

# Public Policy Development and Implementation

Walt McBride

*Leadership Development Unit Manager*

Carl Vinson Institute of Government

University of Georgia

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## GROUND RULES

*Please*

- **R-E-S-P-E-C-T**
- **BE HARD ON ISSUES, NOT EACH OTHER**
- **MAKE NO EXTRA NOISE**
- **OBSERVE THE "VEGAS" RULE**
- **SUSPEND YOUR DISBELIEF**
- **"RENT" IDEAS, BUYING NOT REQUIRED**
- **S---T---R---E---T---C---H**
- **CULTIVATE CURIOSITY**
- **BE FLEXIBLE**
- **HAVE FUN LEARNING!**

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## Learning Objectives

- Gain an appreciation of the importance of policy development
- Gain an understanding of potential unintended consequences of policy
- Learn how staff and other resources can be utilized to provide research for policy-making
- Learn theories and processes of policy development

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## Public Policy

***Why is this  
important?***

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## Breakout Discussions

- What is public policy?
- What examples of ineffective policy have you seen?
- Why is developing good policy so difficult?



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Theories do not solve problems in the world; people do. Nevertheless, good theory is what we need when we get stuck. Theories can help alert us to problems, point us toward strategies of response, remind us what we care about, or prompt our practical insights into particular cases we confront.

John Forester

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## Public Policy Development and Implementations Topics for Discussion

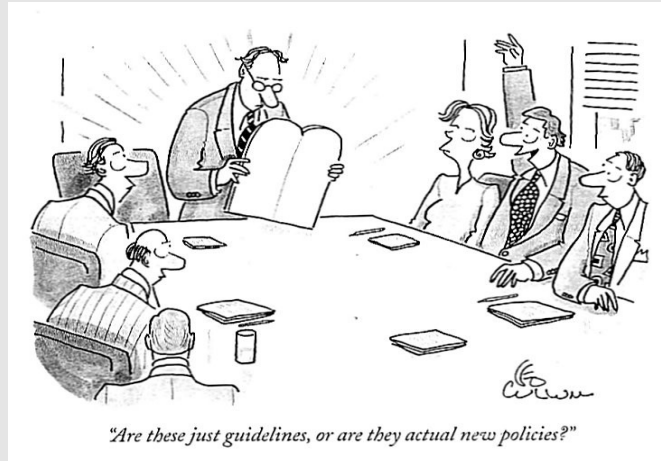
- Policies v. Procedures
- Developing Policies & Procedures
- Writing Policies & Procedures
- Implementing Policies & Procedures
- Evaluating Policies & Procedures
- Policymaking Roadmap



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## Public Policy Development Policies v. Procedures

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## Policies v. Procedures

- What are policies?
  - FORMAL GUIDING PRINCIPLES
  - Based on concepts to do something or prevent something
  - Your ideas and goals translated into framework for action
  - Statements that provide operational framework
  - Generally change only through review process

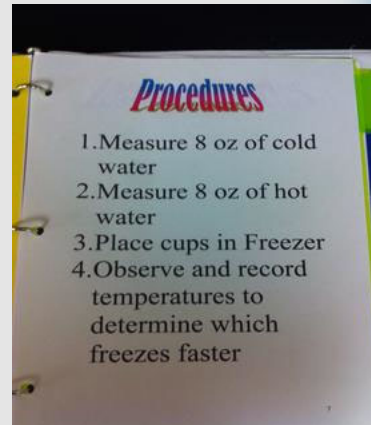


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## Policies v. Procedures

### • What are procedures?

- Represent the implementation of policies
- Recipe for how things get done – describe operational processes
- INSTRUCTION MANUAL: step-by-step directions
- Generally can be changed at administrative and/or operational level



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## Public Policy Development

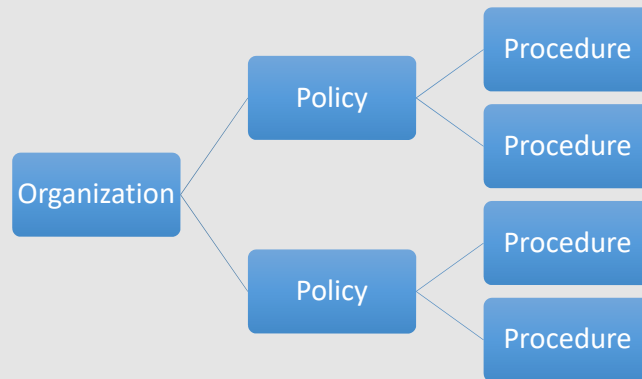


### So what is a policy?

- In this context it is a decision of the governing body to take some action
- The decision is based on an idea or concept to do or prevent something
- Implementation can occur through a number of different methods
- Examples?

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## Public Policy Development Process



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## Policies v. Procedures

### Policies – What!

- Guiding Principles
- Provide operational framework
- Changed through formal review process

### Procedures – How!

- Describe process
- Step-by-step instructions
- Discretion to change at operational level

● In practice, policies and procedures can overlap and often are used interchangeably

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# Public Policy Development

## Developing Policies v. Procedures

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## Developing Policies & Procedures

**First Ask Why....Then,  
What?**

- Key to good policy development – do what your doctor does!
  - Observe
  - Diagnose
  - Intervene



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## Developing Policies & Procedures

- **Observe** – be clear on the point of the policy or procedure - ask why and what?
  - Reaction to a particular problem?
  - Response to a specific state or federal requirement?
  - Idea generation/brainstorming (solo or group) – is there something you want done?



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## Developing Policies & Procedures

- **Understand authorization**
  - Is addressing the problem or issue a function of local government?
  - Who has authority to create the policy or procedure?
  - Who has authority to approve?
  - If unclear, what is the plan for getting this clarified?



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## Developing Policies & Procedures

- Determine or assign an “owner” of the policy
- Understand the intended audience – the “stakeholders” – is everyone needed at the table
- Determine stakeholders’ roles in developing the policy or procedure
- Unidentified stakeholders or interested groups – who might benefit or lose
- Be thoughtful about how you will communicate the new policy. How will it sound?

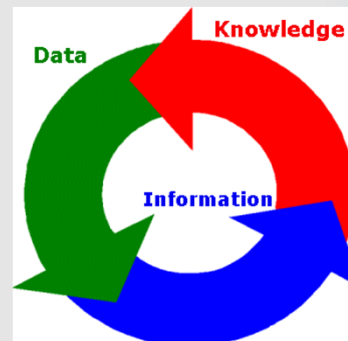


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## Developing Policies & Procedures

- Research – gather relevant data
  - Cost analysis – how much, will tax increase /decrease occur, impact on budget, will fees/fines be involved, who will pay, does the concept create or expend revenue or both
  - What are the ongoing costs
  - Best practices
  - Legal review – conflicts

**Good policy is the result of data-driven decision making and including ALL relevant stakeholders!**



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## Developing Policies & Procedures

### • *Diagnose and Intervene*

- Do you need a policy or is there a need for changing a procedure?
- What is the schedule for implementation?
- Who will write? Implement? Evaluate?
- Has staff provided an implementation plan with the proposed policy?



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## Key Questions

### Review of possible consequences

- Legal review, is the action pre-empted, do you have authority, other policies/laws in conflict?
- Who will bear the impact?
- Who will do the work?
- Who will determine if the policy will work and how will they do so?
- Are there potential unintended consequences?
- If so, how can you mitigate them at the beginning?

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# Practical Policymaking

## Writing Policies & Procedures

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## Writing Policies & Procedures

### Overall Goals:

- *Simple*
- *Consistent*
- *Easy to Use*



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## Writing Policies & Procedures

### • Good Policies

- Written in clear, concise, simple language
- Address what is the rule or the guiding principle rather than how to implement the rule
- Readily available to stakeholders
- State authority within policy



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## Writing Policies & Procedures

### Good Procedures

- Tied to policies – make explicit the relationship
- Write with the stakeholder in mind – should be useful to those to which it applies
- Need to be easily understood
  - Identify those who are to act
  - Describe the precise actions or options required
  - State when actions are to occur
  - State consequences of inaction
  - State who to contact for more information



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## Writing Policies & Procedures

### • When should you put a policy or procedure in writing?

- First consider: why have policy or procedure?
- Comply with legal requirement
- Avoid confusion and misunderstandings
- Remove discretion – increase consistency and fairness
- Provide framework (policies) and directions (procedures) that help stakeholders make decisions and organization operate more efficiently
- Issue being addressed rises above a simple administrative decision
- Creates an understanding of the formal authority to address the issue



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## Writing Policies & Procedures

### Format consistency is important – Example:

- *Ordinance*
- *Resolution*
- *Adopted Policy*



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And.....

## Writing Policies & Procedures

- Avoid ambiguity
- Be careful when using “and” and “or”
- Use active voice – make the actor or doer the subject of the sentence
- Use the third person
- Write in the present tense
- Beware of the use of “shall”
- Use terms consistently within a policy and the related procedures
- Use gender neutral language
- Spell out acronym first time
- Include step-by-step instructions for completing forms
- Avoid jargon

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**TAKE FIVE**

SWING ♩ = 176

PAUL DESMOND

INTRO

A

*Or rather ten!*



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# Practical Policymaking

## Implementing Policies & Procedures

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## Implementing Policies & Procedures

### •What is implementation?

- Stage of policymaking between establishing the policy or procedure and the consequences of the policy or procedure for those it affects
- The actions (and non-actions) designed to put policies or procedures into effect, in order to achieve goals
- Choose the delivery system(s) – charter change, ordinances, SOP, personnel policy, memo, other
- Notice and calendaring – what is the schedule to deliver - has the ordinance, memo, charter change been drafted - has the ad been run - who will get notice - how do you prove notice occurred

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## Implementing Policies & Procedures

### • Important points:

- Implementation involves many important stakeholders who often have differing views and competing goals
- Any one group who is non-supportive can derail the implementation process
- Developing the policy through involvement of stakeholders provides immediate advocacy at the time of implementation



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## Implementing Policies & Procedures

### Who are the actors?

- The stakeholders that hopefully you have already involved in the policymaking process
  - Staff
  - Manager
  - Attorney
  - Community Groups
  - Others
    - Boards
    - Authorities
    - Commissions

• *Name an issue that your City needed to address that required you to work with community groups*

• *Who were the different groups?*

• *Why did you involve them?*

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## Practical Policymaking Implementing Policies & Procedures

### • What is needed for effective implementation?

- Resources – *names some of the resources your City might have*
- Planning and Process
- Leadership
- Communication
- Education



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## Implementing Policies & Procedures

### • Resources

- Adequate resources are essential
- Should be appropriate for level of policy or procedure change



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## Implementing Policies & Procedures

### • Planning and process

- All of the things we have previously discussed
  - *Early identification of the problem*
  - *Identification of stakeholders*
  - *Effective research and analysis*
  - *Good writing*
- Prepare for new policies and procedures far enough in advance to allow you to go through deliberate process
- ***Be flexible*** – you may have to make changes along the way

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## Implementing Policies & Procedures

### • Leadership

- Determine the appropriate level from which to launch the implementation
- Leaders must lead!
- Those at the top of the hierarchy are in the best position to provide clarity and direction
- **Be prepared to support your staff!**



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## Implementing Policies & Procedures

### Communication

- First requirement: make sure those who are charged with implementation know what they are supposed to do!
- There may be a need for internal training in order to ensure consistent implementation
- Policies and procedures must be communicated to the appropriate personnel before they can be followed

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## Implementing Policies & Procedures

### • Communication and Education

- Develop a plan for communication
  - Information must be accurate
- Should be clear and consistent
- Reasons for lack of clarity
  - Complexity of the policy or procedure
  - Competing goals of stakeholders
  - Unfamiliarity with new programs or requirements that led to policy or procedure – lack of training
- Can be confusing to your staff and your citizens



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# Practical Policymaking

## Evaluating Policies & Procedures

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## Evaluating Policies & Procedures

- **Policy or procedure is in place – what next?**
  - *EVALUATE*
    - *Does it work?*
    - *Any unintended consequences?*
- **Develop a plan for review and evaluation**
  - *Who will ensure that policies and procedures are reviewed?*
  - *How often will they be evaluated?*
  - *What process will be used when a policy comes up for review?*

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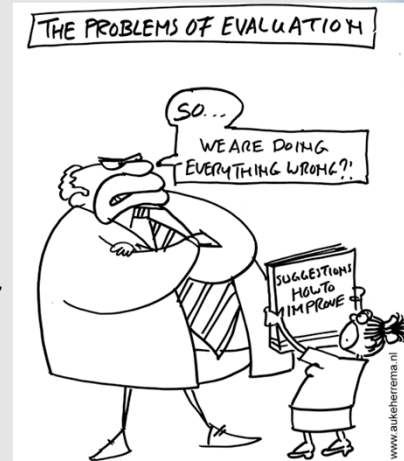
## Evaluating Policies & Procedures

### •Encourage feedback

- Positive AND negative
- Determine method for obtaining feedback
- Show that feedback is heard!

### •Archive changes

- Date new releases with an "effective date"
- Determine where archived copies will be maintained



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## Evaluating Policies & Procedures

### •Measure outcomes

- Consider developing a metric to quantify the usefulness of the policy or procedure
  - Number of hits on website
  - Number of phone calls
  - Number of questions or suggestions
- Internal or external audit to measure compliance?
- Is there a good way to measure actual impact?

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# Practical Policymaking

## Results-Based Accountability

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1

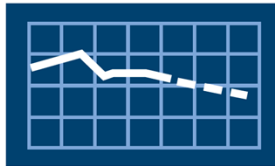
What is the "end"?

*Choose either a result and indicator or a performance measure.*

2

How are we doing?

*Graph the historic baseline and forecast for the indicator or performance measure.*



3

What is the story behind the curve of the baseline?

*Briefly explain the story behind the baseline: the factors (positive and negative, internal and external) that are most strongly influencing the curve of the baseline.*

4

Who are partners who have a role to play in turning the curve?

*Identify partners who might have a role to play in turning the curve of the baseline.*

5

What works to turn the curve?

*Determine what would work to turn the curve of the baseline. Include no-cost/low-cost strategies.*

6

What do we propose to do to turn the curve?

*Determine what you and your partners propose to do to turn the curve of the baseline.*

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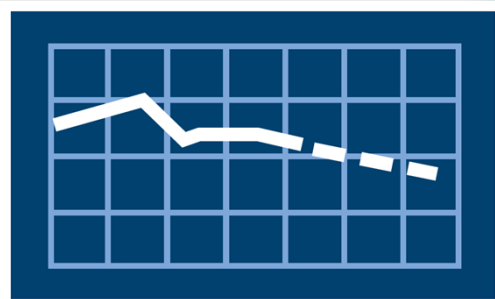
## What's the end?

	QUANTITY	QUALITY
EFFORT	<b>How Much We Do</b> How much service did we deliver? # Customers served # Services/Activities	<b>How Well We Do It</b> How well did we do it? % Services/activities performed well
EFFECT	<b>Is Anyone Better Off?</b> What quantity/quality of change for the better did we produce? #/% with improvement in: Skills Attitudes Behavior Circumstances	

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## How are we doing?

- What is the current trend?
- Plot an historic baseline (at least 5 years of data, if available) and a forecast assuming no change in your current level of effort (for 3 - 5 years, if possible).
- If you don't do anything, does the line go in the direction you want?

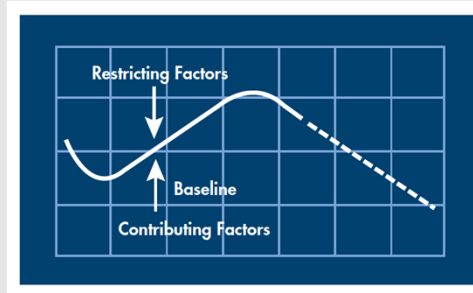


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## What is the story behind the curve?

- Identify contributing factors that are supporting progress, and restricting factors that are hindering progress in turning the curve of the baseline (or accelerating the curve if it is already headed in the right direction).



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## Who are partners who have a role to play in turning the curve?

- Identify potential partners who have an interest in the problem
- The identification of root causes impacting progress will often point the way to the types of partners who should be engaged.



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## What works to turn the curve?

- Does the option address one or more of the root causes you have identified?
- Is the proposed option evidence-based?
- Have “no-cost/low-cost” options been developed?
- Is additional research necessary to determine what would work or to identify other options?



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## What do we propose to do to turn the curve?

- **Leverage:** How strongly will the proposed strategy impact progress as measured by the baselines?
- **Feasibility:** Is the proposed strategy feasible?
- **Specificity:** Is the strategy specific enough to be implemented?
- **Values:** Is the strategy consistent with your values?

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## Concept to Practice

- Using the information on the handouts, work out some appropriate policies and follow them through the process
- Select a recorder
- Select a presenter
- Report out



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