

UDC 332

## MODEL FOR EVALUATING THE IMPLEMENTATION OF GRANTS AND SOCIAL ASSISTANCE POLICIES

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### ABSTRACT

In the topic covered by this article, the implementation of social assistance programs, it is discussed and analyzed how to create a model (building method) in the process of evaluating the implementation of government policies. The evaluation of social assistance policy execution is the main subject of analysis in this qualitative scientific article, which uses a descriptive methodology. By assembling a model or method that will be utilized as a model for the policy implementation evaluation, the analysis model employed in that process is only a partial analysis. The uniqueness and conclusions drawn from the actual events and theoretical research assembled in this study are used to develop a model (method) for assessing the effectiveness of policy implementation. The evaluation's findings demonstrate that there are a number of factors to take into account when evaluating policy implementation as a model for policy evaluation, including evaluating the implementation process, evaluating the impact of implementation, and evaluating the implementation outcome as an assessment criterion.

### KEY WORDS

Public policy, policy evaluation, policy implementation, policy implementation evaluation, social assistance, social security.

The phenomenon of poverty has always attracted discussions from various circles, both academics, experts, practitioners with various poverty alleviation solutions offered. Various theories, concepts and approaches were developed, formulated to uncover the curtain of the mystery of poverty. But until now, the problem of poverty remains comprehensively unresolved. The problem of poverty is a social problem that always demands to be studied continuously. Because the problem of poverty has existed for a long time but the symptoms are increasing along with the multidimensional crisis that is still faced by the Indonesian people. Law Number 11 of 2009 concerning Social Welfare explains that Pancasila and the 1945 Constitution of the Republic of Indonesia mandate that the state has the responsibility to protect the entire Indonesian nation and promote social welfare and protect the community from social risks that may arise (Director General of Budget, Ministry of Finance, 2015).

To carry this out, the state uses the State Budget (APBN) which is allocated for specific purposes. Specifically for welfare assurance and protection against social risks, the government has a post called social assistance (bansos) in the APBN. Furthermore, in the Minister of Finance Regulation Number 81/PMK.05/2012, what is meant by Social Assistance is expenditure in the form of money transfers, goods or services provided by the Central / Regional Government given to the community in order to protect against the possibility of social risks, improve the economy and / or people's welfare. Social Risk is an event or event that can lead to the potential for social vulnerability borne by individuals, families, groups, and / or communities as a result of social crises, economic crises, political crises, natural phenomena, and natural disasters which if not given Social Assistance Expenditures will get worse and cannot live in reasonable conditions (Director General of Budget Ministry of Finance, 2015).

The implementation of the social protection system in Indonesia has come a long way. The designs of various parties are important to be aligned with government planning documents in a policy formulation framework that is the basis for program implementation

during the development period that will run. After a period of economic crisis, the social protection system in Indonesia experienced another development. The JPS program that was intended as a response to the economic crisis ended, and was replaced by social protection programs consisting of social assistance programs and social security programs. During this period, there were also several important moments in the scope of the social protection system, including the birth of Law Number 40 of 2004 concerning the National Social Security System followed by the birth of Law Number 24 of 2011 concerning the Social Security Organizing Agency which redefined the social security system in Indonesia for the future. One of the implementations of Law Number 24 of 2011 concerning the Social Security Organizing Agency is the establishment of social assistance expenditure in the State/Regional Budget (APBN/D) at the central and regional government levels.

Social assistance expenditure in the State/Regional Budget (APBN/D) as a policy implementation and follow-up in the formulation of social assistance policies, is actually intended for emergency rescue for citizens threatened by social, economic, political crises, natural disasters in order to meet minimum living needs. However, in reality, there is a difference between the concept and the reality of its intended use. The Supreme Audit Agency (BPK) found various problems with the disbursement of social assistance funds, starting from the budgeting process, implementation, and accountability. Social assistance problems revolve around unclear recipients of social assistance, lack of volume, late penalty income has not been received, inadequate selection and distribution, unutilized social assistance, incomplete SPJ evidence, and unaccounted for social assistance. The largest proportion of problems lies in the unutilized social assistance amounting to Rp 239.25 billion (Ratmono and Pradopowati, 2016).

Since policy evaluation comes after policy implementation in the hierarchy of the public policy cycle, it seems sense that the newly created public policy would first be put into action before being assessed. The beginning of the process of formulating policies as well as the process of implementing and evaluating those policies can both be considered as public policy analysis, according to Parsons (2005). Studies on policy evaluation are crucial since their findings will determine whether a program or policy may be maintained or abandoned. As a result, policy assessment studies cannot be viewed as routine formal processes; rather, they must be conducted seriously and according to set standards. In order to ensure the social welfare of the community, policies relating to social assistance must be issued. These policies must then be reviewed and assessed in the context of their execution.

Social assistance policies are currently in the development stage, and it appears that these policies are understood through a number of processes, including those associated with policy creation, policy implementation, and policy evaluation. The analysis of public policy, wherein there are three primary components as the unit of analysis, then becomes a significant component of the study of public administration science.

## LITERATURE REVIEW

Studies related to the policy implementation evaluation model are widely studied in previous research and scientific articles. The research related to the policy implementation evaluation model can be seen in Rusydi Syahra's research (2003) entitled *Social Capital: Concepts and Applications*, Oman Sukmana (2016) *Concept and Design of the Welfare State*, Atma RAS (2013) *Community Empowerment as an Effort to Alleviate*, Dwi Ratmono & Adriana Pradopowati (2016) *Determinants of Social Assistance Expenditure Fraud*, Sri Devi Abdul, Stanly Alexander & Hendrik Gamaliel (2018) *Analysis of Accounting and Reporting Treatments at the Regional Office of the Ministry of Religious Affairs of North Sulawesi Province*, Arifin, Djayani & Nina Yusnita (2017) *Analysis of the Planning Process for Grants and Social Assistance Budgeting Sourced from the Regional Budget*, Prastowo Budi, M. Hari Wahyudi & An Efendy (2017), *Grants and Accountability*, Bethesda Sitanggang, Tangdiling & Sri Maryuni (2014) *Implementation of Community Grants and Social Assistance Distribution Policies in Kubu Raya Regency Poverty*, Holmes Sianturi (2017) *Regional Financial Position in the Management of Grants and Social Assistance Funds Based on the*

State Financial Perspective, Ilham Gemiharto & Evi Rosfiantika (2017) Governance in Poverty Reduction through Grants and Social Assistance in Indonesia, Rebecca S, Michael N, Gemma W & Phankama (2010) Assistance and Dependency in South Africa: An Analysis of Attitudes to Paid Work and Social Grants, Chelechele (2010), Cricical Analysis Of Implementation Of Social Assistance Grant Policies In The North West Province South Africa, Haomiao Zhang & TianZao (2011) Vew Point Siscourse Change And Policy development In Social Assistance In China, Daniel Holland, Philip Roccob & Alex Waddan (2016) Reassessing Policy Drift: Social Policy Change Inte United State, Unnikrishnan V (2020) The Welfare Effect Of Social Assistance Programs For Women In India which discusses the implementation model of state social assistance policies to the public.

In simple terms, policy can be defined as "whatever the government does". In every study of policy, there are often various definitions of policy according to the author's perspective. Each is the same, but many are different. Some are short and concise, but some are complex. The word "public" in public policy can be understood when associated with the term "private". The term public can be traced back to the history of the Ancient Greek and Roman states. The Ancient Greeks expressed the word public as koinion and private was equated with public. According to Thomas Dye (1975), policy is all that is decided or not decided by the government. Friedrich (2007) says that policies are decisions proposed by individuals, groups or governments that aim to solve a problem. In line with Friedrich, Sharkansky (Handoyo, 2012) defines policy as government action to achieve certain goals.

The complete public policy process will consist of steps or public policy processes (Dye, 1981), namely: 1) problem identification; 2) formulation; 3) legitimating; 4) implementation; 5) evaluation.

Therefore, all stages in the public policy process are as important as the parties who play a role in the process, because all of them have their respective roles that complement and support one another. Kartasmita (1996) argues that from the development experience so far, it is increasingly clear that many of the problems that hinder development are in its implementation.

The concept of implementation derived from the theoretical framework departs from the policy itself where goals and objectives are set. It is from this initial conversation that an implementation process begins. The implementation process will vary depending on the nature of the policy being implemented. Different decisions will show the characteristics, structures and relationships between factors that affect the implementation of public policies so that the implementation process will also experience differences. Grindle's (1980) model includes policy content and implementation context in the area of successful policy implementation. The basic idea is that after the policy is transformed, policy implementation is carried out. Its success is determined by the degree of implementability of the policy. Meanwhile, the implementation context is:

- Power, interests and strategies of the actors involved;
- Characteristics of institutions and authorities;
- Compliance and responsiveness.

The success of implementation according to Merile S. Grindle (1980) is influenced by two major variables, namely the content of the policy and the implementation environment (context of implementation). This policy content variable includes:

- the extent to which the interests of the target group are included in the policy content;
- the type of benefits received by the target group;
- the extent of the changes desired from a policy;
- whether the location of a program is appropriate.

While the policy environment variables include:

- how much power, interests, and strategies are owned by the actors involved in policy implementation;
- the characteristics of institutions and regimes that are in power;
- the level of compliance and responsiveness of the target group.

Furthermore, Mazmanian and Sabatier (1983) explain policy implementation includes carrying out specific policy decisions in a manner directed by prescriptions from administrators, laws, or court guidance. There are two main approaches to policy implementation: bottom-up, and top-down. The top-down approach is bureaucratic in nature. Sabatier (1986) notes that it begins through "policy decisions and focuses on the extent to which their objectives are achieved over time and why". Establishing the capacity of the implementation process to be consistent with causal theory, coupled with policy goals, intentions, and objectives, is critical to the success of the top-down process of policy implementation. The top-down approach to policy implementation is unidirectional (Sabatier, 1986). The process does not allow for the flow of information through feedback channels.

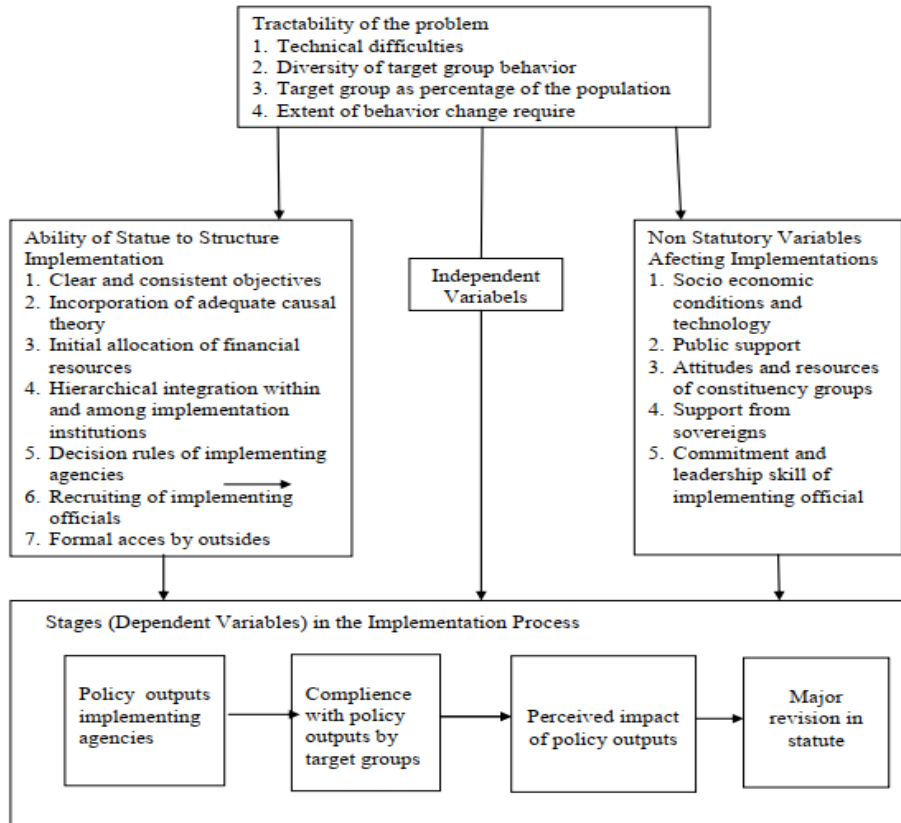


Figure 1 – Mazmanian and Sabatier Policy Implementation Model (Mazmanian & Sabatier, 1983)

It is important to understand how policy evaluation fits into the larger policy process. Understanding this context provides an increased understanding of why policy evaluation is critical to advancing the policy field. While there are many theories regarding the policy process and mechanisms of policy change, the process of policy change is often conceptualized in terms of a few key stages. Evaluation is an integral part of each step in the policy process. Although the steps are organized in a row, in reality they are circular. The three main types of evaluation, shown in Figure 2 each focus on a different phase of the policy process, which include: policy content evaluation, policy implementation evaluation, and policy impact evaluation. Figure 2 illustrates the relationship between the main stages of the policy process and the three types of evaluation:

- Evaluating Policy Content: Does the content clearly articulate the objectives of the policy, its implementation, and the underlying logic of why the policy will bring about the desired change? Evaluating policy development helps to understand context, content, and implementation;
- Evaluating Policy Implementation: Is the policy being implemented as intended? The implementation of a policy is an important component in understanding its

effectiveness. Evaluating policy implementation can provide important information about barriers and facilitators of implementation as well as comparisons between different components or intensities of implementation;

- **Evaluating Policy Impact:** Does the policy produce the expected results and impacts? In poverty prevention, the expected impact can be poverty reduction. However, it is important to evaluate short- and medium-term outcomes as well. The type of evaluation chosen depends on many factors, and often more than one type of evaluation will be needed. Each type of evaluation can provide valuable information for the planning and interpretation of other types of evaluations (content, implementation, and impact) in addition to uncovering unintended consequences. However, it is important for each evaluation to be focused so that the most appropriate design and methodology are chosen. Authors can develop an overarching set of evaluation questions and then select specific evaluation questions and methods for each particular phase.



Figure 2 – Policy Process Model

The evaluation process is an important part of the learning process around policymaking. Evaluation is applied in the policy-making process as a scientific activity and positivist exercise (Rist, 1995). It serves the function of determining the quality, effectiveness, effects of policies, capacity to achieve desired goals, and the reasons for the costs incurred in the formulation and implementation of public policies (Marsh & McConnell, 2010). In this context, evaluation is not a separate activity in public policy making. Rather, it is integrated into all public policy-making processes, including policy formulation and implementation. It also helps in the correction of faulty aspects of a policy during the implementation process (Rist, 1995). Where the policy implementation process results in anticipated outcomes, evaluation is also important as it forms the justification for the legitimacy of public policy.

The process of reshaping the policy to reduce the reluctance of target groups to comply with the policy is the process of evaluating public policy at the implementation stage. The ability of the bureaucratic system of policy implementation to redefine some aspects of public policy explains the importance of public policy evaluation at the implementation stage. Evaluation helps in monitoring the actions of implementation agents. This is important in an effort to reduce the risks associated with the capacity of implementation agents to redefine policies in ways that undermine the implementation approaches and methodologies determined during the formulation stage (Page, 1992). To this end, administrative agents of policy implementation such as courts and Parliament (de Leon & de Leon, 2002), become important evaluators of the policy implementation process. They also assist in the determination of necessary actions during the implementation process (May & Wintner, 2009). Administrative agents responsible for policy implementation set the interim and final rules needed to guide the implementation process. Evaluation is essential to ensure strict compliance with the regulations. This needs to be done at all stages of implementation to guarantee the conformity of the policy and the anticipated goals, intentions, and objectives mentioned during the formulation stage are evaluated.

## METHODS OF RESEARCH

The type of article written in this paper uses a descriptive approach writing in the form of scientific articles. Data sources come from literature studies. This study was chosen for other reasons, the axiom / reality, the symptoms of the object being studied cannot be seen

partially and solved into several variables, this article views the object as something dynamic, the result of thought construction. Given the many problems that can be discussed, in order to be more focused, the focus of this article is to form a construct or concept model in evaluating public policy implementation.

## RESULTS AND DISCUSSION

### Evaluation Model of Public Policy Implementation

Public policy formulation involves the process of studying and assessing emerging issues as potential threats and their impact on the public (Vizzard, 1995). The process of public policy formulation intends to limit the identified consequences of a problem for the subject environment or demand better performance from undertakings in the public sector (Fyfe, Miller & McTavish, 2009). A well-formulated policy is rational, specific in its statements, and applies only to a specific scope (Marsh & McConnell, 2010). They are unambiguous and effective in achieving the intended goals. The public policy formulation process is complex. Policy implementation is one of the stages in the policy process in addition to the policy formulation and policy evaluation stages. Policy implementation is an activity or activity in order to realize or realize previously established policies, which are carried out by organizations, implementing agencies through administrative and management processes by utilizing all available resources to achieve certain goals.

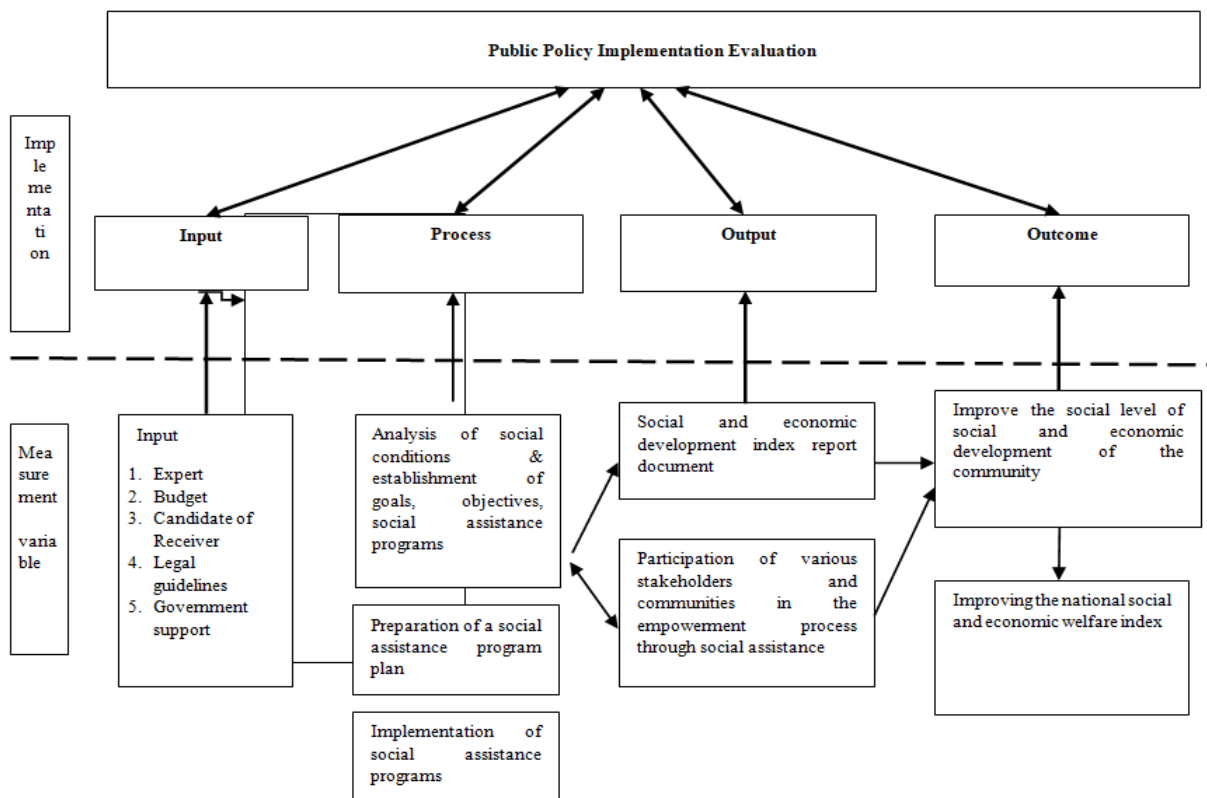


Figure 3 – Concept Model of Policy Implementation Evaluation (Source: Researcher’s Analysis)

Public policy development takes place through interrelated stages. The suitability of each stage in a phase determines the suitability of the next stage in the process to encourage the creation of a policy that responds effectively to a public problem. Evaluation is a tool to measure the extent to which each stage is appropriate in relation to the anticipated outcomes of a fully formulated public policy. This aspect means that successful public policy formulation or implementation is less likely when evaluation is treated in isolation. Problems encountered at the policy formulation phase result in policies failing to achieve the desired outcomes at the implementation stage. These challenges include specific implementation

constraints, which prove problematic for policy implementation agents. So in the process of developing a policy implementation evaluation model, the compatibility of the policy process and policy evaluation must be considered. In this article, the author tries to offer a policy implementation evaluation model based on various theories and concepts of policy implementation evaluation which can be seen in Figure 3.

To evaluate policy implementation, the evaluation examines stakeholder perceptions, barriers to implementation, and success based on the policy implementation model. The policy implementation process can begin when policy inputs in the form of general goals and objectives have been specified, programs of action have been designed, and costs have been allocated to realize these goals and objectives. It is important to understand how policy evaluation fits into the larger policy process. Understanding this context provides an increased understanding of why policy evaluation is critical to advancing the policy field. Through understanding the context of policy, policy implementation, policy evaluation, and policy implementation evaluation, a construct model or concept model of new public policy evaluation (building method) is obtained in this research as shown. In the new concept model of policy implementation evaluation found in this article based on figure 3, it is explained as follows:

- Evaluation of policy implementation inputs.

In order to carry out an evaluation of the implementation of social assistance policies, several resources are needed, including experts, budgets, prospective recipients, legal guidelines, and government support. The input process in policy evaluation is carried out based on the criteria for assessing the input of experts, budgets, prospective recipients, legal guidelines, and government support as assessment criteria to determine whether the implementation achievements are appropriate. The assessment indicators in the policy implementation input are related to the policy implementation process.

- Evaluation of the policy implementation process.

The implementation process in policy evaluation is a stage in the policy implementation evaluation process. The implementation evaluation stages include several measurement variables, namely: the analysis process, the policy plan preparation process, the implementation process. In the policy evaluation process, various stakeholders involved in the policy implementation process are assessed. In the Grindle and Masmania Sabatier policy implementation model, government stakeholders play a role in policy implementation so that this new construct model adopts the Grindel and Masmania Sabatier policy implementation model as a policy implementation evaluation model.

- Evaluation of policy output implementation.

Another stage in evaluating policy implementation is the output of policy implementation by looking at the extent of the outcomes produced in a policy. The outputs that arise in a policy affect many aspects of its implementation. The assessment standards used in the output of policy output evaluation are report documents and the participation of parties involved in a policy implementation.

- Evaluation of policy outcome implementation.

It is important to assess outcomes in policy implementation. Implementation evaluation in the context of outcomes is assessing the outcomes of a policy through an assessment of the extent of the reach and effects of the policy. Evaluation of policy outcomes is assessed based on assessment indicators of increasing the level of socio-economic development and achieving the main objectives of the policy, namely increasing the social welfare index through social assistance policies.

In this article, the concept model of public policy implementation evaluation (building method) in the policy implementation evaluation process, carried out based on the assessment of the policy evaluation model presented in the literature study based on partial and limited analysis thinking, has been presented in Figure 3. The policy implementation evaluation model developed is a new model which is a novelty in this article. The results of the new model in Figure 3 on policy implementation evaluation presented in this article aim to provide alternative studies and descriptions in the context of policy implementation evaluation.

## CONCLUSION

Policy formulation and implementation are two important stages in public policy making. The outcome of the implementation phase depends on proper policy formulation, which suggests that the two phases are intertwined and their needs are interrelated. This article proposes evaluation as an important interrelated phase that requires incorporation in the formulation and implementation phases of public policy making. Evaluating the steps in the formulation and implementation phases helps avoid replication of mistakes and problems that hinder the realization of desired outcomes after full implementation of public policies. This article argues that evaluation during the formulation phase coupled with the successive sub-phases helps pave the way towards a successful policy implementation process.

In developing the building method of policy implementation evaluation, there are several methods in the implementation process. In the formation of the building method for evaluating the implementation of social assistance policies, the rules that must be considered so that the implementation evaluation is successful are by compiling a building method through a policy implementation evaluation study. In this study, the building method in evaluating policy implementation is compiled based on theoretical studies in considering the level of input in the policy, the level of output, the level of outcome, and the impact generated in policy implementation to assess the extent to which the policy is successfully implemented. Building method or a new model in the concept of policy implementation evaluation can be used as an alternative reference for research or scientific studies in policy implementation evaluation.

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