

Policy Implementation Analysis: Exploration of George Edward III, Marilee S Grindle, and Mazmanian and Sabatier Theories in the Policy Analysis Triangle Framework

Syahrul Mubarak^{a*}

^a Universitas Brawijaya, Malang, Jawa Timur, Indonesia

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ABSTRACT

Policy implementation is an equally important process of policy formulation in the context of achieving policy objectives. Although a policy has been well and neatly arranged, the purpose of the policy will never be achieved if the policy is not implemented properly. Policy research is a study of policies intended for the general interests of policies or implemented policies. There are several policy model implementation theories. Some of them are Edward's model, Grindle's model, Mazmanian and Sabatier's model. These policy implementation model has several advantages and disadvantages in its implementation. Using policy analysis triangle framework, these three implementation models can be made as an optimized policy implementation analysis method which has the advantages of the three models and meets the comprehensive and integrative aspects of an organization. The result presented in this study is a design of the policy implementation analysis method based on George Edward III, Marilee S Grindle, and Mazmanian & Sabatier policy implementation model.

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1. Introduction

Policy implementation is an equally important process of policy formulation in the context of achieving policy objectives. Although a policy has been arranged so well and neatly, the purpose of the policy will never be achieved if the policy is not implemented properly. In the context of research, policy implementation research is one kind of policy research.

There are various policy implementation theories and models. Three of them are Edward, Grindle, and Mazmanian & Sabatier theories. The interesting thing about policy implementation theories is that each expert with their theories has a different focus and emphasis on looking at the success of a policy implementation. Edward as one of the experts emphasized that the success of policy implementation was determined based on four determinant variables consisting of communication, resources, trends and behavior, and bureaucratic structure. Grindle, in the same year also expressed his opinion about how a policy can be successfully implemented. In contrast to Edward, Grindle emphasized that the success of a policy implementation can be seen from two variables, namely

the suitability of the policy design and its implementation which refer to the actions of policies and the achievement of policy objectives by looking at the effects on society. According to Grindle, the policy will be successfully implemented if the level of implementation is high which can be seen from the Content of Policy and the Context of Policy. On the other hand, Mazmanian and Sabatier view that the actual policy implementation is influenced by three main factors, namely the characteristics of the problem (easy or not for a problem to be controlled), policy characteristics (the ability of policies to structure the implementation process), and environmental variables (variables outside the policy which affect implementation process). In addition to the three models for implementing the policy, there is also a triangle of policy analysis framework. The policy analysis triangle highlights four major aspects in discussing a policy which consist of content, context, process, and actors.

If we pay close attention, each expert has its own specificity in expressing their opinions regarding matters that affect the successful policy implementation. Grindle, has a viewpoint on the regulatory comprehension of a policy which must then

* Corresponding author. Tel.: +62-813-8343-0776; e-mail: syahrulmubarak@gmail.com

be carried out in accordance with a predetermined design. Edward on the other hand focuses more on the preconditions needed so that the policy implementation is successful, while Mazmanian and Sabatier emphasize the factors that influence the achievement of formal objectives throughout the implementation process.

Associated with the policy research framework, even though all three experts have different opinions about matters that influence the success of policy implementation, all of these opinions can be accommodated in one analytical perspective to determine what factors actually affect the success of the implementation of an overall policy in the policy analysis triangle. Identification of these factors is an effort to achieve a pragmatic strategic policy concept as an ideal policy according to Nugroho. The results presented in this study are the design of the method of analyzing policy implementation based on George Edward III, Marilee S Grindle, and Mazmanian & Sabatier theories. These theories can be matched in the context of fulfilling the policy analysis triangle framework that meets the comprehensive and integrative aspects of an organization.

2. literature Review

a) Edward III Policy Implementation Model

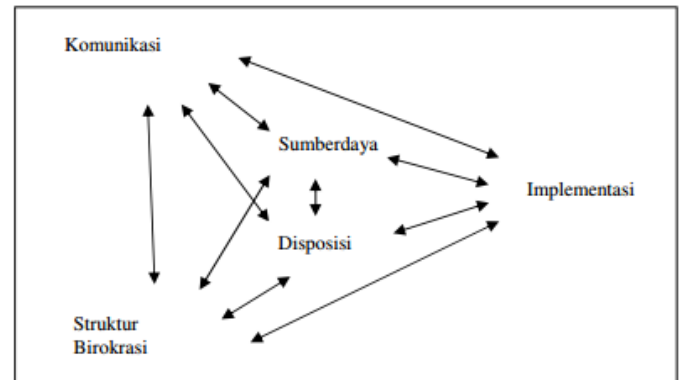
Edward (1980) states that there are four important variables in policy implementation, namely: communication, resources, tendencies or behaviors, and bureaucratic structures. According to Edward, the context of tendencies and behaviors means the willingness, desires, and tendency of the policy makers to implement them seriously so that policy objectives can be realized. If a policy wants to be effectively and efficiently implemented, the implementors not only have to know what to do and have the ability to carry out the policy, but also have the intention to implement the policy.

Although the sources for implementing a policy are sufficient and the policy implementors know what and how to do it, and have the desire to do so, Edward stated that policy implementation might still not be effective because of the inefficiency of the bureaucratic structure. According to Edward, this bureaucratic structure includes aspects such as bureaucratic structure, division of authority, as well as relations between organizational units and so on.

Based on the results of Edward III's research in Winarno (2005) it is known that Standard Operational Procedures (SOP)s are very likely to be an obstacle for the implementation of new policies which require new ways of working or new types of personnel to implement policies. Thus, the greater the policy requires changes in the ways that are prevalent in an organization, the greater the probability of SOPs hindering policy implementation.

Fragmentation is the spread of responsibility for a policy to several different bodies so that coordination is needed in its implementation. Edward said that fragmented (fragmented or scattered) bureaucratic

structures can increase the probability of communication failure, because the possibility of information distortion will be very large. The more distorted an information is,



the more intensive coordination needed.

Figure 1. Edward's Policy Model

Source: Edward, 1980

b) Marilee S. Grindle Policy Implementation Model

Grindle (1980) introduced a policy implementation approach called Implementation as A Political and Administrative Process. Policy implementation is a general process of administrative actions carried out by the government or the private sector in achieving certain goals (Grindle, 1980). The model introduced by Grindle illustrates the decision-making process carried out by various actors based on the program that has been achieved or the interaction of decision makers in the administrative political context (Grindle, 1980). The characteristic of implementing this policy is the interaction between policy makers, policy implementers, and policy users in an interactive model. There are two variables that influence the implementation of public policies where both of these variables can be parameters of the success of implementing a policy. These parameters are as follows:

- (1) Policy process, which is to see the suitability of policy implementation with designs that refer to the actions of their policies; and
- (2) Policy Objectives Achievement, namely by looking at two factors including the impact on society either individually or in groups and the level of change that occurs and the acceptance of the target group and the occurring changes.

The success of policy implementation is largely determined by the level of implementation of the policy itself which consists of Content of Policy and Context of Policy (Grindle, 1980). This model has six elements of policy content and three elements of the implementation context. The contents of the policy includes Interest Affected, Type of Benefits, Extent of Change Envision, Site of Decision Making, Program Implementor, and Resource Committed. While the context of policy focused in Power, Interest, and Strategy of Actor Involved, Institution and Regime Characteristic, and Compliance and Responsiveness.

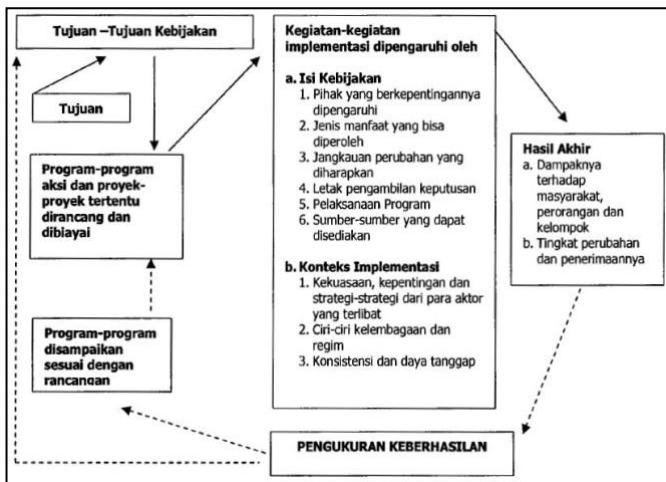


Figure 2. Marilee S. Grindle Model
Source: Grindle, 1980

In Figure 2 the policy implementation process must begin with the existence of goals and objectives as well as programs or activities which are designed from the beginning and also have allocated funds to realize these goals and objectives. The stages are continued with the policy implementation stage, which refers to the contents of the policy and the context of implementation. Several considerations in the contents of the policy are the resources needed to achieve policy goals. In addition, the implementation context considers the institutional roles and strategies of the actors involved. These two components must be measured in the framework of implementing policies that achieve the final results. The final results are in the form of the desired impact and the level of change from the policy implementation process. This model has the advantages of the method used, namely the measurement of the success of policy implementation along with output and outcomes.

c) Daniel Mazmanian and Paul Sabatier Model

Mazmanian and Sabatier (1983) argue that the important role of the implementation of public policy is its ability to identify variables that influence the achievement of formal objectives throughout the implementation process. The variables in question can be classified into three broad categories, namely:

(1) *Tractability variable of the problem.* The aspects included in the ease of the problems to be addressed include:

- The level of technical difficulties, whether or not the objectives of a policy are reached will depend on a number of technical requirements. Those requirements including the ability to develop less expensive indicators of work performance, an understanding of the principles of causal relationships that affect the problem and the success rate of a policy, and the availability or development of certain techniques;
- Diversity of regulated behavior, that is, if the diversity of regulated behavior increases, the assumption is that more diverse services are

provided, making it increasingly difficult to make strict and clear regulations. Thus, the greater the freedom of action that officials have to control (administrators or bureaucrats) in the field, the smaller and clearer the target group whose behavior will be changed (through policy implementation), the greater the opportunity to mobilize political support for a policies and with it more opportunities for achieving policy objectives; and

- The level and scope of desired behavioral changes, that is, the greater the number of behavioral changes desired by the policy, the more difficult the implementors to achieve successful implementation.
- (2) Policy makers utilize their authority to structure the implementation process appropriately in the following ways:
- Accuracy and clarity of the alignment of objectives to be achieved, that is, the more regulation provides careful instructions and clearly arranged priority scale/order of importance for implementing officials and other actors, the greater the likelihood that the policy output from implementing agencies will be in line with these instructions;
 - The reliability of the needed causality theory which explains how the goal will be achieved through policy implementation;
 - The accuracy of the financial resources allocation. The availability of funds at a certain level of threshold, is very necessary in order to open opportunities to achieve formal objectives;
 - Integration of hierarchies within the environment and between institutions or implementing agencies. One important feature that every good rule of law needs to have is its ability to integrate the hierarchy of implementing agencies. When the ability to integrate agencies and institutions is forgotten, then coordination between agencies aimed at facilitating the implementation of policies will in fact disperse the objectives of the established policies;
 - Decision-making rules of implementing agencies. Besides being able to provide clarity and consistency of objectives, minimize the number of veto points, and adequate incentives for compliance with the target group, a law/rule must also be able to further influence the policy implementation process by formally outlining the decision-making rules of the implementing agencies;
 - Recruitment of implementing officials. This is a requirement so that implementing officials understand the objectives of policy implementation;
 - Formal access of outside parties. Another factor that can also influence policy implementation is the extent to which opportunities open to the actors outside the implementing agency can support official objectives; and

- Variables outside the law that affect implementation. There are several important variables outside the law that affect implementation, namely socio-economic and technological conditions, public support, attitudes and resources owned by society groups, support of superior officials, agreements and leadership capabilities of executing officials.

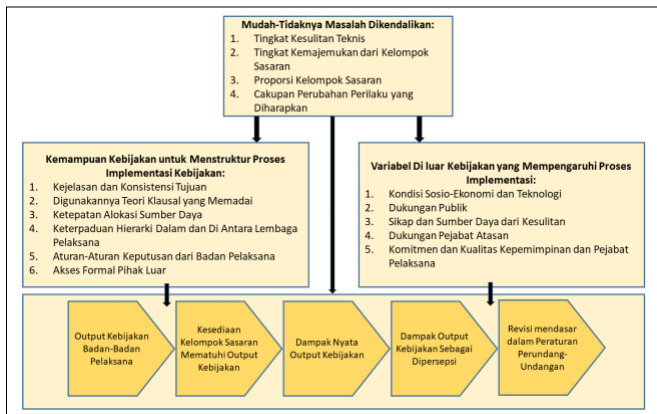


Figure 3. Mazmanian dan Sabatier Model
Source: Mazmanian & Sabatier, 1983

Based figure 3, policy implementation is influenced by three main factors, namely the characteristics of the problem (whether the problem is easy to control or not), policy characteristics (the ability of the policy to structure the implementation process), and environmental variables (variables outside the policy that affect the implementation process). The three main factors are independent variables that influence the implementation stages which are dependent variables. In this approach, each stage of achievement in implementation is influenced by other previous stages. For example the willingness of the target group to comply with the provisions in a policy decision will affect the real impact of the decision.

d) Theoretical Study and Policy Implementation Model in the Policy Analysis Triangle Framework

Policy research is a study of policies intended for the general interests of policies or implemented policies (Nugroho, 2012). In the context of policy research, we need to observe whether the policy research will be prospective or retrospective. Prospective policy research can be in the form of policy research to plan changes in a policy. While the retrospective side focuses to analyze existing policies. Looking at policy research from these two points of view, in 1994, Walt and Gilson formulated an analytical model called the policy analysis triangle model. According to Buse, this framework is very useful because it can be applied prospectively or retrospectively in any country, any policy, and at any policy level (Buse, et.al, 2005).

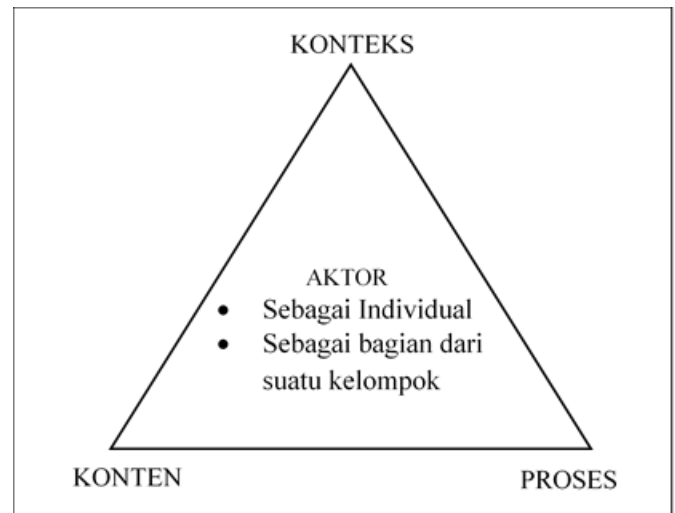


Figure 4. Policy Triangle Model
Source: Buse, et.al, 2005

The model highlights four major aspects in discussing a policy, namely content, context, process, and actors. The explanation is as follows:

- (1) Content Analysis has a focus on the contents of the policy. Content analysis represents part or all of the other dimensions, so that it can be understood that actors, contexts, and processes are supporting content. This argument is in line with Nugroho that content analysis can be used to define the substance of a policy that details the parts of the policy. The sections in the policy cover various aspects in accordance with the previous opinion of Buse;
- (2) Context Analysis takes into account the conditions under which policies are compiled and implemented. In other words, context analysis is an analysis of the context in which the policy applies;
- (3) The actor's analysis focuses on the parties involved and interested in a policy. Parties in this matter are not only policy makers but also other parties affected by the implementation of a policy. In this case, actors or actors are temporary terms used to refer to individuals, organizations, or even countries, along with their actions that influence and are influenced by a policy; and
- (4) Process analysis has focus on matters relating to the development and implementation of policies. Process analysis has greater emphasis in discussing the scope relating to the way in which a policy is identified, formulated, and the strategies used in it.

3. Research Methodology

This research is specified as a descriptive study with a qualitative technique approach. This research focuses on explorative studies of policy implementation theories and models within the policy triangle framework. The research flow are explained further in Figure 5.

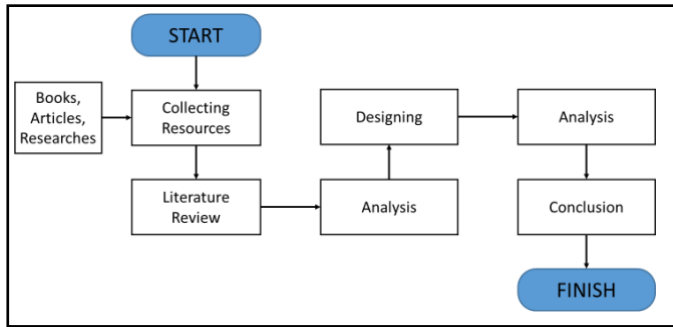


Figure 5. Research Flow

Details of each stage are as follows:

- *Collecting Resources*, this stage is the collection of theories and frameworks related to the policy implementation model and the policy triangle framework.
- *Literature Review*, at this stage document and interrelationship review between policy implementation theories and the policy analysis triangle framework are carried out.
- *Designing*, at this stage, design of the resulted document review based on policy implementation theories and policy triangle theory is made.
- *Analysis*, in this stage an exploratory analysis of the policy implementation model applied to the policy triangle framework is carried out and a mapping of the relationship between the two of them is made.
- *Conclusion*, this stage is the conclusion of the overall policy implementation framework recommended in writing.

4. Exploration of Policy Implementation Models in the Policy Analysis Triangle Framework

In accordance with the policy implementation model theory described earlier, it appears there are differences in perspectives on aspects considered in implementing policy implementation. First, Edward's (1980) policy implementation model tends to pay more attention to preconditioning aspects that must be considered when implementing policy implementation. Starting from determining the required resource requirements, communicating the policy to the actors involved, ensuring the willingness and commitment of the actors to carry out the policy, and ensuring the availability of effective management in operating the policy implementation. Second, the aspects considered by Grindle (1980) in policy implementation are, to what extent the achievements that have been obtained in the implementation of the policy and what the state of the implementation of the policies that have been implemented is seen from the context and content of the policy. If it is associated with the policy cycle, the difference between the two policy implementation models lies in the position of the point of view in the follow up of the formulated policies.

Edward (1980) tends to see the precondition aspects before the policy is implemented, while Grindle (1980) tends to see the situation when the policy is being

implemented. Then finally, the aspect that Mazmanian considered (1983) tends to be broader in identifying variables that influence the achievement of the objectives of a policy. When compared to the previous two models, and associated with the policy cycle, Mazmanian (1983) first identified the origin problem underlying the formulation of a policy. Then only after that identify the contents of the policy and the policy environment that is being implemented.

5. Result

This study combines the three models and maps them into the policy analysis triangle. This is an attempt to modify and describe in detail the aspects of the policy analysis triangle, so that a more comprehensive framework for policy implementation analysis can be obtained. Before combining the three policy implementation models and designing a policy analysis triangle, it is necessary to identify every aspect that exists in the three policy implementation models mapped into the policy analysis triangle. Table 1. shows the mapping of the three policy implementation models into the policy analysis triangle.

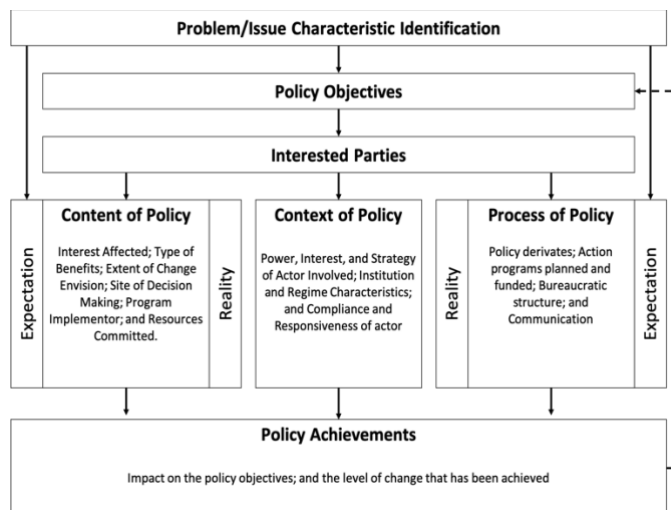
Table 1. Mapping of the Three Policy Implementation Models into the Policy Analysis Triangle

| No. | Policy Analysis Triangle | Edward | Grindle | Mazmanian |
|-----|--------------------------|---|--|---|
| 1 | Actor | Involved Actor | | |
| 2 | Content | Resources | Interest Affected Type of Benefits Extent of Change Envision Site of Decision Making Program Implementor Resource Committed | Policy Characteristic |
| 3 | Context | Tendencies or behaviors | Power, Interest, and Strategy of Actor Involved Institution and Regime Characteristic Compliance and Responsiveness | Environmental Characteristics of the Policy |
| 4 | Process | - Bureaucratic structure - Communication | | |
| 5 | Others | | Policy Achievements | Characteristics of issues |

The table shows a mapping of aspects from three policy implementation models into the policy analysis triangle. The top line shows the aspects of actor analysis, where each policy implementation model is

equally concerned with the actors involved, both influencing or affected by the existence of policies. Then, content analysis consists of aspects of resources that need to be fulfilled according to Edward, Grindle's policy content, and Mazmanian's policy characteristics. In general, this aspect of content analysis looks at the influence of policy on the actors affected by the policy. Furthermore, in the context analysis, the influence of the interests and compliance of the actors involved in supporting the achievement of policy objectives is considered. The context analysis is filled with the interests of the actors involved, the characteristics of actors in carrying out these interests, compliance and behavior and responses to policies, as well as variables outside of other policies. Furthermore, in the process analysis note the efforts of the actors involved in following up the policy and communicating it to other interested parties. In addition to these four aspects, there are other aspects outside the policy analysis triangle, but they are related as part of the policy analysis process. Among them is the identification of the characteristics of the issue or problem of the policies and achievements obtained.

After obtaining a mapping of aspects in the policy analysis triangle, the next step is designing a new policy analysis triangle framework. The basic framework is generally the same as the policy analysis triangle framework. After that, the framework was developed, so that it could see the implementation of policies more comprehensively. Modification of the policy analysis triangle model framework is shown in the following Figure 6.



Gambar 6. Proposed Policy Analysis Triangle Framework

Figure 6 explain each component in the proposed policy analysis framework as follows:

(1) Problem/Issue Characteristic Identification

The basic idea of this component comes from the Mazmanian's problem characteristic aspects. This component is carried out to re-identify the original problems underlying the formulated policy. The result of this identification is knowing the direction and policy objectives to be achieved.

(2) Policy Objectives

In this component, there is a review of the existing policy objectives regarding their relevance to the identification of initial problems.

(3) Interested Parties

This component identifies the actors involved in the policy, and influences and is influenced by their interests.

(4) Content of Policy

In this component a comparison analysis of expectation and reality is carried out on several aspects, including:

- Interest Affected;
- Type of Benefits;
- Extent of Change Envision;
- Site of Decision Making;
- Program Implementor; and
- Resource Committed.

The basic idea begins from the aspects considered by Grindle. The difference lies in the influence of the proposed aspects by Mazmanian, namely the analysis of differences between things that are expected and those implemented.

(5) Process of Policy

In this component, an analysis of the differences between the expected and the implemented in the policy implementation process is carried out. The same with the content of policy, analysis of these differences is influenced by aspects proposed by Mazmanian. The aspects considered in this component are adopted from what Edward proposed, including:

- Policy derivatives;
- Action programs planned and funded;
- Bureaucratic structure; and
- Communication.

(6) Context of Policy

This component identifies several aspects that are considered to influence the achievement of the policy objectives. The aspects considered here were adopted by those proposed by Edward and Grindle, which included:

- Power, Interest, and Strategy of Actor Involved;
- Institution and Regime Characteristic; and
- Compliance and Responsiveness of actors.

(7) Policy Achievements

This component is carried out to identify the achievements that have been obtained in the policy implementation, taking into account the aspects of the perceived impact on the policy objectives, as well as the level of change that has been achieved. The results of this identification are compared with the previously defined policy objectives.

6. Conclusion and Suggestion

a) Conclusion

In this study, exploration of Edward, Grindle, and Mazmanian's policy implementation models has been done in the policy analysis triangle perspective. Based on the study, a mapping of aspects considered by the three policy implementation models into the triangle was obtained. The results of the mapping is a policy analysis framework which can be used to conduct a more comprehensive policy implementation analysis.

b) Suggestion

In order to prove the reliability of the proposed policy analysis framework, it is necessary to implement the policy implementation analysis using the proposed framework.

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