Outcomes-focused Policy Making in Scotland

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"The right boundary for thinking about a problem rarely coincides with the boundary of an academic discipline, or with a political boundary. Rivers make handy borders between countries, but the worst possible borders for managing the quantity and quality of the water. Air is worse than water in its insistence on crossing political borders. National boundaries mean nothing when it comes to ozone depletion in the stratosphere, or greenhouse gases in the atmosphere."

Donella Meadows, Thinking in Systems: A Primer

Introduction

Introduction

This toolkit is designed to support Scottish policy making to be more joined up and coherent, across policy areas both within Scotland and internationally. The problems Scottish policy making aims to tackle are increasingly complex and exist across geographic and thematic boundaries. Our policy response needs to recognise and reflect this.

This tool is aimed at all those developing and implementing policy in the Scottish Government and its associated public bodies. It is designed to support holistic policy making that reflects the complex reality of our interconnected world.

It will help you think about developing policy that takes into account links and interdependencies to other policy areas, locally and globally. It will help you and your team to think through a policy area and how it is informed by, and contributes to, Scotland's National Performance Framework (NPF) and the United Nations' Sustainable Development Goals (SDGs).

The tool has two parts:
- *Part 1:* A general overview of the SDGs, the NPF, and the link between the two.
- *Part 2:* Practical Process – A step-by-step guided process to encourage a holistic, joined up approach to policy making.

When Should I Use the Tool?

This tool can be used at any stage of policy making but is particularly effective in the early stages of policy development: reviewing existing policy and defining the problem as well as early policy formulation and outcomes setting.

This is not a complete guide to policy making, further guidance can be found in the Scottish Government Policy Profession Digital Curriculum.

A Global Citizenship Approach

A global citizenship approach is one that recognises our world as an increasingly complex web of connections and interdependencies. One in which our choices and actions may have repercussions for people and communities locally, nationally or internationally.[1] With a focus on values, global citizenship education aims at changing actions and attitudes. It enables people to think critically, to see things globally, while acting locally, and to make informed decisions that are coherent with sustainable development. Global citizenship tools and methods have been used throughout this document.

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1 http://www.ideas-forum.org.uk/about-us/global-citizenship

Policy Coherence for Sustainable Development

The activities featured in this resource and the discussions it aims to initiate support a move towards enhancing Policy Coherence for Sustainable Development (PCSD). Listed in the Sustainable Development Goals under Target 17.14, PCSD is a way of different parts of government, or society more broadly, working together to find the most effective results, ensuring the work of one part does not undermine the work of another.[2] It is an approach to policy making that is critical to ensuring that our actions here and now, do not impact negatively elsewhere or into the future. It is relevant to all parts of the policy process.

Current Context

At the time of writing this resource, the Covid-19 pandemic is radically changing our communities in Scotland and those around the world. Our ways of living, working, learning and connecting have altered. The pandemic has emphasised local-global interconnections, demonstrating that individual countries cannot operate in isolation and that a holistic approach to problem solving and policy making is needed. Covid-19 has highlighted and exacerbated pre-existing challenges and inequalities. It has brought into sharp relief the difficulties posed by complex global problems, like the pandemic, as well as the ongoing climate emergency.

We cannot tackle these issues in isolation, country by country, and sector by sector. They require us to be holistic in our policy making and understand we are part of a bigger system, where the decisions we make and the actions we take have an impact on others locally and globally, now and in the future. This resource embraces the idea of interconnectedness, namely that the world is complex, messy, and that we are interconnected and interdependent both with each other and the planet we share.

> **"Before you finish eating breakfast in the morning, you've depended on more than half of the world. This is the way our universe is structured, its interrelated quality."**
>
> Martin Luther King

Part 1
The SDGs & The NPF

The Sustainable Development Goals (SDGs)

The UN Sustainable Development Goals are an urgent and universal call to action to create a better world by 2030 to end poverty, eradicate inequality and protect the planet. Each of the 17 goals has associated targets and performance indicators. The SDGs apply to every country in the world including Scotland and are the responsibility of governments, businesses, civil society and citizens to deliver. The SDGs are about 'Leaving No One Behind', including communities in other countries impacted by what we do in Scotland. Each goal has a number of targets and indicators and you can find more detailed information about them here.

In Scotland there is an open coalition, the SDG Network Scotland, that any individual or organisation can join, where the SDGs are championed and delivered by all.

The goals are designed to be interdependent and no one goal is more important than another. The success or failure to meet one target impacts on the success and failure of the others.

Definition of sustainability:
Going forward our societies should improve the capability of all people to meet their needs while not reducing the ability of subsequent generations or those who live outwith Scotland to meet theirs.

Essential conditions of sustainability:

1. We cannot damage the environmental systems that make human and all other life possible and bearable.
2. Our economic, political and cultural systems cannot favour some people while harming others.
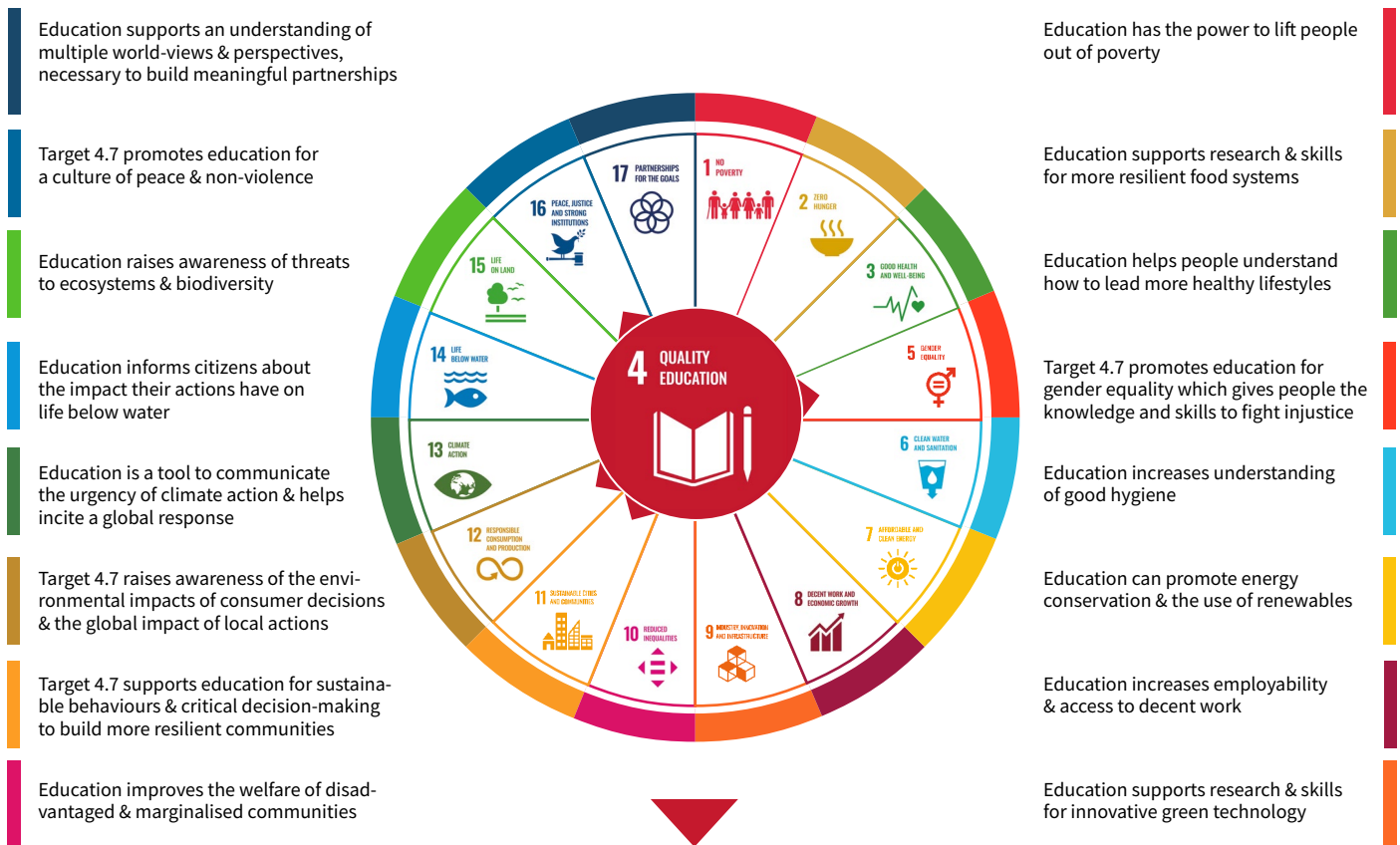(Scottish Parliament, SDIA Tool)

THE GLOBAL GOALS
For Sustainable Development

The figure below shows how SDG 4: Quality Education, and Target 4.7 within this wider goal, is linked to the progress in every other goal.

Not only does there need to be collective action at a global level to ensure the goals are met by 2030, but individual countries are committed to deliver them domestically. Scotland was an early adopter of the Sustainable Development Goals, committed both to implementation at home and globally.

Education supports an understanding of multiple world-views & perspectives, necessary to build meaningful partnerships

Target 4.7 promotes education for a culture of peace & non-violence

Education raises awareness of threats to ecosystems & biodiversity

Education informs citizens about the impact their actions have on life below water

Education is a tool to communicate the urgency of climate action & helps incite a global response

Target 4.7 raises awareness of the environmental impacts of consumer decisions & the global impact of local actions

Target 4.7 supports education for sustainable behaviours & critical decision-making to build more resilient communities

Education improves the welfare of disadvantaged & marginalised communities

Education has the power to lift people out of poverty

Education supports research & skills for more resilient food systems

Education helps people understand how to lead more healthy lifestyles

Target 4.7 promotes education for gender equality which gives people the knowledge and skills to fight injustice

Education increases understanding of good hygiene

Education can promote energy conservation & the use of renewables

Education increases employability & access to decent work

Education supports research & skills for innovative green technology

Target 4.7 by 2030 ensure all learners acquire knowledge and skills needed to promote sustainable development, including among others through education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship, and appreciation of cultural diversity and of culture's contribution to sustainable development.

National Performance Framework

The National Performance Framework (NPF) is Scotland's way to localise the SDGs. The NPF sets out 11 National Outcomes to which relevant SDGs are mapped. Each National Outcome has associated indicators which are tracked and publicly reported on.
www.nationalperformance.gov.scot.

The figure on the following page shows how the 17 SDGs are localised and translated into Scotland's 11 National Outcomes.

A fairer Scotland for people and planet

OUR PURPOSE
To focus on creating a more successful country with opportunities for all of Scotland to flourish through increased wellbeing, and sustainable and inclusive economic growth

OUR VALUES
We are a society which treats all our people with kindness, dignity and compassion, respects the rule of law, and acts in an open and transparent way

Outcomes around the wheel:
- We have a globally competitive, entrepreneurial, inclusive and sustainable economy
- We are open, connected and make a positive contribution internationally
- We tackle poverty by sharing opportunities, wealth and power more equally
- We live in communities that are inclusive, empowered, resilient and safe
- We grow up loved, safe and respected so that we realise our full potential
- We are well educated, skilled and able to contribute to society
- We have thriving and innovative businesses, with quality jobs and fair work for everyone
- We are healthy and active
- We value, enjoy, protect and enhance our environment
- We are creative and our vibrant and diverse cultures are expressed and enjoyed widely
- We respect, protect and fulfil human rights and live free from discrimination

SDGs around wheel:
1 No Poverty
2 Zero Hunger
3 Good Health and Well-being
4 Quality Education
5 Gender Equality
6 Clean Water and Sanitation
7 Affordable and Clean Energy
8 Decent Work and Economic Growth
9 Industry, Innovation and Infrastructure
10 Reduced Inequalities
11 Sustainable Cities and Communities
12 Responsible Consumption and Production
13 Climate Action
14 Life Below Water
15 Life on Land
16 Peace, Justice and Strong Institutions
17 Partnerships for the Goals

National outcomes and indicators:

Economy
- Productivity
- International exporting
- Economic growth
- Carbon footprint
- Natural Capital
- Greenhouse gas emissions
- Access to superfast broadband
- Spend on research and development
- Income inequalities
- Entrepreneurial activity

International
- A positive experience for people coming to Scotland
- Scotland's reputation
- Scotland's population
- Trust in public organisations
- International networks
- Contribution of development support to other nations

Poverty
- Relative poverty after housing costs
- Wealth inequalities
- Unmanageable debt
- Cost of living
- Persistent poverty
- Satisfaction with housing
- Food insecurity

Communities
- Perceptions of local area
- Loneliness
- Perceptions of local crime rate
- Social capital
- Crime victimisation
- Access to green and blue space
- Places to interact
- Community land ownership

Children
- Child social and physical development
- Child wellbeing and happiness
- Children's voices
- Healthy start
- Quality of children's services
- Children have positive relationships
- Children's material deprivation

Education
- Educational attainment
- Confidence of children and young people
- Resilience of children and young people
- Work place learning
- Engagement in extra curricular activities
- Young people's participation
- Skill profile of the population
- Skill shortage vacancies
- Skills under-utilisation

Fair Work and Business
- The number of businesses
- High growth businesses
- Innovative businesses
- Economic participation
- Pay gap
- Employees on the living wage
- Contractually secure work
- Employee voice
- Gender balance in organisations

Health
- Healthy life expectancy
- Mental wellbeing
- Health risk behaviours
- Journeys by active travel
- Physical activity
- Work related ill health
- Quality of care experience
- Premature mortality
- Healthy weight

Environment
- Visits to the outdoors
- State of historic sites
- Condition of protected nature sites
- Biodiversity
- Energy from renewable sources
- Sustainability of fish stocks
- Marine environment
- Waste generated

Culture
- Attendance at cultural events or places of culture
- Participation in a cultural activity
- Growth in cultural economy
- People working in arts and culture

Human Rights
- Public services treat people with dignity and respect
- Access to justice
- Quality of public services
- Influence over local decisions

SDGs and National Performance Framework integration:

- SDG 1 - No Poverty
- SDG 2 - Zero Hunger
- SDG 3 - Good Health and Well-being
- SDG 4 - Quality Education
- SDG 5 - Gender Equality
- SDG 6 - Clean Water and Sanatation
- SDG 7 - Affordable and Clean Energy
- SDG 8 - Decent Work and Economic Growth
- SDG 9 - Industry, Innovation and Infrastructure
- SDG 10 - Reduced Inequalities
- SDG 11 - Sustainable Cities and Communities
- SDG 12 - Responsible Consumption and Production
- SDG 13 - Climate Action
- SDG 14 - Life Below Water
- SDG 15 - Life on Land
- SDG 16 - Peace, Justice and Strong Institutions
- SDG 17 - Partnerships for the Goals

As with the SDGs the relationships between the National Outcomes are critical for effective delivery. Whilst one of the National Outcomes focuses specifically on Scotland's role in the global community – "We are open, connected, and make a positive contribution internationally" – every single one of the other Outcomes has a significant impact on other countries and delivery of the SDGs. For example, how and what we teach our children at school affects their attitudes, beliefs, behaviours and consumption habits which has an impact on producers around the world. As outlined in SDG Target 17.14, Policy Coherence for Sustainable Development means finding joined-up ways of working together where intended and, just as crucially, unintended consequences of policy are taken into account.

Whilst the Scottish Government has committed to focusing its planning, activities and spending on the delivering National Outcomes and therefore the SDGs, the SDGs cannot be achieved in isolation. There needs to be a collective effort that includes the public and private sectors, civil society and citizens.Local, organisational or project level outcomes should be mapped onto the NPF National Outcomes during the policy making process. For example, Scotland's Environment Strategy sets out a long-term vision supported by six outcomes, and shows how these outcomes will contribute to the National Outcomes and SDGs:

For more information on the National Performance Framework or other elements of this resource, please get in touch with the team at NationalPerformance@gov.scot

Part 2
Practical Process

Introduction

We have used the Scottish Government outcomes policy making approach to structure this section of the toolkit and have integrated global citizenship thinking and tools right across it. This toolkit is designed to be used collaboratively with a range of stakeholders to support policy making that understands and meets their needs.
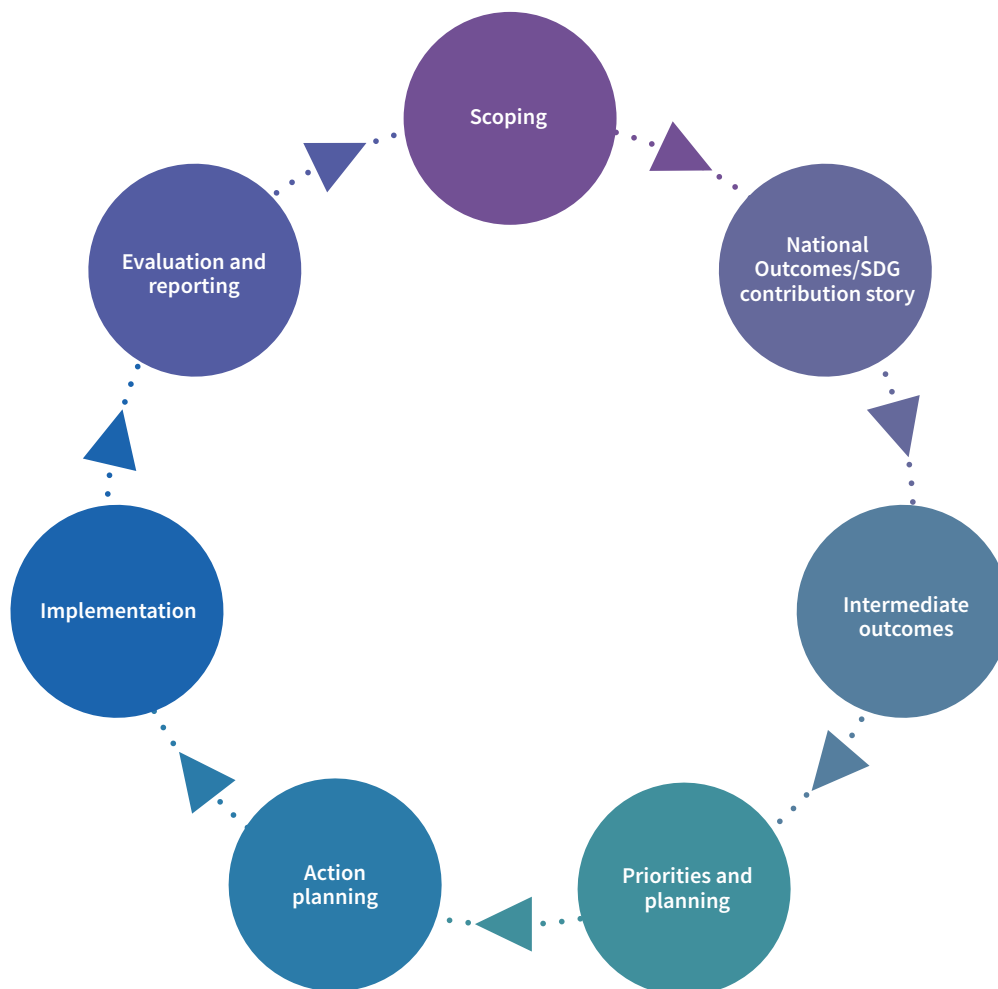
Scottish Government outcomes-based policy making

This process is a starting point whilst also recognising that policy making is complex, non-linear and can vary across teams and directorates.

Each element of the process has a series of key questions to think about and where appropriate one or more activities you can use to help you discuss the questions and encourage a holistic approach. The questions are drawn from the OECD Policy Coherence for Sustainable Development Toolkit, the Scottish Parliament Sustainable Development Impact Assessment Tool and global citizenship education insights from the IDEAS Network.

A global citizenship approach is designed to enable you to step back from business as usual, leading towards a shared and creative engagement with the SDGs and the NPF and how they can become fully coherent and integrated across Scottish Government policy processes.

Those using this process will recognise that they are already engaged with many of the questions raised. Global citizenship as an approach draws on skills and values that resonate with many of those active in strategic advocacy and policy making in Scotland. The SDGs, NPF and Policy Coherence for Sustainble Development are not new, however, their delivery and the systems thinking that underpins them is not straightforward and depends heavily on building shared commitment, enthusiasm and drive. The current crises of the coronavirus pandemic and the climate and ecological emergencies make such cross-government intra- and international working more crucial than ever.

Tips for Using this Tool

You don't need to work through the sections and questions in the order they appear, nor do you need to use every activity within each section. Choose those that best suit your focus. Most of the activities are designed to be participative and engaging and you will usually need some pens, paper (or the digital equivalent) and people. Detailed information and instructions for each activity can be found in the Resources section at the end of this toolkit.

1. *Encourage participation and work collaboratively*
   Include voices and insights of those who are directly and indirectly affected by the policy area you are working in right from the start. Think about the barriers to participation that groups or individuals might face and take action to dismantle those barriers. Seek the advice of those who can help you design participative and inclusive processes.
2. *Think broadly*
   Every policy decision has an impact, both positive and negative, not just on the specific issue under consideration but on other policy areas, including some that are not immediately obvious. Keep your mind open to boundaries and interconnections.
3. *Allocate time*
   Working participatively and collaboratively takes time. Allocating and protecting time to work in partnership with others can generate more considered policy and better decision making and is essential to deliver on the National Outcomes and SDGs.

These tools can be easily adapted to work in an online environment, for example, by using online whiteboards.

1. Scoping

Consider the below questions to help you understand the scope of your work and crucially who should be involved.

Key Questions

- **Who or what is driving the policy review or development?**
- **What information or evidence do you have to assess the need for policy change in this area?**
- **What information or evidence do you have to assess the effectiveness of existing policies in this area?**
- **At this stage, how much change do you think there will be to existing policies?**
- **What timescale are you working to?**

Stakeholders

Engaging with stakeholders, both those that will be affected by the policy and those who have power to influence it, will enable you to have a deeper and more nuanced understanding of need, problems and potential solutions. This toolkit is designed to be used collaboratively across Scottish Government and with a range of stakeholders – individuals and organisations – who are interested in or affected by the policy area.

These questions and activities help you to identify and prioritise stakeholder engagement.

Key Questions

- **Who is affected by the issue/policy?**
- **Who influences the issue?**
- **Who are your allies and opponents?**
- **What resource do you have to engage with stakeholders?**
- **What barriers are there to stakeholder engagement?**
- **How might you dismantle those barriers?**
- **How can the policy making process be structured so that diverse viewpoints are heard?**

Identifying stakeholders

To identify your stakeholders, brainstorm all the people, groups and organisations that are affected by or influence the issue you are considering. You might find it useful to note each stakeholder on a separate post it note.

Top Tips

- **Whilst it is important to note groups and organisations, you will need to engage with people so where possible be specific about who within an organisation you mean.**
- **Think broadly about who is affected by or influences the issue and question the boundaries of influence.**

Mapping stakeholders

Mapping your stakeholders helps you to understand who to engage and prioritise in your policy development.

Activity	Purpose ● ● ●
Circles Mapping *(p22)*	Encourages you to think about how important stakeholders are to the poilcy area
Impact/Influence Matrix *(p23)*	Explores the influence stakeholders have over policy and decision making and the extent to which they are impacted by the policy in question. Helps to identify those who may be marginalised by policy making processes to develop more inclusive ways of working.

Engaging stakeholders

Not all stakeholders need to be engaged in the policy making process in the same way. Engagement needs to be meaningful, proportionate, respectful and appropriate.

Activity	Purpose ● ● ●
Stakeholder Engagement Plan *(p24)*	To help you to explore how to engage stakeholders and develop an inclusive process

2. National Outcomes/SDG Contribution Story

This part of the process encourages you to explore and identify the links between your policy areas and the National Outcomes and SDGs. The National Outcomes and SDG wheel infographic on page 7 details the National Outcomes and their associated SDGs. Use this to think how your policy area links to others. This is just the start of thinking about these interconnections so you don't need to go into too much detail at this stage.

Key Questions

- **How does your policy area link to each of the 11 National Outcomes and associated SDGs?**
- **Which of the National Outcomes does your policy area link most strongly to?**
- **How do you know this? What evidence do you have?**
- **What counts as evidence?**

Top Tip

- **Make sure you consider each of the 11 Outcomes and 17 SDGs even if at first there is no obvious link.**

Activity	Purpose	● ● ●
Outcomes Ranking *(p25)*	To consider which National Outcomes and SDGs your policy links most strongly to	

3. Intermediate outcomes

Once we have identified which of the National Outcomes and SDGs your issue links to then it's time to really dig down in to the problem you are trying to solve, understand the need you are addressing, explore interconnections and relationships to other policy areas and develop potential solutions and outcomes. Crucial here is to recognise that our knowledge is partial and subjective and to ask ourselves what voices are dominant and what perspectives are missing or need greater prominence. We can work to develop a much deeper understanding of the problem or need in all its complexity.

Understanding the problem/issue: Key questions

- What is the issue or problem?
- What do we know already?
- What assumptions do we make when thinking about the problem?
- What values and perspectives do participants bring to the discussion?
- Whose voices and perspectives are being heard and who is marginalised?
- What are the causes and consequences of the issue/problem?
- What are the interconnections between causes and consequences?
- Who is [most] affected by the issue?
- How are their perspectives included?

Activity	Purpose
Individual, Social, Material (ISM) *(p26)*	To explore the policy problem from different perspectives
Johari's Window *(p27)*	To explore values and perspecticves of stakeholders
Problem Tree Analysis *(p28)*	To break down and map a problem/issue, causes and effects and explore interconnections

Developing intermediate outcomes: Key questions

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- **What is the overall change we want to see – the vision?**
- **Have you explored and imagined alternative futures?**
- **Which of the SDG targets are relevant to that vision?**
- **Which of the NPF indicators are we aiming to influence?**
- **What are the intermediate outcomes (policy or programme level outcomes)?**
- **What does success look like for each intermediate outcome?**
- **How might your intermediate outcomes undermine progress in other policy areas, national outcomes or SDGs?**
- **How might your intermediate outcomes enhance progress in other policy areas, national outcomes or SDGs?**

The two questions highlighted above are the most important to consider in this section and form the basis for the next stage of the policy making approach. These questions are essential for developing holistic and joined up policy. You will need to consider these questions carefully and document your discussions. Considering these questions fully will likely create more work but result in better policy making.

Activity	Purpose	● ● ●
Solution Tree Analysis *(p28)*	To map possible solutions and effects together and explore the interconnections	

4. Priorities and planning

The interconnected nature of SDGs and the National Outcomes requires policies that systematically consider and plan for synergies and trade-offs across the policy landscape and consider economic, social and environmental dynamics. Policy coherence across the policy landscape is critical to ensure that progress in one National Outcome or SDG supports or does not undermine progress in other outcomes or goals. This stage of the policy process is concerned with more detailed planning, mapping interconnections, identifying synergies and trade-offs and agreeing policy priorities.

Key Questions: How are we doing?

- **What does the evidence and our stakeholders tell you about where we currently are in Scotland in achieving the intermediate outcomes?**
- **Where are we falling short?**
- **Are there things you are currently doing that have a weak evidence-base or a poor link to National Outcomes/SDGs that you should reconsider?**

Understanding interconnectedness

These questions on interconnectedness and the discussions and activities that accompany them are the core of this toolkit and the most important part of this process. They represent the difference between policy that takes account of sectoral needs only and policy that is truly holistic and joined up. It is also the section of the toolkit that creates the most work. Investing time in building relationships and effective communication is an integral part of interconnectedness and crucial to success.

Key Questions

- **How do the planned policy outputs contribute to achieving the National Outcomes and Sustainable Development Goals?**
- **How have you engaged across Scottish Government teams and directorates?**
- **How have you engaged with expertise outwith Scottish Government – communities, organisations and academics?**
- **Is engaging across Scottish Government teams and directorates given equal weight and value to in-field expertise?**
- **What are the power relationships between different departments and between departments and cross-government processes?**
- **How are you moving from sectoral perspectives (e.g. agriculture, education, trade, water, energy) towards more integrated decision-making processes and an "issues-oriented" agenda (e.g. poverty, climate change)?**

Synergies and trade-offs

Policy making can be a politicised process. The impetus for policy change comes from a variety of sources and stakeholders but can also come from election manifestos and political priorities. Whilst the NPF is not intended to be a political tool, we must recognise the political nature of policy making that feeds into it, as this affects how we deal with trade-offs in the process.

Key Questions

- **What potential synergies and trade-offs have been identified? How have they affected the policy you are developing?**
- **What are the economic, social, and environmental costs of the policy decisions considered?**
- **How have you considered and documented economic, social, and environmental policy interconnections (synergies and trade-offs)?**
- **Does the policy produce unintended effects, positive or negative, that could affect the well-being of people living in other countries?**
- **Which groups would be affected and how? How can the unintended negative effects be mitigated? How are the trade-offs affected by the political nature of the policy making process?**
- **How have the potential direct or indirect long-term effects on well-being of future generations been identified?**

Top Tips

- **'Glocalise' - think globally, act locally. Connect local problems to global issues and global problems to local issues. Highlight interrelationships and power differentials – not just doing activity 'out there', while inequality and injustice is ignored closer to home or just acting locally, while ignoring how it might be, directly or indirectly, related to systems of inequality and injustice elsewhere in the world.**

Activity	Purpose	● ● ●
Mapping Interconnections - Futures Wheel *(p31)*	To explore interconnections between policies	
Synergies and trade-offs-Futures Wheel *(p32)*	To understand the potential impact of a policy on local and global communities both now and in the future	

5. Action plan

This stage of the process involves using your priorities to develop an action plan based on the evidence. You can use tools like logic modelling to show the inputs and actions that will contribute to outputs, outcomes and impact and identify where joint working with other partners and/or policy areas would be beneficial. As with all stages of the process, engage and collaborate with your stakeholders about the feasibility of proposed actions right from the start e.g. *do actions require additional staff or new skills? How long will these take to develop? Is there the funding available in years 1,2,3? What digital tools might be required? Will there be a need for the procurement of products or services?*

Key questions

- **What inputs and actions will you need to contribute to the outcomes?**
- **What assumptions underpin your action plan?**
- **How do your activities link to intermediate outcomes, National Outcomes and SDGs?**
- **Will the activities improve the connection between people?**
- **How are stakeholders involved in implementation?**
- **Have you built review processes into your action plan?**
- **How will policies be adjusted as new information on negative effects appears in the course of implementation, or as circumstances and priorities change?**

Activity	Purpose	● ● ●
Logic Models *(p33)*	To show how input and actions contribute to outcome	
Theory of Change *(p33)*	To illustrate how and why change is expected to happen and the assumptions underpinning this	

6. Implementation

Monitor and evaluate the implementation of your activities as robustly as possible. Keep assessing and telling your contribution story and be open to evidence that indicates when something is not working (e.g. because it is not achieving intermediate outcomes or contributing effectively towards the National Outcomes and SDGs).

7. Evaluation and reporting

It's important that evaluation is part of the policy development process. The focus is on developing monitoring and evaluation systems that help us understand outcomes, the impact of the policy and its impact on other National Outcomes and SDGs. Key here is an emphasis on learning as well as reporting.

Key Questions

- What monitoring and reporting systems are in place?
- What evidence are you collecting?
- How is academic evidence being sourced and developed?
- How is lived-experience and community-based evidence being sourced?
- What specific indicators have been identified at the national level to measure progress on Policy Coherence for Sustainable Development?
- How will you measure impact locally in Scotland and globally?
- How will you measure short-term and long-term impact?
- How do measures consider the distribution of potential negative and positive impacts?
- Can existing indicators be used to capture policy interconnections and examine co-relations across sectors (e.g. rate of river pollution due to agricultural expansion)? [3]
- What resources and capacity are available to analyse Policy Coherence for Sustainable Development? Is this adequate for the task?
- Is there transparent reporting to parliament and the public on Policy Coherence for Sustainable Development?
- How will policies be adjusted as new information on negative effects appears in the course of implementation, or as circumstances and priorities change?

Top Tips

- Recognise explicitly that agreed indicators only tell part of a story and ensure wider review that encompasses evaluating learning as well as progress – identify key questions.
- Recognise and explore the tension between indicators that are easy to measure and those that are challenging and the relative value of each.
- Ensure that marker indicators are used to hold place for aspects that need to be measured but for which measures do not currently exist.

Appendix 1
Resources

# Scoping - Mapping stakeholders
Circles Mapping

Activity Description: You will map stakeholders onto concentric circles representing their relative importance to the policy area in question.
Purpose: To assess the importance of your stakeholders to better understand who to engage with and prioritise in policy development.

Spend time as a group identifying stakeholders. A stakeholder is an individual or group that is affected by or affects the policy area. Encourage participants to think very broadly at this stage but to be as clear as they can in their written description of the stakeholder.

1. Ask participants to write each stakeholder on a separate post-it note, either in person or using online software and a shared virtual whiteboard.
2. Use the following diagram as a guide to categorise stakeholders by asking participants to place their stakeholders in one of the rings. The rings can be drawn either on a virtual whiteboard or on paper during an in-person meeting.
3. Encourage participants to group similar stakeholders together and open up discussion on stakeholders that appear in different rungs
4. Take a picture or screenshot of the finished circles map.

- *Of interest to engage in the policy area*

- *Important to engage in the policy area*

- *Essential to engage in the policy area*
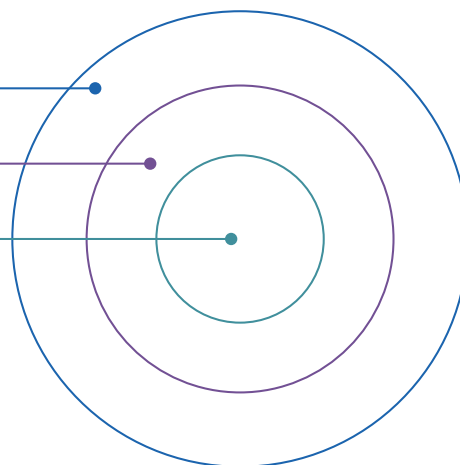
Top Tips

- **Before you start this activity, think about what 'importance' means in your policy area – discuss and agree this amongst the participants**
- **Ensure you include those who are affected by the policy area as well as those who impact on the policy area**

Scoping - Mapping stakeholders
Interest/Influence Matrix

Activity Description: You will map stakeholders on to a 2x2 matrix where participants assess stakeholders according to their interest in a policy issue and how much power they have over the policy issue.

Purpose: To explore the influence stakeholders have over policy and decision making and the extent to which they are interested in the policy in question.

1. Ask each person participating in the activity to think about stakeholders for the policy area under consideration. A stakeholder is an individual or group that is affected by or affects the policy area – think broadly at this stage.
2. Ask participants to write each stakeholder on separate post-it notes, either using online software or paper if the meeting is in-person.
3. Create a matrix like the one below with the vertical line as influence and the horizontal line signifying interest.
4. Categorise stakeholders by placing them onto the matrix. Influence is about the power a stakeholder has to shape and influence the policy making process, whilst interest refers to the extent to which a stakeholder will be impacted by the policy. The impact might be positive or negative.
5. Once all the stakeholders are on the matrix, use the questions below for each of the 4 matrix boxes to discuss how you might prioritise engagement for certain stakeholders.
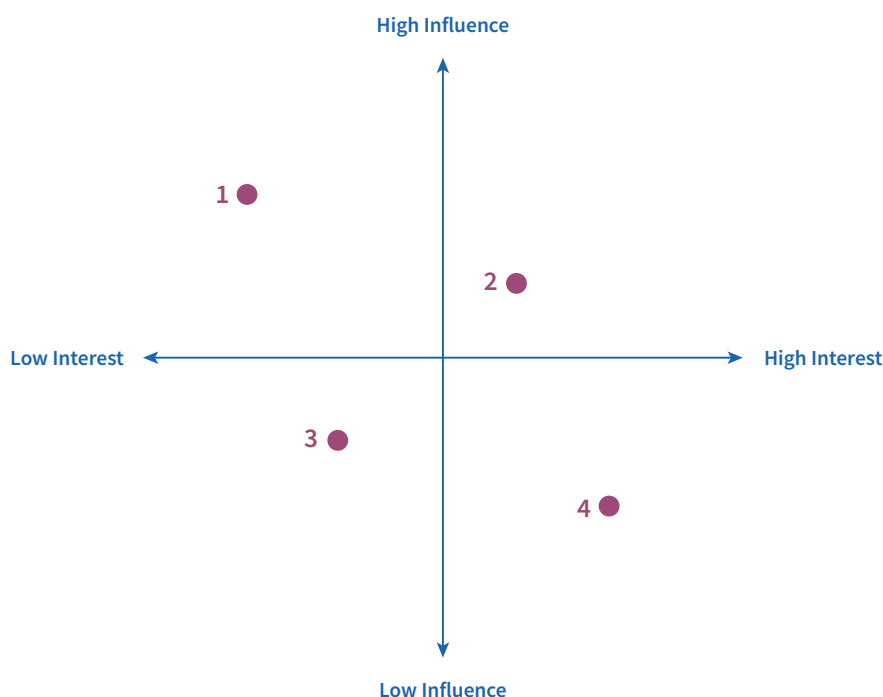
1. High Influence | Low Interest
- *Would our policy making benefit from their involvement?*
- *How do we encourage engagement?*

2. High Influence | High Interest
- *How are they already influencing policy making?*
- *Is this harmful or helpful?*
- *How might they use their power to support those with less power?*

3. Low Influence | Low Interest
- *Should the work involve them?*

4. Low Influence | High Interest
- *How have they been involved so far?*
- *What are their perspectives?*
- *How might we increase their influence?*
- *What barriers might they face to participation?*

Scoping – Engaging stakeholders
Stakeholder Engagement Plan

Activity Description: You will discuss and reach agreement on the levels of participation of stakeholders and how to engage stakeholders in the policy making process.

Purpose: To ensure a variety of perspectives are included in the policy making process.

Not all stakeholders need to be engaged in the policy making process in the same way. Engagement needs to be meaningful, proportionate, respectful and appropriate. Stakeholders may face barriers to participation in the policy making process and careful planning is needed to make sure a variety of perspectives are included.

Developing a stakeholder engagement plan will encourage you to think about the following for each stakeholder:

- Level of participation
- Method of engagement
- Potential barriers to participation and how you will tackle or remove those barriers

Before you start developing your plan consult the IAP2 template for spectrum of participation to support the development of your table:
https://cdn.ymaws.com/www.iap2.org/resource/resmgr/pillars/Spectrum_8.5x11_Print.pdf

You should also look at Scotland's National Standards for Community Engagement:
http://www.voicescotland.org.uk/media/resources/NSfCE%20online_October.pdf

1. Working through your stakeholders one by one, discuss how you might engage with them and what level of participation you are aiming for. Then consider what barriers those stakeholders might face and how you might tackle them. Think carefully about barriers and ask people from that stakeholder group for advice and how they would like to engage.
2. Use the table below to develop your plan.
3. Share your plan with stakeholders for feedback.

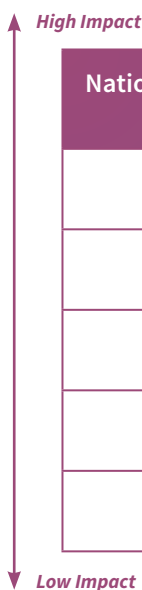| Stakeholder	Level of participation (from the Spectrum of Participation)	Method of engagement	Barriers to participation	How will you tackle the barriers to participation?

National Outcomes/SDG Contribution Story
Outcomes Ranking

Activity Description: Activity to rank the 11 National Outcomes and 17 SDGs according to links to the policy area under consideration.

Purpose: To identify which National Outcomes and SDGs your policy impacts on and to what extent.

1. Split the group into pairs or smaller groups and ask each group to consider all 11 National Outcomes and 17 SDGs. You may wish to spilt the groups into those focused on SDGs and those looking at the NPF to save time.
2. Ask each group to think about to what extent each of the National Outcomes and SDGs is impacted by the policy area under consideration. Impact can be positive or negative. You may wish to use the infographic from page 7 to refresh your memory of both frameworks.
3. Create a version of the template below with two columns. In the first column participants will write the number of the National Outcomes and SDGs they feel have the highest impact, being careful to differentiate between the two. While the second column allows them the space to justify their decision. All 11 Outcomes and 17 SDGs need to be placed on the grid by level of importance, the top row having the highest impact.
4. Ask each group to rank the National Outcomes or SDGs on the grid, either online or in person, and justify their decision. They must consider all Outcomes and SDGs even if at first there is no obvious link. There can be more than one Outcome or SDG on each level.
5. Ask each group to feedback their ranking and open up for discussion where there are differences.

High Impact

National Outcomes & SDGS	Why have you chosen these outcomes and SDGs and what impact do they have?

Low Impact

Intermediate outcomes – Understanding the problem
Individual Social Material (ISM) Model

Activity Description: Using the ISM model, participants will explore the policy problem in greater depth by looking at each of the factors listed in the three different contexts.

Purpose: To encourage participants to be open to other perspectives and view the problem holistically.

You may wish to consult the full ISM model guide on the Scottish Government website here: https://www.gov.scot/publications/influencing-behaviours-moving-beyond-individual-user-guide-ism-tool/pages/1/

1. As a group think of the policy issue your intervention is aiming to address, think of the stakeholder directly involved or impacted.
2. Spilt into three groups and assign each group either Individual, Social or Material. Ask them to work through each of the factors listed in each context and to note down how this factor relates to your policy issue and stakeholders.
3. Come together again as a large group and have each smaller group feedback their thoughts on the factors in each context. Encourage discussion and debate and record your agreed results.
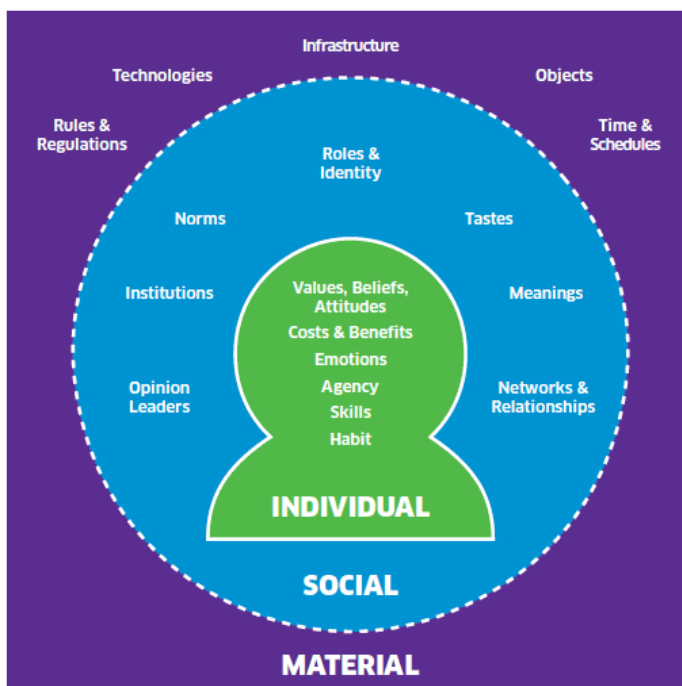
Johari's window[4]

Activity Description: A framework to explore the differences between the knowledge different groups of stakeholders have.

Purpose: Exploring values and perspectives.

1. Show the group the matrix below either by sharing your screen or on flip chart paper in person:

	They know	They don't know
I/We know		
I/We don't know		

2. The facilitator of the group needs to define who 'they' are – this works best if you choose one stakeholder to think about per matrix and work through a number of key stakeholders in this way.
3. Ask participants to think about a particular issue relating to the policy and the stakeholder in question and note down responses for each square. Helpful prompts could be to think about what the main goals or concerns of the stakeholder in question might be.
4. You could ask participants to work individually, in pairs or in small groups to do this giving each different group a different stakeholder to think about. Come together as a group and fill in the table with the ideas discussed for each stakeholder.

Intermediate outcomes - Understanding the problem
## Problem Tree & Solution Tree

Activity Description: This activity allows you to approach both problems and solutions in a creative way and see interconnections from a different perspective by using the structure of a tree – trunk, roots, and branches – to discuss your policy issue.

Purpose: You can use this activity to better understand causes, effects and connections for both a problem and a solution.

This activity is best done in small groups of between 5 and 6 people. Participants can either draw the outline of a tree (trunk, roots and branches) on flip chart paper or an online whiteboard.

The basic structure for both trees is as follow:

	Problem Tree	Solution Tree
Roots	The immediate or underlying causes of this policy problem	The solution or actions that will cause the desired change
Trunk	The policy problem or issue you want to address	The change you want to see as a result
Branches	The immediate and long-term effects	The impact and long-term effects
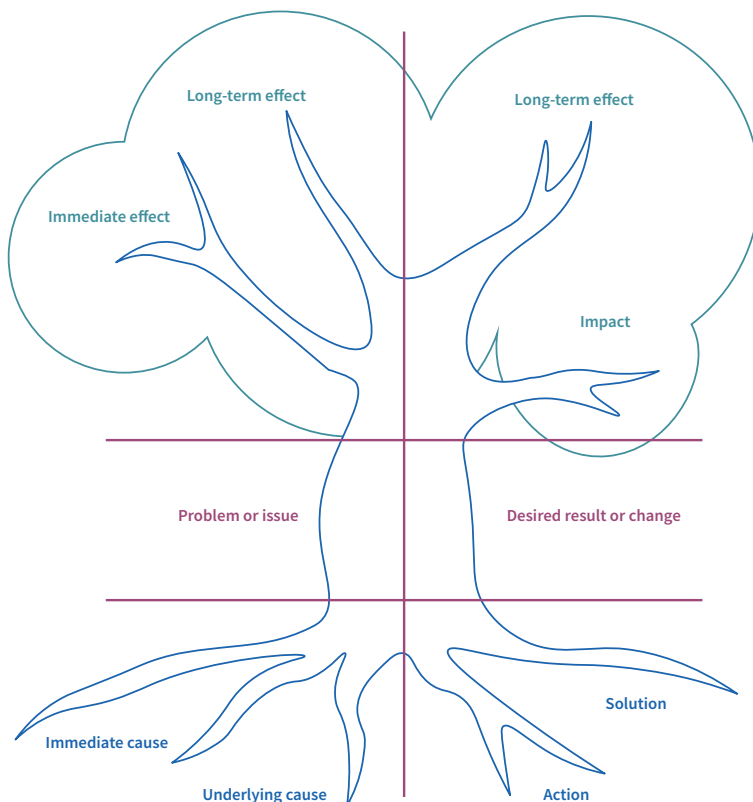
Problem Tree

1. Start by identifying the problem and write this on the trunk of the tree or a post-it and put it in the middle of the page. This first stage can generate debate with different people having a different interpretation of what the problem is. It is worth spending time agreeing the problem and being as specific as possible. A poorly defined problem will generate a vague and unhelpful problem tree. If you find you have identified a number of problems, do a separate tree for each one - a single policy may need a number of problem trees.

2. Identify the causes – this can be done in two ways:

   a. Brainstorm all the possible causes of the problem (make sure you write them in negative language) and write each cause on separate post-it notes – either on paper or virtually. Then organise your possible causes into immediate causes of the problem and underlying causes of the problem. Place the immediate causes of the problem in a row underneath the problem. These are the roots. Then place your underlying causes in rows underneath. Keep going until you can't come up with any more underlying causes

   b. Alternatively, identify the first possible cause and write it on a root. This is your imme-diate cause. Then think about the underlying cause of your immediate cause and write it below. Repeat until you can't come up with any more underlying causes of your initial immediate cause. Identify the next immediate cause and repeat the process.

3. To identify the effects of this problem, follow the same process as you did for the causes but now you are thinking about the effects of the problem which form the branches of your tree. Identify both the immediate effects of the problem and the long-term effects and organise them on your tree. Make sure your effects sit above the causes if there is a link between them.

4. Review and link the parts of your tree together. Once you have identified and ordered your causes and effects, go back and review both to make sure that they make sense, that they are logical and that there is nothing missing. It is important to review the sequence of causes and effects to make sure that they are clear and make logical sense. You can use vertical lines to show cause and effect relationships and horizontal lines to show links between causes or effects.

Solution Tree

This activity works best after first developing a Problem Tree.

1. Start by imagining what you want the future to look like. Ask participants to think about what success looks like using prompt questions if participants need them:
   - What have we achieved?
   - What are we doing differently?
   - Who are our stakeholders? How have they benefitted or been affected by the policy?
   - What difference can we see in people's lives?
   - What do stakeholders say about the policy?
   - What challenges do we face?
   - What have we learned?
   - Who have been the winners and losers?

2. Identify the change you want to see and write this on the trunk of the tree or an online post-it and put it in the middle of your tree outline. Focus on the positive impact or difference you want your policy to make. You are not focused on what you will do but the change you will make.

3. Discuss possible solutions. Think about who or what might need to change. You need to be as clear and specific as you can and write your solutions on the roots of the tree, via your online whiteboard or on post-its in person, and put them underneath the trunk. You can then organise your potential solutions in two different ways:
   - Short term/longer term solutions
   - Immediate solutions/systemic solutions

4. Identify the effects of implementing the possible solutions and place/write them above the trunk – these are your branches. Remember to explore the longer-term effects as well as the immediate ones.

5. Review and link the parts of the tree together. Once you have identified and ordered your solutions and effects, go back and review both to make sure that they make sense, that they are logical and that there is nothing missing. You can use vertical lines to show solution and effect relationships and horizontal lines to show links between solutions or effects.

6. Prioritise, think about which solution:
   - Will affect the most people
   - Will affect those most in need
   - Is most achievable

Priorities and planning
Mapping interconnections – Futures Wheel[5]

Activity: To explore how intermediate policy outcomes impact on other National Outcome or SDG areas.

Purpose: To explore interconnections.

1. Write the intermediate policy outcome in the centre of the page or virtual whiteboard and draw a circle around it.
2. Identify the most likely consequences of this policy. Ask participants to think about the initial direct consequences of the outcome and write them down. These are initial consequences. Remember these can be positive, negative or neutral. Participants should share their initial consequence and the facilitator will note them in individual circles around the outcomes – draw lines to connect the outcome circle and the consequences like a spider diagram.
3. Identify the second stage of likely consequences. Consider each of the initial consequences and brainstorm the direct consequences of these consequences. Again, write these down and draw lines connecting them. You will find it helpful to make your second order consequences a different colour from the first order. You can consider splitting participants into pairs or small groups to consider an initial consequence each.
4. Identify further levels of consequences. You may end up with third and fourth level consequences. Note them down, place them in the relevant place on your wheel or spider diagram and make sure they are causally connected.
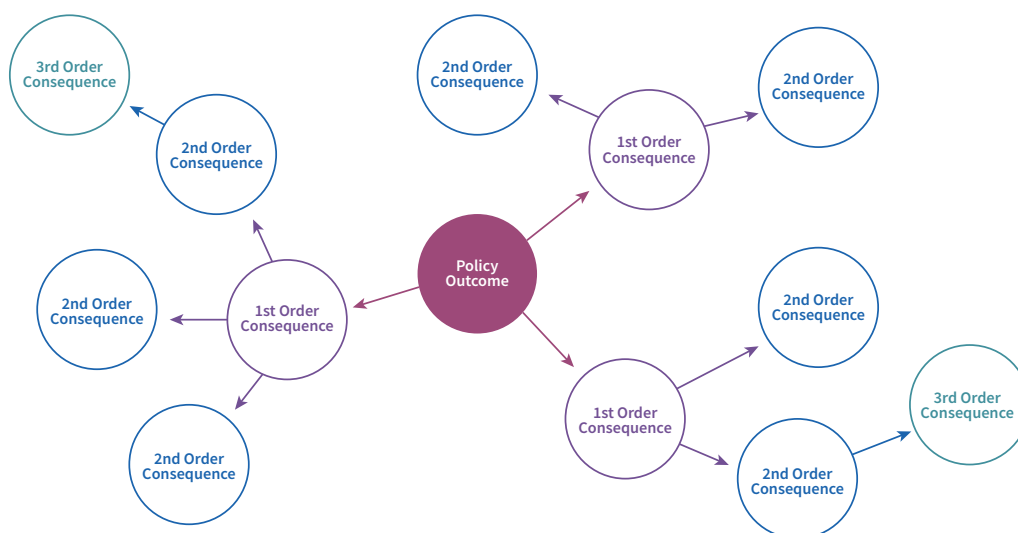
- Writing consequences on post-it notes means you can move the consequences around
- Make sure the group thinks broadly about consequences and includes other National Outcomes and SDG areas in their thinking. You can use the SDG/National Outcomes infographic as a checklist. Encourage participants to think locally and globally, both now and in the future

Synergies and trade-offs – Futures Wheel Analysis

Once the Futures Wheel is complete, you will have a comprehensive picture of the possible consequences of your proposed policy. You can use the futures wheel to then analyse and better understand the synergies and trade-offs of your policy choices.

1. On the completed Futures Wheel, use sticky dots or online coloured stamps to mark consequences as positive (green), negative (red) or neutral (orange). Note that a consequence might be all three.
2. Use the table below to list the consequences.
3. Where consequences are positive, think about what you can do to maximise the impact.
4. For those consequences that are negative think about how you will manage or mitigate the effect. Is the negative consequence so great you need to rethink your policy?

Consequence	Impact	Stakeholder	Description	Action
	Positive, negative, neutral		How does the consequence impact on the stakeholder?	What will you do to maximise or multigate the consequence?

Action planning and Implementation
Logic Model and Theories of Change

These terms are often used interchangeably but serve different purposes.

A theory of change is a visual representation of how and why change is expected to happen and the assumptions that underpin this. A theory of change is effective at a strategic level.
You can find more information about theory of change here. https://www.theoryofchange.org/what-is-theory-of-change/

A logic model is a diagram which shows, step-by-step, why the activities you plan should achieve your aims. It illustrates how a change is expected to happen. A logic model includes inputs, outputs and short, medium and long-term outcomes. Logic models tend to be specific and focussed on the change you are trying to deliver.

You can find more information on logic models here. https://www.gov.scot/publications/5-step-approach-evaluation-designing-evaluating-behaviour-change-interventions/pages/1/