



# Policy Analysis and Decision Making

with Emphasis on Chronic Non-Communicable Diseases

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**Policy Adoption and Implementation**

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## Key Points



- **Adoption and implementation**
- **Tools for policy implementation**
- **Factors that shape implementation**
- **Participation and public engagement**



## Why do Policies Fail?



- **Inadequate design (theory failure)**
  - Misunderstandings, flawed communication
  - Conflicting expectative
- **Weak implementation**
  - Ambiguous/vague or restrictive directives
  - Organizational and or managerial factors
    - Adequacy between capacity and policy intent (human and technical resources)
    - Skills and abilities of management (Strategic and leadership skills)
    - Inter-organizational relations
- **Wrong solutions**
- **Inadequate resources**

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## Adoption



- “the adoption and execution of collective decisions inherently involve cooperation. Collective decisions begin as proposals in political arenas and culminate in effects on people.”
- “The adoption phase begins with the formulation of a policy proposal and ends, if ever, with the formal acceptance as a law, regulation, administrative directive, or other decision made according to the rues of the relevant political arena.
- Adopted policies rarely specify exactly what needs to be done; they may require additional policy decisions in other arenas.

Source: Weimer and Vining

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## and implementation



- ❖ “The implementation phase begins with the adoption of the policy and continues as long as the policy remains in effect”.
- ❖ Policy analysts contribute during the formulation and adoption phases
- ❖ Policy analysts need to anticipate the whole process from proposal to effect, and consider the possible responses of particular groups.
- ❖ Therefore, strategic thinking is necessary to understand the process, be creative, anticipate implementation problems and help implementors maneuver during this phase, etc.



## Evaluation and Implementation



- ❖ Good implementation cannot exist without good evaluation. Evaluation needs to inform implementation so that policy can be modified and adapted to conditions.
- ❖ Evaluators identify the problem(s) involved in a particular program implementation and then implementors use that knowledge to refine and reapply their implementation tactics.
- ❖ Implementation is principally action oriented, while evaluation is more an analytic exercise



## A conceptual framework

*“policy implementation encompasses those actions by public and private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions. This includes both one-time efforts to transform decisions into operational terms, as well as continuing efforts to achieve the large and small changes mandated by policy decisions”*

Van meter and Van Horn (1975)

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## Recap: Policy implementation

**A process** that translates policy into action (programs, projects, interventions), transforming the legislative language into managerial and administrative action.

Activities that may occur during implementation

- Legislatures (or the equivalent in different political systems) may pass enabling laws
- Agencies make administrative rules
- Legislators monitor (sanctions and rewards)
- Enforcement
- Lawmakers redesign policies
- Additional resources may be allocated

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## Operations

- Operations is the actual running of the particular programs
- Requires clear goals and objectives, and well written policies and rules
- Policy makers come and go, but the bureaucracy remains.

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- **The content of the policy matters** for implementation since it may stimulate political activity.
- **The context of the policy also matters:**
  - Policy is defined in practice at the implementation level, but decisions made at the formulation stage influence how implementation proceeds.

**Inadequate implementation contributes to reduce or failing the achievement of the established goals.**

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## What happens during implementation



- ✦ Once a policy is approved, it must be interpreted by the agencies that will act on it through projects, programs or specific interventions/actions.
- ✦ The population (the object of the policy/"the target population") begins to be affected, and may begin to be involved (although may have been involved in consultations before).
- ✦ Programmatic, managerial, resource difficulties may arise, even in the case of good policies.
- ✦ Differences between the desired or expected consequences and the actual ones may begin to be observed.
- ✦ Stakeholders continue or intend to continue influencing the process of implementation through interest groups, coalitions, various organizations.

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## Techniques/Tools of Policy Implementation



- ✦ **Command and Control approach**
  - ✦ Use of tools/mechanisms that are coercive in nature
  - ✦ Such as setting inspections, imposing sanctions on violators
- ✦ **Economic Approach**
  - ✦ Use of tax credits, subsidies, or other rewards or penalties to encourage private interests to comply

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## Who implements policy?

- **The bureaucracy**
  - Through its agencies
- **Legislative bodies**
  - Through specific legislations and regulations
- **Courts**
  - Through the interpretation of statutes (in some countries)
- **Community/or other organizations that were given authority and resources to do so**

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## Implementation Oversight



How agency behavior is shaped

- **Depending on the policy/program**
- **Presidential / Prime Minister? Oversight**
- **Congressional/Parliamentary Oversight**
- **Courts**

**Variety of Oversight Tools:** enactment of a statute, hearings, investigations, legislative vetoes

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# What Influences implementation?

1. Approaches to implementation
2. Characteristics/Types of policy



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# 1. Approaches to implementation

- **Top-down approaches**
  - Rational, prescriptive
  - Implementation as part of a managerial sequential process, bureaucracy as implementing machinery.
- **Bottom-up approaches**
  - Incremental, iterative
  - Implementers are active participants, closer to local situation, involvement of local actors.
  - Adaptive indicates a more flexible approach



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## 2. Characteristics of policies influence implementation

- Simple technical features
- Clear goals
- Implementation by one actor and/or structure
- Marginal change from status quo
- Relatively short/rapid implementation

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## Types of policies influence implementation

- **Marginal change from status quo**
  - Incremental change is easier to be agreed upon
  - Risks of error are less
  - Amount of information needed is smaller
  - Capital and other costs are lower
- **Rapid implementation**
  - Short duration of the execution of policy is less likely to encounter
    - organized resistance
    - leadership changes
    - distortions in policy

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## Factors to consider when implementing policy



### Source of Policy

- who is the primary motivator, do they have authority?

### Clarity of Policy

- if you don't know what the policy is supposed to look like, who does? It pays to have a clear implementation strategy and for the implementation agent to have an idea of what is to be expected.

### Support for Policy

- political calculus, does the policy have a wide range of support?

### Complexity of Administration

- how will power be dispersed, how diffuse are the points of leverage?

### Incentives for Administrators

- want to make sure the incentives are in the right direction.

### Resource Allocation

- do you have the resources to accomplish the job? Money matters. Not enough and too much are problems!

Source:

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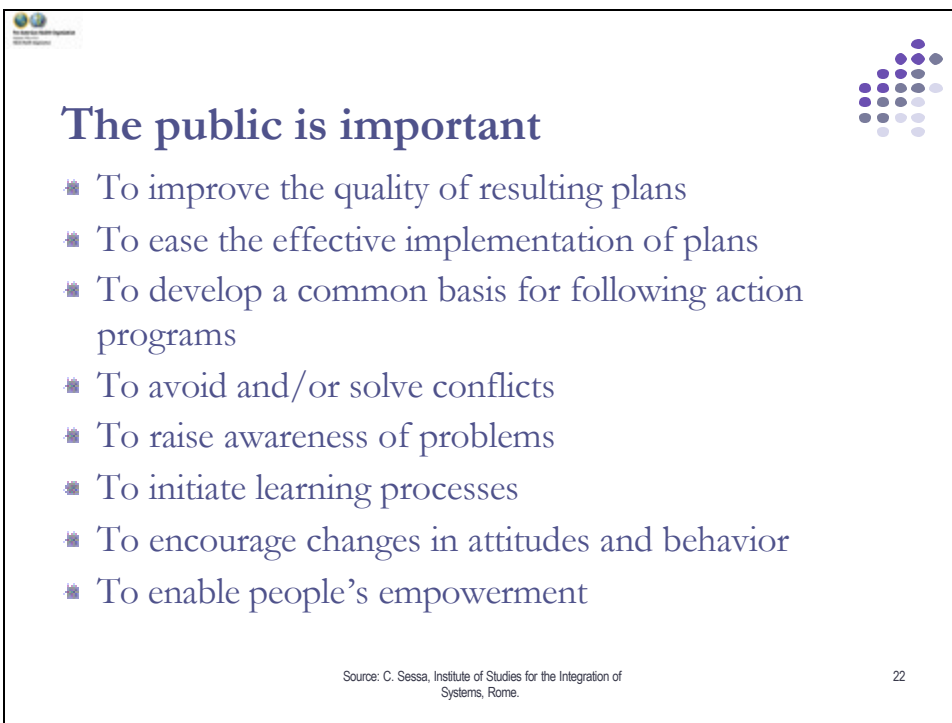
## The 5-C Protocol of Successful Policy Implementation

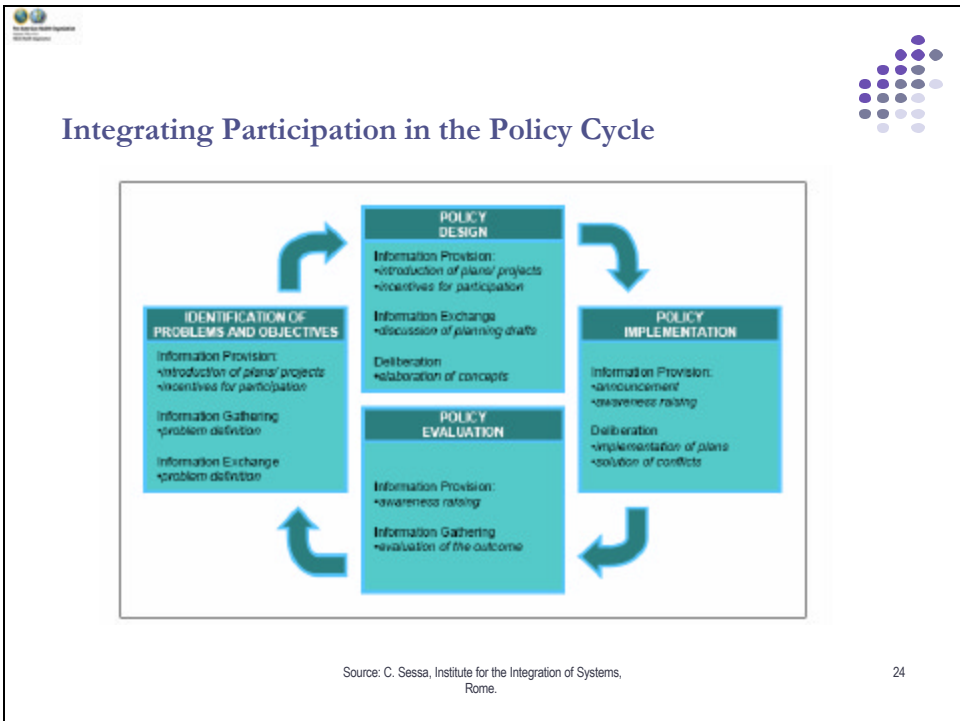
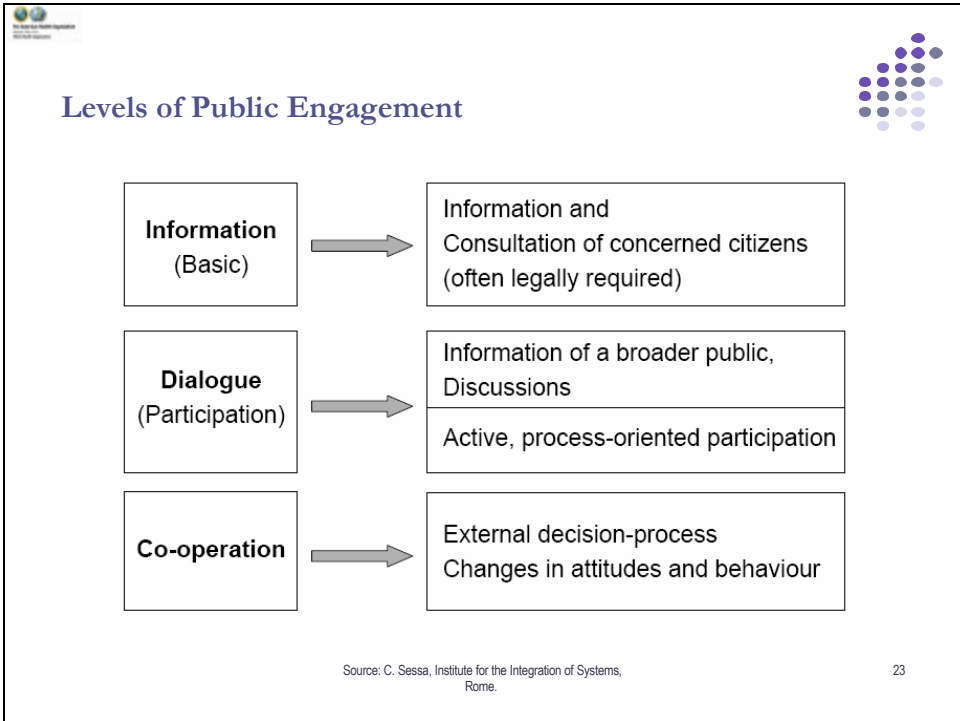




1. The Content of the policy itself: What it sets out to do (i.e. goals); how directly it relates to the issue; how it aims to solve the perceived problem (i.e. methods).
2. The nature of the institutional Context: The corridor through which policy must travel, and by whose boundaries it is limited, in the process of implementation.
3. The Commitment of those entrusted with carrying out the implementation at various levels to the goals and methods of the policy.
4. The administrative Capacity of implementers to carry out the changes desired of them.
5. The support of Clients and Coalitions whose interests are enhanced or threatened by the policy, and the strategies they employ in strengthening or deflecting its implementation.

Prof. Nico Roux, School of Public Mgt. Univ of Pretoria.

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## Pros and Cons of Participation

PROS	CONS
<ul style="list-style-type: none"> <li>• Understanding</li> <li>• Commitment</li> <li>• Acceptance</li> <li>• Credibility</li> <li>• Transparency</li> <li>• Identification</li> <li>• Quality and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership problems</li> <li>• Process management</li> <li>• Conflicts, missing consensus</li> <li>• Missing interest</li> <li>• Exclusion (of social groups)</li> <li>• Populism</li> </ul>
<p>Costs Duration</p>	
<p>Communication – Engagement - Empowerment</p>	

Source: C. Sessa, Institute for the Integration of Systems, Rome.

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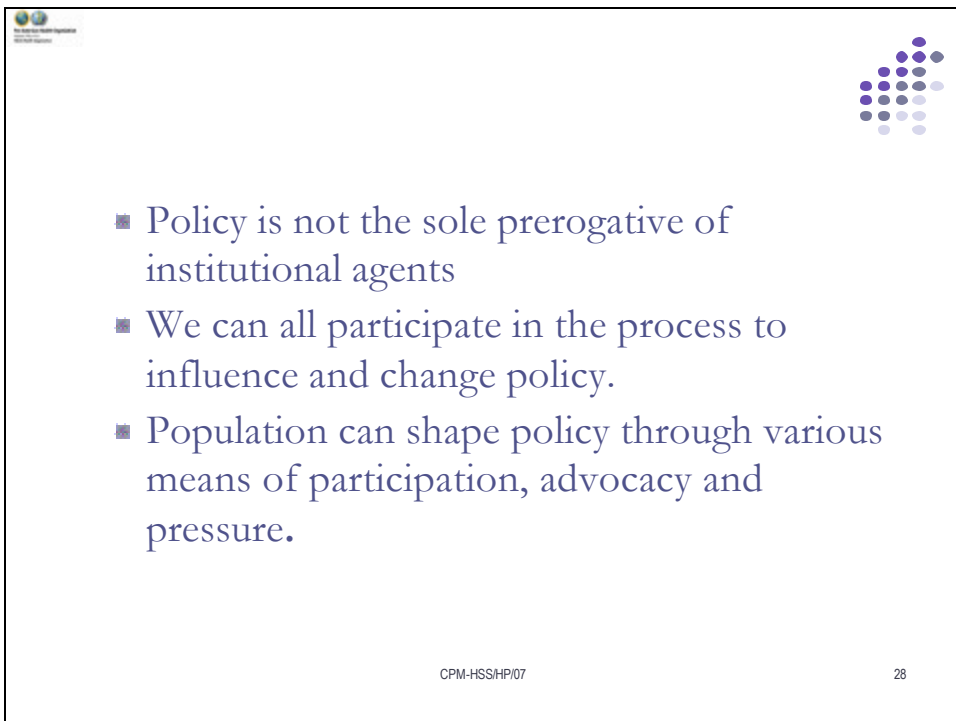
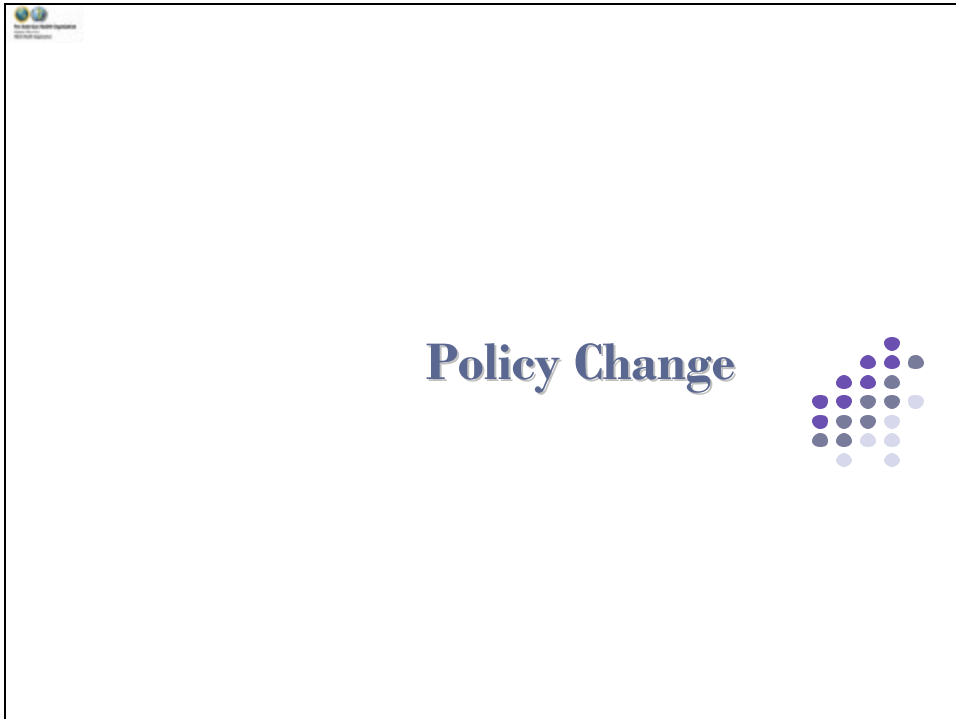



## Conclusions and recommendations to foster participatory planning

- The participatory process should be planned, managed and properly resourced (TQM approach).
- The open consideration of the results of participation is key to stimulate real involvement of citizens and stakeholders.
- Elected members are themselves important stakeholders, and they should play a key role in making participatory planning.
- Implementation and monitoring are often neglected. Need to build continuing cooperation and inclusion into the process of implementation (e.g. through use of incentives) ensure monitoring that commitments are being delivered.
- Planners and external professionals need to be trained in negotiation/mediation, and to see their role more as an essential component of governance.
- Avoiding “consultation fatigue” is a key-factor for the success of participatory approaches.
- “Capacity building” is a pre-requisite to tackle social exclusion in planning processes: not all citizens are equally prepared and skilled to take part in active participation, they should be supported and prepared for engagement.

Source: C. Sessa, Institute for the Integration of Systems, Rome.

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# Activities that support policy change

- Agenda setting
- Advocacy, lobbying
- Coalition building, partnerships, alliances
- Policy learning

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# How??

- **As government bureaucrats**
  - (Covert public health advocacy: tobacco control, road safety-Countering the advocacy of people who are opposed to public health policy: anti-immunization, anti-fluoridation)
- **As members of public health organizations**
  - ( Planning, funding and steering of policy advocacy campaigns: tobacco control, screening, immunizations)
- **As staff in community health agencies**
  - (Support community networks organize and voice their concerns about their health, toxic waste dumps, hospital closures, lack of access to certain services)
- **As members of professional bodies**
  - (Organizing and participating in campaigns to achieve change, behavioral counseling, licensing of traditional medical practitioners, access to care.
- **As members of self-help and consumer/interest groups**
  - (Epilepsy, Alzheimer's, cancer, special services or homes.)
- **As activists in social movements beyond health**
  - (chronic illnesses, HIV/AIDS councils for expediting drug approval and distribution)

Legge, D. Policy Advocacy, La Trobe Univers. Australia 30



## Participation in policy change

- Voting
- Professional practice
- Specific work through various policy areas
- As elected representatives
- As policy managers in government
- As policy analysts in various agencies and organizations
- As academic researchers
- As journalists or in other roles in the media
- In professional and/or community organizations
- In political parties

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## Advocacy means

- The active support to a particular cause
- Attempts to gain support for that cause from other individuals and/or groups.
- Call attention to an issue that is deemed important, and ensuing efforts to shift the attention of decision-makers to address this issue.

UNFPA. Guidelines. Support for Advocacy, 1997.

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## In public health

Advocacy is the deliberate participation of public health practitioners in the process of policy formulation to achieve better health results.

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## Important advocacy areas

- Leadership development
- Coalition-building
- Establishment of networks
- Capacity-building
- Mobilization of communities
- Political lobbying
- Promotion of legislative changes
- Information to the mass media
- Counter the opposition

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## Advocacy instruments


- Direct lobbying and link with decision-makers (legislators, cabinet members, other), interest groups and individuals with influence and power over the particular topic of interest.
- Public relations
- Social marketing
- Mass media and related links
- Direct action (boycotts, demonstrations, etc.)

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Advocacy Techniques/tactics	Audience/Category of Social Actors			
	Beneficiaries	Partners	Adversaries	Decision-makers
<b>Sensitization</b>				
<b>Mobilization</b>				
<b>Dialogue</b>				
<b>Debate</b>				
<b>Negotiation</b>				
<b>Lobbying</b>				
<b>Petitioning</b>				
<b>Pressure</b>				

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## Some “hot topics” in health, subject of advocacy efforts




- Around specific diseases (cancer, diabetes, heart, epilepsy, lupus, etc.)
- Patient’s rights
- Privacy issues
- Quality of care
- End of life
- Cloning
- Stem-cell research
- Prevention of environmental risks
- Pain management
  - And so on....

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## Stakeholders and strategies



- **Decision-makers**
  - Keep in direct communication
  - Understand their problems
  - Ensure that the options you are advocating for are practicable, technically feasible
  - “Listen to your enemies; you may have something to learn!”
- **Interest groups**
  - **Coalition building**
    - Manage the opposition
      - monitor their thinking and activities
      - keep them guessing about your intentions
- **Constituencies**
  - Think demographics (think separately about the different strata, classes, gender)
  - Think about the discourses about this issue weaving their way through each constituency
    - advocacy as engaging with the flow of discourse; as part of a conversation
  - Steering the ‘community conversation’
    - from incoherence to consensus
    - from consensus to demand (the constituencies speaking to their representatives)
  - Building a social movement around this issue

Source: 38



## Suggested Reading(s)



- Alesch, D. J. and W. J. Petak. Overcoming obstacles to implementation: addressing political, institutional and behavioral problems in earthquake hazard mitigation policies. *Earthquake Engineering and Engineering Vibration*. 2002; 1 (1); 10-20. [http://mceer.buffalo.edu/publications/resaccom/0001/rpa\\_pdfs/02Alesch\\_final.pdf](http://mceer.buffalo.edu/publications/resaccom/0001/rpa_pdfs/02Alesch_final.pdf)
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- World Health Organization. Fifty-Ninth World Health Assembly Wha59.2. Agenda item 11.1 26 May 2006. *Application of the International Health Regulations* (2005).