

# Green Kampung

Exploring the Collaborative Governance Processes of Green Kampung Upgrading in Indonesia

Case Study: Surabaya Green and Clean Programme

AM Imron



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Case Study: Surabaya Green and Clean Programme

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“Many of our founding fathers were born and raised in kampung.  
Without kampung, the state of Indonesia seemed never existed.  
So, it is our duty now to preserve the kampung”

*- Prof. Johan Silas on Konferensi Kampung Nusantara, 2019 -*

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# Colophon

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# Preface

*I dedicate this thesis to the memory of my grandparents  
The ones who had taught me a lot about the value of life  
from living in the kampung*

I was born and raised in a kampung in Surabaya. At that time, my grandparents took the whole big family to live in their kampung house, including my parents and me. I spent a lot of childhood times with my grandparents, especially my grandmother. She took care of me and had taught many stories and kind words to deepen my understanding of life. The values of tolerance and sincerity were the words of wisdom my grandmother told me and I saw them in practice by living in the kampung. I was a happy kid living in the kampung. I do remember those days when I ran in the *gang* and played soccer during the rain with my childhood colleagues. I could also recall the times when we were playing the traditional games such as *Kethek Menek*, *Slepdur*, *Gobak Sodor* or *Gundu*<sup>1</sup>. It was definitely good childhood memories living in the kampung, until finally, I had to move out with my parents to our new home when I was in high school. Time flies so fast since I left my grandparents' home in the kampung. Currently, I am studying in the Netherlands, which is about 11.800 km away from the kampung where I used to live. When I was thinking about my thesis topic, suddenly the image of kampung popped up in my mind. The memories of kampung had encouraged me to research about kampung in Surabaya. Then, I decided to take the topic of “green kampung” as the environmental upgrading in kampung was emerging in the past few years.

This thesis would not be made possible without the guidance of my thesis supervisor; therefore, I would like to thank my supervisor, **Gerrit-Jan Carsjens**, for the motivation and the guidance during my thesis progress. Those discussions we had and the feedback you provided had made me write this thesis better. I would also love to express my gratitude for my parents for the kind supports until I could make this far. Also, I would like to say thank you for my Indonesian friends in the Netherlands. The good memories we shared made the Netherlands home far away from home. Moreover, I would like to express my gratitude for my respondents and the people of Surabayan kampung. Their help and input were significant during my data collection process in Surabaya. Last but not least, I would like to thank LPDP scholarship that had made it possible for me to pursue my dreams studying in the Netherlands.

I hope you enjoy reading my thesis

*Monggo sedoyo  
Sugeng maos, sekecoaken*

Afrizal Maarif Imron  
Wageningen, March 31<sup>st</sup>, 2020

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<sup>1</sup> Some traditional games are believed to be influenced by the European culture, such as *Gobak Sodor* (go back to door game, in English) or *Slepdur* (taken from the words “*sluip door*” in Dutch)

# Abstract

Nowadays, the conventional top-down planning approach has been replaced by more flexible system of communication where decision making and powers are transferred to community and private sectors. The new approach that enables the participation of various actors is widely known as “collaborative governance”. This research aims to understand the role of collaborative governance in the Surabaya Green and Clean (SGC) programme by unraveling the complexity of collaborative processes, actors involved and the actors’ role in the implementation of SGC programme. This study uses the concept of neighbourhood upgrading, collaborative governance and governance in green space development as starting point to answer the research objective. This research was performed using qualitative research approach. A total of 14 interviews was carried out in data collection, covering the stakeholder groups of government, private sector, academics, community organization and community. Atlas.ti was used to conduct qualitative data analysis. The results show that the collaborative governance deployed a significant role in achieving the positive outcomes of SGC programme. Various factors that support the positive outcomes of SGC are; the prior history of cooperation, facilitative leadership, active citizen participation, the involvement of media and the commitment to process. Meanwhile, the absence of leadership and the lack of follow-up assistance after SGC programme might impede the successful collaboration. This study contributes to the scientific knowledge concerning the utilization of collaborative approach in neighbourhood upgrading, particularly for the context of Indonesian kampung.

*Keywords: collaboration, governance, neighbourhood upgrading, green kampung, SGC*

# Abbreviation

BAPPEKO	<i>Badan Perencanaan dan Pembangunan Kota</i> or Urban Planning and Development Authority
CSR	Corporate Social Responsibility
DKRTH	<i>Dinas Kebersihan dan Ruang Terbuka Hijau</i> or Municipal Service of Green Public Space and Cleanliness
DLH	<i>Dinas Lingkungan Hidup</i> or Municipal Service for Environment and Living Habitat
KIP	Kampung Improvement Programme
Musrenbang	<i>Musyawarah Rencana Pembangunan</i> or Local Participatory Budgeting
Pemkot	<i>Pemerintah Kota</i> or Municipality
PKK	<i>Pemberdayaan Kesejahteraan Keluarga</i> or Family Welfare Organization
RT	<i>Rukun Tetangga</i> or Neighbourhood Unit
RW	<i>Rukun Warga</i> or Community Unit
SGC	Surabaya Green and Clean
UMKM	<i>Usaha Mikro Kecil Menengah</i> or Small-Medium Enterprise
UN	United Nations

*\*Notes: the terms in Bahasa Indonesia is indicated in the italic words*

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# Chapter I Introduction

- I.1 Introduction
- I.2 Problem description
- I.3 How to read this thesis

Kampung, as typical informal housing in Indonesia have experienced various environmental issues in the past. Numerous kampung upgrading efforts have been introduced to deal with the problems, starting from the Kampung Improvement Programme (KIP) until the current Surabaya Green and Clean Programme (SGC) that becomes the center of discussion in this study

This chapter introduces a brief description of the kampung context for this research, the aim of this research and also the scientific and societal relevance

# Chapter 1

## Introduction

### 1.1 Introduction

In the global context, various terms were used to refer low-income settlement, such as shelter, squatter or even slums. In the context of Indonesia, “Kampung” is the common word to address this kind of low-income settlement. This local term has been adapted in English as well and has been recognized in city planning discourses, particularly in the global South (Harris, 2019). Kampung<sup>2</sup> appears as a typical indigenous urban settlement in Indonesia which is mostly inhabited by lower income class. Kampung is a kind of self-help housing area that is formed through informal (natural planning) process (Silas, Setyawan, Ernawati & Okitasari, 2017). Looking back at the history, in the past time Indonesia recognized two patterns of housing development, namely *formal* and *informal* development. Formal development is normally executed by the government and private sector, but can only be afforded to those middle and upper class with good access to economic capital. This form of residential development is manifested in the development of planned housing, such as real estate. Meanwhile, the low-income communities develop their settlement area through informal methods, such as kampung. The terminology of “informal methods” refers to the traditionally self-built house in an incremental construction process based on the locally available building materials (Ernawati, Santosa & Setijanti, 2013; Silas *et al*, 2017).

Kampung as a residential area is a unique identity of Indonesia (Muwifanindhita & Idajati, 2019). As kampung is developed incrementally by the community, the housing pattern in the kampung tends to be irregular. Kampung is a high-density built-up area with minimal infrastructures (Setijanti *et al*, 2016). In terms of population, kampung is densely populated area that has a diverse atmosphere since it is occupied by people from various cultural, ethnicity, religion and economic backgrounds. The diversity in the kampung allows the inhabitants to create the norm and value of togetherness, tolerance and solidarity within their daily life (Setijanti *et al*, 2016). In many big cities in Indonesia, such as Surabaya, kampung is home to 70% of the urban population (Silas, 1992). Kampung in Indonesia are often recognized as slum and squatter. However, such assumption relates to the misunderstanding of the truth. Kampung is not squatter or slum, but a form of unique indigenous urban settlement built by its community mostly long before the city exists. Therefore, kampung does not follow the formal building construction code or planning methods that came much later. Accordingly, kampung can be regarded as planned vernacular settlement, not unplanned settlement (Silas *et al*, 2017). Even though the kampung is built through informal methods, kampung is not necessarily illegal. Most of kampung are legal settlement equipped with formal land status. Kampung is also administered by community governance that coordinates with the formal governance in the city level (Das & King, 2019).

In the past time, most kampung were still underserved by basic infrastructures such as road accessibility and sanitation. As a relatively disadvantaged neighbourhood with dense population and lack of basic infrastructures, kampung had faced several issues related to environment. Kampung which was the home to large low-income group was prone to risks such as floods and diseases due to inadequate of drainage and sanitary services (Ernawati *et al*, 2013). To tackle these problems, a number of neighbourhood upgrading efforts had been executed by the government to improve the quality of life in the kampung. Dating back to 1924, kampung upgrading programme was once carried out by the Dutch colonial government, namely *kampoeng verbetering*. This programme selected city of Jakarta, Surabaya and Semarang as pilot project and mainly intended to solve health and sanitation problems from the perspective of the European settlers. Several years after the implementation of the *kampoeng verbetering*, the program was forced to dismiss due to the war (Silas, 1992). In the post-independence era of Indonesia, another upgrading programme was executed in 1968, known as KIP (Kampung Improvement Program). KIP had set up the city of Jakarta and Surabaya as their pilot project. This project aimed to upgrade both physical and social infrastructure of kampung. The first KIP program lasted from 1968 until 1993 and achieved satisfying outcome in improving the physical environment of kampung (Ernawati *et al*, 2013; Das & King, 2019; Silas, 1992). In Surabaya, many kampung benefited from the first KIP. The physical infrastructure such as drainage, accessibility and sanitation were significantly improved in myriad Surabayan kampung. KIP

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<sup>2</sup> In this study, I don't separate the singular or plural form of kampung. The word “kampung” refers both to plural or singular depending on the context

then had been the flagship of neighbourhood upgrading model of Surabaya, and became the model of neighbourhood upgrading internationally (Das & King, 2019). Due to notable achievement from the first phase, KIP was continued for another phase (C-KIP, from 1998-2003). Similar to the preceding programme, C-KIP intended to continue the neighbourhood upgrading program for the low-income kampung inhabitants (Mintorogo *et al*, 2015). The first and second phase of Kampung Improvement Program were mainly focusing to upgrade the basic infrastructures e.g. local road, sewage system and toilets (Ernawati *et al*, 2013; Mintorogo *et al*, 2015)

Since past few decades, the awareness of environmental issues such as global climate change has increased in various places. The effect of climate change is obvious as there is a clear rise of temperature almost in every country. It is predicted that the global climate will be warmer and weather pattern tends to be irregular. As urban climate is affected by global climate too, the city is currently more prone to risks such as urban heat, flood, drought and other climate-related hazards (Lenzholzer, 2015). In the city of Surabaya, the event of flooding was becoming more frequent. The average temperature was gradually rising too, resulting in thermally uncomfortable condition of urban climate (Setijanti *et al*, 2016). Several strategies can be developed to adapt with the climate change. Adding more vegetation and trees to cool down temperature, and improving the capacity of drainage system are some of the actions to cope with climate change (Klemm & Kleis, 2018; Lenzholzer, 2015). In Indonesia, government is trying to implement a similar effort for the urban climate adaptation. In a neighbourhood scale, green kampung development is initiated to help the kampung inhabitant to mitigate the effect of climate change and tackle other environmental issues, such as waste or garbage problems. Setijanti *et al* (2016) notes that the green kampung development programme is a form of government intervention to adapt with the environmental issues such as waste issues and climate change problems. Green kampung is described as settlement area which is featured by well-arranged environmental management.

Surabaya is the capital of the Province East Java and second largest city of Indonesia. As the center of business especially in the eastern part of Indonesia, Surabaya grows as significant industrial and commercial base holding around 3,3 million population. Surabaya is renowned as a city which is proactively progressing to deal with environmental issues (Das & King, 2019). In the case of Surabaya, the municipality started to focus developing green kampung to cope with environmental issues. An initiative called as “Surabaya Green and Clean Programme” was launched in 2005 by the government to widely promote green kampung upgrading among the Surabaya citizens (Mintorogo *et al*, 2015). This programme is manifested as an environmental competition that challenges the kampung inhabitants to upgrade their own kampung independently using the people’s own resources, such as materials, money and manpower. There are several assessment criteria for this competition that should be incorporated in green kampung upgrading; garbage management; storm water management; greenery provision; wastewater treatment and sanitary facilitation. Currently, Surabaya Green and Clean (SGC) has been participated by thousands of kampung, and it successfully upgraded the living quality of numerous kampung in Surabaya. Even, some kampung were listed as role model for neighbourhood upgrading in the national level, such as Kampung Gundih, Kampung Maspati, Kampung Jambangan, due to their success in improving their settlement (Mintorogo *et al*, 2015; Silas *et al*, 2017).

The success story of Surabaya Green and Clean programme has been granted by numerous awards. International awards such as Lee Kuan Yew World City Prize 2018 and Global Green City Award 2017 in Global Forum for Sustainable City and Human Settlement were rewarded to the city of Surabaya due to its successful remarks in preserving and upgrading their kampung (Das & King, 2019; Dianingrum, Faqih & Septanti, 2017; Rukmananda, 2017). In line with that, Surabaya Green and Clean programme has achieved another remarkable result, as new green kampung are growing in many spots of the city (Mintorogo *et al*, 2015; Setijanti *et al*, 2016). The newly developed green kampung have been visited by numerous people from various backgrounds e.g. students, journalists or tourists and became a new destination either for tourism or for research purpose (Lailia, 2014; Silas *et al*, 2017). Even Kampung Gundih, which was one of the winner of green and clean competition, was set up as an exemplary model of green neighbourhood upgrading that was regularly visited by delegates from abroad, such as Bangladesh, Singapore, The Philippines and other countries in Asia-Pacific regions to observe closely on how kampung could become a green, decent and livable habitat developed by the participation from local community (Mintorogo *et al*, 2015). Surabaya with its well-known Surabaya Green and Clean programme is considered as a successful example of green neighbourhood upgrading. Strong government commitment in green kampung development programme has played important roles in achieving such remarkable outcome (Riana, 2019).

Surabaya has a good track record for its green kampung upgrading, however, in several cities in Indonesia, the similar program achieved less successful outcome. Alfiana (2018), noted that in the city of Jombang, the green



kampung development programme was regarded as less successful since the programme could not change the behaviour of the society towards green living. The socialization of waste management to kampung inhabitants in Jombang only became an eventual momentum until finally the inhabitants started to dispose their garbage to the river again. Similarly, in Jakarta, the kampung upgrading effort also met unsatisfactory outcome since the programme did not sustain for long period of time. Various factors such as lack of active citizen participation impeded the implementation of the programme in Jakarta (Sari, 2009). Looking at this situation, Surabaya as an example of successful story in green kampung upgrading can be used as role model or reference for other cities in Indonesia to develop the similar programme. Therefore, this research aims to explore the drivers and barriers that support or hinder the green kampung upgrading in Surabaya.

## 1.2 Problem description

The efforts for upgrading the living quality of kampung in Surabaya has been a long planning process, starting in the Dutch colonial era until the present time (Ernawati *et al*, 2013; Silas, 1992) and has achieved positive outcomes, shown by various award received and the recognition for Surabaya as exemplary for neighbourhood upgrading in Indonesia (Lailia; 2014; Mintorogo *et al*, 2015; Setijanti *et al*, 2016; Rukmananda, 2017; Das & King, 2019). There can be various factors (e.g. economic, social and governance) influencing the success of Surabaya city in implementing their green kampung development programme. However, in this master thesis, the focus of the research is narrowed down to the ‘governance’ aspect for the context of green kampung upgrading in Surabaya.

### 1.2.1 Scientific Relevance

This research focuses on the governance aspect as currently there is inadequate research on how the governance model of green kampung upgrading is implemented in Surabaya. Most of recent researches were mainly focusing on specific contribution. They are mostly focusing on the role of only one government department, particularly in the *DKRTH*<sup>3</sup> or Municipal Service of Public Green Space and Sanitation (e.g. in Kumalasari, Hanafi & Rozikin, 2014; Iswari, 2014). It is not widely explored yet on how the governance model is formed and who the other involved actors are. Therefore, this research intends in revealing the big picture of governance formation, who are the actors involved and how are the collaborative processes. By finding out about the form of governance model in the case study of Surabaya Green and Clean Programme, this research aims to contribute in the scientific aspect; giving a clearer picture on how the collaborative governance of green kampung upgrading is implemented in Indonesia.

### 1.2.2 Societal Relevance

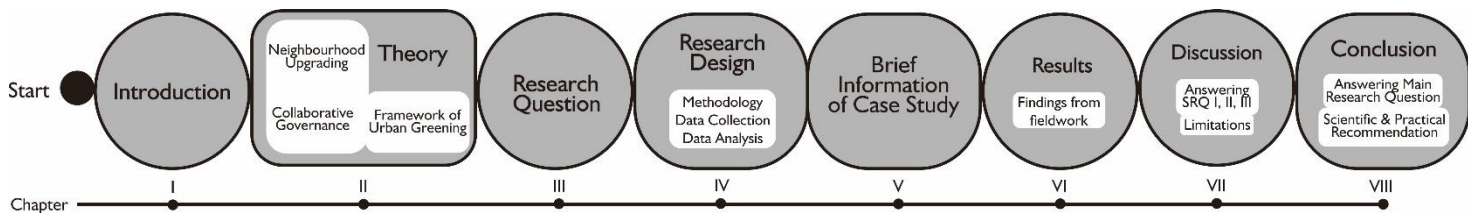
The similar green kampung upgrading programme achieved less successful outcome in other cities in Indonesia. In the city of Jombang and Jakarta for example, the kind of similar programme were considered as less successful where the kampung upgrading effort didn’t sustain in long period of time and failed to change the societal behavior of the inhabitants towards green living (Sari, 2009; Alfiana, 2018). As for the societal relevance, selecting Surabaya as an exemplary model using the case study of Surabaya Green and Clean Programme, it is expected that the governance in green kampung upgrading in Surabaya can be used as reference for urban practitioners in other cities in Indonesia to implement the similar programme. From the case study of Surabaya, other cities might learn about the collaborative process, the stakeholders and resources needed in green kampung upgrading found in this research.

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<sup>3</sup> DKRTH is government institution which acts as primary implementer in the Surabaya Green and Clean Programme

### 1.3 How to read this thesis

To unravel the collaborative governance in Surabaya Green and Clean Programme, this report first builds with theoretical framework which incorporates the processes of neighbourhood upgrading in global context and the framework of collaborative governance in urban gardening and green space (Chapter 2). Afterwards, in the Chapter 3, theoretically informed research questions are formulated to understand the role of collaborative governance in the Surabaya Green and Clean Programme. In Chapter 4, research design is presented which consists of methods in data collection and data analysis. Then, to make the readers get more acquainted with green kampung, Chapter 5 presents the brief information on case study of Surabaya Green and Clean Programme. In Chapter 6, the results of collaborative governance in Surabaya Green and Clean Programme is presented. This chapter mainly discusses the findings and results during the fieldwork. Later, in the Discussion section in Chapter 7, sub research questions are answered to finally formulate and discuss the answer for the main research question in next chapter. The research limitation is also presented here. Last but not least, Chapter 8 discusses the Conclusion section for this research, followed by scientific and practical recommendation for future research. The reading guide is conceptualized in Figure 1.1



**Figure 1-1. The structure of the report**

*Source: Author (2020)*



# Chapter II

## Theoretical Framework

- 2.1 Neighbourhood upgrading
- 2.2 Collaborative governance
- 2.3 Governance on urban green space development

Neighbourhood upgrading efforts have been implemented in various places across the world, including in Indonesian kampung. In this chapter, the theoretical framework first builds on the explanation of neighbourhood upgrading in the global context. Later, the framework of collaborative governance in urban green space is provided to further discuss on the collaborative governance in the kampung upgrading in Indonesia





# Chapter 2

## Theoretical Framework

For the theoretical framework in this study, a brief history on neighbourhood upgrading in global context is presented, discussing both in the global North and the global South. This chapter discusses the research and approach on neighbourhood upgrading. Later, the collaborative governance aspect is discussed. A theoretical lens from Ansell and Gash (2008) is adapted to understand more deeply about collaborative planning processes in theory and its practices. Last but not least, a framework on urban gardening and green space by Nikolaidou *et al* (2016) is also used to complement the previous theory on collaborative governance.

### 2.1 Neighbourhood upgrading

Harris (2019:1) describes neighbourhood upgrading as an effort focusing on processes and programme with the aim to improve the physical and/or social conditions in relatively disadvantaged urban subareas, for the benefit of the current inhabitants. The topic of neighbourhood upgrading has been important discourses, particularly after the post-industrial era where slums or relatively disadvantaged area emerged in many places.

Currently, the research about neighbourhood remains segregated in the global context. The discussion of neighbourhood is divided between ‘developed’ and ‘developing’ societies (e.g. in Harris, 2019). Others might also refer the segregation into the binary of global “North” or global “South”. Even though this kind of segregation is possible, yet never entirely adequate, the research and debates about neighbourhood are still segregated into the binary (Harris, 2019). In recent discussions, we might hear various terms such as neighbourhood, settlement, dwelling, slum and many others terms that lead to confusion. In general, those terms refer to housing or residential area. Harris (2019) explains that the term of ‘neighbourhood’ has been used mostly in the global North. While in global South, other labels such as; ‘settlement’, ‘squatter’ or ‘shelter’ are used to refer to dwelling area. Another term such as ‘slum’ is also frequently used in global South to refer to poorly managed settlement area. Harris (2019) added that, fewer local terms have been adapted in English too, e.g. *favela* (Brazil), *bustee* (India), *geçekondu* (Turkey) and *kampung* (Indonesia). To avoid confusions, for the context of Indonesia this thesis uses the terms of “kampung” to address the low-income neighbourhood (and vice versa).

In the developed world, prosperous countries had made efforts to mitigate poverty through income transfers or providing adequate services and facilities mainly targeting the poor. Consequently, worst urban living conditions in the global North have been greatly reduced (Harris, 2019). On the other hand, in the developing societies, poor settlement conditions are more common and widely spread in unprecedented scale due to the booming of population. It’s no surprise that the center discussion of the slum has been shifted Southwards (Harris, 2019). Slum is one kind of relatively disadvantaged areas where Shapely (2017) refers it to the place where the inhabitants are socially, economically, politically, and culturally marginalized as the underserving poor.

Actions have been done particularly by the government to alleviate the slums issue. Efforts such as ‘revitalization’, ‘regeneration’ and ‘renewal’ are the few of commonly used terms. Those terms frequently imply to clearance, sweeping or acts of demolition for the sake of neighbourhood development (Harris, 2019). Conversely, the terminology of ‘repair’, ‘rehabilitation’, ‘conservation’ and ‘upgrading’ refer to more subtle changes (no act of clearance). These terms share the goal to improve the neighbourhood condition to benefit the current resident without eviction (Harris, 2019). Neighbourhood upgrading mainly target the relatively disadvantaged area. But debates always arise on which ‘relative disadvantage’ or what categories of area should the government target. The discourses are a never-ending story, but planners have commonly utilized some type of triage model (Harris, 2019) that divides on which areas are beyond hope; areas that are declining but can be rescued; and the areas that need no help (Galster, 2019). Another scholar, such as Stokes (1962), distinguishes the kind of relatively disadvantaged neighbourhood into simpler binary; “the slums of hope” and “the slums of despair”. This categorization resulted in the efforts made by the government to overcome the issues e.g. some act to neglect;

some act to do clearance/sweeping; and others act to improve/upgrade. These kinds of efforts is elaborated in the next sub-chapter.

### 2.1.1 Efforts on neighbourhood development (and alternatives)

Government as decision makers act in different ways to deal with the slums or relative disadvantaged neighbourhood. In this chapter, the discussion focuses on three types of action which have been done by the government in various places.

#### **a) Ignore the issue: *laissez faire***

To do nothing, is the very first option. *Laissez faire* ignores the serious problem, revealing absence of government intervention. It might also be regarded as whitewash. In the current era, planners and city government sometimes ignore the area that considered as hopeless, or the slums of despair (Dewar & Weber, 2012). Planners and municipalities have various reasons to ignore. One of them is that they may claim that the condition is matters of poor and their culture of property. Not so much can be done and they claim it will get better on their own (Lewis, 1965). They argue that to act is such a waste of financial resources (Harris, 2019).

#### **b) Clearance or eviction**

When the government is expected to act, the choices are two; demolish or improve. In theory, clearance is simpler. But in practices, it is also complex and challenging. Several demolition practices in the United States leads to question on how the slums will be redeveloped, and also how the former residents will be displaced (Slayton, 1966).

In many practices, clearance has morality downside, but in principle, it does have benefits too. After the renewal, surrounding area might get an economic boost. Municipality enjoy the rise of tax revenues, and if the displaced inhabitants are rehoused to new areas, their living conditions are assumed to improve. But in practice, things don't work that way most of time (Harris, 2019). In fact, there are always several displaced residents who are not rehoused and those who end up in remote locations takes more time and more costs for commuting, as shown in Mumbai and Honduras (Doshi, 2012; Pearce-Oroz, 2005)

#### **c) Upgrading or improvement**

Apart from ignorance and clearance, the remaining action is improvement. Generally speaking, it is more expensive than ignoring but cheaper than sweeping out and rehousing. Neighbourhood improvement or upgrading makes it more affordable in terms of cost and it is likely more acceptable for the current inhabitants (Harris, 2019). But then, the question may arise, why the government do the upgrading if there is cheaper option, such as *laissez faire*, or simpler way to do, such as sweeping out. There are various reasons to answer this. Harris (2019) argues that self-interest and political pressure might become the driving force for the government to do so.

Self-interest encourages the municipality and politician to take action for the common good. In the past, for example during the British colonial era in Calcutta, a neighbourhood improvement is needed to overcome the outbreak of cholera among the European dwellers. To prevent more catastrophic conditions due to diseases, government had to do the improvement to cope with the health issues. In past time, many upgrading programmes aimed to improve sanitation facilities as a mitigation to prevent the spread of infectious diseases (Harris, 2018). The government act because it is their self-interest, and also it is the right thing to do. The other reason why the government acts is there is political pressure from beyond city. The pressure or the financial aid from outside required the government to create the development programmes as their progress will be concerned by the society or donors too in particular (Harris, 2019).

Now it is understood that in different parts of the worlds, government acts in various ways in dealing with relatively disadvantaged neighbourhood area. Speaking of kampung development in this research, the core of the discussion focuses on upgrading efforts. In the following sub-chapter, some practices of neighbourhood upgrading are discussed concerning on those projects that have been done in global North and South.

## 2.1.2 Practices of neighbourhood development throughout the world

### a) *The global North*

Dating back to 1800's in Britain, as the knowledge about disease were progressing (e.g. about communicable diseases and how they spread) municipalities started to put attention to the effects of physical environment on the public health. Planners and city government realized the importance on sanitation amenities to mitigate the infectious disease (Harris, 2019). The milestone happened in 1854 when Dr. John Snow tracked a cholera outbreak in Soho, London was related to polluted water system. Accordingly, the first major sanitary initiatives were taken throughout London. It was mainly concerning on water quality and the disposal of human and animal waste (Harris, 2019). During the 19th and early 20th century, the neighbourhood upgrading were particularly focusing on the improvement of sanitation facilities.

During the post-war era, as urban sanitation became to be taken for granted, the concentration of upgrading programmes no longer focusing on sanitation. The trend shifted from sanitation into housing as the new priority (Harris, 2019). In Canada, the thoughts of physical upgrading for housing came into reality during the 1960's. The Housing Act of 1964 provided subsidies for public works to improve residential areas. In 1965, the Planning Board of Toronto commenced an "improvement programme" that covered property rehabilitation, the development of public parks, landscaping and tree planting and more frequent waste removal. The programs expected that by reasonable renovations and maintenance, family housing in the intermediate neighbourhood would be decent and livable for the upcoming years (Harris, 2019).

### b. *The global South*

During the 19th to 20th century, pretty much the same as in the global North, public health and poor sanitation were main issues in the global South (Home, 2013). One of the first sustained, localized upgrading and well-documented scheme was in the British colony in Calcutta, India. In the bustees of Calcutta, the residents drank from polluted water source, washed cooking utensils in polluted tank and defecated in poorly-managed open water closet. Consequently, a cholera outbreak happened during 1870's (Datta, 2012; Furedy, 1982; Harris, 2018). In order to deal with the issue, the neighbourhood upgrading programme in Calcutta was proposed and running until 1910. It emphasized on provision of clean water for consumption, improved street cleaning and establishment of public bathrooms and toilet. Calcutta's bustees initiatives might be regarded as the world's first upgrading programme in the developing societies. It was entirely emphasizing with the provision of sanitary infrastructure to improve public health (Harris, 2019).

Similar programme also found in the Dutch East Indies<sup>4</sup> during the 1920's. The residential areas or known as *kampung* faced several issues, mainly related to sanitation and flooding. A programme called *Kampoeng Verbetering* was introduced by the Dutch colonial government. The major changes provided by the colonial government were to provide piped water and sewage systems and also open canals for waste water and storm water (Harris, 2019). It was meant to prevent contagious disease to the European quarters due to lack of sanitation. This effort marked off the initial neighbourhood upgrading program in Indonesia that continued during the post-war era.

In the post-war era, neighbourhood upgrading programme in Indonesia was re-established under the name of *Kampung Improvement Programme* (KIP). It was initiated in 1969 with the pilot project set up in densely populated city of Jakarta and Surabaya. Before the KIP, many *kampung* were perceived as pockets of urban poverty with slum-like conditions as the basic infrastructure was lacking. Thus, KIP aimed at upgrading basic physical infrastructure. The upgrading programme included the improvement of local road, improvement of sanitation facilities and also rehabilitation of household toilet. KIP was operated in several phases and lasted until 2003 (Silas, 1992; Ernawati *et al*, 2013; Mintonogo *et al*, 2015). Having upgraded the basic facilities in the low-income settlement, KIP was regarded as pro-poor development with unmatched success. KIP became an exemplary model of in-situ slum upgrading efforts both in national and international level (Das & King, 2019). KIP had benefited thousands of urban *kampung* in terms of physical improvements. Silas (1992) noted that in Surabaya, the implementation of KIP had reached 70% of Surabayan *kampung* covering 3000 hectares area and helping over one million inhabitants. As the basic infrastructure such as sanitation, road and drainage had been significantly improved, the image of "slums" had been gradually reduced in many *kampung*. Nowadays, most *kampung* were also already authorized by legal land certificate (Silas *et al*, 2017; Das & King, 2019).

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<sup>4</sup> Currently known as Indonesia, after it's independence

Several years after the last phase of KIP, kampung upgrading trend was shifted towards environmental development. The awareness of environmental issues such as waste problems and climate change had increased in this period. The effort to improve the environmental aspect in kampung was widely known as “green kampung” upgrading programme. In the city of Surabaya, a green kampung upgrading programme called “Surabaya Green and Clean” was initiated by the local municipality in 2005. This programme is carried out in the form of competition that challenges the kampung inhabitants to upgrade the environmental aspect in their own kampung. The programme had successfully encouraged the inhabitants to make their neighbourhood more livable by recycling waste, rehabilitating sanitation and adding more plants and greeneries to help cool down the temperature (Mintorogo *et al*, 2015).

### ***Concluding remarks***

Neighbourhood upgrading is the effort to improve the physical or social conditions in relatively disadvantaged urban neighbourhoods for the benefit of the current residents. Neighbourhood upgrading efforts had been carried out especially after the post-industrial era, in both global North and global South. In the context of Indonesia, a number of kampung upgrading efforts had been implemented in various cities, such as Surabaya. Rather than to sweep out or displace the kampung inhabitants, kampung upgrading was chosen by the prevailing government to benefit the inhabitants. The history of kampung upgrading in Surabaya started when Dutch colonial government implemented the *kampoeng verbetering*. Afterwards, another upgrading programme was carried out under Kampung Improvement Programme (KIP) that had benefited thousands of kampung. Recently, the Surabaya Green and Clean programme that promoted environmental upgrading in kampung was initiated by the local municipality.

The “green kampung” upgrading in Surabaya is the center of this study. Using the case study of Surabaya Green and Clean programme, this research intends to explore the collaborative governance in green kampung development. Therefore, in the next sub-chapter, a theoretical framework on collaborative governance is elaborated to build up the scientific base in unveiling the governance model for the context of green kampung upgrading.

## **2.2 Collaborative governance**

The old trend of urban planning, mainly framed by rational approach, has been oriented mostly towards the conventional top-down model of comprehensive planning (Wegener, 2012; Nikolaidou *et al*, 2016). This top-down approach is widely criticized as exclusive, anti-democratic and therefore neglect the active role of the community during the planning processes. The kind of a top-down approach is considered disempowering the other potential actors in achieving the common planning goals (Shannon, 1999). The new approach in planning is needed to facilitate the participation of other actors in planning processes. In the last two decades, a new strategy of governing namely “collaborative governance” has developed. Collaborative governance emerged as consequence to failures of the top-down approach (Ansell & Gash, 2008). The traditional model of the top-down approach where government sets the regulations and framework for planning decisions, has been replaced by a flexible system of communication and agreement between public and private actors (Wegener, 2012). In the new model of governance, the power relations in the decision making are not centralized in the regulator, yet more decision powers are also distributed to community and private sectors (Wegener, 2012). The new kind of approach allows the involvement to wide range of actors, where public agencies directly engage non-state actors in a collective decision-making process that is formal, consensus-oriented, deliberative and aiming to implement public policy (Ansell & Gash, 2008).

According to Ansell & Gash (2008; 544), there are six important criteria to be engaged in collaborative governance practices, as the following;

1. *There is a forum that is initiated by public agencies or institutions*
2. *Participants in the forum include non-state actors*
3. *Participants engage directly in decision making and are not merely “consulted” by public agencies*
4. *The forum is formally organized and meets collectively*
5. *The forum aims to make decisions by consensus (even if consensus is not achieved in practice), and*
6. *The focus of collaboration is on public policy or public management.*

These criteria are important ingredients to achieve successful outcomes of the collaborative governance. The criteria show the necessity of cooperation between state and non-state actors in a well-arranged forum, where the participants are actively engaged in making consensus for the decision making. Moreover, in order to explore in detail about the process of collaborative governance, a model from Ansell & Gash (2008) is also used.

To build the model of collaborative governance, Ansell & Gash (2008) examined 137 cases of collaboration (with wide range of disciplines such as health, education, social welfare and natural resource management) in international scope to identify the critical variables that will influence or not the outcome of collaboration. The model developed by Ansell and Gash (2008) results in four broad variables, namely; 1) starting conditions; 2) institutional design; 3) leadership and; 4) collaborative process.

In this model, **collaborative process** is set as the core of the model, with starting conditions, facilitative leadership and institutional design variables represented as either critical contribution to or context for the collaborative process (Ansell and Gash, 2008; 550). **Starting conditions** states the basic level of trust, dispute, and social capital that become resources or liabilities during collaboration. **Institutional design** sets the basic ground rules under where the collaborative process is done. And, **leadership** gives mediation and facilitation for the collaboration (Ansell and Gash, 2008; 550). The model showing iterative process of the collaborative governance can be seen in figure 2.1.

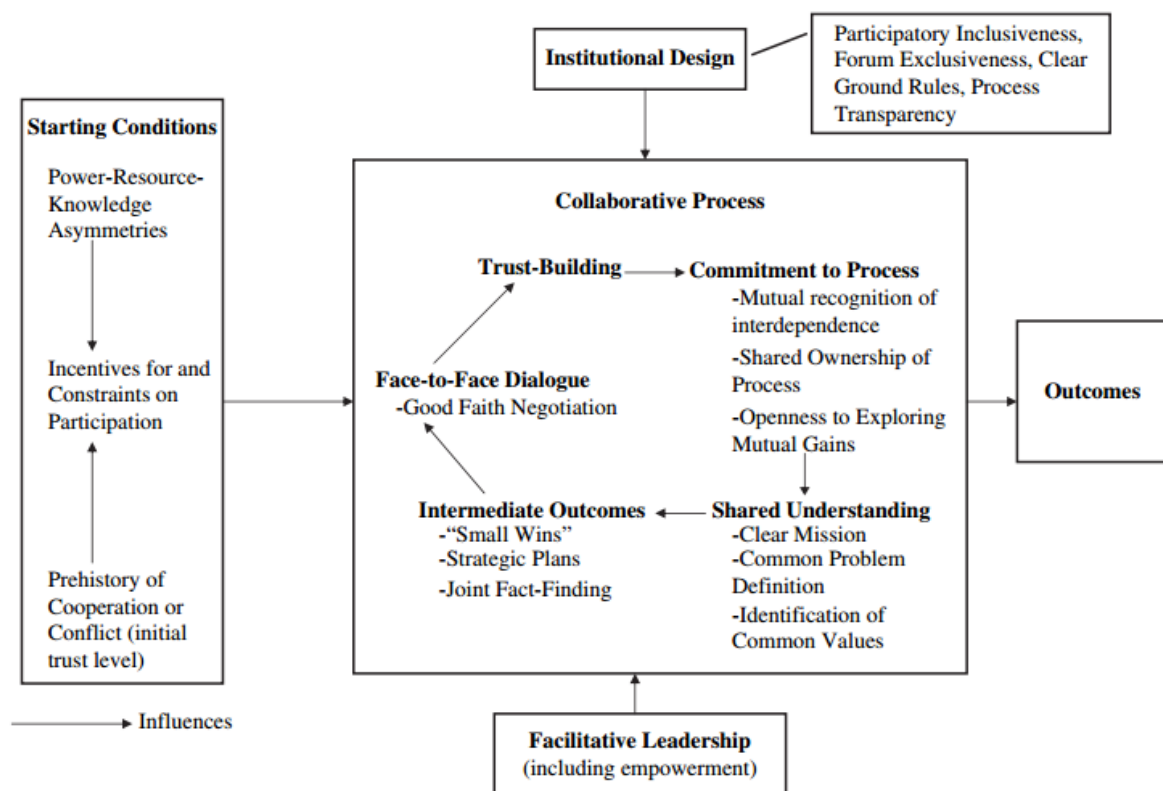


Figure 2-1. Model of iterative process in collaborative governance

Source: Ansell & Gash (2008)

### 2.2.1 Starting conditions

Various cases of collaborative governance show that the starting condition can either stimulate or hinder the cooperation among different actors in the collaborative process. There are three critical elements in the starting condition i.e. imbalances of power or resources between stakeholders, the incentives to collaborate, and the prior history of cooperation or conflict between the stakeholders (Ansell & Gash, 2008).

#### *a) Imbalances of resources or Power*

If certain stakeholders do not have the capacity, status or resources to participate, then the collaboration process could be the subject of manipulation by stronger stakeholders (Ansell & Gash, 2008). A case from United States shows that American environmental groups tend to be skeptical to collaborative governance because they feel that it only benefits to more powerful industrial actors (McCloskey, 2000). The other issues that might emerge during the collaborative process is that some stakeholders may not have the skills or expertise to deal with technical issues. Some stakeholders may not either have the time, energy and freedom to be engaged in an intensive process of collaboration (Murdock, Wiessner & Sexton, 2005; Warner, 2006; Yaffee & Wondolleck, 2003). The imbalance of power and resource could disrupt the collaboration process or, on the other hand, it could urge the collaboration as there are limitations (e.g. time, money, energy, expertise) among the actors. Limited resources encourage the actors to make collaboration for covering up each other's limitations.

#### *b) Incentives to participate*

The availability of incentive could be a driving factor for stakeholders to participate. Ebrahim (2004) mentions that the availability of financial incentives set as a crucial factor to successful collaboration in Indian forest and irrigation agencies. The provision of incentive will stimulate stakeholders to get involved in the collaboration. The absence of incentive will likely decrease the willingness of stakeholders to voluntarily participate in the collaboration.

#### *c) Prehistory of antagonism and cooperation*

The prehistory of cooperation or conflict among the stakeholders could encourage or discourage collaboration. The prior history of conflict between stakeholders expresses the low level of trust in which consequently will result in low level of commitments, manipulation and untrustworthy communications. On the other hand, a prehistory of successful collaboration will produce high level of trust, strong sense of cooperation and effective communication during the ongoing collaboration process (Ansell & Gash, 2008).

### 2.2.2 Facilitative leadership

Leadership is a critical ingredient for collaborative process. Leadership plays the role to set clear ground rules, facilitating dialogue, building trust and exploring mutual wins. Leadership is responsible to bring the stakeholders to the table of collaboration and guide them to achieve the common goal (Ansell & Gash, 2008). Leadership is important to enable, empower and involve the stakeholders and lead them to move the collaboration forward (Vangen and Huxham, 2003).

Although in many cases public agencies have predominant leadership role in collaborative governance across various policy range, other actors might have crucial leadership role too (Ansell & Gash, 2008), as Bradford (1998); Lasker & Weiss (2003) argue that successful collaboration might also rely on multiple leaders, both formally and informally, rather than depending on only one leader. In various circumstances, a fine leadership proves to guide collaborative process into a good direction. On the contrary, the lack of leadership will likely constrain the processes of successful collaboration (Ansell & Gash, 2008).

### 2.2.3 Institutional design

In the collaborative governance model by Ansell and Gash (2008), the institutional design refers to basic procedure and common ground rules for collaborative process. Then, the access to the table of collaboration itself becomes fundamental aspect and raise the question, who should be included, or excluded? Chrislip and Larson (1994) mention that the prerequisite condition for successful collaboration is that the process must be inclusive to all stakeholders who are impacted by or concerned about the case, including the potentially trouble-maker stakeholders. Clear basic procedures and transparency during the process is also important element to guarantee



procedural legitimacy and build the trust among participants. Leaders are steering the stakeholders to engage in a sincere negotiation to explore the chance in achieving the common benefits (Ansell & Gash, 2008). Transparency will also enable the stakeholders to feel confident that the collaborative process is real, not only a window dressing for private backroom deals (Alexander, Comfort & Weiner 1998).

## 2.2.4 Collaborative process

Ansell & Gash (2008) simplify the 5 elements that is critical in the collaborative process. These elements are therefore not independent, they are somehow intertwined by the variables mentioned before. The 5 elements of collaborative process are; face to face dialogue, trust building, commitment to process, shared understanding and intermediate outcomes.

### *a) Face-to-face dialogue*

All collaborative governance includes the face-to-face dialogue among the stakeholders. Face-to-face dialogue is the essence of a process to build trust, mutual respect, commitment to process and shared understanding (Ansell & Gash, 2008). However, face-to-face dialogue is not only just a media to accommodate negotiation, it is the main communication process of eliminating stereotypes and other obstacles in achieving the common goals (Bentrup, 2001). Some collaboration cases suggest that face-to-face communication succeeds to break down the stereotypes during the collaborative process (Ansell & Gash, 2008).

### *b) Trust building*

When there are previous conflicts between the stakeholders, trust building often becomes the important aspects to recover the mutual faith in the collaboration (Murdock, Wiessner, and Sexton 2005). Building trust upon the prior history of conflicts is, however, not easy. Good collaborative leaders need to recognize that they need to build mutual trust at the first place otherwise the path of collaboration will be rough. Meanwhile, the prehistory of cooperation among stakeholders is likely to facilitate the collaborative process in pursuing the common goals (Ansell & Gash, 2008).

### *c) Commitment to process*

Member commitment is another important factor that stimulates collaboration (Margerum, 2002). Poor commitment of public agencies and other stakeholders to collaborate is often seen as problem that will hinder the collaborative process to succeed (Yaffee and Wondolleck, 2003)

### *d) Shared understanding*

Tett, Crowther and O'Hara (2003) found that in the collaborative process, stakeholders have to create a shared understanding of what they can do, and what they can achieve together. This is often referred as the common goals or common purpose that is attempted to achieve during the collaboration (Ansell & Gash, 2008)

### *e) Intermediate outcomes*

Various case studies provide that the collaborative process is more likely to develop when there is the evidence that the result of collaboration is concrete, or in other words there is the "small wins" during the process (Ansell & Gash, 2008). These intermediate outcomes or small wins are important for building the momentum that leads to successful collaboration. The small wins could strengthen the mutual trust and member commitment during the collaborative process (Rogers *et al.* 1993; Vangen and Huxham, 2003b).

## *Concluding remarks*

This thesis research uses the theoretical framework of collaborative governance by Ansell & Gash (2008) to study the collaboration process between state and non-state stakeholders in green kampung upgrading. Recent researches on Surabaya Green and Clean (SGC) programme were mainly focusing on the specific contribution of *DKRTH* as municipal agency that executed the programme. Thus, this research aims to explore the other state and non-state stakeholders involved during the SGC programme. The model by Ansell & Gash (2008) is used to understand more clearly the collaboration in the SGC programme, including the starting condition, institutional design, facilitative leadership and also the collaborative process. This model is used to investigate the participation of wide range stakeholders in collective decision-making process.

In discovering the role of different actors in the SGC programme, the theoretical framework from Ansell & Gash (2008) does not stand alone. In this research, the previous model by Ansell & Gash (2008) is complemented by

the framework of urban greening by Nikolaidou *et al* (2016). The latter framework divides different role of actors into three different categories; preparation stage, implementation stage and follow-up stage. The next sub-chapter elaborates the framework by Nikolaidou *et al* (2016) which is adapted to categorize the role of different actors in SGC programme into three different stages.

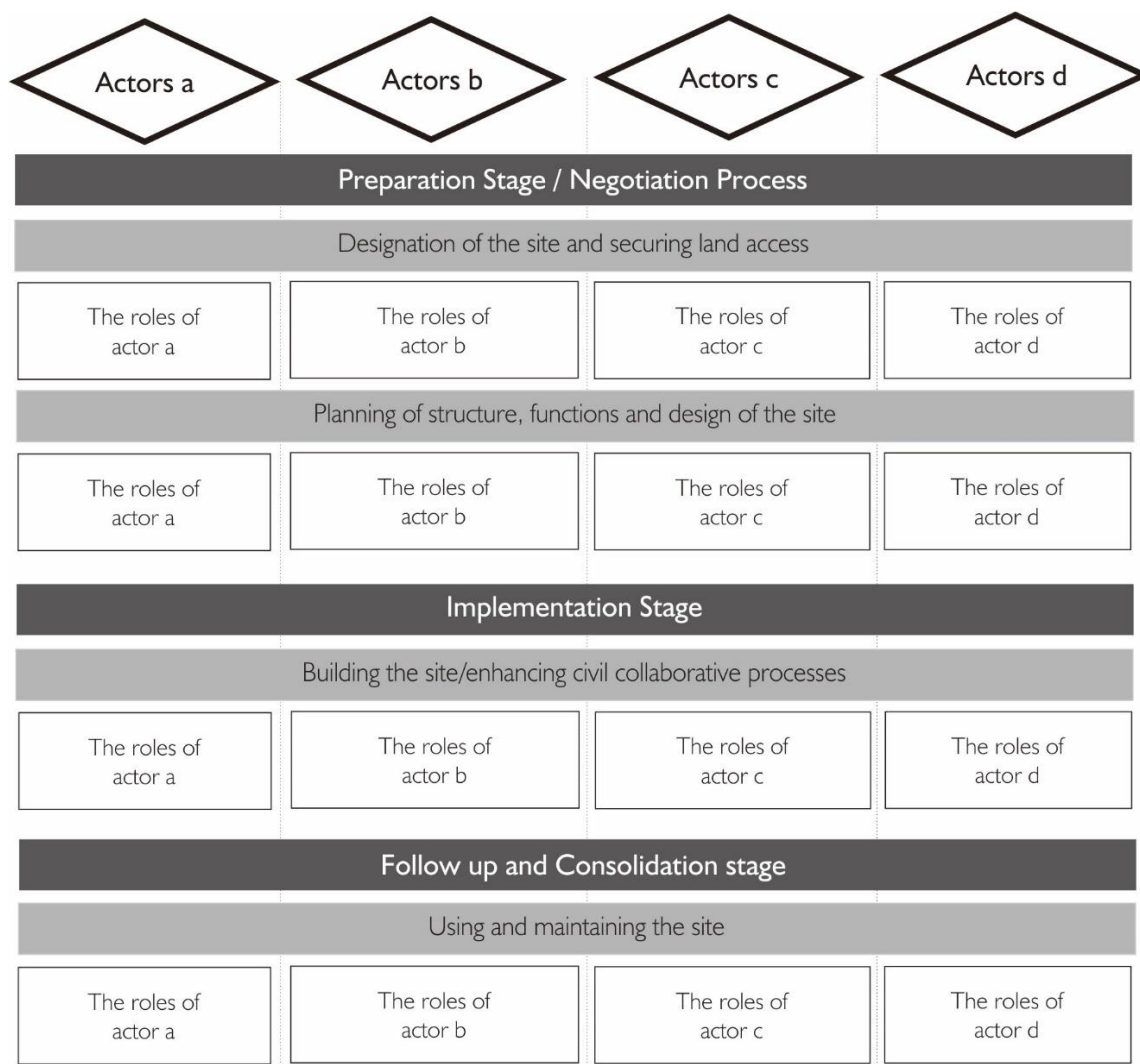
## 2.3 Governance on urban green space development

Supporting the argument of Ansell & Gash (2008) where top-down approach has been shifted into more a collaborative approach bringing wider range of stakeholders in decision-making process, Nikolaidou *et al* (2016) noted that there has been a shift too in the context of urban greening. Nikolaidou *et al* (2016) stated that more stakeholders are being involved during different stages of planning processes in urban greening. In the planning processes of urban greening, currently, the decision is often determined by collective collaborations between public and community actors, not merely dominated by state actors.

In the decision-making process, apart from the government as regulator, other actors such as professional agency, non-state organizations and inhabitants were involved. They have their own specific roles in different stages of urban green space development. Nikolaidou *et al* (2016) argue that there are three main stages in the processes of urban green space development, namely; 1) preparation stage or negotiation process, 2) implementation stage, and 3) follow-up and consolidation stage. Different actors share their roles in different stages. Government, non-state organization and community are involved during the preparation stage to communicate about securing the access to the land. In the implementation stage, professional agency is the main actors to share their expertise in implementing the greening programme. And lastly, in the follow up and consolidation stage, the inhabitants are the main actors as daily user that is responsible to maintain the result of greening programme in their neighbourhood. The framework of different actors and their different roles in different stages of planning processes in urban greening can be seen in figure 2.2. For the context of green kampung upgrading, state and non-state stakeholders are brought together into the table of collaboration. The framework from Nikolaidou *et al* (2016) is used to describe specifically on what are the roles of each public and non-state stakeholders in the different stages (planning, implementation and follow-up stages) in the Surabaya Green and Clean programme.

### **Concluding remarks**

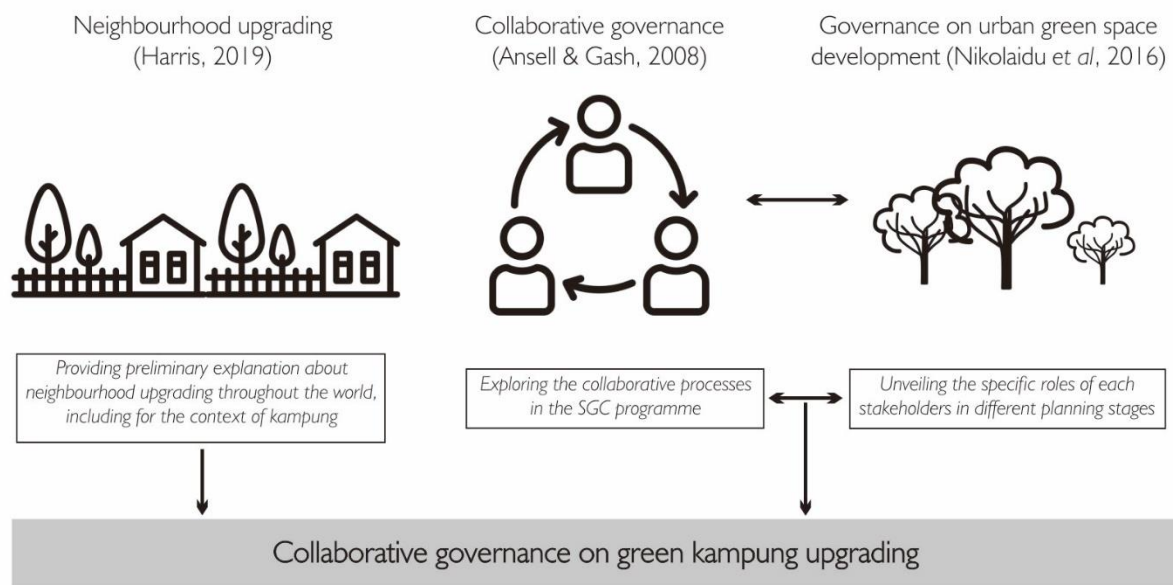
The theoretical framework of collaborative governance by Ansell & Gash (2008) is used to explore the collaboration in Surabaya Green and Clean Programme. Meanwhile, the framework of urban green space development by Nikolaidou *et al* (2016) is used to complement the previous collaborative governance framework by exploring the role of different actors of SGC programme in more specific details. This framework divides the SGC programme in three different stage (preparation, implementation and follow-up stage) and discover the roles of each stakeholders in those different stages.



**Figure 2-2. Framework of governance in urban greening**  
 Source: Adapted from Nikolaidu et al (2016)

## 2.4 Conceptual framework

This sub-chapter summarizes the utilization of previous concepts and theoretical framework that has been presented before. There are three concepts used in this research. First, the concept of neighbourhood upgrading by Harris (2019) is presented to provide various perspectives on neighbourhood development throughout the world. This concept is used to present preliminary explanation about neighbourhood upgrading approach, particularly for the context of kampung in Indonesia. Secondly, after understanding the neighbourhood upgrading in the context of kampung, a theoretical framework of collaborative governance by Ansell & Gash (2008) is applied to explore the collaborative process of green kampung upgrading in the case study of Surabaya Green and Clean (SGC) programme. The collaborative governance framework discovers the starting condition, facilitative leadership, institutional design and also collaborative process on SGC programme. At last, the framework of governance in urban green space development by Nikolaidu *et al* (2016) is used to complement the utilization of the previous collaborative governance framework. The framework of governance in urban green space development by Nikolaidu *et al* (2016) explores the specific roles of different stakeholders in three different stages in the SGC programme. The conceptual framework of the concept and theory used in this research is visualized in figure 2.3.



**Figure 2-3. The conceptual framework of concept and theory**

*Source: Author (2020)*



# Chapter III

## Research Question

**IPAL**

Waste water processor  
installation

This is *IPAL* (*Instalasi Pengolahan Air Limbah*) or wastewater treatment plant in the community scale. The drums contain water that is already undergone the filtration processes to make the wastewater cleaner. The drums are connected each other by pipes to channel the water.

Similar to the pipes that connects the drums to channel the water, In this chapter, theoretically informed research questions are presented to connect between the theory and the practice in the field. The research questions consisted of one main research question and three sub-research questions. Answering these research questions aimed to improve the understanding upon the theory and practice of the collaborative governance, particularly in the context of green kampung upgrading in Surabaya



# Chapter 3

## Research Question

Due to the objective of the research, one main research question and three sub-research questions are developed in study regarding the governance of green kampung development in Surabaya.

### **Main research question**

*What is the role of collaborative governance for green kampung upgrading in Surabaya?*

### **Sub-research question**

- 1. Who are the actors involved and what are their roles during the stages of green kampung development?*
- 2. What do the different actors perceive as the drivers and barriers for collaboration in the process of green kampung development?*
- 3. How do different actors perceive the influence of collaboration among the actors on the outcome of green kampung development in Surabaya?*

In order to answer the main research questions, three sub-research questions are developed. The first sub-research question explores who are the actors involved and their roles in green kampung development, based on the framework of Nikolaidou et al. (2016). The second sub-research question focuses on identifying drivers and barriers for collaboration concerning the starting conditions, leadership style, institutional design and the process of green kampung development, making use of the model of collaborative governance of Ansell and Gash (2008). The third sub-research question focuses on how the different actors perceive the influence of collaboration among the actors on the outcome of green kampung development in Surabaya. By understanding the involvement of actors, the collaborative process and also the perception of the outcome, this research aims to unveil the role of collaborative governance in the context of green kampung development in Surabaya.





# Chapter IV

## Research Design

- 4.1 Worldview of researcher
- 4.2 Research approach
- 4.3 Research design
- 4.4 Data collection methods
- 4.5 Data analysis methods
- 4.6 Case study description
- 4.7 Trustworthiness and ethics

This picture was taken a moment before judging session of the competition. In the picture, the kampung inhabitants are explaining to the jury about the environmental management in their kampung, for example; the step-by-step in the making of hydroponic installation in their kampung.

Just like the picture, this chapter explains the step-by-step methodology on how this research is conducted. First, the research design and research approach are presented. Afterwards, the procedure on data collection and how to analyze them is discussed.



# Chapter 4

## Research Design

### 4.1 Worldview of researcher

The worldview used in this research is “Social Constructivist”. According to Creswell (2014), the objective of social constructivist worldview is to seek for understanding of certain phenomenon in which certain individuals/social groups live and work. Creswell (2014) assumes that each individual has subjective meanings of their own experiences. The goal of this kind of research is to rely on the participant’s perceptions about the case being researched. In this thesis research, social constructivist notion means that every participant involved to share their own meaning in respect to green kampung development in Surabaya. Different participants might have different meaning of green kampung based on their experience, accordingly the social constructivism in this research aims to understand the different perceptions from different actors to reveal the model of collaborative governance in the context of green kampung development.

### 4.2 Research approach

This thesis research tends to be more qualitative. Qualitative research is an approach for exploring the individuals’ perceptions attributed to certain human or social issues (Creswell, 2014). This thesis research involved certain procedures and semi-structured questions to answer the research objectives. Data were collected during the fieldwork in selected government departments and some green kampung, involving interview activity to explore participants’ perceptions towards the topic of governance in green kampung development. Last but not least, data analysis was conducted inductively, constructed from specific to general themes (Creswell, 2014) and the researcher making interpretations of the participants’ meaning on the governance formation of the green kampung development.

### 4.3 Research design

For this qualitative research approach, the research design used in this thesis is case study. Case study is an inquiry design where researcher generates in-depth analysis of an issue on one or more case studies. (Stake, 1995; Yin, 2009 as cited in Creswell, 2014). In this research, purposive-expert sampling and snowballing methods were used to reveal the big pictures of the whole actors involved in green kampung governance in Surabaya. Firstly, the purposive-expert sampling is done in several government bodies of Surabaya municipality to start the identification processes. The government bodies that were selected for semi-structured interviews are; 1) *BAPPEKO* or The Urban Planning and Development Authority; 2) *DKRTH* or Municipal Service of Public Green Space & Cleanliness; 3) *DLH* or Municipal Service of Environment and Living Habitat. Secondly, snowballing method was used to ask the aforementioned municipal agencies, in exploring further the other actors involved in the governance of green kampung development in Surabaya.

### 4.4 Data collection methods

Data collection was done through desk research and semi-structured interviews. Desk research examined related public documents to green kampung upgrading in Surabaya. On the other hand, semi-structured interviews were done in selected respondents, both from state and non-state stakeholders.

#### 4.4.1 Desk research

In this thesis, desk research consisted in reviewing public documents and monographs in public archives. The public documents were collected from various government departments in Surabaya. In total, six public documents were examined for this research (see figure 4.1 and Annex B). However, after reviewing the public documents, there was not so much information concerning the collaborative process in green kampung upgrading. Most of public documents only provided general guidelines for kampung development and brief description of SGC programme. There was limited information on the collaborative process in green kampung upgrading from

public documents. Thus, the information of collaborative process in the SGC programme was explored in more detail through the semi-structured interviews.

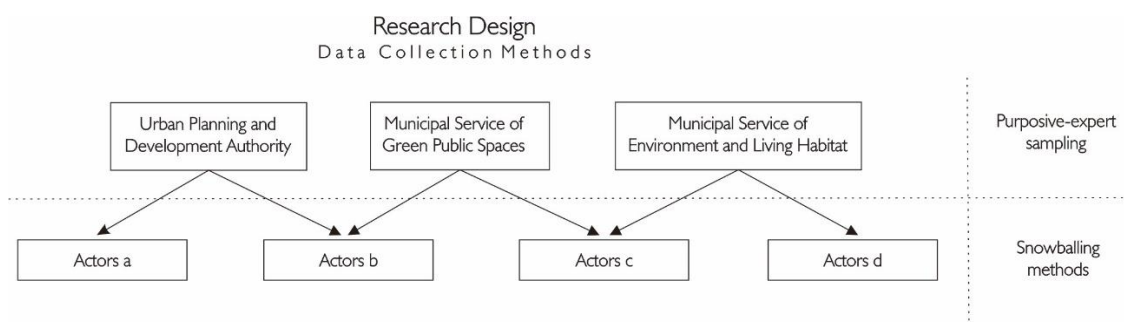
No.	Documents	Authors
1.	Rencana Tata Ruang Wilayah Kota Surabaya Tahun 2014-2034 (Surabaya City Region Plan For 2014-2034)	Government of Surabaya
2.	Rencana Pembangunan Jangka Menengah Daerah Kota Surabaya Tahun 2016 – 2021 (Medium Term Development Plan Surabaya City In 2016 – 2021)	Government of Surabaya
3.	Surabaya Kampung Responding to The 21 Century: Planning And Revitalization Of Surabaya Kampung	Johan Silas, Wahyu Setyawan, Rita Ernawati & Mahesti Okitasari
4.	Buku Profil DKRTH 2018 (Profile Book of Municipal Service of Public Green Space and Cleanliness)	Municipal Service of Public Green Space and Cleanliness
5.	Paparan Pengelolaan Surabaya Green City 2019 (Surabaya Green City Management Exposure 2019)	Urban Planning and Development Authority of Surabaya
6.	Paparan Pengelolaan Kebersihan dan Ruang Terbuka Hijau di Surabaya (Surabaya Cleanliness and Open Space Management Exposure 2019)	Municipal Service of Public Green Space and Cleanliness

**Figure 4-1. List of public documents studied**

*Source: Author (2020)*

#### 4.4.2 Semi-structured interviews

During the fieldwork in Surabaya, a number of semi-structured interviews were performed to understand different perceptions by each participant towards green kampung development in Surabaya. Semi-structured interview is a kind of flexible procedure, yet still in a structured setting. A semi-structured interview allows the interviewee to provide the open answer. Accordingly, the interviewee could explain in more detailed answer without getting out of the topic. The interviews were conducted following an interview protocol containing the semi-structured question that has been created precedingly (Creswell, 2014). In this research, the semi-structured interviews were carried out to explore in more detail about the collaborative processes for green kampung upgrading in Surabaya. To determine the respondents for the interview, a combination of purposive-expert sampling and snowballing method were used. Firstly, a purposive-expert sampling was applied, targeting three government bodies; 1) The Urban Planning and Development Authority; 2) Municipal Service of Public Green Space and Cleanliness; 3) Municipal Service of Environment and Living Habitat. After doing interviews with government officials in these departments, snowballing method was used to find out the other involved actors to understand how were the collaborative process between different range of actors in context of green kampung upgrading in Surabaya. The image and table elaborating research design for data collection methods is shown in figure 4.2.

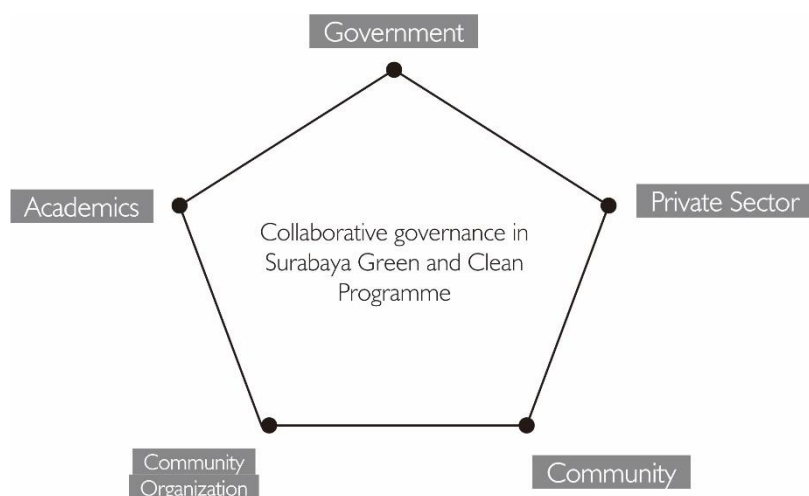


**Figure 4-2. Data collection methods for semi-structured interview**

*Source: Author (2020)*

During fieldwork, when I conducted the first and second interview in *BAPPEKO* (The Urban Planning and Development Authority) and *DKRTH* (Municipal Service of Green Public Spaces and Cleanliness), it is known that there were five main stakeholder groups who took part in green kampung development in Surabaya. The local officer referred to this group as “*the pentahelix*” (see figure 4.3). Those groups are; government, academics, private sector, community organization and community. Therefore, a total of 14 interviews were conducted during

the fieldwork, covering the whole five groups of *the pentahelix*. The lists of interviewees were presented on figure 4.4., and elaborated more detail in Annex A



**Figure 4-3. The group of pentahelix**

*Source: Author (2020)*

No.	Stakeholder Group	Institutions
1.	Government	Bappeko (Urban Planning and Development Authority of Surabaya)
2.	Government	DKRTH (Municipal Service of Public Green Space and Cleanliness)
3.	Academics	Universitas 17 Agustus 1945
4.	Government	DKRTH (Municipal Service of Public Green Space and Cleanliness)
5.	Community	Chief of RT in Kampung Genteng Candirejo
6.	Community	Chief of RW in Kampung Maspati
7.	Community	Local Actors for PKK in Kampung Petukangan
8.	Government	DLH (Municipal Service of Public Green Space and Cleanliness)
9.	Private Sector	Jawa Pos Media Group
10.	Community Organization	Komunitas Nol Sampah
11.	Community	Chief of RW Kampung Penampungan
12.	Community Organization	Komunitas Dapur Teknokrat
13.	Academics	Institut Teknologi Sepuluh Nopember
14.	Private Sector	PT Pelindo III

**Figure 4-4. Lists of interviewees during fieldwork**

*Source: Author (2020)*

The lists of the interview questions were made by the operationalization of the concepts; neighbourhood upgrading, collaborative governance and governance in urban green space development derived from the theoretical framework. The operationalization of the concept can be seen in figure 4.5, and later were elaborated in more detail in the interview protocol (Annex C). The interviews were carried-out in Bahasa Indonesia and Bahasa Jawa, and were audio-recorded for analytical purpose to make the interview transcripts. The audio-recordings were only done by the approval of the participants. Most respondents agreed to be audio-recorded, but some respondents requested some part of the conversations to be kept off the records due to confidential information. Afterwards, the interviews were transcribed into Bahasa Indonesia, and later translated in English.

Concept	Attributes	Basic question
Neighbourhood upgrading (SRQ1)	Tracing historical perspective	Could you tell me what are the neighbourhood upgrading efforts that have been done in kampung of Surabaya, including SGC programme? What are the goals of SGC programme?
Governance in urban greening (SRQ 1)	Introducing actors and their roles	What is your role in SGC Programme? In what specific stages of the development process (planning, implementing, maintenance) are you mainly involved?
Collaborative governance	<b>Starting conditions</b>	Is there any power imbalance in the early stage of SGC Programme?

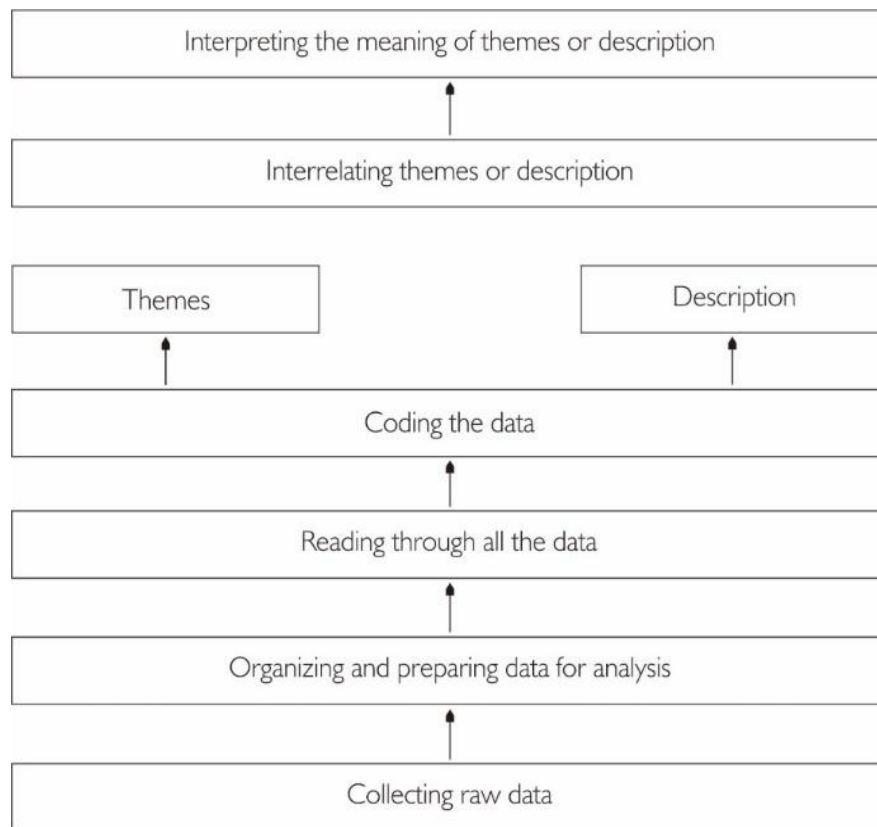
Concept	Attributes	Basic question
(SRQ 2, SRQ 3)	Power or resource imbalance	How is the distribution of resources (e.g. financial, manpower, etc.) in the starting conditions?
	Incentives to participate	Is there any incentive to participate in SGC Programme in the starting conditions?
	Prehistory of conflict/cooperation	Is there any prehistory of conflict or cooperation among the stakeholders?
	<b>Institutional design</b>	
	Forum execution	How are the actors invited in the SGC Programme?
		Who are inviting actors to participate?
	Inclusivity	Do you think the processes in the SGC Programme are inclusive?
	Transparency	Is the process of collaboration transparent to you?
	Common ground rules	Is it clear to you and other actors about the ground rules and what you could expect from the process?
	<b>Facilitative leadership</b>	
	Leadership process	Who is leading the process in SGC Programme?
		How would you describe the way the leadership processes are managed?
		Is the leader very dominant during the process, or not?
	Influence of leadership	Do the leader influence the outcome of the process?
	<b>Collaborative process</b>	
	Face-to-face dialogue	How is the communication (or coordination) process among different stakeholders?
	Trust building	Do you trust other actors, or are there any conflicts among the actors involved?
	Commitment to process	How are the commitment of the actors to make the programme successful?
	Shared understanding	Do the actors achieve consensus about the common goals of the programme or are there any differences in opinion?
	Intermediate outcome	How is the implementation of the programme, is there any meaningful intermediate progress?
	<b>Final outcome</b>	
	Outcome	In your opinion, the green kampung development through SGC, is successful, or not?
	Influence of collaboration	Is the outcome (positively or negatively) influenced by the collaboration among the actors in the process?

**Figure 4-5. Operationalization of theoretical framework in interview questions**

*Source: Author (2020)*

## 4.5 Data analysis methods

There are various steps for data analysis (Creswell, 2014). In this research, initially the raw data were collected (from public documents and semi-structured interviews) and then these data were organized and prepared for analysis. Later, the data were read and re-checked to gather the comprehensive understanding of the information. Furthermore, codification of the data was made. Codification process was helped by using the software for qualitative research; Atlas.ti. At last, the data were interrelated or synthesized to collect useful information regarding governance of green kampung development in Surabaya. Then the conclusion was compared or re-checked with the theoretical framework to generate new knowledge, particularly in field of green kampung upgrading in Indonesia, using case study of Surabaya Green and Clean Programme. The overview of step-by-step in data analysis methods is visualized in figure 4.6.



**Figure 4-6. Stages for data analysis methods**  
*Source: Cresswel (2014)*

To operationalize the data analysis, both public documents and interview transcripts were codified. Coding is the method to categorize data into particular topics, and then use them for the further analysis. The codes in this research were derived from the theoretical framework that resulted in the categorization and indicators (see figure 4.7). The coding analysis was carried out with the Atlas.ti software and resulted in total 199 codes and categorized into 49 code groups for further analysis.

Concepts	Categories	Indicators
Neighbourhood upgrading	Tracing historical perspective	Words referring to historical background
Governance in urban greening	Identifying actors and their roles	Words referring to specific roles of actors
Collaborative governance	Starting conditions	Words referring to power, finance, manpower, time, knowledge, incentive, conflict, cooperation
	Institutional design	Words referring to involvement, participation, inclusivity, exclusivity, transparency, rules, top-down, bottom-up
	Facilitative leadership	Words referring to leader, empowerment, enabling, guidance, assistance, facilitation, dominancy
	Collaborative process	Words referring to communication, coordination, collaboration, participation, trust level, commitment, common goals, outcome
	Outcome	Words referring to success, failure, significance, influence, evaluation, recommendation

**Figure 4-7. Guidelines for coding in public documents and interview transcripts**  
*Source: Author (2020)*

## 4.6 Case study description

This research is performed in the green kampung of Surabaya. However, since not many of the readers might know about the kampung, a special chapter of case study description (Chapter 5) is provided to get the readers more acquainted about the green kampung that is being studied. In brief, the green kampung upgrading in Surabaya has significantly increased after the implementation of Surabaya Green and Clean (SGC) Programme. The awareness of upgrading the environmental quality of the kampung and the willingness to participate in the SGC programme is escalating from time to time. However, in this research, the discussion is focused on the collaborative governance aspect in the Surabaya Green and Clean Programme. The study of collaborative governance on this programme aims to unravel the complexity of the actors involved and the collaborative processes during the implementation of the SGC programme.

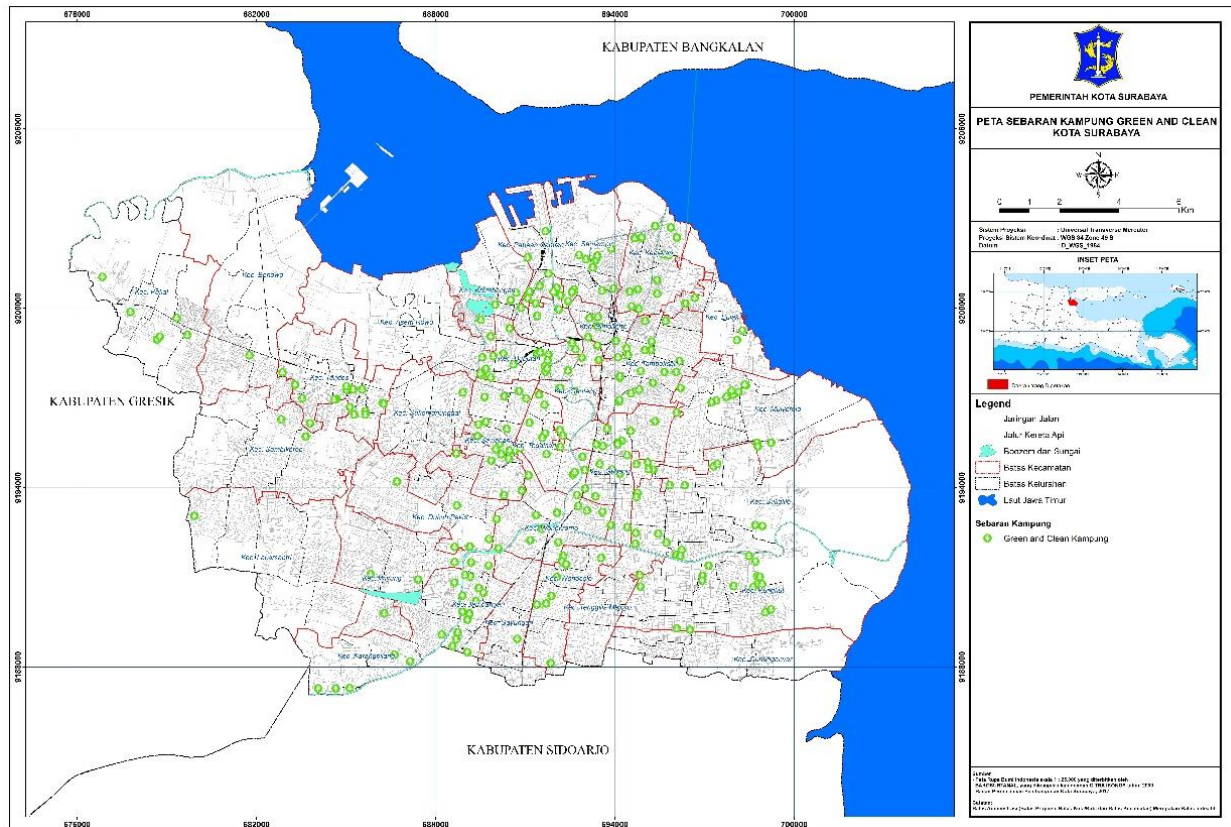


Figure 4-8. The distribution of green kampung in Surabaya

Source: BAPPEKO (2019)

## 4.7 Trustworthiness and ethics

### 4.7.1 Triangulation

Triangulation is one of strategies to avoid the risks of bias. The social constructivist research which aims to seek for understanding of certain social phenomenon (Cresswell, 2014) is subjective to the possibility of bias from a researcher that might influence his or her ways in collecting or the data (Schwartz-Shea & Yanow, 2013). Triangulation involves the use of various sources or methods to collect or analyze data about the same subject or case (Creswell & Miller, 2000). There are several forms of triangulation, for example triangulation across sources, methods or investigators. This research uses triangulation across sources (document study and stakeholder interview) where the data were examined to validate particular information within the same topic. By using the triangulation, it is expected that the data and information used are representative and more objective. The process of collecting and data is written in the research log to make the process transparent and more structured.

#### 4.7.2 Ethical consideration

Concerning the interview protocol, before the interview started, the interviewees were informed about the procedures during and after the interview (see Interview Protocol at Annexe C). The interviews were audio-recorded only with the interviewee's approval. In order that they could speak in freedom, their identity is set anonymous and the interview result will be coded (for example, **in/01/gov**, interpreted as interview/participant 01/government stakeholder group). The information that they gave was only used by their permission. Should the interviewee have not wanted any information to be published, the information was kept off the record. By the end of the interview, contact details were given to ensure the interviewee could contact the researcher if he/she wanted to provide some extra information.



# Chapter V

## Green Kampung Development in Surabaya

5.1 The kampung of Surabaya

5.2 The history of kampung development in Surabaya

5.3 The Surabaya Green and Clean programme

This is small scale hydroponic installation belonged to a household. Hydroponic had become one of feature in green kampung management.

This chapter presents information about green kampung, particularly the programme of Surabaya Green and Clean. But before that, to make the readers get more acquainted with the research topic, a more detailed explanation about the characteristics of kampung and the history of kampung development in Surabaya are presented in this chapter.

# Chapter 5

## Green Kampung Development in Surabaya

### 5.1 The Kampung of Surabaya

Surabaya as the second largest city in Indonesia developed around a harbor and serves as a regional industrial and business center. Entering the 21<sup>st</sup> century, Surabaya gradually becomes the inseparable part of the borderless global system. Such condition encourages the city to be more intelligent, humane and ecologically friendly without neglecting the local conditions, such as the indigenous settlement (*kampung*). As a metropolis, Surabaya has rapid population growth in recent decades, hitting approximately 3,5 million of people living in the city now. Within those numbers, most of population are accommodated in and around the incrementally developed settlements, the *kampung*, which is the home for around 60 -70 percent of the city inhabitants. Kampung settlements are usually located nearby the industrial and commercial base such as business districts, the harbor and industrial zone (Silas *et al*, 2017; 1992).

As Harris (2019) has mentioned, labels such settlements, quarters and shelter have been commonly used to refer to neighbourhood. However, fewer local terms such as *kampung* (in Indonesia) is used too, in order to address the kind of neighbourhood. In Bahasa Indonesia, the term “*kampung*” means village or countryside. However, it is also a unique feature in Bahasa Indonesia that *kampung* also means the indigenous urban settlements (Funo, Yamamoto and Silas, 2002; Silas *et al* 2017). Kampung has been a home to the majority of urban population in many big cities in Indonesia such as Surabaya. Most kampung are built and developed through informal methods by their inhabitants. Informal methods refer to the traditionally self-built house in an incremental construction process based on the locally available building materials (Silas *et al*, 2017). In terms of population, kampung is a densely populated settlement area, accommodating 300 – 400 inhabitants per hectare. In some extreme cases, kampung exceeds 1000 persons per hectare which is a very densely populated area, as it should be noted that most kampung are built from landed houses (Funo *et al*, 2002; Silas, 1992).

Since kampung is densely populated and built without any structured plan, the housing pattern in kampung tends to be irregular (Setijanti *et al*, 2016). As unique indigenous urban settlement, kampung can be regarded as vernacular settlement that does not follow the formal building construction code (Silas *et al*, 2017). One notable image when we walk around the kampung is that most of the houses’ facades face the front narrow road or path. The width of path is narrow, around 1 – 3 meters meanwhile the depth of the road is long, can be more than 50 meters long (Funo *et al*, 2002). This narrow and long alley is usually called as “*gang*”<sup>5</sup> in the local terms. The houses in the kampung rowing in the right and left side in the *gang* alley. Below this narrow path, usually in the middle or in the right and left side of the narrow road, drainage systems are built to discharge the rainwater and wastewater (Silas, 1992). In most kampung, the drainage system does not separate the waste water and rainwater yet.

The irregular housing pattern of kampung shows different appearance compared to urban settlements in global North. However, it should be noticed that kampung is not always a slum area. Many kampung have been physically improved by numerous neighbourhood upgrading programme, such as KIP. In terms of social characteristic, kampung is a community that has its own social system (Funo *et al*, 2002; Silas *et al*, 2017). Kampung has the social characteristics as heterogeneous community. The diversity among the kampung inhabitants in terms of religion, ethnicity and economic backgrounds has created collective norms, sense of togetherness, tolerance and solidarity within the daily life in kampung (Setijanti *et al*, 2016). Destruction of social structures are rarely seen in the kampung and the criminal events also infrequently happened in the kampung. Kampung is not a discriminated neighbourhood (Funo *et al*, 2002). Even though the kampung is built through informal methods, most kampung are legal settlement equipped with formal land status. Kampung is also administered by community governance that coordinates with the formal governance in the city level (Das & King, 2019). Supporting illustration of kampung can be seen at figure 5.1 and 5.2.

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<sup>5</sup> The word “*gang*” is originated from Dutch (meaning corridor or passageway) that has been adapted to local terms





Figure 5-1. The image of Surabayan kampung



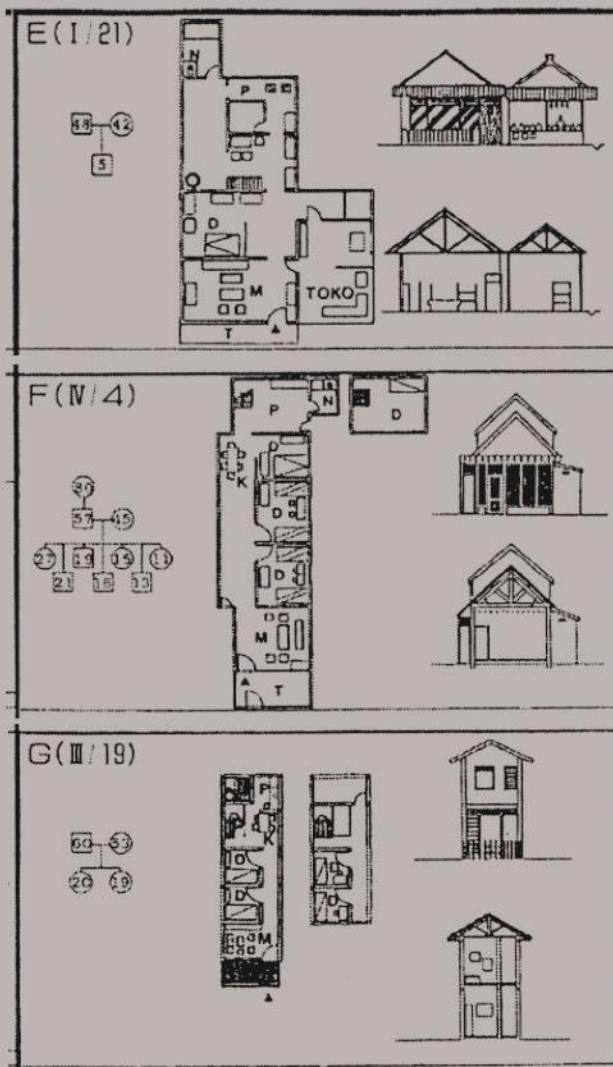
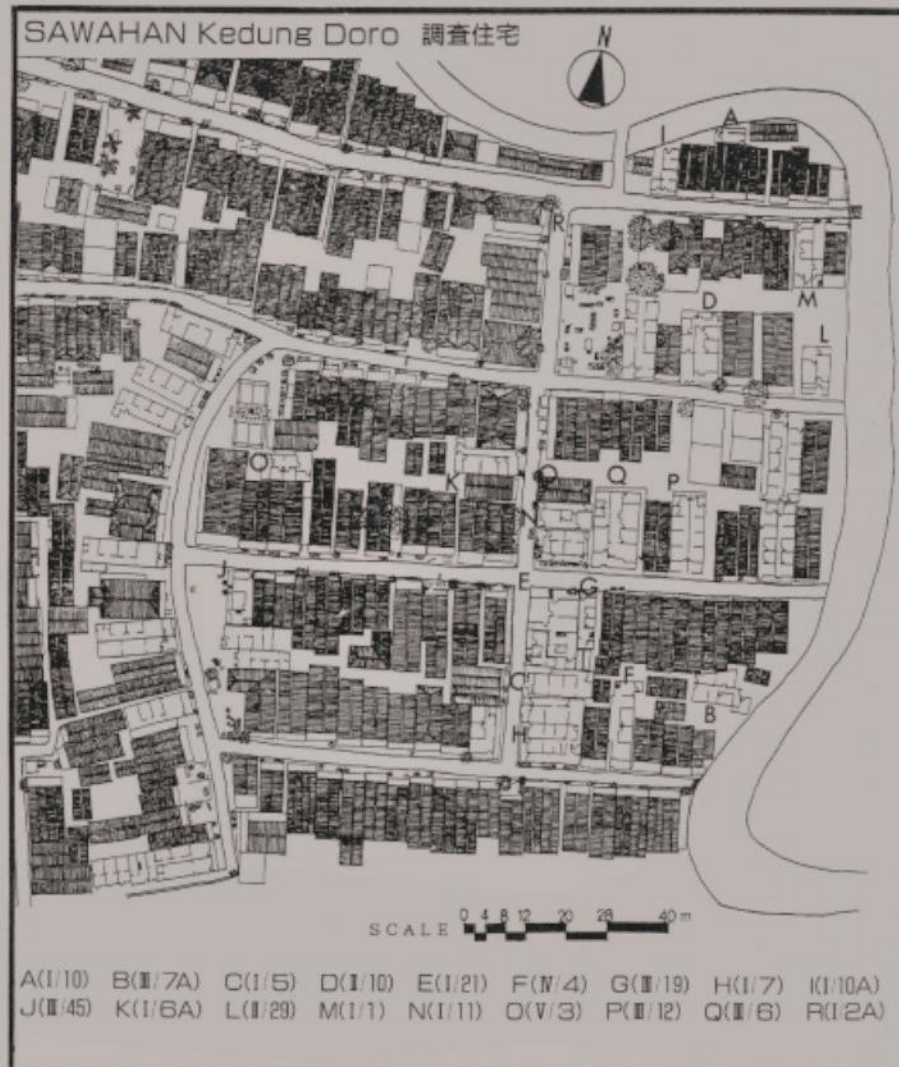


Figure 5-2. The physical form of kampung in Surabaya

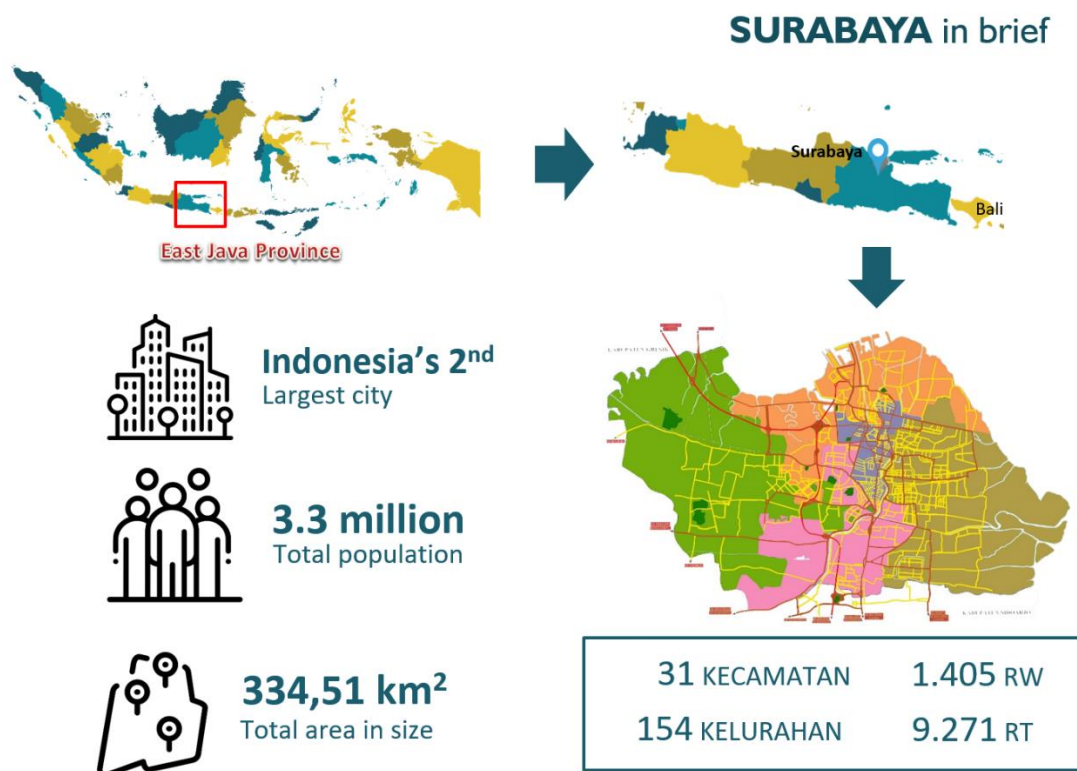


Characteristics of Kampung	
Physical	Indigeneous settlement in urban area
	Incrementally built self-help housing
	Irregular housing patterns
	Different size of each house
	Lack of basic standard facilities
	Typically having narrow and long road called as <i>gang</i>
	Having a high population density
Socio-economic	Mostly inhabited by low-incomes
	Having diverse socio-cultural background
	Acquiring strong sense of togetherness
	Experiencing shared norm and collective social value
	Administered by formal community governance

**Figure 5-3. General characteristics of kampung**

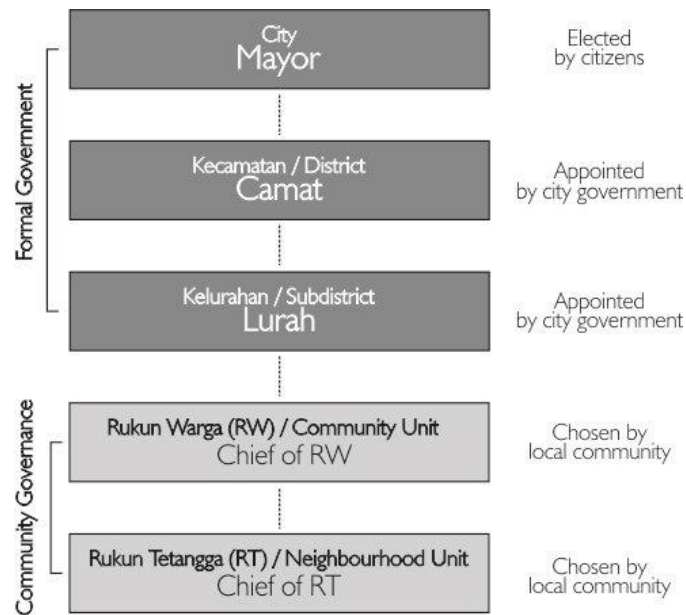
*Source: Author (2020)*

Administratively, today Surabaya has 31 *Kecamatan* (districts) and 154 *Kelurahan* (subdistricts). Each consists of multiple community units called RW (*Rukun Warga*) which are divided into smaller neighbourhood units called RT (*Rukun Tetangga*) that are composed of a number of houses. In upper level, city mayor is chosen by citizens through general election every 5 years. Chief of *kecamatan* and *kelurahan* are appointed by the municipal government with 3 to 5 years term. Chief of RT and RW are chosen by local residence (Das & King, 2019). Illustrations describing the administrative system of Surabaya are presented in figure 5.4 and 5.5.



**Figure 5-4. The administrative system of Surabaya**

*Source: DKRTH (2019)*



**Figure 5-5. Formal and community government system in Indonesia**  
 Source: Adapted from Das & King (2019)

## 5.2 The History of Kampung Development in Surabaya

Kampung as the home for many urban populations in Surabaya have experienced several neighbourhood upgrading effort. The first ever recorded kampung upgrading in Surabaya is dating back to almost a hundred years ago where the Dutch Colonial Government initiated a programme called “*Kampoeng Verbetering*” in 1924. At that time, there were three reasons why this initiative was made; 1) There was a pressure from the *Ethische Politiek* (ethical politics) supporters in the Netherlands where the colonial government were asked to be more “humane” in carrying out their colonial practice, 2) There was a change in the municipality system, where the city was set to have its own government system (*Stadsgemeente*). Since then, kampung was becoming the jurisdiction from the municipality, 3) Many European settlements became the skin (outer part) of the kampung. They were afraid of getting infected if there was disease outbreak in the kampung (Silas, 1992). The results from the *Kampoeng Verbetering* commission in the kampung upgrading expected to be announced by 1940s. But, at that time, Dutch colonial government were almost faced to war outbreak both in Europe (with Germany) and in Nederlands-Indië (with Japan) and thus the result form *Kampoeng Verbetering* commission was never been delivered.

In the post-independence era, there were several kampung upgrading programmes that were executed in Surabaya. The most notable one is Kampung Improvement Programme or widely known as KIP (Funo *et al.*, 2002). KIP was a neighbourhood upgrading programme where the development was carried out by collaboration between government and community. KIP addressed the improvement of basic facilities in the kampung, such as; footpaths, roads, drainage, water supply, sanitary facility and solid waste management (Silas, 1992). There were several phases of KIP. The first phase started in 1969 in Surabaya and it was started with limited resource. Only since in 1976, the World Bank provided financial assistance for the upgrading programme in kampung. This marks the secondary phase of KIP until the year of 1989. The first and second phase of KIP mainly improved the basic facilities in kampung. Then, the third phase of KIP, or known as Comprehensive-KIP was introduced in 1998. This programme lasts until 2003 with the focus to develop the economic prosperity for kampung inhabitants. (Dianingrum *et al.*, 2017). Afterwards, in 2005 a programme called Surabaya Green and Clean was created to promote the green and healthy living behavior among the Surabaya citizen. At that time, there were a garbage disaster where the landfill facility was forcefully closed. Around that time, the negative habit of the citizen to litter also inspired the government to implement this programme. The Surabaya Green and Clean programme is the main discussion in this research. A brief information of the SGC programme is provided in the next sub-chapter.



**Figure 5-6. Some notable kampung upgrading programmes in Surabaya**

*Source: Author (2020)*

### 5.3 The Surabaya Green and Clean Programme

Surabaya Green and Clean (SGC) is a programme organized by the government of Surabaya, under the Municipality of Public Green Space and Cleanliness (*DKRTH*). At first, this programme was actually created by private actors; Jawa Pos Media Group and Unilever. There was a huge trash disaster in Surabaya where the only landfill facility in Surabaya was closed by local residents. This resulted in the garbage all around the city not being picked up for several weeks. At that time, there was another issue, the negative habit of the Surabaya people to litter also made the situation worse. Therefore, Jawa Pos Media Group and Unilever initiated a small competition regarding clean and healthy lifestyle, where the citizen were encouraged to compete in making their kampung clean.



**Figure 5-7. Some logo(s) of Surabaya Green and Clean Programme**

*Source: DKRTH (2019)*

Several years later, the Government of Surabaya joined to manage the SGC programme until it became popular among the community. The main aim of the SGC programme was to train the citizen of Surabaya to manage their waste in the community level. Learning from the trash disaster earlier, the government had the vision to reduce the waste production in the city. This vision is considered effective if it is carried out from the very low level, the household level, where it accounts more than 60% of total waste generation in Surabaya. Therefore, the main goal of this competition was to encourage the community to manage their waste. In the later years, when the competition had successfully transformed the community behavior towards waste, the focus of the competition is not only about waste management. The competition then tried to incorporate the climate change adaptation where specific themes was introduced every year to cope with climate issues. Themes such as greening kampung<sup>6</sup> and creation of biopori<sup>7</sup>, was presented in the SGC competition. The programme is still running to the present day, the government still maintains the format of this SGC programme as competition because it is proven to successfully drive the community to participate in development of their kampung. SGC as competition-based development is perceived as a unique case where it used competition as a medium for participatory neighbourhood upgrading. In this study, the discussion is centered to collaborative governance in the SGC programme. This thesis aims to explore the collaborative processes, the participating actors and also the outcome of collaboration perceived by different stakeholders. The collaborative aspects in SGC programme is elaborated in the Results, Discussion and Conclusion chapter respectively. Some figures showing the activities in green kampung upgrading are shown in figure 5.8 and 5.9.

<sup>6</sup> Efforts to provide more vegetation in the kampung to help cool-down the microclimate

<sup>7</sup> Biopori is a water infiltration hole that is made vertically into the ground to prevent flood by increasing the water absorption rate in the soil





Greening activities



Waste recycling activities



Maintenance of greenery



Social service in green kampung



Wastewater treatment plants





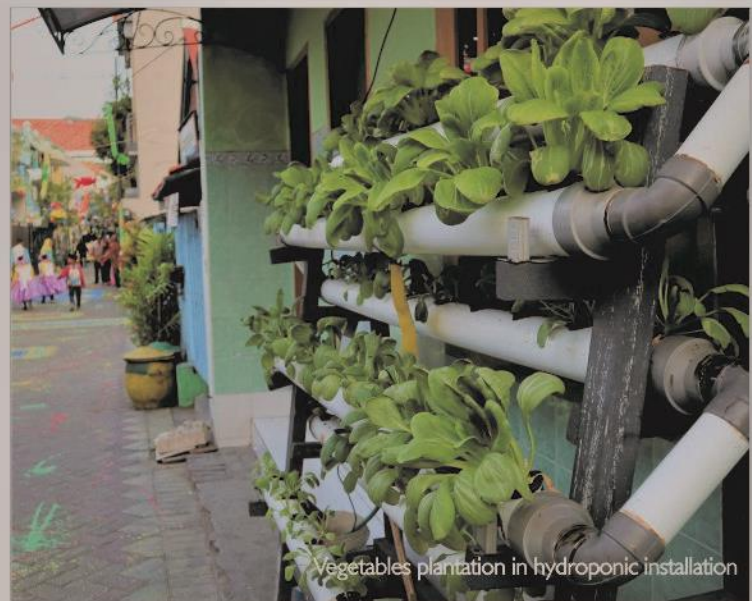
Maintenance of greeneries



Garbage separation in green kampung



Greening activities



Vegetables plantation in hydroponic installation



Communities explaining green kampung features during judging session



# Chapter VI Results

- 6.1 Starting condition
- 6.2 Facilitative leadership
- 6.3 Institutional design
- 6.4 Collaborative process
- 6.5 Outcomes of SGC programme

*A picture showing the judging session in the competition*

During the judging session, Municipal Service of Public Green Space and Cleanliness, collaborated with other stakeholders such as academics and community organization.

As the center of the study, the collaborative process is presented in this results chapter. This chapter discussed the collaboration among various stakeholders in the SGC programme. As for the reading guide, the results chapter is structured along the framework of collaborative governance by Ansell & Gash (2008)



# Chapter 6

## Results

The results chapter is structured along the four broad variables that are crucial for the collaboration according to Ansell & Gash (2008), namely; 1) starting conditions; 2) institutional design; 3) leadership and; 4) collaborative process. First, it builds with the starting conditions of the implementation of the SGC programme, concerning the driving factors, resource imbalance, incentives to cooperate and prior history of cooperation. Then, the role of leadership about who are prominent actors that lead the process is elaborated. Afterwards, the institutional design the role of different actors, inclusion and exclusion are presented. At the end, the processes of the collaboration, covering the face-to-face dialogue, trust building, shared understanding, mutual commitment and intermediate outcomes in the SGC programme is discussed.

### 6.1 The Starting conditions

#### 6.1.1 Extraordinary event as driving factors

The initiation of Surabaya Green and Clean (SGC) programme was inspired by the trash disaster in Surabaya. An officer from *DKRTH* or Municipal Service of Public Green Space and Cleanliness admitted that in 2001, there was a huge trash disaster caused by the only landfill facility in Surabaya was being closed by the local residence. The locals were angry because they thought that the landfill facility had been overloaded, thus resulting in odor and water pollution nearby their settlements. The landfill facility was forcefully closed for about three weeks with the result that the waste all over Surabaya could not be picked-up. It was a catastrophic human-driven disaster where the garbage was scattered everywhere, causing the unpleasant smell all around the town. These statements are mentioned with quotes below:

*“Once, Surabaya experienced a trash disaster in 2001. The only landfill site was forcefully closed by local residents. Finally, there was a garbage disaster” (Quote 6.1.1: in/02/gov)*

After the trash disaster, the trash problem apparently still existed. The habit of the Surabayan<sup>8</sup> that were still often littering caused cleanliness issues in the city. To overcome this issue, a private multi-national company that had a factory in Surabaya, Unilever, initiated a small-scale competition to promote cleanliness movement. The goal of the competition was to make up the mindset of the Surabayan, to change their old habit on littering. At the beginning of the implementation of the competition, it was really difficult to change the mindset of the people. The citizen habit to litter had been rooting within their daily life, regardless their age. From children to adult, they used to litter everywhere. To change the habit of the people was really time consuming. However, Unilever as one of the prominent actors that initiated the programme, put more effort to do socialization door to door to the people regarding waste collection and separation. Even though it was difficult at the beginning, the result of this early competition was gradually increasing. There were appreciable small-wins. This is expressed by quote below:

*“At that time garbage was a huge problem in Surabaya. One of them is caused by the shutdown of the landfill. Another factor is, in the past, the people’s mindset was not as what it is today. Back then, there were still many Surabaya people who littered. Finally, we made a kind of cleanliness contest. There was also a prize to make it interesting. In the beginning, the contest wasn’t divided per category. If I am not mistaken, at that time there were only 2 categories, namely Kampung Maju<sup>9</sup> and Kampung Berkembang<sup>10</sup>. The implementation at the beginning was very difficult since changing the mindset of the community was never easy. Because people were used to littering. The children were used to dispose trash anywhere at will. Changing the mindset does take time. Currently the program improved and has been running for 13 years. At that time the motivators from Unilever, they went door to door, approaching directly to the community. They gave an explanation about the cleanliness and sorting of garbage, including separating wet and dry garbage. At the beginning, the participant of the contest was still low” (Quote 6.1.2: in/09/prv)*

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<sup>8</sup> Surabayan, describes everything related to Surabaya, in this context it means Surabaya people

<sup>9</sup> *Kampung maju* means developed or advanced kampung

<sup>10</sup> *Kampung berkembang* means developing kampung

Although the start was difficult, the competition programme gradually captured more citizen attention as a press media came to collaborate. An interviewee from Jawa Pos Media Group mentioned that the programme was widely known by the citizen after the media gradually made publication about the competition. Jawa Pos, as one of the largest newspaper company in Indonesia, did the rebranding of the competition and name it after “Surabaya Green and Clean” (SGC) Programme. The idea of the competition was actually simple. Once trash became a huge problem for the city where the 60% of waste generation in Surabaya is contributed by the household. Then, one of the solutions to overcome the problem is to reduce the waste generation from the main source (household). The basic idea of the competition was to encourage the inhabitants to manage (including reduce, reuse, recycle and separating) their waste and keep their environment clean of trash. Through the mass coverage of Jawa Pos newspaper, Jawa Pos triggered the Surabayan to participate more in the city development, particularly to keep the city clean. Jawa Pos provided a full one page of newspaper reporting about the citizen participation in keeping the city clean. It was mostly done in kampung by its inhabitants. Then, catchy photos showing the result of the clean-up initiatives and waste management were published in the newspaper. The photos told the image of the clean, tidy and beautiful kampung, and they are published in widely-known newspaper. Jawa Pos wanted to make the photos as comparison for other kampung inhabitants to provoke them what a green and clean kampung should look like. This strategy successfully evoked the community to participate in the SGC programme. The community felt the sense of pride when their kampung is clean, and even more pride if their kampung was published in the newspaper. The interviewee from Jawa Pos later added when the programme was getting more successful, Jawa Pos collaborated with wider range of actors such as government and private sector. Unilever as one of the initiators was also invited to run the programme. More collaboration had brought positive outcome, for example, the involvement of more corporates could provide more financial aid to keep the programme running. The quotes symbolize this can be seen below;

*“There, we published news to get citizens involved in city development. Then we make pictures of nice kampung. We preach and we talk good about that kampung. This is intended so that the nice kampung will be a model. Surabaya people are easily provoked, once another kampung inhabitants said “This kampung is nice, don’t you want to have one like that?” From there, finally the people are mobilized to upgrade their kampung” (Quote 6.1.3; in/09/prv)*

*“From there, we invite sponsors, especially Unilever. We also invite other companies, such as from the private sector. They help the funding to build biopori. We want that this program does not only belong to Jawa Pos and Unilever, but it belongs to all. From there the program continues to grow” (Quote 6.1.4; in/09/prv)*

To sum up, the SGC programme was initially driven by a trash disaster in Surabaya. This extraordinary event along with the negative habit of the citizen in littering, had inspired particular actor, such as Unilever to initiate cleanliness contest. At the beginning, the response to the programme was low. But, when Jawa Pos came in to help the publication of the media, the cleanliness contest was rebranded as Surabaya Green and Clean (SGC) programme and gradually attracted more citizen attention in large scale as it is now.

### 6.1.2 Imbalance resources

The positive progress showed by SGC programme was perceived by the municipality as a successful programme that promoted citizen participation. Looking at this, the SGC programme then was over taken by the municipal government of Surabaya. The municipality wanted to make this competition programme as a tool to engage active community participation in neighbourhood development. The city government provided the state budget to run this competition-based development programme under the management of *DKRTH* (The Municipal Service of Public Green Space and Cleanliness). The SGC programme then became the annual kampung upgrading agenda in the city of Surabaya. According to the profile book of *DKRTH*, the SGC programme is a strategy to socialize, educate and appreciate the citizen of Surabaya for the environmental upgrading they have carried out.

*“The programme of Surabaya Green and Clean is a strategy to socialize, educate and appreciate the community effort in upgrading their environment. In the beginning, the SGC programme’s main goal is to promote the citizen participation to manage their household waste” (Quote 6.1.5; doc/04/pb)*

*“Once, it (SGC) is a programme from Jawa Pos which was then taken over by the city government. This is because they could provide annual state budget. So, in the end, we leave it to them, for the good sake of Surabaya. Finally, the programme reaches success as it is now. Several times the municipal government of Surabaya could give speech at the United Nations (UN) event, it is because of the success of this programme” (Quote 6.1.6; in/09/prv)*

The SGC programme was then taken over by the municipality. However, to implement the programme the government could not stand alone. A government officer from *DLH* (Municipal Service for Environment and Living Habitat) mentioned that in running the SGC programme, the municipal government of Surabaya needed to collaborate with other stakeholder such as private sector, academics and community organization. The government cannot run the program itself as there were limited resources such as funding, time, manpower and technical expertise. By collaborating with wider range of actors, the government could divide tasks and responsibilities with the other stakeholders. This statement is symbolized by the quotes below:

*“Yes, there are several other actors involved. The initiation of this program was done through technical meetings involving many stakeholders. There are also from the private sectors, because they have CSR (Corporate Social Responsibility) programs, such as from Unilever. They want to finance this program. While other municipal department, such as DKRTH, act as judges. They also provide trophies and the money prizes. After that, it was also helped by publications from the mass media, to communicate and promote the activity to the wider scope of community. The kampung inhabitants who won the SGC were interviewed on the radio, published in newspapers, then broadcasted by TV stations, such as JTV and SBO. So, they work together to make the SGC program successful. Indeed, if only the city government who is in charge it feels very heavy. However, if there is collaboration, such as with mass media, it can expand the range of information. The program is getting better because there is a promotion” (Quote 6.1.7; in/08/gov)*

To sum up, when the programme was once taken over by the government, they wanted to collaborate with other stakeholders. Collaboration was needed as there was imbalance resources in government, e.g. in funding, manpower, time and expertise. Therefore, to run the SGC programme the government collaborated with the *pentahelix* stakeholder groups (private sectors, academics, community organizations and community) to share different roles and responsibilities.

### 6.1.3 Incentives to participate

The government maintained the format of the SGC programme as a “competition” as it was successfully attracted the participation of the citizen in massive scale. The format of competition also means inclusivity as all of the kampung are able to participate by registering their kampung in SGC competition. After registration, the kampung participants were provided workshop and facilitation by the government to enhance their knowledge and skills in the kampung upgrading. At the end of the competition, an appreciation or reward was given to the best kampung that successfully upgrade their environment. The reasons why the government wanted to maintain the competition format is that it could evoke the spirit of competitiveness among the Surabayan. If the citizens were enthusiastic about the programme, the active participation was more likely high to upgrade their kampung. The kampung inhabitants were becoming creative to make certain innovations about environmental upgrading in their kampung. There was an active participation where the community was highly involved in the upgrading of their kampung. The kampung inhabitants were competing to be the best kampung in Surabaya. A government officer from *BAPPEKO* claimed that the community enthusiasm would be a different story if the format was not a competition, for example if government just giving financial grant directly to the kampung. The active participation of citizen was not likely to be achieved. Quotes symbolize this can be seen below:

*“If we give financial resource right away, there will be no active participation. So, people tend to accept it and it won’t take us anywhere. So, reward is a way to increase the community participation. When it is made as a competition, it is fun and exciting. People have the competitive spirit” (Quote 6.1.8; in/01/nm)*

To sum up, the format of competition was maintained because it was able to engage citizen participation in large scale. In the SGC programme, the kampung participants had several incentives. The first incentive was they were facilitated by a workshop and assistance during the competition. And secondly, at the end, there were financial rewards for the kampung that won the competition. Even though, the incentives amount might not be as much as the funds that the kampung inhabitants had spent during environmental upgrading, however, the competition was still able to trigger the spirit of the citizen to actively participate in neighbourhood upgrading.

### 6.1.4 Prior history of cooperation

Interviewees from government, private sector, academics and community organization perceived that Surabaya Green and Clean programme had successfully improved the environmental aspect in many Surabayan kampung. There were many factors influencing this success. A government officer from *DLH* said that Surabaya was

benefited from the previous KIP programme. In the past, Surabaya had a long history of Kampung Improvement Programme. KIP implementation had already enabled the citizen participation. In the past, the government and Surabaya citizen were cooperating together to improve the basic facilities such as road accessibility, toilet, drainage and sanitation. This prehistory cooperation between the public sector and the community during the KIP programme proved that state and non-state stakeholders could collaborate to achieve the common goals. The prior cooperation in KIP benefited the trust-building among the community and government.

Then, this form of public sector and community collaboration from KIP was continued in the Surabaya Green and Clean Programme. Even though the acceptance level from the community was quite low at the beginning, as the time goes by, the programme became more popular among the kampung community. The SGC programme was also getting more progressive as several other actors were brought together to the table of collaboration, such as academics, private sector and community organization. The prehistory cooperation of state and non-state actors is shown by the quotes below:

*“In the past time, the kampung of Surabaya was already popular, because Surabaya already had a program arranged by the academics of ITS campus, Mr. Johan Silas. The program is called KIP (Kampung Improvement Program) which the approach is directed to participatory planning. In the KIP program, the participation is already set as basic characteristics, where the kampung inhabitants create their very own development plan for their own kampung” (Quote 6.2.9: in/08/gov)*

To sum up, the prehistory of cooperation during the previous KIP programme, had facilitated the state and non-state actors to collaborate in SGC programme. The citizen participation in KIP benefited the collaborative process in SGC as the level of trusts were already strong among the community and government.

### 6.1.5 Concluding remarks: The starting conditions

The implementation of Surabaya Green and Clean Programme was driven by an extraordinary event: trash disaster in Surabaya. The first initiator of the program was actually the private company; Unilever and Jawa Pos Media Group. They once started with small-scale competition to promote the cleanliness habit among the citizen. The start of the programme was not well-responded by the community. However, the motivator from Unilever kept assisting the community to raise their awareness on waste management. As the time goes by, especially when Jawa Pos started to make publication of the SGC programme, the programme attracted the attention of the community in wider scope. The number of participants was increasing since then.

Later, the SGC programme was taken over by the Surabaya city government as the programme was successfully improving the kampung physically. The municipal government also had the state budget for it. The programme was commanded under *DKRTH* (Municipal Service of Public Green Space and Cleanliness). In practice, *DKRTH* involved other stakeholders, such as private sector, community organization, academics and community to collaborate, as they have limited resources, e.g. in funding, time, manpower and expertise. The format of the programme was maintained as a competition with rewards, as the competition format was more attractive for the community to participate. The SGC programme had successfully made the citizen of Surabaya engaged actively in upgrading their kampung. Before the SGC programme, Surabaya also had the prehistory cooperation between state and non-state stakeholders during the Kampung Improvement Programme (KIP). The successful prehistory cooperation in KIP established high level of trust-building among community and government that benefited the collaborative process during the SGC programme.

## 6.2 Facilitative leadership

Leadership is an important ingredient for a successful collaboration. Leadership guides the collaborative processes, brings multiple actors to the tables and directs them to achieve the common goals. From the interviews, I discovered that there are multiple layers of leadership in the processes of Surabaya Green and Clean Programme. I divided this form of leadership in three main levels: 1) the upper levels, 2) the middle level and 3) the community level.



### 6.2.1 Leadership at the upper level

Leadership in this tier is mostly about policy aspect. In this level, government agencies such as Urban Planning and Development Authority (*BAPPEKO*), Municipal Service of Public Green Space and Cleanliness (*DKRTH*) and Municipal Service for Environment (*DLH*) played important roles in coordinating with other stakeholders, such as private sectors and academics. The prominent leader in this tier is the Urban Planning and Development Authority of Surabaya (*BAPPEKO*) which played the role as coordinator and facilitator in the collaborative processes. A government officer from *BAPPEKO* stated that the role of Urban Planning and Development Authority (*BAPPEKO*) is more about the comprehensive planning of the SGC programme in the upper level, including planning the budget<sup>11</sup> and policy making. Then, *BAPPEKO* also arranged the coordination with the other stakeholders, for example inviting private sector, academics, community organization and the citizen representative in a forum to discuss about the concept or theme of SGC programme. *BAPPEKO* was the responsible actor to coordinate and communicate to other stakeholders if there were any policy adjustments. The quotes symbolizing this are as follows:

*“The role of Urban Planning and Development Authority is more about coordinating and facilitating, we do not go directly to the field. Our role is not too technical. The role of Urban Planning and Development Authority is to coordinate and communicate when there are new policies to other stakeholders” (Quote 6.2.1: in/01/gov)*

Besides the role of *BAPPEKO*, the special role of city mayor was also influential at the upper level of leadership. Both the previous mayor (Mr. Bambang D.H.) and the current city mayor (Mrs. Tri Rismaharini) had the positive attitudes and were supportive about the programme. This is shown by quote below:

*“Perhaps the driving force that stands out today is the Mrs. Risma as city mayor. She had become a motivator to enable the community to be active, and in my opinion, her (government) officials are also responsive” (Quote 6.2.2: in/11/acd)*

The case of Surabaya was unique, as for the first time in Indonesian history, Mrs. Tri Rismaharini was elected as the first female mayor in 2010. Her friendly gesture and close relation with the community made her policies were generally well-accepted. She was regarded as pro-poor, pro-environment and anti-corruption leader. Her positive image made her famous and she was very respected among the Surabayan, especially among group of women. Along with her positive attitude towards environment, Mayor Risma was actively encouraging the community to participate in SGC programme.

### 6.2.2 Leadership at the middle Level

The Municipal Service of Public Green Space and Cleanliness (*DKRTH*) held prominent role in this level. *DKRTH* was responsible as technical executor for the programme. Technical executor means that everything concerning particular details, such as scheduling of competition, organizing workshops for community, judging session and rewarding is the responsibility of The Municipal Service of Green Space and Cleanliness or *DKRTH*.

A government officer from *DKRTH* underlined that his institution was responsible for technical matters, including organizing a workshop for community. This workshop was important as it was used to socialize and educate the community regarding environmental management. After the kampung inhabitants registered their kampung in the SGC competition, the government (through *DKRTH*) facilitated them with a workshop on environmental upgrading. In this workshop, kampung inhabitants were guided on how to manage the waste, how to erect the community waste bank<sup>12</sup> or how to build hydroponic installation, etcetera. This effort reflected the role of government to provide socialization for the community to implement the government programme. The quotes symbolize these statements are as follows:

*“We (Municipal Service of Public Green Space and Cleanliness) play the role as executor. So, the executor is responsible for the flow of this competition, the technical aspect as well as the implementation. Our roles are like that. And indeed, technical matters are our part, for example; arranging the competition schedule, and also the budget for technical stuff. We also deal with the assessment criteria and also necessities during judging session” (Quotes 6.2.3: in/02/gov)*

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<sup>11</sup> The budgeting of SGC programme mainly comes from; the state budget, sponsors and CSR funds

<sup>12</sup> Waste bank, or *bank sampah* in Bahasa Indonesia, is an organization that was built to train, assist, buy and sell the results of waste management (including recycle) in the kampung

*“So, in addition to prepare the rewarding, we also prepare the technical matters, such as; the workshop. There are several workshops for the community participants. Starting from the registration stage, they are educated on how to manage waste, how to make hydroponics set-up and how to make a community waste bank. We provide them coaching and education in the workshop. In this sense, according to the initial goal of the competition, we provide guidance to the community so that they want to manage the garbage in kampung” (Quotes 6.2.4: in/02/gov)*

In addition to technical parts, *DKRTH* also played the role as intermediary. This institution acted as a bridging agent to convey the government policy to the public. Municipal Service of Public Green Space and Cleanliness or *DKRTH* was mainly responsible to deliver the environmental policy to the community. For this task, *DKRTH* had built a system, consisting of environmental motivators, facilitators and cadres. I interviewed an environmental motivator from *DKRTH*, and he said that these environmental agents (motivators, facilitators and cadres) had the responsibility to do socialization of environmental policy in the community level. The quotes symbolizing this are as follows;

*“Environmental motivators are the personnel of DKRTH who are specifically assigned as mediators or bridging agents to deliver government programs to the community. In structural, we are under the sub-section of community empowerment. The task of the environmental motivator is to provide socialization material to the community. That also means that we build partnership with the community. These facilitators are volunteers who feel that their selves are called to help the people to raise the awareness that environmental/waste management is the responsibility of all, not only the responsibility of the government” (Quotes 6.2.5: in/04/gov)*

*“Surabaya has the environment facilitators (faskel) or an environmental cadre to assist the kampung inhabitants. They are the pioneer in engaging the community to keep the cleanliness of the City of Surabaya” (Quotes 6.2.6: in/02/gov)*

### 6.2.3 Leadership at the community Level

The last tier of leadership is in the community level, where most technical aspects about environmental development in kampung were done. Selecting the community leader in the small scope (kampung) was also essential. This community leader is the frontline in mobilizing the inhabitants to do the green kampung upgrading. This community leader is also the one that will frequently coordinate with environmental facilitator provided by the government. I interviewed chief of RW in Kampung Maspati. This kampung was once the winner of SGC competition in 2012. He stated that local leaders were crucial in green kampung upgrading. He said some of the prominent local leaders in the kampung are; chief of RT, chief of RW, *PKK*<sup>13</sup> members, *Karang Taruna*<sup>14</sup> members and also the environmental cadres. Without the coordination with the local leaders, environmental upgrading in kampung would not work. The quotes symbolizing these are shown below:

*“Prominent figures in kampung are chief of RW, chief of RT and community leaders. There are also members of the PKK (Family Welfare Empowerment), Karang Taruna as well as environmental cadres. My job as chief of RW is just to organize. Without their help, this kampung upgrading activity will not work” (Quotes 6.2.7: in/06/com)*

*“When we do socialization, we are expecting the help from the environmental cadres. The environmental cadre is the person we choose in the location. He/she must be an important figure who are willing to become facilitator. We approach them so that they can truly share our vision. So, one of the visions is the willingness to educate the community. This is part of an effort to educate the life of the nation as well, even though from the government side, we cannot provide honorarium for them” (Quotes 6.2.8: in/04/gov)*

Local leaders were crucial. Therefore, the absence of local leaders will hinder the process of green upgrading in the kampung. During fieldwork, I also interviewed a *PKK* member in Kampung Petukangan. This kampung once participated in the competition, but the environmental upgrading in Kampung Petukangan did not succeed due to the absence of local leaders or initiators. She said that there were not any kampung inhabitant that wanted to take the initiative in green kampung upgrading. She stated that the lack of leader made it difficult to mobilize the other kampung inhabitant to manage the environment. The quote symbolizing this is shown below

*“In this kampung, waste management does not yet work. This is partly because there is no leader or initiator in the environmental field. There are no kampung inhabitants who have taken the initiative to become leaders. If later someone would like to be a leader, then it will be easier. Later I can help to invite tutors to socialize community*

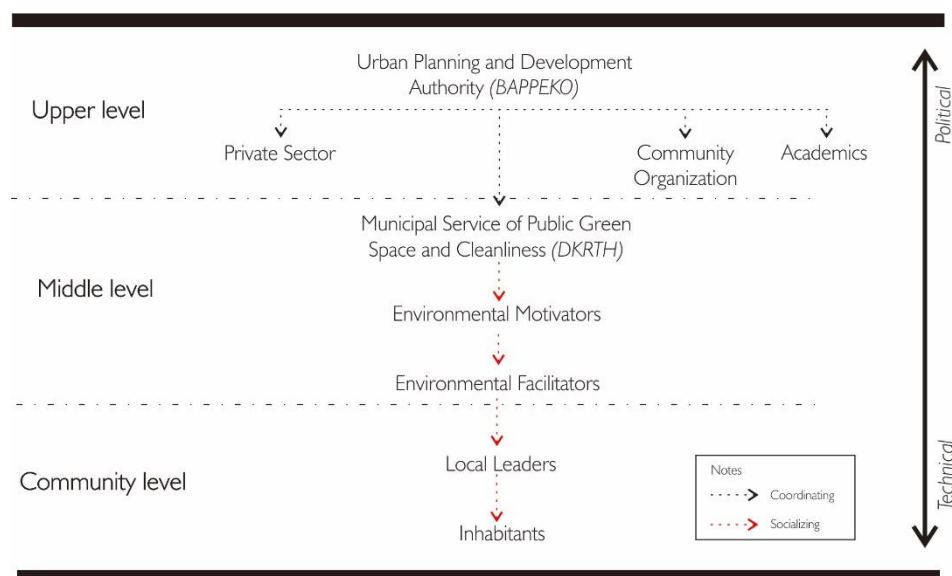
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<sup>13</sup> *PKK* (Pembinaan Kesejahteraan Keluarga, in Bahasa Indonesia) or Family Welfare Empowerment is women's organization collaborating with government to promote family welfare at household level

<sup>14</sup> *Karang Taruna* is a social organization for youth development on the basis of social awareness and responsibility

waste bank management. But this has not worked yet, the problem is still that there was no leader here. So, the implementation of the green kampung here has not been going anywhere yet” (Quotes 6.2.9: in/07/com)

The visualization of facilitative leadership in SGC programme can be seen in figure 6.1



**Figure 6-1. Facilitative leadership in SGC programme**  
 Source: Author (2020)

## 6.2.4 Critiques on facilitative leadership

The leadership and mentoring system that the government of Surabaya had built to socialize environmental management in kampung was well-managed, covering from the upper level to community level. However, in my findings, I found different perceptions about the facilitative leadership in SGC programme. In the kampung that I selected as sample; Kampung Genteng Candirejo and Kampung Maspati, they expressed disappointment to the city government especially after the competition ended.

Kampung Genteng Candirejo and Kampung Maspati were once the winners<sup>15</sup> of the SGC competition. Both kampung expressed the same dissatisfaction towards the municipality as they felt that they were neglected by the government after the competition ended. After they became the winner, there were no follow-up programme afterwards. They felt that the government assistance was significantly reduced. At the beginning, they appreciated the way mentoring system and assistance from the government were running well when the competition was still going on. They were facilitated by series of workshops and provided technical assistance in environmental upgrading by government facilitators from DKRTH. However, it lasted only until the end of the competition. Once the competition ended and they had won, governance assistance was diminished.

The chief of Kampung Genteng Candirejo and Kampung Maspati agreed that the environmental upgrading was successful in their kampung. However, although it was already successful, they admitted that they still needed the assistance from government. They were afraid that the absence of assistance would make the community progress meet stagnancy. They thought that the environmental upgrading in their kampung should not stop even after becoming the champions. That's why they needed the presence of the government assistance so they could formulate the next goal. The absence of government assistance in the long term might impair the community trust to the government. Some quotes expressing disappointment from communities are presented in the following

*“ The Surabaya people all need assistance. Therefore, what I demand from the government is that they should go to the field (kampung) as much as possible to assist the kampung community. That's what I expected. The community does not need anything, they only need assistance. From there the government will understand, what is truly needed by the community. Finally, the government will be able to help them meeting their needs” (Quotes 6.2.10: in/05/com)*

<sup>15</sup> Kampung Maspati won in 2012 and Kampung Genteng Candirejo won in 2016

*“ ... Please help us, because by being assisted, the community can still exist, even after the competition. It's much like, we always rise them even though there is no special event. Assistance means teaching and fostering on how to create a clean, green and healthy environment. That term is not a government program, but it is a community need. Because the community needs a green environment, then the management of the environment must be well-done. Who should teach whom? That is the duty of the government, I presume” (Quotes 6.2.11: in/05/com)*

*“ ... Yes, after winning the competition, we felt less assistance by the government. In my opinion, the main thing is that the economy of kampung must be prosperous. The tourism sector of kampung is also not so much progressing. I think this should be further developed in the future” (Quotes 6.2.12: in/06/com)*

### 6.2.5 Concluding remarks: facilitative leadership

The facilitative leadership in the implementation of SGC programme occurs in different levels, from upper level to community level. At the upper level, the actor that mainly prominent was the Urban Planning and Development Authority (*BAPPEKO*) and also the city mayor. At this level, their tasks were mostly coordinating the other stakeholders regarding the policy aspect in the programme. At the community level, local leader was an important ingredient to mobilize the other kampung inhabitants to implement the kampung upgrading. In between the upper and community levels, there was the intermediary that functioned to bridge the government and the inhabitants. This task belonged to the Municipal Service of Public Green Space and Cleanliness (*DKRTH*). To do this task, *DKRTH* formed community assistance and mentoring system consisting environmental motivator and environmental facilitator.

However, even though Surabaya Green and Clean programme had a good mentoring system from upper to community level, there was disappointment to the municipality after the SGC programme ended. Interviews from Kampung Maspati and Kampung Genteng Candirejo revealed that government assistance was greatly reduced after the competition finished. Disappointment were expressed by both kampung after the neglect from government. They were worried the absence of government assistance could lead to stagnancy that impeded their progress in environmental upgrading.

## 6.3 Institutional Design

Institutional design refers to basic procedure for collaborative process in SGC programme. Then, as basic procedure, institutional design also raises the question whether who should be included, or excluded in the process. In practice, Surabaya Green and Clean as competition-based development promoted inclusivity where every kampung in Surabaya could participate in the competition. All the kampung in Surabaya could join the SGC programme by registering their kampung through *DKRTH*. A government official from *BAPPEKO* argued that the inclusiveness of SGC programme encouraged the community participation for city development. The concept of environmental competition enabled as much as possible citizen participation in upgrading their kampung. She said that the development of the city is not only the responsibility of the government, but it is a collective work including the active role of community. Quotes symbolizing this are shown below

*“One of the green city attributes is that there must be participation from the community. For example, there are facilitators and environmental cadres in the Surabaya Green and Clean programme. So, the development of a green city is not only from the government, but also involves the community” (Quotes 6.3.1: in/01/gov)*

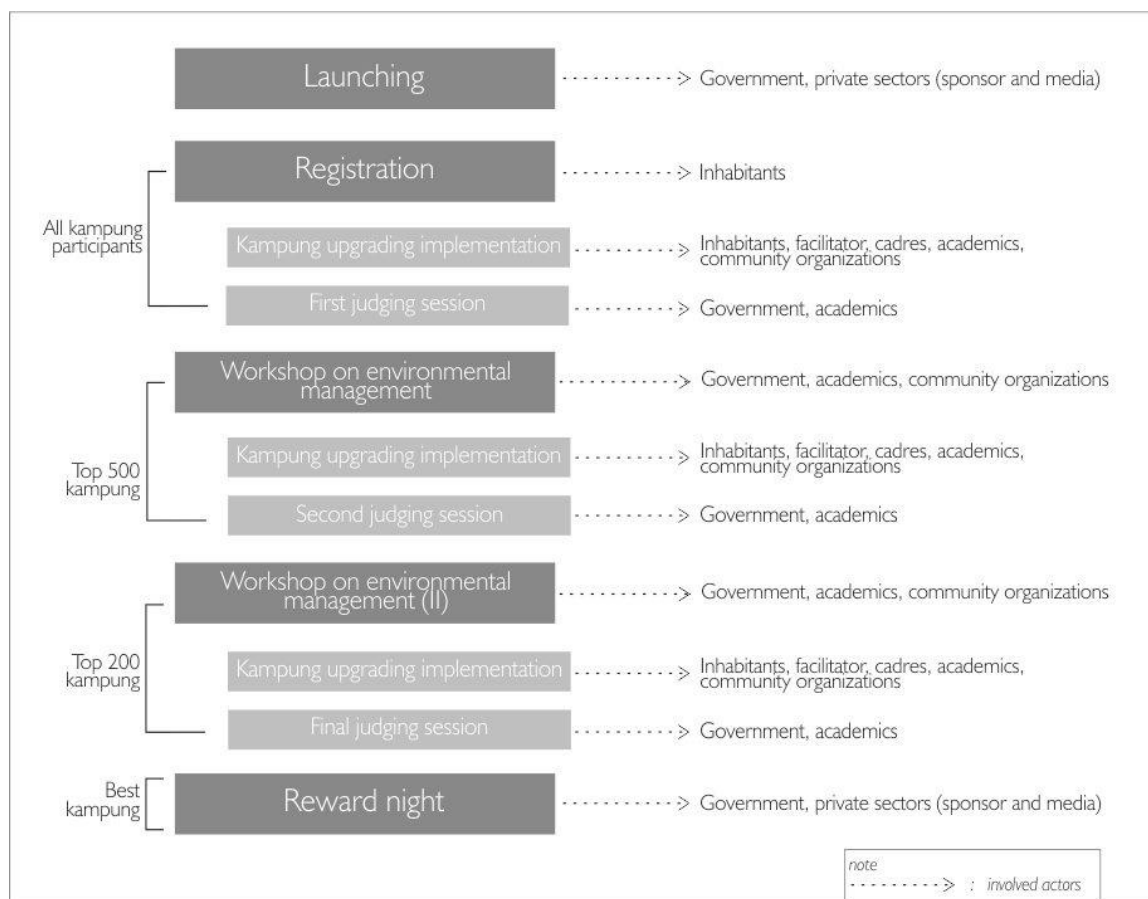
*“Community-based development is the representation of a real development. Efforts to develop green kampung are carried out by conducting integrated environmental conservation activities and giving reward for the vigor work of the community through Surabaya Green and Clean programme” (Quotes 6.3.2: doc/03/ks)*

An interview with the chief of Kampung Genteng Candirejo revealed that he actually appreciated this unusual approach of development (competition-based development), even though later he criticized the absence of government after the programme. He felt that the SGC competition was the medium for the people to contribute to the city development. This approach was proven to encourage the spirit of participation among the Surabaya people. If the government just provides direct funding, the community participation will not be that high. Using the approach of competition, kampung inhabitants had the absolute power to implement their ideas for their own kampung upgrading. They were also benefited by technical assistance and series of workshop on environmental

management organized by *DKRTH*. Sometimes, academics and community organizations also provided technical guidance in green kampung upgrading. The previous statement is symbolized by quote below

*“I am very respectful with this way (the competition). Because we are asked to try the upgrading by ourselves first, then we ask (funding) afterwards. It means that, we should not request (government) funding for everything, that way is not educating. It should be that we are asked to try by ourselves first, to know to what extent are your abilities, then afterwards, we’ll try to ask for help if needed ... From the government, they will help in terms of training (workshops). I put it in analogy like this, the government gives the hook, and the people will work themselves to get a fish. But, if the Surabayan are given the bait, they will finish the bait, they won’t be able to catch the fish” (Quotes 6.3.3: in/05/com)*

As a competition, SGC programme had the steps-by-steps, starting from launching, registration, upgrading, workshop, judging until awarding. Multiple actors were collaborating in the different steps of the competition. Firstly, the programme was launched annually by the government and sponsors. Then the registration was opened where every kampung could participate. After registration, the inhabitants prepared their kampung for the first judging session. The kampung which passed the first phase (around top 500 kampung) would go to the next round. But before that, the government (*DKRTH*) organized a workshop first to give socialization and education about environmental management. Then the inhabitants would implement the knowledge from the workshop and afterwards there would be the secondary judging session. The kampung which passed the second phase (around top 200 kampung) would go to final round. In this phase, there would be the second workshop and the final judging afterwards. At the final stage, the kampung that won the competition would be given rewards by the city mayor at the rewarding nights. The steps-by-steps of the competition are visualized in figure 6.2.



**Figure 6-2. The steps competition of Surabaya Green and Clean programme**  
Source: Author (2020)



Figure 6-3. The reward night of SGC programme  
Source: DKRTH (2019)

Various stakeholders have contributed in different phase of the competition. In this sub-chapter, I would like to describe more elaborately what were their roles during the SGC programme

### 6.3.1 Stakeholders and their roles in SGC programme

#### a) *Government*

One of the driving factors where green kampung upgrading could be well-implemented in Surabaya is that the government had the strong political will to execute the programme. There were three main government departments that contributed to the implementation of the SGC programme; Urban Planning and Development Authority (*BAPPEKO*), Municipal Service of Public Green Space and Cleanliness (*DKRTH*) and Municipal Service for Environment and Living Habitat (*DLH*). These three municipal departments collaborated with other non-state actors to carry out the competition, so that the competition is not merely only an event, but it should be a medium where every stakeholder could participate in the city development. This is symbolized by quotes below

*“There is indeed a strong government support, which is crucial factor. If the government only thinks that environmental competition (SGC programme) is only a formality or an event, it is certainly not sustainable. But apparently, here in Surabaya there is good government support to implement the programme” (Quotes 6.3.4: in/09/prv)*

The three municipal departments had different role here. As mentioned in the Section 6.2 about facilitative leadership, the roles of Urban Planning and Development Authority (*BAPPEKO*) were mainly at the upper level. They acted as coordinator and facilitator of collaboration with the other non-state stakeholders. Before the launching of the competition, *BAPPEKO* invited other stakeholders such as private sector, academics, community organization and also community to discuss the concept of the competition, which was different every year. Then, *BAPPEKO* also planned the budgeting, both from the source of annual state budget and also from sponsors. And then at last, *BAPPEKO* also coordinated the rewarding night together with the sponsors to give the prize for the best kampung who won the competition. In brief, the roles of *BAPPEKO* was more about coordinating with other non-state stakeholders.

On the other hand, the role of Municipal Service of Public Green Space and Cleanliness (*DKRTH*) was concerning technical parts. *DKRTH* was responsible for the technicalities of the competition, such as preparing the schedule, judging session and also rewarding. But beyond that, the important roles of *DKRTH* were socializing and educating the community about environmental management. This task was manifested by breeding the environmental facilitators and environmental cadres to assist the kampung inhabitants about environmental upgrading in their kampung. These facilitators and cadres were the pioneer to engage the people to manage the environment in the community level. *DKRTH* also played other important role to educate the community through



the workshop of environmental management in the middle of the competition. For the kampung that registered to the competition and succeeded to go to the next stage, they would be facilitated by a workshop from government to enhance their skills and knowledge in environmental upgrading in their kampung. In organizing the workshop, *DKRTH* worked with other actors such as academics and community organizations and appointed them to become the guest speaker during the workshop.

The roles of Municipal Service for Environment and Living Habitat (*DLH*) was to supplement the roles of Municipal Service of Public Green Space and Cleanliness (*DKRTH*). The two institutions cooperated mainly in the judging session, where experts from both institutions were requested to become the jury. In judging session, both institutions also invited other experts from academics and community organizations as well to become the jury.

#### **b) Private Sector**

In the SGC programme, I distinguish the private sectors into two parts; company and media. The company played roles mainly in funding and sponsorship, while the media contributed mainly in publication. The company had the responsibility to contribute to social development through the Corporate Social Responsibility (CSR) funds. Some companies in Surabaya that contributed to SGC programme were Unilever, MPM Honda, Emco Paint, Pegadaian, PLN, Pelindo and many more. The role of the company was mainly in funding provision. Even though, there was a company like Unilever that also provided assistance in the early implementation of the competition, they now focus only in funding, as the role of assisting community was already handed to the environmental facilitators and cadres from the government. There were two types of funding from the company. The first one was sponsorship where the company made cooperation with the government of Surabaya to share the budget for the competition. The sponsor fund was used for the operationalization of the competition, including awarding for best kampung. Another kind of funding was direct funding where the company provide CSR grant for the kampung inhabitants to build the environmental aspects in the kampung. For example, Pegadaian, a finance and loan company once helped the Kampung Genteng Candirejo in building the wastewater treatment installation. Or, Pelindo, the Indonesian seaport company, that helped the Kampung Maspati to apply more greeneries in the kampung. The quotes symbolizing the role of company in sponsorship and direct funding are shown below

*“... Then, they also have the responsibilities namely CSR (Corporate Social Responsibility). Now, many companies are directing their CSR towards environmental management, one of which is for the kampung” (Quotes 6.3.5; in/04/gov)*

*“... from the private sector, their role is more related to sponsorship and also media publication” (Quotes 6.3.6; in/02/gov)*

*“It (the wastewater treatment facility) was built in 2012. That time we collaborated with ITS, but the funding was from the CSR of Pegadaian. It was 35 million Rupiah from them. And it is not easy. We must be able to give full trust in them that the program we are proposing to them is really real and needed. Therefore, they finally gave the funding to us” (Quotes 6.3.7; in/05/com)*

Media as partner for publication also played prominent role to contribute to the positive outcome to the programme. Stakeholders such as government, academics and community organizations agreed that involvement of media had escalated the community participation in SGC programme. Jawa Pos as a leading newspaper company intensively published the environmental upgrading of kampung in their newspaper. The power of publication triggered the spirit of other kampung inhabitants and persuaded them to do so. An interviewee from Jawa Pos added that the role of media should not only criticize certain phenomena, but media should also be provocateur for change towards better community. News and pictures showing the inhabitants cleaning up the kampung, planting vegetation, making biopori, recycling waste or building the wastewater treatment plant had spread the good influences among the kampung inhabitants. The positive achievements of green kampung upgrading were continuously published in the newspaper (figure 6.4), and had inspired the people of Surabaya to do the same. Besides Jawa Pos, some other media that helped the publication of SGC programme are Radar Surabaya, SBO Channel, JTV Channel and Radio Suara Surabaya. Most of the stakeholders acknowledged that the massive publication by the media has positively contributed to the outcome of SGC programme. The quotes symbolizing the roles of media are shown as the following

*“So, indeed that publication is one of the factors that influences community participation. For example, if people see the news about the good kampung, the kampung will be famous and inspire others. This effect can be felt until*

now. From publication, it is also resulted that there are many other cities that want to do a comparative study to Surabaya kampung” (Quote 6.3.8; in/04/gov)

“In the implementation of SGC, media partners such as Jawa Pos and almost all of the media are embraced so that they can publish it well. The kampung inhabitants are very happy and proud that their kampung can be published in newspapers” (Quotes 6.3.9; in/01/gov)

“ ... And the media should not just criticize. In the case of the environment, the media must be the provocateurs for better change. Now, is there a media like Jawa Pos? in which he initiates the environmental improvement program so that the city can change for the better. There is no media like Jawa Pos. The media must have the awareness because it functions as presenter of information. If it does not play such a role, the media will only become information presenters. We don't want to be like that. We want to ignite community spirit more. Otherwise, our function is only as news writers or information presenters. And Jawa Pos has done a lot of things like that. The media has helped turn our city to be greener” (Quotes 6.3.10; in/09/prv)

### **c) Academics**

Institut Teknologi Sepuluh Nopember (ITS), Universitas Airlangga (Unair), Universitas 17 Agustus 1945 (Untag), Universitas Kristen Petra (UK Petra) were among the academics that contributed to the implementation of SGC programme. An interview with an architecture professor from Universitas 17 Agustus 1945 revealed that the roles of academics in SGC programme were to become as *facilitator* and *catalyst*. The role as facilitator concerned mainly with technical guidance for the community. For example, the aforementioned wastewater treatment plant in Kampung Genteng Candirejo was built by technical assistance from ITS. The chief from Kampung Genteng Candirejo said that the wastewater treatment plant in his kampung was once built by collaboration from academics and private company. Academics (ITS) contributed to technical parts whereas the company (Pegadaian) provided the funding. Besides that, the academics also took part in the workshop on environmental management as the guest speaker. They provided practical information for the community to implement it during the kampung upgrading. Last but not least, an interview from Municipal Service of Public Green Space and Cleanliness (DKRTH) also informed that DKRTH also invited the academics to become the jury during the judging session.

Meanwhile, the role of catalyst mainly concerned with negotiation. The academics often helped the community to negotiate with the government if there's something they needed or there's something they were against. The academics served as a mediator to help the community obtain better understanding upon certain government programmes. The quotes symbolizing the roles of academics are shown below

“In general, the role of academics can all be divided into two things; “facilitator” and “catalyst”. Facilitator means bridging. For example the government has a program that the community may not understand, so a facilitator is needed. Then we play role as facilitator. We are also invited in the workshop and become the guest speaker. The second function is catalyst. The catalyst functions to accelerate, or I put it in an analogy: there is a membrane, if we cannot mix here, we put a catalyst so that later it can mix. It means that, if there is a different understanding between the community and the government, a catalyst is needed. We played the role of catalyst and help he people to negotiate” (Quotes 6.3.11; in/03/acd)

“ In the competition, academics help us in the workshop (as guest speaker) and also become the jury during the judging session” (Quotes 6.3.12; in/02/gov)

“Previously, the one who helped build Pandora's Box (wastewater treatment plant in kampung) was lecturer from ITS. They were very nice to us. We consulted with them upon technical matters for the installation” (Quotes 6.3.13; in/05/com)

### **d) Community group**

Similar to the environmental facilitators or cadres, the role of community group was to provide assistance for kampung inhabitants in implementing the environmental upgrading programme. The community group, or sometimes known as NGO, shared the technical expertise to the community. For example, they assisted the community in building sanitary facilities, recycling waste, creating hydroponic installation and organizing the waste bank. Then, community group also helped in supervising and controlling the upgrading programme in kampung. The quotes symbolizing the role of community groups are shown as the following

“The role of this community organization is to assist the programmes that we (kampung inhabitants) have. Indeed, if these communities are not assisted, they will not be able to run sustainably in the long term. They run only whenever there is an event. Therefore, there are the needs to get the assistance so that the program by kampung inhabitants can be sustained” (Quotes 6.3.14; in/05/com)



SEDAP DIPANGANG: Para juri menyurvei setiap gang di Rungkut Kidul untuk memberikan penilaian kemarin.

## Kerap Keliru Antara Komposter dan Takakura

MESKIPUN sudah memiliki keranjang takakura dan komposter aerob, warga masih kerap melakukan kekeliruan dalam memandarkannya. Hal tersebut menjadi koreksi dari Aulia, Majid Ushadinda, juri dari Timan. Juri tersebut menggarisbawahi praktik pembuatan komposter dan sampah busah rumah tangga tersebut.

Kekeliruan atau kesalahan dalam mengoptimalkan keranjang takakura dan komposter aerob terjadi di beberapa wilayah atau perkampungan warga di Surabaya. Secara umum, warga sudah memahami bahwa keranjang takakura dan komposter memang dipakai untuk membuat atau mengomposkan pupuk kompos. Namun, praktiknya kerap keliru.

Keranjang takakura merupakan keranjang untuk sampah busah rumah tangga, biasanya nasi hancur, sayuran yang tidak terpakai, kulit buah, dan sampah busah lainnya. Nah, lantaran informasi yang mungkin masih kurang, warga kerap mengotak-atinkannya ke dalam komposter dan keranjang takakura. Padahal, itu tidak sesuai," ujar Aulia.

Menurut Aulia, pembuangan antara sampah busah rumah tangga dan sampah dalam keranjang sangat berbeda. Khususnya dalam hal waktu pembusukan. Pembusukan sampah dalam keranjang bisa lebih lama daripada sampah busah rumah tangga. Karena itu, tidak seharusnya sampah dalam keranjang diletakkan di

keranjang takakura.

Tidak jarang, lanjut Aulia, ada warga yang mengklaim tak memiliki sampah rumah tangga. Dengan demikian, mereka memasukkan sampah dalam keranjang keranjang takakura. "Padahal, tidak mungkin warga tidak memiliki sampah rumah tangga," katanya.

Selain itu, warga kerap terbalik. Yakni, sampah rumah tangga tersebut justru dimasukkan ke komposter aerob. Padahal, komposter aerob hanya untuk sampah organik yang sudah terurai. Sampah rumah tangga yang masih segar akan mengganggu proses pengomposan. Karena itu, komposter itu sedikit dimasukkan atau ditanam di tanah. (jw/18/10)

## Perlu Genjot Rumah Sehat

### Tim Juri Lakukan Penilaian di RW 10 Rungkut Kidul

**SURABAYA** - Persiapan babak kota Surabaya Cantik Green and Clean 2012 dimulai kemarin. Tim juri yang terdiri atas unsur kerja pengantar daerah (SGPD) mulai bergerilya ke wilayah-wilayah yang menjadi peserta event kedatangan tersebut. Mereka mendatangi wilayah kategori maju, berkembang, dan prima.

Pada kategori maju, misalnya, tim juri menyurvei lima wilayah. Yakni, RW 8 Buntara, RW 12 Kertajaya, RW 5 Wicaksono, RW 9 Rungkut Kidul, dan RW 10 Rungkut Kidul. Para peserta menyambur undangan tim juri dengan senyum. Tapi wilayah menyuguhkan berbagai potensi lingkungan terbalik.

Di wilayah RW 10 Rungkut Kidul tim juri disambut oleh juri dan undangan live music. Camat Rungkut Kidul Mahayana juga hadir di lokasi penilaian. Tim juri juga memberikan dukungan kepada wilayah yang menjadi peserta Surabaya Cantik Green and Clean 2012.

Wilayah RW 10 Rungkut Kidul masuk dalam kategori inovatif. Salah satu yang menjadi inovasi adalah water treatment. Ketua RW 10 Rungkut Kidul Supriyanto mengatakan bahwa ada beberapa water treatment yang dibuat. Masing-masing terdiri atas tiga hingga empat pipa.

Setiap pipa, kata Supriyanto, memiliki fungsi penyaringan. Yakni, menyaring air yang berasal dari selokan. Setiap pipa juga diisi alat penyaring. Pipa pertama diisi pasir dan pasir, pipa kedua diisi kerikil, pipa ketiga diisi karbon

### Inovasi Warga RW 10, Rungkut Kidul

- Kampung mangrove
- Kampung anggrek
- Taman tiga
- Riser treatment
- Komposter
- Kampung tua atau takakura
- Kalan purni dan uban teming
- Kalan jaring

aktif. Pipa keempat berisi dalam. "Dengan demikian, air selokan yang keluar bisa lebih jernih," jelasnya.

Water treatment yang menjadi inovasi warga RW 10 Rungkut Kidul mendapat sambutan positif dari tim juri. Salah satunya datang dari juri. Salah satu juri tersebut mengatakan apresiasi yang baik. Sebab, secara teknis, pembuatan water treatment ini sesuai dengan ketentuan. Nah, dengan adanya water treatment tersebut, warga sudah berupaya untuk mengelola air limbah secara mandiri.

Selain water treatment, wilayah tersebut memiliki keunggulan lainnya.

Yakni, kampung anggrek. Banyak bunga anggrek yang dibudidayakan warga. Bahkan, ada anggrek di setiap rumah warga. Jelasnya adalah anggrek dendrobium. Anggrek itu tumbuh pada pohon pisang. Meski tumbuh pada pohon pisang, anggrek tersebut tidak merugikan. Banyak juga anggrek yang ditanam dalam pot.

"Cara menanamnya juga sudah benar," ujar Endang Seti Widhiyanti juri dari dinas pertanian. Menurut dia, anggrek dendrobium cocok tumbuh di iklim seperti Surabaya. Media tanamnya bukan tanah. Anggrek cukup ditanam pada pohon dengan media sabut kelapa atau pasir. Selain cepat berbunga, anggrek jenis itu terbilang lebih murah. "Kalau anggrek ditanam di pot, pakai uang kupa atau pecahan genteng. Itu sudah benar. Kalau pakai tanah, justru bisa tambah jamur," imbuhnya.

Selain itu, warga menggariskan arbor yang melingkupi jalan di jalan, ke, dan lain-lain. Ada juga pohon yang digunakan untuk kebun pisang.

Salah satu yang menjadi catatan tim juri adalah tidak rumah sehat. Sebab, tidak yang tertempel pada setiap rumah. Menurut Mahayana, juri dari dinas kesehatan, seharusnya, tidak tersebut dicontang para kader kesehatan. "Kalau yang dicontang bisa, itu menunjukkan rumah sehat. Kalau malah, perlu ditingkatkan. Nah, ini yang belum ada," ujarnya. (jw/18/10)



Siapkan Diri untuk Tampil Lebih Cantik di Surabaya Cantik Green and Clean 2012

## 172 RW Lolos Babak Verifikasi

### Siap All-Out Percantik Wilayah

**SURABAYA** - Wilayah-wilayah yang memasuki babak selanjutnya kawasan Surabaya Cantik Green and Clean 2012 sudah ditentukan. Persiapan pun kini akan digerakkan masing-masing wilayah. Tujuan, memaksimalkan potensi potensi terbaik di wilayahnya.

Salah satunya di RW 4 Kelurahan Gading, Kecamatan Tambora. Meski belum terlihat berubah secara fisik, kampung yang kerap mendapatkan nomor di perhelatan Surabaya Green and Clean (SGC) itu sudah sudah siap. "Kami maksimalkan setelah Lebaran," ujar Koordinator Kelurahan Gading Sunariniingsih.

Kampung tersebut memang sudah terlihat asri. Gang-gang yang lebarnya sekitar 3-4 meter itu terlihat ditanami tumbuhan-tumbuhan hijau. Bahkan, tanaman rambat pun terlihat subur. Tanaman merambat tersebut dipangkas dan dibersihkan selendang-rindangnya. Jadi, saat matahari terbit seperti butiran kecil hamparan sangat rindang.

Sunariniingsih mengatakan, pihaknya akan memaksimalkan wilayah dengan melakukan banyak hal. Mulai pengrusakan jalan, sungkapan, membuat jalan kampung, dan lain-lain. "Akan kami tambah tumbuhan dalam pokok merambat," katanya.



RINDANG: Seorang warga melintasi salah satu gang di Dukuh Setro yang rimbun hijau daun.

**SURABAYA** - Proses perhelatan Surabaya Cantik Green and Clean 2012 terus berlangsung. Kemarin (18/10) panitia memepikan wilayah-wilayah yang lolos dalam tahap verifikasi. Total, ada 172 RW yang masuk dalam tahap verifikasi tersebut. Setiap RW terdiri atas empat RW. Perinciannya, 49 RW kategori maju, 41 RW kategori berkembang, dan 82 RW kategori prima.

Project Officer Surabaya Cantik Green and Clean 2012 Nuzul Maghfirah mengatakan, panitia telah melakukan verifikasi terhadap area. Mulai Surabaya Pusat, Utara, Barat, Timur, hingga Selatan. Menurut dia, dibutuhkan pertimbangan hasil verifikasi untuk menetapkan hasil verifikasi tersebut.

Ketua Dewan Juri Verifikasi Surabaya Cantik Green and Clean 2012 Wibisono Dwi Rahayu menambahkan, di antara seluruh peserta yang mendaftar, tidak semuanya lolos masuk ke babak verifikasi. Tim yang terdiri atas koordinator wilayah (korel) dan koordinator kecamatan (kacam) melakukan pantauan lapangan dan verifikasi terhadap wilayah-wilayah yang masuk. "Jadi, memang ada wilayah-wilayah yang tidak lolos verifikasi," katanya.

Tahun ini, lanjut Wibisono, markas penilaian memang berbeda. Yakni, penilaian dilakukan secara bertahap melalui tingkat area (masing-masing di Surabaya Pusat, Utara, Barat, Timur, dan Selatan) untuk selanjutnya di tingkat kota. Nah, penilaian tingkat wilayah inilah yang dilakukan korel dan kacam. Mereka yang dianggap paling mengetahui potensi kampung kampung yang ada di wilayahnya.

Adapun wilayah-wilayah yang tidak lolos verifikasi, lanjut Wibisono, dinilai belum memenuhi kriteria yang ditetapkan panitia. Kriteria alat pengadaban sampah misalnya. Menurut dia, alat pengadaban sampah adalah sebuah hal penting. Jika bukan ada wilayah sudah terlihat bersih, tentu ada masalah. "Jadi, memang ada wilayah yang belum, tapi sampahnya bagus, tapi sampahnya dipangkas, dilihat dari LPS. Benar, tentu saja dan

tidak terlihat. Jadi, indikator alat pengadaban sampah ini perlu," jelasnya.

Selain itu, yang tidak kalah penting adalah kebersihan lingkungan kampung. Menurut Wibisono, kebersihan dan kebersihan di antara pengurus merupakan hal utama. Jangan sampai pihak atau (RW atau kacam) sudah melakukan untuk itu. Surabaya Cantik Green and Clean 2012, tapi semoga pihak kampung atau pihak yang melakukan tidak mengesalkan. "Jadi, harus beres-beres, jangan sampai ada pengadaban," katanya.

Yang juga perlu diperhatikan adalah penghijauan. Sebab kampung memang sudah terlihat hijau, namun belum memuncak jumlah penghijauan yang diharapkan. Untuk, supaya arah Wibisono, mengatakan, sebuah kampung setidaknya harus memiliki penghijauan 60 persen. "Nah, yang tidak lolos verifikasi belum memenuhi kriteria ini," tegasnya.

Selanjutnya, perhelatan Surabaya Cantik Green and Clean 2012 memasuki masa program tahap lanjutan. Karena itu, Tim tersebut setiap peserta bisa berhadapan di wilayah masing-masing. Khususnya tentang pengrusakan dan optimalisasi lingkungan.

Demikian juga halnya dengan reduksi sampah. Misalnya dengan menggariskan jumlah sampah rumah tangga yang harus dikurangi. Jumlahnya tetap ada tidak ada pengaruh signifikan. "Ini juga perlu dicermati," tegasnya.

Masa program ini berlangsung hingga 26 Agustus mendatang. Selanjutnya, pada 27 Agustus hingga 31 Agustus nanti, akan ada tim juri yang langsung memantau. Tim juri ini terdiri atas dinas-dinas terkait dengan diorganisir fasilitator kacam, Trenggeng, Insan. Untuk, adalah alat setiap peserta sudah berhadapan. Yakni bukan alat untuk mengukuti (memantau) lomba, melainkan untuk memantau lingkungan secara terus-menerus. "Itu-lah intinya yang harus diarahkan peserta adalah lingkungan yang sehat, hijau, indah, dan nyaman," tandasnya. (jw/18/10)

Figure 6-4. The role of media in wide scale publication  
Source: Jawa Pos Media Group (2012)

*"That is what we mean by assistance. We (community group) assist them for the program or activity that is being implemented. Because the core of the assistance activities is about how our program can be well-received by the people. When they receive us well, enabling them to change for better is not something difficult" (Quotes 6.3.15; in/10/cgp)*

*"There are already a number of community groups entering here. Previously, they helped us building sanitation facilities (toilets). There are some inhabitants who get sanitation facilities for free" (Quotes 6.3.16; in/07/com)*

#### **e) Community**

In Surabaya Green and Clean, community was the key that determined the outcome of the programme. All of the interviewees emphasized that community participation significantly influenced the positive outcome of the SGC programme. Interviewee from Jawa Pos found out that the characteristics of the Surabayan which were harmonious, egalitarian and collaborative remarkably driven the programme into success. The kampung inhabitants had also contributed so much resources for green kampung upgrading in their area. In general, their form of participation included the provision of energy, money, goods (materials), land, manpower, time and decision making. Interviews with chief of Kampung Genteng Candirejo and Kampung Maspati revealed that in the early stage of green upgrading in their kampung, they did crowdfund among the inhabitants to buy materials needed for kampung upgrading. The inhabitants of both kampung might have contributed to more than a half of the green upgrading cost. They were actively participated in the project implementation and maintenance. The quotes symbolizing the role of community are shown below

*"I have asked several chief of districts that have participated in the SGC competition, what's the key why it is in Surabaya this kind of programme can survive? And then they mostly replied, the key to successful turns out to be the "community participation". Surabaya people have the characteristic of "arek" community, where is a strong bond of participation between citizens. In other cities, when the welfare level of people starts to rise, they start to keep their social distance. But in Surabaya, it doesn't work like that. Even though they're rich or poor, they still blend very well to each other. That is what distinguishes. Surabaya has unique socio-cultural characteristics that allow to strong bonding among the citizen" (Quotes 6.3.17; in/09/prv)*

*"... So here it is, in my opinion it is unique in Surabaya. If you compare the amount of the reward prize to what has been spent by the the kampung inhabitants to build the kampung, it could be that this reward prize is nothing compared to their spending. But, that's what we got; "The spirit". These Surabayan who ultimately loved their kampung. They make their kampung clean, they make the kampung green. Incidentally there is a competition to accommodate their spirit (SGC programme). And we are also cooperating the media. So if a Surabayan hears the news, "Uh, there, the good kampung is always published in the newspaper. If other kampung can, I must also be able too". That is uniqueness about Surabaya (6.3.18; in/02/gov)*

*"In the early development, the green kampung upgrading in our area used self-help funds. Starting in 2007-2009, all development were still self-supporting among kampung inhabitants" (Quotes 6.3.19; in/05/com)*

*"To participate in the competition, we spent not small amount of money. Each RT spent 20 to 30 million rupiahs to build the kampung. The money at that time was coming from the community, it was self-help funding" (Quotes 6.3.20; in/06/com)*

Then, another unique factor in Surabaya was that the involvement of women (*emak-emak*)<sup>16</sup> in SGC programme had a significant role too. The government (*DKRTH*) perceived women as the frontline in green kampung upgrading. Most of the women that worked as housewife allowed them to have much time to participate in kampung development. The women or *emak-emak* were continuously socialized about environmental management, such as waste management through PKK forums. An interview with environmental motivator from *DKRTH* informed that the largest generator of waste in Surabaya was coming from household. The interviewee thought that the housewife knew very well about the waste production in the house because she was the person dealing with daily activities, such as cooking. So, if she was educated about waste management including reduce, reuse and recycle, it was expected that the waste production from household could be diminished. This strategy worked successfully too. This was perceived by *DKRTH* to be an effective strategy in spreading the positive habit as the housewife later would tell this to her husband and children. The quotes symbolizing the role of women can be seen as the following

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<sup>16</sup> *Emak-emak* (Javanese language), meaning a group of women with characteristics of motherhood or housewives



“ ..., Yes, still. Mostly the cadres are women (*emak-emak*). It's because they are the front guard to keep the *kampung* clean. This is due to; the garbage is mostly originating from households, where is the source from? From cooking and beverages, who cooks in the house? Yes, those women were. So, we see the effectiveness in socializing to women, so I said before, it is the power of women (*emak-emak*)” (Quotes 6.3.21; in/04/gov)

“ ... The majority are women (*emak-emak*), because they are the pioneer. They have much time to gather quite often” (Quotes 6.3.22; in/02/gov)

“ ... Then, another important thing, we (community organization) always need female leaders, because they are very effective in playing a role in society. The power and influence of the women (*emak-emak*) is very strong. (Quotes 6.3.23; in/10/cgp)

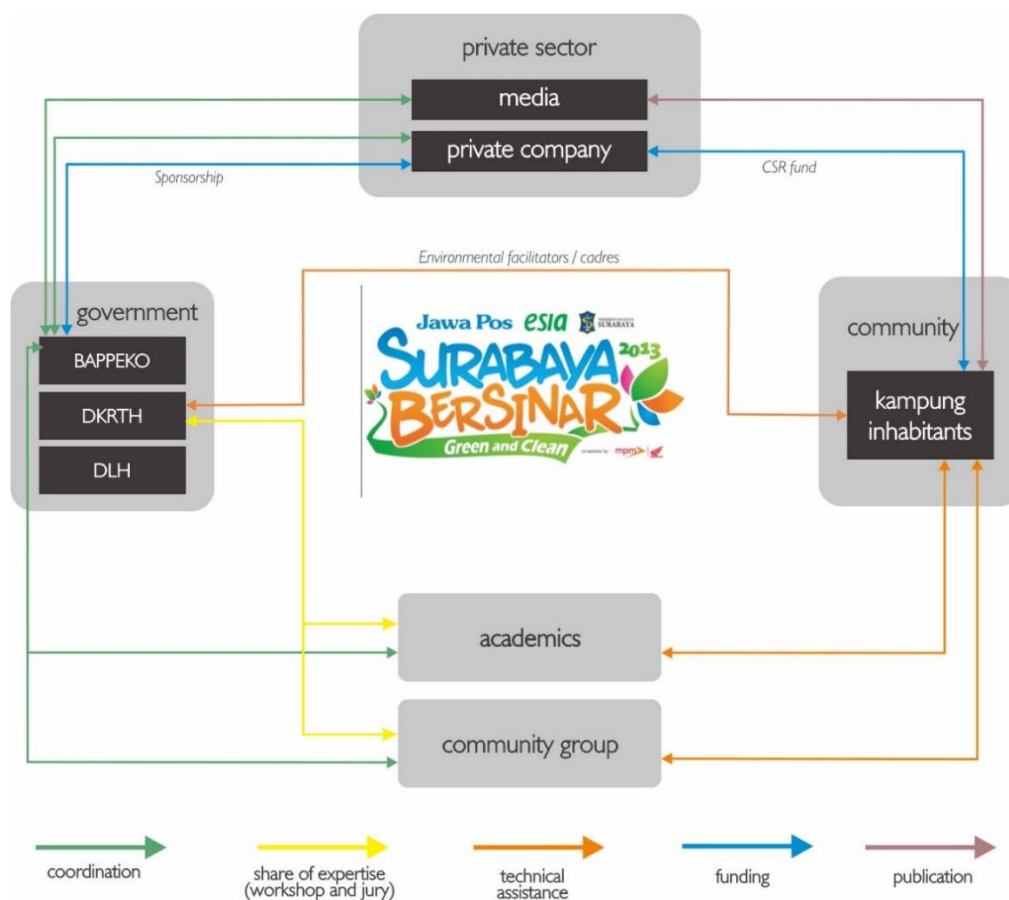
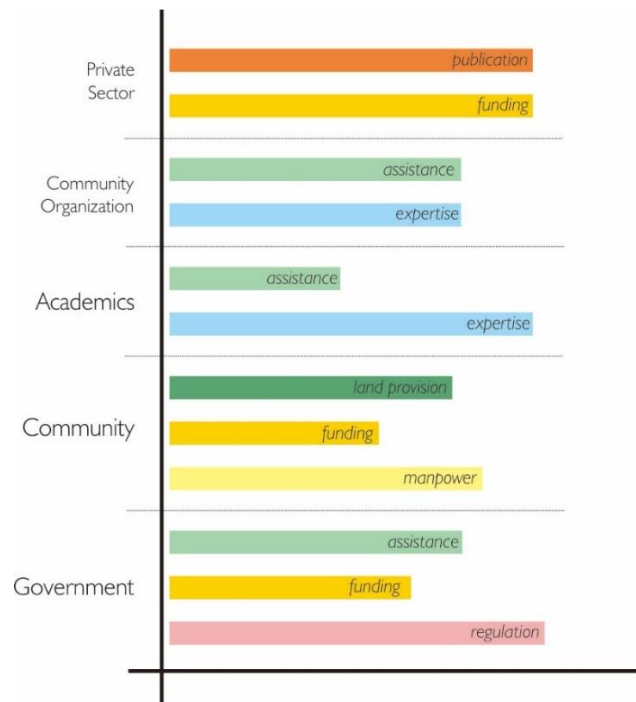


**Figure 6-5. Some PKK members taking picture with city mayor, (Mrs. Tri Rismaharini) during SGC event. Women also play important role in green kampung upgrading**

*Source: DKRTH (2019)*

Various roles of different actors have been presented previously. To sum up, diagrams showing the roles of each stakeholders and their interrelations are shown in figure 6.6 and 6.7.





It all sounded that the processes in SGC programme looked so inclusive, where all kampung were able to participate in competition and all actors were invited to share responsibility and roles. However, I also found that there was an exclusionary process too. An interview with an academic member revealed that the exclusion was meant for troublesome actors, for example; a company or private sector who had previous black records in the city history, such as tax evasion, land conflict or acute environmental polluter. The government were selective in choosing the parties to cooperate as sponsor and CSR donors, as the government avoided to cooperate with the previous troublesome stakeholders. This step was taken to prevent the unwanted behavior with the troublesome stakeholders, as some of them might demand something in return for the sake of their own benefit after making CSR fund donation. This is symbolized by quote below

*“In Surabaya, CSR funds who want to participate are selected. The government does not want that, by giving CSR to the city, then a company uses that as access for other purposes. There are companies that have had conflicts in the past, we don't include them. So, we chose donor company that is clean from problems or conflicts with the city. This is meant so that CSR is not used as medium for greenwash or money laundering. Here the government is also sorting out which to include or exclude” (Quotes 6.3.24; in/03/acd)*

## 6.4 Collaborative Process

### 6.4.1 Face-to-face dialogue

Communication was an essential element to build trust, mutual respect, commitment to process and shared understanding among stakeholders. Face-to-face communication took place in multiple layers of the SGC programme. Before the kick-off of the SGC programme every year, the government organized a forum inviting academics, community organizations, community representatives and sponsors to discuss the concept and theme for the competition. Then, in the launching, the inhabitants were invited in a big forum to get explanation about the rules of the game in SGC programme. The forum socialized the requirements, assessment criteria and regulations. However, it was not clear whether there was or not serious conflict in those forums. An officer from *DKRTH* said that there was only minor conflict such as unmatched scheduling or miscommunication that were solved quickly. Acute dispute such as conflict of interest of power friction were not much found during the interview. Other stakeholders such as from *BAPPEKO* was also reluctant to unveil the major conflict in the SGC. Thus, it was still unknown whether the conflict among stakeholders during SGC was just minor conflict, or the stakeholders inclined to cover up a major internal conflict.

### 6.4.2 Shared understanding

From the beginning of the competition, the aim of the programme was to reduce the waste problem across Surabaya and to tackle climate-related issues, such as urban heating and flood. The format of competition in SGC programme was meant to be a fetching point to attract the community to participate. However, it should be understood for participants that winning the competition should not be the main aim to take part in the competition. The main goal was supposed to be there was a transformed behavior before and after the environmental upgrading. Becoming winner was just the side bonus from achieving the main goal. The main aim of environmental upgrading, instead of chasing for trophies, should be understood to make the green kampung upgrading programme to be sustainable. Otherwise, if the main aim was to chase for reward, it was most likely that the kampung upgrading effort won't sustain after the completion of the programme. This kind of shared understanding was stressed out during the competition. The competition was not the main goal, rather it is a tool to engage community participation. The chief of Kampung Genteng Candirejo mentioned clearly about the shared understanding about green kampung upgrading he was doing, as shown in the following quote

*“ ... That means, competition is not our main goal. The main goal is that we can improve the quality of the environment in our kampung. Related to the reward, if God wills, it will follow after ... From 2007 to 2019 there have been many successes that we obtained. Related to rewards, we have achieved approximately 25 achievements. Therefore, at the beginning I would like to say, if you want to achieve achievements it is actually easy. You make a program and be sure to do it seriously. That is all. If we only pursue the reward, after the reward is obtained we do nothing. It won't sustain. The reward is just a side bonus, the main point is how your environmental program can be achieved” (Quotes 6.4.3; in/05/com)*

### 6.4.3 Commitment to process

Interviews with government, academics, community organizations, private sectors and community indicated strong commitment to process in the SGC programme. The important key success that led the SGC programme to achieve positive outcome was the strong government commitment of Surabaya, supported by active citizen participation. The good leadership system the government of Surabaya had built from the upper level to community level (including breeding of environmental facilitators and cadres) and also the coordination role to bring various relevant stakeholders to table of collaboration showed the strong commitment from the government in neighbourhood upgrading of kampung. The strong political support from government, complemented with the active citizen participation had brought the positive outcome in the implementation of SGC programme. The quote symbolizing the stakeholder's commitment to process is shown below

*"The main key is the participation of the citizens. Then, Surabaya also has a good environmental management system. Finally, a mentoring system was created, from environmental motivators to community facilitators. Then from this assistance process, comes the community leader. Even though it has succeeded, it must be improved, because at a certain point it will experience a saturation point. But earlier, the factors that had made Surabaya successful were high levels of community participation and strong government commitment" (Quotes 6.4.1: in/10/cgp)*

*"Beside that, there is indeed the factor of a strong government support. If the government only thinks that SGC competition are merely just a formality event, it is certainly not sustainable in the long run. But, in fact, it is still running until now. It turns out that in Surabaya, there is good government support" (Quotes 6.4.2: in/09/prv)*

However, as mentioned in chapter 6.2.4, there was disappointments from Kampung Genteng Candirejo and Kampung Maspati concerning the absence of follow-up assistance after the competition finished. The community felt that government assistance through facilitators was greatly reduced. The actors needed to formulate solutions together to overcome this situation otherwise the disappointment from community might diminish the commitment to process from the community.

### 6.4.4 Trust building

During SGC programme, the trust level between community and government was already high. This was actually benefited by the prior history of cooperation in KIP (Kampung Improvement Programme). The previous KIP which was considered as a successful pro-poor policy had already enabled the citizen participation in huge scale in Surabaya. The previous extensive collaboration of the city government and the community had increased the citizen's trust to the city government. The municipality was considered to have strong commitment and political will in upgrading kampung. The successful community-government partnership in KIP had brought positive impacts in SGC programme as the foundation of trust between state and non-state stakeholders had been firmly built. The citizen participation remained high in SGC programme and had produced a number of green kampung throughout Surabaya.

However, my finding indicated that there were critique and disappointment that might impair the citizen's trust to the government. The disappointment expressed from the sample; Kampung Genteng Candirejo and Kampung Maspati showed that there was a deficiency from government to maintain the kampung after the competition ended. Both Kampung Genteng Candirejo and Kampung Maspati expressed their disappointment when government assistance was significantly reduced after the competition finished. The absence of government assistance after the programme implementation might impair the community trust to the government and thus could reduce the community's commitment to process, especially after the competition.

### 6.4.5 Intermediate outcomes

SGC programme was initially created due to waste problems in Surabaya, therefore this competition aimed to reduce the waste generation in the city by making cleanliness contest that included waste management. After several years, when the programme was already widely known and participated by many kampung, there was a small win where the competition had gradually succeeded to transform the community behavior towards waste. The kampung inhabitants started to manage their waste, including reduce, reuse and recycle activities. At the end, this resulted in the reduction of the garbage that entered to the final disposal in the landfill. After the small win of changing the behavior of citizen towards garbage, the competition then focused in broader range, not only waste.

The competition had several themes that helped the kampung to cope with environmental or climate issues, such as urban heating and flood. The small win had become the momentum in the SGC programme to encourage the participants to achieve bigger outcome. The quotes symbolizing small win are presented below

*“Yes, we might claim that it (SGC programme) is successful, with the indicators; 1) the behavior transformation of community to care more about cleanliness, 2) the kampung in Surabaya now turns green” (Quotes 6.4.4: in/09/prv)*

*“In my opinion, the implementation of SGC programme has been successful so far. Because, the goal is to reduce the amount of waste that goes to final disposal in the landfill. And now, the amount of garbage that goes there is already reduced. This might be the impact of the SGC program which encourages its citizens to manage cleanliness and waste. In the kampung, there is already waste management activity and a community waste bank that can reduce waste from its source” (Quotes 6.4.5: in/02/gov)*

## 6.5 Outcomes of SGC programme

Most of the interviewees responded positively when I asked them about the outcomes of Surabaya Green and Clean programme. There was a consensus that the SGC programme had successfully transformed the behavior of the Surabaya citizen to better. The city now is much cleaner compared to 15 years ago when the negative habit of the community to litter was often seen in many places. With the promotion of reduce, reuse and recycle among the kampung inhabitants, now the daily waste production in Surabaya can be greatly reduced. This was also perceived as the milestone that SGC programme had achieved. Having successfully dealt with waste issues, the SGC programme expanded year-by-year by introducing new concept or new themes. The focus of the competition in managing waste was then enlarged to cover other environmental problems, such as climate-related issues. Provision of greenery, the creation of biopori, hydroponic plantation, establishment of wastewater treatment plant were several new themes introduced in SGC programme. The environmental features developed in green kampung helped the inhabitants to cope with several environmental issues. In the city scale, due to the success of SGC programme in upgrading the kampung, various awards were achieved by the government of Surabaya, such as the Lee Kwan Yew World City Prize Award. This milestone was an appreciation for all the stakeholders involved in the collaborative process in the SGC programme. The award also set as international recognition for the success of Surabaya city in neighbourhood upgrading programme. Some quotes indicating the success of SGC programme are shown below

*“The successful outcomes of the SGC programme depends on what indicators of success that we used. If success is defined because we get various awards, then we may say it is successful. If success is defined regarding sustainability, then we may say it is successful as the kampung inhabitants could maintain the results of green kampung upgrading. If success is defined by the national standard of green space provision, we are also success as the percentage of green space had increased compared to ten years ago. If success is defined by physical change, we might say we are successful too because in those ten years we can reduce micro temperatures by 2 degrees Celsius, which is also considered a success of the program in Surabaya” (Quotes 6.5.1: in/03/acd)*

*“It can be claimed that the kampung upgrading in Surabaya has been successful. However, there are still many things that must be addressed. But clearly, the condition of kampung in Surabaya has improved. The drainage, pavement path and road lighting has been carried out in kampung. Then, there are many elements of innovation from the kampung inhabitants, too. That is very good. Back then the kampung was still uncomfortable, the streets were muddy. Now it has changed. It has been reformed into an extraordinary public space. The kampung becomes green, the children feel at home there. This has an effect not only on the environment, but also on social effects” (Quotes 6.5.2: in/10/cgp)*

*“... Regarding the award achieved, yes, that is also one of the success indicators. That is the community's efforts. Award like Lee Kwan Yew World City Prize Award last time, the active role of the kampung inhabitants was highlighted there. We highlighted the kampung in international forum, as it is something unique that other countries don't have” (Quotes 6.5.3: in/01/gov)*

The successful outcome of SGC programme was driven by several factors, one of them is collaborative governance. All stakeholders agreed that collaboration among different actors had significantly influenced the positive outcome of the programme. The neglection of top-down approach and replaced by a flexible system called governance where multiple actors participated in the collaborative process had helped the SGC achieve the positive outcome. Wide range of collaboration involving government, academics, private sector, community organization and kampung inhabitants allowed different actors to share different expertise, resource and responsibilities to achieve the common goals. During the process, there are also other factors that influence the

positive outcome of SGC programme, such as the prior history of cooperation during KIP, the well-established leadership style, the active citizen participations resulted by firm trust among the actors, the involvement of media and also the strong political will of the government for neighborhood upgrading. Some quotes indicating the significant influence of collaboration are shown below

*“ ... Yes, the conclusion is that we need collaboration with other stakeholders. The government cannot walk alone and must have the support from the community and other parties. The top-down approach is outdated. So, there must be collaboration between various actors to succeed a programme” (Quotes 6.5.4: in/08/gov)*

*“ ... Yes, we might claim that collaborative governance helped program to be successful. Generally speaking, all programmes or policies implemented by the government, if there is no support/participation from relevant stakeholders, especially the community, the programme would not succeed. Whatever the program is” (Quotes 6.5.5: in/02/gov)*

However, the success of SGC programme does not mean an end point. There is always room for improvement. The critiques from the community, such as from Kampung Genteng Candirejo and Kampung Maspati regarding the absence of government assistance after the competition can be invaluable evaluation for the government of Surabaya. Even though Kampung Maspati and Kampung Genteng Candirejo admitted that the green kampung upgrading in their kampung was already successful, they still needed the government assistance even after the competition. Both kampung were worried that without assistance, the progress of kampung upgrading could meet stagnancy.

Therefore, the community expected there should be follow-up programme after the competition ended. For example, in Kampung Genteng Candirejo and Kampung Maspati, the community expected economic upgrading should also be incorporated in kampung. This is the point where community still found the missing line with government. After winning the SGC, the community expected there were further facilitation or follow up, especially concerning the economic development in kampung. Currently, there is no any assistance from the government. The evaluation from Kampung Maspati and Kampung Genteng Candirejo showed that the community hoped that the government put more effort in developing kampung more comprehensively.

The community expected that government departments should collaborate more inclusively and provide assistance again to the kampung inhabitants. After environmental upgrading was successful, some kampung demanded economic upgrading to improve community welfare should be incorporated too. The chief of Kampung Maspati proposed some ideas on developing the economics of kampung; through development of *UMKM (Usaha Mikro Kecil Menengah)* or small-medium enterprise; and through the development of tourism sector in kampung. To achieve this, the community still needed the assistance from government and other stakeholders. Some remarks symbolizing community evaluation after SGC programme are as follow

*“I think, this is the weakness, the final destination is not clear yet. After the competition is finished, where do you (the government) want to take all this? All government departments must work together. Only one department, such as DKRTH, won't be able to work alone. We can't just talk about DKRTH who has the main roles. All government departments must be unified and collaborate” (Quotes 6.5.8: in/06/com)*

*“ ... I think justice here is still lacking. The kampung should be promoted more. The kampung that once won the SGC should be selected to become tourism destinations. For example, when DKRTH held a competition, there were 75 kampung winners. Then they are filtered, and later assisted by the Department of Tourism, for example. Then they are selected again and reduced to 25 kampung. These kampung are marketed or promoted in wider scope. And finally, the village tourism can be developed. There are tourism promotions at every point of the kampung throughout the city of Surabaya. It will bring economic impacts. This is the final goal that I expect from the competition” (Quotes 6.5.9: in/06/com)*

The success of current SGC programme should not be the comfort zone for the government. Continuous innovation is still needed so that the community does not meet stagnancy. Evaluation from community should also be incorporated to make room for the improvements for the SGC programme in the future.





# Chapter VII Discussion

- 7.1 Sub-research question I
- 7.2 Sub-research question II
- 7.3 Sub-research question III
- 7.4 Research limitation

This chapter discusses the results of the findings. Sub-research question are answered from the results with the reflection upon the theoretical framework. Then, limitation of this study is also discussed here.

# Chapter 7

## Discussion

Surabaya Green and Clean Programme is a neighbourhood upgrading effort with the focus on environmental improvement in kampung. Implementation of green kampung upgrading through Surabaya Green and Clean (SGC) programme was financially feasible due to the availability of crowdfunding from various actors, such as community, government and also private sectors. SGC has been perceived by many actors as a successful case of neighbourhood upgrading for the context of kampung in Indonesia particularly in environmental improvement. This is driven by wide range of collaboration among public and non-public actors during the SGC programme. Adapting the concept of neighbourhood upgrading by Harris (2019), Surabaya Green and Clean programme can be considered as a neighbourhood upgrading effort aiming to improve the kampung condition for the benefit of the current resident without the act of eviction or land readjustment. SGC had benefited hundreds of kampung in Surabaya in terms of environmental management, such as the provision of waste bank, wastewater treatment plant and greeneries provision in the kampung.

This chapter answers the sub-research question in this study to see the connection of the concept; neighbourhood upgrading and collaborative governance in theory and in practice, for the context of green kampung upgrading in Surabaya.

### 7.1 Sub-research question 1

*“Who are the actors involved and what are their roles during the stages of green kampung development?”*

In order to answer the first research question, the framework from Nikolaidu *et al* (2016) is adapted to structure the actors and their specific roles in three different stage of green kampung development in Surabaya. Figure 7.1 below explains the framework of governance in green space development for the context of Surabaya Green and Clean programme

Government	Private Sector	Academics	Community Group	Community
Preparation stage				
<ul style="list-style-type: none"> <li>- Inviting and coordinating other relevant stakeholders to collaborate in SGC programme (<i>BAPPEKO</i>)</li> <li>- Discussing the concept, themes (ground rules) for the upcoming SGC programme (<i>BAPPEKO</i>, <i>DKRTH</i>)</li> <li>- Making decision for ground rules and other technical matters (<i>DKRTH</i>)</li> <li>- Organizing launching or kick off of the program</li> </ul>	<ul style="list-style-type: none"> <li>- Discussing the concept, themes (ground rules) for the upcoming SGC programme</li> <li>- Preparing sponsorship agreement with municipality</li> <li>- Preparing for publication of programme (media)</li> </ul>	<ul style="list-style-type: none"> <li>- Discussing the concept, themes (ground rules) for the upcoming SGC programme</li> </ul>	<ul style="list-style-type: none"> <li>- Discussing the concept, themes (ground rules) for the upcoming SGC programme</li> </ul>	<ul style="list-style-type: none"> <li>-Preparing the land for environmental upgrading in their kampung</li> <li>-Preparing registration form for SGC competition</li> </ul>
Implementation stage				
<ul style="list-style-type: none"> <li>- Providing assistance to community, through</li> </ul>	<ul style="list-style-type: none"> <li>-Providing financial support for particular kampung</li> </ul>	<ul style="list-style-type: none"> <li>- Providing technical assistance for the kampung inhabitants,</li> </ul>	<ul style="list-style-type: none"> <li>- Providing technical assistance for the kampung inhabitants,</li> </ul>	<ul style="list-style-type: none"> <li>- Performing self-help upgrading effort in the kampung</li> </ul>

Government	Private Sector	Academics	Community Group	Community
environmental facilitator and environmental cadres - Providing assistance to community, through environmental facilitator and environmental cadres - Organizing judging session - Organizing workshop on environmental management	through CSR programme - Making publication of green kampung upgrading (media)	regarding environmental development - Becoming the jury in the judging session - Becoming the guest speaker in the workshop on environmental management - Playing role as catalyst or negotiator if there's any conflicts	regarding environmental development - Becoming the jury in the judging session - Becoming the guest speaker in the workshop on environmental management	- Contributed in funding, manpower, time and decision in green kampung upgrading - Coordinating with academics, community organization, facilitators and cadres regarding the share of technical expertise - Participating in workshop on environmental management
Follow-up stage				
- Making final assessment on the competition results - Organizing reward night	- Providing reward prize - Making publication of the reward night	- Making final assessment on the competition results	- Making final assessment on the competition results Maintaining assistance within the community	- Performing the maintenance of green kampung

**Figure 7-1. The actors and their roles in the green kampung upgrading**

*Source: Adapted from Nikolaidu et al (2016)*

Figure 7.1 shows that in Surabaya Green and Clean programme, There were five main actors (pentahelix) that were involved in different stages of green kampung upgrading. Government, along with private sector, academics and community organization conceptualized the theme and ground rule of the competition in the preparation stage. In the implementation stage, it was community that had the big role in upgrading the kampung. In practice, the community did not perform the upgrading by themselves, they were helped by academics, community organization and facilitator in terms of technical assistance. Sometimes, they were also helped by the private sector about the funding for environmental upgrading in their kampung. In the follow-up phase, the community was responsible to maintain the outcome of green kampung upgrading in their kampung. The technical assistance only provided by community organization in this level, whereas the assistance from academics and government were greatly reduced in this stage.

During the implementation of the SGC programme, government did not stand alone, rather they were helped by various actors such as academics, private sectors, community organizations and community in a collaborative process. The results on figure 7.1 in the Surabaya Green and Clean programme are in line with the argument of Nikolaidu *et al* (2016) where in the urban green space development, the rigid top-down approach has been replaced by a more collaborative approach, allowing multiple actors (both from state and non-state actors) involved in the decision making process.

## 7.2 Sub-research question 2

*“What do the different actors perceive as the drivers and barriers of collaboration in the process of green kampung development?”*

### 7.2.1 Drivers for successful collaboration

This study confirms some arguments by Ansell & Gash (2008) about variables that determine the outcome of collaborative governance. In SGC programme, some of driving factors to lead the positive outcome of the programme are as follows:

### **Prior history of cooperation**

In Surabaya, the community and government had prior history of cooperation in kampung upgrading through the Kampung Improvement Programme in the past (Silas, 1992, Das & King, 2019). Kampung Improvement Programme or KIP was a community-based neighbourhood upgrading efforts that brought basic infrastructure and services to kampung. KIP helped to provide the affordable housings and livelihood opportunities for the underserving poor in kampung. The KIP programme was considered as successful exemplary of neighbourhood upgrading by many urban practitioners as it managed to deal with basic environmental quality issues and it was also reducing the urban poverty respectively in Surabaya (Das & King, 2019; Dianingrum *et al*, 2017). The successful history of community-government partnership during KIP resulted in high trust level of the citizens that benefited the collaborative processes during the Surabaya Green and Clean programme. The strong government commitment for kampung upgrading supported by active participation by community resulted to the positive outcome of SGC programme. This cooperation was possible as the trust among the community and government already built from the previous KIP programme. This statement confirms the argument from Ansell & Gash (2008) where prehistory of successful collaboration will produce high level of trust, strong sense of cooperation and effective communication during the ongoing collaboration process in the SGC programme.

### **Facilitative leadership**

During the implementation of the SGC programme, a good leadership style has been developed to optimize the coordination from top to bottom level. As leadership is a crucial ingredient to collaboration, the government of Surabaya built three tiers of leadership level. At the upper level, the leadership was being taken over by the Urban Planning and Development Authority (*BAPPEKO*) where the institution coordinated and invited the non-state actors to collaborate during the process of SGC. At the medium level, Municipal Service of Public Green Space and Cleanliness (*DKRTH*) acted as bridging agent to convey the government policy to the community. This task was carried out by environmental motivators and environmental facilitators and cadres from *DKRTH*. At the community level, the role of leadership was performed by the chief of *RW* (community unit) and *RT* (neighbourhood unit) to mobilize the local inhabitants to cooperate in the kampung upgrading. The leadership in SGC programme enables, empowers and involves different actors and lead them to steer the collaboration forward, as stated by Vangen and Huxham (2003). The multiple tiers of facilitative leadership in SGC programme made an effective coordination from the upper to community level, as claimed by Lasker & Weiss (2003), multiple leader is sometimes more effective during the process of collaboration.

Another influential factor that drives the SGC successful is the unique role of the city mayor, Mrs. Tri Rismaharini. Mayor Risma was the first elected female mayor in Indonesia and was well-known with her pro-poor and pro-environment approach. This allowed her policy to be generally well-accepted by the community (Das & King, 2019). Mayor Risma as female figure, along with her friendly gesture made her close with the Surabaya citizen, especially the group of women (*emak-emak*). The continuous efforts from the city mayor to encourage the woman to participate in the city development impacted positively as *emak-emak* also played important role in the implementation of SGC programme.

### **Active citizen participation**

The community played an important role in the history of kampung upgrading in Surabaya since a long ago. The previous Kampung Improvement Programme or KIP showed the necessity of community participation to steer the positive outcome of the programme. In SGC programme, the form of collaboration is not so much different, where the community became the center of development. In SGC, community performed the upgrading effort based on local-self regulation where community possess the greatest role in decision making. (Dianingrum *et al*, 2017). Community participation in the SGC programme manifests in various forms, such as funding, manpower, time and also decision making. It is believed that the participative planning could succeed in the SGC programme due to the unique characteristics of Surabaya citizen that are remarkably known as harmonious, egalitarian and collaborative community (Das & King, 2019). Other significant factor regarding the community participation is the role of women or *emak-emak*. Through *PKK* (Family Welfare Empowerment) programme, the role of women is recognizably as influential due to the active socialization that they carry out regarding to environmental management in kampung. As Margerum (2002) argued, the active participation of inhabitants in SGC programme reflects the strong member commitment to make transformative change towards the improvement of the livelihood in kampung.

### **The involvement of media**

All of the stakeholders in SGC programme acknowledged the powerful role of the media and publication. At the beginning, the cleanliness competition in Surabaya only attracted low attention from the citizen, until finally the media came in to collaborate. Media was perceived as a powerful tool to transform the community behavior towards better change. During the SGC programme, Jawa Pos as one of influential newspaper publisher in Surabaya evoked the community awareness towards cleanliness and healthy lifestyle by continuously publishing the positive images of green kampung in Surabaya. The roles of media and publication were seen as inseparable successful key in the implementation of SGC programme in Surabaya. Media was not only supposed to act as news announcer. Beyond that, media should also act as provocateur to raise the community awareness on environmental management.

### **Commitment to process among stakeholders**

Majority of the interviewees agreed that the collaboration of the *pentahelix* group had brought positive impacts to the outcome of SGC programme. All the stakeholders had their own role and they performed it very well in the execution. Government provided strong support and political will, private sector contributed in publication and funding, academics and community organization both shared the technical expertise to help the community and last but not least, the kampung inhabitants had the high level of participation as the trust was already built among the stakeholders. Kampung inhabitants contributed in terms of money, energy and time in the green kampung upgrading. The trust and commitment among the actors resulted positively to the outcome of Surabaya Green and Clean programme. As all the actors showed positive gestures of commitment, this process leads to successful collaboration among the stakeholders (Margerum, 2002).

## **7.2.2 Barriers for successful collaboration**

### **Absence of leadership**

The finding showed that green upgrading effort in a kampung was less successful due to the absence of the leader. The condition where there is no leader or initiator resulted in stagnancy since there is no influential figure to mobilize the resource effectively. A leader is needed to steer the collaboration process, mobilize the resource available and encourage actors to participate. Contrarily, the absence of leadership results in barriers for success during the collaborative process. The lack of leadership is likely to hinder the positive outcome of collaboration (Ansell & Gash, 2008).

### **The lack of follow-up assistance**

Critiques for Surabaya Green and Clean programme were expressed by the community. They feel neglected by the government after the SGC competition ended. The community expressed disappointment as there was no follow-up assistance after the competition finished. The community worried that absence of government assistance resulted in the stagnancy for the upgrading effort in their kampung after the competition. Therefore, the lack of follow-up assistance in SGC programme potentially impair the trust building and the commitment to process by the community after SGC competition ended. The lack of trust building and commitment to process from community could be a barrier of success for further collaboration with the other government programme.

## **7.3 Sub-research question 3**

*How do different actors perceive the influence of collaboration among the actors on the outcome of green kampung development in Surabaya?*

All of the interviewees were in favor that the collaborative process in Surabaya Green and Clean programme had brought positive impacts of the programme. Collaboration among wide range of stakeholders (government, academics, private sectors, community organizations and inhabitants) had resulted in positive achievements for the city of Surabaya, such as; behavioral transformation, physical kampung upgrading and also the appreciation from numerous awards either in national or international level. The old conventional top-down approach now has been replaced by more flexible system allowing more stakeholders involved in the decision making (Ansell &



Gash, 2008; Wegener, 2012). This approach was also applied in SGC programme too. By bringing multiple actors (rather than government-centered) to share the resource and expertise among the actors had increased the chance of the programme to be successful (Ansell & Gash, 2008).

However, although the outcome of SGC programme was perceived as successful, the community had different perceptions about. It is true that the SGC programme had achieved positive achievements. The community also acknowledged this claim. But they argued that something more had to be done. The community expressed disappointment after the competition was finished. After since, the community felt that the government assistance was greatly reduced for them after the competition. They felt to be neglected by the government after the programme finished. The absence of follow-up programme was worried to result in a stagnancy or even a decline after the competition. Even though the community agreed that the environmental upgrading in the kampung achieved successful outcome, the community still demanded the government assistance even after the competition ended. They expected the government to help them again, particularly in developing the economic aspect. As the environmental issues had been solved in their kampung, the community demanded that the next task was economic upgrading. They expected that there should be a measure to somehow link the environmental upgrading and the economic upgrading in the kampung. The kampung inhabitants expected that there should be follow-up programme such as technical assistance in developing *UMKM* or small-medium enterprises in kampung or developing the community-based tourism in kampung. The kampung inhabitants were willing to develop the economic aspect in the kampung, and in order to do so, they felt that they needed the assistance and guidance from the government.

## 7.4 Research Limitations

I explored about the collaborative processes in Surabaya Green and Clean programme mostly from the interview results, as public document provided very limited explanation of the collaborative process. A total of 14 interviews were carried out in five different stakeholder groups (government, academics, community organizations, private sector and the community). I used qualitative research approach for this study. Qualitative research is a good approach for viewing differences. The use of semi-structured interviews was able to explore different perceptions among the stakeholders regarding Surabaya Green and Clean programme. The results provided that the perceptions and perspectives towards Surabaya Green and Clean Programme were differed between stakeholders because of various experiences and interests.

The stakeholder group of government, academics, community organizations and private sectors were showing very positive gesture towards the Surabaya Green and Clean programme. Meanwhile, the community expressed dissatisfaction of the programme at some points. There was imbalance composition where most of the interviews expressed positive perceptions for the SGC programme. Therefore, the imbalance composition resulted in not so many community perceptions were captured in this research. For future research, this is a room for improvement. The perceptions from community must be explored further to provide more balanced debate for the Surabaya Green and Clean programme. Perceptions of local community are the best indicators how a programme will sustain for a prolonged period. But they are often neglected by the influential stakeholders, such as government. The study shows that the community perceives that several aspects are necessary to improve, including the follow-up assistance even after the SGC competition ended.

# Chapter VIII

## Conclusion

- 8.1 Main research question
- 8.2 Scientific recommendation
- 8.3 Societal recommendation

This is picture showing the rewarding night in Surabaya Green and Clean Programme. The rewarding night remarks the end of competition in that year. However, as the competition is over, it should be understood that the kampung upgrading effort must keep going on.

Similarly, finally we arrive at the conclusion chapter, the final part of this study. However, it is not necessarily the end of this study, as research always left room for development in future research. This chapter discusses the conclusion of this study as well as scientific and societal recommendation

# Chapter 8

## Conclusion

### 8.1 Main-research question

*“What is the role of collaborative governance in green kampung upgrading in Surabaya?”*

Kampung as indigenous urban settlement of Indonesia was lacking in basic infrastructures such as drainage, road accessibility and sanitation. Therefore, numerous kampung upgrading efforts were executed to improve the physical condition of kampung. Kampung upgrading is an effort to improve the living quality in the kampung for the benefit of kampung inhabitants. Kampung upgrading efforts were implemented by mobilizing the local resources, such as manpower, money and material without necessarily doing displacement or land consolidation.

In the city of Surabaya, recently, a kampung upgrading effort focusing on environmental improvement were implemented through a programme called Surabaya Green and Clean (SGC). A collaborative approach was used in SGC programme, bringing multiple stakeholders to the table of collaboration, such as government, academics, community organizations, private sectors and community. Wide range of stakeholders shared different roles and responsibilities during the implementation of SGC. In general, government shared the role as regulator to provide policy support, private sector shared the role in publication and financial donors, academics and community organizations shared the role to give technical assistance and inhabitants shared the role to mobilize local resources for green kampung upgrading. All of the stakeholder participants agreed that wide range of collaboration between different actors positively influenced the successful outcome of the Surabaya Green and Clean programme.

*Therefore, this research concluded that collaborative governance had significant role to influence the successful outcome of green kampung upgrading in Surabaya.*

Several factors during the collaborative processes had contributed positively for green kampung upgrading in the case of Surabaya, namely;

- Prior history of cooperation from KIP (Kampung Improvement Programme) that strengthened the trust building among community and government in the SGC programme
- Facilitative leadership that included multiple leaders from the upper level to the community level
- Active citizen participation from the people of Surabaya that well-known as a harmonious, egalitarian and collaborative community
- Involvement of media that continuously published the activities in SGC programme
- Collaboration from wide range of stakeholders (pentahelix group) with strong commitment to process

On the other hand, there were also other factors that might impede the successful collaboration for green upgrading programme in Surabaya, namely;

- The absence of leadership during green kampung upgrading that resulted in stagnancy
- The lack of follow-up assistance after the competition that might impair the trust building and commitment to process from the community to government

### 8.2 Scientific recommendation

Scientific recommendation concerns to the research limitation that was discussed in chapter 7.4. As discussed before, there was imbalance of perceptions where most of the interviewees (from government, academics, community organizations, and private sectors) were showing too positive gesture towards the Surabaya Green and Clean Programme. Therefore, a balanced debate on the outcome of SGC programme was unable to be presented as this research only captured few critiques from the perspective of community. The community perspectives were often neglected by influential stakeholders such as government. Meanwhile, perspectives from the community were important to provide evaluation for future improvement of the programme. Accordingly, for future research,

this study suggests to explore the community perceptions towards the SGC programme in broader range. To achieve this goal, a mix method of qualitative and quantitative can be applied to get broader and deeper perspectives from the community. In most cases, the inputs from the community are best indicators whether a programme could sustain or not in the long term. Evaluations from community are invaluable critiques for the government to improve the implementation of the SGC programme.

### 8.3 Societal recommendation

There are two societal recommendations in this sub-chapter; The first is regarding what other cities might learn from driving factors to successful collaboration from the case of Surabaya. The second is societal recommendation for the government of Surabaya concerning the follow-up assistance for the community.

The collaborative approach in Surabaya Green and Clean programme can be used as an inspiration for urban practitioners in other cities in Indonesia to implement the similar neighbourhood upgrading programme. The driving factors during collaborative processes such as prior history of cooperation, facilitative leadership, active citizen participation, involvement of media and strong commitment among stakeholders can be a lesson about what are the ingredients to implement the kind collaborative programme. Even though these ingredients cannot be adapted immediately due to different condition in other city, however, there is still an inspiration that can be drawn from the case study of Surabaya Green and Clean programme. The lesson learned can be applied by other cities by adapting it into the local condition in gradual steps.

Meanwhile, as for the municipality of Surabaya; the community criticized the government of Surabaya due to the lack of follow-up assistance after the programme finished. Therefore, the societal recommendation for the municipality of Surabaya is to strengthen the leadership and mentoring system that has been built before. The system needs to cover the kampung that once had participated in the competition too. Indeed, there will be a huge need of resources to expand the environmental facilitator personnel, but in the long run, this measure could prevent stagnancy in kampung development for the community. This step could also repair the trust and commitment to process from the community and therefore sustain the kampung upgrading effort in prolonged period of time.

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# Annexes

## A. List of Interviewees

No.	Stakeholder Group	Alias	Institutions	Address	Date of Interview	Code
1.	Government	NN	Bappeko (Urban Planning and Development Authority of Surabaya)	Jl. Pacar No.8, Surabaya 60272. Indonesia	7 November 2019	in/01/gov
2.	Government	EE	DKRTH (Municipal Service of Public Green Space and Cleanliness)	Jl. Menur No.31A, Surabaya 60285. Indonesia	8 November 2019	in/02/gov
3.	Academics	HH	Universitas 17 Agustus 1945	Jl. Semolowaru No.45 Surabaya, 60118. Indonesia	12 November 2019	in/03/acd
4.	Government	AA	DKRTH (Municipal Service of Public Green Space and Cleanliness)	Jl. Menur No.31A, Surabaya 60285. Indonesia	12 November 2019	in/04/gov
5.	Community	SS	Chief of RT in Kampung Genteng Candirejo	Kampung Genteng Candirejo, Surabaya 60275. Indonesia	25 November 2019	in/05/com
6.	Community	SB	Chief of RW in Kampung Maspati	Kampung Maspati, Surabaya 60174. Indonesia	26 November 2019	in/06/com
7.	Community	LL	Local Actors for PKK in Kampung Petukangan	Kampung Petukangan, Surabaya 60151. Indonesia	26 November 2019	in/07/com
8.	Government	MM	DLH (Municipal Service of Public Green Space and Cleanliness)	Jl. Jimerto 25-27, Surabaya 60272. Indonesia	26 November 2019	in/08/gov
9.	Private Sector	OO and AG	Jawa Pos Media Group	Gedung Graha Pena Lt. 4, Jalan A. Yani 88, Surabaya, 60231, Indonesia.	28 November 2019	in/09/prv
10.	Community Organizations	WW and HN	Komunitas Nol Sampah	Jl. Menur No.31A, Surabaya 60285. Indonesia	5 December 2019	in/10/cgp
11.	Community	NS	Chief of RW Kampung Penampungan	Blok A.B.C.D, Semarang St, Surabaya 60174. Indonesia	15 December 2019	in/11/com
12.	Community Organizations	ST	Komunitas Dapur Teknokrat	Jl. Margorejo Indah No. 97-99, Surabaya 60237. Indonesia	16 December 2019	in/12/cgp
13.	Academics	JH	Institut Teknologi Sepuluh Nopember	Lab. Permukiman, Departemen Arsitektur, Kampus ITS Surabaya 60117. Indonesia	18 Desember 2019	in/13/acd
14.	Private Sector	EA	PT Pelindo III	Jl. Perak Timur No.610, Surabaya 60165. Indonesia	6 Januari 2020	in/14/prv

*\*Notes:*

gov: government

acd: academics

prv: private sectors

cgp: community organizations

com: community

Interview Codes: in/01/gov

**in** indicates the methods of interview

**01** indicates the interview ID, based on the sequence of interview

**gov** indicates the stakeholder group

## B. List of Document Study

No.	Documents	Authors	Codes
1.	Rencana Tata Ruang Wilayah Kota Surabaya Tahun 2014-2034 (Surabaya City Region Plan For 2014-2034)	Government of Surabaya	doc/01/rt
2.	Rencana Pembangunan Jangka Menengah Daerah Kota Surabaya Tahun 2016 – 2021 (Medium Term Development Plan Surabaya City In 2016 – 2021)	Government of Surabaya	doc/02/rp
3.	Surabaya Kampung Responding To The 21 Century: Planning And Revitalization Of Surabaya Kampung	Johan Silas, Wahyu Setyawan, Rita Ernawati & Mahesti Okitasari	doc/03/ks
4.	Buku Profil DKRTH 2018 (Profile Book of Municipal Service of Public Green Space and Cleanliness)	Municipal Service of Public Green Space and Cleanliness	doc/04/pb
5.	Paparan Pengelolaan Surabaya Green City 2019 (Surabaya Green City Management Exposure 2019)	Urban Planning and Development Authority of Surabaya	doc/05/sg
6.	Paparan Pengelolaan Kebersihan dan Ruang Terbuka Hijau di Surabaya (Surabaya Cleanliness and Open Space Management Exposure 2019)	Municipal Service of Public Green Space and Cleanliness	doc/06/sd

Document Codes: doc/01/rt

**doc** indicates document

**01** indicates the document ID, based on the sequence of document

**rt** indicates initials of document

# Interview Protocol (Annex C)

Date : .....  
Name of Interviewee : .....  
Occupation : .....  
Location : .....  
Contact Information : .....

## 1. Introduction

1. Dear ....., I am glad that you found some time to contribute to my thesis research. As you might have informed, I am here to ask you about the role of collaborative governance in the green kampung development in Surabaya. This interview is part of my Land Use Planning Master Thesis at Wageningen University & Research. Here, I am studying the role of collaborative governance in order to see who are the actors involved and their roles, how the collaborative processes are and how the outcomes in the context of green kampung development are. The aim of my research is to unravel the aforementioned aspects in green kampung development to make the process better understandable and less complex for the readers.

2. The result of this interview will be used for analytical purposes in my master thesis only, but not without your approval. The outcome of this thesis will be published online at Wageningen University & Research Library. A management version of the results will be made (if needed) which will be shared among other stakeholders interested. In all of the interview results your name will not be shown, but will be coded as [in/01/abc, in/02/def, etc]. The anonymity in this interview is ensured so you can talk freely.

3. It is no problem at all when you don't know the answer on a question. There is no right or wrong answer in this context. I am just eager to know about your thoughts and experiences in regards to the green kampung development in Surabaya. If you would rather skip a question, we can proceed to the next. Approximately, the interview will take around 45 to 60 minutes.

4. I would like to audio-record the interview to be able to transcribe your answers later. These audio recordings will not be published. It will be used only by myself for the analytical purpose. Therefore, I might write down some notes during the interview but I'll make sure that this will not interfere our interview. Is it alright if I audio-record from this moment with your permission?

*Shall there's no any other question, let's proceed to the interview*

## 2. General Question

1. In brief, could you tell me what are the neighbourhood upgrading efforts that have been done in kampung of Surabaya, including Surabaya Green and Clean?
2. In regards to your occupation, what is your role in Surabaya Green and Clean Programme?
3. In what specific stages of the development process (planning, implementing, maintenance) are you mainly involved?
4. How do you become involved in the Surabaya Green and Clean Programme, and in which project specifically were you involved?
5. What is the aim of the Surabaya Green and Clean?

### **3. Main Part: Collaborative Governance**

#### **3.1 Starting conditions**

- 3.1.1 How is the starting conditions of the Surabaya Green and Clean Programme?
- 3.1.2 Is there any power or knowledge imbalance in the early stage of Surabaya Green and Clean Programme?
- 3.1.3 How is the distribution of resources (e.g. financial, manpower, etc) in the starting conditions?
- 3.1.4 Is there any incentives to participate in Surabaya Green and Clean Programme in the starting conditions?
- 3.1.5 Is there any prehistory of conflict or cooperation among the stakeholders?

#### **3.2 Institutional Design**

- 3.2.1 Who are the important actors in the Surabaya Green and Clean Programme?
- 3.2.2 How are the actors invited in the Surabaya Green and Clean Programme?
- 3.2.3 Who are inviting actors to participate?
- 3.2.4 Do you think the processes in the Surabaya Green and Clean Programme are inclusive?
- 3.2.5 Is the process of collaboration transparent to you?
- 3.2.6 Is it clear to you and other actors about the ground rules and what you could expect from the process?

#### **3.3 Collaborative Process**

- 3.3.1 How is the communication (or coordination) process among different stakeholders?
- 3.3.2 Do you trust other actors, or are there any conflicts among the actors involved?
- 3.3.3 How are the commitment of the actors to make the programme successful?
- 3.3.4 Do the actors achieve consensus about the common goals of the programme or are there any differences in opinion?
- 3.3.5 Related to previous question (if any), are these difference in opinion solved and how?
- 3.3.6 As far as you know, how is the implementation of the programme, is there any meaningful intermediate progress?

#### **3.4 Facilitative Leadership**

- 3.4.1 Who is leading the process in Surabaya Green and Clean Programme?
- 3.4.2 How would you describe the way the leadership processes are managed?
- 3.4.3 Is the leader very dominant during the process, or not?
- 3.4.4 Do the leader influence the outcome of the process much, or not?

#### **3.5 Outcome**

- 3.5.1 In your opinion, the green kampung development through Surabaya Green and Clean Programme, is successful, or not?
- 3.5.2 What elements are more successful and what elements are less successful?
- 3.5.3 Is the outcome (positively or negatively) influenced by the collaboration among the actors in the process, or not?

#### **3.6 Additional Question**

- 3.6.1 Is there anything you like to add to this interview or is there a topic that we did not discuss yet which might be relevant for my research?
- 3.6.2 Can you recommend anyone who I should interview for my research?

### **4. Closing**

Thank you for sharing your knowledge and experiences regarding green kampung development. We are almost arrived at the end of the interview. Again, thank you for your time and the nice talk. I will turn off the audio-recorder now. Shall there any questions or remarks regarding the interview, you can always contact me in the future. Thank you very much and have a nice day!