

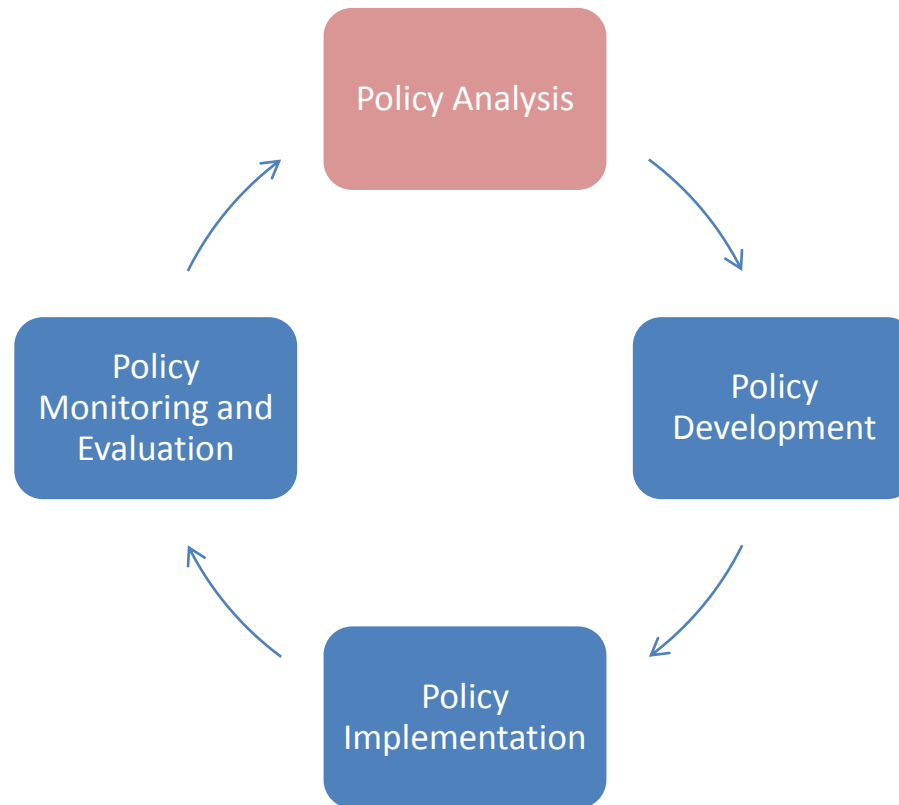
Policy Process – Theory and Practice

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The Policy Diagram



Many policy failures can be traced back to the fact that the problem was not properly identified.

Policy Analysis Phase

The Eightfold Path of Policy Analysis (Eugene Bardach)

- 1. Define the problem**
- 2. Assemble evidence**
- 3. Develop alternatives**
- 4. Select criteria**
- 5. Anticipate outcomes**
- 6. Confront trade-offs**
- 7. Select “best option”**
- 8. Tell the story**

Policy Analysis Phase

1) Define the problem

- Don't define the solution into the problem
- Get beyond the existing beliefs / think outside the box (Use "WHY" exercise)
 - Important to understand underlying causes
- Quantify as much as possible
- Be careful about tackling too many problems in one policy
- Identify key stakeholders
- Discuss definition with colleagues/stakeholders and build consensus

Policy Analysis Phase

2) Assemble evidence

- **Start Early (Proactive not Reactive)**
- **Cost Benefit Analysis on collecting evidence**
- **Ensure that you check existing literature/best practices (Other countries and sectors)**
- **Keep those opposing your work in mind**

Policy Analysis / Development Phase

3) Develop Alternatives

- Start comprehensive, end up focused
- Always try to come up with inventive solutions, not just the current prevailing preferred political options
- Consult with others

Policy Analysis / Development Phase

4) Select criteria for evaluating alternatives

- **Efficiency**
- **Sustainability**
- **Equitability, fairness**
- **Political and social feasibility**
- **Legality**
- **Flexibility**

Policy Analysis / Development Phase

5) Anticipate the outcomes

- **Attach quantifiable estimates**

Instead of: "We expect this program to have a very positive effect on reducing poverty and more equitable land tenure."

You want to say: "By 2014, we expect that this program will result in 1500 households having legal management rights to their lands, and an average increase of 15% in household income."

- **Break even estimates / scenarios**
- **Put yourself in the other person's shoes**
- **Think about the potential undesirable and unintended side effects**

Policy Analysis / Development Phase

6) Confront trade offs

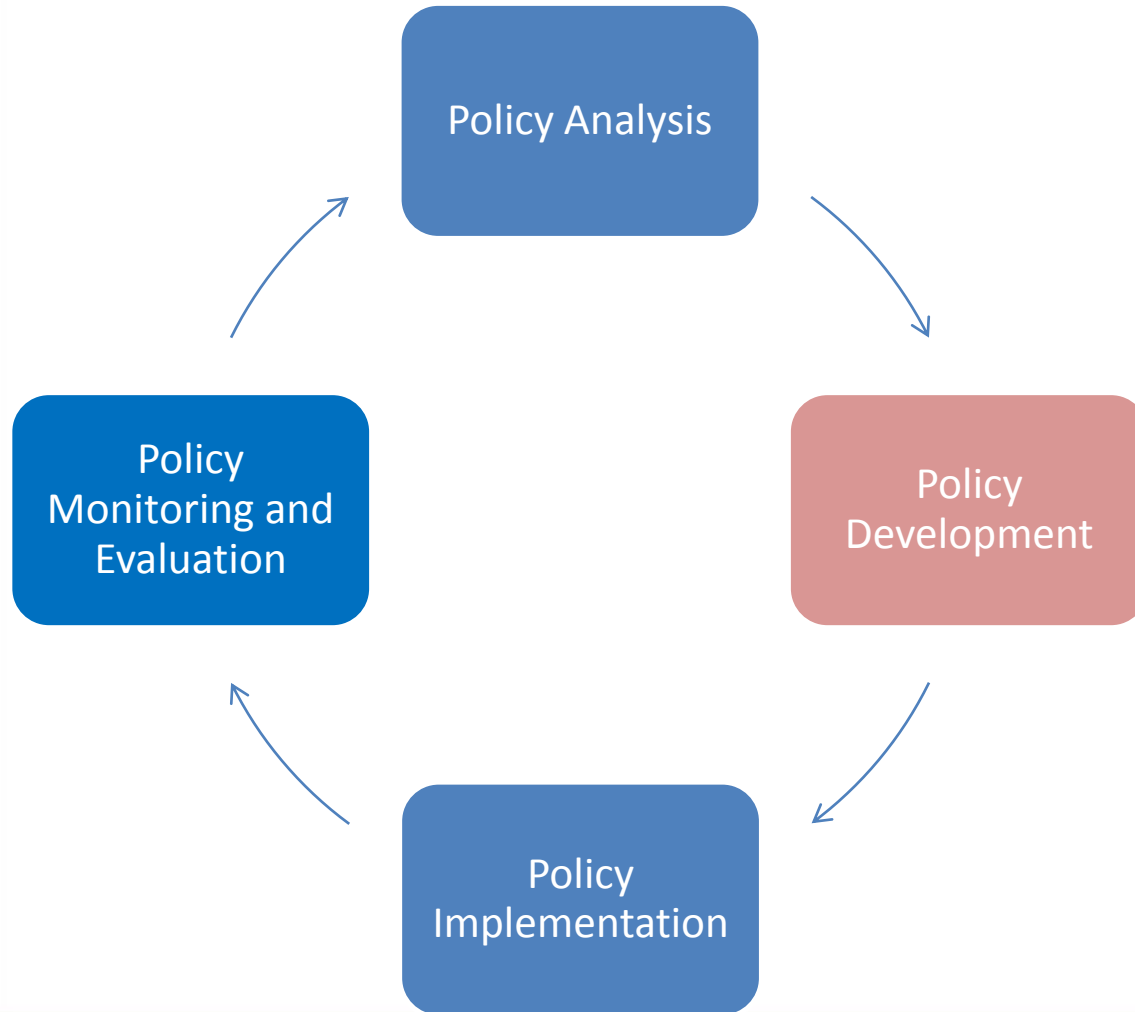
- Eliminate weaker alternatives
- Compare to base case, such as doing nothing to solve the identified problem

7) Select the best options

Policy Analysis Phase

8) Tell your story

- Use simple language and share with others
- Identify the likely audience (For whom is the story?)
- Consider the medium (the shorter the better)
- Follow a logical narrative flow
- Provide executive summary (for long reports), lots of tables and graphics, references and sources
- Make limitations clear

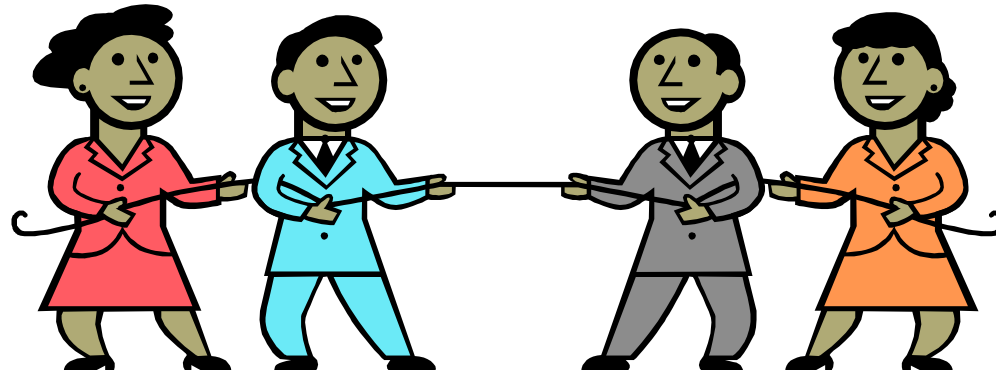


Policy Development Phase

There are two main steps in the **policy development phase**:

- 1) Alternative policy proposals are put forth and debated.
- 2) The policy prescription is chosen, including, through selection of appropriate policy instruments through a consensus building process in consultation with major stakeholders.

Policy Development Phase



NEGOTIATION and DECISION MAKING = Publicly shared vision

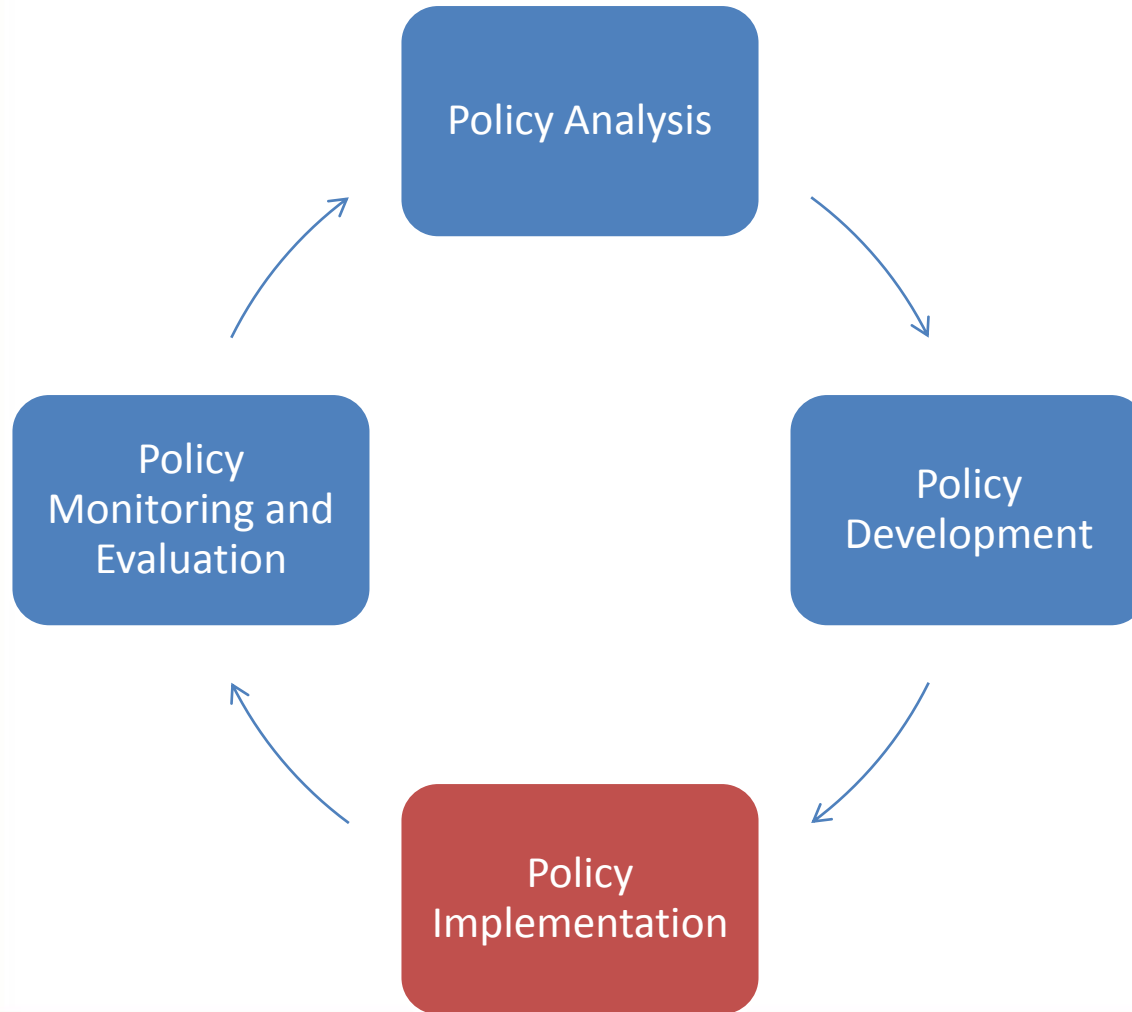
Policy Development Phase

Some values/ principles that lead to effective policy development

- Firm political commitment at different levels
- Transparency of decision making process and the roles and responsibilities of its advocates
- Creating space for true multi-stakeholder engagement
- Recognition of customary laws and traditional rights and knowledge
- Searches for opportunities for policy reform that will improve other pressing international and government goals, in particular contributing to economic development

Policy Development Phase

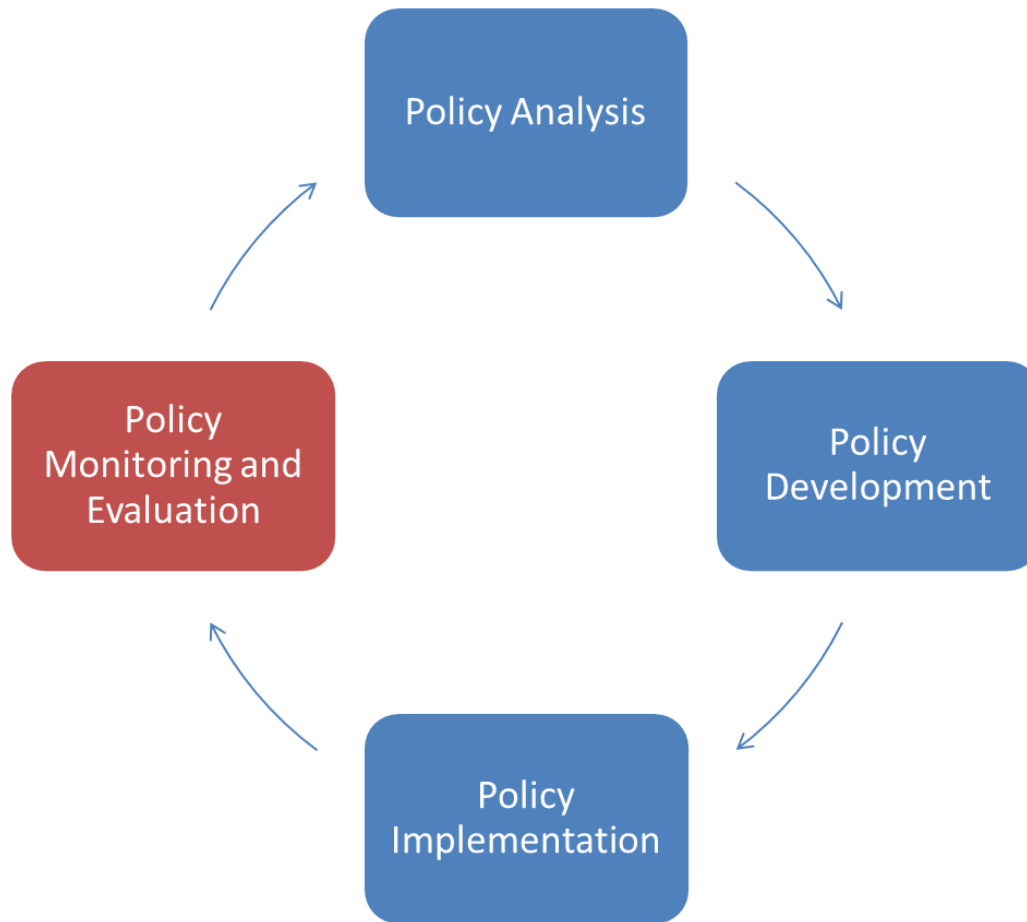
- **Assesses the structure of existing incentives and the factors that may reduce a policy's effectiveness - takes into consideration broader economic, political, governance and social conditions**
- **Carefully appraises the potential effects of policy change on different stakeholders, both public and private, and considers ways to minimize the losses or negative impacts to particular parties**
- **Anticipates how the policy may give rise to new incentives and new behaviors**



Policy Implementation

Implementing Policies

- **Prepare strategies (including financial strategies) and action plans**
- **Develop financial plan**
- **Strengthen capacities**
- **Develop monitoring and evaluation system**
- **Set up a coordination and participation mechanism**
- **Develop communication strategy and raise awareness**



Policy M&E

Policy monitoring refers to the process of detecting how the policy is progressing.

Policy evaluation refers to the process of assessing the entire policy process and its impact.

Impact can be assessed by mitigation of the main problem and the achievement of objectives identified in analysis and development phases.

Policy M&E

Main Actions taken in the M&E Phase

- 1) Selecting the elements to be M&E and define C&I
 - o What is the information we need (based on what criteria)?
 - o How can we measure those issues (indicators)?
Quantitative, Qualitative, Geographical, and
Timeframe
- 2) Data collection and measurement
- 3) Document and analyze the lessons learned (Evaluation)
- 4) Communication of the information

Policy M&E

- **Data can be obtained through the use of a range of tools (cost benefit analysis, GIS, participatory evaluations).**
- **The data must be stored in sufficiently developed information systems which is used as the basis to assess trends and efficiency of the forest policy implementation**
- **Data needs to be collected in a systematic and transparent manner**
- **Engagement of stakeholders/communities critical**

Policy M&E

- **Theory Failure vs. Implementation Failure**
- **Key is to being able to do adaptive planning and management**

Theoretical Model:

- ➔ Understanding the policy issue or problem
 - ➔ Exploring possible options for resolving the problem
 - ➔ Weighing up the costs and benefits of each; and then,
 - ➔ Making a rational choice about the best option.

In reality:

- Policy-making is often non-linear.
- It is incremental and complex.
- Political & bureaucratic context are key factors.