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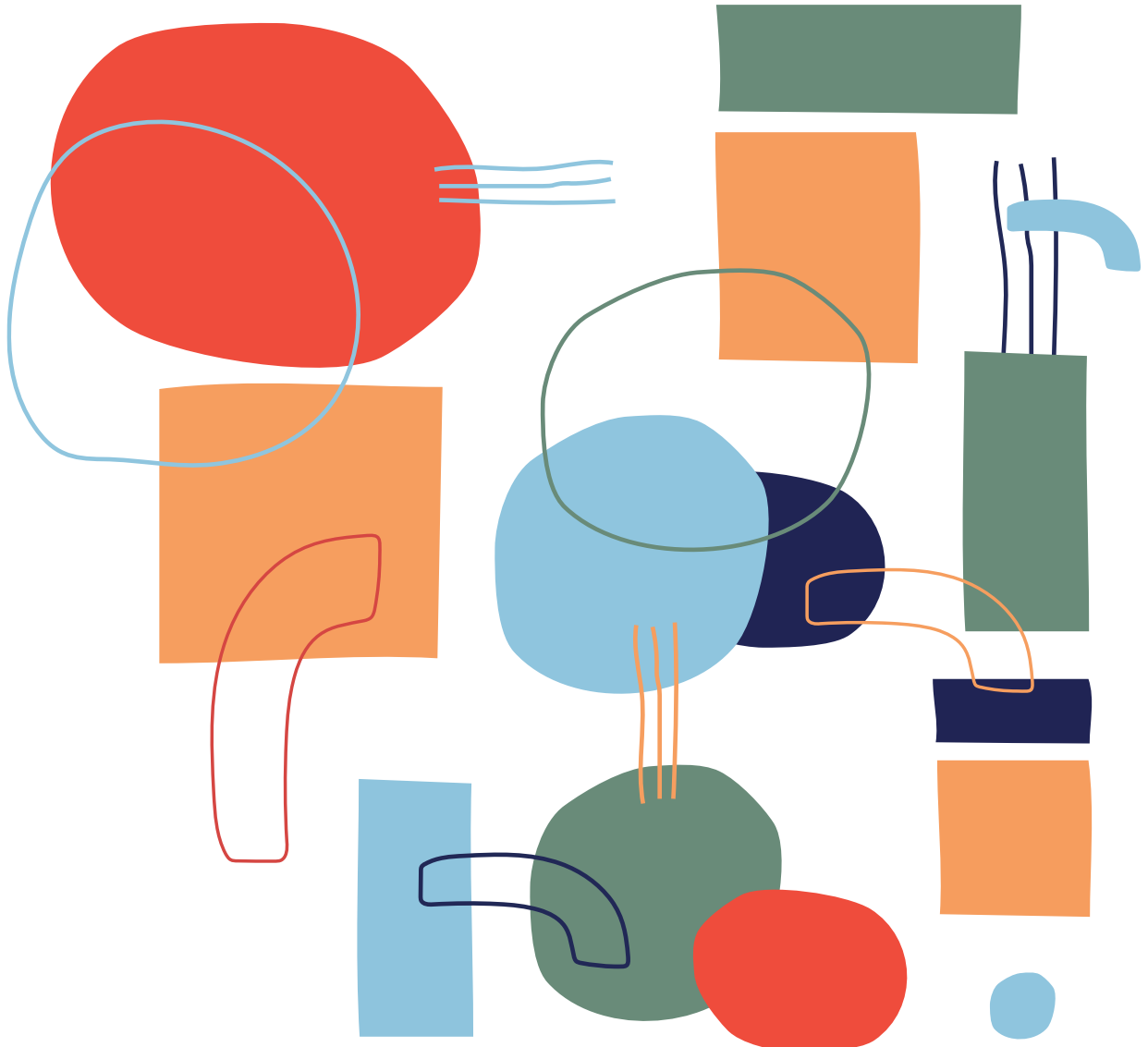**Abu Dhabi Early Childhood Authority**

Policymaking Guide for Early Childhood Development in Abu Dhabi
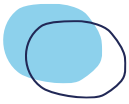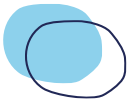
March 15th, 2020

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Foreword

The Abu Dhabi Early Childhood Authority is committed to develop the early childhood sector in the Emirate of Abu Dhabi, and to enhance strategic partnerships between the stakeholders from various sectors in order to achieve the vision and goals of the Early Childhood Development 2035 strategy for the Emirate of Abu Dhabi. The ECA's role includes reviewing policies and programs related to early childhood and proposing legislations, policies and regulations related to early childhood. It also involves coordinating and cooperating with the concerned authorities to develop the necessary plans to develop early childhood programs and provide related services.

This policymaking guide is designed to be a reference document for stakeholders based on local and international best practices in policy formulation. It also provides comprehensive guidance on the essential steps that authorities must take when preparing early childhood development policies to ensure more comprehensive, sustainable, and effective policies.

This guide provides a detailed explanation of the early childhood development policymaking process and its related steps. It provides an overview of Early Childhood Development 2035 strategy for the Emirate of Abu Dhabi, defines policies and the importance of formulating them, identifies the stakeholders in the Abu Dhabi policy space, and details the main steps in the policymaking process. The guide aims to be an effective tool that enables stakeholders, leaders, and specialists to prepare integrated policies that are in line with the government's visions and goals.

Guide objectives:
- ❑ Provide ECD policymakers with a consistent approach, aligned with global promising practices, for the development of ECD sector-related policies

- ❑ Standardize early childhood development policymaking practices across government bodies

- ❑ Introduce an approach to developing policies which is focused on the engagement of key stakeholders and reinforce stakeholder coordination to mitigate against a siloed approach to early childhood development policymaking

- ❑ Reinforce local policymaking capabilities and provide policymakers with detailed frameworks and tools to develop ECD policies

- ❑ Ensure ECD policies are coherent, evidence-based and aligned with Abu Dhabi's ECD Strategy 2035
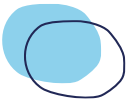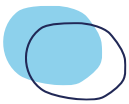
❑ Standardize the terms and approach used by ECD policymakers in Abu Dhabi, to ensure alignment with broader national and emirate-level policymaking approaches and national strategies

❑ Enhance monitoring and evaluation practices to ensure continuous improvement of government action in early childhood development

Target audience:
- Experts and professionals working in early childhood development
- Policymakers, government entities, the private sector, and non-governmental organisations
- Higher education institutions

Glossary of terms

| Term	Definition
ECA	The Early Childhood Authority is an entity established by Law No. 21 of 2019 to oversee the Early Childhood Development sector in the Emirate of Abu Dhabi
ECD	Early Childhood Development (ECD) refers to the physical, cognitive, linguistic, and socio-emotional development of a child from conception up to age eight. It primarily encompasses four sectors: Health & Nutrition, Child Protection, Early Childhood Care & Education, and Family Support
NGO	Non-Governmental Organization
WHO	World Health Organization
OECD	Organization for Economic Cooperation and Development
ADEO	Abu Dhabi Executive Office
Policy	The choices made at the top of the government that subsequently drive the direction, values, priorities and goals of the government, its associated bodies and its leadership
Policy Development Team	The core team responsible for leading the process of policy creation
Stakeholder	A person, group or organization that has an interest or concern in a given issue
Do-nothing scenario	The forecasted outcome if no policy intervention is made to address a given problem or issue
Cost-Benefit Analysis	A procedure for estimating all costs involved in taking an action (e.g. policy intervention) and the associated benefits to determine ultimate net impact
Early Childhood Care & Education	Education and childcare services provided to children from pre-school up till they reach 4 years old
Early Childhood Care services	Such services include all centers providing early childhood care & education services, including, but not limited to, family day care, nurseries and kindergartens
Policy Instruments	Policy instruments are government interventions to overcome problems and deliver outcomes leading to the fulfilment of national or emirate-level priorities
Randomized Control Trials	A scientific study type that randomly assigns individuals to control and experimental groups to test out a policy. This tool is helpful to assess the impact of a policy on individuals and allows for Rapid Cycle Testing
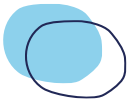
Evidence Base	A reliable, up-to-date and diverse range of evidence
Impact assessment	Assessment of the benefits as well as the social, economic and environmental risks of the policy
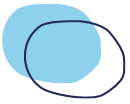
1. Overview of Abu Dhabi's Early Childhood Development Strategy 2035

1.1. What is Early Childhood Development?

Early Childhood Development (ECD) is defined as the period between conception and the age of 8. It encompasses the physical, socio-emotional, cognitive and motor development of young children. While ECD encompasses several sectors, the primary ones are Health and Nutrition, Child Protection, Family Support, and Early Care and Education. Research shows that a child's earliest years represent a window of opportunity to enhance their outcomes later in life with respect to education, health, productivity, and societal integration.

Nobel Prize-winning economist James Heckman determined that the return of high-quality, comprehensive, early childhood programs can reach up to US$12 per US$1 invested. Indeed, a variety of studies highlight that children who experience high-quality interventions in early childhood benefit across several areas:

- Higher educational achievement:
    - 11 additional IQ points
    - 33% more likely to graduate from high school[1]
    - 50% less likely to require special education
- Increased labor productivity:
    - 2 times more likely to have a skilled job
    - 30% higher median monthly incomes[2]
- Enhanced societal well-being:
    - 2 times less likely to serve time in jail[3]
- Better physical health outcomes:
    - 20-50% lower risk of liver, circulatory and other chronic diseases
    - 2 times lower risk of obesity
- Better mental health outcomes:
    - 60% less likely to keep experiencing conduct disorders if treated[4]

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[1] The High/Scope Perry Preschool Study Through Age 40, L. Schweinhart et al., High/Scope Press

[2] The High/Scope Perry Preschool Study Through Age 40, L. Schweinhart et al., High/Scope Press; Early Childhood Interventions: Proven Results, Future Promise, L. Karoly, M. Kilburn, and J. Cannon, RAND Corporation

[3] The High/Scope Perry Preschool Study Through Age 40, L. Schweinhart et al., High/Scope Press

[4] Appendix 4 in Conception to age 2 - the age of opportunity report, UK Department for Education

1.2. What are Abu Dhabi's ECD policy aspirations?

The ECD policy space in the Emirate of Abu Dhabi includes guiding principles, ECD strategy and enabling policy instruments:

National and emirate-level positions on specific ECD topics that form the guardrails and the solution space for policymakers. These can be statements or non-documented decisions that are directed by the leadership of the Emirate of the country
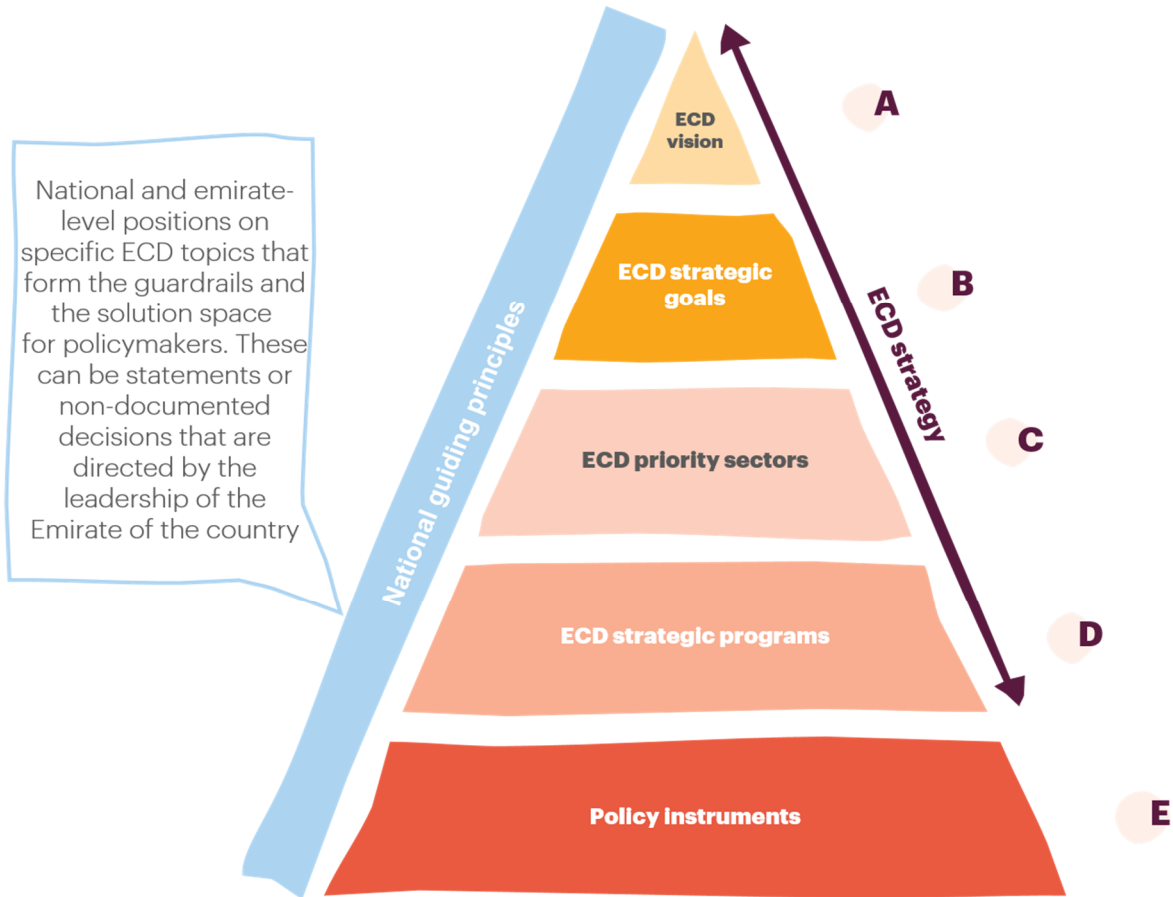
ECD Strategy 2035 Vision:
Every young child is healthy, confident, curious, and able to learn and develop strong values in a safe, family-friendly Abu Dhabi.

ECD Strategy 2035 Strategic Goals:
- All children have the necessary personal foundations for healthy physical and social-emotional development and early learning
- All children live in a stable and secure environment and are protected from harm and danger
- Parents are confident and have the capabilities to support their children's holistic development and well-being

ECD Strategy 2035 Priority Sectors:
The ECD Strategy 2035 covers four key sectors, namely, Health & Nutrition, Child Protection, Family Support and Early Care & Education. It targets a variety of segments, including
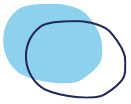
children below the age of 8 years old, parents and caregivers, the wider community, practitioners & professionals, policymakers and government entities, private and 3rd sector entities, as well as higher and applied education entities.

ECD Strategy 2035 Strategic Programs:
Abu Dhabi's ECD Strategy 2035 is comprised of seven multi-sectoral programs:
The first two programs focus on ensuring that children, parents, and caregivers have access to appropriate services to support optimal child development. These are:

- Program 1: Strengthening the child protection system from prevention to rehabilitation
- Program 2: Enhancing support for parents and primary caregivers

The remaining five programs focus on creating a robust ecosystem to promote accountability and continuous quality improvement. These are:

- Program 3: Create an ECD policy and legislation ecosystem
- Program 4: Develop a comprehensive human capital strategy
- Program 5: Create systems and platforms to drive excellence and innovation
- Program 6: Develop a comprehensive research ecosystem
- Program 7: Create a widespread public engagement strategy

2. Introduction to policymaking process

2.1. What is a policy?

In line with the UAE Prime Minister's Office Policy Guide, published in 2011, a policy represents the choices made by the federal or local government and their entities to drive the direction, priorities, values, and goals of the government or entity.

With this definition in mind, it is clear that policymaking decisions must be based on the strategic direction of the Abu Dhabi government and must be aligned with its strategy and long-term objectives. Moreover, policies must keep in mind the specific outcomes they will achieve or enable for the public good. In the case of Early Childhood Development, examples can include improving nutritional outcomes for children with a view to tackling, among others, the root causes of childhood obesity, addressing issues with vulnerable children, and a variety of other ECD-related goals.

Furthermore, the implementation of policies must include robust mechanisms and defined review processes to gather feedback and learnings. These can be used to adapt the policy or even to refine the strategic direction, if needed.

Policy instruments:

Policy is delivered through a variety of instruments. Policy instruments are government interventions to overcome problems and to deliver outcomes that lead to the fulfilment of national or emirate-level priorities. There are five main types of policy instruments:

1. **Economic tools:**

   Common economic policy tools include taxes, fees, subsidies, grants, loans, fines, penalties bonus system and guarantees. Examples in the UAE and Abu Dhabi include:
   - Social support system, covering for example children from unknown parents
   - Financial assistance to low-income households

2. **Government rules and regulations:**

   Examples in the UAE and Abu Dhabi include:
   - Federal Law No. 3 of 2016 on Child Rights Law "Wadeema"
   - Cabinet resolution No. 52 of 2018, governing the Executive Regulation of Federal Law No. 3 of 2016 on Child Rights Law (Wadeema)
   - Federal Law No. 29 of 2006 concerning the right of People of Determination (special needs)
   - Executive Regulation of Abu Dhabi school transport to ensure safe transport means for children
   - Federal Law No. 1 of 2012 concerning the Custody of Children of Unknown Parentage
   - Ministerial Order No. 368 of 2014 on the Executive Regulation of the Federal Law No. 1 of 2012 concerning the Custody of Children of Unknown Parentage
   - Law No. 8 of 2014 concerning Dar Zayed for Family Care

3. **Provision of goods, services and infrastructure:**

   Government provision to achieve desired objectives. Examples include:
   - Dar Zayed for Family Care initiatives for orphans
   - Data management infrastructure, consolidating data on children and providing access to it (e.g. "Malafi" initiatives under the Department of Health)

4. **Institutional:**

   Institutions established to drive specific policy objectives. Examples include:
   - Establishment of the Early Childhood Authority in Abu Dhabi to drive ECD Strategy 2035
   - Establishment of the Higher Committee for Child Protection in 2009 and the Child Protection Centre in 2011 by the Ministry of Interior to develop, implement, and customize the initiatives and processes aimed at providing safety, security, and protection for all children in the UAE
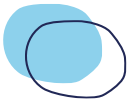
5. Awareness mind-set and behavioural change:
   Public engagement efforts focusing on education to drive specific behavioural change. Examples include:
   o Public engagement efforts for People of Determination
   o The 2015 'Together to Prevent Child Abuse' campaign which is part of an annual initiative by the Higher Committee for Child Protection to dedicate the month of April to child abuse prevention and awareness activities in the UAE

6. Other policy instruments:
   o Programs: Government-supported or -funded initiatives such as incubation and accelerators to come up with ECD-related services
   o Public venture capital funds: Venture capital funds driven by the government that invest primarily in SMEs that help to drive forward the ECD agenda
   o Training and capacity-building programs that the government can itself run or incentivize the private sector to do so

Although legislation and policy are often referred to interchangeably, legislation or laws represent only one type of policy instrument typically used by governments worldwide. Several policy instruments may be used simultaneously, so it is not necessarily a question of selecting one instrument to tackle an issue. For instance, efforts to tackle child obesity might embrace economic tools, government regulation, service/infrastructure provision, and awareness/behavioural change. Used in combination, instruments can be self-reinforcing in their impact on outcomes e.g. economic tools can incentivize behavioural change.

The use of policy instruments is primarily triggered by leadership priorities, governmental agenda, crisis / emergencies, international commitments, and social concerns / media attention; and should align to national guiding principles.

2.2. Why is policymaking important?

Policymaking is critical because policies provide the framework for taking action, and they can reinforce the contribution of Early Childhood Development to the emirate's development.

Policymaking is especially important in Early Childhood Development due to the interdependent nature of the sector. Policies that are not explicitly related to ECD can still have a substantial influence on children and families, such as housing or transportation policies.
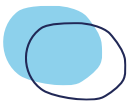
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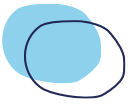
While there has been increasing investment in the field of Early Childhood Development globally in the last decade, bringing with it significant potential for improvement, this growing activity carries some risk. If the returns on these new efforts do not meet the high expectations set by published reports quantifying the impact of early interventions on children's outcomes, ECD advocates may lose the support they have worked so hard to earn. In this context, a consistent policymaking process which follows an evidence-based approach is crucial to mitigate these potential risks.

2.3.   Who are the key stakeholders of the policy space in Abu Dhabi?

Policymaking in Abu Dhabi takes into account a range of stakeholders, which include the following:

Key entities involved in policymaking		High level roles relevant to policymaking
Executive Entities	**Executive Council**	• Authorize policies and approve projects with significant impact on the Emirate
	Executive Committee	• Discuss and authorize legislations submitted by the Sub-committees whenever the guidance of the Executive Committee is required • Review policy before requesting authorization and approval from the Executive Council • Seek guidance/ validation of the Executive Council on critical topics/policies
	Sub-committees*	• Assess policy needs submitted by Departments/ ADEO relevant to respective area of expertise • Examine policy drafts developed by Government entities, provide feedback, approval or escalate to Executive Committee as needed • Ensure policies coordination, implementation and monitoring through ADEO
	Abu Dhabi Executive Office	• Coordinate policy submission from Government Entities and provide socio-economic and legal assessment of the drafts before Sub-Committees examination • Provide legal and technical support to government entities on policies to be presented to the Executive Council • Supervise and follow up on the implementation of policies by entities and escalate progress reports/ ad-hoc impact assessment to relevant forums
Government Departments		• Identify and develop policies relevant to respective mandates and submit drafts to ADEO for review before submission to higher forums for approval
Government Entities		• Review, develop, and issue policies and identify policies that need authorization from the Executive Council (not all policies need it) • Implement policies under the oversight over related government departments and report on implementation progress

2.4. What does the policymaking process look like?

Effective policy development needs a focus on long-term outcomes, the inclusion of relevant and applicable evidence, careful analysis and the commitment of key stakeholders. The ECD policymaking process incorporates 3 distinct elements: stakeholder engagement, experimentation and piloting.
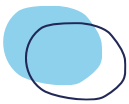
It is for this reason, amongst others, that policy development work must be conducted within a systematic framework with clearly defined stages. The framework below outlines these phases and the remainder of the guide will explain each of the phases in greater detail.
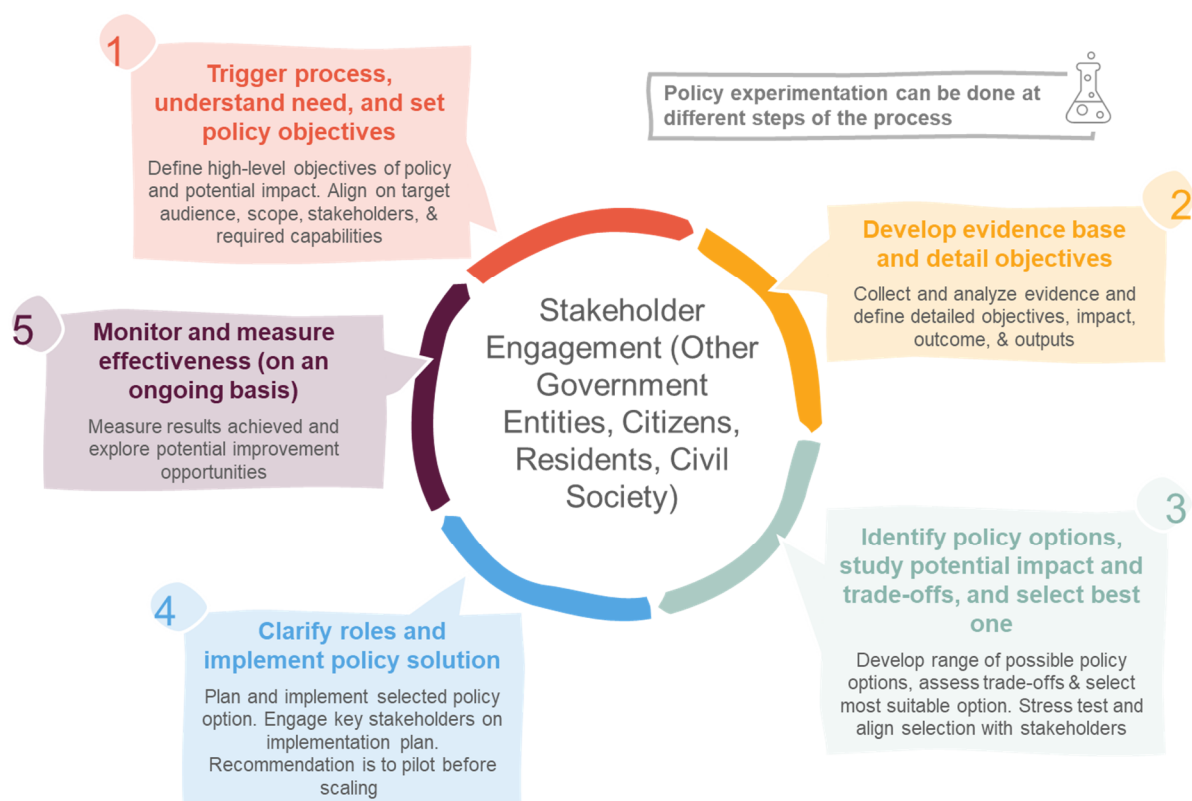
The policymaking process follows five main steps, with clear activities to be carried out for each step.

3. Step 1: Trigger policy process, understand need, and set policy objectives

Triggering the policy process starts with assessing the policy needs and identifying the gaps (e.g. check that there is no overlap with existing policies). It is important to understand and define the policy problem in all its dimensions, keeping an open mind about causes and diagnosis.

Once the need for the policy is confirmed, the high-level objectives and potential impacts of the policy should be defined. Moreover, stakeholders should be engaged to seek alignment on the scope and required capabilities with all government sectors and private entities relevant to the policy topic at hand and/or its implementation. Furthermore, to ensure an evidence-based policy-making process, the public should be engaged to gather perspectives and identify, test and confirm the needs of service users.

When a policy request is triggered, it is important to:

- Ensure that it is actually targeting an ECD-related need and audience, and that it is aligned with the emirate's overall vision
- Cross-check that the proposed policy does not overlap with, or negatively affect, the existing policy ecosystem
- On-board all key stakeholders who are likely to be affected by it

Once a policy development process has been initiated, it is important to

- Identify the scope of the ECD policy that needs to be developed. This will include fleshing out the issues and sub-issues to be addressed and detailing the intended strategic objectives, impact and outcomes
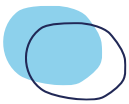- Align with the stakeholders and develop a stakeholder engagement plan, with defined roles, responsibilities, and coordination mechanisms

Policies can be reactive or proactive. Reactive policies are triggered as a response to a concern or crisis that needs to be addressed. On the other hand, proactive policies are triggered and developed by a deliberate and informed decision. The policymaking process does not always have to start from scratch. Policymakers can choose to take existing policies and further develop them to make them more comprehensive and effective. In such instances, policymakers are still advised to go through the entire policymaking process to review and improve existing policies.

The policymaking process recommended ought to be experimental and incremental as a means to quickly test, refine, and shape the design of policies. Experimental policymaking represents a trial-and-error approach that can be very fruitful in a sector such as ECD. The emphasis is less on producing a final, perfectly conceived policy. Instead, a variety of models and approaches are tested, learning from success and failure, and constantly adapting and iterating the policy intervention. This approach to the policymaking process assumes policy is never completed, but is constantly evolving. The experimental approach can be used at each decisive stage of the policymaking process, including in the selection of the best policy options by allowing different options to be trialled before a final decision is taken.

3.1. What are the key steps to trigger the policy process and effectively scope policy needs?

3.1.1. What are the key steps to trigger the policy process?

The process to trigger policy instrument development is as follows:

-A-	- B -	-C -
Policy instrument request	Gap analysis	Kick-off meeting
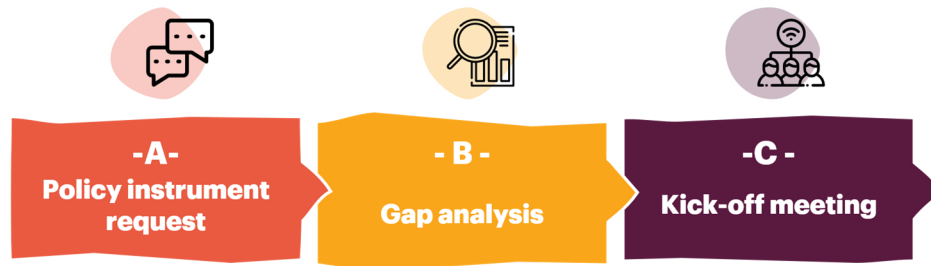
1. **Policy instrument request**

   As a first step, an ECD policy request is to be raised to ADEO and other relevant stakeholders

2. **Gap Analysis**

   The second step would be to conduct a detailed gap analysis. This is done to ensure that the policy instrument request is not overlapping with existing policies, is not similar to other policies under development, and that it does not negatively impact any existing policy instruments or government programs

3. **Kick-off meeting**

   The third step it to conduct a kick-off meeting with key stakeholders potentially impacted by the policy request. This is done to collect crucial input from them and to confirm if their involvement is important to the policy development process

Key questions would need to be addressed to minimize overlap between a new proposed policy instrument and the existing legislative ecosystem and policy development efforts:

- Which are the key stakeholders impacted?
- Which are the stakeholders to engage for this effort?
- How cooperative and compliant are the stakeholders likely to be?
  - Do they depend on government funding?
  - Do they have knowledge, insight or evidence that government policymakers can rely on?
  - If the stakeholders are from the private sector, what levers does the government have to encourage and incentivise them to cooperate?
- What is the rationale for justifying the policy instrument request?
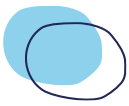
- What are the high-level objectives we want to achieve through the implementation of the policy instrument, based on our understanding of the nature of the problem we are addressing?
- What is the starting point (i.e. where has the problem been identified)?

The policy instrument request can be stopped at this step of the process if the outcome of the gap analysis points to its redundancy.

3.1.2. What are the key steps to effectively scope policy needs?
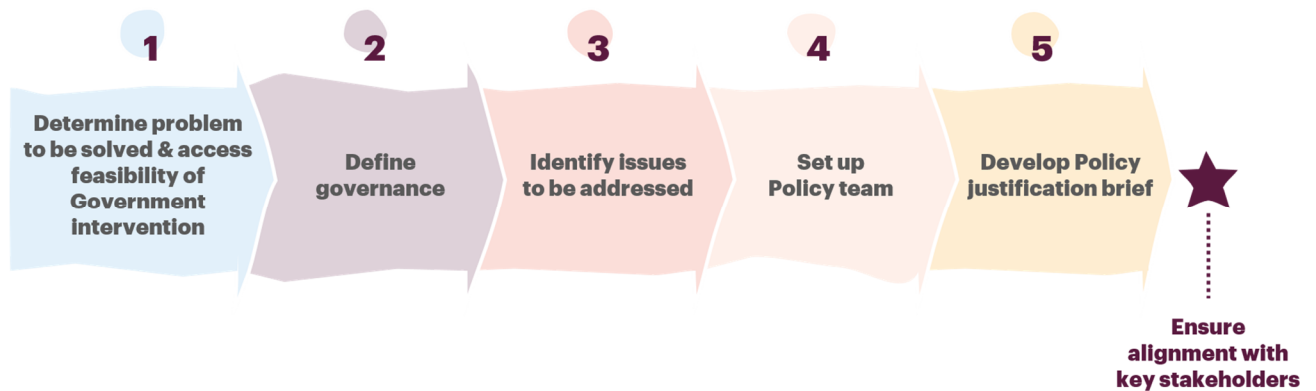
1. **Determine the problem to be solved & assess feasibility of government intervention**

   The policymaker, who identified the potential need for a new/amended policy, should initially define the problem by formalizing the problem statement, scale, target audience, and impact. The first step is to define what are the relevant ECD policy areas and what is the policy trigger(s). Once that has been accomplished, it is important to assess the scale of the problem and evaluate the need for dedicated policies. To do that, the policymaker should break down the problem into issues and sub-issues to understand the potential root causes. It is then necessary to define the initial high-level policy objectives, the target audience, and take an initial view on potential secondary impacts. At this stage it is also critical to clarify the rationale for government intervention, explaining why the government can and should take action on this policy topic. The policymaker needs to make an initial assessment of whether a policy intervention can have a positive impact, or whether it might be counter-productive. In fact, it is crucial for the policymaker to keep in mind that any intervention could have unintended consequences and, therefore, do more harm than good.
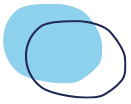
2. Define governance

It is important to define responsibilities and accountabilities for policy development (e.g. role of sponsor, steering committee, working team). Furthermore, clarity around reporting structures, communication channels and frequency of meetings should be established. Decision-making forums need to be identified and conflict resolution processes should also be detailed to ensure that necessary collaboration between entities takes place.

3. Identify the issues to be addressed

A crucial step in assessing the feasibility of government intervention is to ensure that the ECD policy need is fully aligned with Abu Dhabi strategic objectives.

4. Establish policy team

A dedicated project team should be set up with the right skills, expertise and a diverse background. The latter is especially necessary to overcome the potential for silo mentality, which can undermine coordinated policy delivery. Consequently, those from non-government backgrounds should be fully involved to garner different perspectives and to leverage their complementary skills and knowledge. It is also important to ensure adequate team sizing to effectively deliver the required work.

5. Develop policy justification brief

The last step involves taking inputs from the previous steps and formulating them into a justification brief.

Case Example: Parental Leave & Flexible Working Options– Illustrative

Short parental leave has a negative impact on both parents and children. Studies have shown that parents who stay at home longer in the first year of a child's life, at least on a part time basis, contribute to improved cognitive, behavioural, and socioeconomic outcomes of their child[1]. What should the new parental leave policies be to address the problem?

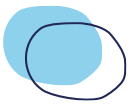| Steps	Potential sub questions (non-exhaustive)	Sample Scope
Determine the problem to be solved and assess feasibility of government intervention	- What should the government do to enhance the length and quality of time parents spend with their children? - Is extended parental leave aligned with the government vision? - What would be the consequence if the government did nothing? - Can the private sector be leveraged to make substantial changes? - Which audience should the government's policy target?	- The government wants to increase time spent by parents with children at and after birth - Improving parental leave, flexible work options, and workplace support are part of the government's ECD strategy - The government can incentivize private sector players to increase flexible work options and workplace support (e.g. breast-feeding breaks, onsite childcare facilities…) - The government plans to target parents with children in the first year of age
Define governance	- Who would be the policy owner? - What are the roles and accountabilities of different stakeholders? - How do we ensure all relevant government entities are included in the policy development? - What reporting structures are needed? - What decision-making forums need to be set up?	The Ministry of Human Resources and Emiratisation will lead the policy for the private sector and the Human Resources Authority will lead policy for the public sector focusing on the emirate

Identify issues to be addressed	• Why is short parental leave a problem? • Who are the people/families/children/organizations most affected by short parental leave? • Where is the problem most prevalent? • What is the economic and social impact of enhanced parental leave?	• Parents who spend a longer time at home in the first year of a child's life contribute to improved cognitive, behavioural and socio-economic outcomes for the child • Parental leave affects families with working parents and employers • Parental leave may have a differential impact on particular private sector entities, for example SMEs
Set up policy team	• What are the right technical skills, expertise and knowledge to solve this problem? • What background mix should constitute our policy team? • What is the appropriate team size to solve this issue?	• Policy makers from the various governmental departments will constitute the policy team • Private sector representatives will be consulted as needed

3.2. Key stakeholder engagement touchpoint

Why is it important to engage stakeholders now?

It is essential to engage key stakeholders, including the public, at the trigger and scoping stage because their opinions and insights are incredibly valuable at the inception of the planning and development processes. Engaging the public early on may confirm or contradict the need for this policy, thus ensuring that government resources are utilized effectively. The key stakeholders (e.g. MoHRE) may be aware of ground realities that the policy development team may not have considered. Robust engagement with all relevant parties at this stage, therefore, adds a great deal of valuable insight, information and inputs. This can lead to the policy development team having a more refined idea of the nature of

the problem itself, its sub-issues and root causes, as well as being better able to define high-level objectives.

How to engage and align stakeholders?
While the nature of stakeholder alignment differs depending on the policy issue and context, all stakeholder engagements at this stage share certain key elements.

The policymaking team should:
- Identify a list of key stakeholders related to the policy area(s) and reach out to them. Policy scope, objectives, and desired outcomes should be shared with them
- Organize meetings and discussions with the stakeholders to gather their thoughts, inputs and insights, and incorporate them
- Define the roles and responsibilities of all key stakeholders
- Define the relationship of the stakeholders with government
- Detail all the activities to be conducted by key stakeholders and share with the team
- Define all the capabilities required to develop the underlying policy and communicate it to the relevant stakeholders
- Establish coordination mechanisms and forums to ensure clear lines of communication

3.3.   Triggering policy process and scope definition checklists

Current legislative ecosystem analysis:
- ❑ We have analysed and reviewed existing policies and identified any overlaps / conflicts between our proposal and these existing policies
- ❑ We have identified and analysed gaps in the current ECD legislative ecosystem

Policy needs relevance:
- ❑ We have verified alignment with local and government vision / strategies
- ❑ We have confirmed the need for the policy as the solution to the identified issue by engaging key stakeholders, including the public, through various approaches (e.g. experiments and surveys)

Problem framing:
- ❑ We have defined the problem statement based on the initial baseline assessment
- ❑ We have formalized the initial view on stakeholder engagement for the required effort

Scope definition:
- ❑ Policy scope identification:
  - We have defined ECD policy areas to be addressed
  - We have detailed issues and sub-issues
  - We have formed an initial view on potential policy instruments to leverage

- ❑ Policy aims definition:
  - We have defined strategic ECD-related objectives
  - We have established relevance to current government agenda
  - We have articulated the intended impact and outcomes of the policies
  - We have identified relevant KPIs

- ❑ Alignment of scope and objectives:
  - We have shared policy scope, objectives and desired outcomes with key stakeholders
  - We have obtained alignment, and the activities to be conducted by key stakeholders have been detailed

- ❑ Stakeholder identification:
  - We have defined a list of key stakeholders related to policy area(s)
  - We have defined roles and responsibilities
  - We have defined capabilities required to develop underlying policy
  - Coordination mechanisms/forums are established

4. Step 2: Develop the evidence base and detail objectives

In order to develop the required evidence base for the policy, policymakers should collect and analyze evidence, including global promising practices, and complete the policy baseline analysis. Having identified critical gaps, policymakers may also at this stage gather new evidence and/or commission studies to provide additional evidence and insight. Policymakers should also analyze future prospects by projecting and developing scenarios, and define detailed objectives, impacts, outcomes, and outputs.

4.1. What are the key steps to develop the evidence base?

Based on the high-level scope identification, the next step is to gather evidence and data to establish a detailed knowledge base. A baseline also needs to be developed which can serve as a foundation for any additional evidence gathering and for detailing the policy objectives.

It is crucial to ensure a reliable, up-to-date and diverse range of evidence. Effective evidence-based policy requires aligning the supply and demand for evidence. Some elements to take into consideration are:

- Is there clarity about where evidence is coming from?
- Is the government using all of its levers to ensure there is a reliable supply of relevant evidence, for example ensuring that funding for academic research institutes is effectively targeted?
- Are researchers being encouraged to generate and communicate evidence in a manner that is accessible for policymakers?

Moreover, effective evidence-based policy should utilize the right mix of evidence institutions. The evidence base is best developed by creating institutions at arm's length from government that are responsible for collecting and synthesizing data and evidence. UK case studies include the "What Works" Centres and the National Institute for Clinical Evidence. In Abu Dhabi these examples could include universities. The independence of the evidence institutions helps to ensure the judicious application of evidence to policy issues, while maintaining trust in the legitimacy and quality of evidence.

Within this process, it is always important to obtain feedback from stakeholders on the gathered information, and to update the evidence and objectives accordingly.

In the parental leave example, the following knowledge components could serve as a starting point:

- Identify the international references used to assess the country or emirate's ranking in terms of parental leave and workplace flexibility and support
- Obtain local statistics regarding the issue in the country, provided by other relevant government entities
- Gain an understanding of existing HR policies by requesting HR manuals from leading public and private sector employers
- Obtain the methods and references proposed by academic journals, researchers, and relevant international organisations (e.g. Human Impact Partners) that have analysed the same issue

Using the baseline as a starting point, the causes and impact of the problem can then be investigated to develop an authoritative diagnosis. International and national examples can also help to identify best practices and give perspective with respect to the situation in Abu Dhabi. When benchmarking against promising practices, the choice of which country, company, or industry to benchmark against is key. The justification of what benchmarks to choose will differ according to the context of the policy issue under consideration. However, it is important that a framework is developed to ensure that the benchmarks chosen are
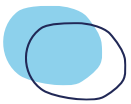
relevant and meaningful for Abu Dhabi so that the policy team is not distracted by "exceptional" cases which may not translate to the local context.

Below is an approach to selecting and using appropriate global promising practices for benchmarking:
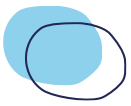
- **Country/city selection**: specify a limited number of cities/countries that have similar aspirations in the relevant topic and/or that have similar characteristics to the United Arab Emirates and its society
- **Focus areas for benchmarking:** select elements of comparison to assess across different benchmarks
- **Findings:** draw issues, gaps, and implications from the comparison exercise and lessons learned within that specific country context
- **Takeaways:** carefully consider the potential insights from these case studies, as the Abu Dhabi context will likely be different

It is possible that the existing evidence base is either inadequate, not sufficiently up to date, or not relevant enough to the policy issue at hand. In that case, it may be necessary to generate additional evidence through surveys, focus groups and experimentation. Methods such as Randomized Control Trials (RCTs) have become much more prevalent in the ECD sector, not least because they allow for "rapid cycle testing". RCTs are also very useful for quantifying the impact of policies on the affected individuals.

Experimental policymaking approaches, and particularly Randomized Control Trials are relatively quick ways of assessing and shaping policies at different stages of the process (such as scoping and justifying policy needs and for developing the evidence base).

Examples of other data sources to potentially leverage include:

Data/ market research	Economic analysis	Behavioral analysis	Qualitative & sectoral knowledge
Official statistics			Examples from other countries (promising practices)
Ministries and administrations internal data	Direct and indirect cost and benefit analysis of different options	Live policy experiments	
Focus Groups		Surveys to understand public attitudes, behaviors and expectations	Consultations
Country indicators			Expert views
			Case studies

While collecting the data, the following criteria should be considered:

	Criteria	Description
	Accuracy	Adopt appropriate research approaches along with transparent and accurate data collection and analysis
	Validity	Ensure data is measuring what is intended to be measured
	Reliability	Ensure credibility of evidence sources and exhaustiveness of analysis conducted
	Relevance	Ensure evidence / data is serving the purpose for which it is used
	Timeliness	Capture data within a reasonable time period to avoid delays

Case Example: Parental Leave & Flexible Working Options – Illustrative
With the initial scoping completed, the policy development team then decided on what information and data it needed to gather

Steps	Sample Scope	Data/Information needed (non-exhaustive)
Determine the problem to be solved	• The government wants to increase time spent by parents with children at and after birth	• Local and international examples on parental leave and workplace policies
Identify issues to be addressed	• Parents who spend a longer time at home in the first year of a child's life contribute to a better cognitive, behavioural, and socio-economic development of the child • Parental leave affects families with working parents, and employers	• Impact of enhanced parental leave, flexible work

Assess feasibility of government intervention	• Improving parental leave, flexible work options, and workplace support are part of the government's ECD strategy • The government can incentivize private sector players to increase flexible work options and workplace support (e.g. breast-feeding breaks, onsite childcare facilities...)	options, and workplace support on children's wellbeing
Define governance	• The Ministry of Human Resources and Emiratisation will lead the policy for the private sector and the Human Resources Authority will lead policy for the public sector focusing on Abu Dhabi	
Set up policy team	• Policy makers from the various governmental departments will constitute the policy team • Private sector representatives, third sector and the public will be consulted as needed	

4.2. Development of evidence based policy checklist

Policy baseline:
- ❑ We have identified the scale and scope of problems affecting Abu Dhabi children
- ❑ We have identified the root causes of the problem
- ❑ We have assessed the socio-economic impact on the Early Childhood Development ecosystem (quantitative/qualitative analysis, as applicable)
- ❑ We have detailed and quantified the relevant objectives to achieve through the policy

Benchmarking exercise:
- ❑ We have identified countries to study
- ❑ We have defined benchmarking elements
- ❑ We have identified promising practices and summarized key lessons learned
- ❑ We have defined the potential implications for Abu Dhabi, carefully taking into account the relevance for the local context

Stakeholder engagements:
- ❑ We have captured input from relevant stakeholders (including beneficiaries and entities impacted)
- ❑ We have gathered feedback and shared the analysis of key findings with relevant stakeholders

5. Step 3: Identify policy options, study potential impact and trade-offs, and select best one

Once the data gathering exercise has been completed, it is necessary to generate a range of policy options which will be examined and stress-tested with stakeholders to align on a final solution. In this step, policymakers develop a range of potential policy options, assess the trade-offs and select the best available option. It is important, in this step, to engage stakeholders, who will be involved in the implementation or will be affected by the policy, in order to stress test and align on the final solution[5]. Stakeholders can include other government entities, private sector players, non-governmental organizations, and beneficiaries such as community groups or the public at large.

5.1. What is the process to select options?
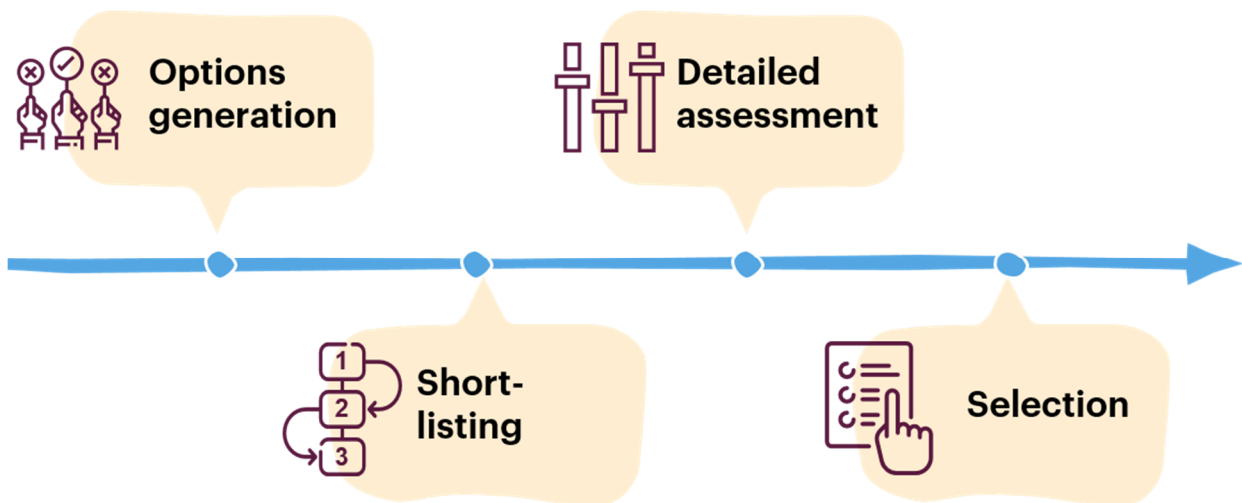
1. Options generation

   The first step is to identify potential policy options to achieve the desired objectives. It is advisable to generate an array of options at the start. One way to source options is to look at existing or prior policies. Leveraging expert reports, engagement with stakeholders, and benchmarking of promising practices are alternative ways of creating options. It is also important to retain the "Do-Nothing" scenario as a baseline against which to compare options.

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[5] The dialogue with implementers would have already been established in the second stage

2. Shortlisting

   A set of criteria should be defined to shortlist relevant options. These criteria may include parameters such as suitability, efficiency, challenges in implementation, amongst others, depending upon the requirements. A qualitative assessment should be conducted to derive the relevant 3 to 5 options that will be assessed in detail (including the "Do-Nothing" scenario).

3. Detailed assessment

   Once the shortlisting has been done, it is important to conduct a Cost- Benefit analysis for each shortlisted option. If an option is difficult to assess in monetary terms, it may be appropriate to conduct a deeper qualitative analysis (e.g. use larger set of criteria, involve relevant experts in qualitative assessment). Moreover, since cost-benefit analyses largely focus on economic returns, they should often be complemented by analyses that capture the value of "social investment"[6].

   It is then important to identify the underlying risks for each option and to create a scoring mechanism.

4. Selection

   Identify the best option(s) based on detailed assessment of each scenario and include a mitigation plan for the underlying risks identified for the selected option.

Shortlisting of Options: Parental Leave & Flexible Working Options – Illustrative

Having conducted the data and evidence gathering process to use as a basis, the policy development team needs to decide on the range of policy options. The policy development team will prioritize options from this list using the criteria of "alignment with government strategy", "effectiveness of outcome" and "ease of implementation

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[6] Based on M. Moore: *Public Value: Strategic Management in Government*, Harvard: Harvard University Press, 1997
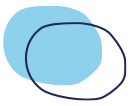
Policy Option	Alignment with strategy	Effectiveness of outcome	Ease of Implementation	Total Score	Next Steps
Extend paid paternity leave to 2 weeks (from 3 days) in the public sector	8	8	5	21	Cost-Benefit Analysis
Increase breastfeeding break to 2 hours per day for 1 year in the private sector	8	8	6	22	Cost-Benefit Analysis
Extend paid maternity leave to 3 months (from 42 days) in the private sector	9	8	7	24	Cost Benefit Analysis
Extend flexible work options to include remote work and flexible hours in both the private and public sectors	7	8	5	20	Cost Benefit Analysis
Introduce shared parental leave in the private and public sectors	4	5	5	14	Eliminate Option

The exercise results in identifying certain policy options that appears viable on paper, but which in fact are not likely to be feasible and are, thus, eliminated. For the remaining options that are deemed viable, the team needs to conduct a cost benefit analysis.

Cost-Benefit Analysis: Extended maternity leave policy option-illustrative

As part of assessing the costs and benefits of extending parental leave, the policy development team should estimate the annual potential financial costs and benefits associated with the policy.

A 2010 study by the Directorate General for Internal Policies of the European Parliament, covering 10 countries (including France, Sweden, Hungary, and Spain)[7], identified the below costs and benefits for an extension of maternity leave.

The benefits of the initiative
- Gender equality at work (qualitative)
- Child development/health (qualitative)
- Parent health (qualitative)
- Fertility (qualitative)
- Impact on women labor force participation rate (qualitative)
- Saved childcare cost (quantitative)

The costs of the initiative
- Productivity losses (quantitative)

5.2. Key stakeholder engagement touchpoint

Why and how should stakeholders be engaged?

It is important to engage stakeholders to co-create a shortlist of policy options, validate the desirability and practicality of the proposed policy options, and to ensure that there are no major concerns that the stakeholders can identify. The policy development team must involve key stakeholders in the shortlisting of options to:
- Test the soundness of the proposed options
- Understand potential problems and the possible solutions to address them
- Identify potential barriers to implementation

The need to engage stakeholders at this stage becomes even more crucial when there is a significant chance that proposed options are likely to impact or cause significant change for some of the key stakeholders. It is important to focus on stakeholders which were identified as highly supportive or highly opposed to the policy at the scoping stage in step 1, and to strategically influence them to obtain a meaningful outcome.

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[7] Costs and benefits of maternity and paternity leave, 2010, European Parliament Directorate-General for Internal Policies

It is important to note that key stakeholders exist outside of the government apparatus, and it would be crucial to keep them in mind at this stage. For example, it is critical to engage and obtain feedback from the public or other beneficiaries of the policy.

5.3. Identification of options and selection policy checklist

Options' identification:
- ❑ We have leveraged promising practices and identified potential options
- ❑ We have defined short-listing criteria options (e.g. feasibility, practicality, impact on children)
- ❑ We have identified options relevant to Abu Dhabi

Options section:
- ❑ Cost-benefit analysis:
  - We have identified options for monetary and non-monetary benefits
  - We have assessed options for costs and secondary impacts
  - We have identified trade-offs and defined priorities
- ❑ Risk assessment:
  - We have identified risks associated with each short-listed option
  - We have assessed risk likelihood and consequences
  - We have defined mitigation measures

Stakeholder engagement:
- ❑ We have shared short listed options with a diverse set of stakeholders, and we have engaged them on it
- ❑ We have obtained alignment on the relevant options to select

6. Step 4: Clarify roles and implement policy solution

Once a policy option has been identified as the most effective, the next critical step is to clarify roles and to develop an implementation plan for the selected policy option. This plan should include deliverables, accountabilities, timescales, resources, governance, teams, and a stakeholder engagement strategy.

Before the policy is rolled out on a large scale, policy pilots can be undertaken to test implementation, gain key learnings, and mitigate risks. Moreover, monitoring processes should be put in place. The goal of a policy pilot is to test and learn, adjust and refine the design, and do a proof of concept before scaling and rolling out across an entire jurisdiction.
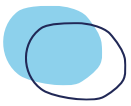
6.1. What are the key steps in creating policy implementation plans?

The following steps detail how an effective implementation plan can be built:

1. Define the list of activities that should be performed in order to implement the policy, including key milestones and deliverables for each activity
2. Define the timeline required to deliver each activity and to build a coherent policy schedule
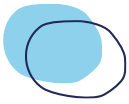3. Identify activity owners and clarify roles, responsibilities and accountabilities for the list of activities. Also identify where coordination and teaming-up is required across different entities
4. Identify the human and financial resources required to deliver the policy and to ensure their availability prior to implementation kick-off
5. Identify key risks and mitigation measures
6. Define a clear communication plan and include it in the overall policy schedule

An effective implementation plan should include the following seven sections:

Section	Content
Introduction	Section introducing the need to create new policy with high level description of the rationale and objectives to achieve
Problem raised	Section detailing evidence that confirms the problem identified and potentially comparing the situation in other countries
Options considered	Section describing the options that were short-listed and the assessment of each scenario
Option selected	Section description the option recommended and detailing the rationale
Implications	Section detailing the financial, legal, and other implications of the policy
Implementation charter	Section highlighting the rollout plan of the policy, timeframe, milestones and communication strategy
Consultation	Section summarizing the key stakeholders involved in the design of the policy (e.g.: institutions, experts)

6.2. Key stakeholder engagement touchpoint

It is crucial that once the implementation plan has been conceived, all stakeholders are engaged. It is, therefore, imperative that the implementation plan is communicated with key stakeholders, ensuring clear objectives and messaging. The policy development team must schedule a validation meeting with key stakeholders before implementation can be initiated. It would be useful to share a plan that discusses the key policy aspects, detailed in the checklist below, with stakeholders before the validation meeting.

6.3. Clarification of roles and implementation of policy checklist

Monitoring:
- ❑ Monitoring principles:
  - – We have defined objectives, scope and level of monitoring
  - – We have allocated monitoring and reporting responsibilities
  - – We have set monitoring mechanisms with regularly updated key indicators

Implementation plan:
- ❑ Implementation planning and schedule:
  - – We have identified required activities to implement the policy (e.g. obtaining resources, defining governance)
  - – We have defined the implementation schedule
  - – We have assessed key dependencies
- ❑ Stakeholder involvement:
  - – We have identified relevant entities for implementation
  - – We have clearly defined roles and responsibilities
  - – We have identified decision accountabilities

Risk management:
- ❑ Risk identification:
  - – We have identified potential risks related to implementation
  - – We have assessed the likelihood and impact of risk occurrence
- ❑ Risk mitigation:
  - – We have analyzed the consequences of risks
  - – We have defined the mitigation measures

Communications plan:
- ❑ Communication:
  - – We have defined communication objectives, messages, channels, timing and responsibilities
- ❑ Key stakeholders:
  - – We have informed key stakeholders on implementation including timeline, objectives, and immediate next steps

7. Step 5: Monitor and measure effectiveness (on an ongoing basis)

Monitoring and effectiveness measurement require several components such as: ensuring data collection accuracy and reliability and measuring the results achieved by tracking real-time performance data to assess both delivery progress, impact, and outcomes. Moreover,
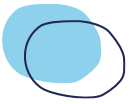
potential improvement opportunities should be explored and adjustments/reversals suggested as required.

7.1. What is the function of the "Monitor and Measure Effectiveness" phase?
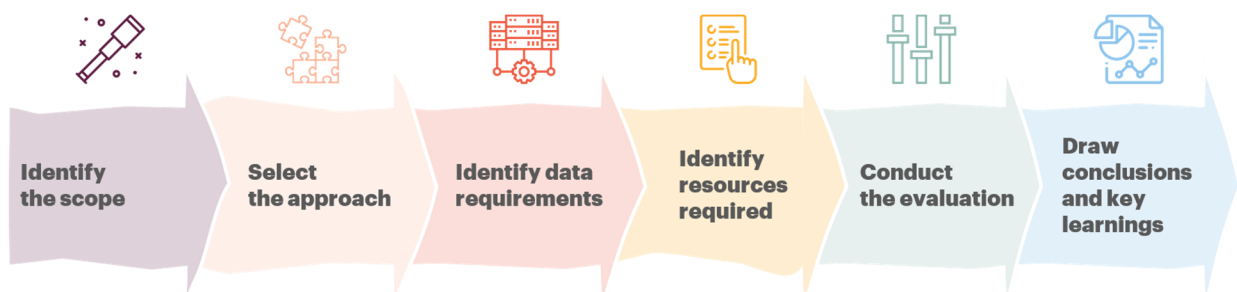
The monitoring and measurement of effectiveness phase is used to obtain feedback regarding the actual performance of the policy solution in relation to its intended outcomes. It involves identifying the right sources of data and ensuring that the overall data is collected and reported regularly in order to be evaluated.
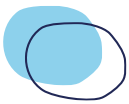
Policy reviews should be undertaken continuously, using real-time performance data and leading to incremental adjustments to the policy. A policy review helps to determine whether the policy is being implemented as outlined in the plan, and to determine its effectiveness. The frequency of reviews depends on the timeframe. For example, ECD-related policies with a long-term impact, such as the reduction of childhood obesity, should be reviewed annually or at least every two years, whereas short-term policies can undergo quarterly reviews, if not more frequently.

This phase is necessary to ensure that intended outcomes are being accomplished and that there is no adverse policy impact. For a government entity which is focused on Early Childhood Development, this is even more necessary. Even a well-designed and well-intentioned policy, unless it is reviewed regularly, cannot be adapted to address changes on the ground or any evolution of the core issue.

Moreover, regular policy review leads to the creation of data and insights that can be used in the formulation of future policies.

7.2. What are the key steps to monitor and measure the effectiveness of a policy?

Identify the scope → Select the approach → Identify data requirements → Identify resources required → Conduct the evaluation → Draw conclusions and key learnings

1. Identify the scope

The first step is to identify the list of critical issues to be addressed through the evaluation. In the parental leave example (breastfeeding policy), key questions to assess the policy could include: Is the policy effective in achieving the desired outcome? Has a new problem arisen as a result of this policy (e.g. negative perception in the workplace)? Have employers experienced decreased productivity? Has the policy impacted on other government objectives and policies?

2. Select the approach

To selecting an approach, the policy development team should identify the type of evaluation that it needs to undertake (e.g. evaluation of social impact, economic evaluation etc). The policy team should then define the scale of the evaluation and how extensive it should be. This should be followed by the identification of the evaluation methods and procedures.

3. Identify data requirements

It is important to understand what sources of data are required for the approach and the scope defined earlier. Once this has been done, responsibilities related to data gathering should be clarified and the processes needed to collect data should be established. It is also important that the data gathering processes generate an evidence base which is reliable and relevant for policymakers and implementers.
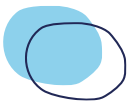
4. Identify resources required

It is important to identify people and resources to perform the evaluation. The budget must be sufficient to procure evaluation research from world-leading institutions. Timelines for the evaluation and the quality assurance processes should be defined as a next step.

5. Conduct the evaluation

Once all the preliminary steps have been completed, the evaluation should be undertaken as stipulated in the defined plan, whilst ensuring the involvement of relevant stakeholders.

6. Draw conclusions and key learnings

Once the evaluation has been completed, the results must be disseminated to relevant stakeholders. The policy development team should identify key learnings and clarify the implications for the implemented policies (e.g. discontinue policies where there is a lack of tangible results, or introduce adjustments). It may also be necessary to consider triggering new policies, if required.

7.3.   What are the possible paths resulting from policy monitoring?

The result of the policy monitoring should be very clear, and has to be one of the following:
1. Policy is performing as intended
2. Policy is under-achieving its stated objectives
3. Policy has resulted in unintended or harmful consequences

Each of the above-mentioned results will lead to a different outcome. If the policy is performing as expected then no changes are needed, and it should continue to be monitored.

If the policy is underperforming, further analysis of the data is required to assess what elements are leading to this impaired impact. As a result, some policy actions should cease, or other elements should be added - potentially both. For example, in the event that under-performance is due to external socio-economic factors that no government policy, however well-designed, can mitigate or overcome, the policy action could cease; but it may be re-instigated when the socio-economic environment becomes more favourable.

Finally, if a policy has created an unintended outcome or created a new problem altogether then policymakers should go back to the drawing board, potentially drafting a new policy or modifying the existing one significantly.
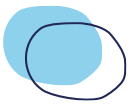
> **Policy Monitoring: Extended maternity leave policy option – Illustrative**
> One year after the implementation of the policy, the team reviews performance indicators to see how the policy was performing in terms of its actual outcomes

Extended maternity leave policy review (Year 1)				
Sample Performance Indicator (not-exhaustive)	Year 1 (Target)	Year 1 (Actual)	Variance	Root Causes
% of employers in Abu Dhabi offering 3-month long maternity leaves	TBD	TBD	-	*Provide explanation for root causes of variance in actual vs. target results*
% of mothers going on 3-month long maternity leaves	TBD	TBD	-	
Outcome of the Policy Monitoring				
Based on the results of the policy review and identified root causes, the policy development team should take decisions on what adjustments, if any, to the relevant policy instrument are required.				

7.4. Monitor and measure effectiveness policy checklist

Monitoring:
- ❑ Monitoring process:
  – The relevant body gathers and analyzes monitoring information
  – We have reported monitoring analysis to key stakeholders

Effectiveness measurement:
- ❑ Evaluation principles:
  – We have defined evaluation criteria (e.g. impacts, outcomes and outputs)
  – We have allocated evaluation responsibilities with clear timelines and information sharing guidelines
- ❑ Impact evaluation:
  – We have conducted measurements to assess objective achievements
  – We have defined improvement areas and detailed the implications on policy
  – We have shared key findings with key stakeholders and decisions makers

8. Requests to develop early childhood development policies

We oversee the Early Childhood Development sector in Abu Dhabi with a mind that is committed to the highest standards and young children at the heart of all we do.
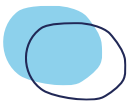
We promote collaboration to help all of Abu Dhabi's young children flourish.
- **We are an Enabler**: We broaden the capabilities of our partners to support holistic child development
- **We are a Policymaker**: We develop coordinated and aligned policies and laws in collaboration and coordination with stakeholders
- **We are a Knowledge Hub**: We inform decision-making through research, data and evidence
- **We are a Disruptor**: We transform how people think about and address the needs of young children

If you are considering launching a policy that might affect young children or Early Childhood Development, please reach out to the ECA's policy team for discussion and support at SPO.Sector@eca.gov.ae

Revisions and improvements
The Policymaking Guide for Early Childhood Development in Abu Dhabi undergoes continuous revisions and improvements. If you have any suggestions or feedback to improve this guide, please reach us by email at SPO.Sector@eca.gov.ae

Appendices

Appendix 1: Checklists for policymaking

1. Triggering policy process and scope definition checklist

Current legislative ecosystem analysis:
- ❑ We have analysed and reviewed existing policies and identified any overlaps / conflicts between our proposal and these existing policies
- ❑ We have identified and analysed gaps in the current ECD legislative ecosystem

Policy needs relevance:
- ❑ We have verified alignment with local and government vision / strategies
- ❑ We have confirmed the need for the policy as the solution to the identified issue by engaging key stakeholders, including the public, through various approaches (e.g. experiments and surveys)

Problem framing:
- ❑ We have defined the problem statement based on the initial baseline assessment
- ❑ We have formalized the initial view on stakeholder engagement for the required effort

Scope definition:
- ❑ Policy scope identification:
  - We have defined ECD policy areas to be addressed
  - We have detailed issues and sub-issues
  - We have formed an initial view on potential policy instruments to leverage

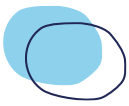- ❑ Policy aims definition:
  - We have defined strategic ECD-related objectives
  - We have established relevance to current government agenda
  - We have articulated the intended impact and outcomes of the policies
  - We have identified relevant KPIs

- ❑ Alignment of scope and objectives:
  - We have shared policy scope, objectives and desired outcomes with key stakeholders
  - We have obtained alignment, and the activities to be conducted by key stakeholders have been detailed

- ❑ Stakeholder identification:
  - We have defined a list of key stakeholders related to policy area(s)
  - We have defined roles and responsibilities
  - We have defined capabilities required to develop underlying policy
  - Coordination mechanisms/forums are established

2. Development of evidence based policy checklist

Policy baseline:
- ❑ We have identified the scale and scope of problems affecting Abu Dhabi children
- ❑ We have identified the root causes of the problem
- ❑ We have assessed the socio-economic impact on the Early Childhood Development ecosystem (quantitative/qualitative analysis, as applicable)
- ❑ We have detailed and quantified the relevant objectives to achieve through the policy

Benchmarking exercise:
- ❑ We have identified countries to study
- ❑ We have defined benchmarking elements
- ❑ We have identified promising practices and summarized key lessons learned
- ❑ We have defined the potential implications for Abu Dhabi, carefully taking into account the relevance for the local context

Stakeholder engagements:
- ❑ We have captured input from relevant stakeholders (including beneficiaries and entities impacted)
- ❑ We have gathered feedback and shared the analysis of key findings with relevant stakeholders

3. Identification of options and selection policy checklist

Options' identification:
- ❑ We have leveraged promising practices and identified potential options
- ❑ We have defined short-listing criteria options (e.g. feasibility, practicality, impact on children)
- ❑ We have identified options relevant to Abu Dhabi
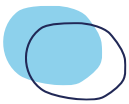
Options section:
- ❑ Cost-benefit analysis:
  - – We have identified options for monetary and non-monetary benefits
  - – We have assessed options for costs and secondary impacts
  - – We have identified trade-offs and defined priorities

- ❑ Risk assessment:
  - – We have identified risks associated with each short-listed option
  - – We have assessed risk likelihood and consequences
  - – We have defined mitigation measures

Stakeholder engagement:
- ❑ We have shared short listed options with a diverse set of stakeholders, and we have engaged them on it
- ❑ We have obtained alignment on the relevant options to select

4. Clarification of roles and implementation of policy checklist

Monitoring:
- ❑ Monitoring principles:
  - – We have defined objectives, scope and level of monitoring
  - – We have allocated monitoring and reporting responsibilities
  - – We have set monitoring mechanisms with regularly updated key indicators

Implementation plan:
- ❑ Implementation planning and schedule:
  - – We have identified required activities to implement the policy (e.g. obtaining resources, defining governance)
  - – We have defined the implementation schedule
  - – We have assessed key dependencies
- ❑ Stakeholder involvement:
  - – We have identified relevant entities for implementation
  - – We have clearly defined roles and responsibilities
  - – We have identified decision accountabilities

Risk management:
- ❑ Risk identification:
  - – We have identified potential risks related to implementation
  - – We have assessed the likelihood and impact of risk occurrence
- ❑ Risk mitigation:
  - – We have analyzed the consequences of risks
  - – We have defined the mitigation measures

Communications plan:
- ❑ Communication:
  - – We have defined communication objectives, messages, channels, timing and responsibilities
- ❑ Key stakeholders:
  - – We have informed key stakeholders on implementation including timeline, objectives, and immediate next steps

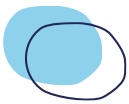5. Monitor and measure effectiveness policy checklist

Monitoring:
- ❑ Monitoring process:
  - – The relevant body gathers and analyzes monitoring information
  - – We have reported monitoring analysis to key stakeholders

Effectiveness measurement:
- ❑ Evaluation principles:
  - – We have defined evaluation criteria (e.g. impacts, outcomes and outputs)
  - – We have allocated evaluation responsibilities with clear timelines and information sharing guidelines
- ❑ Impact evaluation:
  - – We have conducted measurements to assess objective achievements
  - – We have defined improvement areas and detailed the implications on policy
 - – We have shared key findings with key stakeholders and decisions makers

Appendix 2: Key steps to effectively scope policy needs

Steps	Potential sub questions (non-exhaustive)	Sample Scope
Determine the problem to be solved and assess feasibility of government intervention		• ...
Define governance		• ...
Identify issues to be addressed		• ...
Set up policy team		• ...

Appendix 3: Key steps to develop the evidence base

Steps	Sample Scope	Data/Information needed (non-exhaustive)
Determine the problem to be solved		• ...
Identify issues to be addressed		• ...
Assess feasibility of government intervention		• ...
Define governance		
Set up policy team		
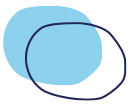
Appendix 4: Process to shortlist options

Policy Option	Align-ment with strategy	Effective-ness of outcome	Ease of Implemen-tation	Total Score	Next Steps
Option 1	*Grade between 1 and 10*				*"Cost-Benefit Analysis" or "Eliminate Option"*
Option 2					
Option 3					
Option 4					
Option 5					

The exercise results in identifying certain policy options that appears viable on paper, but which in fact are not likely to be feasible and are, thus, eliminated. For the remaining options that are deemed viable, the team needs to conduct a cost benefit analysis.

Appendix 5: Tool for policy review

Sample Performance Indicator (not-exhaustive)	Year 1 (Target)	Year 1 (Actual)	Variance	Root Causes
Indicator 1				*Provide explanation for root causes of variance in actual vs. target results*
Indicator 2				