Why Does How Policy is Implemented Matter for Health Outcomes?

Second Global Symposium on Health Systems Research, Beijing
October 31–November 2, 2012

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When it comes to understanding how health policies affect health outcomes, our knowledge base is scant.
Large Literature on Policy Development, e.g.

- Kingdon (1984) — **Policy Streams**

- Walt and Gilson (1994) — **Policy Analysis** (context, content, process, actors)

- Sabatier (2007) — **Advocacy Coalition Framework** (policy networks)
Policy Stages

- Lasswell’s stages (1951)
  - Problem identification
  - Policy development
  - Policy implementation
  - Policy evaluation

- The stages are not linear and have a cycle (Bridgman and Davis, 2003)
Policy Implementation

“Implementation is the carrying out of a basic policy decision…. Ideally, that decision identifies the problem(s) to be addressed, stipulates the objective(s) to be pursued, and in a variety of ways, ‘structures’ the implementation process.”

Source: Mazmanian and Sabatier, 1983: 20-21
CHAPTER FIVE

5.0 INSTITUTIONAL ARRANGEMENTS AND ROLES OF SECTORS

5.1 Institutional Arrangements

Institutional Arrangements for Implementation

The NFPCIP will be implemented under the leadership and management of existing governance structures at all levels of the health system. However, the cooperation, input, and actions from a wide range of partners and stakeholders at all levels are required for success in achieving goals effectively and efficiently. The NFPCIP will be implemented in collaboration with relevant stakeholders, which include related ministries and economic development partners, the civil society community, and communities in general.
Implementation

“To understand how evidence gets taken up and integrated into policy, and how policy, in turn, translates into practice, we need to find ways to move beyond the assumption...that implementation is straightforward and a simple matter of scaling up a policy decision.”

Source: Hutchinson et al., 2011:316
Debeats About Policy Implementation

- **Top down**—is implemented as directed from a central, authoritative level (early view of policy)

- **Bottom up**—policy gets interpreted at each level for implementation. Providers become street-level bureaucrats (Lipsky, 1980)

- **Combination**—levels of authority/interpretation (Pressman and Wildvasky, 1984)
Implementation Study Review

Discursive gaps in the implementation of public health policy guidelines in India: The case of HIV testing
Kabir Sheikh, John Porter

Changing fortunes: analysis of fluctuating policy space for family planning in Kenya
Joanna Crichton

THE LANCET

Practical lessons from global safe motherhood initiatives: time for a new focus on implementation
Lynn P Freedman, Wendy J Graham, Ellen Brazier, Jeffrey M Smith, Tim Ensr, Vincent Fauveau, Ellen Themmen, Sheena Currie, Koki Agarwal
Policy Issues Highlighted in Implementation Studies

Need to:

- Link policy development with policy implementation
- Address relational and technical aspects of policy implementation
- Understand institutional arrangements and inter-institutional relationships
- Involve stakeholders in planning implementation
- Link policy implementation with governance
Need to Link Policy Development with Policy Implementation

- How contentious the policy was to develop will have implications for how easy it will be to implement

<table>
<thead>
<tr>
<th>Policy Problems Classified According to the Impact of Levels of Certainty and Agreement (Hoppe, 1989)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Agreement</strong></td>
</tr>
<tr>
<td>Large</td>
</tr>
<tr>
<td>Large</td>
</tr>
<tr>
<td><strong>Malaria—bednets</strong></td>
</tr>
<tr>
<td>Little</td>
</tr>
<tr>
<td><strong>FP—120 million new users</strong></td>
</tr>
</tbody>
</table>
Wicked problem

- Difficult rather than evil
- No right/wrong solution
- Multiple interdependencies
- Any solution could cause other problems
Technical and Relational Aspects of Policy Implementation

- “the interplay between ‘intellectual cognition [technical] and ‘social interaction’ [relational]…can to a certain degree explain the often ambiguous character of policy that has to be implemented” (Hill and Hupe, 2009: 8)

- Study from Australia—two government agencies that needed to work together were like “tectonic plates colliding or pulling apart” (Howard, 2005: 5)
Need to Link Policy Development with Policy Implementation: Global to National

Writing about TB Dots, Ogden, Walt and Lush (2003: 179) note:

“Simplifying policy approaches to ‘one-size-fits-all’ carries inherent risks, and can be perceived to harm locally appropriate programmes….top-down internationally driven policy changes may lead to apparent policy transfer, but not necessarily to successfully implemented programmes.”
Lack of Understanding of Institutional Arrangements

- Gaps in implementation of national guidelines for HIV testing in Indian hospitals (Sheikh and Porter, 2010)
Involvement of Stakeholders in Planning Implementation

- Removal of Fees in South Africa—the view from front-line nurses (Walker and Gilson, 2004)
  - Nurses views and values inform their implementation of health policy
  - Nurses feel excluded from the process of policy change
  - Social, financial, and human resources are insufficiently incorporated into the policy implementation process

### Table: Barriers to free care implementation

<table>
<thead>
<tr>
<th>Barrier</th>
<th>% responding very important</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of consultation with nursing staff</td>
<td>83</td>
</tr>
<tr>
<td>Lack of community education</td>
<td>76</td>
</tr>
<tr>
<td>Lack of adequate planning</td>
<td>74</td>
</tr>
<tr>
<td>Lack of extra staff</td>
<td>74</td>
</tr>
<tr>
<td>Daily planning to deal with free PHC</td>
<td>70</td>
</tr>
<tr>
<td>Inadequate (in clinic)</td>
<td>70</td>
</tr>
<tr>
<td>Lack of staff education</td>
<td>67</td>
</tr>
<tr>
<td>No one in clinic to deal with problems</td>
<td>54</td>
</tr>
</tbody>
</table>

Survey responses to the question: what was the impact of free primary health care on you personally

<table>
<thead>
<tr>
<th>Response</th>
<th>Very important (%)</th>
<th>Important (%)</th>
<th>Not important (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Felt I was exploited</td>
<td>58</td>
<td>22</td>
<td>20</td>
</tr>
<tr>
<td>Was burnt out</td>
<td>56</td>
<td>21</td>
<td>23</td>
</tr>
<tr>
<td>Became frustrated</td>
<td>55</td>
<td>17</td>
<td>28</td>
</tr>
<tr>
<td>Considered giving up my job</td>
<td>48</td>
<td>19</td>
<td>33</td>
</tr>
</tbody>
</table>
Linking Policy Implementation with Governance

- 2000s: Policy implementation as governance
  - Attention to action—from government to governance (system, organization, and individual levels)
  - Greater awareness of context
  - A values orientation—security, justice, equity, equal treatment for equal cases
  - Attention to accountability
  - Importance of policy networks

Source: Hill and Hupe, 2009
Conceptual Framework: Linking Health-Related Policy to Health Systems and Health Outcomes

Enabling Environment
- Overall governance (from World Bank): political stability and support, rule of law/regulatory quality, government effectiveness, control of corruption, accountability & voice
- Political/sociocultural/economic environment: political context, social, cultural and gender context/factors, economic context/factors including national resource availability

Health-Related Policy Development
- Problem Identification: Intended health outcome(s) and/or system improvement(s)
- Policy Development/Products
  - Multisectoral collaboration
  - Advocacy
  - Policy dialogue
  - Policy analysis
  - Policy products:
    - Legal & regulatory framework (authorize)
    - Macro-level sectoral policies and financing (guide program direction)
    - Operational policies (guide health system/services)

Country Leadership
- Political will
- Social participation
- Transparency of policy process

Policy Monitoring
- Generate data
- Use data to inform better policy development and implementation
- Identify operational policy barriers

Policy Implementation
- Financing mechanism
- Resource allocation
- National and decentralized institutional arrangements for authorizing and implementation
- Uptake of policy by institutions/systems
- Technical proficiency of organizations
- Power relationships and dynamics within and among organizations
- Capacity development for policy uptake/integration
- Strengthening of accountability mechanisms, policy barrier identification
- Strategic planning
- Systems for transparent monitoring by civil society
- Set up system for monitoring policy

Program Design and Implementation
- Uptake of policy into public sector health systems: WHO building blocks i.e., service delivery, health workforce, information, financing, medical products/vaccines/technologies, and leadership/governance
- Integration of policy into private sector and community programs
  - Public-private partnership
  - Community-based distribution
- Other interventions
  - Mass media education campaigns
  - Prevention, care and treatment campaigns
  - Gender and other equity
- Demand creation for services
  - Outreach to marginalized populations
  - Community mobilization
- Integration of policy into sectors that contribute to health (if appropriate)
  - Education, agriculture, roads, etc.

Program Monitoring
- Generate data
- Use data to inform better program design and implementation
- Identify operational barriers

Healthy Systems and Health Outcomes
- Strengthening Health Systems/Service Delivery
  - Service coverage and quality
  - Financial coverage
  - Population coverage and equity
  - Health governance

Healthy Behaviors by Increased Number of People

Improved Health Outcomes

Policy and Program Evaluation

External support
To strengthen national and subnational capacity for policy, advocacy, and governance for strategic, equitable, and sustainable health programming:
- Technical support
- Funding
- Global Policy transfer
Thank You!

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The Health Policy Project is a five-year cooperative agreement funded by the U.S. Agency for International Development under Agreement No. AID-OAA-A-10-00067, beginning September 30, 2010. It is implemented by Futures Group, in collaboration with CEDPA (CEDPA is now a part of Plan International USA), Futures Institute, Partners in Population and Development, Africa Regional Office (PPD ARO), Population Reference Bureau (PRB), RTI International, and the White Ribbon Alliance for Safe Motherhood (WRA).