

# Introduction to Public Policy

Week 9

## Policy Implementation: Execution of Policy Solutions

- Theodolou & Kofinis, pp. 166-188.
- Parsons, pp. 461-473.
- Shafritz, Layne & Borick, pp. 51-61.

# 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.

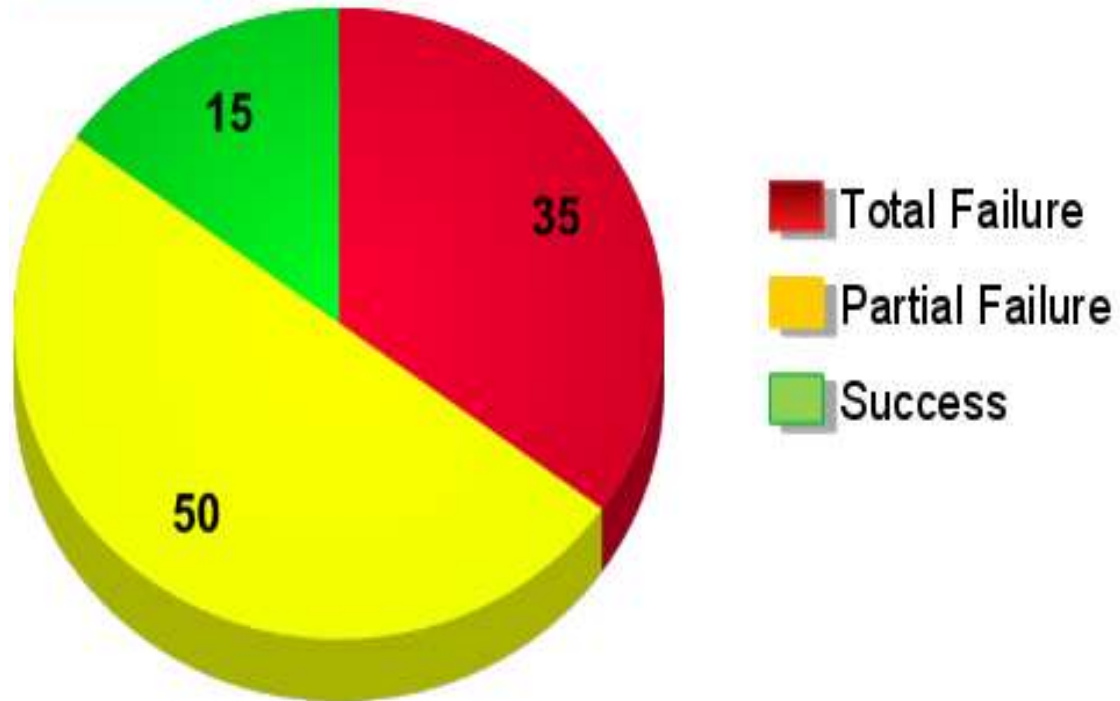


# Importance of Implementation

- 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 judged as a success or failure

# Success or Failure?

## eGov Success rate



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

# 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)



# Implementation: Definitions

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

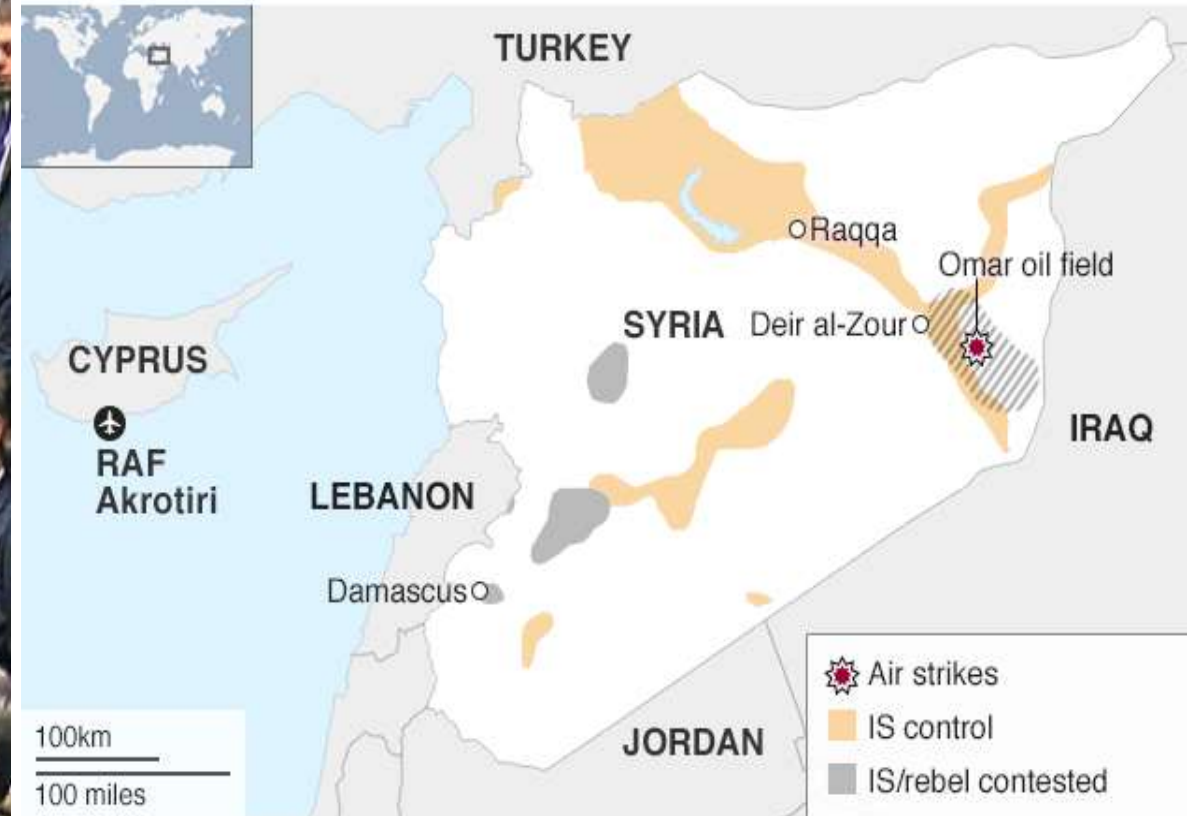
# Implementation Example

**Adoption:** Decision-Making in the British Parliament



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

First UK air strikes in Syria



Source: MOD and Institute for the Study of War

BBC

# Implementing the Right Policies?

- Implementing the policies right or implementing the right policies?
- Making the trains run faster or running the trains in the right direction?



# Implementing the right types of policies?

- Thinking about implementation before the policies are designed.
  - Better policy design
  - Stronger foundation of knowledge



# 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

# Policy Design & Implementation Relationship

		IMPLEMENTATION	
		POOR	GOOD
POLICY DESIGN	POOR	<b>VERY POOR</b> NEGATIVE IMPACTS INTENDED & UNINTENDED	<b>UNINTENDED IMPACT</b> UNKNOWN EFFECTS
	GOOD	<b>NO IMPACT</b> INEFFECTIVE	<b>EFFECTIVE POLICY</b> INTENDED IMPACT ACHIEVED

Source: Theodolou & Kofinis, 2004: 169.

# 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**, **bureaucratic interpretation**, and **capacity**
  - Specified **target populations**, and the society, experience the first tangible effects of the policy once implemented



# Examples of policy implementation

<b>Policy</b>	<b>Possible implementation scenarios</b>
Electricity available to all citizens	<ol style="list-style-type: none"><li>1. Creation of a public enterprise (direct provision)</li><li>2. State regulation of private companies</li></ol>
Cleaner water	<ol style="list-style-type: none"><li>1. Ban of using certain products (regulation)</li><li>2. Possibility to buy the "right" to pollute (market creation)</li></ol>
Prevention of heart disease	<ol style="list-style-type: none"><li>1. Advertising in the media</li><li>2. More hours for physical activities in schools (standard-setting)</li></ol>



# Implementation: Definitions

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- 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



# Development of Implementation Studies

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- 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**

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**IMPLEMENTATION**  
Jeffrey L. Pressman & Aaron Wildavsky



How Great Expectations in Washington  
Are Dashed in Oakland; Or,  
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Federal Programs Work at All,  
This Being a Saga of the  
Economic Development Administration  
as Told by Two Sympathetic Observers  
Who Seek to Build Morals on a  
Foundation of Ruined Hopes

*The Oakland Project*

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# Models of Implementation

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- 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



# Rational (Top-down model)

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- Effective implementation is required
  - Getting people to do what they are told
    - Deliberately excluding all emotions and motivations
  - A good chain of command
  - A healthy system of control and communications
  - A system of resources to do the job
  - Minimizing conflict and degeneration



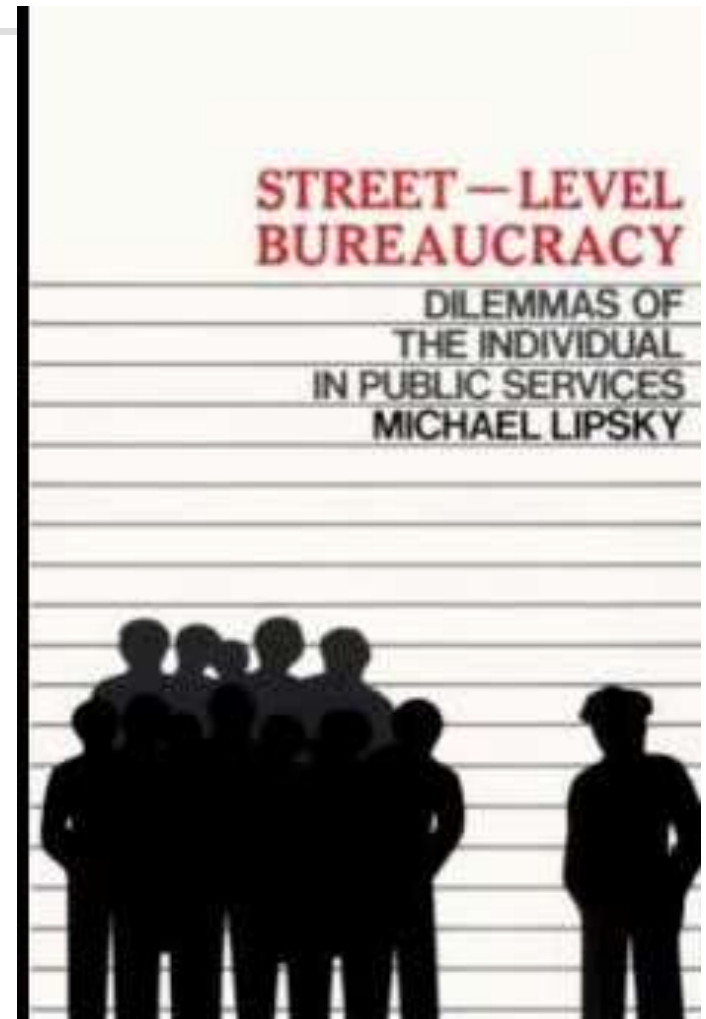
# Criticisms to the Rational Model

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- 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.





# Michael Lipsky's street-level bureaucracy model

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- *Lipsky “argue(s) that public policy is **not best understood as made in legislatures or top-floor suites** of high ranking administrators, because in important ways it is actually made in the crowded offices and daily encounters in street-level workers.”*
- *And “the street-level bureaucrats, the routines they establish, and the **devices they invent to cope with uncertainties and work pressures**, effectively become the public policies they carry out.” (Lipsky, 1993, p. 382)*



# Michael Lipsky's street-level bureaucracy model

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- *Lipsky underlines that in implementing policy at street level, front-line workers are confronted with **conflict and ambiguities**. These may include*
  - *Inadequate resource and unsatisfactory **working condition**, e.g. large classes for teachers, huge caseloads for social workers, dangerous and hostile neighborhood for police officers.*
  - *Unpredictable, uncooperative, skeptical **clients***
  - *Unclear and ambiguous job specification and **guidelines**.*



# Michael Lipsky's street-level bureaucracy model

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- *Confronted with these inadequacies and uncertainties, street-level bureaucrats derive **coping strategies** or even survival strategies to deal with the unaccommodating working situations.*
- *Lipsky point out that in daily "**client-processing**" routines, street-level bureaucrats in fact have considerable amount of powers and discretions at their disposal, which may lead to substantial deviations from, if not complete alterations of, official and top-down policy specifications.*



# Implementation as a Political Game

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- 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

key-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

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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.

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.*

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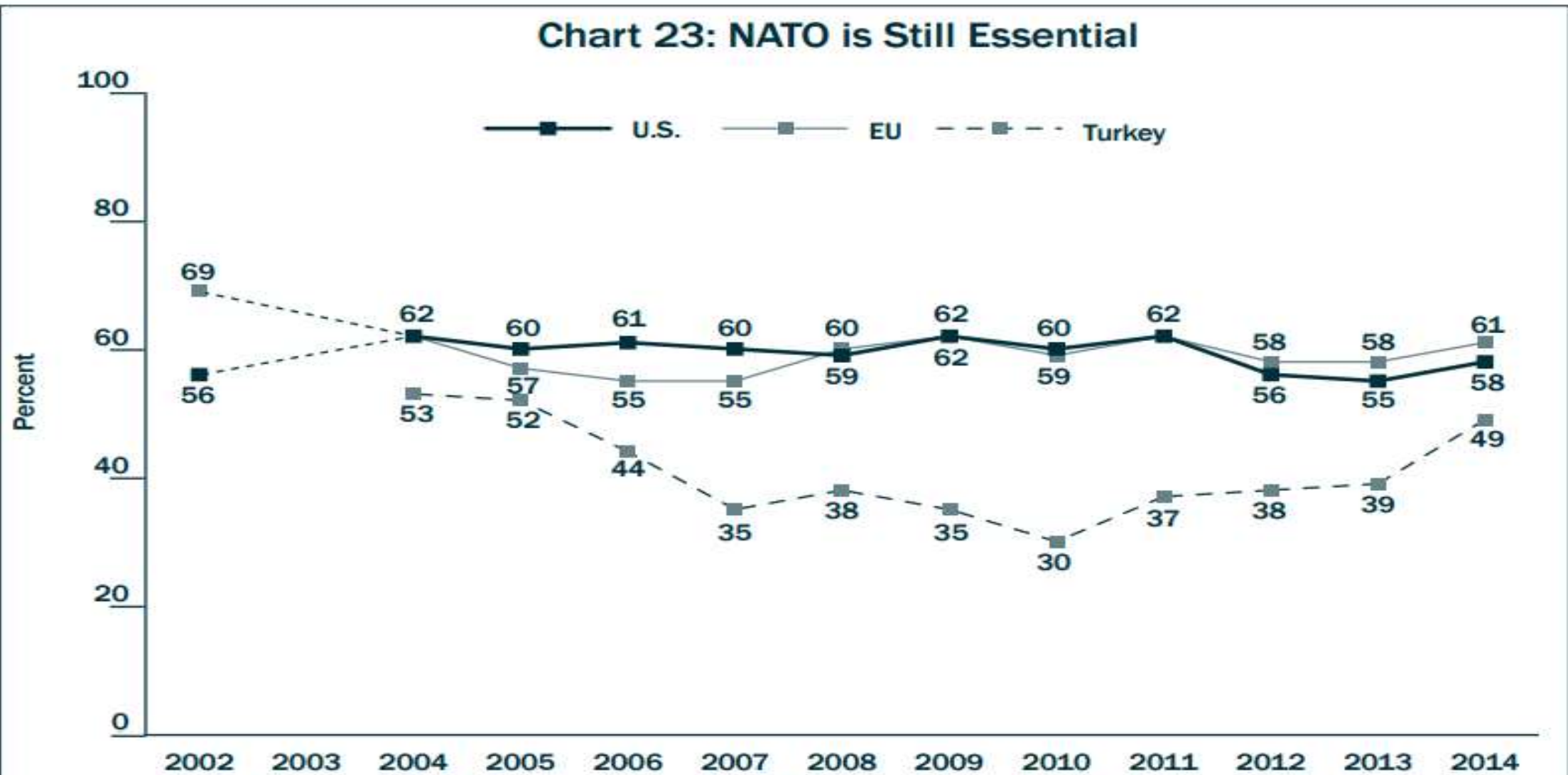
# Implementation as Evolution

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- 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 enactors 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](http://trends.gmfus.org/files/2012/09/Trends_2014_complete.pdf)



# Actors in Implementation

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

# Some Challenges in Implementation

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

# Example from Hacettepe Beytepe Campus

## 'Aktif Kampüs Projesi' kapsamında 160 bisiklet dağıtıldı

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

19 Kasım 2015 Perşembe 17:32

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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.

A green and white poster for the 'Aktif Kampüs' project. The poster features a bicycle icon and a person riding a bicycle. The text on the poster reads: 'BİSİKLETİNİZİ İADE EDİN YENİ SAHİBİNE VERELİM !' followed by the dates and times: '17 Ekim 2016, Pazartesi, 11:00-16:00' and '18 Ekim 2016, Salı, 11:00-16:00'. The location is listed as 'Yer : Kız yurdu önü bisiklet park alanı'. At the bottom, there is a logo for 'AKTİF KAMPÜS' and the website 'www.aktifkampus.org'. The background of the poster shows a person riding a bicycle in a park setting.