Africa Policy Implementation Impact Lab –

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I. Identified policy implementation think tanks in Africa

List of 40 African Think Tanks[1]

1. Africa Centre for Entrepreneurship and Youth Empowerment (ACEYE), Ghana
2. African Centre for the Constructive Resolution of Disputes (ACCORD), South Africa
3. African Forum and Network on Debt and Development (AFRODAD), Zimbabwe
4. Afrobarometer, Benin
5. Botswana Institute for Development Policy Analysis, Botswana
6. Center for Research and Opinion Polls, Togo
7. Center for the Study of the Economies of Africa (CSEA), Nigeria
8. Centre Autonome d'Etudes et de Renforcement des Capacités pour le Développement au Togo (CADERDT), Togo
9. Centre de Recherche Politique D'Abidjan (CRPA), Côte d'Ivoire
10. Centre d'Analyse des Politiques Économiques et Sociales (CAPES), Burkina Faso
11. Centre d'Études pour l'Action Sociale (CEPAS), Democratic Republic of the Congo
12. Centre Ivoirien de Recherches Economiques et Sociales, Ivory Coast
13. Centre National d'Etudes Stratégiques et de Sécurité (CNESS), Niger Republic
14. Centre Sahélien d'Analyse des Menaces et d'Alerte Précoce (CSAMAP), Burkina Faso
15. City of Keur Maba, Senegal
16. Community Advocacy and Awareness (CRAWN) Trust, Kenya
17. Democracy Development Programme (DDP,) South Africa
18. Embassy of the Federal Republic of Germany, South Africa
19. Eswatini Economic Policy Analysis and Research Centre (ESEPARC), Eswatini
20. Good Governance Africa (GGA), Nigeria
21. Group for Research and Applied Analysis for Development, Burkina Faso

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[1] This list was made using the list of African participants to the 2020 Africa Think Tank Summit organized by the Think Tanks and Civil Societies Program (TTCSP), The Lauder Institute, University of Pennsylvania, United States. See: McGann, James G. "2020 Africa Think Tank Summit." Africa Summit, April 1, 2020. https://repository.upenn.edu/ttcsp_africa/2.

22. Initiative pour la prospective économique et le développement durable, Guinea

23. International Women's Centre For Empowerment (IWCE), Uganda

24. Islamic Development Bank, Saudi Arabia

25. Kenya Institute for Public Policy Research & Analysis (KIPPRA), Kenya

26. Konrad-Adenauer Foundation, Germany & Southern Africa

27. McKinsey & Company, Ethiopia and South Africa

28. National Initiative for Civic Education (NICE), Malawi

29. Nigerian Economic Summit Group, Nigeria

30. Peacebuilders Without Borders South Africa

31. Policy Center for the New South, Morocco

32. Research on Policy Alleviation, Tanzania

33. Security Research and Information Centre (SRIC), Kenya

34. Social Watch, Benin

35. South African Institute of International Affairs (SAIIA), South Africa

36. South African Liaison Office (SALO), South Africa

37. Stat View International, Guinea

38. The Nigerian Economic Summit Group, Nigeria

39. University of Cape Town, South Africa

40. West Africa Think Tank, Sénégal

Legend:

Yellow = Think tanks which participated in the 2020 Africa Think Tank Summit's panels on policy implementation[2].

Green = Other think tanks focused on policy[3].

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[2] *Ibid.*, p. 35-36 and 38. The report's pdf can be found at this link:
https://repository.upenn.edu/cgi/viewcontent.cgi?article=1001&context=ttcsp_africa
[3] There are possibly other think tanks in this list that focus on policy implementation but we focused on the ones that were obvious.

List of 10 Selected Think Tanks

1. Botswana Institute for Development Policy Analysis (BIDPA), Botswana[4]

Purpose: BIDPA is a major player in the national policy formulation landscape and its mandate is defined by the following five elements: Economic research and policy analysis; institutional capacity building; professional training; networking and public education. The institute's mandate is informed by the deed of trust that established it.

Background: BIDPA was established by the Government of Botswana as an independent trust, and started operation as a non-governmental policy research institute or "think tank" in 1995. The institute evolved out of the expressed need to effectively link and harmonise economic policy analysis functions with national development efforts.

Focus: Mainly on research and policy analysis; and capacity building in policy analysis.

Vision: To be a renowned policy research Institute in Africa.

Mission: To provide evidence-based socio-economic policy advice and capacity building.

Objectives:

- To promote and conduct research, analysis, and publication on development policy issues, which are of relevance to Botswana and the Southern African region;
- To monitor the performance of the Botswana economy and the management of public policy implementation, especially about the implications for economic and social development;
- To provide technical and financial assistance, directly and indirectly, to individuals and organisations in Botswana as deemed desirable for purposes of facilitating policy analysis;
- To assist professional training and public education of Botswana citizens in matters relating to policy analysis and encourage collaboration between expatriates and

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[4] BIDPA. "About Us." BIDPA, 2022. https://bidpa.bw/about-us/.

local professionals in these matters in ways that build, or augment, national capacities for performance and understanding of policy analysis;

- To employ staff members who will themselves, or jointly with other organisations or qualified people, carry out research, consultancy, training, and education projects, including arrangement and management of contractual relationships designed to facilitate such activities by persons affiliated with the institute;

- To present or publish, as the case may be, the outcome of its policy analysis, orally or in writing, to individuals, organisations, or the general public at large;

- To mobilize and administer funds to be used for the achievement of the objectives and performance of the functions of the Institute.

Research areas:

- <u>Trade, Industry, and Private Sector Development</u>: This research focus area addresses development issues from the perspective of the firms and industries that will be integral to the transformation of the economy. The theme has various components, including policy (sectoral development policies, competition, privatization, etc.) as well as issues around regulation and the business environment. It also includes trade policy and regional integration. The theme also encompasses specialized industry analysis, e.g. of value chains in agriculture and tourism, although the specific industry focus may change over time. This focus area has three research themes: Trade and regional integration; Economic Sectors; and Productivity, Competitiveness, and Innovation;

- Macroeconomics and Development;

- Human and Social Development;

- Environment, Agriculture and Natural Resources;

- Governance and Administration

2. Center for the Study of the Economies of Africa (CSEA), Nigeria[5]

Purpose: To enhance development outcomes in Africa through evidence-based research.

Background: CSEA is an independent non-profit research organization established in April 2008 by Dr. Ngozi Okonjo-lweala, former Managing Director, of the World Bank, and also Nigeria's past Coordinating Minister for the Economy and Minister of Finance. <u>CSEA was borne out of the need to bridge the gap caused by the paucity of rigorous empirical research that affects the quality of policies implemented in African countries</u>. The Centre's location in Abuja, the capital of Nigeria, also provides proximity to government agencies.

Objectives:

- CSEA serves as a forum for quality research analyses, and policy dialogue by stakeholders from the private sector, government, national assembly, and civil society. The policy-oriented research carried out by the Centre, including the articulation of policy choices, trade-offs, and implications, is put forward to the general public and decision-makers to stimulate rigorous debates on the effects of government policies on economic growth and development in Nigeria and Africa.
- CSEA is poised to assist in disseminating best practices to enable African governments to improve their public financial management systems. The Centre carries out applied research and presents policy options to enhance macroeconomic stability, fiscal transparency, and accountability Similarly, CSEA advocates for greater fiscal transparency and accountability, reduction in leakages of public funds, and improvements in governments' delivery of social and public services.
- In addition, CSEA engages in capacity building intending to foster rapid economic growth and alleviate poverty on the African continent.

Research areas:

- Global Economic Governance (GEG);
- Macroeconomics and Public Financial Management (PFM);
- Poverty Reduction and Inclusive Growth (PRIG);

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[5] CSEA. "About Us." CSEA, 2022. https://cseaafrica.org/about-us/.

- Environment, Natural Resources and Energy (ENRE);
- Human Capital Development (HCD);
- Trade and Investment (TI): will cover the topical issues of the African Continental Free Trade Area (AfCFTA) agreement, Foreign Direct Investment (FDI) and Development, Productive Capacities, Financial Markets and Development

3. Centre de Recherche Politique D'Abidjan (CRPA), Côte d'Ivoire[6]

Background: CRPA falls within the framework of the consolidation of democracy and the promotion of civic values in Africa. Indeed, the continent is plagued by several evils; we can cite among others bad governance, rebellions, disregard for democratic values, lack of political power, autocratic regimes, rigged elections, and political and post-election violence. […] These evils significantly slow the development of the continent and negatively impact the well-being of populations. Democratic and civic culture is necessary as a solution to overcome this unsavory situation. It is through the learning of that democratic culture, that Africans will be able to construct the right and strong institutions needed by the political regimes as appropriate; stable political regimes turned to the needs of the majority. The CRPA is fully in this process.

Purpose: To contribute to the political development in Africa.

Objectives:

- To popularize the political analysis: To bring listeners to identify issues of national and international political competition, to identify the strengths and shortcomings of African political systems, and make local and effective solutions, to teach them to develop or to join a viable political project, capable of meeting the aspirations of citizens;
- Promote the board and policy consultancy: - To the politicians, institutions, and ordinary citizens to improve their image, communication, or presence, to develop

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[6] CRPA. "About the CRPA." CRPA, December 22, 2017. http://www.crpa-ci.org/en/about-political-research-center-crpa.

a political strategy that can offer them the best chance to carry out their political project. -The political council that the CPRA proposes to offer is for governments, political actors, and citizens as the result of research findings. Here, political council and consultancy are not understood as instruments at the disposal of politicians in a private sense;

- Provide quality political training;
- Mediation.

Focus:

- Doing research;
- Analyze the facts and political phenomena to identify issues;
- Organize conferences, seminars, round tables (focus groups);
- Organize screenings of political films followed by discussions;
- Establish a library consisting of political books.

Research areas:

- Political science;
- Sociology;
- Law;
- History;
- Economics;
- Communication.

4. Eswatini Economic Policy Analysis and Research Centre (ESEPARC), Eswatini[7]

Background: The Eswatini Economic Policy Analysis and Research Centre (ESEPARC) is a semi-autonomous entity that was established in 2008 through a joint funding arrangement between the Government of Eswatini and the African Capacity Building Foundation (ACBF). The overall goal of ESEPARC is to build sustainable national capacity that must

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[7] ESEPARC. "Overview." ESEPARC, April 3, 2018. https://www.separc.co.sz/overview/.

improve the quality and timeliness of public policies in Eswatini, within the existing national policy and legislative framework.

Vision: To be the think tank of think tanks.

Objectives: To be the Kingdom of Eswatini's leading institution in public policy research and analysis, providing timely, evidence-based, contributions to policy formulation and implementation process and procedures, thus shaping a better future for the nation.

Focus:

- Capacity Building;
- Research and Policy Analysis: The formulation of policies and subsequent development programmes in Eswatini has previously not been backed by evidence. Consequently, the impact of such policies and programmes could neither be ascertained nor reported on. The establishment of ESEPARC was meant to address this concern. For this purpose, ESEPARC conducts economic policy research and analysis on key development issues that impact the country's development. This is especially aimed at to promoting the culture of evidence-based public policy decision-making for effective planning and programming. The overall goal of ESEPARC is to build sustainable national capacity that must improve the quality and timeliness of public policies in Eswatini, within the existing national policy and legislative framework. To achieve this goal, research is conducted internally by the Centre's researchers or commissioned to external consultants/independent researchers.

Research areas:

- Employment, Poverty and Sustainable Livelihoods;
- Governance, Public Sector Reforms, and Service Delivery;
- Economic Growth, Trade, and Industrialisation.

5. Good Governance Africa (GGA), Nigeria[8]

Purpose/Objectives: We aim to improve governance performance across the continent; inform and persuade the policy community that transparency and accountability are the basic building blocks of successful development; strengthen the rule of law; and build an active citizenry that institutionalises constraints on executive power. Why? Because improved governance results in better economic, social, and environmental performance, which leads to greater well-being for all citizens.

Focus: We conduct high-quality research to complement the building of more inclusive political settlements across the continent. Our research is demand-driven and provides an evidence base for building practicable policies that enhance productive and allocative efficiency. We are passionate about solving the challenges of environmental degradation, climate change, and mass youth unemployment, which combine to undermine human security and ecological integrity.

Research areas:

- Governance Delivery and Impact: Our GDI team performs the primary research role of monitoring and evaluating governance performance across the continent. We view governance through the simple lens of who gets what, when, and how. In other words, governance is about the allocation of public resources. Good governance is the effective, efficient, broad-based distribution of those resources in a manner that grows economies to the benefit of all citizens. […] We therefore produce research that assesses whether these institutional building blocks are in place or at least being built. […] The GDI team also evaluates service delivery quality. Effective delivery is ultimately a function of basic institutional building blocks being in place.
- Governance Insights and Analytics;
- Human Security and Climate Change;
- Natural Resource Governance.

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[8] GGA. "Vision and Values." GGA, 2022. https://gga.org/about-us/vision-and-values/.

6. Kenya Institute for Public Policy Research & Analysis (KIPPRA), Kenya[9]

Background: KIPPRA is a public institution that was established in May 1997 through a Legal Notice and commenced operations in June 1999. In January 2007, the President signed the KIPPRA Bill into law and the KIPPRA Act came into effect on 1st February 2007. The Institute is thus a state corporation established by an act of parliament with a primary mandate of providing quality policy advice to the Government of Kenya and other key stakeholders by conducting policy research and analysis and through capacity building to contribute to the achievement of national long-term development objectives.

Purpose: To provide quality public policy advice to the Government of Kenya by conducting objective research and analysis and through capacity building to contribute to the achievement of national development goals.

Vision: An international centre of excellence in public policy research and analysis.

Objectives:

- Develop capacities in public policy research and analysis and assist the Government in the process of policy formulation and implementation;
- Identify and undertake independent and objective programs of research and analysis, including macroeconomic, inter-disciplinary, and sectoral studies on topics affecting public policy in areas such as human resource development, social welfare, environment and natural resources, agriculture and rural development, trade and industry, public finance, money and finance, macroeconomic and microeconomic modeling;
- Provide advisory and technical services on public policy issues to the Government and other agencies of the Government;
- Communicate the findings and recommendations of the Institute's research programs to the agencies of the Government concerned with the implementation of public policy;

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[9] KIPPRA. "Who We Are." KIPPRA, 2022. https://kippra.or.ke/who-we-are/.

- Serve as a point of communication and encourage the exchange of views between the Government, the private sector, and other bodies or agencies of the Government on matters relating to public policy research and analysis;

- Collect and analyze relevant data on public policy issues and disseminate the Institute's research findings to persons it deems appropriate to publish such research findings;

- Develop and maintain a reservoir of research resources on public policy and related issues and make these available to the Government, the private sector, and learning institutions in Kenya;

- Organize symposia, conferences, workshops, and other meetings to promote the exchange of views on issues relating to public policy research and analysis; and

- Undertake public policy research relevant to governance and its implications for development.

Research areas:

- Governance;
- Macroeconomics;
- Social Sector;
- Productive Sector;
- Infrastructure and Economic Services;
- Private Sector Development;
- Trade and Foreign Policy: Aims to increase domestic and international trade; promote regional economic integration; enhance Kenya's relations and diplomatic engagements with the international community; and provide capacity-building stakeholders in the public and private sectors among others. The research activities are aligned with the aspirations of the Kenya Vision 2030 and the National Trade Policy which seeks to enhance the supply of goods and services to the domestic market, while at the same time deepening economic and commercial ties through regional economic integration, and bilateral and multilateral partnerships.

7. Nigerian Economic Summit Group (NESG), Nigeria[10]

Background:

In 1993, a group of passionate and concerned private sector leaders representing key economic sectors conceived the Nigerian Economic Summit (NES) and sustained it as a platform for bringing together private sector leaders and senior public sector officials to discuss and dialogue on the future of the Nigerian Economy. Three years later, in 1996, the NESG was established and incorporated as a non-profit, non-partisan private sector organisation with a mandate to promote and champion the reform of the Nigerian economy into an open, private sector-led globally competitive economy.

Focus:

- Policy Commissions;
- Connector;
- Research;
- Interventions.

Purpose: To promote and champion the reform of the Nigerian economy into an open, inclusive, sustainable, and globally competitive economy.

Vision: To become Africa's leading private sector think-tank committed to the development of a modern globally competitive and inclusive Nigerian economy.

Research areas:

- Economic competitiveness;
- Foreign aid and investment;
- Inclusive growth, equitable and informal sector;
- Infrastructure, energy, and power;
- Institutions and growth;
- Private sector and business environment;
- Regional integration and trade.

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[10] NESG. "About Us." NESG, 2022. https://nesgroup.org/about.

8. Policy Center for the New South (PCNS), Morocco[11]

Background:

Purpose: To contribute to the improvement of economic and social public policies that challenge Morocco and the rest of Africa as integral parts of the global South.

Objectives:

- PCNS pleads for an open, accountable, and enterprising "new South" that defines its own narratives and mental maps around the Mediterranean and South Atlantic basins, as part of a forward-looking relationship with the rest of the world. Through its analytical endeavors, the think tank aims to support the development of public policies in Africa and to give the floor to experts from the South. This stance is focused on dialogue and partnership, and aims to cultivate African expertise and excellence needed for the accurate analysis of African and global challenges and the suggestion of appropriate solutions;
- PCNS brings together researchers, publishes their work, and capitalizes on a network of renowned partners, representative of different regions of the world. The PCNS hosts a series of gatherings of different formats and scales throughout the year, the most important being the annual international conferences "The Atlantic Dialogues" and "African Peace and Security Annual Conference" (APSACO);
- PCNS is developing a community of young leaders through the Atlantic Dialogues Emerging Leaders Program (ADEL) a space for cooperation and networking between a new generation of decision-makers from the government, business, and civil society sectors. Through this initiative, which already counts more than 300 members, the Policy Center for the New South contributes to intergenerational dialogue and the emergence of tomorrow's leaders.

Research areas:

- The New South in an Evolving Globalization;

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[11] PCNS. "About PCNS." PCNS, 2022. https://www.policycenter.ma/about-policy-center-new-south.

- <u>Building an Autonomous Africa in an Interdependent World</u>: aims to rethink the autonomy of the African continent in an increasingly interdependent world, first because of the important African transitions that have taken place over the last twenty years, which have placed Africa as a key player in contemporary international relations. The second reason is the African Union's reform in 2002, the entry into force of the <u>African continental free trade area</u> that will likely strengthen Africa's place in international trade negotiations, the drafting of Agenda 2063, and the establishment of the African Court on Human and Peoples' Rights. This program envisages following the debate on the strategic autonomy of a continent that is beginning to impose itself as an autonomous geo-economic and geopolitical entity, free from previous tutelage, pushing the continent to diversify its alliances, in a world more than ever prey to the Sino-American rivalry…
  - Power Competition
  - Africa's Strategic Autonomy
  - Regional Dynamics
  - Africa in the wider Atlantic;
- Understanding Internal African Dynamics;
- Thinking about Africa's Emergence in the New Globalization:
  - <u>Trade, Structural Transformations, and Integration</u>
  - Ecological Transition and Natural Resources
  - Agricultural and Food Security Policies
  - Labor Market, Education, and Social Inclusion
  - Research and Innovation;
- Rethinking the Moroccan Economy:
  - Economic Trends and Macroeconomic Regulation
  - Energy Transition and Climate Change
  - Labor Market and Education
  - <u>Trade and Integration</u>
  - Sectoral Policies, Research and Innovation;
- Morocco in a Changing Global Environment;
- Morocco, the Social and Territorial State.

9. Research on Policy Alleviation (REPOA), Tanzania[12]

Background: REPOA was established in 1994 as a Non-Governmental Organization (NGO) under the name of "Research on Poverty Alleviation Programme Limited" and registered as a company limited by Guarantee not having share capital. In October 2014 the name of the organization was changed to REPOA Limited to reflect its broader mandate without losing the brand name already established.

Purpose: To engage in policy research and dialogue that promotes socioeconomic transformation for inclusive development.

Vision: To be the leading research institution in the region in the production and dissemination of knowledge that contributes to improving the lives of people by influencing socioeconomic policies.

Focus:

- Research (strategic, collaborative, and commissioned research studies);
- Capacity building;
- Dialogue Facilitation;
- Knowledge access and utilisation.

Research areas:

- Natural resources as foundations for economic growth and socio-economic transformation – include agricultural land; minerals; oil and gas; forestry; wildlife; fishery;
- Industrialization, structural change, enterprise development, and employment as pillars for economic growth and socioeconomic transformation-includes manufacturing, SME development, informal sector upgrading, trade, and labour market dynamics;
- Governance systems and social policy with a focus on economic governance, social protection, accountability, and social service delivery.

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[12] REPOA. "About Us." REPOA, 2022. http://www.repoa.or.tz/?page_id=7.

10. South African Institute of International Affairs (SAIIA), South Africa[13]

Background: Founded in 1934, the South African Institute of International Affairs (SAIIA) is South Africa's premier research institute on international issues. As an independent, non-governmental think tank, we have a long and proud history of providing thought leadership in Africa. We are both a centre for research excellence and a home for stimulating public discussion. SAIIA runs a membership programme, providing members with a portfolio of services in return for their financial support. Our membership base comprises private sector companies, diplomatic missions, institutions, students, and individuals who have an interest in international affairs. SAIIA produces the quarterly South African Journal of International Affairs, a fully peer-reviewed journal of academically rigorous policy-oriented articles. SAIIA was awarded a five-star ranking by the Transparify NGO which rates think tanks according to the degree of transparency of their funding sources. SAIIA has been consistently ranked among the top foreign policy and international relations think tanks in the world in the University of Pennsylvania's 'Go-To' Think Tank Index.

Purpose: advancing a well-governed, peaceful, economically sustainable, and globally engaged Africa by providing cutting-edge analysis and promoting balanced dialogue on issues crucial to Africa's development and its engagement in a global context.

Objectives:

- Making input into policy development locally and internationally;
- Undertaking research on current issues of importance to Africa generally, and South Africa specifically, with a focus on trade, investment, development, foreign policy and good governance;
- Developing joint programmes with international organisations and agencies throughout the world;
- Maintaining a resource centre and reference library for students and scholars of international relations;
- Organising conferences, roundtable discussions, seminars, and speakers' meetings on a wide range of topics;

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[13] SAIIA. "About." SAIIA, 2022. https://saiia.org.za/about/.

- Encouraging an interest in international relations among young people through our leadership and outreach programmes.

Focus:

- Economic Diplomacy;
- Foreign Policy;
- Governance;
- Resource Governance;
- Regional Observatory;
- Africa Portal;
- Youth Development.

Research areas:

- Climate change;
- Development;
- Economic Diplomacy:
  - Global Economic Governance
  - Infrastructure Finance
  - Regional Value Chains
  - Trade & Investment
- Foreign Policy;
- Foresight;
- Governance:
  - African Initiatives
  - Democracy & Human Rights
  - Migration
  - Nuclear Governance
  - Technology;
- Natural Resources.

II. Theory and practice of policy implementation

Canadian Public Administration (2011)[14]

"The term "implementation" as a popular concept in contemporary discourse among scholars of public policy dates back to the work of Jeffrey Pressman and Aaron Wildavsky (1973) in the early 1970s. Research on policy implementation provides the essential link between political and economic analyses of policy implementation and the organizational/institutional analysis of public administration (Hjern and Hull 1987). This research has been through some major phases of development. Three phases – commonly referred to as the first, second, and third generations – can be identified in the literature (Goggin 1990; Howlett and Ramesh 1995; Pal 2006). Elaborating on these approaches is beyond the scope of the present work, but a brief overview, however, will serve as a context for advancing our understanding of the multi-actor implementation framework proposed here.

When it was originally developed as a field of inquiry, research on policy implementation was marked by the emergence of a top-down approach in the scholarly literature (Bardach 1977; Pressman and Wildavsky 1973; Sabatier and Mazmanian 1981). The theoretical and empirical assumptions of this approach were immediately criticized as excessively mechanistic and unable to do justice to the realities of policy delivery in democratic societies. The critics who espoused a bottom-up approach were unified by their effort to examine the politics and processes of policy implementation, starting from the frontlines of public administration, where street-level public officials often interact with organized societal interests (Barrett and Fudge 1981; Elmore 1981; Kickert 1997; Klijn 1996). The debates on the relative merits of the top-down and bottom-up approaches were grouped under the label of "first-generation implementation research" (Hill and Hupe 2002).

A consequence of the normative schism between the two traditions was the theoretical impoverishment of first-generation research on policy implementation. A new generation of scholars emerged in the late 1970s and early 1980s – a second generation of research –

who synthesized the insights of the top-down and bottom-up approaches into a conceptual framework that consisted of a set of theories of implementation (O'Toole 1986; Palumbo and Calista 1990; Sabatier 1986 ▱). This synthesis approach, however, has its own problems – especially its tendency to be little more than a combination of variables from the two perspectives, which leaves the reader with a long list of variables and complex diagrams of causal chains (Exworthy and Powell 2004; Linder and Peters 1987; Sinclair 2001 ▱).

A third generation of researchers, who distilled a large number of variables into a manageable framework, eventually emerged in the late 1980s and early 1990s (Winter 1990 ▱). They hoped to develop more elegant theories that could lend themselves to broader generalizations and more longitudinal inquiries (Goggin 1990 ▱). As Laurence O'Toole Jr. (2000) ▱ notes, however, this effort proved too ambitious, because very few scholars have so far been willing to undertake such inquiries. In the 1980s, moreover, the process of policy implementation was influenced by structural changes in public administration towards decentralization, devolution of responsibilities, partnerships, and the restructuring of accountability relationships in service delivery (Kettl 2000; O'Toole 2000; Pal 2006 ▱). As a result of such transformations, public policies are increasingly being implemented in concert with non-state actors in cooperative or collaborative partnership arrangements. These new inter-organizational partnerships are not merely a passing fancy but are likely to be permanent features on the landscape of policy implementation (Kernaghan, Borins, and Marson 2000 ▱).

The central concern shared by theoretical perspectives on policy implementation, organization and governance is to understand how government organizations interact with their external environment in the delivery of policies.

As a result of transitions towards complex and multi-actor policy processes, the focus of research on implementation shifted from trying to build meta-theory towards explaining concerted action across institutional boundaries (Lindquist 2006; O'Toole 2000 ▱). Thus, one notices the broadening of the approach to research on policy implementation into a multi-focus perspective that looks at a multiplicity of actors, loci, and levels (Hill and Hupe 2003 ▱). In federal systems, for instance, the different levels of policy action consist of

federal, provincial state, and municipal jurisdictions and their agencies. The loci of policy action often consist of constellations of ideational and interest coalitions within and outside the state within a policy subsystem ([Sabatier and Jenkins-Smith 1993](#) ⬚).”

OECD (2013)[15]

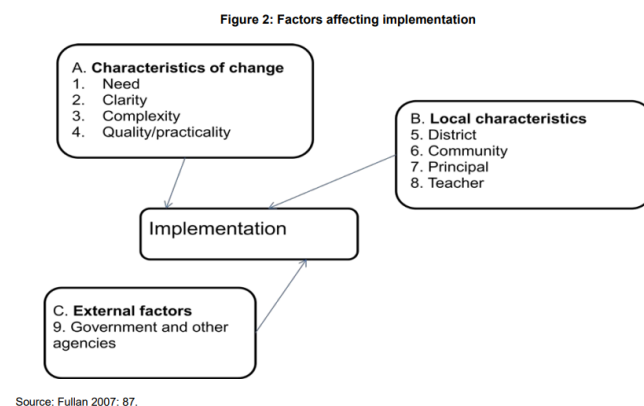Factors of successful implementation:

- Coherence;
- Stability;
- Peer support;
- Training;
- Engagement.

Top-down, bottom-up, combined approaches (see description in the following section)…

Rational choice theories:

- Game Theory:
- Agency Theory:

Factors affecting implementation:

Figure 2: Factors affecting implementation

A. **Characteristics of change**
1. Need
2. Clarity
3. Complexity
4. Quality/practicality

B. **Local characteristics**
5. District
6. Community
7. Principal
8. Teacher

Implementation

C. **External factors**
9. Government and other agencies

Source: Fullan 2007: 87.

Conditions beneficial for effective implementation (Sabatier and Mazmanian, 1979):

- The programme is based on a sound theory relating to changes in target group behaviour;
- Policy decisions have to contain unambiguous policy directives and structure the implementation process in a way that increases the chances of good performance of target groups;
- The leaders and implementing agencies require significant managerial and political skills and commitment to the goals;
- The programme also needs to be supported by organised constituency groups and a few key legislators throughout the process;
- The priority of objectives is not undermined over time by conflicting public policies or changes in socio-economic conditions.

Critical variables for effective implementation (Gornitzka, Kyvik, and Stensaker, 2005):

- Policy standards and objectives: effective implementation depends on the nature of the policy to be carried out and the specific factors contributing to the realisation or non-realisation of policy objectives, which vary across policy types;
- Policy resources: funds are needed for implementation, but the ones available are usually not adequate, which makes reaching policy objectives difficult;
- Inter-organisational communication and enforcement activities: technical advice and assistance should be provided, and superiors should rely on positive and negative sanctions;
- Characteristics of implementing agencies: both formal structural features of organisations and the informal attributes of their personnel are important. These include, for example, the competence and size of an agency's staff, the degree of hierarchical control of processes within implementing agencies;
- Economic, social, and political conditions: general economic, social, and political conditions are important for the relationship between objectives and results;
- Disposition of implementers: This concerns the motivation and attitudes of those responsible for implementing the reform.

Different stages in the implementation process (Sabatier and Mazmanian, 1980):

- The policy outputs (decisions) of implementing agencies;
- The compliance of target groups with those decisions;
- The actual impacts of agency decisions;
- The perceived impacts of those decisions;
- The political system's evaluation of a statute in terms of major revisions in its content.

IJAMR (2020)[16]

Abstract: "Policy implementation involves translating the goals and objectives of policy into action. This article reviews the literature on the topic 'Review on concepts & theoretical approaches of policy implementation.' The review article focuses on the state and status of policy implementation as a discipline, the concept of policy implementation, the theoretical approaches for policy implementation, and the factors/challenges affecting successful policy implementation performance, based on a review of the literature and analysis of different scholars. Finally, most researches focus on policy implementation as only one part of the public policy process cycle. There is no single perspective better than the rest one size fits all approach to implementation. But policy implementation can be studied using various theoretical tools from different perspectives."

Barriers to policy implementation processes:

- Political (slow authorization, weak political support, bureaucratic opposition, and poor implementer incentives);
- Analytical competence (vague or multiple missions, changing priorities, poor design, and uneven feasibility); and
- Operational capacity (fund limitations, weak management structure or net coordination capacity, and lack of clarity in operational plans). Hence, the secret of

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[16] http://ijeais.org/wp-content/uploads/2020/11/IJAMR201122.pdf

policy success or its opposite side lies in all of these factors: their presence or absence determines policy success or failure.

Theories/Approaches:

- Top-down: studying policy design and implementation that considers the highest-level policy designers' goals and traces the policy's design and implementation through the lowest-level implementers;
- Bottom-up: studying policy design and implementation that looks at the abilities and motivations of the lowest-level implementers and ways policy design from that level to the highest levels of government;
- Hybrid/Synthesis/Combined: try to overcome the divide between the top-bottom and bottom-up approaches of policy implementation by incorporating top-down and bottom-up models.
- Inter-organizational interaction approach:
  - ➤ Power Dependency Approach: organizations' interaction produces power relationships in which organizations can induce other, less powerful organizations to interact with them.
  - ➤ Organizational Exchange Approach: organization's interaction in the organizational exchange approach is based on exchange for mutual benefit.
- Policy implementation dimensions:
  - ➤ Policy, its formulation, and dissemination;
  - ➤ Social, political, and economic context;
  - ➤ Leadership for policy implementation;
  - ➤ Stakeholder involvement in policy implementation;
  - ➤ Implementation planning and resource mobilization;
  - ➤ Operations and services; and
  - ➤ Feedback on progress and results.
- Factors:
  - ➤ Independent variable: rational, management, organizational development, bureaucratic, and political factors.
  - ➤ Dependent variable: implementation performance.

- Policy implementation models:
  - ➢ Top-down policy implementation model: depicts the cascading of policies from the national or Federal office to the city through various departments;
  - ➢ Bottom-up policy implementation model: views policy from the perspective of the target population and the service deliverers;
  - ➢ Policy-action relationship model: implies that the outside environment affects the activities of an organization;
  - ➢ Inter-organizational interaction model: handles policy implementation between different organizations;
  - ➢ Rational choice model: requires clarifying goals, missions, and objectives, detailed planning, proper job assignments, effective monitoring and evaluation, broad and efficient operating procedures, and techniques needed to assist implementers in defining the scope of their responsibilities in line with policy objectives.

III. Findings in work plans from similar labs in different countries[17]

- Emphasis on partnerships with other NGOs think tanks, and governmental agencies to provide advice/training or receive information. It's mutually beneficial.
- The approach/Theoretical framework is usually evidence-based/theory of change.
- Common stages to determine the impact of policy implementation, e.g.:
  - ➢ Phase 1 – Discover: "We begin projects by researching to understand the current state of a service system. We engage with service providers and users, visualize people's experiences and activities, and identify shared needs."
  - ➢ Phase 2 – Design: "In collaboration with the public, front-line staff, and policymakers, we collaboratively design new policies or service offerings. We turn our research insights into design objectives and then develop and test

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[17] See our report from January 2022 for more details.

prototypes of new potential programs and tools. At this phase, we also define a theory of change to guide subsequent evaluation."

- ➢ Phase 3 – Evaluate: "Before scaling up, we pilot new service offerings to ensure their efficacy. Small-scale real-world implementations allow us to debug program activities so that new programs can be scaled up with confidence that any design, technological, regulatory, and human resource requirements have been addressed." Their implementation activities include feasibility review, real-world testing, evaluation, up-scaling, and implementation planning.
- Some labs organize conferences, workshops, or training sessions where they share their findings and learn from experts on policy implementation at the same time. Even though it should not be the focus of the lab, it would be interesting to do it.
- There are more findings to come. They will be added directly to our proposal.