Policy Targets' Compliance with Voluntary Agreements:
A Different Story?

Torotcoi Simona
Central European University
IPPC Singapore, 2017
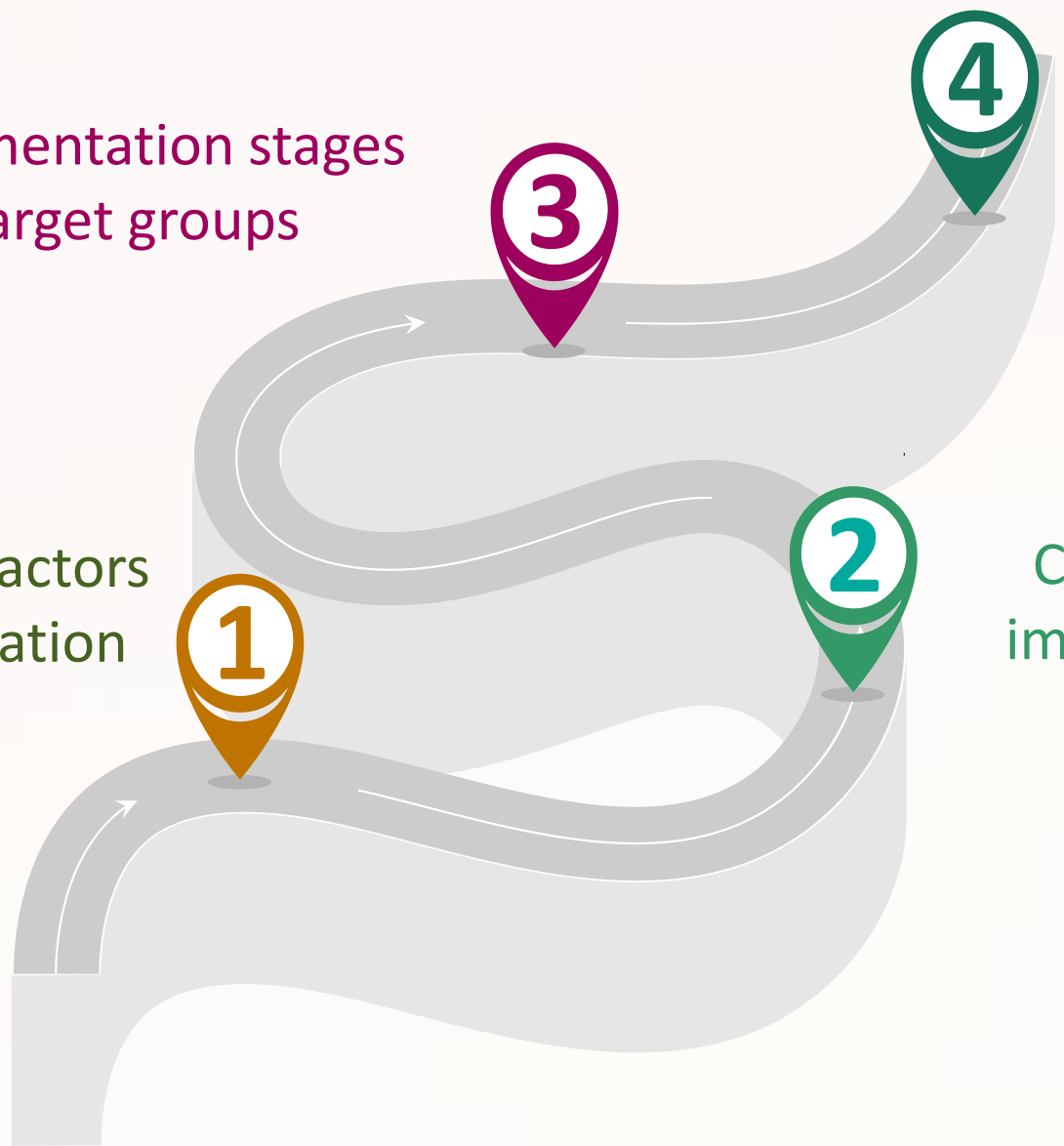
Outline

Different implementation stages - different target groups

3

Policy implications

4

Different types of actors in the implementation process

1

Compliance vs. implementation

2

Policy Actors

Types of actors

Political administrative	Socio - cultural/ socio - economic
Policy entrepreneurs	Target groups
Decision makers	End beneficiaries
Policy deliverers/implementers	Third party groups
Policy evaluators	

Source: Knoepfel et al. (2011);
Flanagan et al. (2011)

Compliance vs. Implementation

"In policy studies (non-)compliance tends to come up as a problem of implementation, although the two terms are conceptually distinct (e.g. Hogwood and Gunn 1984, p.197). In the simplest terms, compliance denotes the conformity of behavior with a prescribed rule or objective, which is usually, but not necessarily, the outcome of policy implementation (e.g. Mazmanian and Sabatier, 1989; Versluis, 2007; Weaver, 2014)."

(Source: Batory, 2016)

"Compliance can occur without implementation while implementation does not necessarily have to result in compliance."
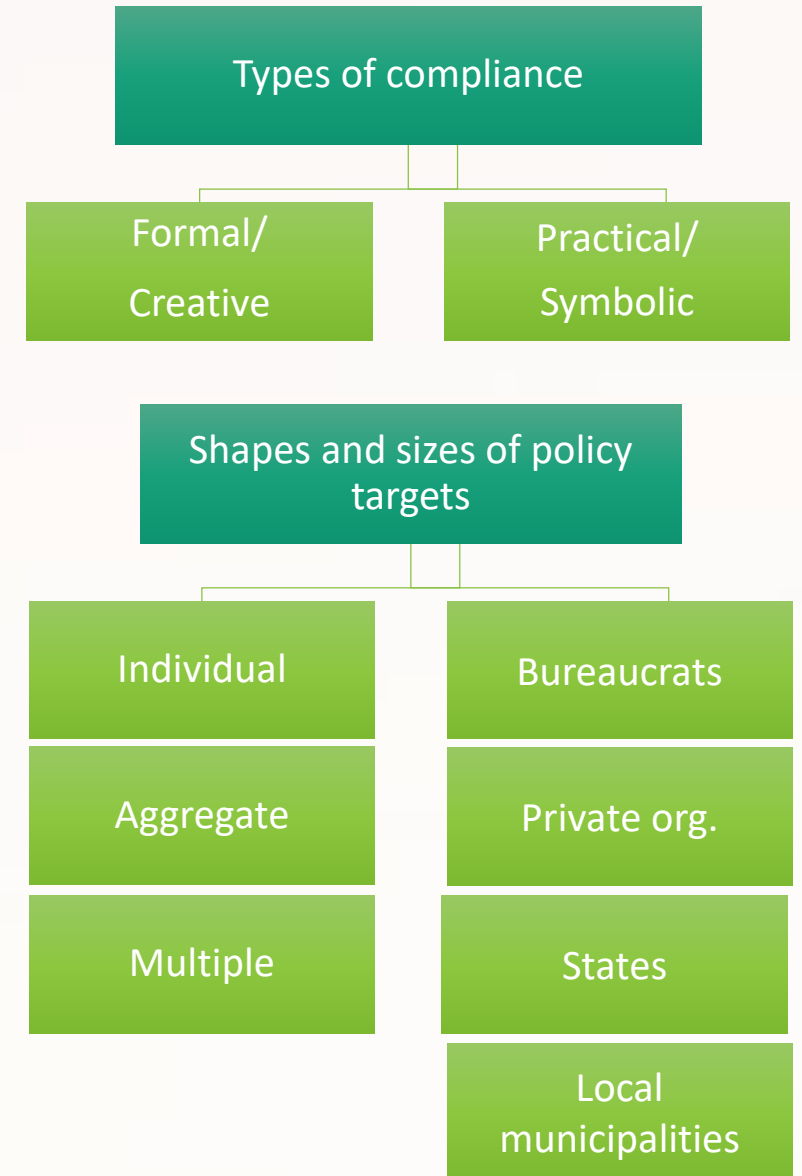
(Source: Treib, 2014)

Compliance

The conformity of behavior with a prescribed rule (Batory, 2016)

Compliance
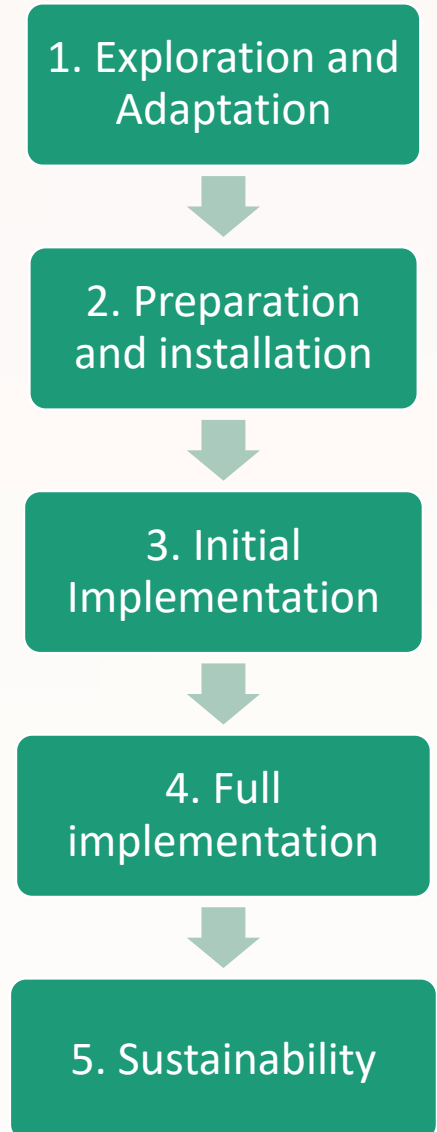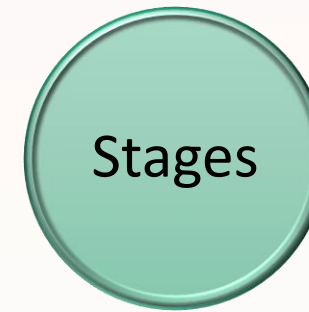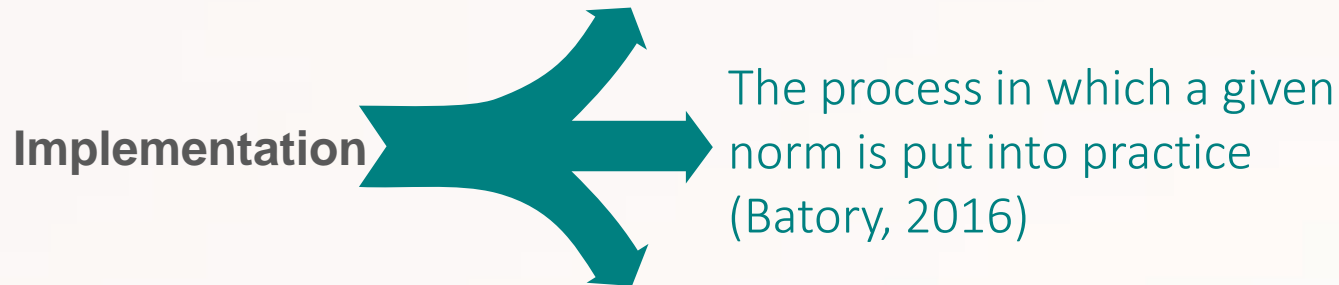
Policy targets' reactions to regulation (Feldman, 2011)

Behavior which is consistent with the objectives of the *policy*, that is in the way that program designers intended and wanted (Weaver, 2009)

Types of compliance

Formal/ Creative

Practical/ Symbolic

Shapes and sizes of policy targets

Individual

Bureaucrats

Aggregate

Private org.

Multiple

States

Local municipalities

Implementation

The process which encompasses those actions by public or private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions (Van Meter, 1975)

Implementation

The process in which a given norm is put into practice (Batory, 2016)

Stages

1. Exploration and Adaptation

2. Preparation and installation

3. Initial Implementation

4. Full implementation

5. Sustainability

A complicated relationship

Implementation

Actions directed at the achievement of policy objectives

Compliance

Behavior which is consistent with the objectives of the policy

➤ Compliance as term is used to refer to implementation, that is mainly transposition and adoption of laws

➤ Both compliance and implementation are similar but slightly different concepts

Solution?
Different implementation stages, different targets in each stage

Policy stages and levels in the EHEA

The European Higher Education Area	Implementation stages	Responsible levels
Supranational level	Policy formulation/ Decision-making	International Bologna structures
Country level	Adoption	Central level
	Transposition	Administrative level
	Implementation	Institutional level
Supranational level	Outcome / Convergence	System wide

Policy stages and policy targets in the EHEA

The European Higher Education Area	Implementation stages	Responsible levels	Responsible actors and their roles	
Supranational level	Policy formulation/ Decision-making	International Bologna structures		
			Decision-makers	Policy entrepreneurs
Country level	Adoption	Central level		
			Policy targets	Decision-makers
	Transposition	Administrative level		
			Policy targets	Policy implementers
	Implementation	Institutional level		
			Policy targets & implementers	End beneficiaries
Supranational level	Outcome / Convergence	System wide		
			Policy targets	End beneficiaries

Conclusions

→ Compliance and implementation are different things, however not exclusive - reflecting upon the relationship between them can be a useful approach to better understand the policy process in a multi-level setting

→ Identifying the actors and their main roles and responsibilities contributes in understanding actors' multiplicity of roles in the implementation process

→ A differentiation between different stages and different actors helps in moving the implementation discussion to a different level

→ While each of the level has its own category of policy actors, decision-makers, implementers, targets or end beneficiaries, in this context each of these categories become targets which have to align their behaviour with the supranational requirements.

Torotcoi Simona
Central European University
IPPC Singapore, 2017