

Review Article

A Framework for Social Innovation: Unveiling the 5Ps of Policy Entrepreneurship

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A B S T R A C T

Policy, as a set of guidelines aimed at steering change within a society, often undergoes transformation through the efforts of policy entrepreneurs. These individuals actively engage with various entities to implement and influence policy changes. This article explores the emerging field of policy entrepreneurship, presenting a qualitative analysis of Indian policy entrepreneurs. The study introduces a conceptual model, the 5Ps of policy entrepreneurship - Passion, Purpose, Publicity, Participation, and Presentation - identifying them as crucial social innovations in achieving transformative policy initiatives. This research sheds light on how policy entrepreneurs strategically leverage these factors to bring about desired policy changes.

Keywords: Policy, Policy Entrepreneur, Policy Advocacy, Social Innovation, 5Ps Model

Introduction

Policies shape the contours of our societies, often emerging from the concerted efforts of policy entrepreneurs who influence and instigate change. While governments are the official framers of policies, individuals and organizations play a pivotal role in shaping them in the public interest. This article delves into the dynamics of policy entrepreneurship, delineating its distinction from governmental policymaking.¹ A policy serves as a broad guideline, providing a roadmap for decision-making, and policy entrepreneurs act as catalysts in steering these decisions toward desired outcomes.² In the intricate landscape of governance and societal development, policies stand as guiding beacons, providing a framework for decisions that shape the trajectory of nations. Often, these policies emerge not only from the corridors of official government offices but are significantly influenced by a cadre of individuals known as policy entrepreneurs. Unlike the official policymakers, these entrepreneurs operate on the fringes, employing innovative strategies to steer policies toward outcomes that align with public interest and societal

progress.³ This introduction seeks to unravel the dynamics of policy entrepreneurship, shedding light on the pivotal role played by individuals and organizations in influencing policy changes. Policies, characterized as comprehensive sets of principles designed to guide decisions, serve as the blueprint for action, offering a roadmap for both public and civil servants.⁴ While governments are the recognized architects of policies, there exists a parallel force the policy entrepreneur whose influence extends beyond formal policymaking channels. This article delves into the fascinating realm of policy entrepreneurship, exploring its nuances, distinctive features, and its indispensable contribution to societal evolution.

In the contemporary narrative of policy evolution, the impetus for change can emanate not only from within the bureaucratic echelons but also from external agents who passionately champion causes and advocate for shifts in societal paradigms. Policy entrepreneurs are, therefore, the catalysts who navigate the delicate interplay between public sentiment, governmental machinery, and the need for transformative policies.⁵ As we embark on this exploration,

it becomes crucial to distinguish policy entrepreneurs from official policymakers. While governments are vested with the official authority to frame policies, policy entrepreneurs operate as external influencers who recognize the dynamic potential of policy shifts to address societal challenges. Their endeavors are marked by an intrinsic motivation to bring about positive change, often focusing on specific issues that resonate with their passion and vision for a better society.

This article aims to illuminate the multifaceted nature of policy entrepreneurship, examining its roots, characteristics, and the innovative approaches employed by these individuals and organizations.⁶ By doing so, we lay the foundation for understanding the intricate dance between policies crafted within official corridors and those molded by the collective efforts of impassioned advocates the policy entrepreneurs.

Reviewing Literature

The term “policy entrepreneur” was coined by political scientist John W. Kingdon, who emphasized the innovative and non traditional strategies employed by these individuals. Policy entrepreneurship unfolds through three phases, starting with a demand for innovation, followed by the proposal of a novel policy instrument, and culminating in strategic actions to secure its place on the agenda. This study draws on the multiple streams framework, emphasizing the interplay between problem definition, policy formulation, and political dynamics. The term “policy entrepreneur” finds its origins in the seminal work of American political scientist John W. Kingdon, particularly in his influential piece, “Agendas, Alternatives, and Public Policies” (1995). Kingdon introduced this term to characterize individuals who employ innovative ideas and unconventional strategies to influence societal change, creating opportunities and advocating for desired policy outcomes.⁷ The conceptualization of policy entrepreneurship involves a keen understanding of the complex interplay between political dynamics, problem definition, and the formulation of policy solutions.⁸ The notion of entrepreneurship, initially rooted in the economic domain, was first articulated by French economist Jean-Baptiste Say in 1803. Over time, scholars have expanded the application of entrepreneurship from business to the public sector. Kingdon’s groundbreaking work paved the way for understanding how entrepreneurial principles could be adapted to the realm of public policy.

The multiple streams framework, as presented by Kingdon, remains a cornerstone in comprehending the presence and influence of policy entrepreneurs. This framework delineates three distinct ‘streams’ problems, policies, and politics which must converge to create a policy window. Importantly, it underscores that these streams are not linear processes and can occur in any order.⁹ For effective policy entrepreneurship, a window of opportunity must

coincide with a viable solution, coupled with the motivation and opportunity for policymakers to adopt that solution.¹⁰ The characteristics of policy entrepreneurs emerge through a nuanced analysis of these streams. Conditions are defined in the problem stream based on individual values and beliefs, and the policy stream formulates ideas and solutions to address these problems. However, the survival of policy development depends on garnering support from various communities affected by the policy, thus emphasizing the role of policy entrepreneurs in bridging these streams.¹¹ The multiple streams framework provides valuable conceptual insights into the emergence of policy entrepreneurs and their role in creating policy windows. It recognizes the non linear nature of policy development and the need for a confluence of factors for successful policy entrepreneurship. This theoretical framework serves as a guide for understanding how policy entrepreneurs navigate the intricate landscape of policymaking, identifying opportunities, and strategically influencing the agenda-setting process.

In summary, the literature on policy entrepreneurship, particularly rooted in Kingdon’s work, offers a comprehensive framework for understanding the intricacies of policy change. It provides a theoretical foundation for studying the characteristics, strategies, and impact of policy entrepreneurs in shaping societal transformations through innovative policy initiatives.

Characteristics of Policy Entrepreneur

Policy entrepreneurs possess a wide network of influential connections, relying on persistence and dedication to drive their ideas forward. Motivated by a desire for influence rather than financial gains, these individuals focus on specific issues, employing strategies such as team-building, problem definition, and leading by example.¹² They navigate the intricate landscape of policymaking, engaging with political elites and utilizing public pressure to advocate for their causes. Policy entrepreneurs exhibit distinctive traits and behaviors that set them apart in the complex landscape of policy influence. Understanding these characteristics provides insights into their effectiveness and impact on the policymaking process.

- 1. Network Building:** Policy entrepreneurs are adept at building extensive networks comprising individuals with political influence. These networks serve as conduits through which their ideas and proposals can gain traction.¹³ The ability to navigate and cultivate relationships with key decision makers, political elites, and stakeholders enhances their capacity to drive policy changes.
- 2. Persistence and Dedication:** Success in policy entrepreneurship demands unwavering persistence and dedication. Policy entrepreneurs invest significant

time and effort in advocating for their ideas.¹⁴ This involves delivering speeches, writing papers, and actively engaging with government committees to ensure their proposals are heard and considered.

3. **Strategic Focus:** Unlike broad public intellectuals, policy entrepreneurs maintain a strategic focus on specific issues. They concentrate their efforts on targeted topics, working behind the scenes to influence policymakers and effect change. This focused approach allows them to become specialists in their chosen areas, gaining credibility and influence over time.
4. **Motivations Beyond Financial Gain:** Motivations driving policy entrepreneurs extend beyond financial gains. While they may seek influence, power, and prestige, their primary motivation lies in shaping policy and contributing to societal well-being. This intrinsic motivation sustains their efforts over the long term, even in the face of challenges and setbacks.
5. **Utilization of Social Innovations:** Policy entrepreneurs leverage innovative ideas and non-traditional strategies to influence society and promote desired policy outcomes. This includes employing social innovations to address public needs and advance their proposals.¹⁵ These innovations may involve creative problem-solving, engaging the public, and utilizing unconventional approaches to policy advocacy.
6. **Understanding Government Limitations:** Seasoned policy entrepreneurs possess a nuanced understanding of government limitations. They recognize the constraints policymakers face and demonstrate patience in navigating bureaucratic processes. This understanding allows them to adapt their strategies, working within the existing system to achieve incremental policy changes.
7. **Public Engagement:** Policy entrepreneurs actively engage with the public, creating awareness and garnering support for their causes. This engagement is not merely rhetorical; it often involves organizing public meetings, conferences, and events to mobilize public opinion. By involving the public, policy entrepreneurs generate pressure on policymakers to consider and implement their proposed changes.
8. **Teaching and Mobilizing:** Successful policy entrepreneurs play a role in educating the public about the issues they champion. They teach individuals about the significance of specific policies and mobilize them to actively participate in advocating for change. This grassroots mobilization enhances the impact of their efforts and contributes to the democratization of policy influence.

In essence, the characteristics of policy entrepreneurs reflect a unique blend of strategic acumen, passion for societal well being, and an understanding of the intricate

dynamics of policymaking. These individuals operate as catalysts for change, using their skills to shape policies that address pressing societal needs.

Social Innovations for Policy Changes

The article underscores the role of social innovations in policy entrepreneurship, particularly focusing on public policy changes. Social innovations involve collective efforts to introduce new practices, often preceding broader societal transformations.¹⁶ The researcher studied key policy entrepreneurs in India, including Aruna Roy, Manubhai Shah, Vijay Shankar Vyas, Anil Kumar Gupta, and M.S. Swaminathan, to understand their strategies and successes. Social innovations play a critical role in driving policy changes, acting as dynamic catalysts for transformative shifts in societal structures. In the realm of policy entrepreneurship, social innovations serve as the means through which new practices and ideas are introduced, fostering collective efforts that pave the way for impactful policy alterations. This section delves deeper into the significance of social innovations, particularly focusing on public policy changes as a conduit for broader societal evolution.

1. **Public Policy Changes as Instruments of Transformation:** Public policies, crafted by governments or semi governmental bodies, serve as comprehensive guidelines for societal action.¹⁷ These policies are designed with the overarching goal of contributing to the overall transformation and betterment of society. They provide a structured framework for decision-making, often stemming from the collective wisdom of policymakers, experts, and the general public. Successful policy changes, influenced by social innovations, have the potential to bring about positive shifts in areas such as governance, social welfare, economic development, and environmental sustainability.
2. **The Need for Public Participation in Policy Framing:** One key aspect of social innovations in policy changes is the imperative role of public participation. Policies created with the active involvement of the public tend to be more inclusive, reflective of diverse perspectives, and better equipped to address the needs of the broader population. Inclusive policy framing ensures that the voices of various communities are heard, fostering a sense of ownership and responsibility among citizens.¹⁷ Entrepreneurs in the policy space actively engage the public, organizing forums, seminars, and interactive sessions to encourage dialogue and collaboration, ultimately leading to policies that resonate with the societal fabric.
3. **Social Transformation Through Policy Advocacy:** Social innovations act as precursors to broader social transformations, often initiated through policy changes.

Entrepreneurs in the policy realm leverage innovative strategies to advocate for and instigate societal shifts. Examples abound, from policy initiatives in microfinance and climate change to efforts supporting social development and the abolition of apartheid.¹⁹ The proactive role of policy entrepreneurs in advocating for such transformative policies showcases the potential for social innovations to pave the way for comprehensive societal evolution.

4. **Policy Entrepreneurship and the Power of Influence:** Policy entrepreneurs, equipped with a passion for specific causes, employ social innovations to wield influence and generate impact. Their ability to mobilize the public, organize conferences, and engage with media outlets contributes to the dissemination of critical information. By fostering awareness and understanding among the masses, policy entrepreneurs create a groundswell of support that exerts pressure on policymakers, legislators, and executives.²⁰ This collective influence becomes a powerful force in ushering in policies that align with the needs and aspirations of the society at large.
5. **Lessons from Noteworthy Policy Entrepreneurs:** The researcher's study of influential policy entrepreneurs, such as Aruna Roy, Manubhai Shah, Vijay Shankar Vyas, Anil Kumar Gupta, and M.S. Swaminathan, highlights the diverse approaches used to bring about policy changes. These individuals showcase the varied dimensions of social innovations employed, including public meetings, conferences, and grassroots mobilization.²¹ Their successes underscore the importance of blending passion, purpose, publicity, participation, and presentation in the pursuit of policy entrepreneurship.

In conclusion, social innovations for policy changes represent a dynamic force in shaping the trajectory of societies. As policy entrepreneurs navigate the intricate landscape of policymaking, they leverage innovative strategies to instigate transformations, ensuring that policies align with the evolving needs and aspirations of the public.²² The symbiotic relationship between social innovations and policy changes becomes a cornerstone for fostering inclusive, responsive, and impactful governance.

Proposition on Social Innovations for Policy Entrepreneurship

Based on data analysis, the researcher proposes the 5Ps model for policy entrepreneurship: Passion, Purpose, Publicity, Participation, and Presentation. These elements encapsulate the essence of successful policy entrepreneurship, emphasizing the need for passion, a clear societal purpose, effective publicity, mass participation, and strategic presentation of ideas to policymakers. Building upon

the insights gleaned from the in-depth analysis of policy entrepreneurs and their strategies, the researcher presents a comprehensive proposition encapsulating the essential elements for successful policy entrepreneurship.²³ Termed the 5Ps model: Passion, Purpose, Publicity, Participation, and Presentation, these components collectively form a dynamic framework that serves as a guide for individuals and organizations seeking to effect transformative policy changes.

1. **Passion:** The cornerstone of effective policy entrepreneurship lies in the passionate commitment of individuals to a cause. Passion serves as the driving force behind sustained efforts to advocate for policy changes. It fuels the resilience needed to navigate the complexities of the policymaking landscape, ensuring that entrepreneurs remain steadfast in their pursuit of positive societal transformations. The proposition underscores the critical role of passion as the catalyst for initiating and sustaining the policy advocacy journey.
2. **Purpose:** A clear societal purpose forms the bedrock of impactful policy entrepreneurship. Entrepreneurs must articulate a compelling vision for societal betterment, aligning their endeavors with the broader public interest. Purpose serves as a guiding principle, directing actions toward tangible outcomes that contribute to the welfare of the community. The proposition emphasizes the need for a well-defined and socially resonant purpose to underpin the efforts of policy entrepreneurs.
3. **Publicity:** Effective communication and strategic publicity are indispensable tools for policy entrepreneurs. Creating awareness and garnering support for proposed policy changes require a deliberate effort to engage with media, stakeholders, and the wider public. The proposition underscores the significance of proactive and targeted publicity strategies, ensuring that the proposed policies gain visibility, credibility, and resonance among diverse audiences.
4. **Participation:** Mass participation emerges as a key driver for successful policy entrepreneurship. Entrepreneurs must actively engage and mobilize the public, fostering a collective voice that advocates for the desired policy changes. The proposition highlights the pivotal role of mass participation in building momentum, creating a groundswell of support that exerts pressure on policymakers and facilitates the successful implementation of innovative policies.
5. **Presentation:** Strategic presentation of ideas to policymakers is a linchpin in the 5Ps model. Policy entrepreneurs must adeptly communicate their proposals, utilizing various mediums to convey the potential impact of the suggested policies. The

proposition emphasizes the importance of well crafted presentations, highlighting the nuances of proposed changes, and persistently following up to ensure that policy recommendations are not only considered but also implemented.

In conclusion, the 5Ps model offers a holistic and actionable framework for policy entrepreneurs. By integrating passion, purpose, publicity, participation, and presentation, this model serves as a compass, guiding individuals and organizations through the intricate terrain of policy advocacy. It is an invitation for aspiring policy entrepreneurs to embrace a multifaceted approach that goes beyond mere ideation, encouraging them to infuse their endeavors with purposeful passion and a commitment to inclusive, impactful change.

Conclusion

By employing a range of strategies, from public influence and collective action to media engagement and networking, policy entrepreneurs contribute to shaping the policies that govern societies. The 5Ps model emerges as a comprehensive framework, encapsulating the core elements of successful policy entrepreneurship and providing a valuable guide for those seeking to bring about transformative policy changes. In conclusion, this research illuminates the profound impact of policy entrepreneurs on the dynamic landscape of policymaking. By unraveling the intricate process of policy entrepreneurship and introducing the 5Ps model Passion, Purpose, Publicity, Participation, and Presentation as essential elements, we gain valuable insights into the strategies that drive successful policy initiatives. Policy entrepreneurs, exemplified by figures such as Aruna Roy, Manubhai Shah, Vijay Shankar Vyas, Anil Kumar Gupta, and M.S. Swaminathan, are instrumental in steering societal transformations through their passion for causes, clear societal purpose, adept use of publicity, encouragement of mass participation, and strategic presentation of ideas.

The study underscores the adaptability and persistence inherent in the nature of policy entrepreneurship.²⁴ These individuals navigate the complexities of policymaking with a deep understanding of governmental limitations, demonstrating patience as they strive to implement desired policies. Their multifaceted approach, encompassing public influence, collective voice, seminars, conferences, media engagement, and networking, underscores the breadth of strategies employed to influence policy framing.

Furthermore, the proposition of the 5Ps model serves as a robust framework for aspiring policy entrepreneurs and policymakers alike. Passion becomes the driving force that sustains commitment, purpose establishes a clear vision for societal benefit, publicity ensures the dissemination

of crucial information, participation encourages inclusive decision making, and presentation effectively communicates the need for policy changes to key stakeholders.

As we delve into the nuances of policy entrepreneurship, it becomes evident that these individuals play a pivotal role in ensuring policies are not only framed but implemented for the betterment of society. The study not only sheds light on the historical successes of policy entrepreneurs but also paves the way for future endeavors by providing a structured model that encapsulates the essence of effective policy entrepreneurship. In essence, policy entrepreneurs, armed with innovative ideas and a strategic approach, stand as catalysts for positive societal change through their unwavering dedication to influencing and implementing transformative policies

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