

# **Tatapemerintahan dan analisa kebijakan**

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# Pendahuluan

- Terdapat kesenjangan antara tujuan kebijakan dengan hasil (outcomes) kebijakan
- Informasi mengenai keberhasilan atau kegagalan kebijakan pembangunan berkelanjutan dihimpun melalui indicators ekonomi (e.g., GDP/capita, total factor productivity, net investment), indicator sosial (e.g., UNDP Human Poverty Index, education expenditure/capita, unemployment rate), dan indikator lingkungan (e.g., land use intensity/capita, energy use/capita)

# lanjutan

- Padahal kebijakan itu dikenakan pada konteks yang beragam dan heterogen
- Karena itu tata pemerintahan di uni Eropa cenderung berdasarkan keyakinan pemerintahan minimal, dan bergantung pada jaringan (networks), dan “self-organization” (Schout and Jordan 2003).

# Analisa Kebijakan (Policy Analysis)

- Kebijakan (Policy) adalah hasil (outcome) dari serangkaian keputusan mengenai perumusan masalah, penetapan solusi yang memungkinkan, dan bagaimana menerapkan solusi yang disukai (Adger et al. 2002)
- Dalam bentuk lengkap, pembuatan kebijakan mensyaratkan : issue definition and the identification of the issue context, options or solutions, assessment of options, selection of the most suitable option(s), monitoring and assessment of implementation, (hopefully) learning for future policy making endeavours (usaha), and (hopefully) attaining increased efficiency, effectiveness and legitimacy.

## ***Problem Identification:***

- Bagaimana suatu persoalan timbul pada tempat pertama dimana suatu kebijakan apa yang disyaratkan ? How did the problem arise in the first place for which policy is required? Hal ini harus diawali dengan menyatakan faktor dan aktor utama atau problem-policy-politics mix. This should reveal the main factors and actors, or the problem-policy-politics mix according to Kingdon (1984)

## ***Policy Development:***

- Based on problem identification, who should be involved and what should be considered in addressing the problem? This determines the policy-making style, the arena (Ostrom 1999), or the “coalition” (Sabatier and Jenkins-Smith 1993, 1999), and therefore the mode of governance (Kooiman 1993)

## ***Policy Implementation:***

- How well are the policy objectives met in practice and what can be learned from the experience? Traditionally, policy effectiveness has been assessed through implementation analysis (Sabatier and Mazmanian 1981, 1983) while policy learning is typically based on information provided through indicators and case studies.

# **Governance**

- If government is about the arbitration of how scarce societal resources are allocated, governance is about the contestations around how resources are actually allocated.



# Governance

- Kooiman (2003:4) distinguishes between “governing” as “the totality of interactions, in which public and private actors participate, aimed at solving societal problems or creating societal opportunities”
- and governance as “the totality of theoretical conceptions of governing”.

# lanjutan

- the shift from government to governance as a move from liberal democracy to “expansive democracy” characterized by “increased participation, either by means of small-scale direct democracy or through strong linkages between citizens and broad-scale institutions, by pushing democracy beyond traditional political spheres, and by relating decision-making to the persons who are affected” (Hajer 2003b:3)

## **Common and Significant Features in Definitions of “Governance”**

- Leadership; Exercise of Authority and Control, Power, Coordination
- Managing; Decision Making
- Influence; Behaviour ; Conduct,
- Interdependence; Transaction; Interaction
- Social, Ecological, and Political Systems
- Social, Political, and Economic Actors
- Society; Hierarchy; Private, Public, and Civic Organizations
- Traditions; Rules; Formal and Informal Institutions
- Structures; Culture; Processes
- Conflicts; Negotiation; Dispute Resolution; Coercion; Influencing; Constituting;
- Knowledge; Devices; Policies
- Networks, Associations, and Alliances
- Issues tackled through governance include: Stability

# Principles of “Good Governance”

- **Openness:** The *Institutions* should work in a more open manner...
- **Participation:** ...Improved participation is likely to create more confidence in the end result and in the *Institutions* that deliver policies. ....
- **Accountability:** ... Each of the *Institutions* must explain and take responsibility for what it does
- **Effectiveness:** Policies must be effective and timely, delivering what is needed on the basis of clear objectives, an evaluation of future impact and, where available, of past experience.
- **Coherence:** ... Coherence requires political leadership and a strong responsibility on the part of the *Institutions* to ensure a consistent approach within a complex system.

# Common and Significant Features in Definitions of Good Governance

- Serving the Common Good
- Monitoring of authority
- Democratically elected, Representative, and Participatory governments
- Accountability; Responsiveness; Transparency; Efficiency
- Rule of Law and Equal Justice under the law
- Government Capacity to manage resources and implement sound policies
- Government Ability to maintain social peace, law and order, economic growth, and a minimum level of social security
- Government Ability to reform structures and processes
- Government Ability to implement policy effectively
- Respect of Citizens and the state for the institutions that govern economic and social interactions
- Interaction between academics and policy makers
- Learning; Problem Reformulation
- Actors include but are not limited to the Private Sector, Civil Society, and the state

# the notion of governance

- If we simplify the notion of governance to mean ‘the way human communities (i.e., organizations, polities, and cross-polity regions) *organize* themselves’, it follows that studies of governance need to include all kinds of actors who have to relate to one another (due to interdependency), and who all contend for (or defend) a piece of the proverbial pie, action

# institutions are viewed

- as informal (e.g., norms, habits, and customs), semi-formal (e.g., mental constructs and models, rules of the game, conventions), and formal (e.g., family, prescriptions, proscriptions, corporation, trade unions, the state) phenomena

# Levels, Scales, and Systems

- **Individual:** Among individuals at large based on interpersonal interdependence where many actors are involved.
- **Organizational:** Within organizations to secure internal cohesion and among organizations to maximize adaptability of individual organizations so as to make compatible respective operational unities and independence with *de facto* material and social interdependence on other organizations.
- **Societal:** Among operationally autonomous (or closed) functional systems each with its own autopoietic codes, programmes, institutional logics and interests in self-reproduction.
- **Local** (sub national), national, international (between nationally constituted, functionally differentiated institutional orders), transnational (passing through national boundaries), and global (covering the globe as a whole).
- **Society** may be defined in terms of its social, economic, political, and ecological spheres or systems. A subsystem contains parts of all systems.



# What are Institutions?

- **Habits** of a group or the **customs** of a people (Hamilton 1932)
- **Conventions, rules of action**, embedded in social structure,
- **locally specific** (Krätke 1999) Settled **habits** of thought **common** to the generality of men (Veblen 1919)
- **Collective action** exercised by different types of organization (**family, corporation, trade union, state** in control of individual action (Commons 1924)
- Convenient term for the more important among the widely prevalent, highly **standardized social habits** (Mitchell 1950)
- **Sets of rules of the game** or **codes of conduct** defining **social practices** (Young 1994). **Formal organizations, patterns of behaviour**, negative **norms** and constraints (Coriat and Dosi 1998)
- **Mental constructs** (Neale 1987) **Rules of the game** (North 1990)
- **How the game is played** (Nelson and Sampat 2001)
- A set of socially **prescribed** patterns of correlated **behaviour** (Bush 1986)
- **Prescribed or proscribed** patterns of correlated **behaviour** (Tool 1993)
- **Constitutional rule systems** for society, **collective choice rules** governing different kinds of organization, **operational rules** of organizations (Ostrom 1999)

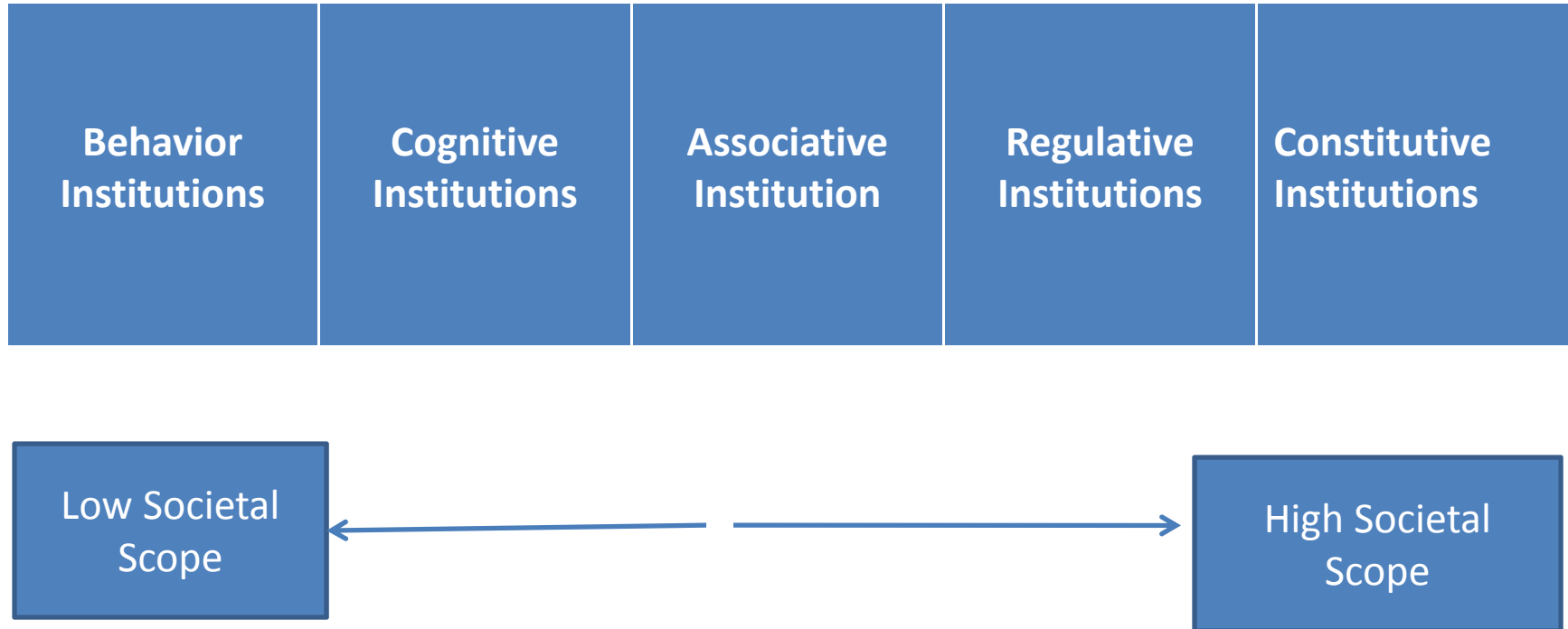
# lanjutan

- “Levels of inter-relation” is borrowed from Sociology and refers to inter-relations at the individual, organizational, and societal levels. “Scales of governance” is borrowed from Sociology, Political Science, and Administrative Studies and captures the territorial dimension of governance. “Systems” is a notion borrowed from studies of Systems Dynamics (and of course, Weber’s notion of “spheres”) and is used interconnectedness into perspectives governance. The notion of Systems is particularly useful in dealing with complex and multi-faceted notions such as sustainable development, which require concerted efforts to integrate and address social, economic, and environmental (ecological) policy issues simultaneously.

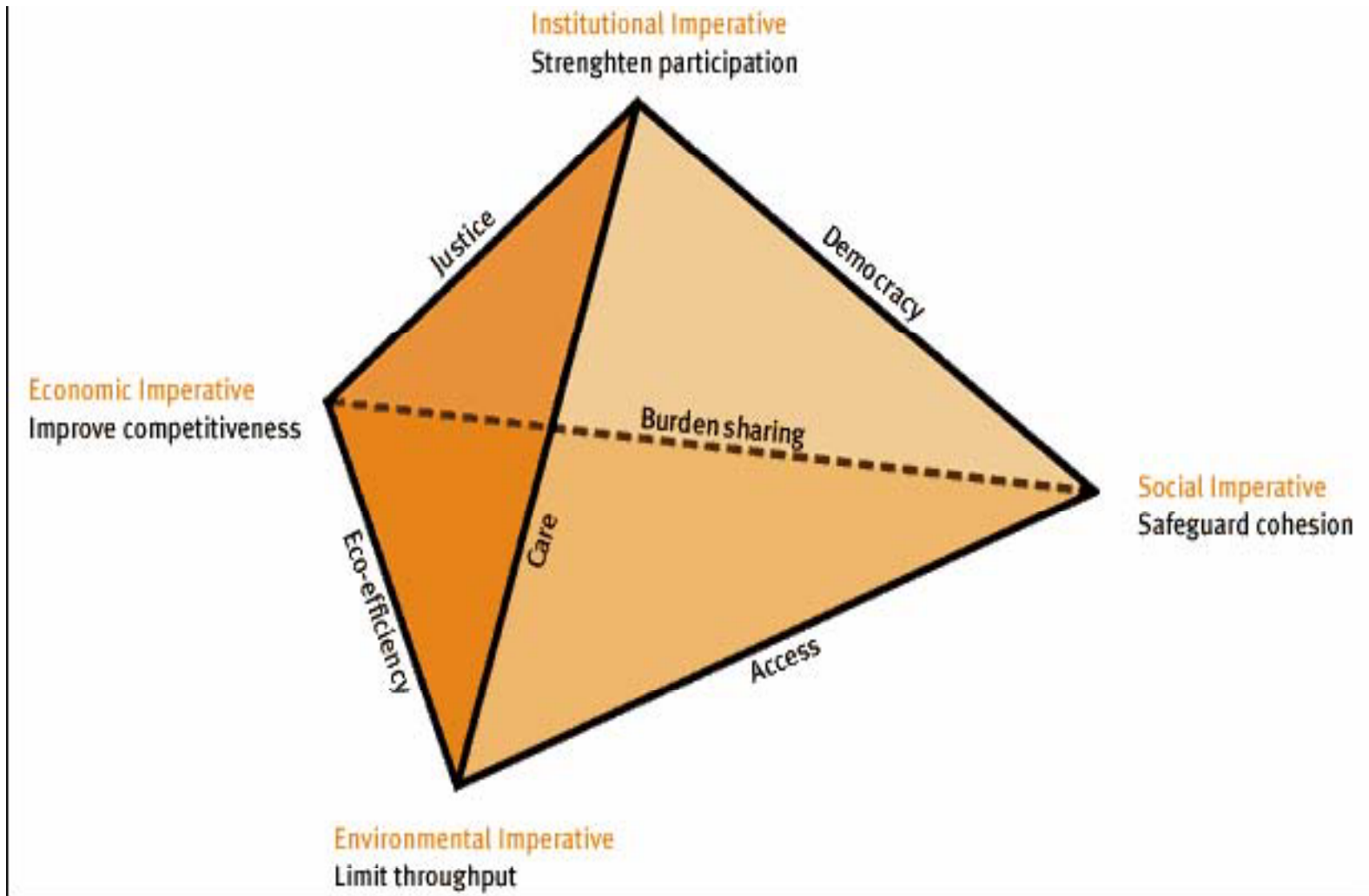
# typology of institutions

- **Behavioural:** Institutions as standardized (recognizable) social habits – manifest in activities of individuals and groups as reflections of social norms
- **Cognitive:** Institutions as mental models and constructs or definitions – based on values and embedded in culture
- **Associative:** Institutions as mechanisms facilitating prescribed or privileged interaction among different private and public interests
- **Regulative:** Institutions as prescriptions and proscriptions
- **Constitutive:** Institutions setting the bounds of social relation

# Scope and Formality Institutions

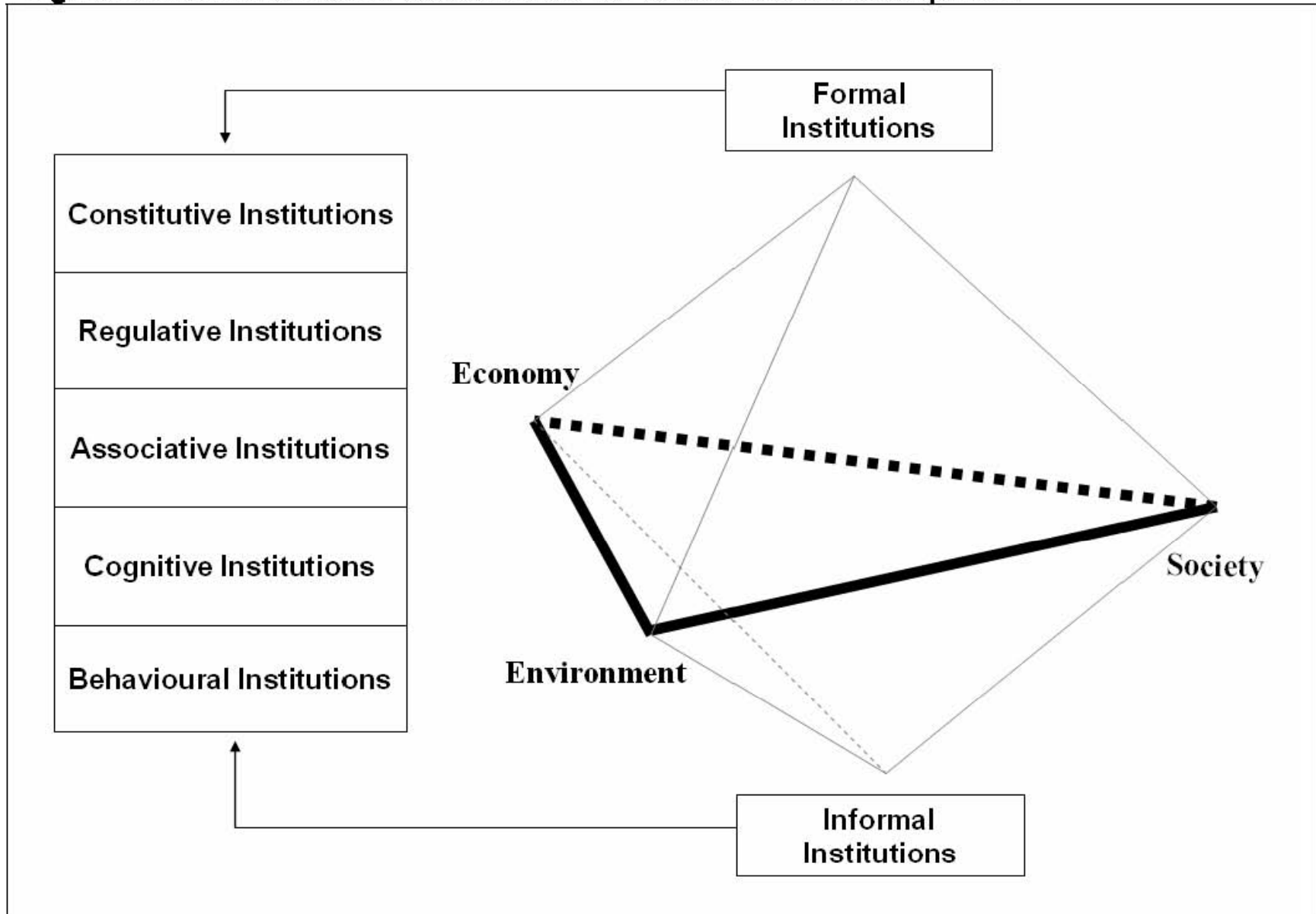


# Prism of Sustainability



Source: Spangenberg (2004)

**Figure 3. Institutions and Governance for Sustainable Development**



- ***Cognitive institutions*** are “mental models and constructs or definitions – based on values and embedded in culture”. In certain languages the word waste has a sinful connotation.
- ***Associative institutions*** refer to “Mechanisms facilitating prescribed or privileged interaction among different private and public interests”. The best examples are networks and associations that pursue public, private, and public-private interests.
- ***Regulative institutions*** refer to “prescriptions and proscriptions to constitute new forms of social relations”. The best example is legislative regulation. Regulative institutions operate in a top-down manner but evolve in response to bottom-up actions by associative institutions, which are themselves born of cognitive Institutions.
- ***Constitutive institutions*** “set the bounds of social relations through systems of coercion and sanction”.

The generalized research framework that emerges from this institutionalist perspective could be applied to a multiplicity of policy domains in different countries

To apply this framework the following steps need to be followed:

- Select a sustainable development issue or issues: Waste, Poverty Elimination, Health, Employment, Gender Equity, Housing, Energy, Transportation, and so forth
- Ensure that there is a policy continuum through all scales of governance, from the nation down to the local (municipal) scales
- Make use of conventional social, economic, and environmental indicators as a means to assess competences of Member States
- Identify the “Good, the Bad, and the Ugly” Member States in terms of competences: Examples of the “Good” are Waste and Water Management in the NL, Ecosystem Management in Sweden, Green Energy Production in Germany, the UK, Denmark
- Identify the Catalysts: To which set of factors (institutions) can the high achiever status be attributed?



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