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Applying Policy to Policy Development

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Quote for today


“Sometimes the questions are
complicated and the answers are
simple”
- ?? ?????

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Introduction – cont.

Who am I?


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Introduction

Thanks for coming!!


I really appreciate it!

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Introduction – Cont.

The Learning Objectives for today:

- Learn about problems that arise when policy development does not follow a process
- Understand how these problems may be addressed by a policy development process or policy
- Learn some useful key steps/phases for a policy development process or policy

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Introduction – Cont.

The structure of the today's session:

- Problems arising from unstructured policy work
- How a policy development framework can address these problems
- What our policy development framework looks like
- Critiquing the framework

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Key definitions:

“Policy”: very broad - any organizational rules including by-laws, administrative rules, regulations, standards, position statements, or guidelines


“Policy Development”: the process of developing organizational rules.

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Part One – Problems arising from unstructured policy development


Problems include :

- When should a policy be developed?
- What kind of policy should be developed?
- Who should do the development work?
- Who should make the decisions?
- What information is needed to support decision-making?
- How can consistency be promoted?
- How can the process be improved?

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Part Two – How a framework can address problems

- **Should a policy be developed?**
 - A framework can help you identify significant policy issues
- **What kind of policy?**
 - A framework can help you ask the right questions to determine the right kind of tool to use
- **Who should do development?**
 - A framework can help you decide who should do what, in what circumstances

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Part Two – How a framework can address problems, cont.


- **Who should make decisions?**
 - A framework can help people understand what their roles are
- **What is needed for decisions?**
 - A framework can assure that you collect and present the right information
- **How can consistency be promoted?**
 - A framework can provide the steps to follow and the questions to ask

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Part Two – How a framework can address problems, cont.

- **How can the process be improved?**
 - A framework will define a consistent process which can then be assessed for improvement opportunities

There are lots of good reasons to have a policy development framework!

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Part Three – what our framework looks like

Remember framework's purpose:

- **Process Guidance**
- **Direction on Decision Making**
- **Identification of Critical Questions**

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A Multi-Step Process

- Anywhere from 4 – 10 typical phases in policy development have been identified
- Often, each phase has two or more steps within it
- Things to Consider/Questions to ask – Each step has one or more things to consider or questions to ask associated with it

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The phases of policy development

1. Issue Identification
2. Research and Analysis
3. Consultation
4. Option Development
5. Decision Making
6. Policy Implementation
7. Policy Evaluation/Review
8. Process Evaluation

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Phase One – Identify Issues

- Phase one helps identify the issues that are worthy of having policy development resources assigned to them
- The phase has both governance and operational aspects

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Phase One – the Steps

1. Identify significant policy issues through means like:
 - Environmental scanning
 - Data on practice trends
 - Changes to organizational legal authority
 - Strategic planning decisions
 - College internal reviewing tools like the Document Review Matrix
2. Assess whether the College needs to establish or maintain a position on the matter considering the College's legal mandate, mission, vision and strategic goals
3. Obtain authorization/support at the governance level for initial work to proceed. Depending on the type of issue, the authorization or support can come from:
 - Council
 - Committee
 - Staff
4. Obtain direction on who will be the responsible committee or staff. The responsibility for the policy issue may be delegated to:
 - An individual
 - A team
 - A committee
5. Define project scope, definitions terms and deliverables by developing project charter/scope of project

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Phase One – The questions to consider

Has legislation changed?
Have changes to the College mission or vision been made?
Has the environment changed?
Is practice evolving?
Are there new relevant legal decisions?
Has government's policy agenda changed?
Has the media identified a new issue?
Have the College's internal processes identified a new issue area?
Does the College statutory mandate support further or continued work on the issue?
Has the College statutory mandate changed?
Has the College's mission or vision changed?
Have we reviewed the College statutory mandate, mission and vision to ensure that this issue is (or is still) within mandate?
Is it in (or still in) the public interest to consider the issue?
Have we used the College's public interest tool to assess the issue's public interest relevance?
Does the issue fit (or still fit) within the College's current strategic focus?
Who (or which committee) should be responsible for managing this issue?
Have we provided sufficient information/detail in the project charter to define what we want to achieve?
Have we identified the true issue and not just a symptom?
Have we drilled down to the real core of the issue?
Are we clear about what we are going to consider?

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Phase Two – Research and Analysis

- Phase two defines how the policy issue under consideration should be researched and analyzed
- This is generally an operational (staff) role.

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Phase Three – Consultation

- Phase three defines the process for how stakeholder consultations should be planned, managed and reported upon.
- Consultation is generally an operational role

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Phase Four – Develop Options

- Phase four defines the steps that should be used to identify, assess, refine and consult upon policy options that may address the policy issue identified
- Developing options is generally an operational activity – Board may offer feedback on options

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Phase Five – Decision Making

- Phase five defines the steps that should be used to make decisions on the policy options presented through committee, approval in principle and final approval
- Decision making is a governance activity

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Phase Six – Policy Implementation

- Phase six defines the steps that should be used to plan, implement and communicate any policy that has been approved.
- The implementation of the policy is generally an operational matter.

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Phase Seven – Policy Evaluation/Review

- Phase seven defines the steps that should be used to evaluate, review and update a policy once it has been implemented and in effect
- Policy evaluation is generally an operational role

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Phase Eight – Policy Development Process Evaluation

- Phase eight defines how to evaluate the policy development process itself
- An evaluation of the policy development process is largely operational

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In Summary

- You should have a formal policy development process
- It should suit your organizational practices
- It should convey shared responsibility
- Needs research, analysis, consultation and evaluation
- Is an iterative process
- Is an important quality improvement tool

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Questions???

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