undersecretary. While the previous chapter focused on the startup sub-phase, this chapter delves into the next sub-phase which is Assessment and Appraisal. It does so by addressing the following key questions:

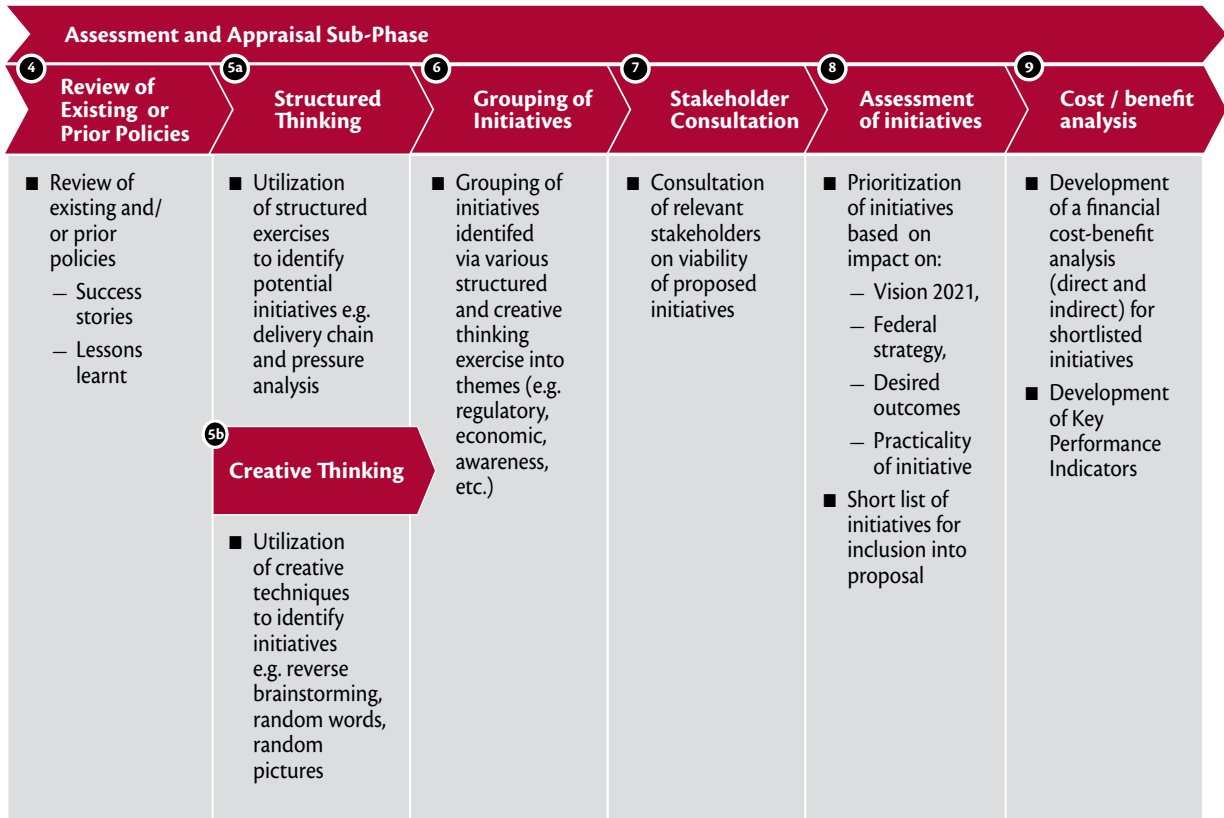
- What are the steps of the assessment and appraisal sub-phase?

- How are potential policy initiatives identified?
- What is the purpose of stakeholder consultation?
- How are potential policy initiatives assessed?
- How is a cost / benefit analysis conducted?
- What are the key learnings?



# 2.2.1 What are the steps of the assessment and appraisal sub-phase?

This chapter focuses on the assessment and appraisal sub-phase which consists of the steps presented below:



Over the course of these above steps the policy development team not only defines potential initiatives to be included in the policy proposal based on thinking tools alone, but also prioritizes the initiatives based on input from

stakeholders, alignment of the initiatives with the intended strategic direction, viability and practicality of the initiatives, as well as cost / benefit analyses.

# 2.2.2 How are potential policy initiatives identified?

A policy development team can utilize multiple methods to define initiatives for inclusion in a policy proposal. One source of potential initiatives may be existing or prior policies and another can be the use of structured and/or creative thinking exercises to identify new initiative ideas. Each of these is further detailed in the following paragraphs. The policy development team may have also identified possible initiatives from the other benchmark countries during the preparation phase.

initiatives might be (if any), should be the first step the policy development team takes in the assessment and appraisal sub-phase.

To do so, the team must conduct comprehensive research on existing or prior policies that have either affected a similar group of stakeholders or been enacted to address a similar type of issue (e.g. health concerns). For additional information on conducting research, please refer to the Tools and Techniques chapter in the appendix.

Insight on such policy initiatives can yield valuable information about initiatives that have been successful in delivering their intended outcomes. In addition, such insights can also be a key source of lessons learnt from initiatives that were not effective in achieving desired outcomes or had unintended and/or adverse consequences.

## 4 Review of Existing or Prior Policies

A valuable source of ideas for initiatives to include (or exclude) in a policy recommendation, are those initiatives that have been successfully or unsuccessfully implemented in existing or prior policies. Determining what these

**Case Example: Review of Existing or Prior Policies**

Upon commencing the assessment and appraisal sub-phase, the policy development team tasked with developing a policy recommendation to reduce childhood obesity conducted a systematic review of existing and old policies. The team focused on uncovering insights related to health policies, as well as policies that had impacted the stakeholders identified in the policy preparation phase. The team uncovered the following insights:

- A large percentage of previously enacted health policies had been successful due to the involvement of the private sector in delivering initiatives. Monitoring results had shown that those policies where the government acted independently while varying in success rate, were consistently slower in delivering desired outcomes than jointly executed policy initiatives
- A previously enacted policy aimed at reducing reckless driving had successfully leveraged educational campaigns targeted at youths (between ages of 18-25). Monitoring of the policy outcomes had shown that the educational campaign had a direct positive impact on reduction of deaths related to reckless driving by this age group
- An old policy aimed at growing the local manufacturing sector had been unsuccessful because it aimed to do so by increasing import tariffs. While the demand for locally manufactured products had increased marginally, foreign direct investment had decreased substantially due to a perception of governmental intervention in the market

Having gathered insights and learnings from existing and/or prior policies, next the policy development team should focus on utilizing the teams' knowledge, experiences and creativity to

identify additional initiative ideas. This can be done by either applying structured thinking and/or creative thinking techniques.

In the context of policy development, structured thinking techniques involve assessing the size, complexity, relationships and pressures within the delivery chain that will deliver policy initiatives. A delivery chain is a group of entities including federal and local government, and partners from the civil society and private sector, that cooperate to achieve improved outcomes for citizens.

Whatever the size and complexity of a delivery chain, all delivery chains are made up of four basic types of links or relationships:

- **Hierarchical links:** These are links where one part of the chain directly manages another. Internal links are often strong and effective delivery can be secured through levers such as internal performance and staff management. Efficiencies, such as sharing services and improved asset utilization can also be effective levers
- **Contractual or regulatory links:** These are links where one part of the chain defines through law and/or funding how another does its business. These links can also be strong and effective at delivering outputs efficiently, as long as there is good contract design, good project management, and appropriate, strategic regulation. There are often a number of links of this kind within complex delivery chains
- **Links of common purpose:** These are links where two bodies have parallel missions to work towards the common good and to make a positive difference to society. Examples include the relationship between two government departments, or between a local authority and a local charity, each with a common interest in the achievement of the outcome. While these links often exist in complex delivery chains, they can be relatively weak, sometimes relying on goodwill alone to function. Stakeholders

with these relationships may be constrained by internal pressures, with efficiencies hard to identify and achieve.

However, these links may be strengthened by introducing an element of contractual or regulatory relationship, such as a formal partnership arrangement, an agreement to share accountability for targets, or joint funding of particular projects

- **Links to the wider community:** These are links where one organization has no formal authority over the groups and individuals with whom it wishes to work and therefore has to rely primarily on persuasion to influence behavior that is required to achieve desired outcomes. Examples include attempts to persuade private sector firms to encourage car-sharing among their employees, or to support and encourage members of the public to stop smoking.

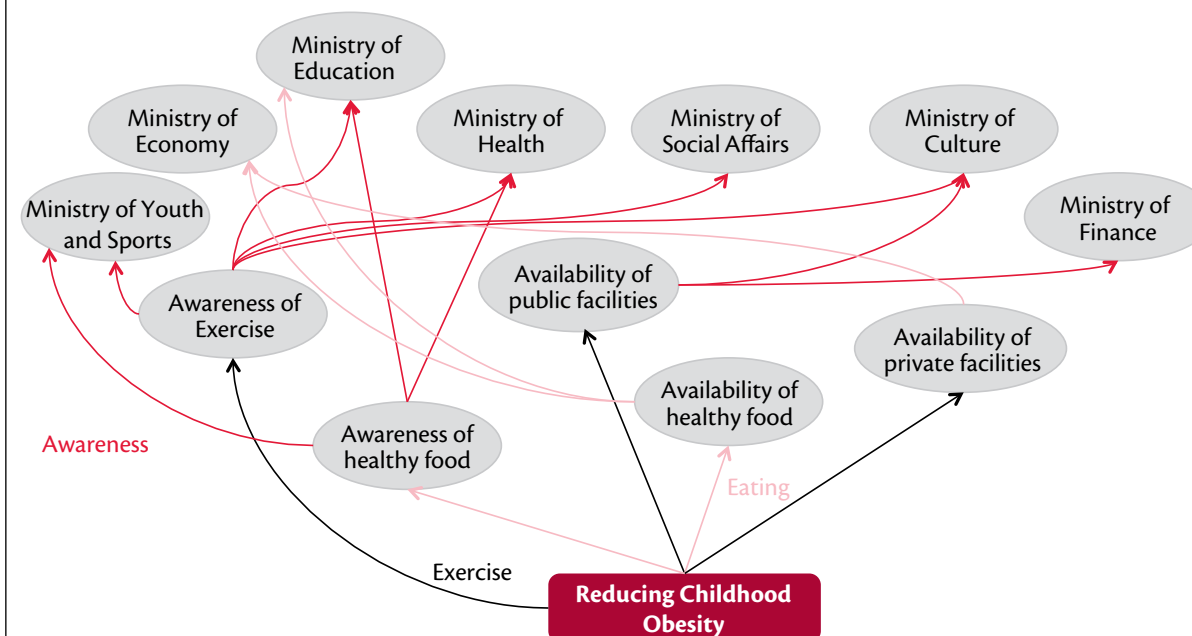
Complex delivery chains are likely to have many links of this kind. Yet these are often the weakest links in the delivery chain, with few positive incentives, and sometimes negative incentives, for the community to participate. Successful delivery requires public sector bodies to be imaginative in the ways they engage the wider community to support delivery

Two recommended structured thinking techniques for policy development teams to assess the size, complexity, relationships and pressures within the delivery chain are Delivery Chain Analysis and Pressure Analysis.

In a delivery chain analysis the policy development team should focus on mapping the types of conditions that would be required for successfully achieving the intended outcomes of the policy. In doing, the team will gain insight into the various stakeholders that may need to be involved in provision of the required conditions, the types of relationships that may exist between these stakeholders, as well as the types of initiatives that may be required to create the conditions (e.g. increased awareness, increased education, new regulation(s), etc.).

### Case Example: Delivery Chain Analysis

A policy development team conducted a Delivery Chain Analysis of the conditions required for successful reduction in childhood obesity, as well as the stakeholders involved in delivering each of those conditions.



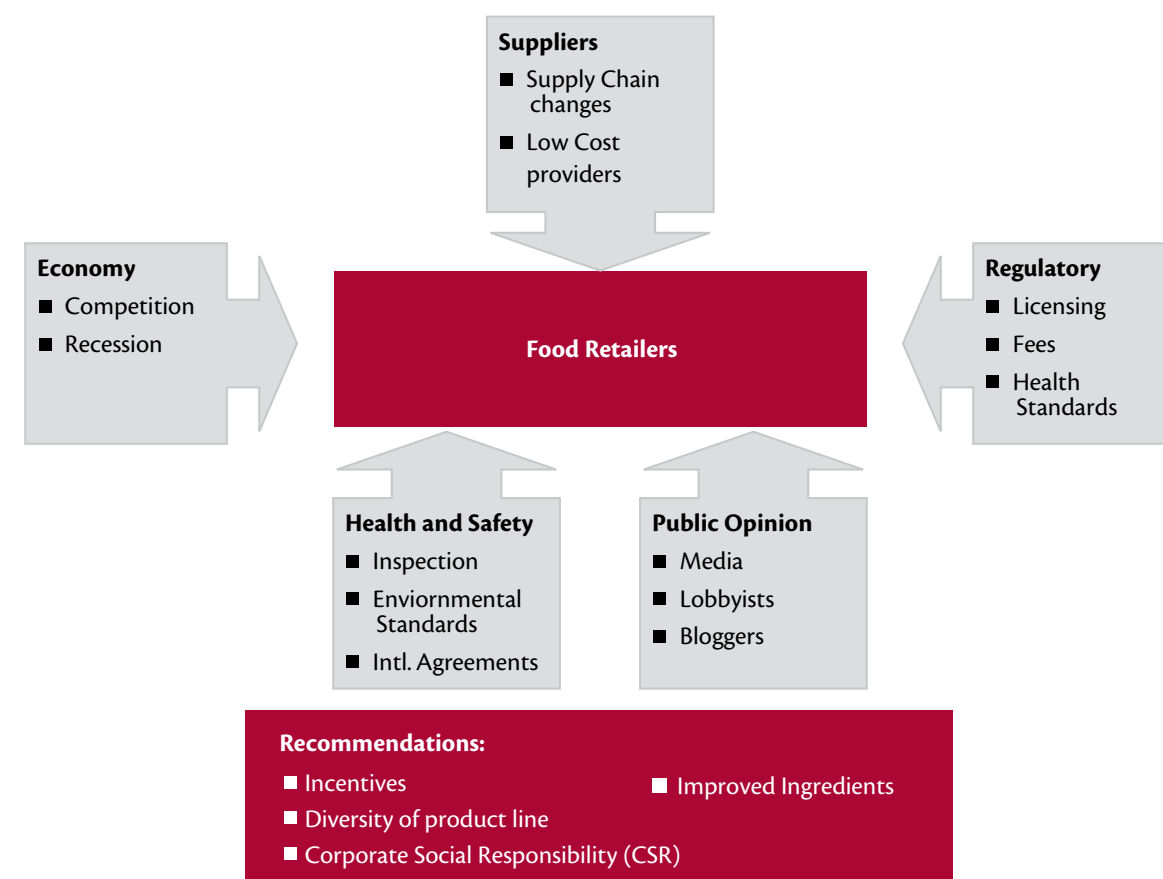
The team's analysis yielded that the conditions needed for successful reduction in childhood obesity would require a joint effort across many federal entities, as well as the involvement of the private sector. The team also concluded that in order for meaningful change to occur, there needed to be a greater emphasis on awareness of the risks of childhood obesity, increased physical activity for children and improvement in eating habits.

In a pressure analysis, the team should focus on identifying the various pressures faced by key stakeholders that would be involved in the delivery of the policy initiatives. By doing so, the team can hone in on those areas that are

less likely to be opposed by the stakeholder(s), as well as identify those areas that may be mutually agreeable and/or beneficial both for the stakeholder(s) and the wider community.

### Case Example: Pressure Analysis

The policy development team also conducted a Pressure Analysis with a specific focus on food retailers, so as to understand the impact on them in the event a new policy related to childhood obesity were to be enacted.



The team analysis yielded that food retailers face many competing pressures and that the most viable options for engaging them and getting them to participate in any new policy would be to center the policy around incentives, diversification of product lines, improving ingredients and the concept of Corporate Social Responsibility.

5b

### Creative Thinking

While structured thinking utilizes more conventional ways of thinking to develop initiative ideas, creative thinking is meant to encourage innovation and out of the box thinking. While many of the ideas generated using creative thinking techniques may at first seem unlikely to be viable options, upon subsequent evaluation some can serve as the basis for a novel and effective solution. Some recommended creative thinking techniques are:

**Brainstorming:** This is a commonly known and used creative thinking technique. Brainstorming requires starting with desired outcomes or with

some intermediate objectives for the initiative implementation process in mind. The policy development team should then generate as many options to achieve desired outcomes / objectives as possible (within a specified time). The ideas must not be evaluated during the session as this will inhibit the flow of ideas

**Reverse Brainstorming:** In reverse brainstorming the goal is to generate as many reasons as possible that would make achievement of the desired outcomes impossible, or would lead to achievement of them in a highly ineffective manner. The premise behind this technique is that it is often easier to think negatively than positively. Once all negative ideas have been generated they can then be reversed to produce more effective options

**Mind Mapping:** This is a method of generating, developing and recording ideas rapidly by producing spider web type diagrams with the problem at the centre of the web and the ideas recorded as growing branches. Minds maps can be particularly useful when working alone

**The Famous Person:** In this technique a famous personality is selected by the team and then the team collectively imagines how he or she would have solved the problem at hand

**Random word stimulation:** In a random word simulation technique, the policy development team should select three numbers at random (e.g. 90, 12 and 6). The team should then take a book or magazine and turn to the page corresponding to the first number that was

selected (e.g. 90), the line corresponding to the second number that was selected (e.g.12) and the word that corresponds to the third number that was selected (e.g. 6). The word that is found at this location is then used to stimulate some further ideas (e.g. grass = more time spent outside in nature)

**Picture Stimulation:** In this technique, the policy development team should take a magazine, or collection of pictures. Each member of the team should then think about and communicate to the rest of the team what each picture signifies to them; as it relates to the problem at hand. The thoughts evoked by different team members can be used to stimulate further ideas and be converted into ideas for initiatives

### Case Example: Creative Thinking

The policy development team held a workshop where it engaged in Brainstorming as well as conducting a Famous Person creative thinking exercise. Once they team had finished both exercises, they shortlisted the options that they felt should be included for further evaluation.

Brainstorming Shortlist:

- Increase in healthy eating options
- Increase in import tariffs for unhealthy foods

Famous Person Shortlist

- Bruce Lee
  - Fitness Classes
  - Marketing Campaign



6  
Grouping of Initiatives

In this step, the policy development team should utilize learnings from the review of existing and prior policies, to filter the initiative ideas developed via the structured thinking and creative thinking exercises. In addition, the initiative ideas should also be combined in one list to eliminate any overlap and/or redundant ideas.

Once a refined list has been developed the initiatives should then be grouped into themes. Grouping the initiatives into themes helps categorize initiatives according to the types of actions that would be required to implement them (e.g. increasing awareness, increasing educational programs, introducing new regulation(s), etc.).

Case Example: Grouping of Initiatives

The policy development team prepared a list of all the potential initiatives that had been identified based on the structured and creative thinking exercises. These ideas were filtered down to incorporate learnings from having reviewed existing and prior policy decisions. These learnings had highlighted the following:

- Effectiveness of involving the private sector in policy delivery
- Effectiveness of targeted educational campaigns
- Ineffectiveness of introducing import tariffs to tackle a problem

Delivery Chain	Initiative Ideas	Grouping into Themes
<ul style="list-style-type: none"><li>Distributors &amp; Wholesalers</li><li>Parents</li><li>Teachers</li><li>School Cafeterias</li></ul>	<div>Filter based on learning from existing / old policies</div> <ol style="list-style-type: none"><li>Increase the availability of healthy food in school cafeterias</li><li>Raise the health awareness by implementing education campaign on risk of obesity</li><li>Offer free health and nutrition consultations for parents (and children)</li><li>Partner with distributors of organic food products to offer free trials at public places</li><li>Include health courses in the curriculum of all schools</li><li>Increase import tariffs on ready to eat meals not meeting govt. enforced health and nutrition requirements</li></ol> <div>Categorizing of initiatives based on types of action required</div>	<div>Access</div> <ol style="list-style-type: none"><li>Increase the availability of healthy food in schools cafeterias</li><li>Partner with distributors of organic food products to offer free trials at public places</li></ol>
<div>Pressure Analysis</div> <ul style="list-style-type: none"><li>Ministry of Health Inspections</li><li>Money / Fees</li><li>Media</li></ul>		<div>Regulation</div> <ol style="list-style-type: none"><li>Increase import tariffs on ready to eat meals not meeting govt. enforced health and nutrition requirements</li></ol>
<div>Brainstorming</div> <ul style="list-style-type: none"><li>Increase in healthy eating options</li><li>Increase in import tariffs for unhealthy foods</li></ul>		<div>Awareness</div> <ol style="list-style-type: none"><li>Raise the health awareness by implementing educational campaigns on risks of obesity</li><li>Offer free health and nutrition consultations for parents (and children)</li><li>Include health courses in the curriculum of all schools</li></ol>
<div>Famous Person</div> <ul style="list-style-type: none"><li>Bruce Lee<ul style="list-style-type: none"><li>Fitness Classes</li><li>Marketing Campaign</li></ul></li></ul>		

The team also found that three key themes were present across the initiative ideas; namely access to healthier food, regulation of food industry and awareness of health concerns related to childhood obesity

While import tariffs were deemed to have been ineffective in the past, the policy development team decided to incorporate an initiative calling for increased import tariffs and to assess its value based on stakeholder consultation.

Having developed a shortlist of potential initiatives, next the policy team needs to consult stakeholders to tap into their specific insights and

knowledge. This leads to the next step, which is “stakeholder consultation”.

2.2.3 What is the purpose of stakeholder consultation?

7  
Stakeholder Consultation

Having developed a preliminary list of initiatives utilizing both structured and creative thinking exercises, next the policy development team needs to consult stakeholders to validate the viability of the initiatives and ensure there are no major stakeholder concerns. Charting a safe course during consultations requires the policy development team to have a good understanding of the two key purposes for a consultation:

- To test the soundness of initiative ideas
- To grasp potential problems and corresponding solutions

The need to involve stakeholders becomes especially vital when there is a reasonable chance that the policy could result in significant change for some segments of the stakeholder base in the following phases of the policy process (like federal and local entities). When consulting stakeholders, the policy development team should focus on stakeholders that were deemed to either be highly supportive of, or highly opposed to, the policy (in the policy appraisal startup phase) and thus have the incentive to strategically influence (positively or negatively) the outcomes of the policy.

In addition, the policy development team should also check if the individual or organization being consulted could be relied upon to maintain confidentiality and additionally, provide one or more of the following:

- Unique information about the problem or the quality of outcome

- Improve the understanding of the problem
- Data or guidance which will improve the quality of outcomes
- Improve the understanding of the underlying risks in the potential change

Consultation takes one of two forms:

- Confidential:** a confidential consultation process ensures that stakeholders will not share any proposed information with a third party. The information that the policy development team obtains from the stakeholders are usually of confidential nature, and they cannot be revealed until given permission by the relevant party. Examples of confidential consultation include meetings with stakeholders and focus groups. In case the confidentiality factor is breached, the policy development team pauses all consultations, briefs leadership on the issue for recommendation on what next steps should be taken, and issues a bulletin to internal staff on how to respond to an enquiry (if needed)
- Public:** Federal entities working on a policy sometimes deliberate to get suggestions from the greatest number of citizens possible to make use of their comments, especially from the ones who are greatly affected by the issue, before setting the policy. Examples of this include publishing a survey on the internet on the entity’s website, or getting feedback through different media outlets.

### Case Example: Stakeholder Consultation

In the case of the policy development team tasked with developing a policy recommendation to reduce childhood obesity, various stakeholders were consulted. Below is a list of the stakeholders consulted by the team.

Theme	Potential Stakeholders
Access and Awareness	<ul style="list-style-type: none"> <li>■ Parents</li> <li>■ Obese Individuals</li> <li>■ Social Services Organizations</li> <li>■ School Superintendents</li> <li>■ Food Retail Outlet(s)</li> <li>■ Health Economist(s)</li> <li>■ Public Health Official(s)</li> <li>■ Nutritionist(s)</li> <li>■ Health Education Expert(s)</li> <li>■ Nursing Specialist(s)</li> <li>■ Ministry of Economy</li> </ul>
Regulatory	<ul style="list-style-type: none"> <li>■ Tax and Customs Officials</li> <li>■ Food Retail Outlet(s)</li> <li>■ Food Wholesaler(s) and Distributor(s)</li> </ul>

## 2.2.4 How are potential policy initiatives assessed?

### 8 Assessment of initiatives

Having discussed and validated the proposed initiatives with all relevant stakeholders, the next step is to identify the most viable initiatives in terms of alignment with overall strategic direction (i.e. Vision 2021, Federal Government strategy and entity strategy) as well as practicality of initiative implementation and effectiveness of intended outcomes.

A recommended approach for prioritizing the initiatives is ranking each initiative on a scale of 1 to 10 versus each of the above variables (i.e. overall strategy direction, practicality and effectiveness of outcomes), with a score of 1 signifying a low degree of alignment to the variable and a score of 10 signifying a high degree of alignment to the variable. The scores for each initiative should be aggregated with the initiatives scoring highest selected for further assessment via a cost benefit analysis.

### Case Example: Assessment of Initiatives

Having consulted key stakeholders on the proposed list of initiatives, the policy development team decided to prioritize the initiatives versus alignment with the federal strategy, practicality of the initiative and expected effectiveness of outcomes.

Theme	Initiatives	Federal Strategy	Practicality	Effectiveness of Outcomes	Total Score	Additional Steps
Access	Increase the availability of healthy food in schools cafeterias	8	8	6	22	Cost Benefit Analysis
	Partner with distributors of organic food products to offer free trials at public places	2	5	5	12	Eliminate
Regulation	Increase import tariffs on ready to eat meals not meeting govt. enforced health and nutrition requirements	2	6	8	16	Eliminate
Awareness	Raise the health awareness by implementing educational campaigns on risks of obesity	8	8	7	23	Cost Benefit Analysis
	Offer free health and nutrition consultations for parents of obese children	9	6	9	24	Cost Benefit Analysis
	Include health courses in the curriculum of all schools	7	6	9	22	Cost Benefit Analysis

The results of the prioritization exercise yielded that some of the initiatives while seemingly viable on paper were not likely to deliver the results expected and therefore should be eliminated. For the remaining initiatives, the team decided to conduct a cost benefit analysis.

## 2.2.5 How is a cost / benefit analysis conducted?

### 9 Cost / benefit analysis

In this step of the assessment and appraisal sub-phase the policy development team conducts a cost benefit analysis on those initiatives that were determined to require further study. A well-prepared cost benefit analysis enables the most cost-effective initiatives to be selected and recommended on a credible basis. A cost benefit analysis can be simple or complex depending on the issue at hand. For complex issues it is advisable to get help from internal or external specialists (e.g. speaking to someone from the finance department). There are typically two components in a cost-benefit analysis that are of interest to a policy development team 1) Direct impact and 2) Indirect impact

Direct impact compares the costs for an initiative versus the benefits in hard financial terms.

Some examples of initiative specific direct costs are (non-exhaustive):

- Human resource costs for executing initiative (e.g. hiring an advisor to develop and manage the execution of a health initiative)
- Operating costs to setup and execute an initiative (e.g. hiring a marketing agency to conduct an awareness campaign)
- Capital requirements for setting up infrastructure to execute the

initiative (e.g. building of new facilities needed to deliver services to the public)

Some examples of initiative specific direct benefits are (non-exhaustive):

- Reduction in costs related to managing the current problem (e.g. reduction in treatment of specific health conditions linked to the condition being addressed via the policy, like obesity)
- Reduction in costs related to inter related problems (e.g. reduction in treatment for health conditions linked to the condition being addressed via the policy, like cardiovascular disease and diabetes)

In addition, whenever possible the policy development team should also try to assess the indirect costs and benefits of implementing the initiatives. The goal is to determine if implementing the initiatives will have any impact on other sectors within the economy, like effects on society or the environment.

In order to get a medium term view, the costs and benefits of the initiatives should also be estimated for a 5-10 year horizon. Although estimating costs and benefits may be a challenge, a policy development team may be able to rely on similar projects that have been undertaken in the past either within the federal entity itself or by another entity in the country.

### Case Example: Cost/benefit Analysis

As a part of assessing the costs and benefits of a healthcare policy proposal, a policy development team developed estimates of the potential financial benefits associated with the policy over the coming 5 years

- Decrease in obesity treatment (Direct)
- Decrease in other health related treatments (Direct)
- Decrease in dependence on social security benefits by unemployed obese people (Indirect)

The team also assessed the cost of each of the initiative over the coming 5 years...

- Provision of healthier food to cafeterias
- Educational campaigns on risks of obesity
- Free health and nutrition consultations
- Inclusion of health courses in school curriculum

The team then developed an analysis of the net financial impact of the policy and found that it would have a net positive impact of 600 million dollars over the coming five years.

Proposal to Reduce Childhood Obesity - Cost Benefit Analysis (USD)						
	Year 0	Year 1	Year 2	Year 4	Year 5	Total
Decrease in obesity treatment (Direct)	-	10,000,000	40,000,000	70,000,000	100,000,000	220,000,000
Decrease in other health related treatments (Direct)	-	30,000,000	120,000,000	200,000,000	300,000,000	650,000,000
Decrease in dependence on social security benefits by unemployed obese people (Indirect)		2,000,000	3,000,000	10,000,000	15,000,000	30,000,000
Total Benefits						900,000,000
Provision of healthier foods to cafeterias	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000	100,000,000
Educational campaigns on risks of obesity	50,000,000	30,000,000	10,000,000	10,000,000	5,000,000	105,000,000
Free health and nutrition consultations	2,000,000	3,000,000	5,000,000	5,000,000	5,000,000	20,000,000
Inclusion of health courses in school curriculum	35,000,000	10,000,000	10,000,000	10,000,000	10,000,000	75,000,000
Total Costs						300,000,000
Net Impact (Benefit - Cost)						600,000,000

Having completed the cost-benefit analysis, the team now has a revised and finalized list of initiatives to be implemented towards completing the policy.

However in the development of any given policy, and before moving on to later stages, it is important to plan ahead and set consistent, outcome-based performance indicators, and define the entities responsible for measuring and achieving each one. These indicators can be

used to monitor progress and in term determine if the desired outcomes have been achieved or not. Therefore, they become a tool used to aid decision-makers on determining what to do next based on performance results. Additionally, outcome-based indicators should be defined on an initiatives level where they can be monitored as part of the project management process (the Monitor and Review process will be discussed in more details in Chapter 3).

Case Example: Performance Indicators

After the policy development team came up with the finalized list of initiatives to be implemented towards completing the policy, they set the following indicators and targets:

Key Performance Indicators						
Performance Indicator	Year 1 (Target)	Year 2 (Target)	Year 3 (Target)	Year 4 (Target)	Year 5 (Target)	Year 6 (Target)
■ % of obese children in population	50%	49%	47%	45%	43%	40%
■ % of schools offering healthy school options to students	10%	12%	15%	19%	24%	30%
■ % of students opting for healthy food options for a majority of their school meals	30%	32%	35%	38%	40%	42%
■ % increase in child awareness of risks associated with childhood obesity	25%	25%	25%	25%	25%	25%
■ % increase in parental awareness of risks associated with childhood obesity	25%	25%	25%	25%	25%	25%
■ % of schools offering health courses as a part of their curriculum	30%	50%	70%	90%	100%	100%

2.2.6 What are the key learnings?

No.	Key Learnings	✓
1	Did we review existing and prior policies for success stories and lessons learnt?	<input type="checkbox"/>
2	Did we conduct structured thinking exercises to identify potential initiatives?	<input type="checkbox"/>
3	Did we conduct creative thinking exercises to identify potential initiatives?	<input type="checkbox"/>
4	Did we group potential initiative into themes?	<input type="checkbox"/>
5	Did we conduct stakeholder consultation?	<input type="checkbox"/>
6	Did we prioritize initiative based on strategic direction, expected outcomes and practicality of implementation?	<input type="checkbox"/>
7	Did we conduct a cost benefit analysis for the prioritized initiatives?	<input type="checkbox"/>
8	Did we set indicators and targets for the finalized initiatives?	<input type="checkbox"/>



## 2.3 Recommendation

The last section of this chapter deals with the recommendation sub-phase, and it explains how a policy proposal is finalized and raised through answering the following questions:

- How is a policy proposal finalized?
- What are they key learnings?



### 2.3.1 How is a policy proposal finalized?

**10 Packaging / Finalization of Proposal**

Once the policy development team has reached this stage, the policy appraisal process is almost complete. By now, a policy development team should have gathered all the facts, validated assumptions with the stakeholders, prioritized initiatives, conducted cost-benefit analysis of prioritized initiatives, and set performance

indicators with their targets.

In this phase of the process, the policy development team should focus on formulating a complete report with the results of the aforementioned activities, in addition to what came in the preparation phase, and then present it to the Minister / Undersecretary for review and approval. The results can also be summarized in a presentation or by using the “Appraisal Findings Summary” template shown below.

Case Example: "Appraisal Findings Summary" Template					
The policy development team then prepared a summary of the appraisal findings for submission to the Minister / Undersecretary so that he/she would be able to quickly assess the results of key analyses conducted prior to final selection of the initiatives					
Themes	Initiatives	Stakeholder Perspective(s)	Aggregate Score*	Est. Cost** ('MM USD)	Est. Benefit** ('MM USD)
Access	Increase the availability of healthy food in schools cafeterias	Strong support from majority of stakeholders	22	(100)	900
	Partner with distributors of organic food products to offer free trials at public places	Opposition from distributors of traditional foods	12	N/A	
Regulation	Increase import tariffs on ready to eat meals not meeting govt. enforced health and nutrition requirements	Strong opposition from business community and Ministry of Health	16	N/A	
Awareness	Raise the health awareness by implementing education al campaigns on risks of obesity	Limited opposition anticipated	23	(105)	
	Offer free health and nutrition consultations for parents of obese children	Strong support from majority of stakeholders	24	(20)	
	Include health courses in the curriculum of all schools	Support from public but Ministry of Education concerns about funding	22	(75)	
Net Cost / Benefit (millions of USD)				(300)	900
Net Impact (millions of USD)				600	

After the final list of initiatives and indicators have been approved by the Minister / Undersecretary, the proposal should now be at a point where the team is ready to present it

to the Cabinet (if deemed necessary) through a “Policy Proposal” and including the full report as part of the attachments.

### Case Example: Childhood Obesity

Additionally, the policy development team prepared the policy proposal shown below:

Policy Proposal	
Section	Content
Title	■ Measures to tackle child obesity in the UAE
Proposal	■ >30% of children in UAE suffer from obesity – Detailed attached
UAE Strategy	■ Reduce epidemics and health risks
Options	■ Options considered & their advantages & disadvantages – Details attached
Recommendation	■ Recommended option and rationale for selection – Details attached
Implementation	■ Pilot of first initiative within 12 weeks of policy approval; rollout time frame of 18 months – Detailed attached
Consulation	■ Institutions and persons consulted & their views – Detailed attached
Legal Implications	■ Legal support for decision making (relevant legal text and legislation)
Financial Implications	■ Implementation costs and Ministry of Finance perspective – Detailed attached
Legal Implications	■ Requirement for new and amended legislation (if required)
Wider Impact	■ Other issues (social, economic, environmental etc)- Detailed attached
Attachments	■ Documents attached to the proposal (Full report) ■ Electronic copy of the proposal (as a word document)

### 2.3.2 What are the key learnings?

No.	Key Learnings	✓
1	Did we formulate a complete policy report and summarize the results within an “Appraisal Findings Summary” to present to the Minister / Undersecretary?	<input type="checkbox"/>
2	Did we prepare a “Policy Proposal” based on the template approved by Cabinet?	<input type="checkbox"/>

Chapter 3	Monitor and Review

This chapter focuses on the Monitor and Review phase of the policy development cycle, and provides insight into the core function, foundations, and outcomes of a policy review. The chapter achieves these objectives by addressing the below questions:

- What is the function of the Monitor and Review phase?
- What are the foundations of a policy review?
- What are the possible paths resulting from a policy review?
- What are the key learnings?

The definitions of some of the key terms used in this chapter are outlined below:

- Policies: are a definite course or method of action selected from among alternatives to guide and determine present and future decisions
- Policy development teams: are responsible for monitoring the need for, assessing and defining the policies pursued by the government

### 3.1 What is the function of the Monitor and Review phase?

Policy monitoring is a means to obtain feedback on implementation progress by reporting on actual versus planned performance. It entails the collection and reporting of data related to inputs, initiatives and outcomes of a policy. Inputs are resources invested in producing and delivering a policy, e.g. financial resources, human resources, and equipment. Initiatives are the specific programs that help deliver a policy through the use of inputs. Outcomes are the results and effects that a policy aims to achieve. This section focuses on monitoring initiatives and outcomes.

Policy review is an exercise undertaken on a periodic basis to determine the effectiveness of a policy, and whether or not any changes to the policy are necessary. The period reviews of the policy depend on the policy's timeframe. For example, long-term policies such as obesity undergo annual (or semi-annual) reviews, while short-term policies undergo quarterly reviews (or even less for urgent issues).

Monitoring and review of a policy are needed to ensure that its desired outcomes are addressed and the risks to society and the country are minimized. While a government may enact a very well designed and well-intentioned policy, unless the policy is monitored and regularly reviewed, it cannot be refined for on-the-ground realities or evolution in the core problem being addressed by the policy.

In addition, by engaging in monitoring and review activities, a policy development team is able to ensure that a policy is not only delivering on its intended outcomes, but that there is also adequate data available for the development of future policies. Adequate data is important in that it allows a systematic review of past performance, thereby enabling effective future planning.

### 3.2 What are the foundations of a policy review?

A sound policy review is founded upon answering of three key questions:

- Are the desired outcomes being achieved?
- Are the results supporting the outcomes accurate and based on adequate research?
- Has the context of the policy changed?
  - Is the target population still the same?
  - Does the problem still exist?
  - Has a new problem been created?

The policy development team requests the result for each performance indicator set in the previous chapter from the entity identified as its owner in the final policy. Two types of data can be collected to measure performance, namely primary data (collected from its original source specifically for usage for the policy development project), and secondary data (collated from data already collected for a different purpose often by a different entity). Data sources include, but

are not limited to, the concerned entity itself, another government entity, or international organizations. More information on data can be found in the "Tools & Techniques" chapter.

In some cases, it could also be possible to get a feel of how a policy is performing through a number of non-government actors, including researchers, the media, the target population, and citizens in general. However, in any case, results need to be checked for accuracy and reliability through validating information sources.

While results for the indicators will offer a directional view on actual performance versus planned targets, the results need to be studied closer to identify root causes and extract key insights. This is critical so that the true value of the indicators can be ascertained, additional data requested if necessary and well thought out decisions made on the successes and failures of the policy.

#### Case Example: Foundations of a Policy Review

A year after the policy proposed by the policy development team was approved by leadership and implemented, the policy development team decided to lead a policy review to assess progress towards the intended outcomes of the policy.

In order to assess performance, the team reached out to the stakeholders involved in deploying the policy and its associated initiatives. The two key stakeholders leading deployment of initiatives associated with the policy were the Ministry of Health and Ministry of Education. The below indicators, having been previously communicated, were requested from each entity:

- Ministry of Health:
  - Latest childhood obesity rates and change compared to prior year
  - Progress in implementation of nutritional consultation programs for parents of obese children
  - Progress in implementation of educational campaign aimed at raising awareness of risks associated with childhood obesity

### Case Example: Foundations of a Policy Review

- Ministry of Education:
  - Progress in adoption of health food by school cafeterias
  - Progress in inclusion of health courses in school curriculum
  - The two Ministries reported the results along with the information sources for each performance indicator, and further analysis of the root causes led to the following:

Childhood Obesity Policy Review (Year 1)				
Performance Indicator	Year 1 (Target)	Year 1 (Actual)	Variance	Root Cause(s) / Information Source(s)
■ % of obese children in population	50%	51%	-	<ul style="list-style-type: none"> <li>Given newness of policy (1 year only) and recent deployment of associated initiatives (9-12 months)</li> <li>Targeting tangible reduction from year 2 onwards</li> </ul> <i>Source: Annual Ministry of Health report on population health indicators</i>
■ % of schools offering healthy school options to students	10%	5%	-5%	<ul style="list-style-type: none"> <li>Slow adoption rates due to existing catering contracts for large percentage of schools</li> </ul> <i>Source: Latest status report of initiative aimed at deploying healthier food choices in school cafeterias</i>
■ % of students opting for healthy food options for a majority of their school meals	30%	32%	2%	<ul style="list-style-type: none"> <li>Strong buy in amongst student population off healthy eating messages conveyed as a part of educational campaign</li> </ul> <i>Strong buy in amongst student population off healthy eating messages conveyed as a part of educational campaign</i>
■ % increase in child awareness of risks associated with childhood obesity	25%	30%	5%	<ul style="list-style-type: none"> <li>Rapid word of mouth amongst student population regarding educational campaign on risks of childhood obesity</li> </ul> <i>Source: Third party survey (conducted bi-annually) of student population as a part of educational campaign initiative</i>
■ % increase in parental awareness of risks associated with childhood obesity	25%	18%	-7%	<ul style="list-style-type: none"> <li>Lower than expected parental awareness due to high rates of missed consultation appointments</li> </ul> <i>Source: Third party survey (conducted bi-annually) of student population as a part of nutritional consultation initiative</i>
■ % of schools offering health courses as a part of their curriculum	30%	25%	-5%	<ul style="list-style-type: none"> <li>Slow adoption rate due to lead time for development and deployment of new curriculum</li> </ul> <i>Source: Latest status report of initiative aimed at deploying health related courses at schools</i>

Based on assessment of the above results, the team was able to ascertain that the target population and the magnitude of the problem have increased from 50% to 52% of the child population. The team was also able to validate that while some initiatives made faster progress than anticipated, others failed to meet their targets and may have aggravated the problem further.

## 3.3 What are the possible paths resulting from a policy review?

The end result of the policy review should be very clear, and has to be one of the following:

- Policy is going as planned
- Policy is too slow or too fast
- Policy has resulted in an adverse impact and/or created a new problem;

Each of the above options will result in a different path going forward. First and most straightforward, when the policy is going as planned in achieving its results, no changes are deemed necessary and monitoring should continue as planned to ensure sustained achievement.

Falling short of the overall planned outcome/target requires further analysis and adjustment. First, the policy development team needs to determine which of the initiatives has a lagging indicator, and expedite relevant efforts.

Next, the team goes back to the initiatives prioritization exercise (Section 2.2.4) and checks whether or not the assumptions made at that time still hold; i.e. validation of assumptions. As a result, some initiatives could be dropped, others could be included, or both.

Finally, whenever a policy proves to have resulted in adverse effects and/or created a new problem, policy makers should go back to the study and recommendation phase and draft a new policy.

It is important to note that, regardless of the path chosen and recommendations that come out of a policy review, its major benefit resides in the learning that emerges from the process. This phase is the main stage for such learning and for continuous improvement in the process of policy-making.

### Case Example: Outcomes of a Policy Review

Based on the results achieved, the policy development team went back to the prioritization matrix and validated previous assumptions. The decision was made to strengthen efforts on offering healthy food options, increasing parental awareness, and offering health courses. This decision was based on the fact that the slight increase in obesity level (from 50% to 51%) was regarded as a slow progress rather than an adverse effect of the policy, since previous projections have shown that obesity level was expected to hit 53% had the policy not been implemented.

Moreover, since the education and healthy food adoption campaigns had led to increased levels of awareness and increased adoption of healthier food options, respectively, they will therefore be continued and re-assessed at the next periodic policy review.

### 3.4 What are the key learnings?

No.	Key Learnings	✓
1	Did we request performance indicators results from each responsible party?	<input type="checkbox"/>
2	Did each responsible party identify the root cause(s) and information source(s) for the result of each performance indicator?	<input type="checkbox"/>
3	Did we identify that the context of the policy has remained unchanged?	<input type="checkbox"/>
4	Was the end result of the policy review one of the three possible outcomes?	<input type="checkbox"/>



# Chapter 4

## Tools and Techniques

During the policy preparation phase, there are a series of high quality and up-to-date information and analysis tools for the FGE. This appendices chapter contains a collection of tools and techniques that are commonly used in the development of a policy. This collection is not exhaustive and tools and templates are constantly being developed and updated.

The chapter is structured into sections covering the following areas:

- **Understanding Data**
- **Gathering Data**
- **Tools for Utilizing Data**
- **Structured Thinking Tools**

The definitions of some of the key terms used in this chapter are outlined below:

- **Data:** a collection of statistics, figures, numbers, opinions, etc. in raw or unanalyzed format
- **Data Gathering:** the process of identifying and collecting all the relevant data needed to draw a conclusion
- **Data Analysis:** the process of examining and summarizing the data gathered with the intent of extracting useful information and developing conclusions
- **Key Driver:** a factor which materially affects the outcome of an activity; an influence which is driving and shaping change in a set of data
- **Mutually Exclusive, Collectively Exhaustive (MECE):** a concept that ensures that the problem has been broken down into distinct, non-overlapping points (Mutually Exclusive) and that these points address the entire problem and are conclusive (Collectively Exhaustive)

The tools introduced in this chapter are outlined below:

- **Survey:** a tool used to gather quantitative or qualitative data – without detailed

verification – on a specific issue / question. A survey is essentially a questionnaire that is usually distributed on a wide range of respondents that are randomly selected.

- **Interview:** a tool used to gather quantitative or qualitative data by asking questions in a one-on-one setting either face-to-face or via other mechanisms (e.g. telephone interview).
- **Focus Group:** a tool used to gather quantitative or qualitative data on a specific issue or question using a face-to-face process of probing with basic and follow-up questions
- **Benchmarking:** a method used to analyze how others solve similar problems or how others accomplish work that is similar in nature. In data analysis, benchmarking is used in order to evaluate and judge the current state against best practices
- **Forecasting:** a tool used in data analysis in order to predict a future trend
- **Brainstorming:** a tool used in problem solving in which participants generate a large number of ideas and solutions for a problem while withholding judgment to allow for increased creativity. The ideas and solutions are assessed at a later point to rank their viability
- **PESTLE:** a tool used for an external assessment by considering the Political, Economic, Socio-cultural, Technological, Legal and Environmental factors influencing the organization
- **Logic Tree:** a tool used in problem solving in which a problem (in the form of a question) is broken down into sub-questions that represent potential solutions to the problem. Each sub-question can be potentially broken down again into sub-questions. It is important to note that questions and sub-questions should not be overlapping, but be hierarchical (i.e. potentially solving the “predecessor”-question)



Tools and techniques discussed in this chapter can be used in many steps of the policy development process, but are most helpful in the stages of a policy development project as shown below

Policy Dev. Phases Tools/ Methods	Policy Preparation	Policy Options Appraisal	Policy Setting	Monitor and Review
Surveys		■ Validating stakeholders	■ Assessing stakeholder positions	
Interviews		■ Consulting relevant stakeholders on viability of proposed initiatives	■ Getting feedback on the policy proposal	
Focus Groups			■ Getting feedback on the policy proposal	
Forecasting	■ Assessing strategic trends & gathering evidence ■ Proposing the actions			
Benchmarking	■ Securing project resources ■ Assessing strategic trends & gathering evidence			■ Identifying and measuring Key Performance Indicators
Brainstorming	■ Analyzing the issue ■ Assessing strategic trends & gathering evidence	■ Validating stakeholders ■ Creative Thinking		
PESTLE Analysis	■ Analyzing the issue			
Logic Trees	■ Analyzing the issue (together with PESTLE, 5W-1H approach)			

## Understanding Data

Understanding what data is required is an invaluable tool for the policy development team, as it helps them focus on collecting the most useful data, rather than attempting to collect everything, a term often referred to as attempting to ‘boil the ocean’. As an example, the need for data will relate to the issue being addressed by the policy.

After understanding the issue, and in order to understand data requirements, the initial search should look for key drivers by asking some of the following questions:

- What factors might cause the issue to get better or worse (e.g. food consumption habits, parental guidance, etc.)?

Factors are things such as:

- Segments of the populations (e.g. family units, individuals under / over a certain age, etc.)
- Incidence rates, (e.g. vehicle traffic segmented by types of vehicles)
- Consumption rates (e.g. usage rates for resources such as potable water, electricity, etc.)
- How do various factors relate to each other, e.g. family size to obesity levels, etc.?
- How would changes in either the size or changing attitudes of a population segment impact the issue (e.g. education, working mothers, etc.)?

Key factors are very context or issue specific and an inquisition into data requirements will reduce the amount of ‘ocean boiling’ that might be required. Once the focus of the data has been determined, the policy development team will recognize that data types and sources vary widely, e.g. opinions collected in a survey are data; facts about road traffic volumes are data. It is important to understand the source and type of data when working with it. Some definitions are:

- **Data** is the raw material from which information is developed. It provides a direct record about tangible entities, such as a person, a building, a vehicle, etc. Data is usually gathered, organized and stored within a database. Modern databases are designed such that data can be selected and plotted depending on the question being answered.
- **Information** is what the data tell the analyst as a result of an enquiry. To do this, the data is categorized, classified, grouped, indexed and cross-referenced. Thus accident information about traffic on a major highway will include relationships between data like:
  - The highway classification
  - Types of vehicles involved
  - Time of day of the accident
  - Weather conditions at the time
  - Number of people involved
  - Source of the emergency calls
  - Accident magnitude
  - Etc.
- **Statistics** are forms of information based either upon the summary of a continuous stream of data or a sampling. It is often expensive to collect continuous streams of data, so most statistical analysis is done using a sampling of activities, e.g. if one records the number of accidents on the mentioned highway every fourth Friday, it is likely to be a good proxy for calculating the total number of accidents to be expected on a Friday

Data can be qualitative and quantitative:

- **Quantitative:** numeric data that can be measured in units, e.g. time, money, volume, percentages, etc.
- **Qualitative:** descriptive data that uses words as a means of portrayal, e.g. observation, descriptions, opinion, thought, etc.

Data can also result from:

- Observations collected at a single point in time (cross-sectional data): this is useful when a 'snapshot' of the situation is required, e.g. data included in a SWOT analysis
- Observations collected over a period of time (time-series data): this is useful when an observation of a trend is required, e.g. examining GDP or population over several years to see a growth pattern

Data can also be distinguished according to the use to which it will be put. Typical uses of data in policy work include measuring and describing:

- **Trends:** the general pattern of something over a given period of time

- **Preferences:** what the citizens and / or stakeholders value and what they think about certain issues
- **Financial outcomes:** how much is spent, lost, earned, saved, invested, etc.
- **Performance outcomes:** the results of work to achieve an outcome
- **Correlations:** how variables relate to or impact each other
- **Benchmarks:** how the current situation / state compares to other (potentially better) situations / states
- **Forecasts:** predictions of outcomes before they occur

## Gathering Data

There are two main types of data gathering:

- **Primary Data Gathering:** sometimes referred to as field research, involves the collection of data from its original source specifically for usage for the policy development project. The three methods of primary data gathering discussed in this section are:
  - Surveys
  - Interviews
  - Focus Groups
- **Secondary Data Gathering:** involves the collation of data that already exists in some form, having been collected for a different purpose often by a different organization. Its advantage is that it saves time and effort for the concerned entity. However, it may need to be purchased from a research provider and may not directly provide the related information needed by the entity.

*Primary Data Gathering:*

Surveys

Surveys are a means of developing a broad, representative understanding of a situation, social attitudes or prevalent behavior.

Most surveys contain data collected at a single point in time, i.e. they provide a snapshot in time. A typical survey, collecting data at a single point in time, asks the same set of questions to a random sample of the population. If the sample is statistically significant (can be relied upon to represent), the results should be indicative of the mix of responses that would have been received, had the same questions been posed to the entire population. This method of sampling can be contrasted with a census where information is comprehensively acquired and recorded about the members of a given population.

A survey can also collect data over a period of time. Surveys of this nature may range from short-term panel studies, such as when the same people are asked the same questions before and after a big event, to comprehensive studies that track individuals – and even whole families or households – over a life-time, enabling causal links to be more confidently established. Data collected over a period of time can be used to analyze the impacts over time and it permits a projection of how a policy may be affected in future.

Sample question types used in surveys are shown in the below example:

Type	Example	Type of Question	When to Use
A Statement	What do you think of the UAE's approach to developing the manufacturing sector of its economy?	Open-ended Questions: These are questions to which there is not one definite answer. These give respondents the opportunity to answer in their own words.	Used when the opinion of the respondent in his/her own words is sought
A List	Please list the issues you feel are the most important in relation to enhancing the UAE's economy		
Choosing from a list of options	Which one of the following countries do you feel has the strongest economy? ■ United Arab Emirates ■ Kingdom of Saudi Arabia ■ Kuwait ■ Qatar ■ Bahrain ■ Oman	Closed - ended Questions:  These are questions to which there is a finite set of answers from which the respondent chooses. These questions are usually difficult to write than open - ended, because the choices must be designed to include all the possible answers a respondent could give for each question.	Used when all the possible answers are to be ranked in order to seek a relation between the different answers
Rank Order	From the following list of GCC countries, choose THREE which you feel have the strongest economies and put them in rank order; 1 = strongest, 2 = second strongest, 3 = third strongest ■ United Arab Emirates ■ Kingdom of Saudi Arabia ■ Kuwait ■ Qatar ■ Bahrain ■ Oman		
Degree of agreement/ disagreement (the Likert Scale)	Unified GCC currency is a good thing for the UAE ■ Strongly Agree ■ Agree ■ Neither Agree or Disagree ■ Disagree ■ Strongly Disagree		Used to assess a respondent's feeling about an issue

If a survey is to be conducted, it may be helpful to commission a market research company to undertake the work. This can be particularly helpful if a large amount of data needs to be collected in a short period of time. A market research company will also have experience of what makes a good survey and can feed best practice into the design of the methodology for collection of the data.

Interviews

Interviews are particularly useful for getting 'real time' views on a particular issue, and for collecting both historical data and opinions. Interviews are a particularly useful tool for gathering data from subject matter experts and

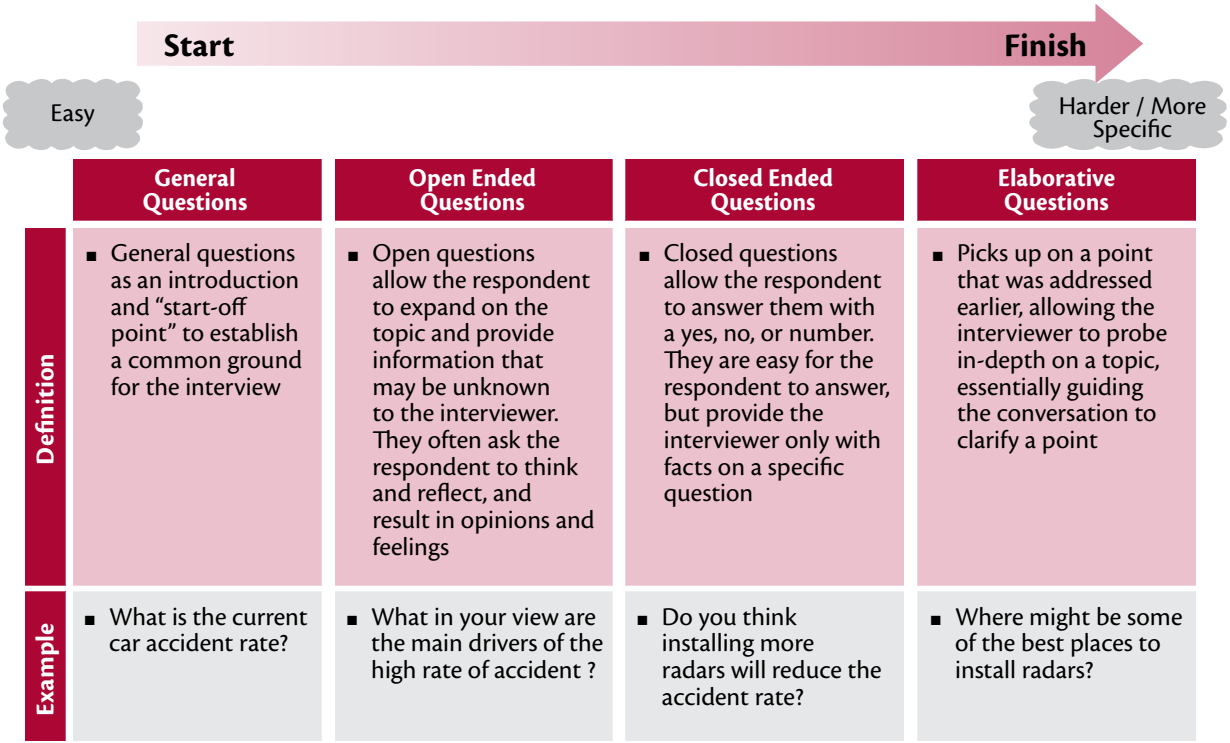
from leaders within the FGE (or from outside the FGE) for which a policy is being developed. However, interviews are time consuming for a team to collect and can be difficult to schedule if data gathering has tight time constraints.

Interview preparation is critical to successful interviewing. Before undertaking any interviewing activity, it is best practice to:

- Be clear about the purpose of the interview – what is the data being sought, and how will it be used?
- Prepare a list of structured questions (an interview guide) if the results are to be used to compare the responses from multiple interviewees

- Prioritize the questions in case time is cut short and if possible, sequence the questions so that they build on each other
- Cross-check the questions against a defined list of issues for which data is to be gathered
- Prepare the interviewees, by scheduling a fixed time and by informing them of the purpose of the interview

- Prepare the interviewer by researching the background of the person to be interviewed
- The purpose of the interview should be the determinant for the type of questions (e.g. open-ended or yes/no) to be asked. For a general interview the question flow by type is shown below:



In such a general interview as shown above, the interviewer should start by reconfirming the purpose of the interview and why the person was selected for an interview. Then the interviewer might open with the general questions to engage the interviewee in a conversation, after which the interviewer may ask more open ended questions (i.e. questions that require an explanation rather than a yes or no answer) to allow the interviewee to elaborate on an issue. The open-ended question can be followed by a series of closed ended questions (i.e. questions that hone in on a particular point) to confirm a particular issue. As the interview nears its conclusion, the interviewer may provide the interviewee with the opportunity to express his / her opinion and to provide additional data.

Some general guidelines for conducting interviews include:

- Openness – allow the interviewee to offer opinions, without challenge
- Flexibility – follow the interviewees thoughts, but guide the interview to gather the required data
- Completeness – making sure that all the relevant points have been covered
- Probe – Understand the thoughts of the interviewee and ask follow-up question(s) to ensure the opinions or statements of facts are understood
- Cooperation – trading information (non-proprietary) with the interviewee may be a good way to get the interviewee to open up



It is best practice to document interviews in a synthesis sheet to facilitate their use. A sample synthesis sheet is shown below:

Interviewer Name	The name of the person who is conducting the interview
Date / Time	The date and time of the interview
Location	The location the interview is held at
Interview Objective	A brief description of the intended purpose of the meeting (e.g. the aim of this meeting is to seek your perspective on road safety)
Interviewee Information	
Name	The name of the person being interviewed
Entity	The entity that the interviewee belongs to
Department / Position	The department that the interviewee belongs to and his/her position
Contact Information	The phone number and/or e-mail address of the interviewee
Interview Guide	
Question 1	
Answer 1	
Question n	
Answer n	

Focus groups

Focus groups entail structured interviews with a small number of individuals to explore a particular issue or to seek views on areas of concern. Focus groups are generally considered to be a ‘qualitative’ method – exploring a small number of people’s views and feelings in-depth, as opposed to large-scale surveys that ask large numbers of people identical questions and that are more suitable for quantitative analysis.

Generally, policy development projects will want to use a number of groups with different perspectives, to test how different groups feel or will react to a certain concern.

The process typically involves:

- Specifying desired objectives and selecting a specialist facilitator (if a facilitator is needed)
- Deciding on the target groups and how these should be segmented (e.g. by socio-economic group, department within the organization, etc.). To ensure the group is representative, while not being intimidating for the participants, best practice for focus groups is five to eight people in each focus group session

- Producing a list of questions that will be asked during the session. To ensure an in-depth discussion of each question, it is advisable to limit the discussion to no more than 5-10 questions.

Focus groups are essentially multiple interviews conducted at once; therefore, many of the same guidelines for conducting focus groups are similar to conducting interviews (see interviews above)

An opinion-gathering focus group process consists of a facilitated discussion among the participants around their answers to each of the questions asked. A good facilitator should be able to:

- Guide the discussion without being directly involved in the conversation themselves
- Create and maintain the group’s enthusiasm and interest in the topic
- Ensure that all of the participants are active and allowed to offer their contribution to the discussion
- Listen to the participants without exhibiting strong reactions or change in body language, thus avoiding giving any indication of approval or disapproval of the opinions being offered

Secondary Data Gathering

There is an enormous volume of data that is routinely captured, systemized and published by a wide range of institutions. Much of this

data is readily accessible via the Internet. A non-exhaustive list of the most common external and public data sources is outlined below.

Data Sources		
Government Sources		
Chambers of Commerce		National chambers of commerce (including the chambers of commerce of the various Emirates in the UAE) provide useful reports and summaries on economic indicators, sectors, etc.
Central Banks		Various central banks globally publish reports pertaining to the economic outlook of their respective countries.
International Agencies		
International Monetary Fund (IMF)	www.imf.org	Provides country reports for every country in the world. Three particularly useful publications are: <ul style="list-style-type: none"><li>■ The World Economic Outlook</li><li>■ The Annual Report</li><li>■ The International Capital Markets</li></ul>
United Nations Development Programme (UNDP)	www.undp.org	Provides publications that analyze the developmental progress on a regional, national, and local basis. A key publication is the annual <i>Human Development Report</i>
International Labour Organization (ILO)	www.ilo.org	Provides publications that discuss various labour and human rights issues. Key publications include the <i>Director General's Reports</i>
World Trade Organization (WTO)	www.wto.org	Provides publications on international trade policies and regulations. Key publications include: <ul style="list-style-type: none"><li>■ The World Trade Report</li><li>■ International Trade Statistics</li><li>■ WTO Annual Report</li></ul>
World Health Organization (WHO)	www.who.int	Provides various publications analyzing disease outbreaks, as well as analyzing the performance of health systems around the globe. A key publication is <i>The World Health Report</i>
World Bank	www.worldbank.org	Provides a vast database on economic, social, and other development statistics for all countries in the world.
Business Publications		
The Economist	www.economist.com	Provides archives of previous articles as well as special reports and surveys. The <i>Economic Intelligence Unit Country Briefings</i> also provides a good source of country information.
Subscription Databases		
Datamonitor	www.datamonitor.com	Provide a comprehensive search on industries and companies, as well as provide a portal for accessing various research articles published by various entities.
Business Monitor International	www.bmi.com	
Zawya	www.zawya.com	
Internet Search Engines		
Google	www.google.com	Provide a portal to any piece of information, and information sources, required. Usually a good place to start any research effort.
Altavista	www.altavista.com	
All the Web	www.alltheweb.com	

There will often be additional sources specific to a topic available. Other sources include departmental websites, statistics centers and libraries which can provide various specific data and links to other useful sites. It can also be beneficial to search academic journals, trade and specialist magazines if required.

Subject matter experts, individuals with deep experience working with a particular topic, are particularly helpful to guide a researcher to find additional sources of secondary data. These

include the following, many of which exist in the government sector:

- Economists
- Academics
- Scientists
- Social researchers
- Statisticians

# Tools for Utilizing Data

Data is utilized to draw out specific conclusions relevant to policy work at a given FGE. This section discusses two different tools used in data utilization; forecasting and benchmarking.

## Forecasting

Forecasting identifies and tracks past trends and extrapolates them into the future. Typically, it is used to track changes over time (named time-series forecasting) and to make predictions. Forecasting is a useful tool as it may help provide visibility to potential changes over a period of time and permit adoption of appropriate

initiatives and/or measures to manage those changes.

It is difficult to correctly estimate the future; however, when it is possible to identify key drivers (key drivers were discussed in the 'Understanding Data' section) for a sector, a prediction can be made. Using these drivers along with historic data allows for estimating the future.

A summary of the forecasting process is shown below:

Evaluation of Drivers	Data Collection	Formulating the Forecast
<ul style="list-style-type: none"><li>■ Identify appropriate drivers and evaluate how each driver will affect the forecast<ul style="list-style-type: none"><li>– Interviews with (external) industry experts</li><li>– Interviews with (internal) experts</li></ul></li></ul>	<ul style="list-style-type: none"><li>■ Collect data on the drivers to verify evaluation</li><li>■ Collect data on the topic to enable past trend analysis (i.e. discover how the data has changed over time in the past)<ul style="list-style-type: none"><li>– Secondary research</li></ul></li></ul>	<ul style="list-style-type: none"><li>■ Build a forecast model incorporating how each driver affects the forecast. Seek the help of the following for building the forecast model:<ul style="list-style-type: none"><li>– Statisticians</li><li>– Mathematicians</li></ul></li></ul>

Two of the key requirements in conducting forecasting are to identify key drivers and get accurate data for them. If time permits and the forecast is critical to the policy development, it

may be necessary to commission a sample study to gather sample data on key drivers in order to accurately inform the forecasting model.



Benchmarking

Benchmarking utilizes data to compare outcomes and to set standards and goals. Comparing performance through benchmarking data utilization is a valuable means identifying areas for development in the delivery of a policy which should have influence on the development of the policy. There are three main ways to use benchmarking in policy work:

- 1. Comparison benchmarking data: Comparing outcomes from other FGE's doing similar work can be an effective catalyst that helps to make a case for change, by comparing the performance level of others.
- 2. Benchmark learning: After using comparison benchmark data to make the case for change, benchmark learning can be used to learn how others have overcome comparable

problems or have innovated new ways to do work. International comparisons bring together information, data and analysis on approaches for how other countries tackled similar issues and can draw out relevant experience that may be applied in the UAE

- 3. Indirect benchmarking: The act of looking 'outside the box' to see what can be learned from non-comparable agencies is a useful way of seeking new ideas for "doing things" and promotes culture that is receptive to fresh approaches

A main source of benchmarking information is the Internet. Simple internet searches will often yield ample amounts of benchmarking information that can be used throughout the policy development process. An overall benchmarking process is shown below:

Identify Comparator Country / Region	Gather Evidence	Interpret Results
<ul style="list-style-type: none"><li>■ Identify the type of data needed</li><li>■ Determine a comparator country or region where best practices are known to exist</li><li>■ Identify / decide relevance of comparison</li></ul>	<ul style="list-style-type: none"><li>■ Conduct secondary and primary research to gather evidence</li></ul>	<ul style="list-style-type: none"><li>■ Draw out conclusions on areas of potential enhancements</li><li>■ Seek the help of experts in identifying the reason for performance variations</li></ul>

Case Example: Ministry of Education

A Ministry of Education wanted to benchmark the country's university education spend with that of other developed countries, attempting to correlate higher education spend with its status as a developed country

Identify Comparator Country / Region

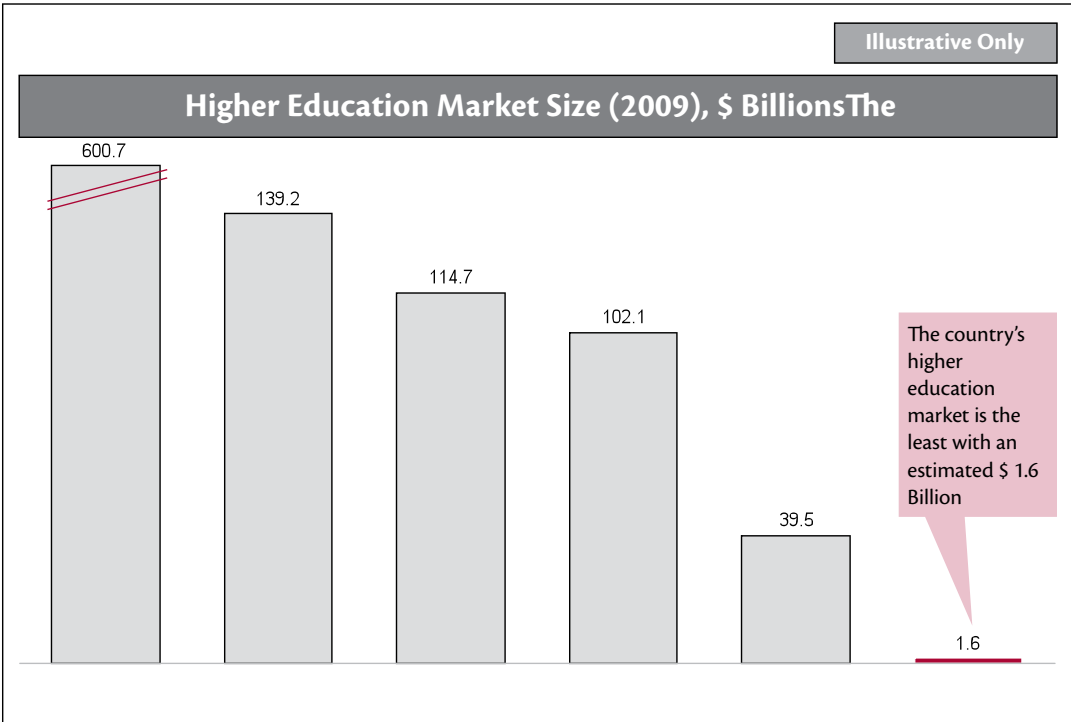
A team within the Ministry of Education started by identifying the type of data they will use for the benchmark. The data to be used is as follows:

- Higher education spend per capita
- TIMSS (Test in Mathematics & Social Science) Scores
- Higher education spending as % of GDP
- Human Development Index

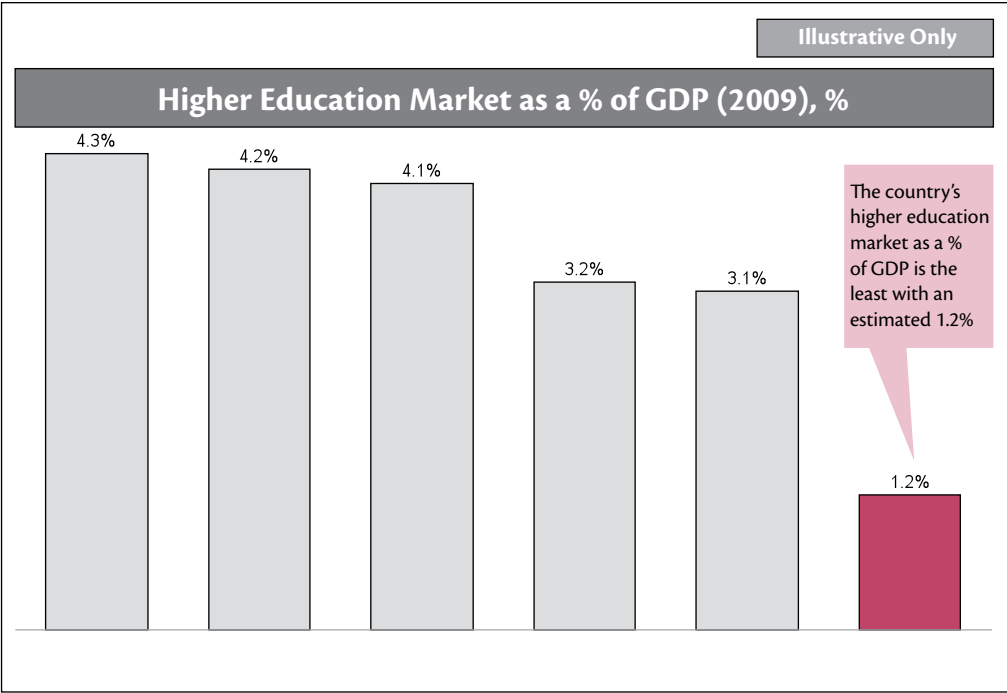
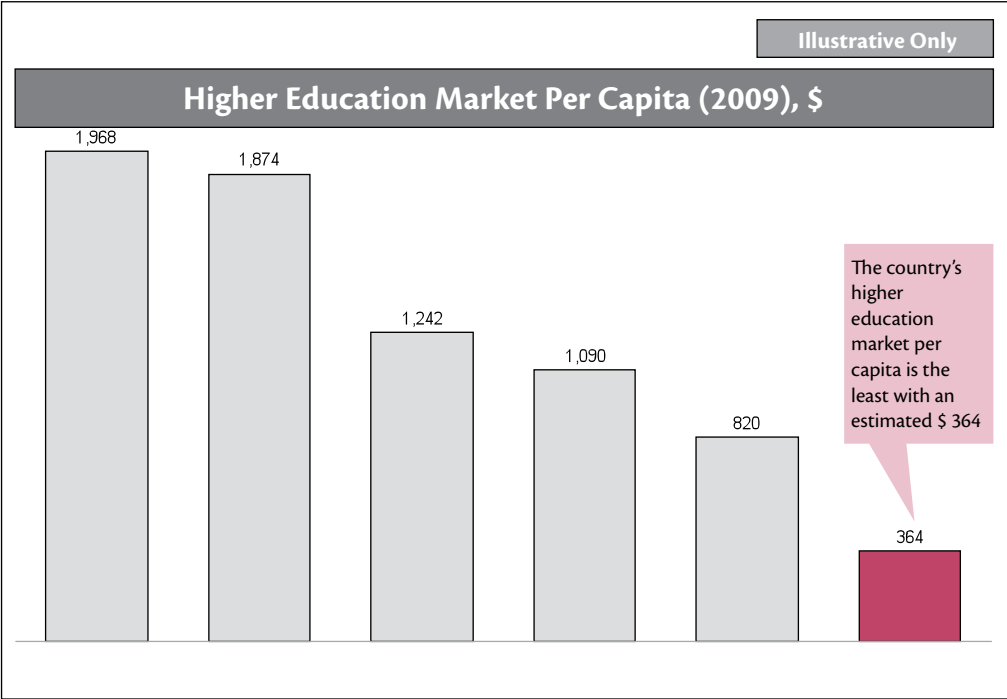
The team then identified potential countries where best practices in higher education are known to exist.

Gather Evidence

The team then conducted secondary and primary research and gathered the following benchmark data:



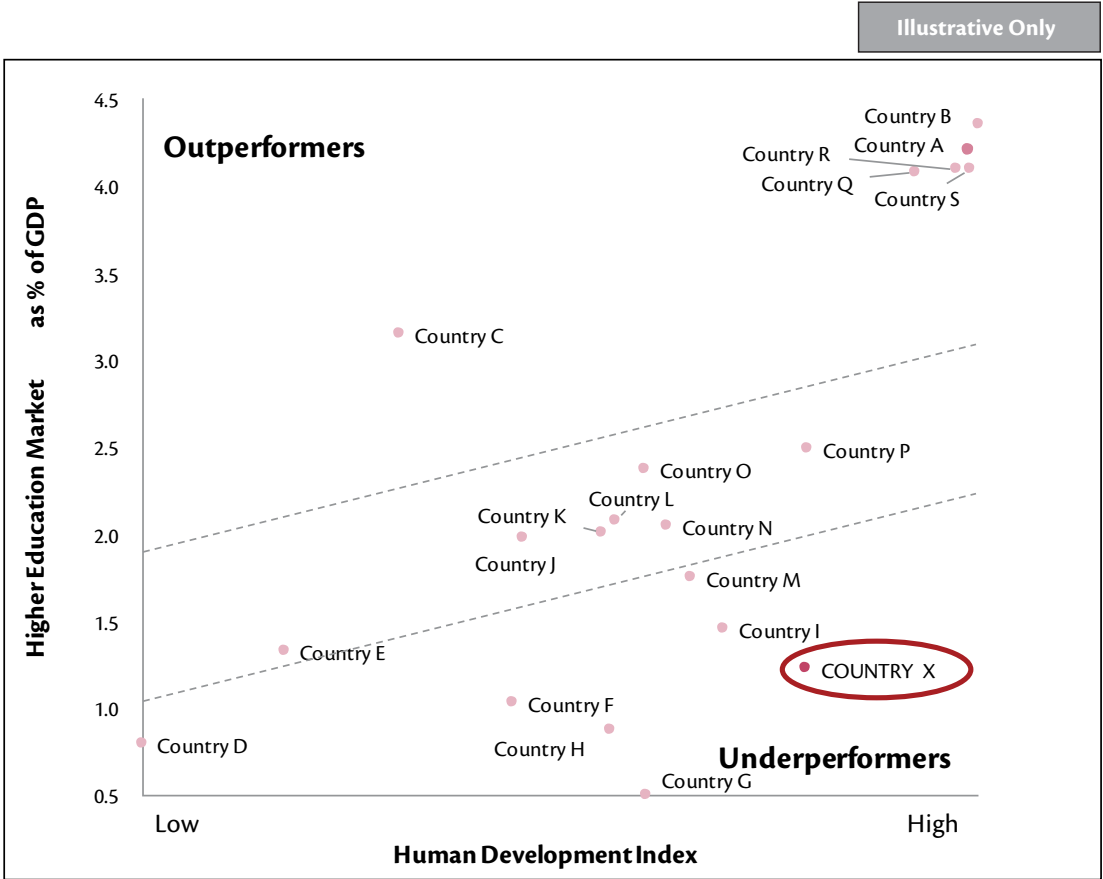
Case Example: Ministry of Education



Case Example: Ministry of Education

Interpret Results

A series of interviews with education experts indicated that a researcher should expect a strong correlation between a country's Human Development Index (HDI) and its higher education spend, as higher education is a driver of future growth, countries with already high HDI's often are wanting to maintain it and thus pursue policies that push more GDP into higher education



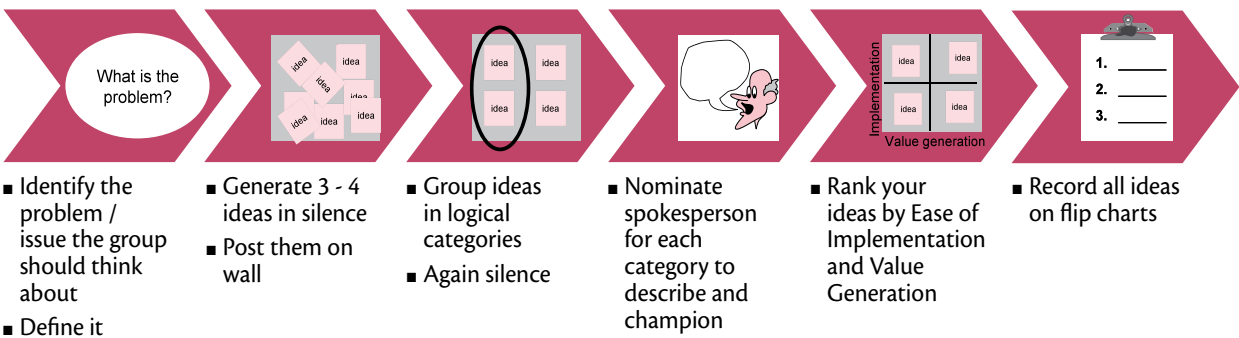
This benchmarking indicated that the country might wish to consider policies that promote higher educational spend, perhaps doubling the current rate.

<sup>2</sup>HDI is an indicator that measures the achievements in a country along three basic dimensions of human development; life expectancy at birth, access to knowledge and standard of living. The higher the HDI of a country, the more developed it is

# Structured Thinking Tools

During many stages of the policy development process, structured thinking is helpful to generate better and possibly more innovative solutions to an issue. Following are four tools that will help structure a team's thinking:

- Brainstorming,
- PESTLE external environment analysis,
- Logic trees, and
- The concept of **Mutually Exclusive, Collectively Exhaustive (MECE)** thinking



There are three basic rules in brainstorming. These are intended to reduce social inhibition among group members, stimulate idea generation and increase overall creativity of the group:

1. **Encourage people to share thoughts:** individuals should be given confidence to express any of their (topic related) thoughts. The assumption is that the greater the number of ideas generated, the greater the chance of producing an innovative solution
2. **Withhold criticism:** in brainstorming, criticism of ideas generated should be put 'on hold'. Instead, participants should

## Brainstorming

Brainstorming is an idea development technique designed to generate a large number of ideas for the solution of a challenge. Brainstorming is a very popular tool in policy work as it essentially expands the thinking to include all the dimensions of a challenging issue or problem. If used properly it generates many potential solutions in a short timeframe. A brainstorming process is outlined below:

focus on extending or adding to ideas. By suspending judgment, participants will feel free to generate good (sometimes radical) ideas

3. **Welcome unusual ideas:** to get a good and long list of ideas, unusual ideas should be welcomed. Looking from new perspectives and suspending assumptions can generate such ideas. These new ways of thinking may provide better solutions

For the purposes of policy work in a FGE, members of the policy development team will be facilitating the brainstorming sessions. They are essentially helpers and enablers; their goal

will be to help others in the brainstorming session.

When facilitating brainstorming sessions, it is useful to keep the following factors in mind:

- **Helping people understand why they are here:** this involves keeping the goal of the brainstorming session clear and reminding others when they are off target. Bringing a sense of urgency and energy to the work is important.
- **Staying neutral to the content:** when in a facilitating role, the policy development team must focus on the process and not influence the group's decision making unless specifically asked for their advice.
- **Championing ideas not individuals:** this involves treating individuals in the brainstorming sessions as equals.
- **Synthesizing:** this involves asking participants to build on each other's ideas, so collective thinking can emerge.
- **Paraphrasing to seek clarity:** this involves repeating what people say so that they know that their point was taken seriously and to let others hear their point a second time.
- **Summarizing periodically:** this involves offering concise and timely summaries of the discussion / ideas generated.
- **Using documentation and visualization tools (e.g. flip chart, blackboard, etc.):** this involves recording what participants have said to keep track of emerging ideas. Notes should be precise and concise.
- **Preparing resource material prior to the brainstorming session:** the policy development team may need to prepare a short presentation on a topic in order to place the participants in a context before the brainstorming can begin.

## PESTLE, an External Environment Analysis Tool

A PESTLE is a structured analysis tool for looking at external influences on the issue at

hand. A PESTLE process does this by looking at external issues from six perspectives; Political, Economical, Socio-cultural, Technological, Legal and Environmental.

The process is kicked off doing research on worldwide, regional and local events that may impact on an entities' area of responsibility. A desk research (e.g. internet, reports) process might be supplemented by phone or in-person interviews with experts in the organization's field. These might include:

- **External experts / specialists:** these include economists, sociologists and possibly sector experts relevant to the organization that can give an outsider's perspective on the external environment
- **Representatives and / or reports from international agencies:** these might inform or set the FGE's standards (e.g. for the Ministry of Health, such an agency would be the World Health Organization) by shedding light on various trends
- **Internal specialists:** these include staff members from the organization itself, such as departmental heads or senior advisors

As part of the data gathering and analysis work, the following can be used as a sample checklist to prompt identification of influences from each of these PESTLE perspectives:

- What is the correlation between economic growth / decline and the policies of the issue at hand?
- How have recent social-cultural factors impacted the issue? What is the speculation about further change in this sphere?
- What international trends with regard to environment will impact the issue at hand?
- Which of these PESTLE factors will affect the issue at hand the most?
- Which of these are the most important at the present time and in the next few years?

A non-exhaustive list of sample issues to consider while answering the above questions is shown below:

Factor	Sample Issues to consider
<b>Political</b>	<ul style="list-style-type: none"> <li>■ Taxation Policy (if applicable)</li> <li>■ Local government / developed administrations</li> <li>■ Political trends</li> <li>■ Country reputation</li> <li>■ Governmental relationships</li> </ul>
<b>Economic</b>	<ul style="list-style-type: none"> <li>■ Business cycles</li> <li>■ GDP trends</li> <li>■ Interest rates</li> <li>■ Inflation</li> <li>■ Unemployment</li> <li>■ Disposable income</li> </ul>
<b>Socio - cultural</b>	<ul style="list-style-type: none"> <li>■ Population demographics</li> <li>■ Social mobility</li> <li>■ Lifestyle changes</li> <li>■ Levels of education</li> </ul>
<b>Technological</b>	<ul style="list-style-type: none"> <li>■ New discoveries</li> <li>■ Speed of technological transfer</li> <li>■ Rates of obsolescence</li> </ul>
<b>Legal</b>	<ul style="list-style-type: none"> <li>■ International / regional agreements</li> <li>■ Employment law</li> <li>■ Health &amp; safety law</li> <li>■ Legislation</li> </ul>
<b>Environmental</b>	<ul style="list-style-type: none"> <li>■ Environmental impact / legislation</li> <li>■ Energy consumption</li> <li>■ Waste disposal</li> </ul>

The results from these two data gathering activities can be organized for background reading and / or developed into a presentation for a workshop or focus group, where a group

exercise is carried out to score how the issue might be effected by each area of the PESTLE. A scoring template such as the one shown below can be used to quantify the views of the group:

Factor	Issue	Level of Impact	Nature of Impact	Time Frame
<b>Political</b>		High Low	Positive Negative	Long Term Medium Term Short Term

Where the columns represent:

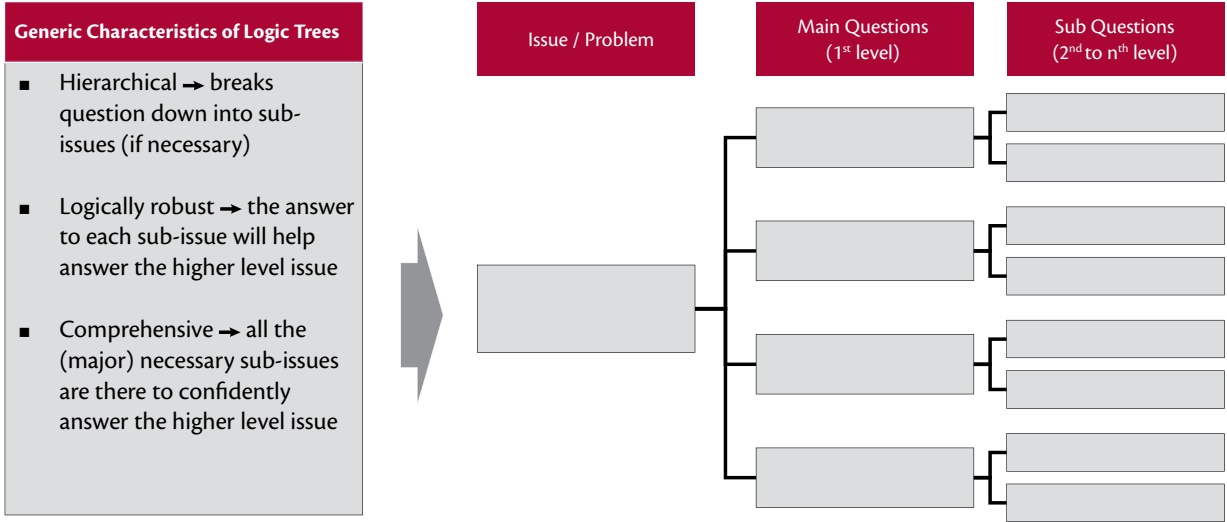
- **Factor:** this outlines the PESTLE factor (i.e. Political, Economical, Socio-cultural, Technological, Legal, and Environmental)
- **Issue:** this is a description of the issues within the PESTLE factors
- **Level of Impact:** this is an outline of the issues' level of impact on the project, and / or entity (High / Low)

- **Nature of Impact:** this is an outline of the type of impact that the issues' have on the project, and / or entity (Positive / Negative)
- **Time Frame:** this is an outline of the time amount that the issue is anticipated to have an impact on the project and / or entity (Long-term, Medium-term, Short-term)

### Logic trees

Logic trees are another tool that can help structure thinking as they help to identify the main issue or question that the team should address, and break it down into its smaller component parts (sub issues). For example, they can be used:

- To analyze specific issues / problems



Before embarking on the detailed thinking, some time should be spent thinking through the overarching question(s) – main questions – through which the policy development team is attempting to break down the main issue / problem. One way of creating this statement of the problem is to note down some of the areas of enquiry. The team members should ask themselves what the main potential drivers associated with a particular problem are and

- To apply the 6 questions (**What, Why, Who, When, Where, and How**) approach
- To apply the PESTLE analysis (**P**olitical, **E**conomic, **S**ocio-cultural, **T**echnological, **L**egal and **E**nvironmental factors)
- The figure below outlines the general characteristics of a logic tree:

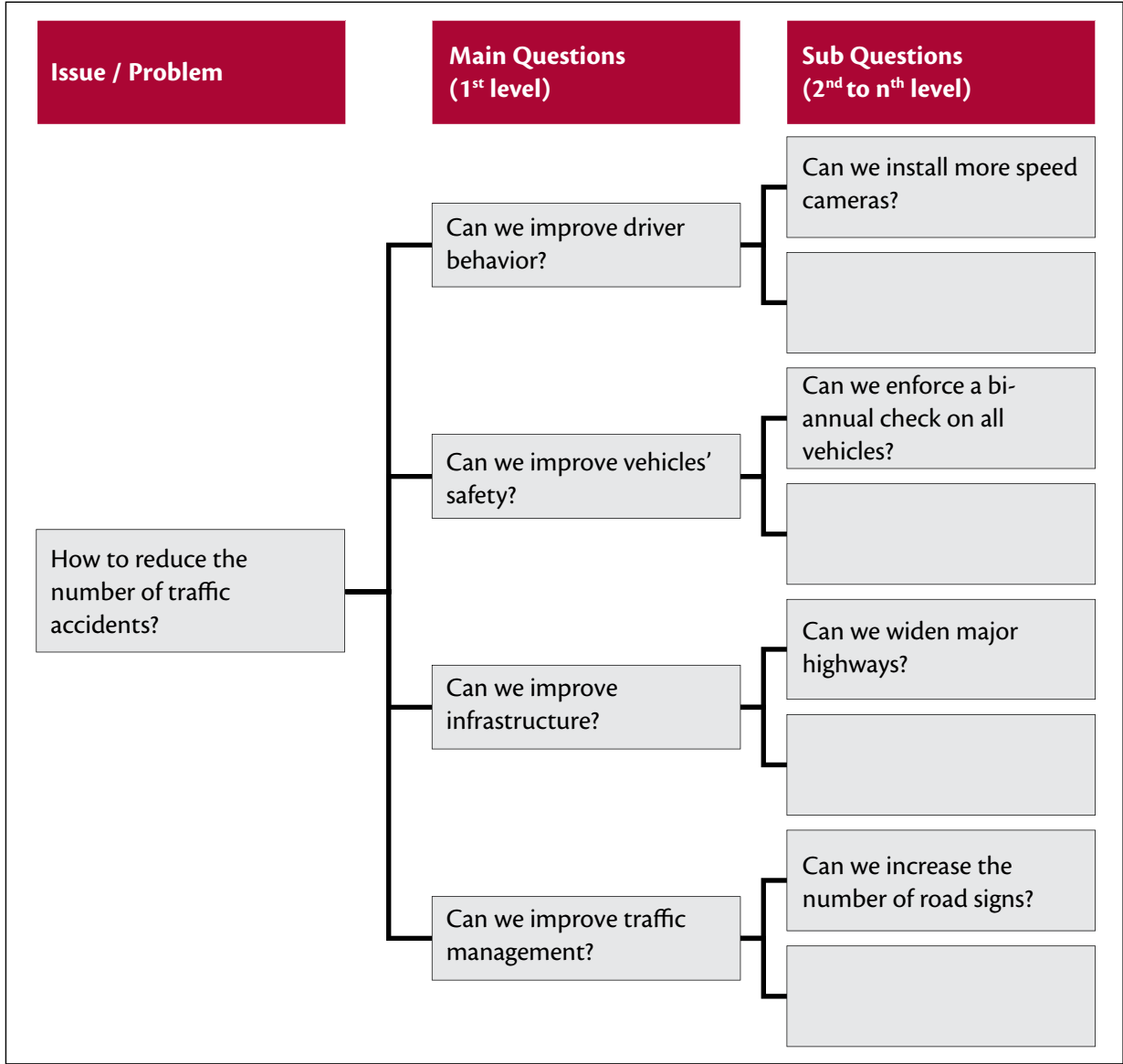
then formulate questions specific to each of these drivers (e.g. drivers for a high number of road accidents could be any of the following; drivers, cars, roads, traffic, etc.).

In most cases, the questions associated with each of the drivers would then need to be broken up into another layer of questions which in turn would be broken down into yet another layer of questions and so on.



Each time a question is broken out into lower level questions, these lower-level questions should together give the answer to the higher level question. Moreover, these lower level

questions should together cover all the issues needing to be resolved, but should not overlap each other. An example to illustrate this is shown below:



*The concept of MECE*

When breaking an issue or a problem down, the objective is to reach a MECE perspective, i.e. Mutually Exclusive and Collectively Exhaustive. Being MECE in the context of breaking down a problem means separating the problem into distinct, non-overlapping points (Mutually Exclusive) while making sure that no point relevant to the problem has been overlooked (Collectively Exhaustive). Once the points have been identified, it is useful to ask the following questions to ensure that the points are MECE:

- Is each point a separate and distinct point?
- Does every aspect of the problem come under one (and only one) of the points identified?
- Has any point been missed?

Being MECE ensures that nothing is missed and helps structured thinking. However, getting to a MECE result does not necessarily mean overwhelming the team with the finest details; rather, it simply means that the problem is separated in such a way that overlaps are avoided while being complete.

In terms of completeness, it is suggested to apply the common sense based 80/20 rule (also known as Pareto Principle, as it was originated by the famous economist Vilfredo Pareto in the early 20th century). The rule states that for many events, roughly 80% of the effects come from 20% of the causes. Hence, once the points that address roughly 80% of the problem are identified, the remaining ones should be of a minor nature, not requiring the rigor of this exercise to ensure that the problem is fully solved.

**Case Example: MECE**

Mutually Exclusive  
No overlap between points

Collectively Exhaustive  
All points necessary to support the conclusion are there

Issue / Problem	Main Questions (1 <sup>st</sup> level)	Sub Questions (2 <sup>nd</sup> to n <sup>th</sup> level)
How to reduce the number of traffic accidents?	Can we improve driver behavior?	Can we install more speed cameras?
		...
	Can we improve vehicles' safety?	Can we enforce a bi-annual check on all vehicles?
		...
	Can we improve infrastructure?	Can we widen major highways?
		...
	Can we improve traffic management?	Can we increase the number of road signs?
		...

The logic tree shown above is an example of a MECE logic tree. When trying to answer the question: 'How to reduce the number of traffic accidents', the team identified the four distinct, non-overlapping points (improving driver behavior, improving vehicles' safety, improving infrastructure, improving traffic management) that collectively address the problem (how to reduce the number of traffic accidents).



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