Introduction to Public Policy

Week 9

Policy Implementation:
Execution of Policy Solutions

- Theodolou & Kofinis, pp. 166-188.

Peters, 83-100.

Implementation

Policy Decision:

No more smoking near the buildingentrances

Implementation Problem

Place of Implementation

- Post-decision phase
  - Implementation
  - Evaluation
  - Policy change or termination
- Implementation is the center/focus of the post-decision phase
  - Is the stage where government executes an adopted policy
  - When words are translated into action
  - Design leads to execution & impact
  - Desire for change becomes actual change

Bike Use in Beytepe Campus: Implementation Success or Failure?

'Aktif Kampüs Projesi' kapsamında 160 bisiklet dağıtıldı

Sağlık Bakanlığınca "Aktif Kampüs Projesi" kapsamında Hacettepe Üniversitesine hibe edilen bisikletlerden 160'ı öğrencilere dağıtıldı.

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Sağlık Bakanlığınca "Aktif Kampüs Projesi" kapsamında Hacettepe Üniversitesine hibe edilen bisikletlerden 160'ı öğrencilere verildi.

Hacettepe Üniversitesine hibe edilen bisikletlerden 160'ı, Beytepe yerleşkesindeki kız ve erkek öğrenci yurdunda kalan gençlere dağıtıldı.

BİSİKLETİNİZİ İADE EDİN
YENİ SAHİBİNE VERELİM !

17 Ekim 2016, Pazartesi, 11:00-16:00
18 Ekim 2016, Salı, 11:00-16:00

Yer : Kız yurdu önü bisiklet park alanı

AKTİF KAMPÜS
Hacettepe Üniversitesi
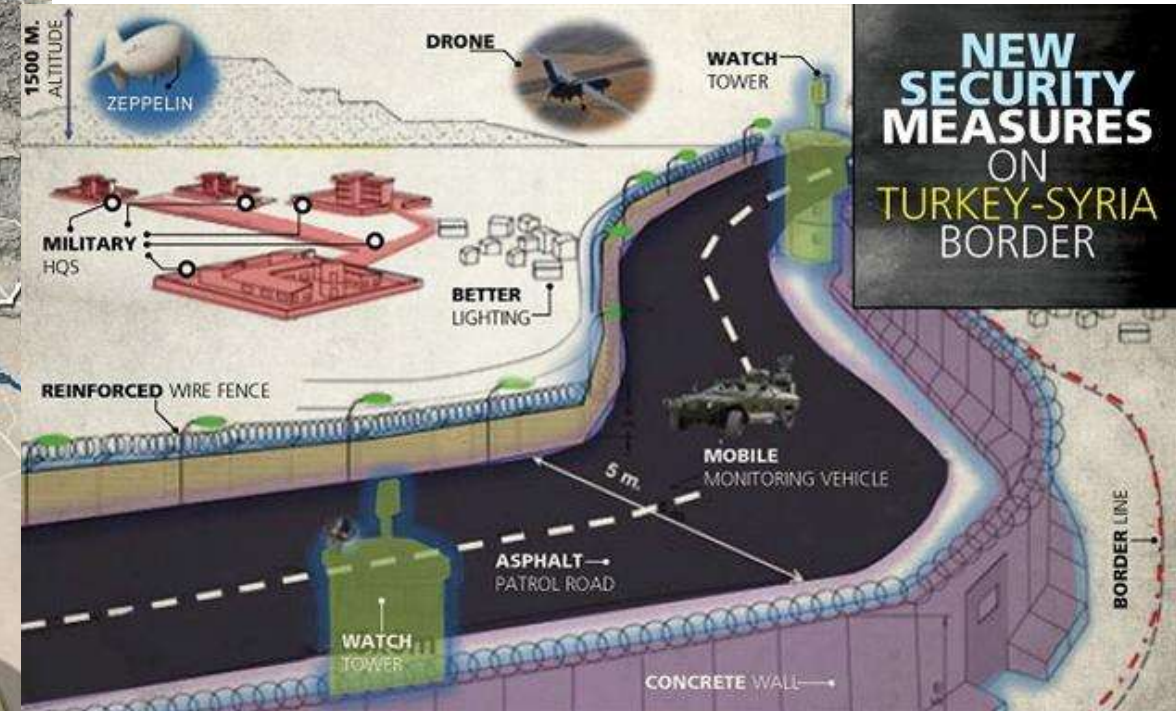
Başvuru için:
www.aktifkampus.org

Definitions of Implementation

- «What happens after a bill becomes a law» (James Anderson)
- «Continuation of politics by other means» (Donald Van Meter)
- «All the activities designed to carry out the laws enacted by the legislative branch of government» (Thomas Dye)
- «Carrying out of a basic policy decision, usually made in a statute (executive orders & court decisions)» (Paul Sabatier & Dan Mazmanian)

Policy Implementation
Example: Building a Security Wall in Turkey-Syria Border
http://www.milliyet.com.tr/suriye-sinirina-duvar-onlemi-gundem-2079793/, December 26, 2016.
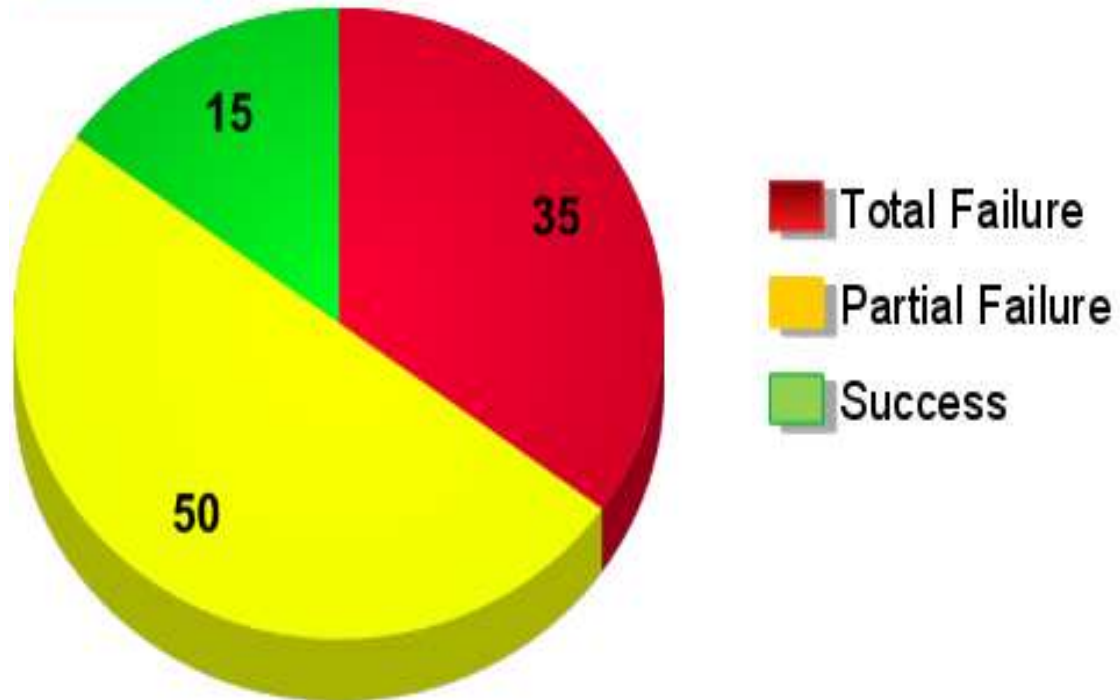
Importance of Implementation

- Until a policy is implemented,
    - We can not know its effect(s) on the target population(s) or for the society.
    - The policy can not be evaluated/judged either as a success or as a failure.

Success or Failure?

eGov Success rate

- Total Failure
- Partial Failure
- Success

R. Heeks, iGovernment working paper 2002

- E-government initiatives in developing/transitional countries:
  - 35% are total failures
  - 50% are partial failures
  - 15% are successes

Implementation: Definitions

- Studying implementation is studying change
  - How does change occur?
  - Study of the political system inside and outside the organization
  - What motivates implementors?

Implementation Example

Adoption: Decision-Making in the British Parliament

Implementation: Bombing of the Islamic State (ISIS) in Syria

First UK air strikes in Syria

TURKEY

Raqqa

Omar oil field

SYRIA Deir al-Zour

CYPRUS

RAF Akrotiri

LEBANON

IRAQ

Damascus

JORDAN

Air strikes
IS control
IS/rebel contested

100km
100 miles

Source: MOD and Institute for the Study of War

BBC

Implementing the **right types** of policies?

- Implementing the policies right or implementing the right policies?

- Thinking about implementation before the policies are designed.

  - Better policy design
  - Stronger foundation of knowledge

Policy Design & Implementation Relationship

		IMPLEMENTATION	
		POOR	GOOD
POLICY DESIGN	POOR	**VERY POOR** NEGATIVE IMPACTS INTENDED & UNINTENDED	**UNINTENDED IMPACT** UNKNOWN EFFECTS
	GOOD	**NO IMPACT** INEFFECTIVE	**EFFECTIVE POLICY** INTENDED IMPACT ACHIEVED

Source: Theodolou & Kofinis, 2004: 169.

Good or Poor (Bad) Design?
Good or Poor Implementation?

Example: Forced Abortion Policy used in China to support one child policy

http://www.aljazeera.com/news/asia-pacific/2012/06/201261534919315890.html, 12/03/2017.

www.aljazeera.com/news/asia-pacific/2012/06/201261534919315890.html

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China apologises to woman forced to abort

15 Jun 2012   f 🐦

Fighting China's one-child policy

CHINA'S ONE-CHILD POLICY WAS INSTITUTED
IN 1979 AS METHOD OF POPULATION CONTROL

China has apologised to a woman who was forced to undergo an abortion seven months into her pregnancy and suspended three officials responsible for the act, state media reported.

Definitions of Implementation

- The stage at which
    - Policy action occurs to address a recognized policy problem,
    - The design of a policy proposal is put into effect,
    - Policies are executed by respective administrative agencies,
    - Selective instruments are applied reflective of the legislative mandate, bureucratic interpretation, and capacity
    - Specified target populations, and the society, experience the first tangible effects of the policy once implemented

Example: Implementing a Sugar Tax to Decrease Obesity

Güvenli | https://www.theguardian.com/society/2017/feb/22/mexico-sugar-tax-lower-consumption-second-year-running

Health

Mexico's sugar tax leads to fall in consumption for second year running

Health experts are watching the progress of the tax to see if it will lower the rates of obesity-related diseases and type 2 diabetes

13,105

Sarah Boseley Health editor

Wednesday 22 February 2017 21.00 GMT

More than 70% of the population of Mexico is overweight or obese. Photograph: Alamy

Mexico's sugar tax appears to be having a significant impact for the second year running in changing the habits of a nation famous for its love of Coca-Cola, and will encourage countries troubled by obesity and contemplating a tax of their own.

Examples of policy implementation

Policy	Possible implementation scenarios
Electricity available to all citizens	1. Creation of a public enterprise (direct provision) 2. State regulation of private companies
Cleaner water	1. Ban of using certain products (regulation) 2. Possibility to buy the "right" to pollute (market creation)
Prevention of heart disease	1. Advertising in the media 2. More hours for physical activities in schools (standard-setting)

Implementation: Definitions

- Policy-making does not come to an end once a policy is set out or approved.
  - Policy is being made as it is being administered and administered as it is being made.
  - Black-Box Model
    - What is happening between input and output?
    - Problems of implementation were rarely analyzed.
  - Bureaucrats are not just neutral public servants
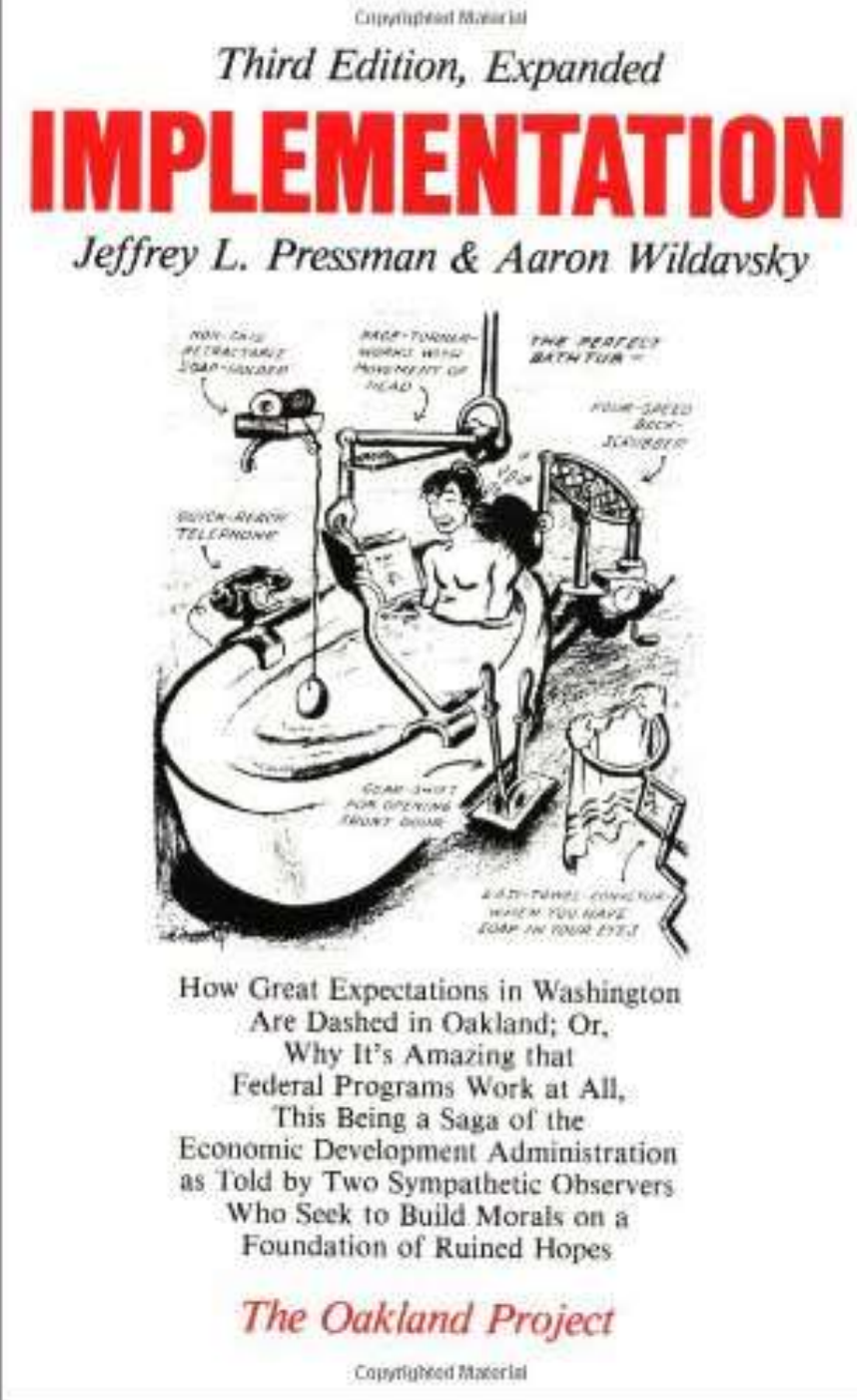
Black Box of Implementation

Development of Implementation Studies

- The analysis of failure (Early 1970s)
- Rational (top-down models)
- Bottom-up critiques of the top-down model
- Hybrid Theories: Implementation as:
    - Evolution
    - Mutual adaptation
    - Learning, exploration
    - Inter-organizational analysis, etc.

First Implementation Studies

- Pressman & Wildavsky (1973)
  - A federal jobs creation project in the US, which did not work well as expected, but why?
  1. Role of administrative actors such as government agencies on policy effectiveness
     - Cooperation or competition among policy actors?
  2. Unclear policy intent
  3. Concern for implementation was seen secondary, even unnecessary

Models of Implementation

- Forward Mapping (Top-down)
  - Government decision, management & oversight plus bureaucratic execution is enough
  - Control over people and resources are enough for successful implementation
  - is only a myth
  - Not the nature of the implementation process

- Backward Mapping (Bottom-up)
  - What really important is the relationship between policy makers and policy deliverers
  - Begin at the phase when the policy reaches its end-point
  - Then analyze and organize policy by taking into account organizational and political environments
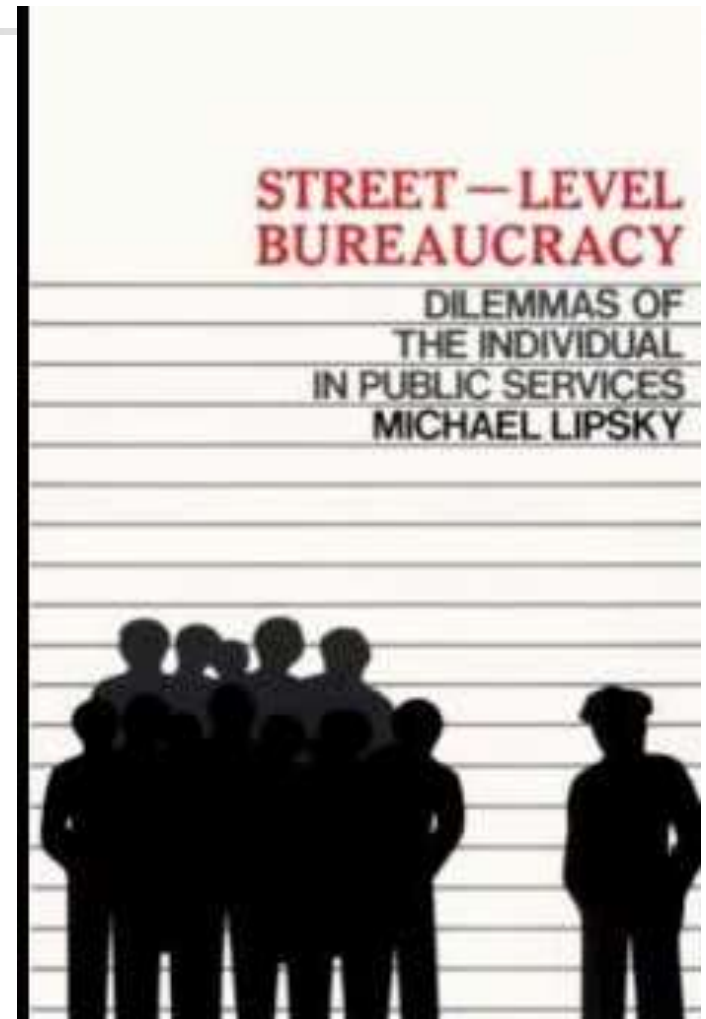
Criticisms to the Rational Model

- Implementation is not a perfect line of causation (x causes y)
- There is too much emphasis on the definition of goals from the top (rather than role of workers on the line)
- This model excludes any consideration of how real people actually behave
- Implementors make policy as well (discretion)
  - The interaction of bureaucrats with their "clients" at street level
    - Is it right for teachers and police to make policy?
      - Interpretation of rules

Bottom-Up Model (Richard Elmore, Michael Lipsky and others)

- Emphasizes the actors directly responsible for policy execution:
  - «Front-line» or «Street-level» actors
- Lipsky's book entitled Street-level Bureaucrats (1980) has been viewed as the leading challenge to the top-down model of policy implementation models and the starting point of bottom-up model.

STREET—LEVEL BUREAUCRACY
DILEMMAS OF THE INDIVIDUAL IN PUBLIC SERVICES
MICHAEL LIPSKY

Street-level Bureaucracy Model (Michael Lipsky)
(Listen to Lipsky at: https://www.youtube.com/watch?v=ZX1IivgPspA)

- Street-level bureaucrats (Doctors, teachers, police officers etc.) interact directly with the public and represent the frontlines of government policy.

- They deliver the policy that has been decided elsewehere.

Street-level Bureaucracy Model (Michael Lipsky)

- Apply the policy quickly and with limited information
  - They work under huge caseloads, ambiguous agency goals, and inadequate resources.

- With wide discretionary authority and the ability to interpret policy on a case-by-case basis, they can create a big difference between government policy and in its actual practice.

Street-level Bureaucracy Model (Michael Lipsky)

- The core dilemma of street-level bureaucrats is that they are forced to adopt practices such as

    - rationing resources,

    - screening applicants for qualities their organizations' favor,

    - "rubberstamping" applications, and

    - routinizing client interactions by imposing the uniformities of mass processing.

Street-level Bureaucracy Model (Michael Lipsky)

- The cumulative effect of street-level decisions made on the basis of routines and simplifications about clients can distort the intended direction of policy, undermining citizens' expectations of just/equal treatment.

- They are the ultimate policy makers.

Implementation as a Political Game

- Conflict is not dysfunctional
  - On the contrary, it is essential in acquiring and maintaining power
- Deal-making is acceptable
  - Bargaining and persuasion under conditions of uncertainty
  - Actors are trying to win as much control as possible
- Groups and individuals seek to maximize their power and influence during implementation
  - Self-interested people playing games
  - Bardach, "The Implementation Game" Book (1977)
- Blurring of boundaries between politics and bureaucracy

Implementation as a Political Game

rkey-russia-and-iran-to-talks-future-of-syria-in-astana-.aspx?PageID=238&NID=107679&NewsCatID=352

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Turkey-Russia and Iran to talks future of Syria in Astana

Sevil Erkuş - ANKARA

REUTERS photo

Turkey, Russia and Iran are set to meet in Astana in the middle of next month to seek a cessation of hostilities in Syria as part of a meeting that is being dubbed as a "confidence-building step complementary to the Geneva process," a Foreign Ministry official told the Hürriyet Daily News on Dec. 23.

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www.aljazeera.com/news/2016/08/turkey-eu-refugee-deal-visa-free-travel-160816101936490.html

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Turkey to EU: No refugee deal without visa-free travel

FM Cavusoglu says unless Turks are granted visa-free EU travel by October, deal to stem the flow of refugees is off.
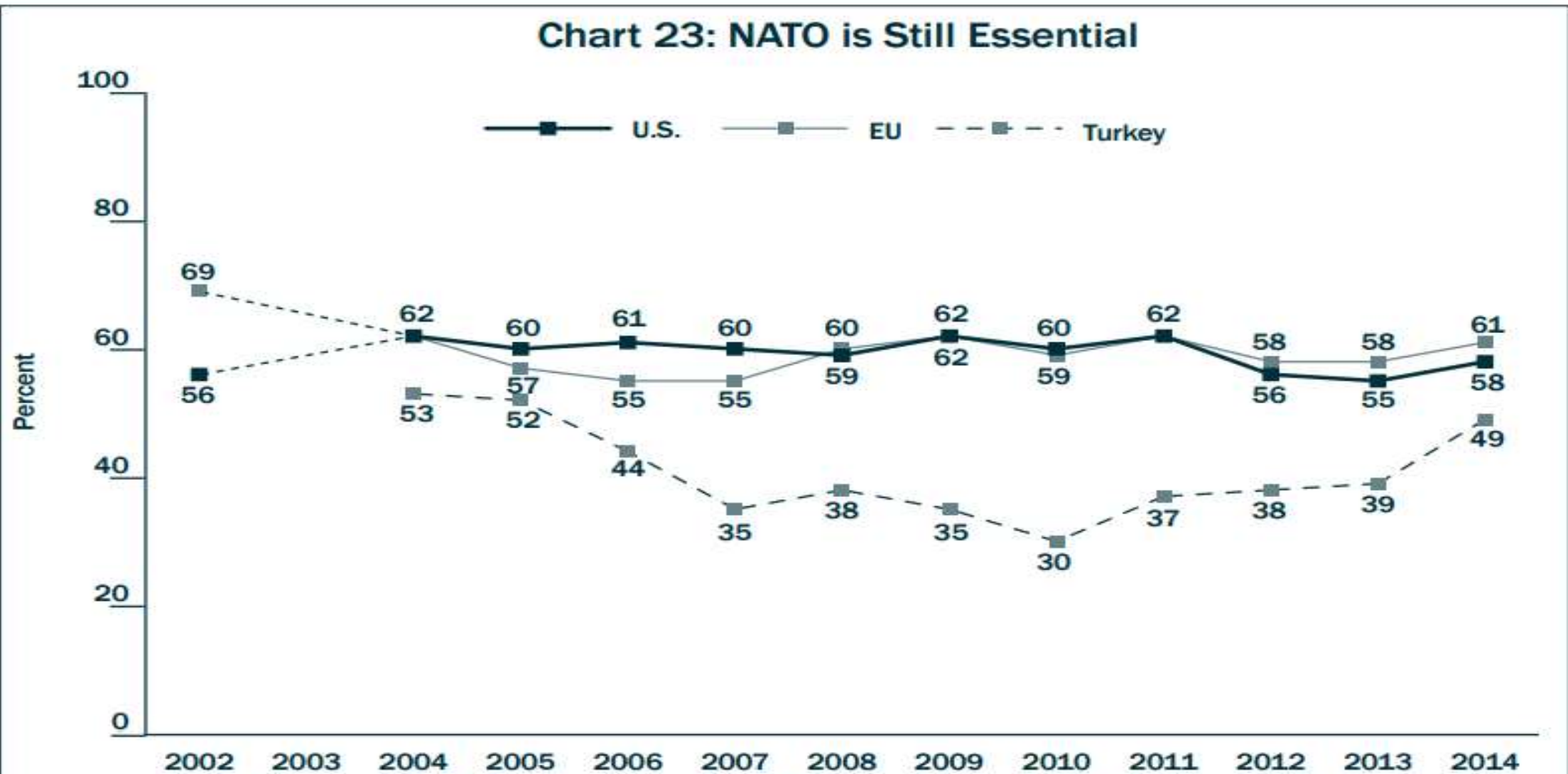
Implementation as Evolution

- Top-down and bottom-up models oversimplify complexity
  - Implementation is constrained by the institutional context and the world around the institution
- It is an iterative bargaining process between policy enacters and resource controllers
  - Emphasis on power and dependence, interests, motivations and behavior
- Policy is something which evolves and unfolds over time

Implementation as Evolution

http://trends.gmfus.org/files/2012/09/Trends_2014_complete.pdf

Chart 23: NATO is Still Essential

Actors in Implementation

- The Bureaucracy
- The President
- The Prime Minister & the Cabinet
- The Parliament
- Courts
- Interest Groups

Some Challenges in Implementation

- Is the public supporting implementation?
- Are the policy goals clear & consistent?
- Is there enough information about the issue/problem?
- Are there enough financial resources?
- Are the political and administrative leaders supporting?

Is the public supporting implementation?

Example of car window tilting/filming