**Policy Development Reference Document**

**Disclaimer:**

This template/document/framework is not intended to be comprehensive or exhaustive - rather, it seeks to provide a framework, be a reference, stimulate discussions, generate ideas, and facilitate further analysis to encourage additional exploration, research and/or policy development for your organization or group.

This document, referred to as “Policy Development Reference Document,” is free for use and has been developed to suit the Confederacy of Treaty Six First Nations’ business/operational needs. Should you elect to use it for your own use, we recommend caution before using it to replace any documents that you or your organization currently have in place. The Confederacy of Treaty Six First Nations is not liable for the use of this document in the event you choose to use it voluntarily. This document is not to be sold. The Confederacy of Treaty Six First Nations holds the rights to alter or amend this document at any time without notice. 2021-09-02 V1.

**Preamble:**

This document has been created to provide a foundation when developing policy. Each sector will have different models of policy development depending on their governance structure. Please use this document as a starting point for policy development consideration.

**Policy Development Reference Document**

**Two Common Types of Policy:**

* Decisions regarding policy, including policy changes, can have significant impacts at all levels. “Big P- small p” is a convenient shorthand to distinguish between big and small policy decisions.
* “Big P” policy is at a provincial/national level and generally requires decisions from elected officials/senior executives in government. Big P policies can be made into law and are quite time intensive due to the number of stakeholders involved, making it difficult to influence.
* “Small p policy” is at a smaller scale like a local government or individual organization level. Small p policy is a lot less intensive than Big P policies with fewer stakeholders and is easier to influence. Small p policies can also be revised more easily than Big P policies.

**Policy Cycle:**

For those who are new to policy, there is an instructive guide that explains how policy should be drafted, implemented, and assessed in an ideal process, called a policy cycle.

A policy cycle consists of the following stages:

1. Agenda Setting
2. Formulation
3. Adoption
4. Implementation
5. Evaluation
6. Support/Maintenance

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| **#** | **Stage** | **Notes**  |
| 1 | Agenda Setting | During this stage, you are identifying emerging issues that may require government/organizational action. If more than one issue is identified, issues can be ranked for priority during this stage.  |
| 2 | Formulation | During this stage, the structure of the policy is defined. This includes contemplating and defining what goals need to be achieved, what impacts need to be considered, how much it will cost, and how key stakeholders will react to the anticipated effects of the policy. |
| 3 | Adoption | During this stage, key decision makers provide the appropriate approval for the policy so it can be adopted.  |
| 4 | Implementation | During this stage, policy makers must assess if the necessary parties have the resources and knowledge to implement the policy or if a third party needs to carry out the implementation. |
| 5 | Evaluation | During this stage, the effectiveness/success of the policy is assessed and recorded. The assessment can be quantitative or qualitative.  |
| 6 | Support/Maintenance | During this stage, further advancing or continuing the policy is studied. If it is deemed that the policy has served its purpose and is now redundant, the policy can be terminated.  |

**INFORMATION TO CONSIDER ADDING TO THE BEGINNING OF A POLICY DOCUMENT**

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| Policy Title |  |
| Policy Number or Reference Number  |  |
| Approved by |  |
| Effective Date |  |
| Revised Date |  |
| Version No.  |  |

Based on the theoretical concept of the policy cycle, those new to policy can follow the steps below when attempting to develop a policy:

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| **Need / Purpose** |
| Sub-Content  | Notes  |
| Identify the need. * Policies can be developed in anticipation of a need and in response to a need.
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| The need can be identified by assessing the organization’s activities, responsibilities, and external environment (i.e. government regulations, laws, organizational obligations, etc.).  |  |
| When identifying the purpose, ask the following questions: * What is the issue that needs to be solved?
* Why does this issue need to be solved?
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| **Scope**  |
| Sub-Content | Notes |
| Who does the policy apply to?  |  |
| Who is excluded and on what basis?  |  |

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| **Policy Lead** |
| Sub-Content | Notes  |
| Delegate responsibility to an individual, working group, sub-committee, or staff members based on the issue and level of expertise required. |  |

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| **Due Diligence** |
| Sub-Content | Notes |
| Do you have any legal responsibilities here?  |  |
| Is your understanding of the issue accurate and up to date?  |  |
| What are the internal (i.e. capacity issues, lack of funding, change in decision-makers, etc.) and/or external influences that need to be considered? |  |
| Have other organizations (similar or not) faced the same issues?  |  |
| Are there existing examples you could build from?  |  |

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| **Draft the Policy**  |
| Sub-Content | Notes |
| Ensure the wording, length and complexity of the policy is appropriate to those who will be expected to implement it.  |  |

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| **Consult with Relevant Stakeholders** |
| Sub-Content | Notes  |
| Policies are most effective if those who are affected are supportive of the policy.  |  |
| Who are the relevant stakeholders? |  |
| How will they be consulted in a way where they can consider what is being proposed and offer meaningful input?  |  |

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| **Policy Approval** |
| Sub-Content | Notes  |
| Who are the decision-makers? |  |

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| **Implementation and Procedure** |
| Sub-Content | Notes  |
| This stage is about the process rather than the desired result.  |  |
| What is the process that will be used to implement the policy1?  |  |
| Procedures are written in sequential order at a relatively high level. During this stage, there is a clear understanding of who will be assigned responsibility.  |  |
| How will the policy be communicated and to whom?  |  |
| Is training required to support the implementation of this policy? If so, amongst whom (i.e. staff, volunteers, management committee members, etc.)?  |  |
| How long will the policy remain in effect for? Who decides when the policy is no longer in effect? |  |

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| **Monitor, Review, Revise** |
| Sub-Content | Notes  |
| What monitoring and reporting systems will be in place to ensure that the policy is implemented and to assess usage and effectiveness?  |  |
| On what basis, and when, will the policy be reviewed and revised (if necessary)? |  |

**COMMONLY USED DEFINITIONS**

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| **Term**  | **Definition**  | **Source/Reference**  |
| Assessment | the evaluation or estimation of the nature, quality, or ability of someone or something | <https://www.dictionary.com/browse/assessment>  |
| Consult | seek information or advice (from someone with expertise in a particular area) | <https://www.dictionary.com/browse/consult>  |
| Decision Maker | a person who makes important decisions | <https://www.dictionary.com/browse/decisionmaker>  |
| Draft | a preliminary version of a piece of writing | <https://www.dictionary.com/browse/draft> |
| Effectiveness | the degree to which something is successful in producing a desired result; success | <https://www.dictionary.com/browse/effectiveness>  |
| Evaluate | form an idea of the amount, number, or value of; assess | <https://www.dictionary.com/browse/evaluate> |
| External | coming or derived from a source outside the subject affected | <https://www.dictionary.com/browse/external>  |
| Implementation | the process of putting a decision or plan into effect; execution. | <https://www.dictionary.com/browse/implementation> |
| Internal | existing or occurring within an organization | <https://www.dictionary.com/browse/internal>  |
| Issue | an important topic or problem for debate or discussion | <https://www.dictionary.com/browse/issue> |
| Legal Responsibilities | a thing that one is required to do as part of a job, role, or legal obligation | <https://www.dictionary.com/browse/responsibilities>  |
| Monitor | an instrument or device used for observing, checking, or keeping a continuous record of a process or quantity | <https://www.dictionary.com/browse/monitor>  |
| Policy | a course or principle of action adopted or proposed by a government, party, business, or individual | <https://www.dictionary.com/browse/policy>  |
| Problem | a matter or situation regarded as unwelcome or harmful and needing to be dealt with and overcome | <https://www.dictionary.com/browse/problem>  |
| Review | a formal assessment or examination of something with the possibility or intention of instituting change if necessary | <https://www.dictionary.com/browse/review>  |
| Scope | the degree to which something has spread; the size or scale of something | <https://www.dictionary.com/browse/scope>  |
| Stakeholder | a person with an interest or concern in something, especially a business | <https://www.dictionary.com/browse/stakeholder>  |

**References**

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Cairney, P. (2013) *Policy concepts in 1000 words: the policy cycle and its stages.* Paul Cairney: Politics & Public Policy.Retrieved August 28, 2021, from <https://paulcairney.wordpress.com/2013/11/11/policy-concepts-in-1000-words-the-policy-cycle-and-its-stages/>