Policy & Strategy Development Guideline With Health Lens

Directorate General of Planning and Studies
Policy & Health System Section
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Introducing the Guideline

There is an increasing national and global awareness of the need to complement any care services with effective public policies and strategies. The Directorate General of Planning and Studies developed this user-friendly policy and strategy development guideline to help managers to use modern, hands on methods, tools and techniques needed to increase the institutional effectiveness and efficiency through systems-wide improvement that can be sustained.

This guideline provides self-directed learning covering the major issues in policy and strategy development. It is aimed for the planners and managers at various levels of any system who wish to improve their skills in navigating, developing and managing the policies and strategies. The planners and managers wish to understand how issues get onto policy agendas, how policy makers treat evidence and why some policy initiatives are implemented while others failed. The guideline describes a systematic stepwise approach to develop policies and strategies and simplifies the tasks according to the nature and context of the theme.

I encourage the users of this guideline to be vigilant and receptive to adapt it according to their settings and circumstances.

Dr. Ahmed Mohamed Al-Qasmi
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Content of the Guideline

The guideline is organized into four chapters as shown in figure 1; the first chapter gives a brief introduction on health systems and their dynamics, the second chapter deals with policy development, the third chapter focuses on strategy development, while chapter four highlights the testing of the guideline. A glossary of terminology and definitions is set at the beginning of the guideline. It is worth mentioning that the World Health Organization (WHO) publications and references, and other guidelines and manuals with similar objectives have been extensively used to enrich the contents of this guideline. In addition, the guideline is supplemented with a list of references at the end in order assist the users to further carry out in-depth review of the contents. Users are encouraged to search for extra reading materials from other sources to continuously update their knowledge and reinforce their skills.

Figure 1: Content of the Guideline

**Policy champions** persons or teams who are willing and able to lead and manage the policy process.
Definitions of Terms

**Actors:** Short hand term used to denote individuals, organizations or even the state and their actions that affect policy.

**Agenda:** A collection of problems, understandings of causes, symbols, solutions, and other elements of public problems that come to the attention of members of the public and their governmental officials. An agenda may be as concrete as a list of bills that are before a legislature, but also includes a series of beliefs about the existence and magnitude of problems and how they should be addressed by government, private sector and nonprofit organizations, or through joint action by some or all of these institutions.

**Agenda setting:** Process by which certain issues come onto the policy agenda from the much larger number of issues potentially worthy of attention by policy makers.

**Analysis:** Separating a problem into its constituent parts so as to better understanding

**Audit:** Review of performance usually judged against criteria and standards

**Civil society:** That part of society between the private sphere of the family or household and the sphere of government.

**Civil society group:** Group or organization which is outside government and beyond the family/household. It may or may not be involved in public policy (e.g. sports clubs are civil society organizations, but not primarily pressure groups).

**Decentralization:** The transfer of authority and responsibilities from central government to local levels, which are thereby strengthened.
Evidence: Any form of knowledge, including, but not confined to research, of sufficient quality to be used to inform decisions.

Evidence-based policy: Movement within public policy to give evidence greater weight in shaping policy decisions.

Feasibility: A characteristic of issues for which there is a practical solution.

Globalization: Complex set of processes which increase interconnectedness and interdependencies between countries and people.

Health action: Is defined as any effort, whether in personal health care, public health services or through intersectoral initiatives, whose primary purpose is to improve health.

Health care delivery system: Is the system designed for the purpose of delivering health services to the community. The delivered health services by the system include wide

Health determinants: Many factors combine together to affect the health of individuals and communities: Income and social status, education, physical environment (nutrition, safe water and clean air, healthy workplaces, safe houses, communities and roads), employment and working conditions, social support networks, culture, genetics, personal behaviour and coping skills (balanced eating, keeping active, smoking, drinking, sexual

Health development: Is a process of continuous and progressive improvement of the health status of the community
**Health Policy:** Covers public and private policies. It is the course of action and inaction that affect the set of institution, organizations, services, and funding arrangement of the health system. It includes and gets influenced by public policies as well as private sector policies.

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**Implementation:** Process of turning a policy into practice.

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**Implementation gap:** Difference between what the policy architect intended and the end result of a policy.

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**Knowledge transfer:** Strategy incorporating a variety of ‘linkage’ and ‘exchange’ activities designed to reduce the social, cultural and technical ‘gap’ between researchers and the policy community.

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**Legitimacy:** a characteristic of issues that policy makers see as appropriate for government to act on.

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**Monitoring:** Routine collection of data on an activity usually against a plan or contract.

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**Non-governmental organization (NGO):** originally, any not-for-profit organization outside government but increasingly used to refer to structured organizations providing services.

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**Policy statement:** broad statement of goals, objectives and means that create the framework for activity or decisions taken by those with responsibility for a given area or field.

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**Policy agenda:** list of issues to which an organization is giving serious attention at any one time with a view to making some sort of action.
**Policy community:** related stable network of organizations and individuals involved in a recognizable part of wider public policy such as health policy. Within each of these fields there will be identifiable sub-systems such as for mental health policy, with their own policy community.

**Policy makers:** those who make policies in organizations such as central or local government, multinational companies or local businesses, schools or hospitals.

**Policy making:** The act or process of setting and directing the course of action to be pursued by a government, business, etc.

**Public health:** is often described as the science and art of promoting health, preventing disease, prolonging life and improving quality of life through the organized efforts of

**Public policy:** is the government policy; is whatever the government choose to do or not to do. It takes the form of single decision or bundles of decisions that lead to a broad course of actions over time.

**Policy process:** the way in which policies are initiated, developed or formulated, negotiated, communicated, implemented and evaluated.

**Political system:** the processes through which governments transform ‘inputs’ from citizens into ‘outputs’ in the form of policies.

**Power:** The ability to influence, and in particular to control, resources.

**Policy window:** point in time when the opportunity arises for an issue to come onto policy agenda and be taken seriously with a view to action.

**Private sector:** that part of the economy which is not under direct government control.

**Problem:** an unacceptable gap between normative ideals or aspiration levels and present and future conditions.
Programme: is a series of related activities that give effect to policy.

Project: is a component of a programme, and is a discrete activity often undertaken at a specific location.

Regulation: government intervention enforcing rules and standards.

Research: systematic activity designed to generate rigorous new knowledge and relate it to existing knowledge in order to improve understanding of the physical or social world.

Stakeholder: an individual, groups, communities, organizations, networks, agencies, or institutions with a substantive interest in the success or failure of a policy, project, or initiative. Used synonymously with actor and interest group. An “interest” may be money, power, health or well-being, safety, political freedom, or anything else that the individual or group seeks to maintain or obtain.

Standard: is defined as the statement of the quality expected. It is a specific expectation of an organization or institute, described in terms of an activity or outcome against which their actions can be measured. The expectation is specified in terms of a level of performance to be achieved on a defined measure or indicator.

System approach: to health care: is used to emphasize the interdependencies among the parts of the system and between the system's "hard assets" and the organizational and financial arrangements that allow the system to function.
CHAPTER ONE

Introduction of Health Systems
1.1: Introduction of Health System

Strong health systems are fundamental to improve health outcomes and accelerate progress towards the Sustainable Development Goals (SDGs). Worldwide, the health systems have undergone overlapping generations of reforms and reconstructions in the past 100 years, including the founding of national health care systems, the extension of social health insurance schemes, privatization, and the promotion of primary health care as a mean to achieving affordable universal coverage (health for all). These reforms have been partly due to the profound political and socioeconomic changes, epidemiological and demographic transitions, generation of new evidences, globalization, and increased population demands. The ramifications of such changing dynamics on the health system policies and strategies as well as the modes of health care delivery are quite evident.

Health Systems Definition

Health systems can be defined either by:

a. what they seek to do and achieve.

b. the elements of which they are comprised.

a. What health systems seek:

Health systems comprised all the organizations, institutions and resources that are devoted to producing health actions. A health system “consists of all organizations, people and actions whose primary intent is to promote, restore or maintain health” as defined by the World Health Organization (WHO).
The desired goal of health systems is generally seen as health improvement through the provision of curative and preventive health services as well as through the protection and promotion of public health, emergency preparedness and intersectoral action. However, health systems are also part of the social fabric, offering value beyond health. Their wider goals include equity, or fairness, in the distribution of health and social gains and the costs of financing the health system as well as protection for households from the catastrophic costs associated with disease; responsiveness to the expectations of the population; and the promotion of respect for the dignity of persons. The last two goals specifically require:

- ethical integrity, citizen’s rights, participation and involvement of health system users in policy development, planning and accountability and respect of confidentiality as well as dignity in service provision;

- building and maintaining the social relations that support sustained resource redistribution, through strategies and activities that engage all population groups (without exclusion) within all decision-making activities.

Members of the population play core critical health-related roles as they are:

- Patients with health needs requiring care
- Consumers with expectations of how they will be treated
- Beneficiaries of the national wealth and income who are among the main sources of financing the system
- Citizens who may have access to health care as a right
- Co-producers of health through their health seeking and health-promoting behaviours.
b. Elements of health systems:

As for the elements, the health systems operate at and across the macro, meso and micro levels through a set of six functions, or building blocks as shown in figure 2. These building blocks are:

1. Service delivery: including effective, safe, and quality personal and non-personal health interventions that are provided to those in need, when and where needed (including infrastructure), with a minimal waste of resources.

2. Health workforce: responsive, fair and efficient given available resources and circumstances, and available in sufficient numbers.

3. Health information: ensuring the production, analysis, dissemination and use of reliable and timely information on health determinants, health systems performance and health status.

4. Medical technologies: including medical products, vaccines and other technologies of assured quality, safety, efficacy and cost-effectiveness, and their scientifically sound and cost-effective use.

Health system goals are “improving health and health equity in ways that are responsive, financially fair, and make the best, or most efficient, use of available resources”
5. Health financing: raising adequate funds for health in ways that ensure people can use needed services, and are protected from financial catastrophe or impoverishment associated with having to pay for them;

6. Leadership and governance: ensuring strategic policy frameworks combined with effective oversight, coalition building, accountability, regulations, incentives and attention to system design.

*Figure 2: Health System Building Blocks*

It is worth mentioning that the building blocks shown in Fig2 can be applied to any system such as Education, Economy, Agriculture, etc...
1.2: Health Systems Dynamics

Health systems are dynamic architectures of interactions and synergies that are constantly changing. Every intervention, from the simplest to the most complex, has an effect on the overall system, and vice versa. Thus maintaining critical and holistic thinking opens powerful pathways to identifying, anticipating and resolving health system challenges, and as such is a crucial ingredient for any health system strengthening effort. It reveals the underlying characteristics and relationships of health sub-systems or building blocks.

Deeper and richer thinking is required to:

- Understand the linkages and spaces between the building blocks, and understanding what happens there.
- Understand the nature of relationships and interactions within and among the blocks, and the potential synergies and dangers emerging from these interactions.
- Realistically forecast the implications of the intervention, including how the system will react, respond and change, along with what synergies can be harnessed, and what negative emergent behaviour should be mitigated.
- Know the behaviours among all the elements that characterize the entire health system.
On the other hand, it was realized that efforts to improve services to care-takers/service users often are based on modifying a single component or intervention within the system without recognizing the impact of that modification on other components. Thus each component or intervention as well as the system as a whole must be examined and understood in a holistic and integrated manner. Furthermore, health systems do not operate in isolation from the environment within which they function as the geopolitical, socioeconomic and environmental determinants and conditions dramatically influence their functions as shown in figure 3.

Figure 3: Health Systems Dynamics & Interactions
CHAPTER TWO
Policy Development
2.1 : Introduction to Policy Development

This chapter introduces the policy definition and development process. The contents of this chapter are very important to understand the realities about the policy development and will assist the users to identify and select among the various options that suit their context.

Policy:

The term “Policy” in general refers to decisions, allocation of resources, actions, or statements of an organization (including government, private, and civil society), while the term “Public Policy” refers to policy actions or statements taken by a government agency or ministry on behalf of a citizen or community.

What are health policies?

Example of policies are “health policy” which in its broader term refers to decisions, plans, and actions that are undertaken to achieve specific health care goals within a society. It broadly describes the actions taken by the government (at national or sub-national level) to advance the public’s health. Thus, it is not a single action but requires a range of legislative and regulatory efforts.

An explicit “public policy” can achieve several things:
- It defines a vision for the future which in turn helps to establish targets and points of reference for the short and medium term.
- It outlines priorities and the expected roles of different groups.
- It builds consensus and informs people.
On the other hand, “health care delivery policies” may be seen as the network of interrelated decisions which together form an approach or strategy in relation to practical issues concerning the health care delivery.

2.2: Types of Policies

Policy can be viewed as the courses of action that affect the sets of institutions, organizations, services and funding arrangements of the system. It includes policies both made in the public and private sectors. In the health sector, for example, health is influenced by many determinants outside the domain of the health system, such actions of sectors or organizations external to the health system have great impact on health (for example, the trade, food, telecommunication, pharmaceutical industries, etc.).

Commonly, policies are understood as the formal, written documents, rules and guidelines that present policy-makers’ decisions about what actions are deemed legitimate and necessary to strengthen the system towards its goals. However, these formal documents are translated through the decision-making of “policy actors” (such as mid-level managers, workers, customers and citizens) into their daily practices (for example, management, service delivery, interactions with others). Ultimately, these daily practices become policy as it is experienced, which may differ from the intentions of the formal documents. As policies are often the result of the decisions about how things will be done; therefore they can be formulated in different forms as shown in table 1.
# Table 1: Different policy forms

<table>
<thead>
<tr>
<th>Policy Form</th>
<th>Description</th>
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| Macro Policies             | - Macro policies are broad and expansive and help shape a society’s pursuit of health in fundamental ways.  
- Are established in order to achieve or socially desirable outcomes (e.g., in health it can be child immunization, environmental protection) and/or to reduce health or socially undesirable outcomes (e.g., free tobacco, no smoking).  
- They can be shaped in different forms e.g. national policy or strategy. |
| Laws                       | - A rule of conduct or action prescribed or formally recognized as binding or enforced by a controlling authority.  
- It can be enacted by any level of government |
| Rules/Regulations          | - Designed to guide the implementation of laws  
- Can be made in the executive branch by the organization or institution responsible for implementing laws |
| Operational Decisions      | - Operational decisions are made by the executive branch of the government as a part of the implementation of a law.  
- Normally these decisions consist of protocols and procedures that follow the implementation of a new law.  
- These decisions tend to be less permanent than rules or regulations, e.g., series of practices, standard operating procedures (SOPs), guidelines and protocols, licensing and certificating of practitioners and organizations. |
| Judicial Decisions         | - These are policies that are created as a result of a decision made in the court system.  
- Some of these policies are intended to ensure that services providers adhere to acceptable levels of quality in the services they provide and that producers of products meet safety and efficacy standards. |
2.3: Policy Development Process

The study of public policy, including the methods of policy development, analysis, and impact assessment has been among the most rapidly developing fields in the social sciences over the past several decades. As for policy development process, it is of paramount importance to understand the inter-relationship between

- the **context** within which the policy will be developed and the statements that will be made;
- the role of **policy actors** i.e. how individuals and groups involved in developing the policy interact and how power is used to influence the policy;
- the **processes** i.e. the steps involved in developing the policy; and
- the **content** of policy.

*Figure 4: The policy triangle*

![Policy Triangle Diagram](source: Walt and Gilson (1994))
Policy actors:

Policy actors include those who:

- have specific responsibility for developing formal policies in the public or private sectors, including those outside the domain, and international agencies and organizations;

- influence how policies are translated into practice (such as mid-level managers, workers, patients and citizens);

- seek to influence the formal policy process (such as civil society groups or interest groups at local, national and international levels).

The policy development is an iterative process in which policies are initiated, developed or formulated, negotiated, communicated, implemented and evaluated. It can follow different models, however the common approach used is to break down the process into a series of steps which may run simultaneously and not necessarily in sequential order.

The policy officially exists when it is formally agreed upon by the appropriate legislative or authorizing bodies, and it acquires real significance if it is implemented (put into courses of actions) as implementation is considered as an integral part of the policy development process.
The process of developing a policy is often complex, however, there tends to be a number of key steps to developing a robust policy document. These are:

Step 1: Problem identification.
Step 2: Context analysis
Step 3: Searching for evidence and considering policy options
Step 4: Drafting the policy
Step 5: Consultation
Step 6: Approval and authorization
Step 7: Communication and advocacy
Step 8: Implementation
Step 9: Review and impact assessment

**Step 1: Problem identification**

The first step is to identify the issue/s or problems that need to be brought on political agenda for policy development. For the selection of an issue or a problem, and before embarking on policy process, it will be worthwhile to consider and deliberate over the following questions:

- Why the issue or problem requires policy development?
- Is the organization giving it serious attention (i.e. on the top of the policy agenda)?
- Is there a legitimate or justifiable need for developing a policy for the issue/problem identified? Legitimacy is the characteristic of issues that policy makers see as appropriate for government to act on.
- Is there is an emerging new evidence or paradigm shift in the context?
- Is it raised through pressure groups, feedback loops or a crisis?
- What type of policy document is needed? policy statement(s), procedures or protocols, decree, laws, etc.?
- Does the issue or the problem need a new policy or it can be tackled and addressed by amendment or addition within an existing policy? e.g. revising and updating protocols, procedures or guidelines.
- Does the policy have instrumental or contributive value for the society as a whole or a specific target group e.g. clinical guidelines targeting specific diseases or health problem?
- Will the policy lead to equitable benefits and better outcomes?
- Will the policy result in solving anticipated problems with important societal consequences?
- Who is the responsible person/s or institute/s for developing the policy document?

**Agenda and agenda setting**

The recognition of an issue or problem itself requires that it has to be well defined and that the willingness to tackle or overcome it has been expressed. The recognized issue or problem should be further emphasized on the agenda for serious consideration of action (agenda-setting). The agenda is nothing more than “the list of issues or problems to which governmental officials, and people outside the government closely associated with those officials, are paying some serious attention at any given time.
There are several levels of the agenda:
- Universal agenda
- Systematic agenda
- Institutional agenda
- Decision agenda

Agenda-setting results in a selection between diverse problems and issues. It is a process of structuring the policy issue regarding potential strategies and instruments that shape the development of a policy in the subsequent stages of a policy cycle. If the assumption is accepted that not all existing issues or problems could receive the same level of attention (and some are not recognized at all), the questions of the mechanisms of agenda-setting arise e.g.:
- What is perceived as a policy problem or an issue?
- How and when does a policy problem or issue get on the government’s agenda?
- Why are other issues or problems excluded from the agenda?

The convergence of a number of interacting factors and variables determines whether a policy issue becomes a major topic on the policy agenda. These factors include both the material conditions of the policy environment (like the level of socioeconomic development), and the flow and cycle of ideas and ideologies, which are important in evaluating issues or problems and connecting them with solutions (policy proposals).

**Contextual factors can be:**
- Situational factors
- Structural facts
- Cultural factors
- International or exogenous factors

All these factors are complex and unique in both time and setting.
Within this context, the constellation of interest between the relevant actors, the capacity of the institutions in-charge to act effectively, and the cycle of public problem perception as well as the solutions that are connected to the different problems are of central importance

**Step 2: Context analysis**

Once the issue has been identified and agreed upon, the next step is to analyze the context within which the policy will be developed. To understand and explain why a policy has a particular design, examining the contextual factors and process that leads to its selection are very important such as dominant ideas related to the policy issue, affected groups, role of the government, etc.

Analysis of a particular context might lead to broad predictions about the policy design that will emerge from it. But because designs have so many “working parts” (goals, problem definitions, target groups, tools, agents, and such), such analysis cannot specify in advance the particular package of dimensions that actors will build at a particular point in time. Prediction is also complicated by the “human dimension” of policy development as some actors or stakeholders might resume a constraining context, reframe the structure of opportunities, or attempt to create policy solutions in advance to the issues or problems. Thus leadership, richer understanding, creativity, debate, and coalition-building are very essential and required competencies in policy development as often interested actors or stakeholders struggle over ideas.
There are many common tools that can assist in context analysis/assessment such as:

- PESTEL Analysis
- SWOT Analysis
- Stakeholder Analysis
- Cause and Effect Analysis (CEA) - Fishbone Diagram - Ishikawa
- Problem Tree Analysis
- Force Field Analysis
- Delphi Method
- Pareto Analysis
- Management Flow Analysis
- Service Availability and Readiness Assessment (SARA)
- Participatory Rapid Appraisal (PRA)

Details of these tools and techniques are found at annex 1.

Dtep 3: Searching for evidence and considering policy options:

Searching for evidences should be well planned as well as knowing the search techniques i.e. what, how, where, when, and how much to search. Gathering evidences often involves using quantitative and/or qualitative techniques to define a policy problem, demonstrate its impacts, and present potential solutions.

Systems research will help in searching for evidences that will assist in selecting or designing the best feasible options or appropriate policy decisions.
It sometimes requires sophisticated methods to assess how identified policy problems are impacted by numerous variables, including both policy interventions and contextual factors. Quantitative and/or qualitative methods help demonstrate whether a relationship exists between policy designs and policy outcomes, test whether the relationship can be generalized to similar settings, evaluate magnitudes of the effects of policies on the health and socioeconomic status, and find better policy alternatives. Techniques such as modeling; quantification of inputs and outputs; observational, communicative, and documentary methods; descriptive statistics; statistical inference; time series or event history analysis; operations research; cost-benefit analysis; and risk-benefit analysis are frequently used in this context.

The following tips might be useful while gathering the evidence and defining the options:

- Comprehensive analysis of the problem/issue to determine a policy response or using the arguments to produce and transform policy-relevant information that may be utilized in a specific setting to resolve the intended problems.”
- Determine how the issue is currently being managed: identify the pros and cons.
- Review and explore rigorously the best practices by other institutes/organizations (both nationally and internationally) with similar context.
- Identify areas of policy overlap or policy gaps and how to be avoided or minimized.
Step 4: Drafting the policy

Drafting the policy depends much on the type of policy document whether it is a national policy, protocol, standard operating procedures (SOPs), standard clinical guideline, etc. As for drafting a national policy, it is important to consider the following:

- Each policy statement should be clear; easy to be understood, interpreted and importantly does not raise questions.
- Consistency, harmonization and alignment should be maintained with the national, local and institutional existing policies, legislation and functions.
- Roles and responsibilities should be clearly articulated for each actor (actors: denote individuals, organizations or even the state and their actions that affect policy).
- Policy content must be evidence-based, practical and implementable.

- Examine the legal and policy framework identifying legislative and regulatory requirements for the policy.
- Define evidence-driven policy options for addressing the issue on the agenda and outline the characteristics of each option.
- Appraise different policy options for their feasibility and know the consequences and impact of each policy option (it is recommended to use computational modeling).
The following format is proposed for writing a national policy:

- Title of the policy
- Intent statement (an explanation of the purpose of the policy)
- Introduction, including context analysis and rationale
- Vision and Mission statement (optional)
- Values and guiding principles
- Policy statements (statements on what the policy recommends)
- Policy implementation (actions necessary to accomplish what the policy recommends)
- Target audience (to whom does the policy apply)
- Responsibilities for the actors
- Policy monitoring
- Acknowledgments
- Annexes
- References (what sources and information used to develop the policy)

*It is recommended to indicate the effective date (when will the policy be put into effect) and the review date.*
Step 5: Consultation

Consulting the actors who will be responsible for the policy implementation or stakeholders who will be affected, with varying degrees, either positively or negatively by the policy, is very essential. Policy owners need to develop a consultation and coalition platform which comprises a diverse range of actors including primary stakeholders e.g. politicians, civil servants, pressure groups, professional associations, media, academics, think-tanks and others; to determine existing processes and problem areas, and to ensure that the policy document developed will not impede the ability of other units to perform their functions or exercise their roles. In order for a meaningful and systematic consultation and advocacy process, the following are important steps:

- A consultation plan with clear objectives and methodology needs to be developed.
- Set up formal communication channels and advisory mechanisms
- Bring the identified actors and stakeholders together and agree on the overall goal of the drafted policy.
- Identify and assemble a Policy Reference Group to review policy based on the consultation outcomes.
- Provide more opportunities for comments and suggestions through sharing the draft policy with all the relevant actors and stakeholders.
- Re-draft the policy after considering all feedback received.
- Revise and update the plan for implementation and monitoring the policy based on the feedback received.
- Undertake final quality check/proofread.
Step 6: Approval and Authorization

The policy approval and authorization process outlines the necessary steps to obtain approval for the developed policy. This process and pathways for its approval should be known in advance. Prior to initiating this process, policy writers and owners must draft the recommended policy and put it in its final shape. In addition, it should not be forgotten that some policies are subjected to conditional requirements that sometimes lie outside the domain of the organization or institute and involve different sectors.

The policy approval and authorization process may follow the below steps:

- Policy owner presents policy to the Higher Authorities
- Owner integrates the Higher Authorities feedback.
- Policy is finalized by the policy owner.
- Owner forwards final version to the Higher Authorities.
- Higher Authorities approve policy and returns to policy owner.

Step 7: Communication & Advocacy

Although communication occurs throughout the policy development process, however the following measures are recommended for the final policy document:

- Print and distribute the approved policy to all stakeholders
- Put on conferences, seminars, briefings, practical and educational workshops, coordination meetings, etc. to advocate for the approved policy.
- Policy owner uploads final version to area website
Step 8: Implementation

Implementation is defined as ‘what happens between policy expectations and (perceived) policy results’. Previously the focus and attention were more on agenda setting, policy formulation and decision making ‘stages’ of the policy development process. However, it is evident that many policies had not worked out in practice as hoped either not implemented or their consequences were not as planned. It was common to observe a ‘gap’ between what was planned and what occurred as a result of implementing the policy. Today, implementation plans, including monitoring are an integral part of the sequential policy development process, and policies are considered useless if not implemented. The implementation plans need to be interactive and should identify clear assignments and responsibilities for the actors concerned with policy implementation.

To avoid the gap between policy expectation and reality, policy makers and planners should develop a strategy for implementation that explicitly take into account the financial, managerial and technical aspects of the policy (capacity) and the anticipated resistance and support from all actors in the sub-system within and outside the government, the organization or institute. There are different approaches for policy implementation; among them are:

- top-down approach

- bottom-up approach
Top-down approach:

This approach is considered as the rational approach that ponder policy making as linear process with clear distinction between policy formulation (top) and its execution (down). Policies set at national or higher level and passed to lower level to get implemented. This approach can be effective to some extend in operational or direct policies. Effective implementation depends on the ability to have a system in which the causal links between the set goals and actions designed to achieve them are clear and robust; the political will; availability of financial and technical resources; and the managerial capacity. Other conditions are also important for successful and effective policy implementation (as intended):

- Clear and logically consistent objectives.
- Adequate causal theory (i.e. how particular actions would lead to the desired outcomes).
- An implementation process structured to enhance compliance by implementers (e.g. appropriate incentives and sanctions to influence subordinates in the required way).
- Committed, skillful, implementing human resources.
- Support from interest groups and legislature.

Top-down implementation Theory

Envisages clear division between policy formulation and implementation, and a largely linear, rational process of implementation in which subordinate levels of a policy system put into practice the intentions of higher levels based on the setting of objectives.
No changes in socio-economic conditions that undermine political support or the causal theory underlying the policy.

This approach often underpins the contribution of lower level stakeholders (local) in designing policies and sketching the implementation process.

**Bottom-up approach:**

In bottom-up approach implementers play key role in policy execution. There is recognition of the strategic interactions among multiple actors in a policy network or system. This approach depends on the level of system decentralization, professionalism of actor, and complexity of the policy process and content. In this condition there is a granted level of power to the subordinates to change the policy implementation process or redefine its objectives whenever deemed necessary. There are some key factors that play a role in the feasibility of this model such as:

- the nature of the policy issue and its circumstances
- the relationship between the national and sub-national levels
- the culture of the institutions,
- the level of power sharing between the national managers and their subordinates
- the organization of machinery required to implement the policy.
To avoid the gap between policy expectation and reality, policy makers should develop a strategy for implementation that explicitly takes into account the financial, managerial and technical aspects of the policy (capacity) and the anticipated resistance and support from all the actors in the subsystem within and outside government.

**Step 9: Review and impact assessment**

Periodic reviews and monitoring of the policies implementation help to ensure that their relevance and effectiveness are retained, gaps are identified and undesired consequences are eliminated. The policy review and monitoring will assist in identifying the policy gaps as well as assist in the impact assessment. During review, the policy objectives, design, formulation, implementation arrangements and its deployment need to be revisited. The review will also consider whether the policy form is:

- General or specific
- Explicit or implicit
- Reactive or proactive
- Evolutionary or revolutionary
- independent or integrated within other policies (nested)
- Prescribed or voluntary
- Punitive or incentive
- Preventive or curative
- Strategic and opportunistic

Policy impact assessment is considered as a major milestone and should be planned in advance. Its conceptual framework and tools need to be designed. Policy impact assessment usually focuses on the context, processes and content. It examines:

- Problem under consideration;
- Rationale and policy objectives;
- Options considered (including status-quo);
- Interventions;
- Financial and non-financial costs and benefits of each intervention;
- Risks and assumptions;
- Direct impact; and
- Other-related impacts (wider impacts).
Checklist while developing a policy:

- **Accuracy**: is the evidence correctly describing what it purports to do?

- **Objectivity**: the quality of the approach taken to generate evidence and the objectiveness of the source, as well as the extent of contestation regarding evidence.

- **Credibility**: this relates to the reliability of the evidence and therefore whether actors can depend on it for monitoring, evaluation or impact assessments.

- **Generalizability**: is there extensive information or are there just selective cases or pilots?

- **Relevance**: whether evidence is timely, topical and has policy implications.

- **Availability**: the existence of (good) evidence.

- **Rootedness**: is evidence grounded in reality?

- **Practicalities**: whether policymakers have access to the evidence in a useful form and whether the policy implications are feasible and affordable.
2.5 Tips for Drafting a Policy Document

General Tips:

- When writing your policy, keep in mind that you are an expert in the area on which you are writing, but that the users of your policy will not be.

- Provide enough information for users to understand the policy statement/s, but not so much that they become confused.

- Keep your language straightforward, and write with attention to what the user/target needs to know, not what a specialist in your own department/unit needs to know.

- Remember that you can always provide additional information, references, etc., through using other means (your organization/department website, etc.) for those users who may need more details.

- When using acronyms, spell out the words the first time, then indicate the acronym in parenthesis, e.g. Ministry of Health (MoH).

- Do not confuse "macro-policy" with "procedures" or "guidelines." The macro-policy includes the governing principles that will guide the overall work of the organization or department, but doesn’t specify in details how to be accomplished. Procedures explain the required steps a user must take to be in compliance with policy, while guidelines are recommended best practices for departments to accomplish tasks but are not required to be in compliance.
- Procedures should be presented in a step-by-step manner and should include places, location or forms that are part of the procedure. Careful selection of the words is very important and can make a big difference in how easily your procedures can be used. For example, using the word "shall" or "must" indicates that something is required, while the term "should" implies that there might be other options, or that a department could bypass the task associated with that step.

- Avoid including the type of information that is likely to change frequently or may quickly become outdated. For example: instead of using an individual's name, use the position title, or instead of including a building name, refer just to the department name. By carefully considering the type of information you include in the document, it will ensure better accuracy for a longer period of time.

- Always remember that when it comes to writing policy, less is more. Don't use ten words to say what could be said in four. Keep your statements clear and to the point.

- If you are able to develop a user-friendly policy, you increase the likelihood that users will refer to the policy rather than calling you. Users will work to stay in compliance, and will contribute to increasing efficiency across the organization/department.
Policy Title:

Tips:

- The title must identify the key purpose of the policy, in as few words as possible.
- The title may include verbs to either show separation from another closely titled policy, or to indicate which portion of the topic will be covered by the policy.

Introduction:

The information in this section include:

- The rationale or reasons for developing the policy.
- Explanation of the steps that were taken to develop the policy.

Tips for the rationale/reason for policy:

The information provided should answer the question as to why the policy exists or why the issue or problem requires a policy, for example:

- Legal or regulatory reason
- Solve anticipated problems with important societal consequences
- An emerging new evidence or paradigm shift in the context
- Response to pressure groups, feedback loops or a crisis
- Instrumental or contributive value for the society as a whole or a specific target group e.g. clinical guidelines targeting specific diseases or health problem.

- Overall benefits and better outcomes to the society or the organization.

**Policy Statement:**

This is the most important part of the policy document. Policy statement is the governing principle, plan, or understanding that guides the action.

**Tips:**

- It specifies the directions i.e. what to do, but not how.
- The policy statement should not include background details on the policy nor should it contain procedural steps.
- The policy statement(s) should be brief and range from 1-2 sentences to a paragraph in length, depending upon the issue.
- Sentences and paragraphs must be clear and understandable for the target user/audience.
- State who is the primary target user/audience, in what situation(s) does this policy not apply, what are the major conditions or restrictions, are there exclusions or special situations.
- Use strong action words (will, must, are responsible for, etc.). Do not use “shall” in the policy statement.

- Acronyms may be used if spelled out completely the first time the phrase is used (e.g. Ministry of Health (MoH)).

**Definitions:**

**Tips:**
- List unique terms that, by being defined, would add to the reader's understanding of the basic policy.
- Define unfamiliar or technical terms
- Define terms with special meanings

**Key Words:**

**Tips:**
- Include a list of related terms or phrases both found and not found in the policy document, which others might use to search for this policy
- Separate the words or phrases with commas
3.1 Introduction

The term ‘strategy or plan’ is intended to include the strategy for a sector as a whole or for a sub-sector or programme, such as a national program strategy or a national strategic plan. It is important to note that the term ‘national strategy or plan’ refers to the strategy as a whole and not just the strategy or plan document. Typically a national strategy document is based on and elaborated in a series of other documents and processes, including for example, the service delivery strategy, human resources plan, supplies and procurement guidelines, sub-national development strategies, monitoring and evaluation (M&E) plan, etc.

3.2 Strategy Development Process

Strategy development is a systematic process of analyzing the context, identifying and specifying desirable future goals and directions, and outlining appropriate courses of strategies and actions to pursue considering the available resources. Before developing a strategy, many questions need to be answered:

- Why a strategy is needed?
- What will be the scope of the strategy?
- To whom the strategy is addressed?
- Who will lead the development of the strategy?
- Who will be involved or consulted?
- What tools will be used?
- When the strategy will be developed?
The strategy development process should be as consultative and participatory as possible, involving all key actors and stakeholders including beneficiaries and decision-makers, among others. Undertaking effective stakeholder management and consultation throughout the development process is critical to producing an output that is comprehensive, well informed, agreeable and implementable.

Stakeholder participation and engagement in the strategy development process is likely to result in:

- Improved effectiveness as participation increases the sense of ownership of the strategy by all actors, and consequently increases the likelihood of strategy goals and objectives to be achieved.
- Enhanced responsiveness of all actors and stakeholders, and thus the more likely that the strategy will target effort and inputs to address the perceived needs.
- Improved efficiency through building and capitalizing on the comparative advantages of the actors and stakeholders.
- Improved sustainability as more actors and stakeholders will be committed to carrying on the assigned roles and responsibilities.
- Empowerment and increased self-reliance through developing and reinforcing the skills and confidence among all.
- Improved transparency and accountability through transferring knowledge and information and decision-making power.
- Improved equity if the needs, interests and abilities of all stakeholders are taken into account.
Participation is likely to have many benefits, although it is not a guarantee of the success. Achieving full participation is not easy, it consumed a lot of efforts and time, and conflicting interests are likely to come to the surface.

Other factors that need to be considered in the strategy development process:

- The process should be comprehensive, inclusive and thorough and not be rushed.
- The process should have a clear review, consultation, communication, endorsement, and dissemination mechanisms.
- The entire process should be clearly documented, including methodologies and tools used.
- The strategy document must be grounded by evidence.

### 3.3 Strategy Document

Is an evidence-based document that results from a deliberate decision-making and development process. It lays out the context, communicates the envisioned desired future and translates into broadly defined medium to long-term goals and objectives, sets priority strategic interventions and targets as well as provides the roadmap for how goals and objectives are to be achieved. It serves as a guiding document to inform more detailed planning documents.

The salient feature of a strategy:
- Define the identity of the organization
- Show the right direction through setting the goals and vision
- Forecast and prepare for the future
- Make the best and flexible choices (e.g. making healthy choices easy choices)
- Align with other strategies
- Guide the implementation and monitoring process
- Assist in mobilizing resources
- Powerful tool for advocacy and policy dialogue.

**Relation to other strategies and plans:**

To be an effective strategy, it is important to be linked and aligned with other strategies, plans and financing frameworks whether at national or sub-national levels such as national government development strategy, other public sectors, private sectors, partners, and NGOs strategies and plans; intrasectorial-related plans, and sub-national plans. The degree of linkage and coherence depends on the similarities, contribution to the common goals, as well as on the level of decentralization or autonomy.

**3.4 Outline of the Strategy**

Below is a proposed outline for a strategy, however the order can be rearranged based on the context and the type of the strategy i.e. vision, mission and strategic objectives can be written before the situation analysis:

**Outline:**
- Foreword
- Table of contents
- Executive summary
Vision, mission and key strategic objectives:

- Vision
- Mission statement
- Values and guiding principles
- Goals
- Key strategic objectives
- Comprehensive strategic framework and targets
- Operational plan

Implementation arrangement:

- Governance framework
- Monitoring and evaluation frame

Assumptions and risks:

- Analysis of assumptions
- Risk analysis and risk mitigation plan
- Costing
3.5 Content of the Strategy

Introduction

The introduction provides background information about the country or the organization (e.g. location, demographic and epidemiologic information, trends, organizational structure and functions, etc.), the rational, the conceptual framework and process of the strategy. This is followed by a comprehensive overview of the context through the situation analysis.

Situation analysis

The situation analysis or assessment is the process of systematic collection, analyzing and interpreting all past and present information available from various sources, on the current situation of the particular subject (e.g. system, organization, project, etc.). A robust situation analysis covers:

- Assessment of the sector or system determinants (e.g. social, economic, political, environmental, etc.) and needs, including current and projected challenges.
- Assessment of expectations, including current and projected demand for services as well as social expectations.
- Assessment of internal and external forces that may influence the system or program performance as well as the performance gaps and best choice in responding to needs and expectations.
- Assessment of the capacity of the system (strengths, weaknesses, opportunities and threats) to respond to the current as well as the anticipated future challenges.

- Assessment of the system resources (human, physical, financial, informational) and of resource gaps in responding to the needs and expectations.

- Assessment of stakeholder positions (interest, power and influence, etc.).

For a systematic situation analysis, there are couple of steps that can be followed:

- Determine the purpose, scope and geography of the situation analysis

- Outline the process of the situation analysis

- Determine the target population

- Identify the stakeholders to be involved

- Decide what information and documents are needed

- Review existing information

- Collect and analyze the data

- Identify and assess the needs and possible solutions

- Prioritize the identified needs

- Identify the challenges, assumptions and risks, and possible scenarios and strategy directions.
The situational analysis or assessment should be completed using different available instruments. Given below are some of the methods used to do the situational analysis.

- Convening a national stakeholder workshop
- Interview with key informants
- Reviewing relevant documents such as:
  - Recent needs assessments or situation analysis.
  - National and sector strategic documents e.g. national declarations, policies, strategies, plans, etc.
  - Operational, monitoring and evaluation plans.
  - Performance and evaluation reports e.g. joint annual review reports, mid-term reviews, consultant reports, etc.
  - Annual statistical reports and information bulletins.

Several tools and techniques that can be used to perform the situation analysis are highlighted in annex 1.

**Needs and problems identification and prioritization**

Needs and problems identification and prioritization are very essential steps for strategy development. Perceived or felt needs of the receivers, providers, stakeholders, as well as the sector and organization should be taken into consideration. It is a common practice by planners to develop a list of priority needs or problems using specific criteria for scaling of each one according to scoring system.
Identify the causes of the main problem by asking ‘But why?’ until we can go no further. Some problems might have more than one cause. Identify the effects of the main problem by asking ‘So what?’ until we can go no further. Some problems might have more than one effect.

**Criteria or values for priority setting:**

- Serving the most-in-need
- Minimizing harm or risks
- Service effectiveness
- Broader social effectiveness
- Service efficiency
- Service equity or fairness (equity of access, allocation or outcomes)

**For any problems under consideration:**

- Magnitude and severity of the problem
- Seriousness of the problem
- Population affected by the problem
- Political or social acceptability of the problem
- Available intervention or solution
- The cost
Challenges

The recognition of the existing needs, gaps or problems, knowing the underline causes, their extent, daunting effect and impact, and synergies are essential to elicit and summarize the challenges. Challenges base the foundation for the directives and related actions needed to overcome the problems and how they can be managed in the utmost condition.

Vision, Mission and key Strategic Objectives

Vision

A vision is a picture compelling and challenging future that a society, organization or an individual would like to create sometime in the future.

Mission Statement

The mission is a statement of why the organization/institution or program exists. It is, therefore, an expression of the purpose of the organization/institution or program. This is what the organization/institution or program does. The mission does not state an outcome and contains no time limit or measurement.

The mission aims at addressing the following four questions:

1. **What do we do?** : defines the needs of the populations to be served and specify which of those needs the organization/programs intends to address.

2. **Whom do we serve?** : define the target population
3. **How do we do it?** : the means, resources, or strategies by which the organization intends to reach its goals.

   . **Why do we do it?** : the basic reasons behind the organization’s decision to do what it does.

   The mission statement should:

   - Express an organization’s purpose in a way that inspires support and ongoing commitment.
   - Motivate those who are connected to the organization.
   - Be articulated in a way that is convincing and easy to grasp.
   - Use proactive verbs to describe what the organization does.
   - Be free of jargon.
   - Be short enough so that anyone connected to the organization can easily repeat it.
Values
Core values are the fundamental beliefs of an organization that dictate behaviour and action. They are unique to each organization and the staff that are part of the organization, making it necessary to revisit values periodically. Below are examples of values:

Guiding principles

“If you don’t know where you are going, any road will get you there”.
Lewis Carroll, Alice’s Adventures in Wonderland

Guiding principles are parameters that guide the successful and sustainable implementation of the strategy. The guiding principles are more explicit than values and are meant to govern action. They are broadly intended to cover all levels and variations of the strategy, set the standard and guide the implementation. They are not independent and often overlap in many ways.
Goals
The goals describe ideal states or results to be achieved in the future (long-term) that are in line with the set vision and mission. Goals represent the critical priorities of the organization. Achieving the goals should help the organization to better realize its main mission and to move towards its vision.

If we are facing in the right direction, all we have to do is keep on walking.”

Key Strategic Objectives
Key strategic objectives are clearly stated measurable outcomes that the strategy wants to achieve within its time frame. They need to be easily understood, remembered and communicated to all.

Comprehensive Strategic Framework and Targets
The strategic framework provides the groundwork for the implementation and highlights the necessary evidence-based strategies or actions to achieve the objectives coupled with clear targets. The strategies, actions or best buys usually focus on the processes within logic sequences that yield to the desired results.
Operational Plan

The operational plan is a short-term plan that describes how the strategies will be implemented. The operational plan follows the logical frame and indicates:

- The activities under each strategy or action
- The executing body for each activity
- The timeline for each activity
- The indicators to measure the performance
- The cost of each activity
- The source of funding of each activity
- Risks and assumptions along the way

Implementation Arrangement

Governance framework

The developed strategy remains useless until it is materialized and implemented and its intended aims and desired results are achieved. To enable this to happen, it is important to develop a governance framework that brings all the main actors and stakeholders’ efforts together.

The governance framework should describe how the strategy will be implemented. In particular, the implementation of the strategy will be done through appropriate strategic and operational plans. The process of developing an implementation framework should be as participatory as possible involving all key actors and stakeholders and should best be initiated after the strategy objectives have been defined.
The stakeholder mapping and analysis will provide significant relevant information that enables identifying potential roles for each to play.

The following are essential to be in the governance framework:

- The oversight, coordination structure and management mechanisms
- Roles and responsibilities of all actors, stakeholders and partners as well as their inter-relations to implement and deliver the results.
- Communication mechanisms
- Accountability mechanisms
- Mechanisms for policy dialogue and performance review.
- The joint management of results.

**Tips to be considered in the implementation arrangements:**

- The adequacy of existing institutional capacity to implement the strategy has been assessed and there are plans to develop the capacity required. Approaches to meet the required technical assistance for its implementation need to be described.
- Key systems are in place, and properly resourced, or there are plans for the improvements needed.
- Current systems constraints are described and credible actions are proposed to resolve constraints (e.g. planning, technical and managerial supervision, financial system, information management system, logistics and supply system, etc.)
Monitoring and evaluation frame

For the strategy to achieve its desired goal and objectives, it is important to have a mechanism in place that can track the progress being made towards these objectives and being able to take appropriate corrective action early enough to get back on track. Monitoring and evaluation includes a comprehensive framework that addresses indicator selection, related data sources, and analysis and synthesis practices, including quality assessment, performance review, communication and use. For that matter a clear monitoring and evaluation framework, including a balanced core set of indicators and targets, for tracking progress on the implementation of the strategy is required. The monitoring and evaluation framework should address monitoring and evaluation needs including:

- Monitoring of the inputs and processes through equity and performance assessment.
- Review, reporting and feedback mechanisms.
- Evaluating the results, detecting which approaches and interventions work best, and identifying corrective measures for the gaps and translating these into actions.
- The monitoring and evaluation framework should give a brief description on the following:
- Identification and agreement on a core set of indicators.

- Human resource (management and capacity) needs are identified, including staffing levels, skills mix, distribution, training, supervision, incentives and motivation.
- Roles and responsibilities

- Sources of data.

- Roles and responsibilities.

- Methods for data collection, analysis and synthesis.

- Data quality assessments and improvement.

- Reporting mechanisms, periodicity and information flow.

- Periodic reviews (annual, mid-term review (MTR), end review).

- Dissemination and communication.

**Monitoring** means bringing together data from all relevant sources to analyze what is happening, where and to whom. Monitoring uses a set of core indicators and targets to provide timely and accurate information to governments and partners in order to inform progress and performance reviews, and policy dialogue.

**Evaluation** builds upon the monitoring data but the analysis goes much deeper, taking into account contextual changes, addressing questions of attribution, and looking at counterfactual situations.

**Reviews** are based on the evidence gathered through monitoring processes and require national institutional mechanisms involving multiple stakeholders. Reviews are crucial for assessing progress and performance, and can influence priority-setting and resource allocation. Such reviews need to be systematically linked to actions and provide the basis for mutual accountability.
Assumptions and Risks

Analysis of Assumptions:

Assumptions describe situations and conditions, which are necessary for the strategy success, but which lie beyond the control of the management. In order to make realistic assumptions, it is vital to get benefit of the context analysis which highlights the positive potentials and factors for the success. The assumptions are usually considered at each level of the results chain (output, outcome and impact).

Risk Analysis

Risk analysis refers to analysis of factors which may negatively affect the implementation of the strategy. Thus, it is very important to understand and recognize the risks, knowing their consequences and likelihood impact, identifying those which can be avoided or mitigated, and consequently identifying alternative strategies that may be needed to manage the unavoidable risks.

While analyzing the risk, it is important to consider the following:

- If the risk has a low consequence and its likelihood to happen is low, the risk can be ignored.
- If the risk is of minimal consequence but the likelihood of its happening is high, then the risk should be managed and monitored.
- If the risk is of high consequence but its likelihood of happening is low, the risk needs to be managed and monitored.
- If the risk has high consequences and high likelihood to happen, it may call for extensive management and monitoring of the risk or even re-design of the strategy.

**Risk mitigation:**

Risk mitigation deals with the steps taken to reduce its adverse effects. The common types of risk mitigation strategies are:

- **Risk Acceptance:** Risk acceptance does not reduce any effects however it is still considered a strategy. This strategy is a common option when the cost of other risk management options such as avoidance or limitation may outweigh the cost of the risk itself.

- **Risk Avoidance:** Risk avoidance is the opposite of risk acceptance. It is the action that avoids any exposure to the risk whatsoever. Risk avoidance is usually the most expensive of all risk mitigation options.

- **Risk Limitation:** Risk limitation is the most common risk management strategy used. This strategy limits an organization’s exposure by taking some action. It is a strategy employing a bit of risk acceptance along with a bit of risk avoidance or an average of both.

- **Risk Transference:** Risk transference is the involvement of handing risk off to a willing third party (if a transferred risk is not a core function).
Costing

With the currently available tools (e.g. onehealth tool), expertise and experience it is possible to convert the objectives, strategies and activities into detailed resource plans, and better translation of these resource plans into their budgetary implications. It is desirable that the strategy has a sound expenditure framework that includes a comprehensive costing of the areas covered by the strategy. This includes recurrent and investment financing requirements to implement the strategy, including costs of human resources, supplies and equipment, decentralized management, infrastructure and protection mechanisms. The cost estimates need to be clearly explained, justified as realistic, and based on economically sound methods. When appropriate, mechanisms to ensure prioritization in line with overall objectives of the strategy need to be highlighted.

Costing and funding projections need to be realistic in the light of economic conditions, medium term expenditure plans, and fiscal space constraints. The projections should include all sources of finance and need to consider uncertainties and risks.

References

Citing the references, documents and reports used in the strategy development is very important and useful.

Annexes

Annexes may include list of contributors, participants, tools, checklist, etc. that contribute to the development of the strategy.
Chapter Four: Testing the Guideline
The Directorate General of Planning & Studies conducted three training workshops to test the guideline. Two workshops targeted mid-level managers at central level, while one targeted mid-level managers at governorate level. In addition to testing the participants’ overall evaluation of the training workshop was excellent and some of them rated it as very good, in addition most of the participants suggested to have continuous training in the same area and that they needed more time and days for practice. They benefited from workshop on how to apply the concepts and frameworks in their field of work. In addition, some participants suggested to organize the training in the form of a course rather than workshop and to invite participants from other institutions. guidelines, the training workshops aimed at:

- Raising the awareness and reinforce the skills of health planners and managers in formulating, implementing or evaluating policies and or strategies

- Building capacities and reinforce the skills of health planners in developing health policies and strategies

- Creating a "Think Tank " of health policies and strategies analysts

- Spreading evidence-based and research culture

The training workshops were divided into two main parts; the first part dealt with health systems dynamics and policy development, while the other the second part dealt with strategy development.
During the workshops different learning methods were adopted such as presentation and discussion, case studies and group exercises, and individual assignments. Different issues were tackled and discussed such as health systems dynamics and understanding the synergies; policy definition and types; policy development process (context, content, process and actors); types of strategies; and strategy frameworks and development process. The participants’ overall evaluation of the training workshop was excellent and some of them rated it as very good, in addition most of the participants suggested to have continuous training in the same area and that they needed more time and days for practice. They benefited from workshop on how to apply the concepts and frameworks in their field of work. In addition, some participants suggested to organize the training in the form of a course rather than workshop and to invite participants from other institutions. A pre/post test has been introduced in one of the workshop and it consisted of 20 questions. Paired Sample statistics showed that only 53.1% of the questions were answered right in the pre-test, whereas, 73.6% of the questions in the post-test were answered right. In addition, Paired Sample Test gives the P value of 0.000 which indicates a significant increase in the level of knowledge in the post-test answers when compared to the pre-test.
Participants’ Picture:
3.1 Target participants

First workshop:
17 participants at the level of directors and heads of section attended the first workshop which was hosted by the National Genetic Center. The workshop was divided into series of training sessions i.e. once every week (3 – 24 May 2016) to suit their working schedule. In between the participants were given individual assignments to reinforce their skills. Figure 1 shows selected photos of the first workshop.

Second workshop
The second workshop was conducted in Sultan Qaboos Grand Mosque and continued for four days (10 – 13 October 2016). 29 participants from the Directorates of Planning at the governorate level (11 governorates) attended the training. Figure 2 shows selected photos of the second workshop.

Third workshop
The third workshop was conducted in the MoH Continuous Professional Development (CPD) Training Hall and also continued for four days (17 to 20 April 2017). 37 participants from ten Directorates General at Central level and the Directorate of Primary Health Care in Muscat Governorate attended the training.
2017
Figure 1: Selected pictures of the first workshop

Figure 2: Selected pictures of the second workshop
3.2 General assessment and evaluation of the training workshops

3.2.1. Evaluation of first workshop

Overall evaluation of the first training workshop was excellent and some of them rated it as very good, in addition most of the participants suggested to have continuous training in the same area and that they needed more time and days for practice. They benefited from workshop on how to apply the concepts and frameworks in their field of work.
Moza Alabry

I realized the importance of this workshop for all MOH professionals. I do suggest having more teaching methods as well as robust feedback and mentoring mechanisms.

Moosa Al Subhi

I will utilize what I gained in this training in developing the national strategy for physical activity.

Mutasra Al Busaidi

The training was of more value for me in my field of work. I am planning to utilize the knowledge and skills I gained to develop comprehensive plans to improve community health in the country in collaboration with all stakeholders. I do suggest increasing the practical exercises.

Ali Almazrui

It was an excellent opportunity to learn more on policies and strategies in terms of concepts and development processes. I have a quality management and improvement project and I will apply what I gained on it.

Osama Babiker

The training came at the right time as I am planning to prepare evidence-based guidelines to further improve the storage of medical supplies, the cold chain, and transportation systems. In addition, to review the pharmaceutical and drug policy, narcotic and psychotropic substances, the pharmaceutical care standards and strategy based on the knowledge and skills I gained in the training.

Amel Ibrahim

I learned how to develop policies and strategies in more comprehensive and scientific way. Among the issues I benefited is how to do the stakeholder analysis. I will apply what I learned and gained in the development of “combat obesity in children guide”. I do suggest having group exercise to develop a model strategy to be among the outcomes of the training.

Mariam Al-Mashari

I have great benefit from the workshop and I will be applying what I learn on how to formulate policies that are indicated in the 9th five-year plan of the Directorate-General of Nursing, using various analytical tools I feel we need to have more time and practice.

Mutaira Al Busaidi

The training was of more value for me in my field of work. I am planning to utilize the knowledge and skills I gained to develop comprehensive plans to improve community health in the country in collaboration with all stakeholders. I do suggest increasing the practical exercises.

Osama Babiker

The training came at the right time as I am planning to prepare evidence-based guidelines to further improve the storage of medical supplies, the cold chain, and transportation systems. In addition, to review the pharmaceutical and drug policy, narcotic and psychotropic substances, the pharmaceutical care standards and strategy based on the knowledge and skills I gained in the training.

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The training was of more value for me in my field of work. I am planning to utilize the knowledge and skills I gained to develop comprehensive plans to improve community health in the country in collaboration with all stakeholders. I do suggest increasing the practical exercises.

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I learned how to develop policies and strategies in more comprehensive and scientific way. Among the issues I benefited is how to do the stakeholder analysis. I will apply what I learned and gained in the development of “combat obesity in children guide”. I do suggest having group exercise to develop a model strategy to be among the outcomes of the training.

Ali Almazrui

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Moza Alabry

I realized the importance of this workshop for all MOH professionals. I do suggest having more teaching methods as well as robust feedback and mentoring mechanisms.

Moosa Al Subhi

I will utilize what I gained in this training in developing the national strategy for physical activity.
3.2.2. Evaluation of second workshop

27 out of 29 participants filled the evaluation form for the second workshop. Most of the participants rated the overall workshop and the presenters excellent or very good as shown in the table 1. While the evaluation revealed that there is a need to increase the duration of the workshop as well as adding more hands-on exercises and practice. In addition, some participants suggested to organize the training in the form of a course rather than workshop and to invite participants from other directorates.

Table 1: Overall workshop evaluation

<table>
<thead>
<tr>
<th></th>
<th>Excellent</th>
<th>Very good</th>
<th>Good</th>
<th>Fair</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presentation</td>
<td>44.4%</td>
<td>44.4%</td>
<td>7.4%</td>
<td>3.7%</td>
<td>0</td>
</tr>
<tr>
<td>Time</td>
<td>26%</td>
<td>37%</td>
<td>29.6%</td>
<td>7.4%</td>
<td>0</td>
</tr>
<tr>
<td>Content</td>
<td>51.8%</td>
<td>48.2%</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Speakers</td>
<td>48.2%</td>
<td>48.2%</td>
<td>3.6%</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Figure 3 shows the overall session evaluation. 59% evaluated it as very good and none as poor or fair. In addition, most participants evaluated the workshop as being excellent in meeting both the participants’ expectation (48%) and their expected educational level (48%). Furthermore, all participants graded the speakers either excellent (44%) or very good (45%) and nearly half of them appreciated their presentation skills as excellent (48%). The participants also felt that the speakers allowed time for interaction and discussion, with 48% saying there was excellent time allocation. However, many participants noticed that more time was needed as the content and material of the training were too heavy.
Figure 3: Evaluation of the general sessions

Participants’ assessment

Nabil Guindi
Perfect workshop and all what we get from this workshop is applicable. Recommended for top level managers.

Ali Alshehhi
What I get from this workshop is considered a key, essential and specific topics. All information were relevant as well as the way used to deliver the subject. I recommend that each topic should be in separate training workshop.

Hasina Al.Harthi
I will use what I learned in evidence-based planning. I do recommend more practical exercises which will enrich the experience further.
The Pre/Post test consisted of 20 questions. Total of 29 participants completed both tests. Paired sample statistics shows that only 53.1% of the questions were answered right in the pre-test, whereas, 73.6% of the questions in the post-test were answered right. In addition, Paired Sample Test gives the P value of .000 which indicates a significant increase in the level of knowledge in the post-test answers when compared to the pre-test. Whereas, 73.6% of the questions in the post-test were answered right. In addition, Paired Sample Test gives the P value of .000 which indicates a significant increase in the level of knowledge in the post-test answer when compared to re-test as shown in the below tables.

**Paired Samples Statistics**

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Percentage</th>
<th>N</th>
<th>Std. Deviation</th>
<th>Std. Error Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pair 1</td>
<td>6</td>
<td>10.62</td>
<td>29</td>
<td>2.227</td>
<td>.413</td>
</tr>
<tr>
<td></td>
<td>17</td>
<td>14.72</td>
<td>29</td>
<td>2.313</td>
<td>.430</td>
</tr>
</tbody>
</table>

**Paired Samples Test**

<table>
<thead>
<tr>
<th></th>
<th>Paired Differences</th>
<th>t</th>
<th>df</th>
<th>Sig. (2-tailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean</td>
<td>Std. Deviation</td>
<td>Std. Error Mean</td>
<td>95% Confidence Interval of the Difference</td>
<td></td>
</tr>
<tr>
<td>Lower</td>
<td>Upper</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pair 1</td>
<td>6 - 17</td>
<td>-4.103-</td>
<td>3.222</td>
<td>.598</td>
</tr>
</tbody>
</table>
Following were the suggestions thrown by the participants in view to improve the workshop:

- To include samples of MoH strategies and policies and throw discussions around them based on the workshop objectives;

- To include presentations of real life experience on policy/strategy development and implementation by key people from the MoH;

- To establish a networking platform (for example an e-consulting committee) for the

- To add audiovisual materials related to the subject in the workshop;

- To allow time for discussion of more assignments during the workshop;

- To include a short wrap up/summary of all the contents at the last day.
General recommendations of the workshop:

- To include this training to the list of the training programs of the MoH (suggested by DGET).
- To unify the language of the workshop.
- To conduct the workshop at the governorate levels.
REFERENCES


ANNEX ONE

Common Tools used in Context Analysis/Assessment
Annex 1: Common Tools used in Context Analysis/Assessment

SWOT Analysis

Definition

SWOT analysis is an examination of an organization’s internal environment in terms of Strengths and Weaknesses, as well as external environment in terms of Opportunities for growth and improvement, and the Threats that may affect its survival. A SWOT analysis can help the planner to gain insights about the past and think of possible solutions and potentials for the future. It provides a simple way to assess how a policy/strategy can best be operationalized/implemented.

When it is used

The primary aim of policy development and strategic planning is to bring an organization into a balance with the external environment and to maintain that balance over time. Organizations accomplish this balance by evaluating new programs and services with the intent of maximizing organizational performance. SWOT analysis is a preliminary decision-making tool that sets the stage for this work.

How it is used

The SWOT framework – a two-by-two matrix – is best completed in a group with key team members of the organization.
STEP 1: Identify the policy change objective

First, it is important to be clear what the policy change objective, and on what level the analysis is to be carried out. Once these issues are clarified and agreed-upon, begin with a brainstorm of ideas, organize and hone them, and clarify them afterwards in the discussions.

STEP 2: Collection and evaluation of key data

Depending on the organization, these data might include population demographics, community status, sources of funding, and/or the current status of medical technology. Once the data have been collected and analyzed, the organization’s capacity in these areas is assessed.

An assessment of internal capacity helps identify where the project or organization stands now; the existing resources that can be used immediately and current problems that won’t go away. It can help identifying where new resources, skills or allies will be needed. When thinking of strengths it is useful to think of real examples of success to ground and clarify the conversation.

STEP 3: Sorting the data

Data are then collected and sorted into four categories: strengths, weaknesses, opportunities, and threats. Strengths and weaknesses generally stem from factors within the organization, whereas opportunities and threats usually arise from external factors.
Organizational surveys are an effective means of gathering some of the information, such as data on an organization’s finances, operations, and processes.

**Advantages of SWOT analysis**

- SWOT serves to structure basic information on projects, organizations and institutions.

- SWOT facilitates a common understanding of the “reality” among different working areas within one organization or between organizations.

- SWOT helps to delineate strategic options.

- SWOT Analysis is a most effective and objective way to determine how capable an organization is, when it comes to surviving ‘threats’ and capitalizing on ‘opportunities’.

- SWOT can be used in a conference where the participants come from different locations and organizations.

- SWOT can be used in a community or community based organization where the participants are unpaid and whose membership is based on residence.

**Limitations of SWOT analysis**

The way SWOT analysis is often conducted does not allow proper communication, discussion, and verification of all external and internal factors proposed by all involved.
In some occasions, SWOT results prove a less reliable input to the policy/strategy generation process than they are capable of being. If the capacity of those involved in SWOT analysis is not adequate, then the quality of their inputs will most likely suffer and be lower than otherwise possible, and desirable.

SWOT can be a cause of what is considered an excessive formalization of the strategy making process. Simple frameworks such as SWOT cannot, of themselves, ensure the necessary rigour of strategic analysis. SWOT inventories are rarely modified for alternative strategy options.

Note

*The SWOT analysis is a versatile tool that can be returned to at many different stages of a project; to structure a review or provide a warm-up discussion before forward planning. It can be applied broadly, or a small sub-component of the strategy can be singled out for detailed analysis. The SWOT often forms a useful complement to a stakeholder analysis. Both are good precursors to force field analysis and Influence mapping.*
Example of a worksheet

**Internal capacity**
- Skills and abilities
- Funding lines
- Commitment to positions
- Contacts & partners
- Existing activities

**External environment**
- Other organizations relevant to issue
- Resources: financial, technical, human
- Political and policy space
- Other groups or forces

**Review / Past**
- What can you do particularly well, relative to rivals?
- What do analysts consider to be your strengths?
- What resources do you have?

**Anticipation / Future**
- What opportunities are open to you?
- What trends could you take advantage of?
- How can you turn your strengths into opportunities?

**Strengths**
- What could you improve?
- Where do you have fewer resources than others?
- What are others likely to see as weaknesses?

**Opportunities**
- What threats could harm you?
- What is your competition doing?
- What threats do your weaknesses expose you to?

**Weaknesses**

**Threats**
PESTLE Analysis

Definition

The term ‘PESTLE’ refers to the domains it considers: Political, Economic, Social, Technological, Environmental and Legal. PESTLE complements the SWOT as it expands on the analysis of the external context by looking in details at specific types of issues that frequently have an impact on implementation of project/initiatives. PESTLE involves identifying the factors in each of these six domains that are relevant for the project/issue being considered.

Political:

- Governance type and stability
- Centralization/decentralization, distribution of power and resources
- Basic rights, rule of law, and levels of bureaucracy
- Regulation and de-regulation trends
- Social and employment legislation
- Tax policy, and trade and tariff controls

Economic:

- Current and projected economic growth, inflation and interest rates
- Sources and levels of income, and income distribution
- Unemployment, supply of labor, and labor costs
- Infrastructures
- Globalization and trade
- Economic diversification and stability

**Social:**
- Demographics characteristics (age, gender, family size, etc.)
- Cultural and educational aspects
- Living standards and lifestyles
- Population dynamics and movements
- Media

**Technological:**
- Technology evolution, development, and new discoveries
- Information and communication technology
- Technology access, legislation, intellectual property issues, and research
- Transportation
- Waste removal and/or recycling

**Legal:**
- Local, national and international legislation
- Governance and regulatory bodies
- Legal processes

**Environmental:**
- Ecological changes
- Environmental regulations
- Environmental protection and sustainability
- Environmental hazards
When it is used

PESTLE is a useful tool for understanding the “big picture” of the environment in which the organization is operating. By understanding the environment, the organization can take advantage of the opportunities and minimize the threats. This provides the context within which more detailed planning can take place to take full advantage of the opportunities that present themselves.

A special focus of PESTLE is identifying trends. Thus it is helpful for thinking proactively and anticipating change, rather than being overtaken by it.

It is recommended to use PESTLE and SWOT together. PESTLE complements SWOT by identifying specific relevant factors (such as economic trends, social attitudes, technological developments, etc.) that are significant for the project being considered, and SWOT then classifies them as either Opportunities or Threats. The more complex the context or operating environment is, the more value PESTEL can offer, by identifying factors that would be missed by SWOT alone.

How it is used

- Brainstorm and list key issues that are outside the organization’s control.
- Broadly identify the implications of each issue.
- Rate its relative importance to the organization (e.g. critical, extensive, important, significant, moderate, or insignificant).
- Rate the likelihood of it occurring (e.g. certainty, extremely likely, likely, potential, remote possibility, or will not transpire).
- Briefly consider the implications if the issue did occur.
Fishbone Diagrams

Definition

The Fishbone Diagram (also known as Ishikawa) is an analytical tool that provides a systematic way of looking at effects and the causes that create or contribute to those effects. Because of the function of the Fishbone Diagram, it may be referred to as a cause-and-effect relationship diagram.

Fishbone Diagram mainly represents a model of suggestive presentation for the correlations between an event (effect) and its multiple happening causes. The structure provided by the Diagram helps team members think in a very systematic way.

Constructing a Fishbone Diagram has many benefits such as it helps determining the root causes of a problem or quality characteristic using a structured approach, encouraging group participation, utilizing group knowledge of the process, and identifying areas where data should be collected for further study.

When it is used

Fishbone Diagrams are often used in needs assessment to assist in illustrating and/or communicating the relationships among several potential (or actual) causes of a performance problem. Likewise, these graphical representations of relationships between needs (i.e., discrepancies between desired and actual results) offer a pragmatic tool for building a system of performance improvement interventions (for instance, a combination of mentoring, job aids, training, motivation, new expectations) around the often complex relationships found across potential (or actual) causes.
Constructing a cause-and-effect Diagram can help the planner to:

- Identify the possible root causes, the basic reasons, for a specific effect, problem, or condition.
- Sort out and relate some of the interactions among the factors affecting a particular process or effect.
- Analyze existing problems so that corrective action can be taken.

**How it is used**

**STEP 1: Identify the gaps**

Identify gaps between the results (i.e. performance) that are required for the successful accomplishment of the programs/projects results chain (i.e. logic frame) and current achievements to-date.

- Using a positive effect which focuses on a desired outcome tends to foster pride and ownership over productive areas. This may lead to an upbeat atmosphere that encourages the participation of the group. When possible, it is preferable to phrase the effect in positive terms.

- Focusing on a negative effect can sidetrack the team into justifying why the problem occurred and placing blame. However, it is sometimes easier for a team to focus on what causes a problem than what causes an excellent outcome. While being cautious about the fallout that can result from focusing on a negative effect, getting a team to concentrate on things that can go wrong may foster a more relaxed atmosphere and sometimes enhances group participation.
STEP 2: Generate statement of the need

Generate a clear, concise statement of the need(s). Make sure that everyone in the group agrees with the need as it is stated.

STEP 3: Draw the spine of the fish

Using a long sheet of paper, draw a line horizontally along the page. This line will be the "spine" of the fish. Write the need along the spine, on the left hand side.

STEP 4: Identify the categories

Identify the overarching categories of causes of the need. Brainstorming is often an effective technique for identifying the categories of causes. For each category of causes, draw a "bone" - a line at a 45 degree angle from the spine of the fish.

STEP 5: Identify the factors that may be affecting the cause

Have the group brainstorm to identify the factors that may be affecting the cause and/or the need. For each category of causes, the group should be asking: "why is this happening?" Add each "reason why" to the diagram, clustered around the major cause category it influences. Repeat the procedure for asking "why is this happening" for each effect, until the question yields no more meaningful answers.

STEP 6: Analyze the diagram

When the group has come to the consensus that the diagram contains an adequate amount of information, analyze the diagram. In particular, look for causes that are appearing in more than one section of the diagram. Circle anything that seems to be a root cause for the need. Prioritize the root causes and decide to take action. This action may involve further investigating the root causes.
Advantages of Fishbone Diagrams

Fishbone diagrams permit a thoughtful analysis that avoids overlooking any possible root causes for a need. The fishbone technique is easy to implement and creates an easy to understand visual representation of the causes, categories of causes, and the need. By using a fishbone diagram, you are able to focus the group on the "big picture" as to possible causes or factors influencing the problem/need. Even after the need has been addressed, the fishbone diagram shows areas of weakness that once exposed can be rectified before causing more sustained difficulties.

Limitations of Fishbone Diagrams

The simplicity of a fishbone diagram can be both its strength and its weakness. As a weakness, the simplicity of the fishbone diagram may make it difficult to represent the truly interrelated nature of problems and causes in some very complex situations.

Unless you have an extremely large space on which to draw and develop the fishbone diagram, you may not able to explore the cause and effect relationships in as much detail as you would like to.
Example of a worksheet

[Diagram showing a cause-and-effect analysis with levels 1, 2, and 3, leading to a problem to be resolved (effect)].
Stakeholder Analysis

Definition

Stakeholder analysis is an exercise that is conducted for the identification of an organization’s/project’s stakeholders, assessment of their interests, influence, importance, attitude and the manner in which they participated in the project's origin, design and implementation.

Stakeholders: are the persons, groups or institutions who have interests in a project or programme or activity. They include both winners and losers, and those involved or excluded from the decision-making processes.

They may be classified as below:

Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (adversely affected). They may further be categorized according to gender, social or income classes and occupational or service user groups.

Secondary stakeholders are intermediaries in service delivery e.g. funding agencies, implementing and advocacy organizations whether governmental, NGO or private.
**External stakeholders** are the informal groups acting as intermediaries e.g. politicians, local leaders and respected persons with social or religious influence.

**Key stakeholders** are those (individuals and institutions) who can significantly influence on, and or are important to the success of the project.

Specific stakeholders are the key individuals e.g. heads of departments, institutions or other agencies who have personal as well as formal institutional interests at stake.

The stakeholder analysis exercise may, preferably, be done in a group. It is of paramount importance to know the interest, influence, importance and participation of each stakeholder.

**Interest**: a rule of thumb for their identification is to relate each stakeholder to either the problems or the objectives, which the activity sought to be addressed. Interests may be inferred by asking:

- What are/were the stakeholder's expectations of the activity?
- What are/were the likely benefits or disadvantages for the stakeholders?
- What resources did the stakeholder commit (or avoid committing)?

Influence is the power, which stakeholders have over a project - to control decisions and to facilitate/hinder its process. Influence is the extent to which people, groups or organizations (i.e. stakeholders) are able to persuade or coerce others into making decisions and following certain courses of action.
This power may derive from the nature of a stakeholders’ organization or their position in relation to other stakeholders (e.g. line ministries that control budgets) or may be informal (e.g. personal connections to ruling politicians). Importance is distinct from influence. This indicates the priority given by the project/ activity for satisfying the stakeholders' needs and interests.

There will often be stakeholders, especially the unorganized primary stakeholders, upon which the project places great priority (e.g. women, resource poor farmers, slum dwellers, vulnerable groups, etc.). Those stakeholders may have weak capacity to participate and limited power to influence key decisions, yet they may be important and a high priority for the project.

Participation refers to the involvement of people in the organization in decision making. This may take the following four different shapes:

1. Inform: denotes announcing the decision and advocating or arguing in its favour.
2. Consult: refers to proposing a decision and inviting discussion however, the final decision making remains with the central authority.
3. Participation: is identifying the problem and suggesting options without preference for discussion and review, nonetheless, the manager makes final decision.
4. Control: is giving away the authority for decision making, while observing the laid down boundaries.
When it is used

Stakeholder analysis can be used to identify all parties engaged in conducting the policy/strategy, those who make or implement policy, and the intermediaries between them. It can help define a way to engage stakeholders so that the impact on policy/strategy can be maximized. It can also be used later, when results are available and the team may want to use the evidence to assess the policy impact. Thus, it can be a useful tool to consider who needs to know about the policy/strategy, what their positions and interests are and how the policy/strategy should be presented and framed to appeal to them. In this way it becomes an essential tool for assessing different interest groups around a policy issue or debate, and their ability to influence the final outcome.

Policymakers and managers can use a stakeholder analysis to identity the key actors and to assess their knowledge, interests, positions, alliances, and importance related to the policy. This allows policymakers and managers to interact more effectively with key stakeholders and to increase support for a given policy/strategy.

When this analysis is conducted before a policy/strategy is implemented, policymakers and managers can detect and act to prevent potential misunderstandings about and/or opposition to the policy/strategy. When a stakeholder analysis and other key tools are used to guide the implementation, the policy/strategy is more likely to succeed.
How it is used

STEP 1: Develop a list of stakeholders
Develop a tentative list of stakeholders keeping in view all the potential supporters and opponents.

STEP 2: Classify stakeholders into categories
The stakeholders identified in step 1 are then classified into categories: primary, secondary, external, specific and key. (Note: since certain stakeholders may have more than one role, they may appear in more than one category).

STEP 3: Identify interests of stakeholders
Interests of stakeholders in a particular activity are identified in this step. (Note: particular activity, stakeholders had more than one interest).

STEP 4: Determine the influence of stakeholder
Determine the influence a stakeholder had over a particular activity. This can be done in the following two steps. Assess the extent of influence that a stakeholder may have over a particular activity by using a three-category code.

- High: this person or group has power of veto, formally or informally; and without his/her support, the process for any activity can not progress
- Medium: one could probably achieve his/her goals against this person or group's opposition, but not easily
- Low: this person can do little to influence the outcomes of intended actions
Determine the level of confidence. The participants ask themselves as to how confident they were in their estimate of a stakeholder’s influence. This can be done by using the following scale.

☑ (a tick) for being fully confident

? for reasonably confident (some missing information or some doubts)

?? for an informed guess

??? for wild guess or sheer fantasy

Unless group achieved an immediate agreement, at least one question mark is given.

**STEP 5: Determining the importance a stakeholder**

Determining the importance given to a stakeholder in the design and implementation of policy/strategy. This is determined in the following two steps:

The importance of stakeholders is adjudged from the priority given by the project/activity to each stakeholder’s interests. This is estimated on a scale of 1 to 5.

After having defined the level of importance of each stakeholder, the confidence of participants in their estimate is determined. For this, the scale used in step 5- i is used.

Unless group achieved an immediate consensus, one question mark is given.

**STEP 6: Identify the attitude of a stakeholder**

In this step, the attitude of a stakeholder towards a particular policy/strategy is assessed in the following two steps: The participants estimate the stakeholder's attitude from supportive to that opposed, on a 5-category code. This is given below:

- (+++) strongly in favour

- (++ ) weakly in favour
- (0 ) indifferent or undecided
- (- ) weakly opposed
- (-- ) strongly opposed

As to how confident the participants are about their estimate of a stakeholder’s attitude towards the policy/strategy, the same code used in step-5 is used. However, unless group achieved an immediate agreement, one question mark is given.

**STEP 7: Develop a participation matrix**

The last step for analysing the stakeholders is to develop a participation matrix. Various stakeholders are plotted in the matrix (as shown below) with the types of participation i.e. informing, consultation, partnership and control in the horizontal column and the different stages in the activity or project cycle i.e. identification (origin), planning (design) and implementation on the vertical side.
Advantages of Stakeholder Analysis

- Get to know stakeholders better.
- Relative importance, power and interests
- Better managed relationships
- Risks identified
- Make better strategies and decisions
- Greater acceptance of organization actions by stakeholders

Stakeholders have unique insight into issues. They can secure resources to assist you with your decisions or project. Involving stakeholders can build trust, which can ultimately lead to increased consensus for your project or final decision. It can also increase transparency and lead to better decision making.

Limitations of Stakeholder Analysis

- Best done on continuous basis
- Assessment of analysis may be subjective
- Maybe not all stakeholder interests can be met at the same time
- Focus on most important stakeholder
- Balance and reconcile all interests according to importance or urgency
- Involvement of stakeholders often takes time.
- Involving stakeholders may be inappropriate when you are establishing accountability in supervisory settings.
- Asking for input, when decisive action is needed to address supervisory issues, can give the appearance the supervisor does not have solid leadership abilities.

- Involving stakeholders but don't take their advice, you have raised an expectation that hasn't been met, which can lead to distrust and hamper morale

**Note**

If time and resources permit, further analysis can be carried out which explores in more detail (i) the nature of the power and its position and (ii) the interests that give it that position. This helps the project to better understand why people take certain stands and how they can be or brought around. This analysis is developed further in Influence mapping.
Problem Tree Analysis

Definition

Problem Tree Analysis is central to many forms of project planning and is well developed among many agencies and organizations. Problem Tree Analysis (also called Situational Analysis or just Problem Analysis) helps to find solutions by mapping out the anatomy of cause and effect around an issue in a similar way to a Mind map, but with more structure. Problem Tree Analysis helps to illustrate the linkages between a set of complex issues or relationships by fitting them into a hierarchy of related factors.

When it is used

Problem Tree Analysis is used to Link together the various issues or factors which may contribute to an institutional problem. It helps to identify the underlying or root causes of an institutional problem. The major assumption underlying the Problem Tree is the hierarchical relationship between cause and effect.

How it is used

Problem tree analysis is best carried out in a small focus group of about six to eight people using flip chart paper or an overhead transparency. It is important that factors can be added as the conversation progresses.
STEP 1: Agree on the main problem

The first step is to discuss and agree the problem or issue to be analyzed. Do not worry if it seems like a broad topic because the problem tree will help break it down. The problem or issue is written in the center of the flip chart and becomes the ‘trunk’ of the tree. This becomes the ‘focal problem’. The wording does not need to be exact as the roots and branches will further define it, but it should describe an actual issue there everyone feels passionately about.

There might be other problems identified by the participants that could be explored. Draw separate problem trees for these and compare them later when starting to think about exactly what the project will address.

STEP 2: Identify the causes of the main problem (the roots)

By asking ‘but why?’ until we can go no further. Write each cause on a separate post-it note or piece of card. Some problems might have more than one cause.

STEP 3: Identify the effects of the main problem (the branches)

By asking ‘so what?’ until we can go no further. Write each effect on a separate post-it note or piece of card. Some problems might have more than one effect.

STEP 4: Copy the problem tree onto a sheet of paper

Draw in vertical links to show the relationship between the causes or effects. Draw horizontal lines to show where there are joint causes and combined effects.
The heart of the exercise is the discussion, debate and dialogue that is generated as factors are arranged and re-arranged, often forming sub-dividing roots and branches (like a Mind map). Take time to allow people to explain their feelings and reasoning, and record related ideas and points that come up on separate flip chart paper under title such as: solutions, concerns and decisions. Discussion questions might include:

- Does this represent the reality? Are the economic, political and socio-cultural dimensions to the problem considered?
- Which causes and consequences are getting better, which are getting worse and which are staying the same?
- What are the most serious consequences? Which are of most concern? What criteria are important to us in thinking about a way forward?
- Which causes are easiest / most difficult to address? What possible solutions or options might there be? Where could a policy change help address a cause or consequence, or create a solution?
- What decisions have we made, and what actions have we agreed?

Advantages of Problem Tree Analysis

- The problem can be broken down into manageable and definable chunks. This enables a clearer prioritization of factors and helps focus objectives
- There is a better understanding of the problem and its often interconnected and even contradictory causes. This is often the first step in finding win-win solutions
- It identifies the constituent issues and arguments, and can help establish who and what the political actors and processes are at each stage
- It can help establish whether further information, evidence or resources are required to make a strong case, or build a convincing solution
- Present issues - rather than apparent, future or past issues - are dealt with and identified

- The process of analysis often helps build a shared sense of understanding, purpose and action

**Limitations of Problem Tree Analysis**

It may be difficult to understand all effects and causes of a problem right from the beginning as this often requires time and experience.

**Note**

*The Problem tree is closely linked to the Objectives tree (another key tool) and well used by many agencies and organizations. The Problem tree can be converted into an objectives tree by rephrasing each of the problems into positive desirable outcomes as if the problem had already been treated. In this way, root causes and consequences are turned into root solutions, and key project or influencing entry points are quickly established. These objectives may well be worded as objectives for change. These can then feed into a Force field analysis which provides a useful next step.*
Example of a worksheet
Force Field Analysis

Definition

Force Field Analysis is a general tool for breaking down a complex problem into factors in a systematic way, in which the problems are framed in terms of factors or pressures that support the status quo (restraining forces) and those pressures that support change in the desired direction (driving forces).

A factor can be people, resources, attitudes, traditions, regulations, values, needs, desires, etc. It is a tool for managing change.

When it is used

Force Field Analysis is used to find out the different forces acting on a potential policy issue, and for evaluating their source and strength. It is a powerful method to inform decision-making, predominantly in planning and implementing change management programmes in organizations by analyzing the forces for and against a change and so communicating the reasoning behind the decision.

It helps to weigh the importance of these factors and decide whether a plan is worth implementing. In effect, it is a specialized method of weighing Pros and Cons.

How it is used

Force field analysis is best carried out in small group of about six to eight people using flip chart paper or overhead transparencies so that everyone can see what is going on.
The first step is to agree the area of change to be discussed. This might be written as a desired policy goal or objective.

**STEP 1: Defining the problem**

What is the nature of the current situation that is unacceptable and needs modification? It is useful to separate the specific problem from those things that are working well.

**STEP 2: Defining the change objective**

What is the desired situation that would be worth working toward? Be as specific as possible.

**STEP 3: Identifying the driving forces**

What are the factors or pressures that support change in the desired direction? What are the relative strengths of these forces? Place these driving forces on the chart on the Force Field Analysis diagram as labelled arrows with the length of the arrow reflecting the relative strength of each force. What are the inter-relationships among the driving forces?

**STEP 4: Identifying the restraining forces**

What are the factors or pressures that resist the proposed change and maintain the status quo? Represent these forces on the diagram as has been done for the driving forces. What are the inter-relationships among the restraining forces?
STEP 5: Scoring

The driving and restraining forces should be sorted around common themes and should then be scored according to their ‘magnitude’, ranging from one (weak) to five (strong). The score may well not balance on either side.

STEP 6: Developing the comprehensive change strategy

The diagram created in steps three and four reflect what could be called a state of quasi-stationary equilibrium. Although this is a relatively stable state, movement can be achieved altering the factors currently contributing to this equilibrium. Change can occur as a result of any combination of the following:

- Strengthening any of the driving forces
- Adding new driving forces (possibly by transforming a former restraining force)
- Removing or reducing any of the restraining forces

Step 6 should also include some consideration of some of the possible unintended consequences are altered (e.g. increase resistance, new alliances, fear, etc.).
Advantages of Force Field Analysis

- Brings into the open factors which will work for and against the closing of a gap
- Identified by a needs analysis.
- Helps to recognize circumstances which can and cannot be changed.
- Provides a means to analyze ways to minimize or eliminate barriers to goal attainment.

Limitations of Force Field Analysis

- Process is subjective and requires collaborative thinking and agreement
- Concerning forces for and against the solution to a particular problem.
- May oversimplify the relationships between factors that impact a problem.
- All aspects of a problem may not be identified.

Note

Force field analysis is natural follow-on from Problem Tree Analysis which can often help to identify objectives for policy change. A useful next step on from Force field analysis is Stakeholder analysis in which the specific stakeholders for and against a change are identified, together with their power, influence and interests.
**Example of a worksheet**

<table>
<thead>
<tr>
<th>The Score</th>
<th>Driving Force / Forces for change</th>
<th>Change proposal / Status QUO</th>
<th>Restricting Force / Forces against</th>
<th>The Score</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total</th>
<th>The Way Things</th>
<th>Gap analysis /Steps to Get</th>
<th>The Way I Want</th>
<th>Total:</th>
</tr>
</thead>
</table>

Directorate General of Planning & Studies
Pareto Analysis

Definition

Pareto Analysis (Diagram) is a statistical technique in decision making that is used for the selection of a limited number of tasks that produce significant overall effect. Pareto Analysis is a technique based on the Pareto Principle which states that 80 percent of problems or effects are produced by 20 percent of causes. This type of analysis can be useful in the scoping stage of decision making, to identify the root causes (or attributes) of the problem you are trying to address, and prioritize them.

When it is used

Pareto Analysis is a formal technique for finding the changes that will give the biggest benefits. It is useful where many possible courses of action are competing for your attention.

Pareto diagrams can be applied in:

- Designing of medical processes in order to identify errors, faults, incidents or in the construction of a system that reduces the risk of medical care.

- Analyzing performance data in health organizations.

Pareto Diagram helps teams focus on the small number of really important problems or causes of problems. This tool is useful in establishing priorities by showing which are the most critical problems to be tackled or causes to be addressed. Comparing Pareto Diagram of a given situation over time can also determine whether an implemented solution reduced the relative frequency or cost of that problem or cause.
How it is used

STEP 1: Record the raw data.
List each category and its associated data count.

STEP 2: Order the data.
Prepare an analysis sheet, putting the categories in order and placing the one with the largest count first.

STEP 3: Label the left-hand vertical axis.
Make sure the labels are spaced in equal intervals from 0 to a round number equal to or just larger than the total of all counts. Provide a caption to describe the unit of measurement being used.

STEP 4: Label the horizontal axis.
Make the widths of all of the bars the same and label the categories from largest to smallest. An "other" category can be used last to capture several smaller sets of data. Provide a caption to describe them. If the contributor names are long, label the axis A, B, C, etc. and provide a key.

STEP 5: Plot a bar for each category.
The height of each bar should equal the count for that category. The widths of the bars should be identical.
STEP 6: Find the cumulative counts.
Each category's cumulative count is the count for that category added to the counts for all larger categories.

STEP 7: Add a cumulative line.
This is optional. Label the right axis from 0 to 100%, and line up the 100% with the grand total on the left axis. For each category, put a dot as high as the cumulative total and in line with the right edge of that category's bar. Connect all the dots with straight lines. The major advantage of Pareto Diagram is the fact that is easier to see on such a diagram the most important faults, and the main disadvantage is the hierarchical system of the faults, of non-conformities that frequently depend on the person that makes it.

Advantages of Pareto Analysis
- Separate the few major problems from the many possible problems so you can focus your improvement efforts.
- Arrange data according to priority or importance.
- Determine which problems are most important using data, not perceptions.
- Breaks big problem into smaller pieces
- Identifies most significant factors
- Shows where to focus efforts
- Allows better use of limited resources

Pareto analysis is a formal technique for finding the changes that will give the biggest benefits. It is useful where many possible courses of action are competing for your attention.
Limitations of Pareto Analysis

- The quality of the analysis is dependent on the availability of relevant and reliable data.

- This technique relies on data that is additive (e.g. counts or costs). If you have not collected data, it is possible to use the technique by applying a weighting fact or score to each cause.