Population and Public Health Branch

Atlantic Region

**Public Policy and Public Participation
Engaging Citizens and Community
in the Development
of Public Policy**

Bruce L. Smith
BLSmith Groupwork Inc.

Prepared for
Population and Public Health Branch
Atlantic Regional Office
Health Canada

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Health Canada   Santé Canada

Canada

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1. INTRODUCTION

During the past decade the role of government has been steadily changing, with increasing emphasis being placed on setting overall direction through policy and planning, on engaging stakeholders and citizens, and sometimes on empowering stakeholders or partners to deliver programs and services.

At the same time, the environment for policy and planning has increased in complexity. The ownership of issues is often unclear, especially when more than one department and often more than one level of government are involved. Community is also increasingly claiming ownership of policy issues and process.

Globalization and fiscal resource limitations contribute to the confusion. In this complex environment the demand for good public policy development is steadily increasing, as must the capacity of managers, policy analysts, planners, and others involved in the design and delivery of policies and programs.

> The primary objective of this workbook is to enhance knowledge, skills, and abilities relating to the development of public policy, with specific emphasis on the meaningful inclusion of stakeholders and citizens. A basic understanding of public participation and policy development is assumed. Emphasis is placed on the development of crosscutting or "horizontal" policy and on increased inclusion of stakeholders and the policy community.

This workbook is intended to be a practical guide that will help readers to understand the public policy context in which we are working, to see the need and desire for citizen and community engagement, and then to design and implement appropriate processes. It will be of most interest and use to public servants who work with some aspect of policy development on a regular basis. This may include program managers and consultants, planners, researchers, communication specialists, policy analysts, and advisors. The workbook is designed to be used as both a personal resource and study guide and as a basis for designing workshops.

The workbook emphasizes a big picture/systems view; the need for public servants to work for the broader public interest; an understanding of the processes and techniques of both policy development and public participation; and the commitment and skills needed to collaborate with other departments stakeholders and citizens.

It also places emphasis on the social and economic inclusion of all members of society. Social and economic inclusion and exclusion were defined in *Making the Case for Social and Economic Inclusion*, a paper written by Janet Guildford for the Population and Public Health Branch, Atlantic Regional Office, Health Canada:

> To be included is to be accepted and to be able to participate fully within our families, our communities, and our society. Those who are excluded whether because of poverty, ill health, race or lack of education, do not have the opportunity for full participation in the economic and social benefits of society. (Guildford, 2000, p. 3)

This workbook contains numerous references to inclusion, equity, "first voice," and minority views and interests as considerations in the development of public policy with citizens and community, and as fundamental elements in understanding the "public interest."

A useful companion document to the workbook is *Capacity Building: Linking Community Experience to Public Policy* (Dodd and Boyd, 2000), which was written by Julie Devon Dodd and Michelle Hébert Boyd for the Population and Public Health Branch, Atlantic Regional Office, Health Canada. Many of the key themes in *Capacity Building* link directly to sections of this workbook, often providing an expanded view and/or good examples.

Capacity Building looks at three fundamental questions:

- How can public-policy makers tap into community experience at all levels of the policy-making process?
- How can citizens and communities move beyond lobbying as special interest groups to become engaged as partners with government officials and policy makers in meaningful dialogue and problem solving?
- How can public policy processes help to build the capacities of all sectors to work together for more credible and inclusive policy making and governance?

The first two questions relate directly to specific discussions in the workbook; the third provides insights into capacity building that are not covered in the workbook. Specifically, there are strong links between the two documents in the following areas: discussion of the nature of horizontal policy; the shift from public consultation to citizen engagement; differences between the traditional policy-making process and activities and what is emerging under the framework of citizen and community engagement; the potential for an individual to have a significant impact on the policy process; and the benefit of using techniques that address a "system" in its entirety, building capacity while working to achieve substantive outcomes.

To help the reader get the most from the workbook, we link *Capacity Building* in two ways. Where the materials have strong direct links, quotes from or citations to *Capacity Building* are integrated and referenced in the text. In cases where links may be less direct and *Capacity Building* offers an expanded view or presents related ideas, we reference the text thus: [Note: see *Capacity Building*, p. ....]

The case study presented in Appendix D, the Falls Prevention Initiative, is also referenced at various points in the workbook. Please read the case study early on, as it provides an illustration of some of the concepts presented. The Falls Prevention Initiative is a joint project of Health Canada and Veterans Affairs Canada. This case study is not intended to be an evaluation of the initiative.

1.1 HOW THIS WORKBOOK IS ORGANIZED

Section 1, the present section, provides an introduction to the workbook, how it is organized, and definitions for many of the terms used.

Section 2 is intended to orient the user by considering his or her role and, if there is a specific activity being undertaken or situation to be analyzed, understanding more about it. It starts with a grounding in a clear statement of the intended purpose. What are we trying to achieve and why have we chosen this means? Why is change needed now? Who needs it, i.e., who is driving the process?

Section 3 provides a basic introduction to public-policy development. What is public policy? Where does it come from? What are the types of public policy? How do we judge good public policy? What are the stages of the policy development process? How do we align new policy within a complex, existing organizational framework, and how do we transfer the knowledge and ownership to those who are responsible for implementation?

Section 4 deals with citizens, stakeholders and the policy community. We begin with a discussion of stakeholders and the key characteristics and factors by which we seek to understand them. Interest groups and their characteristics are then considered, leading into a discussion of both traditional and emerging views of the policy community.

Section 5 focuses on public participation and the specifics of engaging citizens and the policy community. Why should the public participate? What are the differing levels of participation, and what principles guide the design and implementation of good public-participation processes? What traditional and emerging techniques can be used?

Section 6 provides a brief conclusion.

Each section ends with two sets of questions. The first are review questions, intended to be used by the reader to stimulate memory and imprint the key elements of each section. The answers to these questions come directly from the text, or from the case study in Appendix D.

The second set of questions are reflective and have no right or wrong answers. These questions are intended to stimulate further thinking about some of the themes that are touched on but not explored in depth. They also provide the opportunity for the reader to think about his or her personal values.

Appendices provide more detailed information on the policy development process, the design of a public participation process, and emerging public participation techniques. As mentioned previously, a case study, the Falls Prevention Initiative, is included as Appendix D.

1.2 DEFINITIONS

Collaboration: Two or more individuals or groups working together in such a manner that the agendas and interests of each have equal importance; joint action among two or more parties to produce an outcome that none could produce through their singular efforts.

Community: State of being shared or held in common; organized political, municipal or social body; body of people living in the same locality.

Horizontal issues: Issues having an impact on or falling within or partially within the mandate of more than one government department or agency; issues that cannot be resolved by a single department, agency or level of government; "crosscutting" issues.

Interest group: "An association of individuals formed to aggregate, articulate, and promote interests which the members have in common." (Pross, 1986)

Policy analysis: The process of assessing situations, defining problems, clarifying values and goals, developing and recommending options, and implementing and/or evaluating outcomes.

Policy community/policy network: "The individuals, groups, government departments, organizations and agencies that dominate decision making in a specific policy field." (Pross, 1986).

Public consultation: Two-way communication between public/stakeholders and a sponsor through which both become better informed. Public consultation provides participants with the opportunity to influence decision making.

Public participation: Processes in which individuals, groups, and organizations have the opportunity to participate in making decisions that affect them, or in which they have an interest.

Public policy: "Public policy is the broad framework of ideas and values within which decisions are taken and action, or inaction, is pursued by governments in relation to some issue or problem." (Brooks, 1989, p. 16)

Stakeholder: One who will be affected, may be affected, or has an interest in an issue, or may have the ability to affect a decision or outcome. A stakeholder may be an individual, an organization or a group.

[The first use of each of these terms in the following text is marked with an asterisk (*) that refers the reader to this section].

2. CONTEXT

As you proceed through the workbook, it will be helpful to bear in mind your own role in influencing the development of healthy public policy. Is your involvement direct or indirect? Are you involved as an individual or as part of a team? Use the following to clarify the situation and your role in it, and to help you connect your work with the various aspects of policy development covered in this workbook.

Initial Situation Analysis

- What existing policies, strategies or initiatives have an influence on the issue?
- Is it broad policy from "the centre" or policy of a more operational nature?
- Are policies being developed from scratch, or existing policies being modified?
- Who are the key players? What are their interests and positions? Where is the power?
- What are the underlying values and priorities?
- If a program or initiative is involved, what is its driver? What is the stated purpose?
- It is essential to be clear about your own influence over the policy development process.

What is the nature of your involvement?

- Do you have some degree of control?
- Do you have some opportunity to influence those who do have control?
- Is there an opportunity for you to participate and possibly inform others and/or raise awareness about issues or concerns which are not presently reflected in the discussion?

Is the orientation reactive, preactive or proactive?

What is the most appropriate posture for government to take in responding to the situation, and why? (Trist, 1978)

- *Reactive*: responsive to issues arising in the external environment; minimal planning; narrow view; limited resources; court decision.
- *Preactive*: we scan, predict, and prepare for issues, factors, and trends. We attempt to identify potential risk in advance, mitigate where we can and implement contingency plans where we cannot. We look for potential unanticipated consequences.
- *Proactive*: developing and pursuing a vision; leading from values and principles.

Are the changes in policy being driven by government or community?

- What is the source of the impetus for change?
  - If government, what level? Political, judicial or bureaucratic?
  - If community, how is it being defined? Geographically? By sector or interest group*?

Are there links to major desired system changes/pressures?

- inclusion/exclusion
- determinants of health
- citizen engagement
- sustainability

Who may care about or be affected by this?

- Who are the stakeholders*? Have we failed to identify key parties who should be included?
- What are the stakeholders' interests — needs, concerns, wants, hopes, fears — things that are important to them?
- Does the situation cross more than one department? More than one jurisdiction?
- Are there issues of resource allocation? Is time a factor?

These are some of the general questions you need to answer in order to understand what is going on in a situation, and to clarify how you are or may be involved. They are the initial questions in the first phase of the development of public policy — problem definition. You cannot begin to seek a solution to a problem if you have not defined it. In the complex world of public policy, definition of the problem may be the most difficult part of the process.

There is a saying that has great relevance for those who work in the area of public policy: "A problem well defined is a problem half solved." While this may seem somewhat simplistic, as you progress through this workbook you will see that most policy areas have multiple stakeholders, each of whom may have their own definition of the situation or problem. So, the first step will be to define the problem in a way that all the stakeholders can see their own interests.

Anyway, we are getting somewhat ahead of ourselves here ... Let's slow down a bit and begin by thinking about public policy — what it is, where it comes from ...

3. PUBLIC POLICY DEVELOPMENT

3.1   POLICY PROCESS

This section provides the foundation for an understanding of public policy — its context, origins, purpose and forms, the people involved, and the process through which public policy is developed.

In describing the purpose of public policy, we look at a variety of definitions and consider the origins and types of public policy and the key factors and considerations in policy development. We then look at how public policy is developed and outline a comprehensive six-step process. We conclude by discussing several often-neglected areas that represent emerging views on essential aspects of policy development — implementation, alignment, and transfer.

3.2   DEFINITION OF PUBLIC POLICY

There are numerous definitions of public policy. Following are some examples:

"Whatever governments choose to do or not to do." (Dye, 1972, p. 18)

"A proposed course of action of a person, group or government within a given environment providing obstacles and opportunities which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or purpose." (Frederich, 1963, p. 79)

"A broad guide to present and future decisions, selected in light of given conditions from a number of alternatives; the actual decision or set of decisions designed to carry out the chosen course of actions; a projected program consisting of desired objectives (goals) and the means of achieving them." (Daneke and Steiss, 1978)

"Commitment to a course or plan of action agreed to by a group of people with the power to carry it out." (Dodd et al., nd, p. 2)

"A plan of action agreed to by a group of people with the power to carry it out and enforce it." *(Capacity Building,* p. 1)

In this workbook we use the definition suggested by Stephen Brooks: "Public policy is the broad framework of ideas and values within which decisions are taken and action, or inaction, is pursued by governments in relation to some issue or problem." (Brooks, 1989, p. 16)

Briefly stated, public policy is a choice or decision made by government that guides subsequent actions in similar circumstances.

3.3   EXERCISE: UNDERSTANDING POLICY, A PERSONAL APPROACH

As individuals we have policies, based on values and interests, that guide how we act in specific circumstances. Other levels of society also have policies:

Individuals have policies:
"I do not pick up hitchhikers" ... interest —> personal safety
"I always shop locally" ... value —> support one's own community

Families have policies:
"We always say grace before eating supper" ... value —> spirituality
"We limit telephone calls to 10 minutes" ... value —> respect for the needs of others

Organizations have policies:
Personnel policies (hiring, vacation leave, salary levels, office size, etc.)
Operational policies (shift scheduling, client complaints, inventory control, etc.)

Governments have policies:
Government policies, also known as public policies, guide decisions and actions that relate to society as a whole. Public policies are developed by federal, provincial, territorial, and municipal levels of government.

Take five minutes to think of one or more policies in each of the following categories:

Individual policies:

Family policies:

Organizational/Workplace policies:

Now let's focus on public policies, policies that guide the decisions and actions of governments. What public policies are you most aware of, involved with or concerned about? Which policies have the greatest impact on your work? How well do you understand them, their context and dynamics? Are policy statements available to the public? If they are not explicit, can they be deduced from program goals, principles, guidelines or criteria?

3.4   ORIGINS OF PUBLIC POLICY

Policy issues can be divided into two categories: those already on the public policy agenda, and those that are not. If an issue is already on the public-policy agenda, it has a sufficiently high profile, and a formal process is likely to be in place. If an issue is not on the public-policy agenda, the job of the stakeholders/community is to provide information and education, and to take other steps to raise awareness and get it on the agenda.

Gerston (1997) suggests that an issue will appear and remain on the public policy agenda when it meets one or more of three criteria. It must have sufficient *scope* (a significant number of people or communities are affected), *intensity* (the magnitude of the impact is high) and/or *time* (it has been an issue over a long period.)

The need or trigger for public policy development may come from a number of sources. It is helpful to think of a policy response to these sources as being either reactive, preactive or proactive (see p. 5).

Policy development is *reactive* when it responds to issues and factors that emerge, sometimes with little warning, from the internal or external environments by:

- resolving problems and issues
- meeting stakeholder/public concerns
- reacting to decisions by other governments, other levels of government, or other departments with intersecting or interrelated mandates
- allocating fiscal resources, natural resources, etc.
- reacting to media attention (generally adverse)
- reacting to crises or emergencies

Policy development is *preactive* when it responds to triggers that are recognized because we are scanning the operating environment, identifying potential issues and factors that could affect us, and predicting and preparing for mitigation and/or contingency through:

- planning
- strategic choice
- risk management
- criteria determination
- priority setting
- establishing partnerships

It is very rare that formal policy development is genuinely *proactive*.

See the case study in Appendix D for an example of both reactive and preactive triggers.

In practice, the nature of policy development is such that the vast majority of policy decisions reflect only minor changes to the status quo. As we discuss in Section 4, the key stakeholders or members of the policy community* often see the status quo as the most beneficial scenario and are able to work effectively to maintain it.

The complexity of the horizontal issues* and challenges associated with developing integrated policy requires a big picture — a whole-system perspective that can identify and address root causes as well as symptoms. This may offer the best opportunity for proactive policy development, which can move organizations, governments and society in a truly new direction. At this point, however, truly proactive policy seems more vision than reality.

Policy can be driven by political leaders, departments, intersectoral bureaucratic committees, a very powerful stakeholder such as an industrial lobby group, or by the community.

3.5   TYPES OF PUBLIC POLICY

We can divide public policy into two basic types. *Vertical policy* is developed within an organization that has authority and resources for implementation. *Horizontal policy,* sometimes referred to as integrated policy, is developed by two or more organizations, each of which has authority or ability to deal with only a part of the situation. The distinction reflects how clearly a mandate rests with one department, unit or agency, and its capacity to address the root cause of the issue with existing resources.

3.5.1   Vertical policy

Vertical policy is what we think of as the normal or traditional way in which policy decisions are made. Vertical policy is developed within a single organizational structure and generally starts with broad overarching policy, sometimes called "corporate" or "framework" policy. Such decisions are made at head office and guide subsequent decisions throughout the organization. At the regional level we might develop regional or "strategic" policy, which translates the national decisions to the regional level, taking into consideration the specific context. Finally, the regional policy is made specific enough to guide operational decision making.

With vertical policy, then, each level should take the broader one as its starting point, and maintain consistency with it. The flow from broad policy to specific policy can provide consistency. In reality, however, a great deal of operational policy either does not connect to the overarching policy framework, or else is visibly inconsistent with it. The challenge for many organizations today is thus to maintain enough central policy direction to ensure consistency and equity, while at the same time giving "field staff" enough autonomy to ensure that operational policy is responsive to local needs and reflective of local values.

Another way to view traditional, vertical policy is as a set of nesting wooden dolls. The large outer doll opens to reveal a smaller doll inside. That one also opens, and so on until finally you

reach a small, solid doll at the centre. This doll is the core or pattern from which the others are developed. Because of its size, its costume does not have the same level of detail as that of the outer dolls — in fact, the larger the doll, the more elaborate the decoration. When the dolls are viewed together, however, it is clear that the simple pattern of the smallest doll has formed the base for all the larger versions.

3.5.2   Horizontal Policy

Horizontal policy, often referred to as integrated policy, is developed between parts of an organization, or among organizational components that are in similar hierarchical positions. There is a great deal of discussion today about horizontal policy issues (sometimes referred to as "crosscutting issues") and the challenges that organizations face in dealing effectively with them. [Note: see *Capacity Building*, p. 4-5]

> Horizontal issues do not "fit in a box" — they don't respect turf, they don't fit within the jurisdiction of departments, they don't respect boundaries. They do not fit within the constitutional definition of what level of government does what — or even which country does what. Horizontal issues are challenging because so many players control one tool, one "key," and all of the keys need to be aligned at the same time to bring a suitable result. (Bourgon, 1996, p. 28)

Here we treat horizontal policy as policy developed between or among organizational components or sectors within government or the policy community. Horizontal policy can itself be divided into three categories. Policy developed within a sector is referred to as *sectoral policy*. When more than one sector is involved, the policy becomes *multi-sectoral*. When the groups developing the policy are able to determine a shared, superordinate goal and to work collaboratively to achieve policy that addresses root causes as well as symptoms, the policy is said to be *integrated.*

Sectoral   Multi-sectoral   Integrated

Less Complex ————————————> More Complex
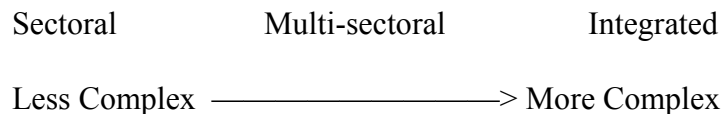
Horizontal policy issues often draw maladaptive responses (Emery and Trist, 1965) from government and sometimes from the policy community. These include:

Fragmentation: Trying to work on pieces instead of the whole; often a result of turf protection.

Superficiality: Skimming the surface and dealing with symptoms; often a result of having few resources or limited support/commitment.

Dissociation: Denial of or failure to see connections; limited world view; other higher priorities requiring attention and resources.

Managing Horizontal Policy Issues, a paper developed by the Task Force on Horizontal Policy Issues and published in December 1996, raised the following key points:

- Horizontal ("crosscutting") policy issues require that departments recognize their interdependence and work for the broader public interest, i.e., work collaboratively to develop strong, integrated policies.

- There will be tension because Ministers are accountable not only to clients, stakeholders, and partners, but also to their collective responsibilities to serve the broader public interest.

- The degree of interdependence of horizontal policy issues runs from relatively simple to the highly complex. A key factor is the number of mandates or department and agency interests that an issue contains.

- Problem/issue recognition and definition is a critical stage in policy development. This is where we examine the nature and scope of an issue and determine just how "crosscutting" it is.

- In most situations there will be a lead department. Where a natural lead is unclear, a central agency may be tasked with taking a coordinating and leading role.

- The broader policy community must be involved as early as possible. Consultations on horizontal issues are more difficult; a wide range of interest groups must be consulted so that issues can be defined and informed by a full range of perspectives.

- Time is always a factor in policy development, but more so when dealing with complex horizontal policy issues. Time lines must be clear and realistic. Limited time may result in incremental change.

- The effectiveness of a system designed to manage horizontal policy issues depends upon the extent of coordination and collaboration within the policy community. There is no room for competition and turf protection.

Good horizontal policy development requires:

- competent and committed individuals with strong values, good judgment and sound knowledge and understanding
- a collegial policy community with strong networks
- cooperative, collegial, and collaborative leadership

In 2001 the Canadian Centre for Management Development (CCMD) Roundtable on the Management of Horizontal Initiatives, chaired by James Lahey, produced a report titled *Moving from the Heroic to the Everyday: Lessons Learned from Leading Horizontal Projects*

(Hopkins et al., 2001). The report notes the importance of collaboration among departments and stakeholders with diverse mandates, and provides lessons learned with a four-point framework: mobilizing teams and networks, developing a shared framework, building supportive structures, and maintaining momentum.

3.6 KEY FACTORS AND CONSIDERATIONS IN PUBLIC POLICY DEVELOPMENT

A number of factors and considerations must be kept in mind during policy development. These factors will be used by others (and ourselves) to judge whether the policy, and the process of developing the policy, is or has been sound.

Public interest: What is in the best interest of society as a whole? How is the common good balanced against any private or special interests? Is the process fully inclusive, especially of those who are often overlooked or unable to participate?

Effectiveness: How well a policy achieves its stated goals.

Efficiency: How well resources are utilized in achieving goals and implementing policy.

Consistency: Degree of alignment with broader goals and strategies of government, with constitutional, legislative and regulatory regime.

Fairness and equity: Degree to which the policy increases equity of all members and sectors of society. This may link directly to consideration of public interest.

Reflective: Of other values of society and/or the community, such as freedom, security, diversity, communality, choice, and privacy.

The following is a simple framework by which to assess policy. Good public policy must be:

Socially acceptable: Citizens and interest groups feel that the policy reflects their important values, e.g., fairness and equity, consistency, justice.

Politically viable: The policy has sufficient scope, depth, and consensus support that elected officials are comfortable with the decision.

Technically correct: The policy meets any scientific or technical criteria that have been established to guide or support the decision.

Values are the foundation of public policy — values of individuals, groups, and society as a whole. The challenge of choosing and affirming some values and not others must be acknowledged and discussed openly in a democratic society:

We cannot know why the world suffers. But we can know how the world decides that suffering shall come to some persons and not to others.... For it is in the choosing that enduring societies preserve or destroy those values that suffering and necessity expose. In this way societies are defined, for it is by the values that are foregone no less than those that are preserved at tremendous cost that we know a society's character." (Calabresi and Bobbitt, 1978, p. 17)

It should be noted that regardless of whether policy is vertical or horizontal, it should be developed by a team. Leadership will be assigned to the group, agency or department with the most direct responsibility for the outcome. Membership should include groups or departments who "own" part of the issue; individuals with a range of knowledge and skills; individuals with process expertise and knowledge of stakeholders and the community; representatives of central agencies with a role in approval; and those who will be responsible for implementation.

There is a growing interest in the inclusion of stakeholders as members of the policy development team. This is consistent with the concepts of citizen engagement and the emerging policy community, both of which are discussed later in this workbook.

3.7   THE POLICY DEVELOPMENT PROCESS: AN OVERVIEW

The very term *development* may be taken to imply a neat, incremental, highly rational, and structured approach. This is rarely the case. Nevertheless, we will treat the policy development process as a logical progression through six steps: problem definition, goal clarification, option generation, selection, implementation, and evaluation. Below is an overview of the process; see Appendix A for a detailed description.

1. **Problem definition**
    (a) problem recognition
    (b) situation analysis
    (c) problem definition
    (d) priority determination
2. **Value and Goal Clarification**
    (a) consideration of values and goals
    (b) clarify normative foundation
    (c) describe desired results
    (d) develop criteria and indicators
3. **Option Generation**
    (a) focus on goals
    (b) develop alternatives
    (c) think broadly and outside of established norms
4. **Selection**
    (a) use tools to evaluate alternatives
    (b) understand potential impacts
    (c) consider, debate alternatives
    (d) compromise, make tradeoffs, bargain
    (f) decide/recommend
    (g) close the loop
5. **Implementation**
    (a) understand success factors
    (b) assess capacity
    (c) assign responsibility
    (d) choose instruments
    (e) align
    (f) transfer
6. **Evaluation**
    (a) monitor/obtain feedback
    (b) compare actual and desired results
    (c) learn
    (d) modify as necessary

3.8   IMPLEMENTATION

Governments can implement policy in a number of ways. We refer to these ways as *policy tools* or *policy instruments*. A policy statement describes what is being sought; the tool or instrument is the method by which the desired outcome is pursued.

A number of aspects of governance can be described as policy tools. These include legislation, regulation, Orders in Council, guidelines, standards, procedures, programs, grants, subsidies, taxes and crown corporations. It has been suggested that something of a nation's character can be seen in the policy instruments that its government chooses to achieve its objectives.

To establish an overall context, some political scientists position policy instruments along a continuum. One of the most common characteristics on which to base such a continuum is the degree of choice (or level of coercion) accompanying the policy instrument. Following is a continuum based on the work of G.B. Doern and R.W. Phidd (1983), as modified by Michael Howlett (1991).

Making Choices: A Continuum of Policy Instruments

Private behaviour	Persuasion	Expenditure	Regulation	Public ownership
self-regulation stewardship voluntary compliance	speeches conferences advisory committees	programs, grants subsidies transfers market-based incentives	taxes, tariffs fines imprisonment	Crown corporations mixed corporations

Minimum <——— (degree of legitimate coercion) ———> Maximum

Doern suggests that in a liberal democratic society, governments generally start with the least-coercive instruments and move to the right side of the continuum only if compliance is not being achieved.

3.9   ALIGNMENT AND TRANSFER

Two activities, both of which take place just before implementation, are often overlooked in the policy development process: policy alignment and policy transfer. (This information is based on discussions with Alan Willcocks, Director of Forest Ecosystem Management, Saskatchewan Department of Environment and Resource Management).

Policy Alignment: Alignment requires a final, comprehensive look at how the changed or new policy fits within the overall policy, regulatory and program environment. How does the new policy fit within the existing policy framework? Does it recognize and respect the same fundamental principles? Is its treatment of stakeholders and the public consistent?

Alignment must be both vertical and horizontal, i.e., the new policy must fit within the government or department flow from general framework policy to operational policy and it must be consistent with the policies of other governments or departments with similar or overlapping mandates, geographic areas or key stakeholders.

Policy Transfer: How will those who must implement the policy or program get the message and have sufficient understanding to do the job well?

Hopefully, some of the individuals responsible for implementing a policy participated in the actual process of developing the policy. Beyond that, there are a number of ways in which those who must implement the policy can be made aware of its content and rationale, design process, stakeholder involvement, etc. These methods include:

- Providing an additional transfer publication designed for those who must implement the policy.
- Giving workshops or seminars to familiarize field staff. Similar sessions can be given to various levels of management.
- Arranging visits by policy staff to field offices to discuss any difficulties or concerns.
- Posting frequently asked questions (FAQ) on a Web site.
- Providing the organization with an opportunity for continuous learning by posting case studies, written by field staff, on a Web site or by circulating the studies in hard copy.

3.10   POLICY DEVELOPMENT PROCESS: A HORIZONTAL POLICY EXERCISE

How would the policy process differ if horizontal issues were involved? Think about research and data-gathering; the quality and depth of analysis; the need to understand shared and individually held values and goals and to make decisions when multiple mandates and/or jurisdictions are involved; possible implementation through multiple programs; and the challenges of evaluation. What about the involvement of the stakeholders and citizens? (See *Capacity Building*, "Moving Toward Horizontal Policy Making," p. 4-5.)

In the space below, describe the challenges relating to horizontal policy in each of the six stages of policy development.

1.   Problem definition

2.   Value/goal clarification

3.   Option generation

4.   Selection

5.   Implementation

6.   Evaluation

3.11   REVIEW QUESTIONS

1.   What is public policy?

2.   What are some of the common triggers for policy review and/or development? What were the triggers for the Falls Prevention Initiative?

3.   What are the differences between vertical and horizontal policy?

4.   What are some of the key factors and considerations in developing public policy?

5.   List and describe the steps in the policy development process.

6.   Discuss the concepts of policy alignment and transfer.

7.   What is integration in the context of policy development?

8.   Describe the tools used by governments to implement public policy.

3.12   REFLECTIVE QUESTIONS

1.   What are the challenges in developing horizontal public policies? Describe three. How might a policy analyst address these challenges?

2.   The dichotomy between public interest and private interest — the good of the many versus the good of the one — is an inherent part of public-policy development. How is this played out in public-policy dialogue/debate? Try to find an example from among recent public issues.

3.   How does a government protect the public interest? What does the public interest mean in your work?

4.   Review the Falls Prevention Initiative case study. How clear is the policy foundation for the initiative? Describe some of the key aspects. How is the initiative trying to address root causes instead of being satisfied with treating symptoms?

4. CITIZENS, STAKEHOLDERS, AND THE POLICY COMMUNITY

There is an increased desire among citizens to participate in decisions that will affect them, and an increasing need for the policy development process to be informed by input from diverse sources, especially from those involved or affected.

During the 1980s and early 1990s, government departments and other sponsors participated in, sponsored and/or funded the formation of a range of interest groups. This was seen as a positive step, ensuring that many individual voices could participate and be heard, now as a collective voice, within a somewhat structured policy network.

It is critical for those developing public policy to know who has important information about an issue or policy area, who will be affected by a decision, and who may be able to affect a decision. Once we identify these people and understand their interests, we can begin to see when and how it may be appropriate to engage them in the process. Much of the information in this section on interest groups and the policy community is based on Pross (1986). Readers should also consult *Capacity Building*, especially the sections on personal, community, and systems capacity.

Following is a brief summary of this section.

Stakeholders are those who will be affected, may be affected, are interested in a policy, or who have the ability to affect the policy process. They may be individuals, groups, governments, government departments, associations, companies, communities, etc.

Citizens may seek basic information about a situation or policy process without being stakeholders. After assessing the information these citizens may decide that they are interested in a policy process and thus self-declare or self-identify as stakeholders.

Government may invite citizens to consider whether or not they are interested, providing an opportunity to participate. When government wants citizens to enter into an in-depth dialogue, it may try to engage them. Under what circumstances might government do more than simply issue an invitation?

Stakeholders and stakeholder groups have varying compositions, histories, structures, interests, capacities and other defining characteristics. A stakeholder profile helps us to understand these characteristics. Some stakeholders are collective bodies formed for the purpose of putting forward the shared views and interests of their members. These are commonly referred to as *interest groups* or *special interest groups*.

The collective of all stakeholders is referred to as the *policy community*. The policy community can be viewed as a series of concentric circles, with those at the centre having the greatest influence. At the very centre is the government department (or departments) with lead

responsibility for the policy issue being discussed. Those closest to the centre have the most influence over decision-makers. At the outside are interested citizens and informal groups who do not have any mechanism to contribute to the policy process. There is a role for those who can serve as "bridge people" to help make the links between the concentric circles.

4.1   STAKEHOLDERS

A stakeholder (or stakeholder group) is one who has a direct concern or interest in, is likely to be affected by, or has the ability to influence a decision. In determining who is a stakeholder, the view of the individual or group is often a more important factor than the view of the sponsor. Stakeholder identification or representation is often based on geographic location, sector, impact or interest. Stakeholders can be individuals, groups, organizations, communities, businesses, other government departments or other governments. There are no automatic, categorical exclusions.

It is essential that we know who the stakeholders are, how they interact, their interests and their concerns. This will

- generally inform our work
- help us to involve them in an appropriate and meaningful way
- balance representative processes such as advisory committees
- meet their individual needs

The stakeholder profile format presented in Section 4.3 is intended to assist users to understand a stakeholder's view, interests, needs and capacities. It is adapted from materials produced by the Canadian Standards Association. We recommend that this framework, or a similar one, be used to enhance staff understanding of all stakeholders.

Let us now examine the stakeholders in terms of the complexity of their organization — as citizens, interest groups and, finally, as institutional groups.

4.1.1   Stakeholders as citizens

The power and authority of individual citizens is the basis of democracy. In less complex times, elected representation was a sufficient means for most citizens to participate in government. Recently, for a number of reasons, including the diversity of citizens' cultural heritage, needs, values, and interests, that has been changing. There is now a strong desire for citizens to be involved broadly in governance and directly in policy decisions — both from their perspective and from that of government.

One of the biggest public participation challenges facing government today is the need to balance the views of both individuals and the groups who may represent them. Who is interested? How do we know? Do we want to include emotion and uninformed opinion in our

analysis along with views based on careful consideration of data, facts and information? How can we be sure that our processes are fully inclusive, especially of those individuals and groups who may have been excluded, intentionally or unintentionally, in the past?

Citizen engagement recognizes citizens as stakeholders and seeks to involve them directly and at a depth not achieved through more traditional methods of public consultation, or through broad aggregate group representation provided by various interest groups and associations. More detail on citizen engagement is provided in Section 5.

4.1.2 Stakeholders as interest groups

Interest groups bring together and speak for individuals, groups and organizations who have common interests, views, and concerns. They give political expression to who we are and what we do. Pross (1986) describes interest groups as associations of individuals formed to aggregate, articulate, and promote the interests their members have in common.

Our ability to analyze stakeholder groups can be enhanced if we group them according to interest sectors. The categories will differ depending on the issue on which the public consultation is focused. Some typical sectors are small business, recreational, industrial, cultural, social, environmental, fisheries, forestry, homeowners, taxpayers, economic development, advocacy for disadvantaged, and nonprofit.

We can assess the potential for interest groups to participate in the policy development process by looking at a number of factors, including:

- organizational continuity and cohesion
  - lines of responsibility and communication
  - capacity for long-term activism
- knowledge of and access to the sponsor
- stability and significance of membership
- clarity of mandates
- clarity of operational objectives

These and other categories are discussed further in Section 4.3, where we consider a number of the factors involved in developing a stakeholder profile. Also see *Capacity Building*, "Building Community Capacity," p. 9.

Interest groups can have either vertical or horizontal structures:

- Horizontal groups have geography as the unifying factor. They represent the local needs, interests and values of a population. These groups will be concerned about a wide range of issues, but generally only in a specific area.
- Vertical groups focus on a specific topic or sector. They represent the needs and interests of their membership on a single issue or relatively narrow range of issues. They provide

leadership and have expertise in a specific field. These groups often have a structure that includes national, provincial, regional, and local branches.

4.2   PUBLIC INTEREST VERSUS SPECIAL INTEREST

When discussing interest groups or developing a stakeholder profile, an important but difficult distinction is knowing the extent to which a group represents the public interest and when it represents special interests. Public interest is about the common good — what benefits society or citizens in general. Special interest is about benefits for specific individuals, members of groups or parts of society. Some stakeholder groups speak for the broader public interest, seeking no individual or organizational benefit, only a policy decision which they believe will benefit society as a whole. The vast majority of stakeholders, however, speak for their own benefit/interest, competing with each other over a policy decision.

One difficult question is how to classify groups seeking minority rights, opportunity, influence or inclusion to remedy an actual or perceived imbalance in society. In these situations, although a group is active in promoting its own interests, taking steps to meet their needs may also be considered to be in the public interest to the extent that the outcome strengthens the fabric of society.

The most common way for both special and public interests to be pursued is through advocacy — voicing support for specific values, views or policy outcomes. However, there is another way in which the public interest may be determined — through a blending of multiple interests in a collaborative public participation process, such as public policy dialogue (see Section 5.5 and Appendix C).

Any organization that participates in policy dialogue is expected to represent the views of its members/constituents. However, it is the *process* by which those views are heard and blended that has the potential to at least partially illuminate the "public interest." In a collaborative process, stakeholders both articulate their own views, needs, and concerns *and* listen to the views, needs, and concerns of other individuals and groups. The groups work together to achieve consensus on an outcome that, to the greatest extent possible, meets their collective needs. The strength and quality of the outcome are dependent upon a number of factors, not the least of which are the degree of balance and extent of representation within the policy dialogue process.

It should be noted that while collaboration through public policy dialogue can produce impressive results, it still must be used in conjunction with other techniques to ensure that all voices have been heard.

4.3   STAKEHOLDER PROFILE

As mentioned in Section 4.1, there are a number of important things that we need to know about stakeholders. This is to ensure that we understand stakeholder interests, preferences and capabilities. Information should be collected about stakeholders in the nine categories listed below. Some generally useful questions are suggested under each category, but these should be modified as circumstances and situations dictate.

Who is the stakeholder?: Identify who (a person or group of people) is, or may be, affected by the decision, and who will participate in the process. Provide contact information. Identify stakeholders by sector and/or geographic focus. Be aware of the need for social and economic inclusion.

Link to process or extent affected: Is the stakeholder directly affected, indirectly affected, interested — or not interested in participating but has the ability to affect the decision. If affected, describe how.

Legitimacy: Numbers/size, proportion of domain, mandate to act, internal cohesion, record/outputs to date — communication, services.

History and reputation: Describe the people or organization in terms of their social, cultural and economic views and interests, and their history of involvement in similar issues. Record your perceptions of the potential influence a stakeholder may have over the decision. Profile stakeholder credibility and public or media visibility.

Resources and capacity: Knowledge of subject area, financial and human resources, availability, leadership, management, staff, volunteers, research capacity.

Organizational details: Structure, management, committees, influencers, linkages/alliances, decision-making process, planning process.
    Structure: horizontal, vertical
    Location: local, regional, national, international

Interests and positions: Identify the interests and positions expressed and represented by the stakeholders and comment on the extent to which these are polarized.

Potential level of participation: Identify stakeholders according to the level of interest they have expressed in your process, e.g., engage, consult, inform or observe, and how their resources and capacity relates to their desired level of participation.

Potential constraints: Factors may include availability, special needs, funding, technical support and possible conflict of interest.

Stakeholder Profile Worksheet

Using the information on the previous page, or any other information you deem important, complete a copy of this form for one or more stakeholders.

1. Who is the stakeholder?
    _____
    _____

2. Link to process or extent impacted?
    _____
    _____

3. Legitimacy?
    _____
    _____

4. History and reputation?
    _____
    _____

5. Resources and capacity?
    _____
    _____

6. Organizational details?
    _____
    _____

7. Interests and positions?
    _____
    _____

8. Potential level of participation?
    _____
    _____

9. Potential constraints?
    _____
    _____

4.4 THE POLICY COMMUNITY

In this section we look at two approaches to the policy community: traditional and emerging.

4.4.1 The traditional policy community

This section is based on Pross (1986), who describes the policy community as a network of individuals, groups, government departments, organizations, and agencies that dominate decision making in a specific policy field.

> Without the policy community's special capabilities for studying alternative courses of action, for debating their rival merits and for securing administrative arrangements for implementation, governments would have great difficulties discerning and choosing between policy options ... pressure groups [are] integral members of the policy community, [with their] ability to evaluate policy and develop options. (Pross, 1986, p. 107)

Policy communities have two components: sub-governments and attentive public.

The *sub-government* is at the centre of policy development, consisting primarily of government agencies and institutionalized interest groups. Substantial resources are necessary to participate at this level. Sub-government members are automatically included on advisory committees and panels of experts, receive invitations to comment on draft policy, participate in committees and commissions charged with long-range policy review, and have informal access to agency officials.

The *attentive public* is a loose collection of government agencies, private institutions, pressure groups, specific interests and individuals — who have an interest in a policy field, but do not or cannot dedicate the time or resources to regular communication and participation. Pross points out that the attentive public may be excluded from more central participation — particularly if they are opposed to prevailing policy trends. The attentive public maintains a "perpetual policy review process" (Pross, 1986, p. 99) and is the source of real diversity for the policy process.

Structures and functions of policy communities may vary from policy field to policy field, as will relations between community members. Both the policy field and the jurisdictional framework are important variables in determining the nature of the policy community. The structures and functions of policy communities will also vary according to the policy field's jurisdictional location (provincial or national).

The goal of the sub-government is often to keep policy making at a routine, technical level, thereby minimizing interference and maintaining the status quo. There may be little interest shown in making room for new members at this level.

In order to influence their policy field, a group must have access to decision makers, be in the information mainstream, and have knowledge, expertise, and an ability to understand and work with bureaucracy.

4.4.2   The emerging concept of policy community

The emerging concept of policy community, perhaps more vision that reality at present, is grounded in a broad definition of community, a definition that includes community of place, interest, and values.

The traditional policy community was either government driven, government led or at least sanctioned and tacitly approved, while the emerging policy community tends to be more independent and grassroots. There is more access for citizens and issue-specific groups. Electronic communication and the Internet are demonstrating an ability to open up and "democratize" policy discussions.

The policy community today has more room for individuals and groups possessing fewer resources and less direct power, people unlikely to enter the centre rings of the traditional community. The rings of the emerging policy community diagram are permeable, so that citizens once outside the community may now, by choice, become part of it.

Though the emerging policy community is more egalitarian, we should not conclude that stakeholders who hold a central place in the traditional community have automatically lost power. That is not the case, as is demonstrated by the degree of influence wielded by large multinational corporations over public policy through their sheer economic power and the sanctions of international trade agreements. It may be, however, that this is not a zero sum game and that both access to power and the actual power available have expanded.

The emerging policy community is characterized by grassroots initiation of activity and communication — bottom up instead of top down. New participants now have a greater ability to get an issue on the policy agenda instead of only being able to react to an agenda created by others. Those who frame the issue, pose the questions or define the problem have greater control of the discussion.

Governments who wish to work with a broader policy community will act more as facilitators and coordinators than as a delivery mechanism for programs and services. Government field offices may have more experience in expanding their policy networks. At the centre, things may stay in more traditional mode and there may be some resistance to efforts made by field staff.

An innovative concept seen as playing a critical role in the emerging policy community is the *bridge person*. Bridge people are able to span the gap between government and community, facilitating information exchange and dialogue. They have strong interpersonal and communication skills, including the ability to promote collaboration, and may be individuals who have been involved with and have a good understanding of the interests of both community

and government. "Bridge people have the capacity to understand the needs and realities of different sectors, as well as the skills to build relationships and processes across sectors." (*Capacity Building*, p. 6; see also the case study in Appendix D for an example of the impact of an effective bridge person).

The emerging policy community recognizes the need for all voices to be heard, respected, and understood. Special effort is required to ensure that the voices of the marginalized are heard. Pross (1986) points out an inherent difficulty:

> In the case of groups attempting to represent the disadvantaged, these problems are compounded. By definition, the weak lack the wherewithal to sustain a presence in policy-making circles. But the lack of resources is not their only difficulty. The very act of organizing representation for the weak often results in transforming the messages they wish to send to the government and the public. Church groups, social-service organizations, representatives of the caring professions, and even subsidized groups staffed by the underprivileged are all well-intentioned, but have trouble relating to their constituency and speaking for it. They speak on behalf of their constituents, but do not necessarily speak for them. Neither their legitimacy nor their mandate comes from those they represent. The quality of their representation is therefore in doubt. (Pross, 1986, p. 246-47)

The traditional policy community has been represented by three concentric circles within which the individuals, groups, organizations or corporations closest to the centre have the greatest power. To represent the emerging policy community, we suggest that the lines of the circle become broken (dashed) to signify permeability, and that those stakeholders within the community who are part of a network or sub-community (formal or informal) are connected or shown in close proximity.

4.5   POLICY COMMUNITY EXERCISE

Think of a policy topic with which you are familiar, then list all the stakeholders. Using the
following set of three permeable concentric circles, place the stakeholders in the circles, with
those having the most influence closest to the centre. Think of the differing levels of power,
information and resources. Those who are in close communication with each other can be linked
or shown in close proximity. The result will be a map of the policy community for the specific
issue.

_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
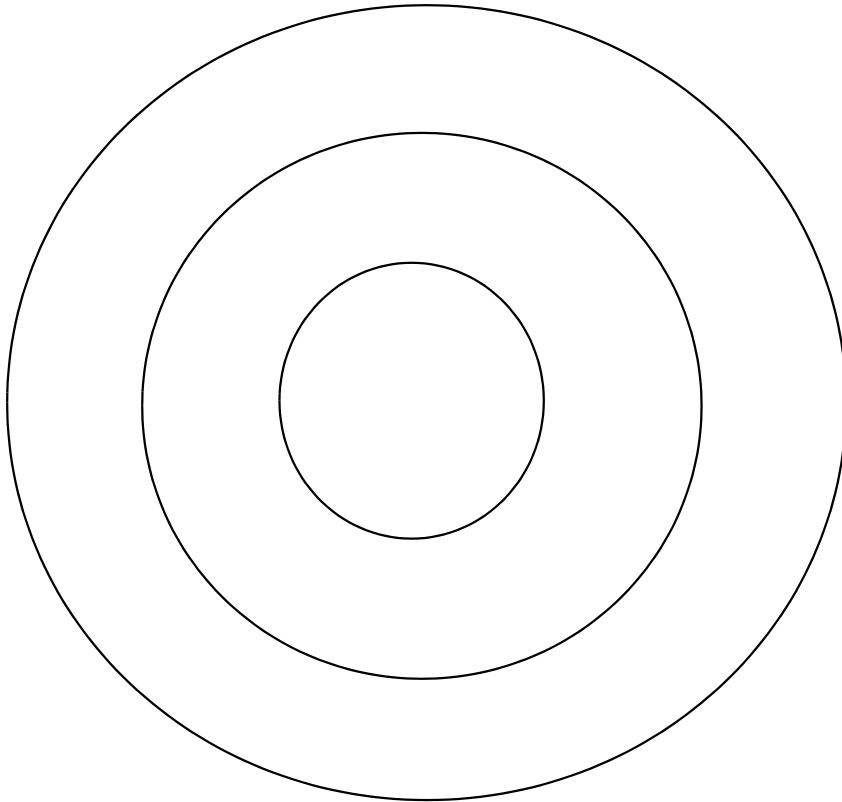
4.6   REVIEW QUESTIONS

1.   Who is a stakeholder? What are the criteria? Who decides?

2.   What are some of the characteristics of a stakeholder you would expect to find in a stakeholder profile?

3.   Under what circumstances are citizens considered to be stakeholders? How are they treated in comparison to the way in which stakeholder groups and organizations are treated?

4.   List examples of the sectors that interest groups might represent.

5.   List some of the characteristics of an institutional group.

6.   Describe some of the things that are changing in the policy community.

4.7 REFLECTIVE QUESTIONS

1. Some interest groups tend to be well organized, resourced, managed, etc. Does that make them more legitimate to government than groups that form spontaneously around a single issue? Why? Do they deserve differential treatment?

2. Do you agree with the statement from Pross (this workbook, p. 30) regarding the voices of the disadvantaged? If this is true, how does it apply to our elected representatives?

3. Describe the policy community for the Falls Prevention Initiative. What are some of its characteristics? Describe some potential challenges.

5. CITIZEN AND COMMUNITY ENGAGEMENT

Public Participation* is a framework of policies, principles, and techniques which ensure that citizens and communities — individuals, groups, and organizations — have the opportunity to be involved in a meaningful way in making decisions that will affect them, or in which they have an interest.

Public participation may involve both individual and collective voices — individual voices coming directly from citizens who choose to express their views, collective voices from communities, interest groups or other organizations able to synthesize or aggregate shared messages.

Effective public participation requires that citizens be informed and knowledgeable about the topic being discussed. They must be willing and able to be involved — having the interest, the time, and the opportunity or access. Citizens must take responsibility for the quality of their participation and be accountable to each other for effective and efficient use of time and other resources. [Note: see *Capacity Building*, p. 7-8 on personal capacity].

When the collective voice is spoken, there must be accountability on the part of the speaker to the broader community for fair and accurate representation of shared views. When processes use representative techniques, community, and citizen interests must be balanced.

Effective public participation requires that government or the sponsor be competent in the development and implementation of public participation programs. They must be willing and able to listen — truly seeking and valuing diverse voices, making a special effort to hear and understand those who, for various reasons, may otherwise go unheard.

Effective public participation requires that all (citizen, community, and sponsor) demonstrate respect for each other and commitment to the process, and have the patience and discipline to work together toward shared perspectives and commonly desired outcomes.

In this section we describe the following:

- why the public should participate
- a range of public participation levels
- principles providing a foundation for good public participation
- the public participation design process
- both traditional and emerging techniques

5.1 WHY INVOLVE THE PUBLIC?

While it may seem easier to simply forge ahead and make decisions on their own, there are many reasons why government and other sponsors are making increased use of direct techniques for public participation. Public participation can help to:

- enhance effectiveness
  - get it right
  - decisions are complex (we need to understand and include all relevant information, views, needs, and interests)
  - implementation is improved with public consent and commitment
  - participation yields higher quality decisions

- meet a growing demand for public participation
  - public desire to be involved in making decisions that will affect them.
  - need for greater openness of decision processes
  - mistrust of expert advice

- resolve conflicts
  - set priorities
  - negotiate tradeoffs
  - seek consensus

- increase fiscal responsibility
  - establish priorities
  - find partners

- enhance public knowledge, understanding, and awareness
  - share information
  - opportunities for stakeholders to hear each other and better understand the range of views on an issue

- meet legal and policy requirements
  - international and national agreements
  - federal and provincial legislation and regulation
  - special rights of Aboriginal people

- establish/solidify legitimacy
  - participation is fundamental to democracy
  - counter public mistrust of the "system"

- allocate scarce resources

5.2   PUBLIC PARTICIPATION CONTINUUM

Public participation processes include information exchange, public consultation*, engagement, shared decisions, and shared jurisdiction. These processes form a continuum based on the extent of involvement and role in decision making, from information exchange (least) to shared jurisdiction (most). The processes are not separated by definitive boundaries; they flow into and build upon each other.

Public Participation Continuum

Information exchange	Consultation	Engagement/ dialogue	Shared decisions	Shared jurisdiction
info in info out	I listen and speak you listen/speak	we talk and understand each other	we decide	we are responsible and accountable

——————————> **Increasing Collaboration** ——————————>

In order to choose the right type of process we must understand the rationale for wanting or needing to involve the public. Each public participation category can be implemented by using a variety of techniques, which are introduced in Section 5.5 and discussed in detail in Appendix C.

Information exchange:

Purpose: creating awareness, education, exchange of views, encouraging responsible behaviours, and promotion of informed decision-making

Techniques: open houses, public/stakeholder meetings, surveys, discussion papers, publications and informal discussion

Public consultation:

Purpose: two-way communication; getting stakeholder input, advice and feedback; discussion of tradeoffs and priorities; and becoming better informed.

Techniques: advisory boards, stakeholder meetings, task groups, focus groups, workshops, public hearings, and a call for briefs

Engagement/dialogue:

Purpose: in-depth exploration of views, perceptions and interests, with emphasis on listening and achieving mutual understanding; exploration of values; and in some situations, working toward consensus

Techniques: dialogue, open space technology, future search conference, and appreciative inquiry

Shared decisions:

Purpose: share responsibility, decentralize decision-making to the community level, achieve integration, resolve conflicts, allocate scarce resources, and manage programs in a manner that respects and reflects community values

Techniques: delegation, legislated authority, responsibility and accountability, and local boards of education, health services, family, and children's services

Shared jurisdictions:

Purpose: recognize constitutional assignment of powers; recognize, respect and reflect community values in governance decisions; make difficult allocation choices in a decentralized political context

Techniques: co-management, partnerships, collaborative processes, formal agreements

5.2.1   Thoughts on citizen engagement

The middle category on the spectrum, engagement/dialogue, deserves special attention. The following description from the recent Privy Council Office policy paper on citizen engagement makes a distinction between traditional consultation processes and a more in-depth process of citizen engagement:

> Citizen engagement refers to processes through which governments seek to encourage deliberation, reflection, and learning on issues at preliminary stages of a policy process, often when the focus is more on the values and principles that will frame the way an issue is considered. Citizen engagement processes are used to consider policy directions that are expected to have a major impact on citizens; address issues that involve conflicts in values or require difficult policy choices or tradeoffs; explore emerging issues that require considerable learning, both on the part of government and citizens; and build common ground by reconciling competing interests.
>
> Citizen engagement differs qualitatively from consultation in a number of ways, including an emphasis on in-depth deliberation and dialogue, the focus on finding

common ground, greater time commitments and its potential to build civic capacity. In this regard, citizen engagement processes should be used selectively. (Privy Council Office, 2000)

The 1999 federal/provincial/territorial Social Union Framework Agreement reflects desire on the part of government and community for more meaningful engagement, and is discussed in *Capacity Building*, p. 5.

5.3   IMPORTANT FACTORS AND PRINCIPLES FOR PUBLIC PARTICIPATION

The following factors and principles should be considered in developing any plan that involves public participation in the development of public policy:

- Context. Those involved in the process need to:
  - see the big picture
  - know why this is being done

- Stated objectives. Processes need to be guided by clear objectives:
  - for overall outcomes (for policy, planning, etc.)
  - for public participation
  - that are expressed in writing (terms of reference, preliminary letter)

- Clear expectations. There needs to be clarity about:
  - roles and responsibilities
  - what the public can expect from government
  - who has the final decision

- Inclusive process. Processes for citizen participation need to:
  - use processes appropriate to the level of feedback required and the available time
  - involve the right participants at the right time
  - create opportunities for expression of "first voice" and social/economic inclusion
  - have clear criteria for stakeholder selection
  - know who has an interest in a decision

- Openness. The following factors are important when it comes to establishing trust:
  - honesty
  - shared information
  - transparency of process
  - consistency
  - avoiding surprises

- Flexibility. Those designing processes need to:
  - know their stakeholders
  - accommodate diverse needs and preferences
  - be prepared to use a variety of methods to accommodate diverse interests and styles

- Respect for divergent values and views. Effective processes need to:
  - place emphasis on understanding
  - avoid win-lose/adversarial process
  - ensure ground rules are in place

5.4   DESIGN AND IMPLEMENTATION OF A PUBLIC PARTICIPATION PROCESS

A public participation process is designed and implemented in four discreet stages, as outlined below. (The process is described in full in Appendix B).

1. **Preliminary Design**
    (a) situation analysis
    (b) decision process
    (c) information exchange
    (d) public and stakeholders
    (e) planning team
    (f) approvals

2. **Developing the Plan**
    (a) establish objectives
    (b) identify and address major issues
    (c) identify and involve the stakeholders
    (d) choose techniques
    (e) prepare to provide and receive information
    (f) develop critical path
    (g) budget, staff, resources, logistics, roles and responsibilities
    (h) prepare to give and get feedback

3. **Implementation**
    (a) follow the critical path
    (b) apply techniques
    (c) provide and receive information
    (d) monitor the process

4. **Feedback**
    (a) report to decision makers
    (b) report to participants
    ©) evaluate the overall process

5.5   TECHNIQUES

A number of emerging public participation techniques provide the opportunity for shared engagement, which has been difficult to achieve with traditional techniques. This section provides an overview of both traditional and emerging techniques. Traditional techniques include print publications, public meetings, open houses, advisory committees, workshops, bilateral meetings, and focus groups. Emerging techniques include open space technology, future search conferences, policy dialogue, and a suite of electronic techniques. The section concludes with a summary of the important characteristics that make these emerging techniques especially appropriate for the work of citizen and community engagement.

Health Canada's *Policy Toolkit for Public Involvement in Decision Making* (Health Canada, 2000a) is a comprehensive, well-laid-out document that provides a wealth of information. It sets out departmental context, vision, purpose, principles, and process; includes a design toolkit; and concludes with an excellent section on techniques. The techniques are organized into five levels, the first and second having to do with information flow, the third with consultation, the fourth with engagement and the fifth with partnering.

The techniques described as levels four and five are what we refer to in this workbook as emerging techniques. In general, these offer more in-depth opportunities for dialogue and collaboration, with emphasis on value exploration and reaching consensus on shared outcomes in complex situations. It should be noted that public servants and community groups have numerous opportunities to interact with each other, exchange information and gain a better understanding of each other's views and interests. All consultation and engagement activities are not necessarily formal.

5.5.1   Traditional public participation techniques

The following are simple descriptions intended to provide an overview of the types of techniques available:

Publications: All consultations produce some type of published material, which may describe the process, define the problem, issue or situation; suggest options; or request direct feedback from readers on their views, interests or alternatives.

Public meeting: Sessions open to anyone with an interest in the subject of the consultation are publicized and held. Public meetings often begin with a technical overview of the situation and process, then provide opportunity for members of the public to speak from the floor regarding their concerns or to ask questions of expert panelists.

Open house: An open house usually communicates information about a project or proposal through a series of displays. Staff are present to answer questions and provide clarification. Visitors are asked to register their views before leaving. Information handouts can be available.

Advisory committee/task force: Groups are selected to represent a cross-section of interests, and may be asked to prioritize, review, make recommendations, develop alternatives, evaluate, assist, etc. Advisory groups tend to be long-term, whereas a task force has a short time horizon.

Workshops: Stakeholders are invited to attend a meeting to review information, define issues, solve problems or plan reviews. Generally, workshops are expected to educate participants and solve a problem or develop a product such as an action plan. Most workshops use facilitation.

Target briefings: These are designed to reach specific audiences who may benefit from private and individually tailored presentations. Audiences for targeted briefings could include ministers, municipal officials, media or specific interest groups.

Focus groups: Groups of eight or ten people are structured to represent a cross-section of the stakeholders affected by an issue. A moderator leads a discussion of the facts, exploring participants' feelings, values, interests, concerns, etc.

Bilateral meetings: The sponsoring agency meets directly with stakeholder groups to receive feedback or discuss areas of interest. This can be useful if the issue under discussion is accompanied by a high level of conflict.

Toll-free phone line: This provides an impersonal opportunity for the public to give feedback, provide ideas or identify issues. The phone can be answered by a staff member who discusses the issue directly with the caller, or by a taped message and opportunity to record comments.

Interviews: Individual discussions with the public or representatives of interest groups may allow participants to cover a wider range of information than is solicited on a questionnaire, and thus perhaps to identify new issues or concerns not previously considered.

Surveys: Surveys are used to collect information, solicit opinions and build a profile of the groups and individuals involved. They provide information to the public and help focus public attention on specific issues.

Public hearings: A public hearing is a forum at which stakeholders can make formal statements about the issue at hand. Oral statements are often accompanied by written briefs. A panel representing the sponsoring agency may ask questions of the presenter. The panel generally submits a final report with findings and recommendations.

5.5.2   Six emerging techniques for stakeholder engagement

If engagement is a deeper, more intense conversation than traditional consultation, what techniques do we use to engage stakeholders? What techniques permit a more thorough exploration of stakeholder values, views, concerns, and interests, and assist us to communicate the complexity of a situation from the perspective of government?

Below are brief descriptions of six emerging techniques; see Appendix C for more detailed descriptions. Following this (in Section 5.5.3), we summarize the characteristics and features of such techniques, several of which are designed to be inclusive of an entire "system." [Note: see *Capacity Building*, p. 10-11, for a discussion of system capacity].

Open space technology uses plenary circles (i.e., participants sit in a circle) and has a few, simple rules. Breakout sessions are organized, led and reported on by self-selected participants. This technique can maximize the creativity, energy, vision and leadership of all participants, and is egalitarian and inclusive. It can be used to set strategic direction, plan or initiate a project, and develop standards, criteria or regulations. It has the ability to maximize teamwork.

Future search conferences are workshop conferences at which 40-80 people join forces to visualize a desired future and then design the steps needed to get the organization there. This technique uses a "whole system" approach and places emphasis on self-managed, small-group discussions. It can be used when the solution to an issue or problem resolution may require a change in organizational mission, functions or structure.

E-participation includes a wide range of specific individual techniques, including e-mail, provision of Web site information, bulletin boards, chat and news groups, dialogue groups and virtual communities. These low-cost approaches are only available to those who have access to a computer and are useful when the policy community is spread over a broad geographic area, or where open information-sharing is important.

Public policy dialogue involves in-depth, detailed work with a variety of stakeholders in a committee or workshop format, usually to achieve consensus on diverse views, interests and values. In the policy development process, dialogue is especially useful at the value and goal clarification stage and during option selection if tradeoffs are required. Dialogue may last from two days to two years, commonly two days per month for three to 12 months. Inclusive representation of key stakeholders, often including the sponsor, is essential.

Appreciative inquiry focuses on the positive aspects of a situation — opportunities, strengths, proven capacities and skills, resources — and affirms, appreciates and builds on existing strengths. Appreciate inquiry is a very effective way to get people to think about their demonstrated abilities instead of listing and dwelling on problems or challenges.

Study circles explore a critical public issue in a democratic way; analyze a problem, develop strategies and actions; and look at issues from multiple viewpoints. Small-group discussion among peers is often facilitated. Study circles have eight to 12 members and meet regularly over a period of weeks or months. This technique is especially useful at the problem definition, values and goal clarification, option generation, and selection stages of policy development.

5.5.3 Characteristics and features of emerging public participation techniques

These emerging techniques:
- engage citizens/public in a more meaningful way
  - too much emphasis in the past on stakeholders
  - reduce concern about corporatism

- allow deeper conversations about values, beliefs, concerns
  - go beyond superficial discussions
  - develop/expose common foundations

- collaborate and work toward consensus
  - seek win-win outcomes
  - place emphasis on understanding

- place emphasis on desired future
  - think about/visualize where we want to go
  - move away from negative past

- appreciate the positives and build on past success
  - appreciative inquiry
  - take what we want into the future

- allow participants maximum freedom
  - rely on knowledge, skills, commitment and leadership of individuals
  - open space, participant design

- see a "big picture" view
  - involve the whole system
  - avoid fragmentation

- include low cost/high impact techniques:
  - e-techniques: access, flexibility, narrow-casting
  - e-mail, newsgroups, discussion groups, Web pages, on-line review and feedback

- create effective policy networks
  - redefine the "policy community"
  - communities of interest, identity, place
  - information, education, continuous shared learning
  - virtual communities
  - fully inclusive, speaking own voice

5.6 CITIZEN AND COMMUNITY ENGAGEMENT IN THE POLICY DEVELOPMENT PROCESS

Now that we have considered the process for policy development and the variety of techniques — traditional and emerging — used to promote public participation and to engage citizens and community, let's think about how they might fit together.

For each of the six stages in the policy development process, how might we engage citizens and the community? What factors will we consider? What techniques might be effective? (Some options for each stage are discussed in Appendix A).

1. Problem definition

2. Value/goal clarification

3. Option generation

4. Selection

5. Implementation

6. Evaluation

5.7 REVIEW QUESTIONS

1. Why do we involve stakeholders in the public policy process?

2. A number of types of public participation were presented on a continuum based on the degree of involvement. Describe the various types of participation, where they fit on the continuum and why.

3. What are some of the principles that form the foundation of good public participation?

4. List and briefly describe the ten public participation techniques most commonly used in your work. How effective are they? What are their strengths and weaknesses?

5. A number of techniques are described in this workbook as "emerging." How do these differ from the more traditional techniques? Under what circumstances might they be expected to produce better results?

6. In the Falls Prevention Initiative, what steps have been and/or are still being taken to involve stakeholders in decision-making?

5.8   REFLECTIVE QUESTIONS

1.   Think about public participation from the perspective of a stakeholder. What would constitute a good public participation process? What principles would guide it? How would you be treated? How would you feel after you had participated?

2.   Consider how each of the following factors might influence the design of a public participation process. How might they influence the way you proceed? How might they affect your choice of techniques?

        limited time
        small budget
        intense conflict among stakeholders
        recent unwanted media attention
        complex technical subject
        some stakeholders angry at government
        lack of trust in government

6. CONCLUSION

This workbook has taken us through the policy development process, placing emphasis on both the development of horizontal policy and the inclusion of stakeholders and the policy community. The complexity of developing horizontal policy and the requirement for full inclusion are policy development challenges faced today by all levels of government.

In this workbook we have progressed from thinking about the context and understanding the situation, to considering the basic elements and stages of the policy development process. We have given considerable weight to understanding stakeholders and the policy community, as well as the processes by which they can participate in policy development.

The questions at the end of each section are a recognition of the busy schedules and heavy work loads carried by many public servants. They are intended to serve as memory joggers and information imprinters (review questions), as well as to stimulate broader thinking on aspects of public-policy development and stakeholder engagement that may lead to further explorations of subject areas related to your work (reflective questions).

As pointed out in the introduction, a number of factors are making it increasingly important for public servants to be informed about and able to take part in and perhaps design and lead inclusive policy development processes. Whatever your connection with policy development may be, we hope that this workbook will serve as a resource.

APPENDIX A
THE POLICY DEVELOPMENT PROCESS

The very term *development* may be taken to imply a neat, incremental, highly rational and structured approach. This is rarely the case. Nevertheless, we will treat the policy development process as a logical progression through six steps: problem definition, goal clarification, option generation, selection, implementation, and evaluation.

OVERVIEW

1. **Problem Definition**
   (a) problem recognition
   (b) situation analysis
   (c) problem definition
   (d) priority determination

2. **Value and Goal Clarification**
   (a) consideration of values and goals
   (b) clarify normative foundation
   (c) describe desired results
   (d) develop criteria and indicators

3. **Option Generation**
   (a) focus on goals
   (b) develop alternatives
   (c) think broadly and outside of established norms.

4. **Selection**
   (a) use tools to evaluate alternatives
   (b) understand potential impacts
   (c) consider, debate alternatives
   (d) compromise, make tradeoffs, bargain
   (f) decide/recommend
   (g) close the loop

5. **Implementation**
   (a) understand success factors
   (b) assess capacity
   (c) assign responsibility
   (d) choose instruments
   (e) align
   (f) transfer

6.   Evaluation
    (a) monitor/obtain feedback
    (b) compare actual and desired results
    (c) learn
    (d) modify as necessary

POLICY DEVELOPMENT PROCESS

The following is an expanded discussion of each of the six steps in the policy development process.

1.   Problem Definition

a) *Problem recognition or identification*
- policy development system as an early warning device
- preliminary definition

b) *Situation analysis*
- What is going on?
  - facts, data, information
  - views, perspectives
- What circumstances surround the issue?
- See the big picture:
  - look through the right end of the telescope.
- Assess the situation with regard to risk or perceived risk, technical complexity, jurisdiction, nature of conflict, level of conflict, sector scope and interests, geographic boundaries, financial implications, media interest, ongoing public consultations, and social and economic inclusion.
- Do we seek help from the policy community?

c) *Problem definition*
- confirmation/modification
- essence, progressive clarity
- need to understand and include multiple perspectives
- all stakeholders need to see their concerns expressed
- "It is better to be approximately right than precisely wrong."

d) *Determine overall priority for this problem*
- action, no action, further information, watching

Opportunities for involvement of the policy community
Needs: Two-way information sharing — data, views, perspectives, and interests
Techniques: Meetings, publications, survey, open house, focus group, advisory committee

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2. Value and Goal Clarification

a) *Consider values and goals of stakeholders and society*
- multiple, conflicting, changing
- held by all actors
- Is there an overarching policy framework or platform to inform and provide context?

b) *Clarify the normative foundation*
- understanding societal values that must be considered and reflected in the policy and/or respected in the policy process
- Are there stated values to help guide our thinking?

c) *Describe the desired results*
- be clear about ends and means
- What do we want it to look like when we are successful?

d) *Establish criteria and indicators*
- must be developed now if monitoring is intended and evaluation to be meaningful
- criterion: a standard (measure) by which the accuracy, quality or result of something is judged
- indicator: shows the extent to which a criterion is being met

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Opportunities for involvement of the policy community
Needs: Two-way information sharing — data, views, perspectives, and interests
Techniques: Meetings, publications, survey, open house, focus group, advisory committee

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3. Option Generation

a) If we do not know where we are going, ideas about how to get there may be premature.

b) *Formulation of alternatives*
- innovation and creativity
- brainstorming

- research
- experience
- trial and error

c) *Thinking outside the box*
  - beyond the existing policy paradigm.

> **Opportunities for involvement of the policy community**
> **Needs:** Ideas, possibilities, innovation and creativity
> **Techniques**: Meetings, publications, advisory committee, workshop, search conference and open space

4. Selection

a) *Use tools to evaluate alternatives*
  - cost/benefit analysis
  - social impact assessment
  - environmental impact assessment

b) *Understand potential impacts*
  - develop comparative data on pros and cons, stakeholder views, likely impacts.
  - determine public interest, assess societal values, effectiveness and efficiency, social and economic inclusion

c) *Consider/debate alternatives*
  - compromise, tradeoff, bargain
  - interest instead of positions
  - understand stakeholder needs
  - consensus-building and collaboration

d) *Close the loop with stakeholders,* especially if their views and interests could not be accommodated.

> **Opportunities for involvement of the policy community**
> **Needs:**   Information, views, perspectives and priorities
> **Techniques:** Meetings, publications, workshops, advisory committee, survey and focus groups
> **Needs:** Analysis against criteria, determining priorities and making trade-offs
> **Techniques:** Consensus process and interest-based negotiation

5.   Implementation

a) Policy success is dependent upon a number of factors, including support from politicians, the bureaucracy, stakeholders and citizens; adequate funding; leadership and management; clarity of purpose and objectives; and efficient and effective administration.

b) *Assign responsibility for delivery.*

c) *Assess existing structure of organization for capacity.*

d) *Choose instruments*:
   - economic incentives and disincentives
   - legislation regulation guidelines
   - program project
   - public enterprise
   - partnerships code of practice voluntary compliance.

e) *Ensure alignment with existing legislative and policy context.*

f) *Transfer responsibility to operational staff* through workshops, guidelines, posting FAQs and case studies on web sites, visits to field by policy staff.

> **Opportunities for involvement of the policy community**
> These are generally more limited than opportunities at other stages of public policy. However, it should be noted that this is changing as current devolution and decentralization trends continue.

6. Evaluation

a) *Monitoring/feedback*
- develop criteria and indicators in agenda setting and goal clarification
- develop capacity to identify changing conditions
- know key factors and variables
- be prepared for unanticipated consequences.

b) *Comparison of actual results with desired results*
- What range of outcomes is acceptable?
- What will we do if ... (contingency plan in place?)

c) *Learning*
- continuous feedback
- critical for adaptive behaviours
- double-loop learning, which questions basic underlying assumptions

d) *Willingness and ability to modify policy as necessary.*

Opportunities for involvement of the policy community

Needs: Data collection, assessment against criteria and shared learning
Techniques: Committees, workshops and survey

APPENDIX B
DESIGN OF A PUBLIC PARTICIPATION PROCESS

OUTLINE

1. **Preliminary Design**
   (a) situation analysis
   (b) decision process
   (c) information exchange
   (d) public and stakeholders
   (e) planning team
   (f) approvals

2. **Developing the Plan**
   (a) establish objectives
   (b) identify and address major issues
   (c) identify and involve the stakeholders
   (d) choose techniques
   (e) prepare to provide and receive information
   (f) develop critical path
   (g) budget, staff, resources, logistics, roles and responsibilities
   (h) prepare to give and get feedback

3. **Implementation**
   (a) follow the critical path
   (b) apply techniques
   (c) provide and receive information
   (d) monitor the process

4. **Feedback**
   (a) report to decision makers
   (b) report to participants
   (c) evaluate the overall process

DESIGNING A PUBLIC PARTICIPATION PROCESS

1. **Preliminary Design**

Building a preliminary plan requires that we think about analyzing the situation; details of the decision process; what major issues might be encountered during the process; what information is required from the public and at what points in the decision process; which publics the

information is required from; the composition of a planning team; and how to get the go-ahead from the organization.

a) *Situation analysis*
- Which circumstances led to the need for a decision? Is this a policy question; new legislation or regulation; program or project development; problem to be solved; or legislated requirement?

- Can any major issues be anticipated regarding socioeconomic and political factors, public perception, related issues, active consultations?

- Can the situation be assessed regarding risk or perceived risk, technical complexity, presence of conflict, sectoral scope and interest, social and economic inclusion, and geographic boundaries?

b) *Decision process*
- What is the purpose of the process?
- What discreet steps comprise the decision process?
- A decision process often has several basic elements: definition/goal setting, alternative generation, analysis and selection, implementation, and monitoring and evaluation.
- Estimate time frame for decision process and public participation.
- Estimate fiscal and human resource needs.

c) *Information exchange* — source, content and time of information flow
- Is information required from the participants?
- What information?
- At what point(s) in the process?
- Will information be required by the participants?
- What information?
- At what point(s) in the process?
- How will feedback be handled?

d) *Public and stakeholders*
- Which stakeholders/public can provide the needed information?
- Which stakeholders/public should be included?
- What criteria should be used to select participants?
- How soon should key stakeholders be involved?
- If "now" establish a stakeholder advisory committee to help design (and perhaps implement) the process.

e) *Planning team*
- Include the right people: functional area; capacity and skills, i.e., planning, interpersonal, communications, facilitation, etc.; knowledge of issues or stakeholders; and experience with public consultations.

f) *Approvals*
- What approval is required to commit the organization to this process?

2. Developing the Plan

Development of a public consultation plan involves the following considerations: understanding the objectives for the decision process and development of supporting objectives for the consultation process; ensuring that major issues are recognized and considered; clarifying how stakeholders will be selected, what stakeholders will be involved and at what point; when and how will the public be involved; consultation techniques chosen to meet process and stakeholder needs; thought given to the format in which information is received; outlining the flow of the process on a critical path; budget, staff and other logistical needs; and preparation to facilitate feedback to and from stakeholders.

a) *Establish objectives*
- overview of the decision process
- What are the desired results of public consultation?
- What information, at what points?
- develop a clear problem/issue statement

b) *Identify and address major issues*
- As determined in the design phase situation analysis, with additional information provided by a stakeholder advisory committee, if one is formed.

c) *Identify and involve the stakeholders*
- develop a profile for each stakeholder
- use profile information to identify and select, considering such factors as impacted/interested, social and economic inclusion, balance, resources, representation, capacity, and history.
- Stakeholders can be identified and chosen in three ways: by staff of the sponsoring organization, by third parties, or by themselves.

d) *Choose techniques*
- achieve specific objectives at key points in the decision process
- select techniques that best serve both the decision objective and the needs of stakeholders.
- A common format for public consultation includes:
  - public input into problem definition; what is going on here?
  - What are my issues? What would I like to see happen?

- Sponsor does options paper using stakeholder input, and asks "Which of these options do you prefer and why?"
- Sponsor does a draft final paper or action plan and goes back to the public one more time for review and comment.
- A technique that works for one group may not work for another.

e) *Prepare to provide and receive information*
- What information do you want to communicate to the participants? In what form? How does it fit within the decision process?
- Ask participants for the information you need:
  - select a format that aids analysis
  - analysis should help sponsor understand why stakeholders and the public think and feel as they do (determine interests)
  - Good analysis creates information which can then be evaluated.
- Categories for information analysis should be anticipated based on previous knowledge and experience:
  - categories can be modified based on actual results
  - This is more art than science.

f) *Develop a critical path*
- A chronology of steps provides a map of the process
- A critical path outline will contain some of the following categories with dates, locations, costs, staff responsibilities, etc. This is not a description of a full process — it is intended only as an illustration:

Preliminary dates:
Date: information out regarding process
           newspaper advertisements
           posters
           press release

Stage I dates:
Date: discussion paper released
           paper and electronic (Web site)
Date: written responses to discussion paper due
           electronic version of questions on web site
Dates: open houses for local communities
Dates: targeted briefings for key stakeholders
           targeted briefings for government departments
Date: Stage I input ends; information analysis begins
Date: feedback paper to stakeholders who participated in Stage I
Date: staff use Stage I results as basis for an options paper

Stage II dates:
Date: options paper released
          provided automatically to all Stage I participants
Date: multi-stakeholder workshops
          toll-free telephone line
          electronic version of paper available
Date: all Stage II feedback due; information analysis begins
Date: feedback to stakeholders on Stage II results
Date: Stage II results used to develop draft final decision paper

Stage III dates
Date: draft final decision paper out for stakeholder review
Date: workshops, meetings, briefings, etc.
Date: all Stage III feedback due; information analysis begins
Date: Minister's decision, public announcement, implementation
Date: final version of decision published
Date: final feedback and thanks to participants

g) *Budget, staff, resources logistics, roles, and responsibilities*
   - Is the implementation team the same as the design team?
   - Is a reasonable budget in place?
   - Are human and other resources available?
   - Logistic considerations include rental of halls, audiovisual needs, refreshments, transportation, etc.
   - Are roles and responsibilities clear? Who is facilitating the sessions?
   - Who is providing technical information? Who has overall responsibility for the end result?

h) *Prepare to give and get feedback*
   - information back to decision makers
   - information back to public/stakeholders
   - Who is responsible?
   - How will feedback be given to stakeholders? Summary paper, newsletter, Web site?

3.   Implementation

In many ways, the hard part is done. The hours of work invested in careful and detailed planning now pay off as the implementation team carries out the following four steps:

a) *Follow the critical path*
   - This is the map for implementation of the process. It dictates how steps follow each other, how they are linked, and how specific needs of different stakeholder groups and the public are met.

b) *Apply techniques*
- implemented in sequence, with monitoring and evaluation built in
- may need to adapt if planned actions do not achieve desired results

c) *Receive and provide information*
- organize and analyze; evaluate and incorporate information into next steps; feedback to participants; be prepared to modify analytical format based on content of actual stakeholder communications

d) *Monitor the process*
- this must be continuous
- make sure that the process is achieving stated objectives, including the right publics and being implemented in keeping with the principles of fairness, openness, inclusiveness, etc.
- use an end-of-process survey to gauge the depth of public/stakeholder satisfaction with the process, as well as with the final outcomes
- We plan going into a process, and we learn coming out!

4. Feedback

The final steps in the process are to report to the decision makers on the outcome of the consultation; to provide feedback and communicate appreciation to stakeholders for their involvement; and to evaluate the process and ensure that the team learns from the experience.

a) *Report to decision makers*
- stakeholder views are summarized for the various input points and reported to decision makers within predetermined format, i.e., options, recommended action, etc.
- senior managers may want to know:
    - what stakeholders participated?
    - what their key issues and preferred options were
    - how satisfied stakeholders were with the process (result of ending survey)

b) *Report to participants*
- closing the loop:
    - express appreciation to those who took part in the process
    - provide a final report on the process outlining the results achieved
    - directly contact the groups who put in special effort, were extremely collaborative or deserve personal contact for other reasons
    - may want to use targeted feedback to specific individuals and groups
    - may want to make reference to specific input and show how it was used or explain why it was not included in the final report

c) *Evaluate the overall process*
  - The public consultation team evaluates the process from start to finish for:
    – public satisfaction
    – public support for decisions
    – public understanding of situation
    – department satisfaction, and
    – team learning

APPENDIX C
EMERGING TECHNIQUES

1.   OPEN SPACE TECHNOLOGY

Basic format: Plenary circles (i.e., participants sit in a circle); few and simple rules; breakout sessions organized, led and reported on by individual participants; and attendance/participation by choice.

Purpose: Maximize the creativity, energy, vision and leadership of all participants — an egalitarian and inclusive approach.

Uses: Planning the future of an organization or community; setting strategic direction; plan or initiate a project; developing standards, criteria and regulations; and maximizing teamwork.

Duration: Four hours to three days

Participants: Individuals who represent all elements of the system. Participation should be considered voluntary, even when used within an organization.

Process: Nature of Open Space: The circle is an intentional structure and is "opened and closed" in formal ceremony. Circle symbolism is fundamental to the process.

Open Space Technology has four basic principles:
1. Whoever comes are the right people
2. Whenever it starts is the right time
3. Whatever happens is the only thing that could have
4. When it is over, it is over

Following the opening of the space, a bulletin board is established as a central place for people to communicate with each other about what they wish to explore.

The market place allows participants to select among topics suggested by participants and posted on the bulletin board.

Participants are completely free to either join a discussion that catches their interest, or leave one that does not.

Fundamental principles of design:

The person who proposes each topic may lead the discussion and write a summary report, or may get assistance from a group member for either job. The report is prepared using the following format:

- name of issue or opportunity
- name of leader
- names of participants
- highlights
- next steps

Computers are available for report input. The reports from each day's sessions are compiled overnight and published the next day as the Book of Proceedings. Each participant receives a copy before the start of the next day's session.

After a one or two-day meeting, the group seeks convergence. They must decide what they can and want to do. The topics listed in the Book of Proceedings are posted on flip charts and the participants then prioritize the topics. The top vote-getters will be the focus for action, and initial champions of each of the high priority topics are asked to be responsible for further discussion. Group discussion takes place for a further 1 to 1.5 hours. A final report is prepared for each item using the following format:

- name of issue champion
- names of those who will assist
- next steps and future actions
- required resources

The space is closed in a final gathering around the circle.

2.   FUTURE SEARCH CONFERENCE

(This section is excerpted from VanDeusen, 2000.)

Basic format: Workshop conference, with emphasis placed on self-managed small group discussions.

Purpose: Use a "whole system" approach, and a future perspective to guide planning in the present.

Uses: When issue or problem resolution may require a change in organizational mission, functions or structure, i.e., anytime?

Duration: Two to three days.

Participants: 40 to 80 people representing stakeholder groups. Over half may be internal to the organization.

Key factors: Guiding principles:
>> Get the whole system to the room
>> Share values and issues within a personal and global context
>> Focus on creating, not problem solving
>> Focus on learning, not teaching
>> Support equal status
>> Emphasize personal commitment and ownership
>> Use self-managing teams
>> Develop shared meaning

> If the whole system is present, action plans can be developed as an integral part of the event.

> Identify and build on shared values and beliefs rather than attempting to build commitment by "solving a long list of problems."

> "Tasks ... enable people to identify the unifying threads that usually get lost in the midst of trying to deal with everyday, transactional issues." (VanDeusen, 2000, p. 13)

> Once the common ground has been elicited, participants are able to sustain a collaborative spirit even as they take action in different parts of the system.

> Steps:
> **Past.** Identification of significant past milestones builds a shared appreciation of and context for the issues.

> **Present**. Significant trends and themes are charted: how are stakeholders responding? Identify strengths and weaknesses of the present system. Note differences but do not resolve.

> **Future**. Mixed groups develop and present scenarios of preferred futures for the organization or theme. Horizon is often 10-20 years.

> **Common ground**. Identification of common themes and values that crosscut all scenarios from the basic framework for unified planning and development. "This is where a future search departs from other strategic planning

approaches. Broad commitment is generated concurrently with intellectual work on the plan content."

Action planning. Elements from the common-ground scenario are transformed into areas for action planning; participants work in groups to develop the plans; initial drafts are shared and feedback obtained; next steps are discussed.

Post-conference: Task forces/work teams take over development and implementation.

Review meeting. A one-half to full-day review meeting is held between one and three months after the conference; annual reviews are common.

Critical success factors:

Leadership: conference planners must identify focal issues around which the conference is organized.

Facilitation teams manage task and emotional vectors in the work of small and large-group activities.

Purpose must be clear and meaningful.

Participation: wide enough to ensure that all relevant perspectives (all parts of the system) are present.

"The structure of the conference is of high import. Weisbrod and Janoff (1995) recommend that facilitators not tinker with the design principles that they have set forth ..." (VanDeusen, 2000, p. 13)

3.   **E-PARTICIPATION**

Basic format(s): Electronic, Internet-based
                     E-mail, Web page, electronic survey, news or discussion group

Purpose: Low-cost, flexible ability to access citizens

Uses: Information exchange, discussion, dialogue, survey

Duration: Variable

Participants: 2 to ?

Key factors: These techniques require that the individual have access to and the ability to use a computer and work on-line. Some specific techniques are:

- *provision of information and data* — an informing function
- *e-mail* — a personal approach to information exchange, single or multiple addresses
- *Web site* — ability to provide downloadable materials such as discussion papers, draft plans, option papers, and get immediate on-line feedback with e-survey
- *bulletin board* — information posted on a specific topic, etc.
- *discussion group* — monitored and led by a responsible and experienced on-line facilitator; can be open or limited numbers; access can be controlled by password
- *virtual community* — establish a limited-access discussion group for a specific topic, issue, sector, geographic area; stakeholders can talk directly to other stakeholders.

Stakeholder-group representatives taking part on an advisory committee could use any of these means to exchange information with their constituents to ensure that they are current with discussions and process flow.

E-techniques have the potential to provide a wide range of information in varying detail through hot links and hyperlinks. They are flexible, meeting diverse needs, including language, limited time, potential for knowledge management and capacity-building.

The third level of possible change in our lives — the political, derives from the middle social level, for politics is always a combination of communications and physical power. The role of communications media among the citizenry is particularly important in the politics of democratic societies. The idea of modern representative democracy as it was first conceived by enlightenment philosophers included a recognition of a living web of citizen-to-citizen communications known as civil society or the public sphere. Although elections are the most visible fundamental characteristics of democratic societies, those elections are assumed to be supported by discussions among citizens at all levels of society about issues of importance to the nation.

If a government is to rule according to the consent of the governed, the effectiveness of that government is heavily influenced by how much the governed know about the issues that affect them. The mass-media dominated public sphere is where the governed get knowledge; the problem is that commercial mass media, led by broadcast television, have polluted with flashy, phony, often violent imagery a public sphere that once included a large component of reading, writing and rational discourse ... substituting slick public relations for genuine debate and packaging both issues and candidates like other consumer products.

The political significance of CMC (computer mediated communication) lies in its capacity to challenge the existing political hierarchy's monopoly on powerful communications media and perhaps thus revitalizing citizen-based democracy ... The way the number of owners or telecommunication channels is narrowing to a tiny elite, while the reach and power of the media they own expand, is a converging threat to citizens ... (Rheingold, 1993, p. 13-14)

4.   PUBLIC POLICY DIALOGUE

Basic format: Advisory committee, working group, task team and group consensus process.

Purpose: Do in-depth, detailed work with variety of stakeholders to achieve consensus on diverse views, interests and values.

Uses: Problem solving, policy development, planning, development of legislation and regulations, and value and interest clarification.

Duration: Two days to two years, commonly two days/month for three to 12 months.

Participants: Inclusive representation of key stakeholders, often including the sponsor; up to 24 recommended, can go higher.

Key factors: General focus on broad issues.

End result is often in the form of recommendations to decision maker(s).

Participants develop ground rules that specify principles (code of conduct), operational details and provide a confirmation of the purpose (terms of reference, mandate, etc.)

Process is inclusive and representative.

To the extent possible, Interest-based negotiation is used to work toward meeting the interests of all participants. Usually the group will attempt to reach consensus.

Process is facilitated or mediated by skilled, impartial third parties.

A variety of process paths may be followed, including problem solving, decision making, strategic planning, and policy development.

Participants require patience and discipline, as well as the ability to use excellent communication skills (especially listening).

Pre-process training may be provided.

Often results in improved relationships among participants.

5.   APPRECIATIVE INQUIRY

Basic format: Used in a variety of process settings, including workshops, dialogue, consensus-building and most kinds of group work.

Purpose: Focus on positive aspects of a situation, opportunities, strengths, proven capacities and skills and resources. Affirm, appreciate and build on existing strengths.

Uses: Problem solving, idea generation, policy development, planning, value and interest clarification, and community sustainability.

Duration: This will depend upon the process framework in which it is used.

Participants: Those who are part of a geographic or interest community, a group, an organization, a team or a family.

Key factors: In every organization, community and group setting some things work well — strengths, resources, skills, abilities. Identifying these key positive attributes and doing more of them can provide the means to successfully navigate change and transition.

Often in a workshop format, group members recall details of situations that they have handled well, that have been positive for the group or organization. They talk about why things went so well and how it felt "uncovering common themes of circumstances when the group performed well."

After envisioning the future they would like to achieve, they develop strategies and actions based on their recognized and proven strengths.

Appreciative Inquiry asks members of a group to uncover and examine the basic underlying assumptions underlying the group's espoused values and artifacts. This is difficult and requires what Chris Argyris has called "double-loop learning."

The process should be led by a facilitator experienced in the use of dialogue and in assisting groups through collaborative change.
[Reference: Hammond, 1997]

6.   STUDY CIRCLE

Basic format: Small-group discussion among peers, often facilitated.

Purpose: Explore a critical public issue in a democratic way, analyze a problem and develop strategies and actions, and look at issues from multiple viewpoints.

Uses: Problem solving, idea generation, policy development, planning, value and interest clarification, and community sustainability.

Duration: Circles meet regularly over a period of weeks or months.

Participants: 8 to 12.

Key elements: Basic premise of democracy is of people governing themselves. Study circles rely on the voices and active participation of citizens.

A study circle sets its own ground rules for respectful, productive process.

May be established within an organization, across a community or among a number of organizations.

Discussions may lead to areas of agreement and common concern, but generally there is no intention to reach consensus.

Community-wide programs are developed, with a number of study circles on the same issue at the same time. This can result in the development of new connections among community members.

Study circles allow participants to discover a connection between personal experiences and public policies. Participants gain a deeper understanding of their own perspectives, as well as the perspectives of others.

The Study Circle Resource Centre (http://www.studycircles.org/) provides help to those wanting to establish a study circle, and tracks the progress of circles already underway.

APPENDIX D
PUBLIC POLICY CASE STUDY
FALLS PREVENTION INITIATIVE
HEALTH CANADA/VETERANS AFFAIRS CANADA

INTRODUCTION

In August 2000, Health Canada and Veterans Affairs Canada launched the Falls Prevention Initiative, a community-based health promotion initiative designed to help identify effective falls prevention strategies for veterans and seniors.

The initiative provides funding to sustainable, community-based projects whose primary objective is to promote the independence and quality of life of veterans and seniors by preventing, and/or reducing the severity of, falls. Target populations are community-dwelling veterans, seniors and their caregivers.

The purpose of this appendix is to examine two specific aspects of the Falls Prevention Initiative. The first is the public policy context — foundations, framework and process. The second is the extent of citizen and community involvement. This case study is not intended to be an evaluation of the program, nor to be a complete and exhaustive description of the initiative; it was developed specifically to accompany the workbook *Public Policy and Public Participation: Engaging Citizens and Community in the Development of Public Policy,* by Bruce Smith, BLSmith Groupwork Inc.

The case study begins with an overview of the program as it emerged from the national context, continues with a description of how it has been implemented to date in the Atlantic Region, and concludes with a brief discussion of how things are likely to unfold before the initiative terminates in March 2004. Useful background information is provided in four appendices; materials consulted are included in the References section. In addition, valuable information and assistance was provided by Irene Rose, Program Consultant, Health Canada, Atlantic Region, Population and Public Health Branch.

For the purpose of this document, policy development includes situation analysis, purpose/goals, option generation, selection, implementation and evaluation.

BACKGROUND

Canada's population is aging. In 1921, 5% of the population was over 65 years of age. By 1991, this figure had reached 12%; by the year 2041, an estimated 23% (10 million people) will be over 65.

It is estimated that 65% of injuries to seniors result from falls, and that these falls cost the Canadian economy $2.4 billion per year, of which about $1 billion is direct cost to the health care system. In addition, the impacts of falls and the resulting physical injury include loss of independence and quality of life, and increased demands on the time and energy of caregivers.

Falls are often preventable, and attention to things such as the physical environment, use of medications, exercise, etc., can greatly reduce their incidence. As Canada's population ages, falls prevention will increase in importance to individuals, communities, and the economy.

In Canada in the 1990s there was a groundswell of interest and concern about injury prevention, especially for children and senior citizens. At the same time the concept of population health was becoming well accepted and recognized as the only way that health care would ever progress beyond treatment and actually begin to prevent injury and illness.

The primary locus for injury prevention has been the Federal, Provincial, and Territorial Working Group on Safety and Security for Seniors. Ministers meet every second year, and deal with a wide range of issues affecting the safety and security of Canadian seniors.

ORIGINS OF THE PROGRAM AND THE PARTNERSHIP

In December 1998, staff of Health Canada and Veterans Affairs Canada met to explore shared interests relating to falls prevention. Health Canada is the federal department responsible for helping the people of Canada maintain and improve their health. Veterans Affairs Canada is the federal government department responsible for the health and welfare of Canadian veterans.

In order to fulfill its mandate regarding quality of life for Canadian veterans, Veterans Affairs Canada determined that it had to move into prevention and health promotion. In fact, the Auditor General of Canada had suggested to Veterans Affairs Canada that they increase their emphasis on prevention.

VAC wanted to identify an area where they could make a real impact. They had funding, but did not have the appropriate delivery mechanism. Health Canada had a delivery mechanism and experience in health promotion and seniors, but had not allocated any funds to falls prevention.

The potential for a partnership was recognized by a Veterans Affairs Canada staff person who had previously worked at Health Canada. She served in a bridging capacity, and was able to

promote the concept with colleagues in both departments. She helped Health Canada and Veterans Affairs Canada get to know each other, and addressed concerns about the potential for working in partnership.

The departments recognized that they had shared goals and complementary resources and capacity, and spent a year developing the terms of the innovative partnership. The goals and objectives of the partnership are listed in Appendix D.1.

Veterans Affairs Canada

Veterans Affairs Canada does programming in two broad but related areas: health promotion and independence. Within the Health Promotion Program, Veterans Affairs Canada provides support to clients in the areas of caregiving, dementia, Alzheimer disease, depression and mental health, falls prevention, use of medications, and other areas of interest and/or concern to seniors and veterans.

The Veterans Independence Program assists clients to remain healthy and independent in their own homes or communities. It does this by offering a variety of services to those who meet the eligibility requirements. These services complement other federal, provincial or municipal programs. The Veterans Independence Program assists with the costs of certain services provided at the client's home, including grounds maintenance, housekeeping, personal care, nutrition, and health and support services provided by health professionals. It may also cover transportation, ambulatory health care, nursing-home care, and home adaptations. The following description comes from the Veterans Affairs Canada Web site (www.vac-acc.gc.ca/):

> We want to make sure our programs and services help veterans stay healthier. We want to improve our clients' quality of life and to focus health services on what clients need to keep them healthy, while educating them on preventive measures that can help safeguard their health, independence and prevent illness, injury and disease.

> Our goal is a community approach to promote the health of all seniors including veterans and their caregivers, through partnerships with government departments, community agencies, seniors groups, and veterans' organizations. Health Promotion initiatives will support, educate, and involve veterans and seniors in adopting healthy behaviours, lifestyles and foster independence.

Health Canada

In partnership with provincial and territorial governments, Health Canada provides national leadership to develop health policy, enforce health regulations, promote disease prevention and enhance healthy living for all Canadians. Health Canada ensures that health services are available and accessible to First Nations and Inuit communities. It also works closely with other federal departments, agencies, and health stakeholders to reduce health and safety risks to Canadians.

Through its administration of the *Canada Health Act,* Health Canada is committed to maintaining this country's health insurance system, which is universally available to permanent residents, comprehensive in the services it covers, accessible without income barriers, portable within and outside the country, and publicly administered. Each province and territory administers its own health-care plan with respect for these five basic principles of the *Canada Health Act.*

Health Canada's specific roles and responsibilities include preserving and modernizing Canada's health care system, enhancing the health of Canadians, safeguarding the health of Canadians, and working with First Nations and the Inuit.

Through the Population and Public Health Branch, Health Canada applies the population health approach in its policies and programs (see Appendix B for a description of population health). Health Canada has now made promotion of the population health approach one of its four business lines. There are several elements to the population health approach as applied by Health Canada. *The Population Health Template: Key Elements and Actions That Define a Population Health Approach* (Health Canada, 1999) can be used by policy makers and program planners to guide and direct policy and program development so that initiatives reflect population health key elements. The Population Health Fund is available to support organizations to mobilize the population health approach and contribute to the evidence base.

LAUNCHING THE INITIATIVE

The Falls Prevention Initiative was established as a four-year program with a budget of $10 million. An initial decision was made to target falls prevention in three regions (Atlantic Canada, Ontario and British Columbia) and to identify Falls Prevention Initiative as a pilot project. A small allocation was identified for national projects.

A national meeting on falls prevention was held in July 2000. The meeting was conceived by the National Management Team to fill the knowledge and history gap concerning falls and falls prevention. Care was taken to ensure participation by seniors, veterans, academics, and other stakeholders. Participants included representatives from national seniors' organizations and veterans' organizations, and experts in the field of falls prevention.

Small discussion groups came forward with a number of recommendations, including an emphasis on networking and cross-sectoral representation; a phased approach that gives enough time to build partnerships, setting the stage for and conducting evaluations; and direct involvement of seniors, veterans, and community groups. These recommendations shaped the approach taken in the initiative.

THE FIRST TWO YEARS

As mentioned in the introduction to this appendix, the Falls Prevention Initiative was launched in August 2000. The initiative is administered under Health Canada's Population Health Fund. Under the funding guidelines, eligible applicants include any Canadian voluntary not-for-profit organization or educational institution. The initiative adopts a population health approach to falls prevention. This approach focuses on a wide range of individual and collective factors that influence health, and on the way they act together to determine the health and well-being of Canadians.

Proposals were solicited in three phases. As recommended by participants at the national conference, Phase I placed emphasis on partnership development. Phases II and III solicited proposals for a variety of falls prevention projects in the following priority areas:

- the physical environment, especially home and community
- personal health practices: active living, use/misuse of medication, alcohol and other substances, and nutrition
- high-risk populations: frail elderly, women, homebound seniors and veterans, those residing in isolated or rural communities, and people with diminished health status or unaware of potential risks

THE FALLS PREVENTION INITIATIVE IN ATLANTIC CANADA

Seven projects were approved in Atlantic Canada: three in Nova Scotia, two in New Brunswick, and one each in Prince Edward Island and Newfoundland and Labrador. Two of the projects — one each in Nova Scotia and New Brunswick — were sponsored by Acadian groups. The projects undertook a number of activities during each of the three phrases, as detailed below.

Phase I activities

In general, Phase I projects were intended to assist community groups to work in productive partnerships, something the July 2000 stakeholder meeting had strongly recommended. Specific activities included:

- developing strategic plans for falls prevention
- designing and delivering workshops for seniors, veterans, and caregivers
- establishing multi-sectoral, provincial advisory committees
- establishing strong partnerships, coalitions, and community networks
- identifying and analyzing literature, models, interventions, and initiatives
- examining barriers to exercise
- raising awareness and identifying risks
- developing action plans for prevention of falls

- building capacity of groups and organizations to address issues relating to falls
- developing a discussion paper linking determinants of health to incidence of falls among seniors
- holding a provincial partnership-building and information-sharing workshop
- developing broad-based, intersectoral partnerships across public, private and voluntary sectors
- developing a research paper that outlines evidence on the impact of falls on the health and independence of seniors
- promoting the importance of collaboration

Phase II/III activities

Phase II/III projects were intended to address community priorities. Specific activities included:

- developing regional strategies and action plans for falls prevention; specific strategies include education, exercise, home assessments, community assessments, and media awareness
- developing a community-action toolkit
- designing and delivering a train-the-trainer program to prepare volunteer facilitators
- developing and implementing prevention information sessions focusing on prevention, and a course for the Prince Edward Island Senior's College
- promoting increased awareness and knowledge of falls-prevention strategies among all sectors of the community
- using media, brochures, posters, videos, presentations, meetings, and home-safety checklists
- identifying seniors and veterans at risk and doing home-safety assessments
- working with governments to create policies that promote independence of seniors
- encouraging seniors and veterans to participate in regular physical activity
- creating broader regional intersectoral partnership
- pursuing four strategies: cross-sectoral coordinating network, tool-kit development, train-the-trainer program, and a public awareness campaign
- developing an educational kit in two languages
- adapting the program for First Nations by working with elders and other leaders
- developing a range of community-based interventions
- conducting home-safety assessments
- assessing municipal hazards
- improving the safety of physical structures
- creating or adapting information resources
- partnering on a forum on reducing risk in built spaces

Workshops for networking and capacity building

As part of their ongoing support and coordination work, the Atlantic Canada Health Canada/Veterans Affairs Canada Falls Prevention Initiative team conducted two workshops for provincial project sponsors.

The first, in February 2001, focused on provision of information about falls prevention in general, and details of the Falls Prevention Initiative; relationship building and networking among the project sponsors, as well as with Health Canada and Veterans Affairs Canada staff; and building skills and developing processes to meet the challenges of partnering with groups where there was no history or experience on which to build. The workshop was held in Halifax. Materials were developed and provided to assist projects in the partnership-building process.

The second session, held in March 2002 in Lunenburg, Nova Scotia, was hosted by Elderfit-Lunenburg. The session had two distinct parts. On Day one project representatives met with Health Canada and Veterans Affairs Canada staff to share information and discuss specific aspects of the initiative. On Days two and three, the focus was on evaluation. The workshop was designed and conducted by Ekos Research Associates, the company contracted by Health Canada/Veterans Affairs Canada to develop a national evaluation framework for the initiative. Project representatives were taken through all aspects of the evaluation process, both interim and final. There was ample opportunity for questions and discussion. Emphasis was placed on skill-building to ensure a quality evaluation process. In addition, the session provided groups with networking opportunities.

Projects working on tool kits organized a meeting to discuss content and ways in which they could complement each other's work.

Other networking and capacity-building links

Victoria meeting and conference
All Phase I projects received increased funding to allow them to attend a national meeting of all projects in Victoria, British Columbia. In addition, representatives were able to attend an international conference held in Victoria at the same time. The theme was "Expanding Networks: Research, Policy, and Practice to Prevent Falls and Injury Among Older Adults."

Atlantic Network for Injury Prevention (ANIP)
ANIP was created in Halifax at a two-day meeting, held December 11-12, 2000, sponsored by the IWK Grace Health Centre with funding from SMARTRISK and Safe Kids Canada. Approximately 60 participants, representing all aspects of injury prevention all four Atlantic provinces participated, reached the following decisions:

ANIP's goal is to reduce the burden of injury in Atlantic Canada. ANIP's role is to provide opportunities to facilitate coordination of injury prevention activities (all injuries, all age

groups) in the following areas: policy development and advocacy, surveillance, program development, evaluation and resources, and research.

Falls Prevention Initiative Project Team and individual projects participate on the ANIP list serve, and attended the ANIP conference in Halifax in October 2001. Projects in Prince Edward Island, New Brunswick, and Newfoundland and Labrador also participate in Provincial Injury Prevention Coalitions.

Other activities of the Health Canada/Veterans Affairs Canada Falls Prevention Initiative Team

Partnerships: The Interdepartmental Partnership with Official Languages Communities has provided 50% of the budget for two Francophone projects.

Project visits: Members of the Health Canada/Veterans Affairs Canada Falls Prevention Initiative Management Team periodically visited each of the seven projects.

Newsletters: The first Falls Prevention Initiative Newsletter was distributed in April 2002, with 25 copies mailed to each project. The newsletter is published in English and French. Two editions are planned for 2002-2003.

Information:
- Sally Lockhart, of Spectrum Solutions, prepared an environmental scan.
- The "You Can Prevent Falls" action kit was mailed to each project in April 2002. The kit contains reproducible fact sheets, a CD ROM and a falls prevention assessment worksheet.
- Bochure-holder pilot project: a holder for two Veterans Affairs Canada-designed brochures was produced. Each project received 10 holders, a supply of brochures and a track form. The pilot will examine whether placing such information in medical offices can be effective in reaching isolated seniors.

NEXT STEPS FOR THE FALLS PREVENTION INITIATIVE

The Falls Prevention Initiative is scheduled to wrap up by March 31, 2004. Over the coming months project sponsors will complete their specific activities for Phases II/III. They will also be concluding a formal evaluation of their projects. The evaluation will provide information and learning to them and to the Health Canada/Veterans Affairs Canada team to help improve future efforts. In recognition of the importance of evaluation, and the amount of additional work required, Health Canada/Veterans Affairs Canada have increased their budgets to allow projects to hire professional evaluation services.

In 2002-2003 an interim evaluation will consider program delivery and progress. The final evaluation in 2003-2004 will look at aspects of the initiative, including relevance, impact, knowledge, capacity, unintended impacts, cost effectiveness, and lessons learned.

Plans for 2002-2003 include providing support for evaluation, two editions of the newsletter, holding meetings with provincial representatives to discuss falls prevention and the initiative, and continuing to maintain and build linkages and networks, e.g., staying involved with ANIP, linking with the research being done at Acadia University.

CASE STUDY APPENDIX D.1
FALLS PREVENTION INITIATIVE GOALS
AND OBJECTIVES

The goals of the Falls Prevention Initiative are described in a Memorandum of Understanding between Veterans Affairs Canada and Health Canada:

- to advance our understanding and knowledge of effective falls prevention interventions directed to veterans and other seniors using a population health approach;

- to develop the capacity of veterans and other community organizations to develop sustainable community-based health promotion programs addressing falls prevention using the population approach; and

- to strengthen the capacity within the two departments to deliver health promotion programming to older Canadians using the population health approach.

The objectives of the initiative are:

- to assess the health status impact of funded intervention projects and their potential for improving the quality of life and reducing health care utilization and costs;

- to gather, synthesize, and disseminate evidence regarding falls prevention interventions and their impact on an aging population;

- to identify the most promising models of intervention for falls prevention directed at the target population;

- to understand the barriers and facilitators to developing sustainable community partnerships for effective falls prevention programs;

- to increase the involvement of, and promote new partnerships between Veterans Affairs Canada and the target group and other seniors in health promotion community programs and initiatives; and

- to promote the population health approach within the target community of veterans and seniors.

CASE STUDY APPENDIX D.2
POPULATION HEALTH

The following description of the population health approach is taken from *Toward a Healthy Future: Second Report on the Health of Canadians (*Federal, Provincial and Territorial Advisory Committee on Population Health, 1999), p. 7.

Population health is an approach to health that aims to improve the health of the entire population and to reduce health inequities among population groups. In order to reach these objectives, it looks at and acts upon the broad range of factors and conditions that have a strong influence on our health.

These factors, referred to as 'determinants of health', include income and social factors, social support networks, education, employment, working and living conditions, physical environments, social environments, biology and genetic endowment, personal health practices, coping skills, healthy child development, health services, gender, and culture. Crucial to this definition is the notion that these determinants do not act in isolation from each other. It is the complex interactions among these factors that have an even more profound impact on health.

Because many 'determinants of health' fall outside the health sector, those working in the health sector must forge new relationships with groups not normally associated with health but whose activities may have an impact on health. For example, Health Canada worked with the Ministry of Transport to develop healthy public policy concerning smoking regulations for various modes of public transit.

In January 1997, the Federal, Provincial and Territorial Advisory Committee on Population Health (ACPH) defined population health as follows: Population health refers to the health of a population as measured by health status indicators and as influenced by social, economic, and physical environments, personal health practices, individual capacity and coping skills, human biology, early childhood development, and health services. As an approach, population health focuses on the interrelated conditions and factors that influence the health of populations over the life course, identifies systematic variations in their patterns of occurrence, and applies the resulting knowledge to develop and implement policies and actions to improve the health and well-being of those populations.

CASE STUDY APPENDIX D.3
POPULATION HEALTH FUND:
LATER LIFE PRIORITIES

1. Promoting healthy aging and addressing factors leading to illness, disability and death

Increased risk of illness, disability, and premature death in later life are associated with many factors, including social isolation, poverty, poor literacy, poor nutrition, and lack of physical activity. Senior women are often most at risk. The challenge for action is to develop the most effective strategies to expand the disability-free years of life, to reduce the occurrences of chronic diseases and disabilities, and to improve the health of seniors.

2. Strengthening the capacity to support healthy aging

As Canadians live longer, it is important to enhance their capacity to age well, through supportive informal networks, enabling communities and formal service systems that support their health and well-being. The challenge for action is to foster personal support networks, caring communities, and appropriate health, social and other systems that support health aging.

3. Enhancing personal autonomy and independence

One of the most significant issues affecting healthy aging is enabling seniors to maintain personal autonomy and influence over decisions that affect them, particularly during critical periods of transition (e.g., loss of spouse, institutionalization, etc.). In addition, safe and supportive living environments are essential for healthy aging and for reducing the risk of injuries and harm. The challenge for action is to find the best ways to foster the personal, social and physical environments which enable seniors to reach their full potential as contributing members of society.

4. Addressing concerns surrounding the end of life

End-of-life care and ethical concerns will become increasingly sensitive issues as the population ages. Continuing advances in medical technology, the reform of the health care system, and increased legal debate will generate greater public attention. The challenge will be to develop appropriate responses with and for Canadian seniors.

CASE STUDY APPENDIX D.4
APPLICATION PROCESS:
SCOPE AND ELIGIBILITY CRITERIA

Phase II and III projects were regional/district: in scope and design, implementation and activities, target group and partner participation, impacts and outcomes.

Applications were taken from Canadian volunteer not-for-profit organizations and educational institutions. Individual applicants were not eligible. Applicants were required to demonstrate their capacity to undertake the proposed activity and meet the mandatory criteria.

The target population was community-dwelling veterans, seniors and their caregivers. Applicants must clearly describe the active involvement of the target group in the planning, implementation and evaluation of the project.

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