Policy implementation

From 'Powering' and 'Puzzling' to Adaptive Governance

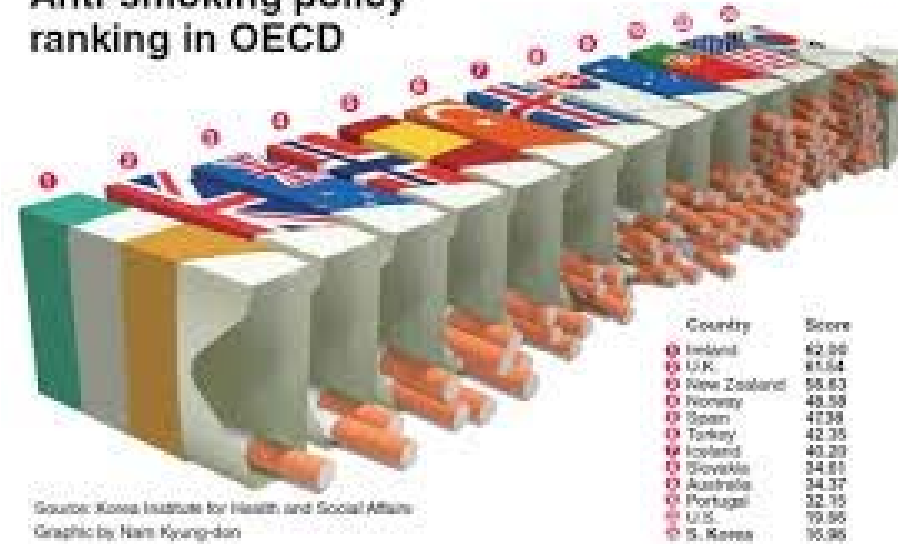Marleen Bekker PhD
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EPH Preconference Waterloo or Mamma Mia 01-11-2017

Health Services Research, Maastricht University

Puzzling versus powering

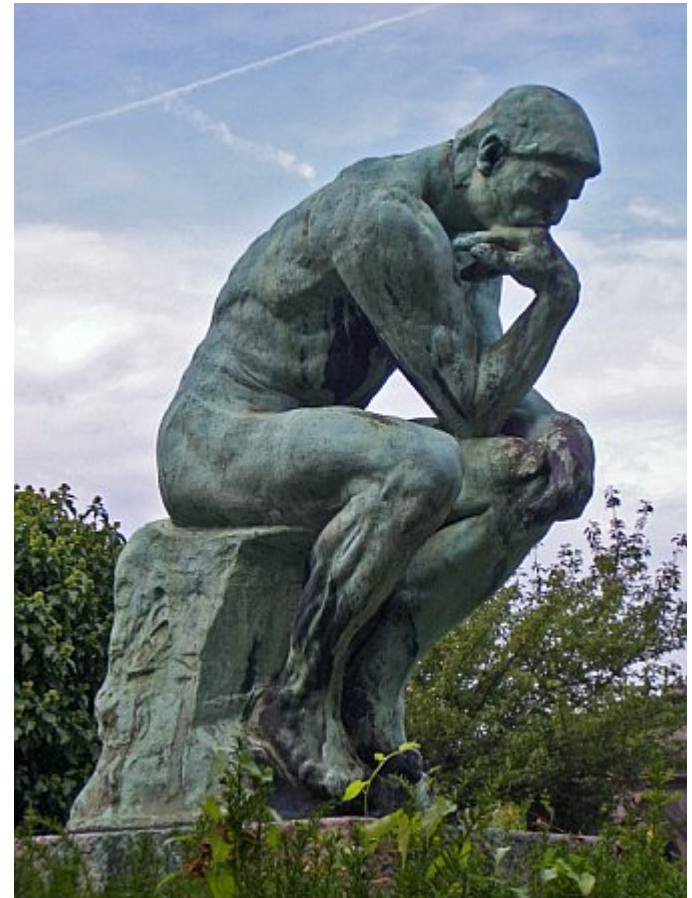Anti-smoking policy ranking in OECD

CAPHRI School for Public Health and Primary Care

The rationalist approach (Simon, 1950)

- Grounded in theory
- Prescriptive
- Forward Mapping: solution oriented
- Select the most urgent problem
- Select the most salient solution
- Formulate goals and objectives
- Design implementation plan
- Evaluate goal achievement

'logic of consequence'

Policy cycle
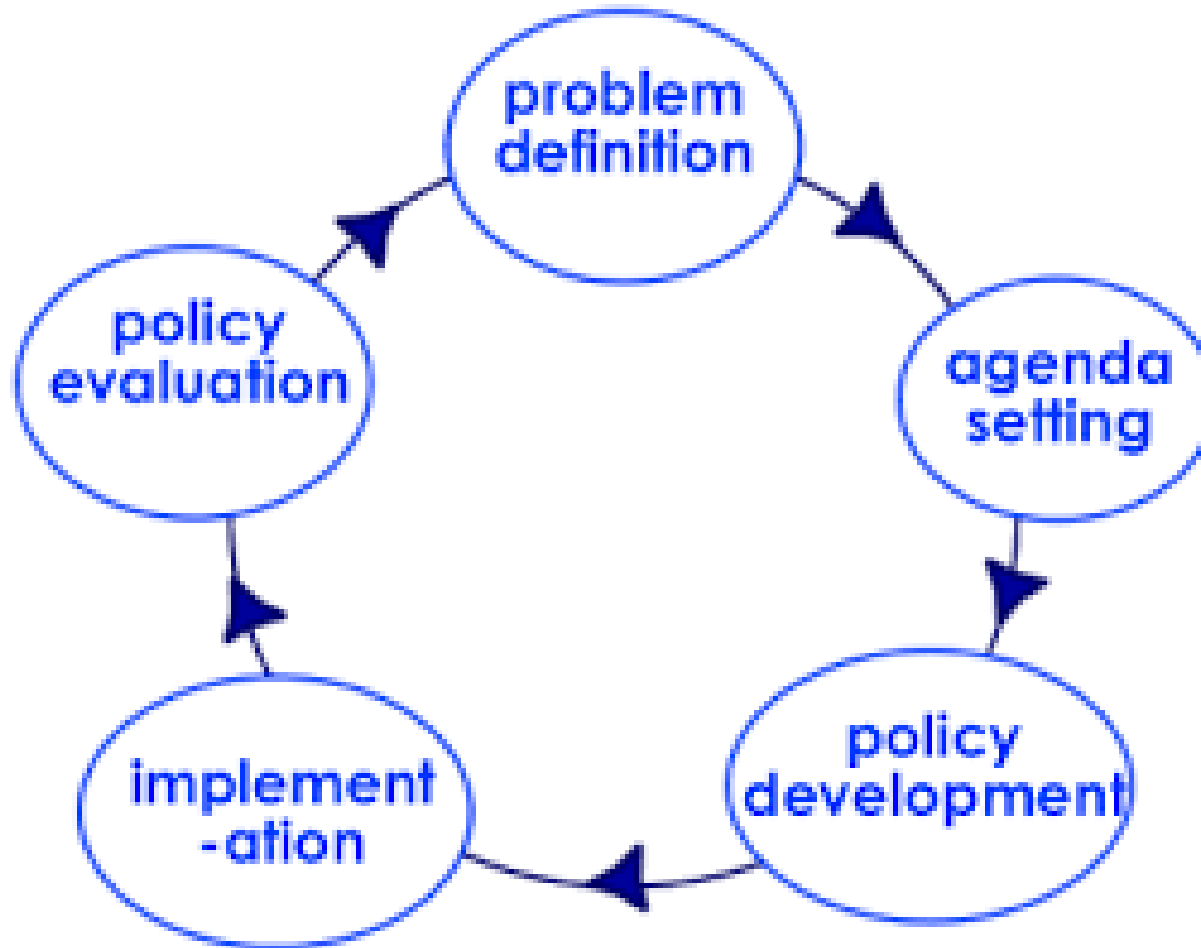
Top down policy implementation

- Mazmanian & Sabatier (1983, simplified)

Problem solvability (technology, diversity, proportionality

Capacity (goal clarity, resources, hierarchy)

Output Compliance impact

Context (support, technology, socioeconomic status
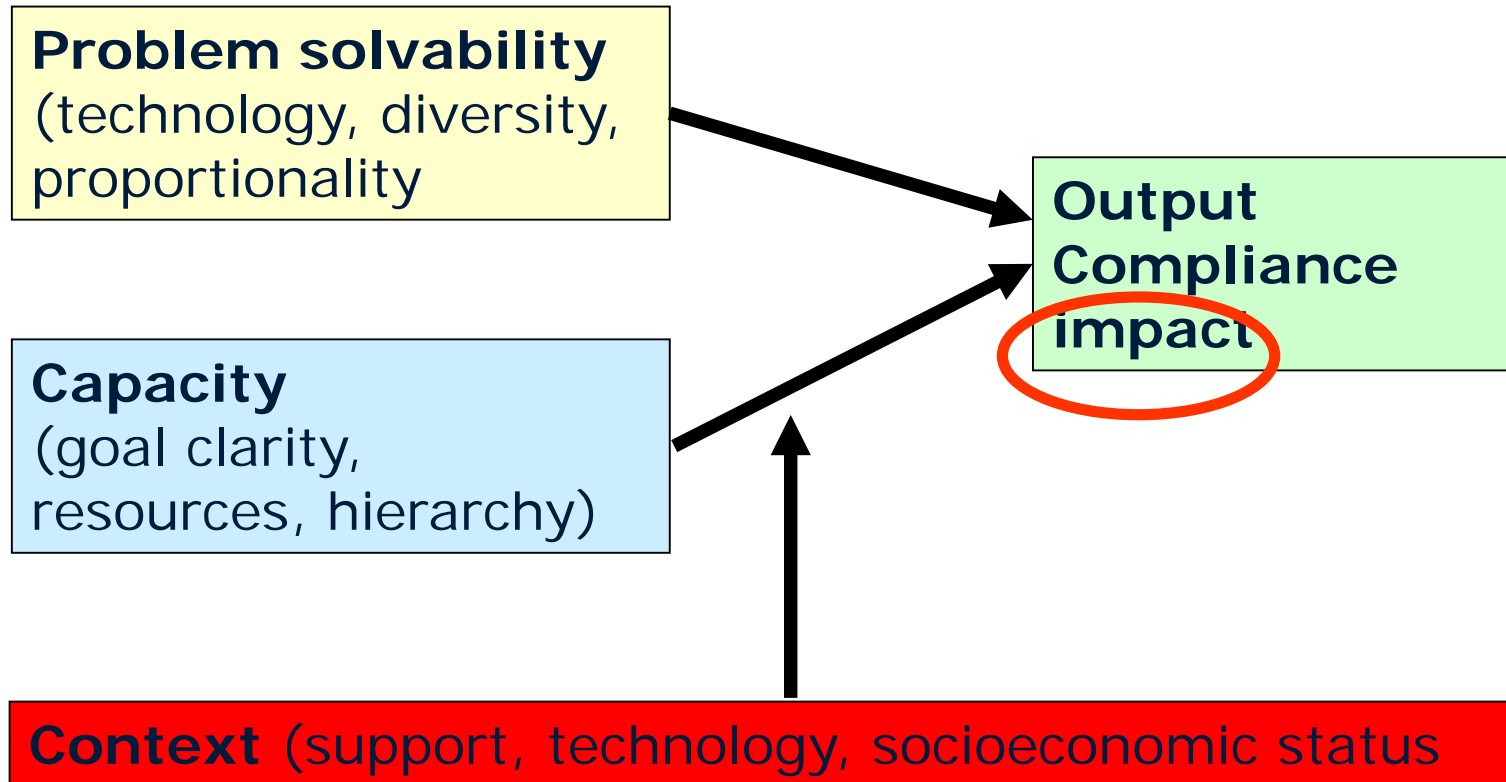
Powering explanation I: State-centered theories
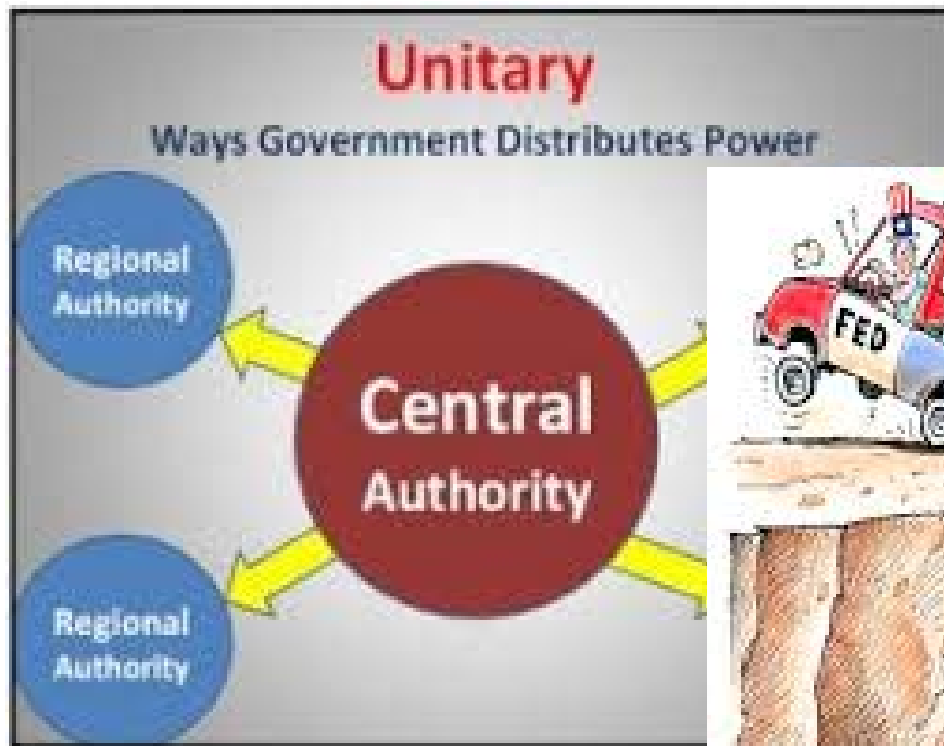
Incrementalist approach (Lindblom, 1959, 1969

- Grounded in observation
- Descriptive
- Backward mapping: problem oriented
- Messy, garbage can, 'muddling through'
- Continuous competition of ideas, interests and institutions
- Bottom up

➡ *'Logic of appropriateness'*

The Muddle

Start   End
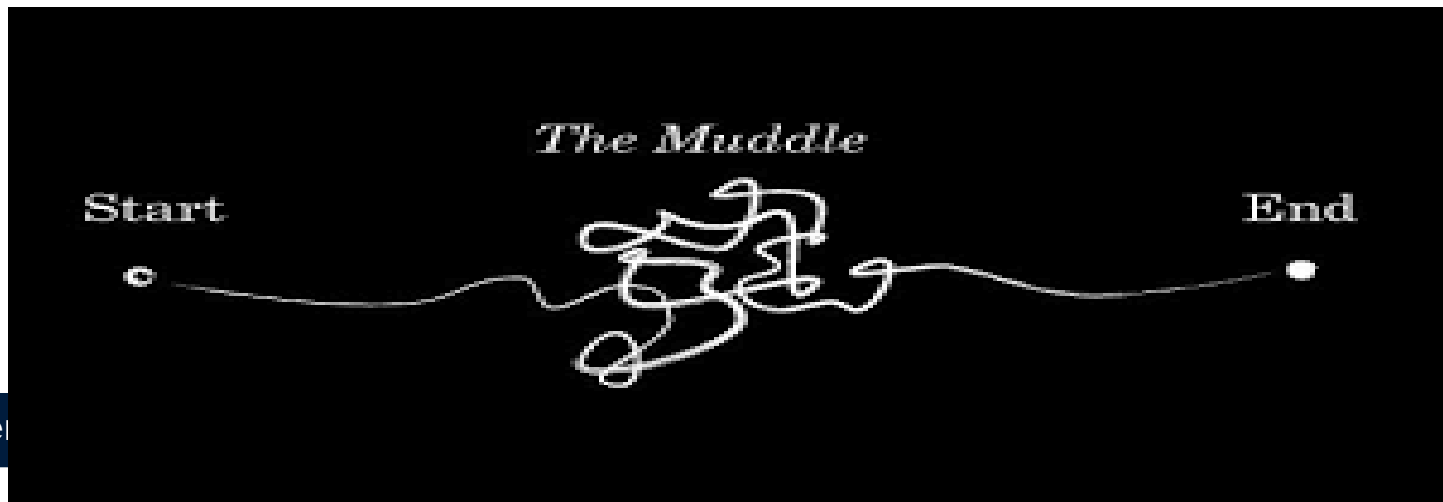
Bottom up policy design by street level buraucrats (Lipsky)

Explanation II: State-society relationships:

The implementation gap results from the political pressures of private interest groups on the state

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"OK, now that we all agree, let's all go back to our desks and discuss why this won't work."

Interactions in the policy process

(Adapted from Rico & Helderman, 2005)

The political game
Political actors

Policy

Policy

Advisory councils

Labour unions

Branch org's

'ZBO's' eg. Supervisors

HC SYSTEM

Sociopolitical Actors

Citizens' Associations

Political parties' members

Interest groups Business Insurance

Prof. + providers Assoc.

Patients' Assoc.

Patients and insured

The socio-political context

Professionals

Entrepre-neurs and workers

Schools and students

Local business, retail and consumers

Church

Cultural, sports, etc. volunteers

Social actors

The social context

Policy

Levels of policy influence

INPUT   THROUGHPUT   OUTPUT

POLICY (SUB-) SYSTEM   SOCIAL CONTEXT

Social groups

Sociopolitical actors

THE POLITICAL SYSTEM

POLICY SYSTEM

Pluralist system

Corporatist system

Policy (change)

a

a

c

d

Interactions

b

Social organizations

Institutions

State actors

Healthcare SYSTEM

e

f
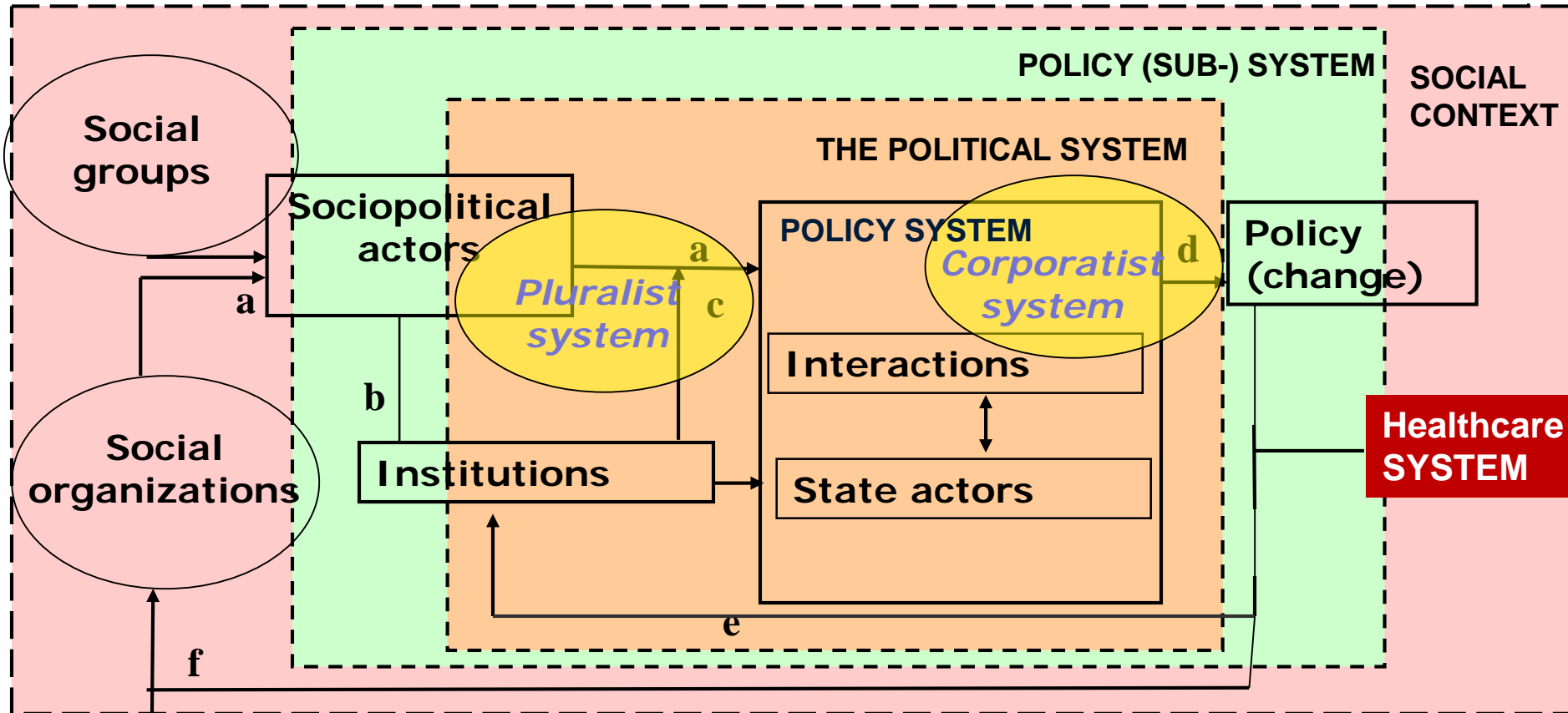
OUTCOME   IMPLEMENTATION

a. Demands and supports
b. Access to the political system
c. Veto points (end of decision process)

d. Decision-making
e. Institutional change
f.   Social impact of policy

Classification of implementation (Matland 1995)

		Conflict		Views on successful implementation
		Low	**High**	
Ambiguity	**Low**	**Administrative implementation** *resources*	**Political implementation** *power*	*TOP DOWN*
	High	**Experimental implementation** *Context specificity*	**Symbolic implementation** *coalition strength*	*BOTTOM UP*

Shifts in public health power and governance

Capacity for strategic action -

-   +

Level of governmental involvement

+

Legislation Health Protection →

State & Municipal

Hierarchy

Services: disease prevention, youth health care, health promotion

Network

Negotiation

Covenants, Agreements, Negotiated self - regulation

Collectivisation of lifestyle and behaviour

-

Market

Contract

Lifestyle coaching in additional care insurance package

Civil society

Private initiative

Personal lifestyle coaches, apps, eHealth self-diagnosis and treatment, Total Body Scan

Shifts in accountability: from NPM supervision and control towards NPG learning and improvement
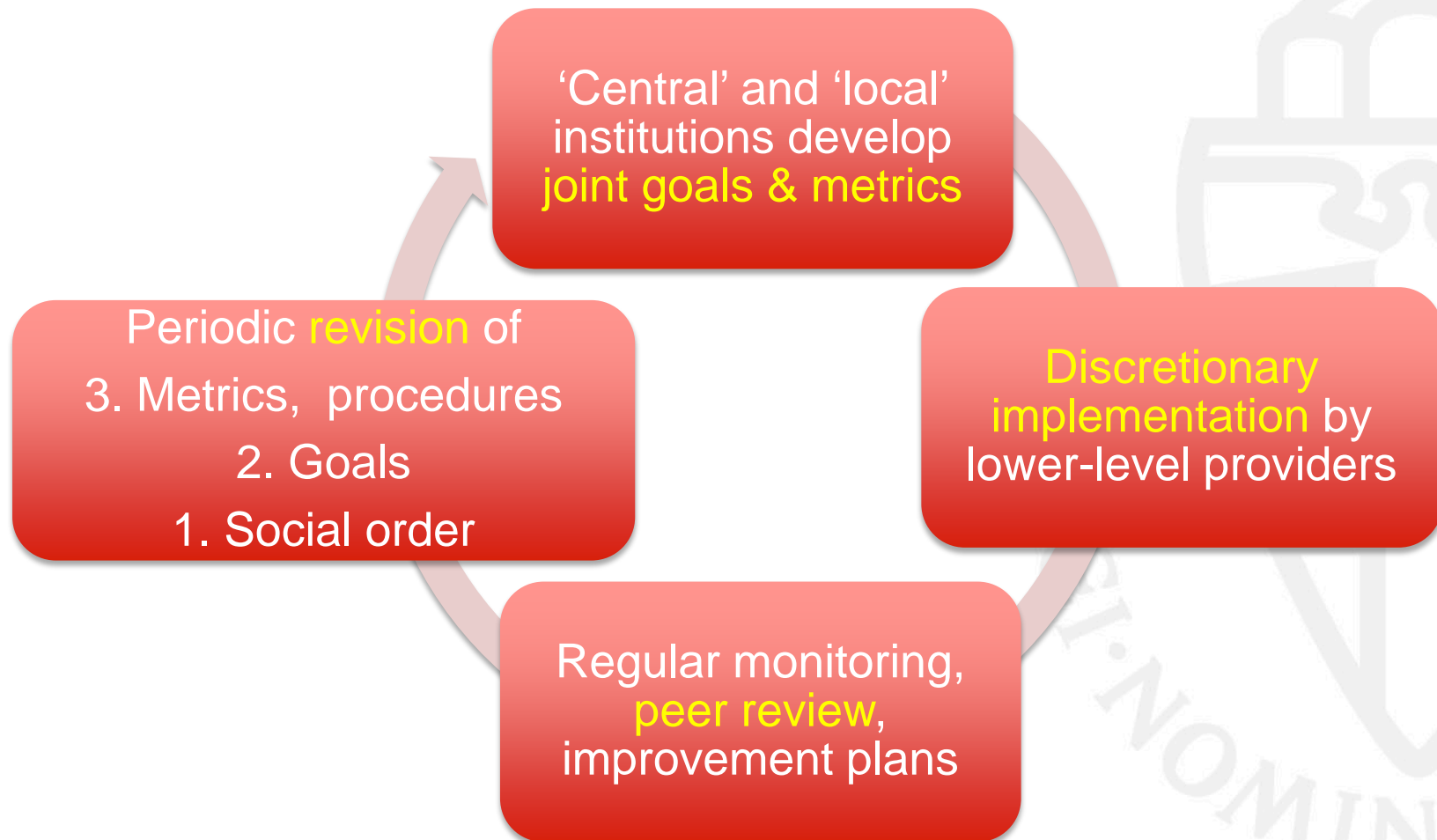
1. New Public Management: <u>control-based</u>

- Decentralise SMART defined goals objectives
- Centralise supervision and control structures
- System of agreed performance indicators
- Incentivise through subsidies and sanctions: negative coordination

2. New public governance: <u>trust-based</u>

- Decentralise responsibilities
- Incl horizontal structures for monitoring and feedback, learning, and improvement
- Mobilise decentral sense of ownership: positive coordination

Radboud Universiteit

Policy learning by monitoring in Collaborative, Pragmatist and Adaptive governance for sustainable change

'Central' and 'local' institutions develop joint goals & metrics

Discretionary implementation by lower-level providers

Regular monitoring, peer review, improvement plans

Periodic revision of
3. Metrics, procedures
2. Goals
1. Social order

= an iterative, multi-level *process architecture* for continuous improvement and responsiveness (Sabel & Zeitlin, 2012)

Implementation and evaluation:
narrow policy goal achievement or social problem solving?

Summary

- Rationalist view
- Top down approach
- (Federal) state-centred explanations
- New Public Management

= useful when no ambiguity of goals and instruments

- Incrementalist view
- Bottom up approach
- State—society centred explanations
- New Public Governance

= useful when clarity cannot be provided

'Adaptive governance' goes beyond dichotomies:
Combine the delegation of decisionmaking power with continuous monitoring, reflection and improvement