

Access to Urban Services for Inclusive Development in Asia

Country Monograph: Indonesia



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2018

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Abstract

This study examines the relationships between local democracy and the barriers to political and social inclusion of marginalized communities in two cities, Bandung as an example of metropolitan city, and Surakarta to give the perspective of a middle-sized city. The research questions are (1) what are the barriers to political and social inclusion of the marginalized groups in cities; (2) to what extent and how are the marginalized groups engaged in mechanisms and processes of local democracy; and (3) what are the policy options, innovations and good practices to meet the needs and aspirations of marginalized groups and contribute to the achievement of SDG 11?

Since Indonesia has implemented decentralization reforms, basic service delivery is carried out by local governments. The central government primarily facilitates local government with funding and policies such as slum improvements and financial support for the poor. A central theme in both central government policies and local government programs is the empowerment of marginalized communities of both their mindset and skills to earn their own money.

The respondents in both cities actively participate in local democracy. They often - actively and voluntarily - vote in community-level leadership elections. In both cities, female participation in public affairs is high and women have an equal role to men. Newcomers are also generally considered to fully participate in public affairs. The high level of participation seems limited to local government levels. On the city level, only half of the respondents know about development plans and hardly anyone is aware of city budget discussions.

Most respondents also consider that they have access to basic urban services even though some services are not provided by the government but acquired independently. In addition, households often need to share communal facilities. The respondents generally have high expectations of the services the city should provide; the more important for their life the service is, the higher their expectations.

The community perception of government performance is generally high, except for the aspects of the politicization of public services. A difference between Surakarta and Bandung is that the respondents in Bandung believe the city has high levels of corruption. Generally, the respondents are more satisfied with the service delivery by the different government levels within the city, compared to the provincial and central governments and NGOs. This seems to be related to the higher level of interaction with local institutions and their services that benefit the communities.

Both cities have recently implemented services to improve public participation, accountability, transparency and access to urban services. The main factors that led to these innovations are inclusive leadership, a community approach, allowing citizens to voice their aspirations, and the smart city concept.

Informing marginalized groups about these services could empower them and contribute to the success of SDG 11. This requires extra efforts as many sources of information are online, while the survey results show that the marginalized groups in the two cities hardly use the internet.

Acknowledgement

We would like to take this opportunity to thank few people who have helped us to initiate, conduct and complete the study of “Local Governance and Access to Urban Services: Political and Social Inclusion in Indonesia”. First of all, we would like to thank Dr. G. Shabbir Cheema, Director, Asia Pacific Governance and Democracy Initiative (AGDI), and Senior Fellow, Research Program, at the East-West Center for initiating the project, giving guidance during implementation, and providing feedback on the monograph. We also would like to thank the Swedish International Centre for Local Democracy (ICLD) for providing financial support for the project.

There are several people in Bandung whom we should thank for their time spent to talk to us during the survey, especially our respondents, the community of RW 15, RW 16, RW 19, and RW 20 of Kelurahan Tamansari, Bandung Wetan Subdistrict. We also would like to thank our resource persons: Prof. Haryo Winarso (Institut Teknologi Bandung); Dr. Tristam Pascal Moeliono (Universitas Katolik Parahyangan); Ibu Tami (Bappelitbang Kota Bandung); Ibu Nunun Yanuarti and Ibu Tris (DPKP3 Kota Bandung); Mas Akhmad Gunawan (Praksis); and Kang Rahmat Jabaril (Komunitas Taboo).

We also would like to thank our respondents in Surakarta, the community of RW 1 and 4 (Kelurahan Semanggi), RW 7 and 8 (Kelurahan Mojosongo), and RW 10 and 11 (Kelurahan Sondakan) for their time to talk during the survey. We also thank our resource persons from several stakeholders in Surakarta: Ir. Ahyani (Head of Bappeda); Widdi Srihanto (Head of DP3APM); Dr. Rutiana Dwi Wahyunengseh, Ahmad Romdhon, and Dr. Eng. Kusumaningdyah Nurul (all from Universitas Sebelas Maret Surakarta); Sri Rahayu (SpekHAM); Zakaria (SAPA); and Christian Pratama and Sapto Nugroho (PPRBM Surakarta).

Lastly, we would like to thank participants of the “Regional Workshop on Access to Urban Services for Inclusive Development in Asia” in Yogyakarta, Indonesia for their feedback on draft of the monograph, especially Pamela Mbabazi, Ana Maria Varga Falla, James Manor, Debolina Kundu, Shabbir Cheema, and Bjorn Moller.

January 2018,
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Chapter 1: Introduction

1.1 Background

The urban population in Asia has been growing rapidly over the past 50 years, a trend which is estimated to continue unabated. Over the next decade, two-thirds of the demographic expansion in the world's cities will take place in Asia. By 2020, of the 4.2 billion city dwellers in the world, 2.2 billion will live in Asia. Twelve out of twenty-one mega-cities of the world are already in Asia. The growth of intermediate and small-sized cities is even faster.

Despite its contribution to economic development, urbanization has led to an increasing incidence of urban poverty and inequity, a deteriorating quality of the urban environment, unplanned growth of peri-urban areas and deficiencies in access to basic services, including water supply and sanitation, urban shelter, waste management, energy, transport, and health.

Rapid urban growth has not benefited all residents equally, leading to an “urban divide”. The poor are left to bear most of the burdens and shortcomings particularly in terms of access to services. While the rich live in well-serviced neighborhoods and well-built settlements, the poor are confined to inner city and peri-urban informal settlements. A typical slum household suffers from several deprivations including lack of access to improved water and sanitation, insecure land tenure, unreliable power supply and intermittent water availability, insufficient treatment of wastewater, poor drainage, and flooding, and uncollected garbage.

Urbanization in Asia has not been a homogenous process and it includes myriad forms of social and political exclusion. However, two categories of exclusions are discernible: institutional inequality including housing, land and basic services, and structural inequality including barriers to the participation of women in economic, social and political activities and inadequate opportunities for migrant, youth and elderly to lead a decent lifestyle. It is widely recognized that different forms of exclusion and barriers to political and social equity need to be addressed to ensure full participation of the marginalized communities including women, youth, migrants and ethnic minorities in the processes of local democracy in cities and towns.

An integrated system of democratic urban governance is essential to cope effectively with urban challenges including social and political exclusion, especially to achieve Sustainable Development Goal (SDG) 11 to make cities and towns inclusive, safe, resilient and sustainable. Promoting political and social inclusion requires the full engagement of marginalized communities including women, youth, migrants and ethnic minorities in the structures and processes of local democracy. This can be accomplished through inclusive urban policies and programs that fill gaps between urban planning and urban realities.

These policies must also accommodate marginalized groups in urban governance by promoting greater community participation in urban decision-making and holistic management of city regions that is integrated across jurisdictions and sectors.

1.2 Study Objectives

The study on political and social inclusion and local democracy in Indonesia attempts to examine the relationships between local democracy and different forms of barriers to political and social inclusion of marginalized urban communities, particularly women, youth, migrants, and ethnic minorities.

1.3 Main Questions

The study is built upon three main research questions:

- (1) What are the barriers (structural and institutional) to the political and social inclusion of the marginalized groups including women, youth, migrants, and ethnic minorities in Indonesian cities?
- (2) To what extent and how are the marginalized groups fully engaged in mechanisms and processes of local democracy – including local elections, community organization and participation, accountability and transparency of urban local governments, and better access to basic urban services – to cope with these barriers?
- (3) What are the policy options, innovations, and good practices to meet the needs and aspirations of marginalized groups and contribute to the achievement of SDG 11?

1.4 Methodology

The methodology involves:

- (1) An institutional analysis approach including review of by-laws, policy documents, and published and unpublished materials;
- (2) Interviews with key informants;
- (3) A survey of a selected slum settlements to assess the access to basic urban services and the barriers to political and social inclusion of the marginalized groups; and
- (4) A case study approach.

Two cities (Bandung and Surakarta) have been selected to represent Indonesia in this study. Bandung is one of Indonesia's metropolitan cities with a population of almost 3 million. Bandung is the provincial capital of West Java. Surakarta (also known as Solo) is a medium size city with a population around 0.5 million, located in Central Java. The map below shows the location of both cities on the Island of Java.

The study area in Bandung consists of four community units (*RW*) in Tamansari Urban Village (*kelurahan*). Tamansari Urban Village was selected as a sample of slum areas in Bandung based on following considerations:

- It has a strategic function in terms of environmental carrying capacity;
- It is in the heavy slum categories with a dense settlement typology around the river and has major problems in terms of physical shelter, sanitation, drainage, neighborhood roads, population density, and building density, based on a slum profile by the Directorate General of Human Settlements of the Ministry of Public Works, 2013); and
- It is included in the overview of residential neighborhoods and slums in Bandung (Bandung Mayor's Decree No. 648/Kep.286-Distarcip/2015).

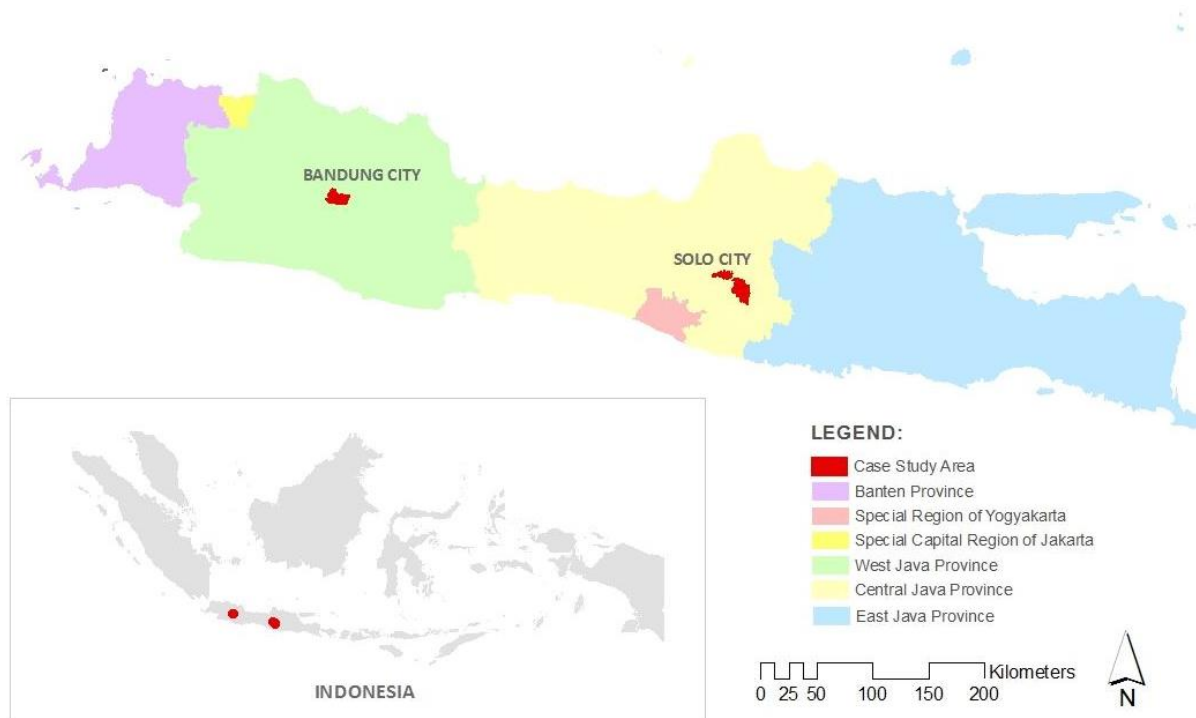


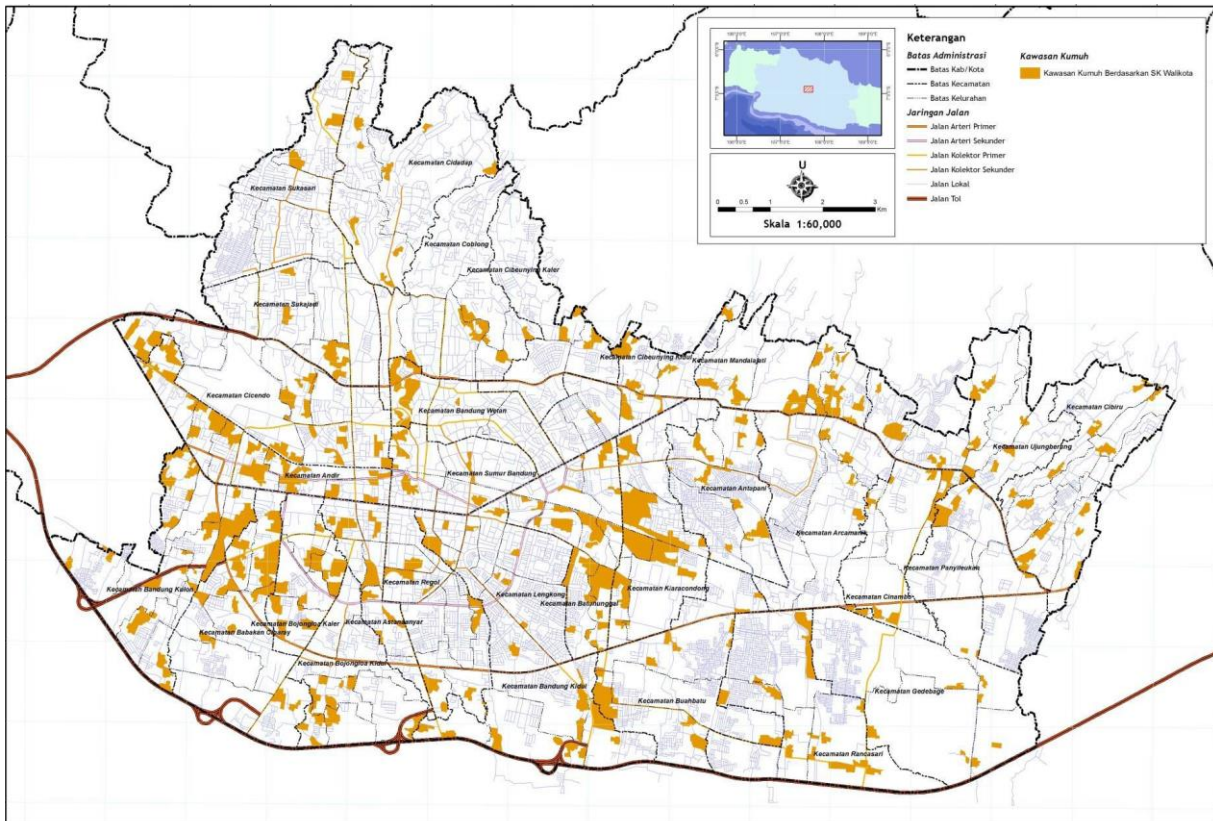
Figure 1-1: Study Locations on the Island of Java

The study focused on four community units (RW 15, RW 16, RW 19 and RW 20) because various documents consider these community units to be slum locations within Tamansari Urban Village. This implies that the slum conditions in these community units are serious.

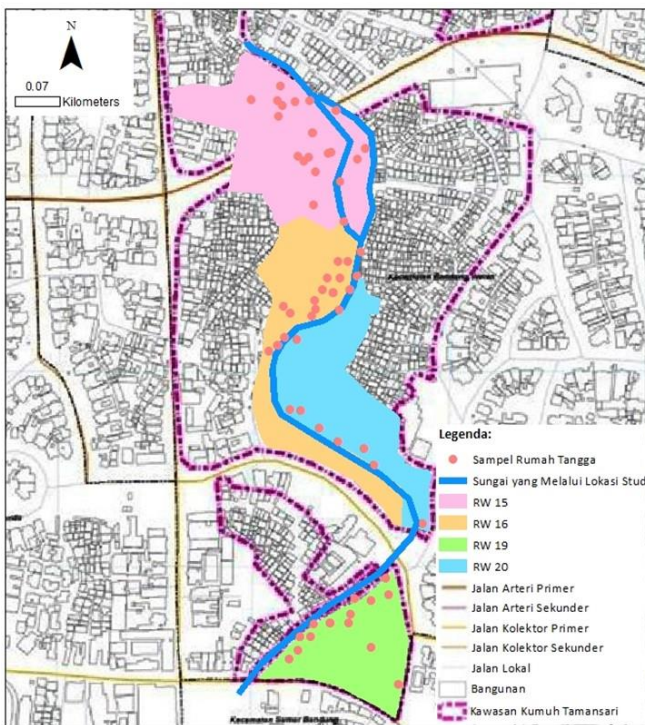
The total population of Tamansari Urban Village is 26,302 and at least 4,321 inhabitants (16.42%) or 891 households live in areas categorized as slums in RW 15, RW 16, RW 19 and RW 20. In reality, the number of residents of Tamansari Urban Village living in slum areas exceeds this figure but until now new data

only covered these four RWs. The sample size is 60 respondents. One respondent is assumed to represent one household. The proportion of respondents in each community unit is distributed according to the size of each slum area. The sample proportions for each RW are as follows

- 20 respondents in RW 15;
- 19 respondents in RW 16;
- 14 respondents in RW 19; and
- 7 respondents in RW 20.



Above
 Figure 1-2: Slum Areas in Bandung City Based on Mayor's Decree in 2015



Left
 Figure 1-3: Slum Area of Tamansari Urban Village and Sample Locations
 Source: Directorate General of Human Settlements, 2015; Data Processing, 2017

The study area in Surakarta consists of six community units in three urban villages. These community units are considered ‘pockets of poverty’ and are selected based on two criteria, i.e., slum conditions and a

high percentage of poor households. The data on slum areas is obtained from the Urban Slum Area Plan (RKP-KP) 2016, while the baseline of poverty data comes from the Updated Integrated Database (PBDT) 2015. The overlay of these two criteria resulted in various study area options, as outlined in table 1.1. The sample size in Surakarta was also 60 respondents, which represent 60 households. There are 3755 households who live in the six community units in total.

Table 1.1: Study Areas in Surakarta

No	Sub-district	Urban Village	Community Unit	Slum Category
1	Pasar Kliwon	Semanggi	RW 01, RW 04	Heavy
2	Jebres	Mojosongo	RW 07, RW 08	Medium
3	Laweyan	Sondakan	RW 10, RW 11	Medium

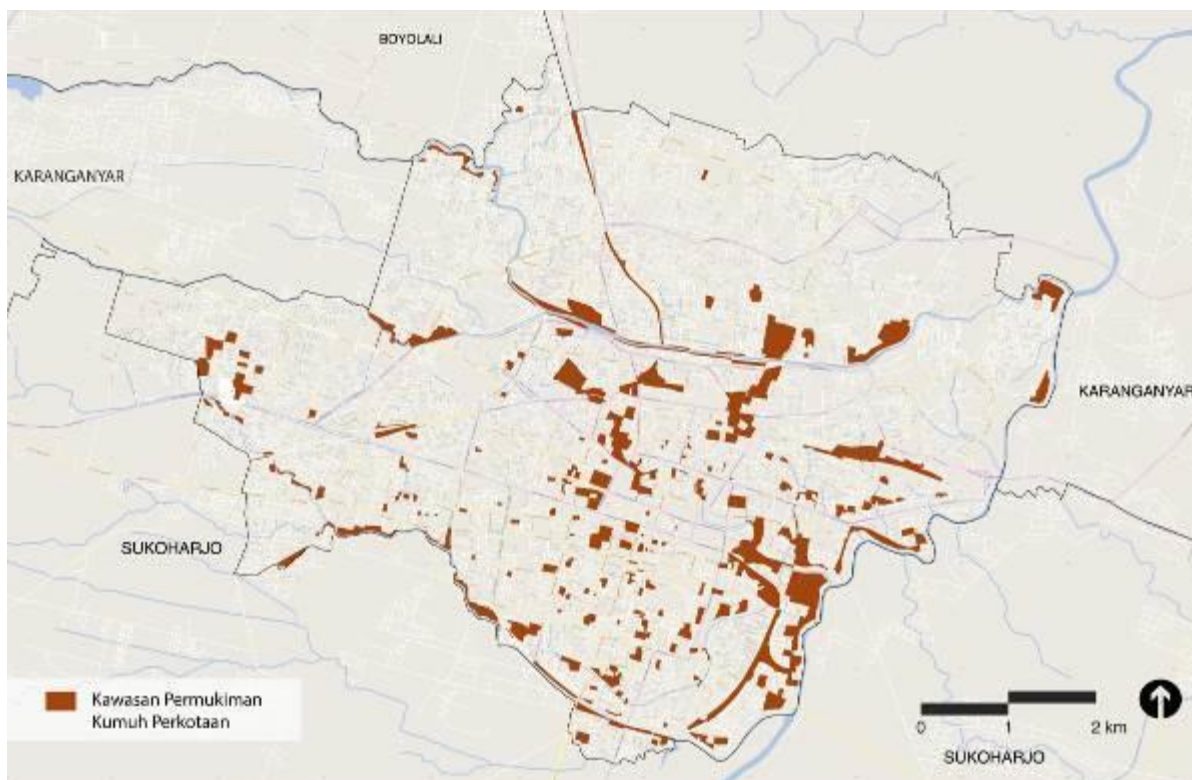


Figure 1-4: Slum Areas in Surakarta

1.5 Data Sources

The key informants can be categorized into three groups:

1. Government
 - Planning, Research, and Development Board Bandung;
 - Housing, Settlements, Land and Parks Office Bandung;

- Development Planning Agency Surakarta; and
 - Women, Children, and Community Empowerment Office Surakarta.
2. Academics
- Teaching staff of the School of Architecture, Planning and Policy Development, Bandung Institute of Technology;
 - Teaching staff at the Faculty of Law, Parahyangan University, Bandung; and
 - Teaching staff of Sebelas Maret University (UNS), Surakarta.
3. NGO
- LSM Praksis;
 - Komunitas Taboo: Kampung Kreatif;
 - SpekHam;
 - Jerami, Sapa, TKPKD Surakarta; and
 - PPRBM Surakarta.

1.6 Outline of the monograph

The monograph consists of seven chapters. The chapters following this introduction concern the following topics.

- Chapter 2 provides an overview of the national Indonesian context. It describes various policies for decentralization and gives an overview of Indonesia's national policies and programs related to slum improvement. It also provides a description of the relevant agencies and institutions on the national level.
- Chapter 3 focuses on the context of the cities of Bandung and Surakarta, which are the cases that this study explores on the local level. The chapter provides a city profile, the slum conditions in the cities and the local programs and policies on slum improvement and the inclusion and empowerment of marginalized groups.
- Chapter 4 presents the household survey data based on the surveys in selected slum settlements in Bandung and Surakarta based on the socio-economic information of the surveyed households; community organization and participation; vulnerability assessment; the scale of deficits in the access of the marginalized groups to urban services; and the level of overall satisfaction.
- Chapter 5 gives a brief description of innovations and good practices related to participation, accountability, transparency, and access.

- Chapter 6 identifies the factors that led to these innovations and good practices. The chapter further gives an overview of the structural and institutional barriers to full engagement of marginalized groups in processes and mechanisms of local democracy.
- Chapter 7 provides the main findings and conclusions of the study.

Chapter 2: National Context

2.1 Indonesian Urbanization

Indonesia is a large archipelago located in South East Asia consisting of more than 17,000 islands. According to the United Nations, the country had a population of 260 million in 2016 with an annual population growth rate of 1.3 percent between 2010 and 2015 (United Nations, 2018). Indonesia has the fourth largest population in the world. The country experiences an annual urbanization of 4.1% which is the highest rate in Asia. In 2015 urban population in Indonesia is predicted around 54% of total population. By 2025, 68 percent of Indonesia's residents are projected to live in cities (World Bank, 2016b).

In addition to increasing urban population, the number of cities has also grown significantly in the past three decades. In 1990 there were only 47 cities in all sizes all over the country, it has doubled to become 93 in 2010. There were only 6 large cities (over 1 million population) in 1990, it became 11 in 2010. And there were only 5 medium cities (between a half and 1 million population in 1990, and it became 15 in 2010. Lastly, there were only 34 small cities (between 100 to 500 thousands population) in 1990, it became 57 in 2010. It suggests that growth of cities occurs not only on big metropolitan cities, but even more on medium and small cities. It is believed that this trend is triggered by decentralization policy which took place in 1999 as will be described below.

2.2 Government decentralization policy

Since the fall of the New Order regime of Suharto in 1998, Indonesia has implemented many decentralization policies that enable local governments to prepare programs and policies that are better adjusted to the local situation. The Indonesian decentralization policies and regulations include Law No. 22/1999 on Regional Government and Law No. 25 /1999 on Revenue Sharing between the Central Government and the Regional Governments, which were replaced by Law 32/2004 on Regional Administration and Law 33/2004 on Revenue Sharing between the Central Government and the Regional Governments. Then the law was amended by Law No. 23 of 2014 on Regional Government.

This new decentralization initiative has three main features (Matsui, 2003), i.e.: a) greater weight to decentralization than de-concentration¹; b) the line of responsibility turned horizontal, from vertical; and c) clear provisions for the allocation of funds from the central to local governments. The objectives of this policy are to improve public service delivery; to increase community participation; to have accountable local governments; and to improve public welfare. When Law No. 22/1999 was replaced by Law No. 32/2004, the objective of decentralization was altered as to have local governments that strive for increasing welfare, public services, and local competitiveness.

According to Law No. 32/2004, Indonesia is divided into provincial regions, district regions, and municipal regions, all of which have its own government and administer own businesses under the autonomy (devolution) and support assignment (co-administration) principles². Under this law, except for the “federal four” (foreign affairs; defense and security; judiciary; and monetary and fiscal) and religious affairs, the central government administrative authorities are all transferred to provinces, districts, and municipalities.

The law specifies that affairs of alleviating social issues are the authority of province and district/municipality (Article 13 and 14). At the same time, regions have the obligation to improve people’s quality of life, to create justice and equality, to improve educational service, to provide health service, social service, and public utilities, and to develop a social security system (Article 22). Consequently, regional expenditure is prioritized to protect and improve the people’s quality of life, which means the fulfillment of all obligations stated in Article 22 (Article 167).

In terms of political decentralization, the law stipulates that the head and vice head of the regions (province, district, and municipality) are directly elected by residents of the region every 5 years, similar to the President and Vice President. Besides a bundle of obligations that the head and vice head of region must perform, the head of region has an annual obligation to submit an accountability report to the central government and to the regional legislative council, as well as to inform the public of this report. The report is used to evaluate the performance of the head of region. In this way, the accountability of the head of region goes vertically to the president (through the Ministry of Home Affairs) and horizontally to regional legislators as elements of the regional administration and to the public as constituents.

¹ Decentralization refers to the delegation of government authority by central government to the region to regulate and take care of government affairs; de-concentration refers to the delegation of government authority by central government to the Governor (head of province) as representative of central government.

² Stipulated in the 2nd Amendment of 1945 Constitution and reiterated in Article 2 of Law No. 32/2004. Support assignment is when central government makes regional governments to undertake a particular function.

To ensure that the new decentralization initiative will work and implemented, accompanying law was enacted that regulate the fiscal system that will support regions to carry on the decentralization. The Law No. 33/2004 applies the “money follows function” principle with regard to financing the affairs. Affairs that are devolved to local government are accompanied by financial resources and transfers of infrastructure and personnel. While affairs that are de-concentrated to the governor (provincial government) are accompanied by the corresponding financing. The law regulates the revenue sharing between central government and regional governments, based on the authority, tasks and responsibilities shared.

Sources of revenues for local government are local taxes (called Regionally Generated Income, or *Pendapatan Asli Daerah*) and transfer from central government based on the share of property tax, income tax, and natural resources (called Balancing Fund, consists of Revenue Sharing Fund, General Allocation Fund, and Special Allocation Fund), where almost all regions depend on. With these funds, local governments make up their budgets. When there is a gap between fiscal need and capacity, the General Allocation Fund (GAF) or *Dana Alokasi Umum* is used to cover the gap. GAF constitutes the largest portion of central government’s transfer, triple the Revenue Sharing Fund (RSF) in 2004 (Department of Finance, 2004).

Law No. 33/2004 also mentions in its explanation to Article 28 that the “fiscal need” refers to financing requirements in providing basic public services, which are health and education services, infrastructure, and poverty alleviation programs. If this article is read in conjunction with Article 167 of Law No. 32/2004 mentioned above, then the provision of basic services that include health, education, infrastructure, and poverty alleviation should be prioritized in the local government’s expenditure. The implementing regulation of this law, such as Government Regulation No. 58/2005 on Management of Regional Finance stipulates that regional budgets should prioritize the protection and improvement of people’s quality of life, as a regional obligation. This obligation must be fulfilled by improving basic services, education, health service, public and social services, and developing a social security system.

Another implementing regulation, Government Regulation No. 38/2007 on Division of Affairs between Governments, sets a clear division of responsibility for the central, provincial and local government. For example, for education affairs, the central government is responsible for setting national policy, guidelines, standards, and criteria for running education at all levels and is also responsible for the management of higher education. Meanwhile, the local government is responsible for setting the operational plan, policy, and the management of pre-school, basic, secondary, and non-formal education. In the meantime, the provincial government is responsible for setting the strategic plan and the coordination of pre-school, basic, secondary, and non-formal education administration across districts/cities, as well as monitoring

how the curriculum and infrastructure for secondary education have been used. This indicates that each level of government has its share to ensure certain basic service is provided to the public according to its minimum service standard in order to meet the objective of decentralization.

The position of decentralization policy with regard to social and political inclusion was not that explicit in the aforementioned laws. However, we can draw some information from a policy paper by, then the Minister of Home Affairs in October 2001 (Sudirdja, 2001) regarding poverty reduction as one of the social issues that need to be addressed by local governments. The first part of the paper assesses the status of decentralization implementation, while the second part discusses the position on decentralization and poverty. In the assessment part, it is mentioned that the decentralization has included the designing of a poverty reduction policy as one of the authorities being devolved and that regional governments have the discretion in deciding allocations for poverty reduction in their budgets. Therefore, the role of regional governments in developing own policies and approaches is admitted. However, the paper noted some issues regarding the implementation of decentralization, i.e., issues of transfers of responsibilities; issues of developing the minimum service standards; issues of transparency in fiscal decentralization; issues of guidance and supervision; issues of monitoring and evaluation; issues of the national coordination team; and issues of community participation.

Regarding its position towards decentralization and poverty reduction, poverty is perceived as not just a problem of low income or low consumption, but also poor health and educational level, voicelessness in the public decision-making process, and other aspects of human development. Learning from the experience of poverty reduction programs implemented in the past, the paper asserts that poverty reduction programs must be placed within the decentralization framework. With that understanding, the intended process of implementing decentralized poverty reduction programs is to encourage regional governments and legislative councils to take important and strategic decisions to deal with poverty and to increase poor community participation in the public decision-making process. The efforts to address poverty then shall concentrate on six agendas: a campaign of “national movement against poverty”; making regional governments the responsible institutions for the program; building the regional governments’ capacity; developing minimum service standards; conducting comprehensive poverty reduction activities; and increasing external assistance to finance the programs.

Some mechanisms to increase transparency and accountability of the programs are introduced in this paper, which show how advanced the concept of the Ministry of Home Affairs was about this matter. Clear and transparent funding mechanisms, a localization and bottom-up approach to the problem, and the use of independent parties in monitoring and evaluation are mechanisms that any program needs, not just regarding poverty reduction. Some of these ideas are adopted by Law No. 33 of 2004, but some of

them are not, especially the idea of earmarking the Special Allocation Fund for poverty reduction program in the local governments' budget.

One policy that was formulated following a recommendation by the Ministry of Home Affairs' policy paper is the National Strategy for Poverty Alleviation (NSPA). The objectives of NSPA are to keep up the commitment in handling poverty, to build a mutual consent to implement poverty alleviation using a rights-based approach, to uphold the commitment to achieve the millennium development goals that include poverty reduction and to move forward state's policy mainstreaming in poverty alleviation. Poverty is seen as a multidimensional issue, not just an economic deficiency, but also the deficiency in fulfilling basic rights and discrimination against individuals or groups in living a decent life (Indrawati, 2005). The recognition that the poor are entitled to the basic rights that other people have is the spirit of the NSPA.

In this policy, poverty is seen as the condition where individuals or groups of people are dissatisfied with their basic rights to live and develop respectable lives. Poverty alleviation will be done through some efforts that guarantee the honor, protection, and contentment of 10 basic rights of the poor (social, cultural, economic, and political), realization of gender equality and justice, and the advancement of developing rural, urban, coastal, underdeveloped areas. NSPA emphasizes state's obligation to fully committed and gradually work on the fulfillment of the poor's basic rights. The strategy is written down in four action plans: macroeconomic management; basic rights contentment; gender equality and justice realization; and regional development advancement.

Action plans in NSPA are implemented with a structured, integrated, systematic, and continuous mechanism, that considers the principles of non-discrimination, gradual implementation, role-sharing, institutional, budgeting, and safeguarding. With regard to institutions, NSPA recommends that the Poverty Alleviation Committee is reinforced to be an independent agency with the authority to formulate policy and implementation, budget, monitoring and evaluation, and a status with direct responsibility to the President. With regard to budgeting, NSPA has been very normative with two propositions: reorientation of state budget by increasing the proportion of Special Allocation Fund (*Dana Alokasi Khusus*) transferred to the regions to finance the basic rights contentment programs and second, mainstreaming of poverty alleviation action plans in order to increase the effectiveness and efficiency of ministries or state agencies.

With regard to decentralization and the role of local governments, NSPA emphasizes the importance of the realization of regional autonomy as part of the fulfillment of basic rights of the poor. With increasing authorities and resources, districts and municipalities are obligatory to provide accessible, affordable and

quality basic services for the poor. The decentralization will also give an ample of space for the public to participate in the decision-making process. NSPA also identifies some challenges in its implementation, namely: weak coordination of central government's policies and programs; dependency of local governments toward financial resources from the center; local government's commitment in the budget allocation towards the fulfillment and protection of basic rights; the absence of minimum service standard for public service provision; and lastly the reformulation of public policy-making process to encourage openness and community participation.

2.3 Programs related to slum alleviation

Indonesia is characterized by high urban population growth (more than 50% population live in urban areas), shortage of land for housing and urbanized land, and the increasing housing and land prices. Therefore, the availability of affordable housing, particularly for low- and middle-income households in urban areas is limited. This has led to rapid expansion of informal or slums settlements.³ Slums settlements according to Law No. 1 of 2001 on Housing and Settlements are defined as “unliveable settlements due to building irregularity, high building density, and quality of buildings and facilities that do not meet the requirements”. The size of areas classified as slums in 2011 was estimated around 59 thousand hectares and projected to reach almost 72 thousand hectares in 2025 (Rolnik, 2013).

The Government of Indonesia used to provide public housing through a state-owned real estate company, Perum Perumnas, but only had limited capacity. Realizing that the state has limited capacity to provide affordable adequate housing for the public, only recently the government decided to enable self-help housing and investing in slums upgrading, based on Law No 1 of 2011 on Housing and Settlement Area. The law regulates two aspects that were not regulated before, i.e. the low-income housing and the slums settlement area. Low-income housing appears in a section of the chapter on housing affairs, while slums settlement area appears in a chapter on prevention and quality improvement of slums housing and settlement.

In this law, provincial and local governments have more tasks and authorities in housing and settlement area affairs than central government. All governments have equal tasks to facilitate housing and settlement provision for the people, especially for the low-income groups, and to allocate funds and/or housing costs to materialize low-income housing. However, provincial and local governments have the authority to coordinate land banking for the development of housing and settlement for low-income groups.

³Ministry of Public Housing Strategic Plan 2010-2014, p. 7; Indonesia, “Country Report”, p. 14.

Moreover, the local government (district or city) has the authority to provide infrastructure to build housing for the low-income groups.

Indonesia has a long history of slum improvement programs. The Kampung Improvement Program (KIP), which started in 1969 in Jakarta, is considered as one of the most important and successful slum upgrading projects in the world. Some of the more recent programs include:

- a. *Program Penanggulangan Kemiskinan Perkotaan (P2KP)* or Urban Poverty Alleviation Project (UPP), between 1999 and 2005. It is a World Bank funded project aimed at alleviating poverty in urban areas, which include activities to improve slum areas in the cities;
- b. The Neighbourhood Upgrading and Shelter Sector Project (NUSSP) that was implemented from 2005 to 2010 in 32 cities by the Ministry of Public Works and focused on both infrastructure and housing (funded by the Asian Development Bank) (ADB, 2012);
- c. *Program Nasional Pemberdayaan Masyarakat Perkotaan* (National Program for Community Empowerment Urban) or PNPM Urban, which is financially and technically supported by the World Bank. It is an expansion of two previously funded projects, i.e., Kecamatan Development Program (KDP) and Urban Poverty Alleviation Project (UPP), to become a nation-wide program using the state budget, implemented between 2007 and 2014; and
- d. *Bantuan Stimulan Perumahan Swadaya (BSPS)* or Support for Self-help Housing Stimulus, focusing on housing rehabilitation, operated by the Ministry of Public Housing.

All these programmes involve the allocation of small grants to communities, the cooperation of central and local Government, the communities themselves and in some cases public-private partnerships.

The current slum-related policies at the national level are implemented in several forms, legal regulations as well as action plans and programs. Policies in the form of legal regulations are implemented through Regulation of the Minister of Public Works and Housing Republic of Indonesia 02/PRT/M/2016 on Increasing the Quality of Slum Housing and Slum Settlements. This regulation provides an overview of the patterns of handling each slum area, seen from the two main indicators: (1) slum classification; and (2) land status. The policy towards slum areas is as follows:

- Restoration or upgrading, which is the reconstruction of slum housing and slums into decent housing and settlements through the improvement of houses, facilities, services and/or public utilities to restore their original functioning;
- Revitalization or urban renewal, which is carried out by demolishing and the overall rearrangement of houses, facilities, services and/or public utilities; and

- Resettlement, which is carried out to create better housing and settlement conditions to protect the safety and security of communities by relocating them to new appropriate resettlement sites.

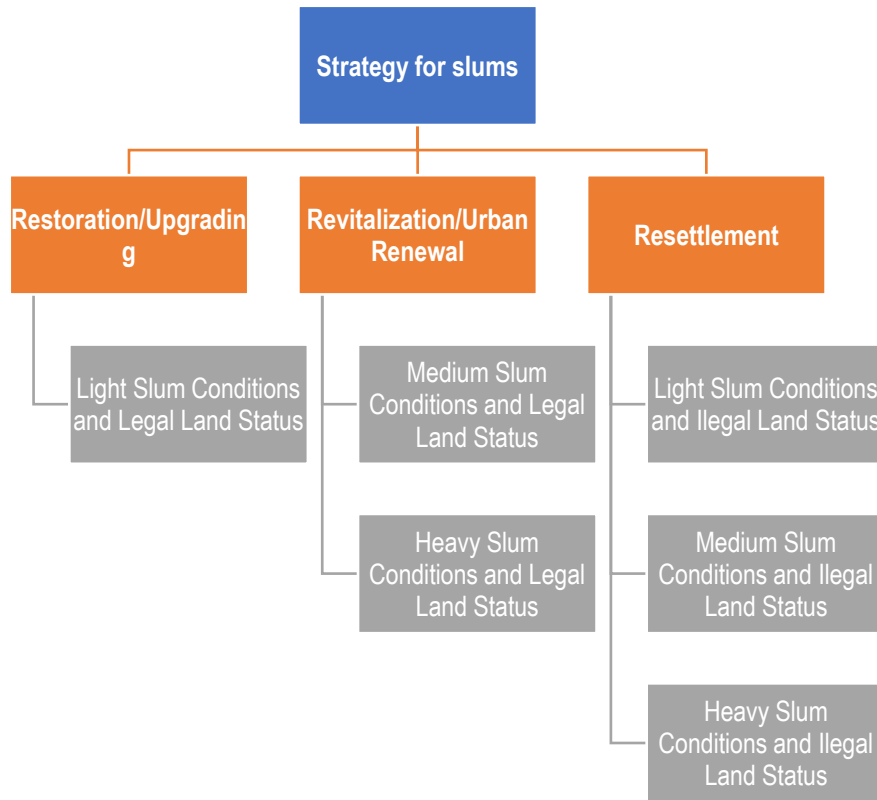


Figure 2-1: Slum Alleviation Strategies

Source: Regulation of the Minister of Public Works and Housing Republic of Indonesia 02/PRT/M/2016

The above policy is implemented by Ministry of Public Works and Housing through **Program Kota Tanpa Kumuh** (Cities without Slums), or KOTAKU as national slum upgrading program since 2015. It is a collaborative platform to improve the lives of the urban poor Indonesian cities. It aims to provide better water sources, sanitation, drainage, roads, and waste collection. It also attempts to build local government's institutional capacity to prevent the creation of new slums (World Bank, 2016). The program is one of the strategies of the Directorate General of Human Settlements of the Ministry of Public Works and Housing to manage slum settlements and to support the 100-0-100- movement, which refers to 100 percent universal access to safe water, 0 percent slum settlements and 100 percent access to safe sanitation. The directorate facilitates local governments and communities to build a collaborative platform by increasing the role of the local government and the communities. To date, the program is

implemented in all 34 provinces, 269 districts/cities, and 11,067 villages nationwide, covering an area of 24,650 hectares,⁴ or around 40% slum areas identified by the government.

The KOTAKU program involves building infrastructure and social and economic assistance for better sustainability of community life in slum settlements. Community organizations in (urban) villages have collected data on the baseline conditions for several slum indicators. After this, planning documents have been drafted based on an integration of community planning documents and those of the regencies/cities. This is done to set priorities to decrease slum settlements and to prevent new slum settlements from forming. The role of community organizations has been updated from an orientation at measures against poverty but is now oriented at measures against slums. The general goal of the program is to increase access to infrastructure and basic services in urban slum settlements in order to achieve urban settlements that are suitable for living, productive and sustainable. This general goal contains two meanings, i.e., (1) increasing community access towards infrastructure and service facilities in urban slum settlements and (2) increasing the welfare of urban communities through the prevention of forming slum settlements and increasing the quality of the slum settlements, community based and with participation of the local government (Directorate General of Human Settlements of the Ministry of Public Works and Housing (n.d.).

The KOTAKU program has only recently come into effect and the end date of the program is 31 December 2021. Therefore, it is too early to see the effectiveness of the program in slum area alleviation and in the number of direct project beneficiaries. The current results of the program can be seen from the project development objective indicators. Good progress has been made for the following indicators: a functional task force for slum alleviation at the national level has been established and the establishment of functional task forces for slum alleviation at the local level has reached 76 percent (target of 90 percent). In addition, 56 percent (target of 90 percent) of local governments have completed Slum Improvement Action Plans (SIAPs) that have been approved by the mayor. Finally, 59 percent of urban villages have community settlement plans (CSPs) that have been consolidated with SIAPs (target of 90 percent) (World Bank, 2017).

2.4 Other Programs

In addition to Program Kota Tanpa Kumuh as discussed above, there are other programs implemented by other ministries that are worth mentioning, such as *Program Keluarga Harapan* (PKH), or Family Hope Program; *Penataan Lingkungan Permukiman Berbasis Komunitas* (PLPBK), or Community-based Settlement

⁴ From the website of KOTAKU Program at <http://kotaku.pu.go.id/aboutdetil.asp?mid=1&catid=5&>

Neighborhood Management; and *Peningkatan Penghidupan Masyarakat berbasis Komunitas* (PPMK), or Community-based Livelihood Improvement.

2.4.1 Family Hope Program

Family Hope Program is a social protection program that involves conditional cash transfers to very poor households that have a pregnant or breastfeeding mother, and/or children aged 0-18. The recipients of the program receive help on the condition that the children go to school, go to a clinic when necessary and the recipients ensure that the children and pregnant mother have adequate nutrition and a healthy lifestyle. The goal of the program is to break the cycle of poverty that many poor families experience because they cannot afford health services and education for their children. In addition, it aims to increase human resource quality and to change the behavior of poor communities that would prevent them from improving their welfare (World Bank, 2015; Ministry of Social Affairs, n.d.).

The Indonesian Minister of Social Affairs, Khofifah Indar Parawansa, claims that the Family Hope Program has reduced poverty and inequality in Indonesia and that under the program, 600.000 families have been lifted from poverty. In 2016, the number of recipients of the Family Hope Program reached 6 million, a number that has increased each year of the program implementation (Purwanto, 2017). For 2018, the government targets 10 million families to benefit from the program (Hermansyah, 2017).

2.4.2 Community-Based Settlement Neighborhood Management (PLPBK) Pilot Project

PLPBK is a project of the Directorate General of Human Settlements. The project involves planning, marketing, participatory planning, community capacity building, and the construction of facilities and infrastructure. The infrastructure that will be built consists of drainage, roads, and open green space. The objective of PLPBK is to improve the quality of life of the poor through structuring a regulated, safe, and healthy environment. In order to achieve this objective, the program has the following strategy (Directorate General of Human Settlements, 2014).

- Encouraging the synergy between local government, the community and interest groups through participatory planning processes with a spatial orientation.
- Improving the institutional capacity of the community and the regional government to be able to independently and sustainably manage the process of improving the quality of the settlements
- Encouraging a change of attitude and behavior of the community through the process of arranging a regular, safe, and healthy environment.

PLPBK consists of the following components:

- Capacity building for city and sub-district governments, the community, and interest groups/other stakeholders. This capacity building includes training, ongoing socialization, and workshops
- The provision of direct community **assistance funding**
- **Technical Assistance**

2.4.3 Community-Based Livelihood Improvement (PPMK)

PPMK focuses on developing livelihoods for the poor who are collected in civil society groups. PPMK is part of the PNPM Mandiri Urban Program and is focused on the independence of the community. PPMK is focused on the strengthening of Civil Society Groups to empower communities. The strategy for institutional strengthening and business development of civil society groups is carried out through the principle of developing the five assets of human livelihoods, i.e., human, social, natural, physical, and financial capital in order to strengthen the entrepreneurial capacity of the poor to be able to optimize their creativity, innovation, and entrepreneurial spirit. The objective of PPMK is to increase the institutional capacity of civil society groups independently and sustainably, aimed at improving the livelihoods of the poor (Directorate General of Human Settlements, 2012).

The activities in the PPMK program are made up of social service activities, the provision of infrastructure and economic service activities. The social service activities for civil society groups include business management training and entrepreneurship training; socialization and marketing activities for civil society groups; vocational and on the job training, and training in using production equipment such as weaving machines. Productive infrastructure services for community livelihood development include the construction of showrooms for local products, local kiosks, traditional markets, auction places and the provision of roads to production centers. Business infrastructure activities include print business, brick molding business, and business workshops. Business settlement activities include waste management, drinking water management, community sanitation, and recycling businesses. Economic service activities for civil society groups are carried out by providing revolving funds for selected groups for the financing of productive economic activities for livelihood improvement of the poor (Directorate General of Human Settlements, 2012).

2.5 National Level Agencies and Institutions

A single program involves many agencies. The involvement of these parties and multiple sectors is arranged with a vertical (central to regional) and a horizontal (between regional agencies or between work units) coordination system. The vertical coordination occurs in national programs (initiated by the central government) to be implemented in the regions. Meanwhile, the horizontal coordination occurs between local work units both in the implementation of national as well as local programs because the

implementation of a complex multi-sector and multi-actor program on the management of slum settlements cannot happen without the cooperation of many parties.

2.5.1 Directorate General of Human Settlements of the Ministry of Public Works and Housing

The task of the Directorate General of Human Settlements is to organize the formulation and implementation of policies in the development of settlements; to support building arrangements; to develop the water supply system, the wastewater management system, and environmental drainage and garbage. The functions of the Directorate of Human Settlements regarding the management of slum settlements include:

1. Policy formulation;
2. Policy implementation;
3. Preparation of norms, standards, procedures, and criteria;
4. Providing technical guidance and supervision; and
5. Evaluation and reporting.

2.5.2 Ministry of Social Affairs

The Ministry of Social Affairs has the task of organizing affairs in the areas of social rehabilitation, social security, social empowerment, social protection, and the handling of the poor to assist the President in organizing state governance and inclusiveness. One of the functions of this ministry that is indirectly related to the management of slum settlements is in the "formulation, determination and implementation of policies in the areas of social rehabilitation, social security, social empowerment, social protection and the handling of the poor".

2.5.3 National Team for Accelerating Poverty Reduction (TNP2K)

TNP2K was established as a cross-sector and cross-stakeholder coordinating body at the central government level headed by the Vice President, which aims to align accelerated poverty reduction activities. Its primary mandate is improving the targets of household-based regional programs and improving program delivery mechanisms.

The main tasks of TN2PK are as follows

- Developing poverty reduction policies and programs;
- Synergizing through the synchronization, harmonization, and integration of poverty alleviation programs in ministries/agencies;
- Supervising and controlling the implementation of poverty reduction programs and activities.

Chapter 3: City Context

This chapter provides an overview of the context of Bandung and Surakarta, the two cities that are used as cases in this study.

3.1 Bandung Context

3.1.1 Bandung City Profile

3.1.1.1 Regional Development

Bandung is the capital of West Java and the core city of the Greater Bandung Metropolitan area, which is one of three metropolitan areas in West Java. Bandung is one of Indonesia's largest cities. The distance between Bandung and Jakarta (the capital of Indonesia) is $\pm 130\text{km}$, which takes about 3-4 hours (if traffic is smooth) using the Purbaleunyi and Jakarta-Cikampek Toll Roads as the main route between Bandung and Jakarta.

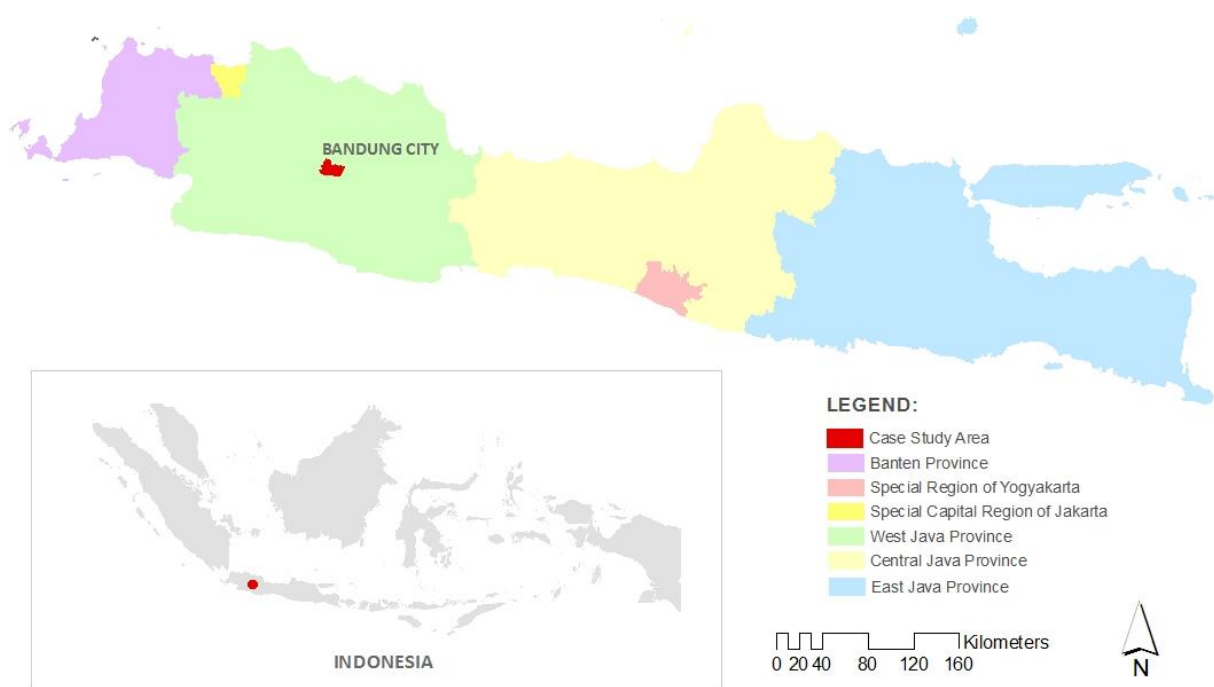


Figure 3-1: Regional Orientation

In the National Spatial Plan, Bandung and its surroundings are designated as a National Activity Center and a National Strategic Activities Center, which means the city has an important role in providing national and international scale services. In this context, Bandung is in line with Jakarta and other big cities such as Surabaya and Medan. Based on this strategic position, the spatial planning policies of Bandung to

support effectively and efficiently the development of the city as a center for trade and services supported by creative industries in the urban area of the Bandung Basin, West Java Province, and nationally.

3.1.1.2 Demographic and Social Conditions

With a total area of 167.31 km² consisting of 30 sub-districts and 151 urban villages, Bandung in 2015 had a population of 2,481,469 inhabitants and a population density of 14,831 inhabitants/km². In the coming years, the population is expected to continue to increase with the same population growth rate as the period 2010-2015 of 0.72%. Bandung has experienced a significant growth in HDI from 2011 to 2015. In 2015, HDI reached 79.67 with a life expectancy component of 73.82 years, a school life expectancy of 13.62 years, average school duration of 10.52 years, and expenditure per capita of Rp. 15,608,850 per year. In the last five years, Bandung's HDI has consistently been higher than the national and provincial HDI.

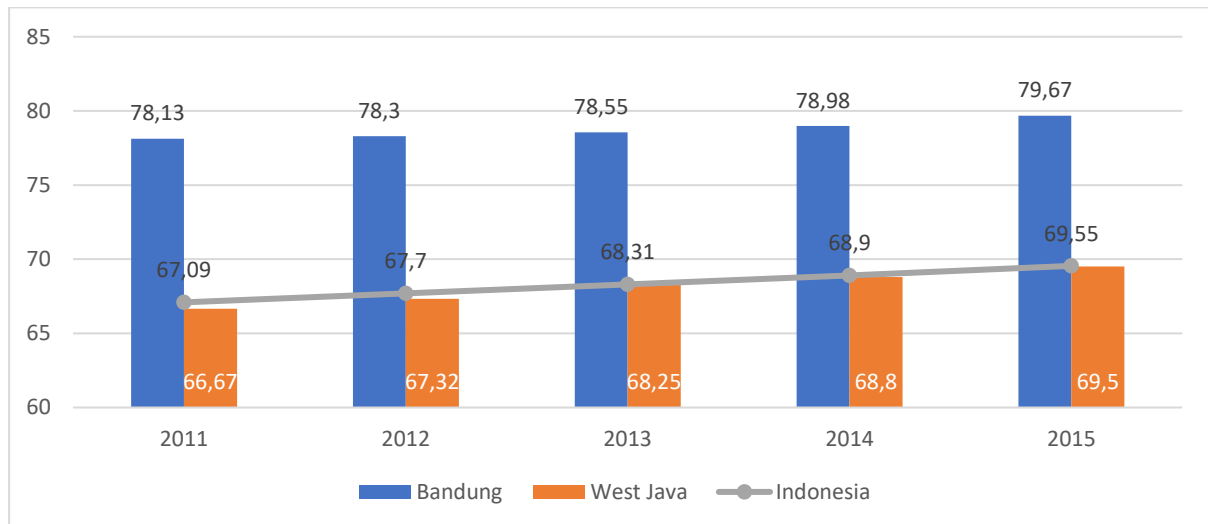


Figure 3-2: Development of the HDI in Bandung 2011-2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

The increase in HDI is accompanied by a decrease in the percentage of poor from 4.95% in 2010 to 4.61% in 2015. The poverty level indicator is the poverty line that continues to increase. In 2015, 114,112 people in Bandung had a monthly income less than Rp. 376.311. The map of poverty distribution in Bandung shows a concentration of poor in West Bandung, especially in the sub-districts of Ciroyom, Kebon Jeruk, Babakan Tarogong, Sukahaji, and Kopo.

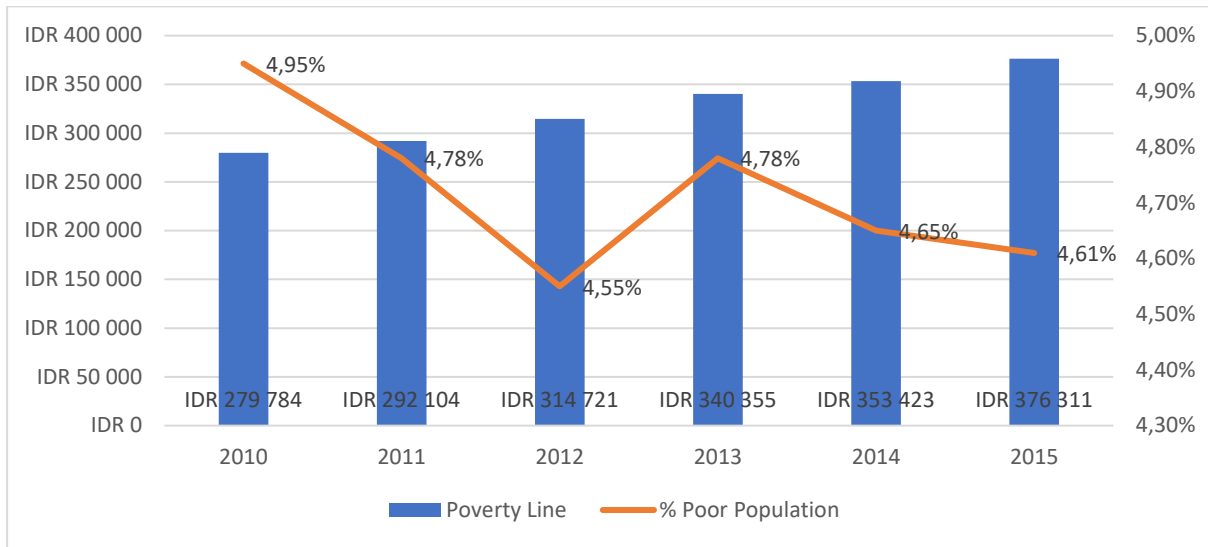


Figure 3-3: Poverty Rate Bandung 2010-2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

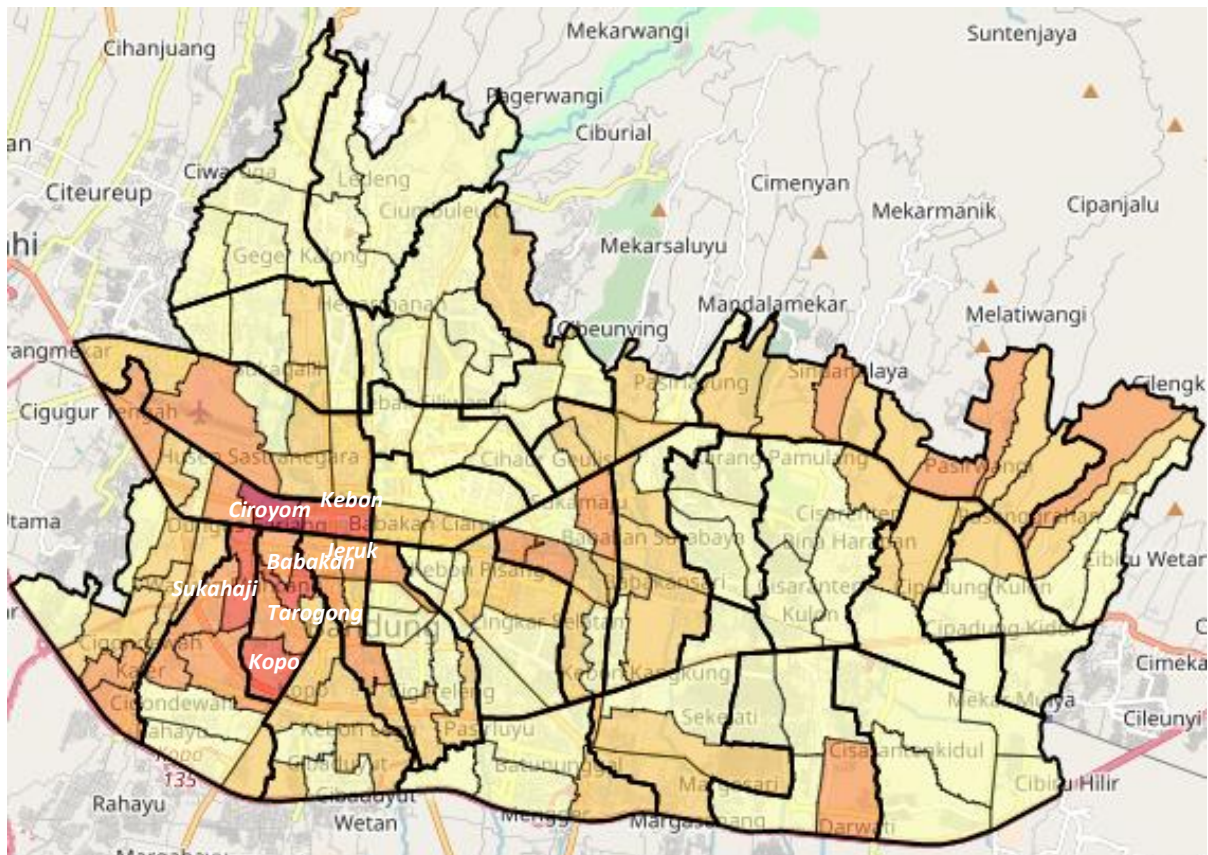


Figure 3-4: Poverty Distribution in Bandung by Sub-District in 2015

Source: Smeru, 2015

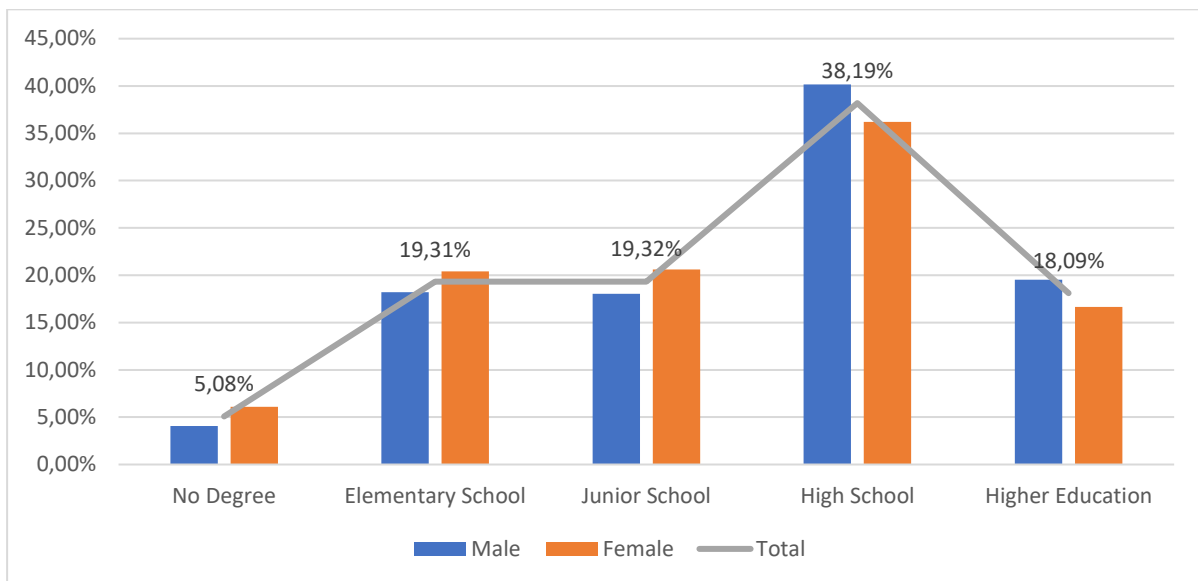


Figure 3-5: Percentage of Population in Bandung Aged >15 Years by Highest Education Degree Achieved in 2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

The school participation in Bandung in the age range of 7-12 years (elementary school) and 13-15 years (junior school) reached >97% in 2015. However, this percentage decreases with age. School participation was 85.68% for the age range 16-18 years (high school) and only 43.23% of the population in the age of 19-24 years (higher education). If viewed from the highest education degree achieved in Bandung for the population aged above 15 years in 2015, 5.08% of the population does not have a diploma (not finishing elementary school). More than 50% of the population over 15 years has at least a high school education with a higher achievement rate for males.

The labor force participation rate in Bandung in 2016 was 62.52%. Meanwhile, the unemployment rate in 2015 was 9.02%. Most of the working population is male (> 65%). This number is made up of 66% who work permanently and have additional income from business/entrepreneurship. Most of the population in Bandung works in the sector and trade service (\pm 60%) followed by the manufacturing sector (\pm 20%).

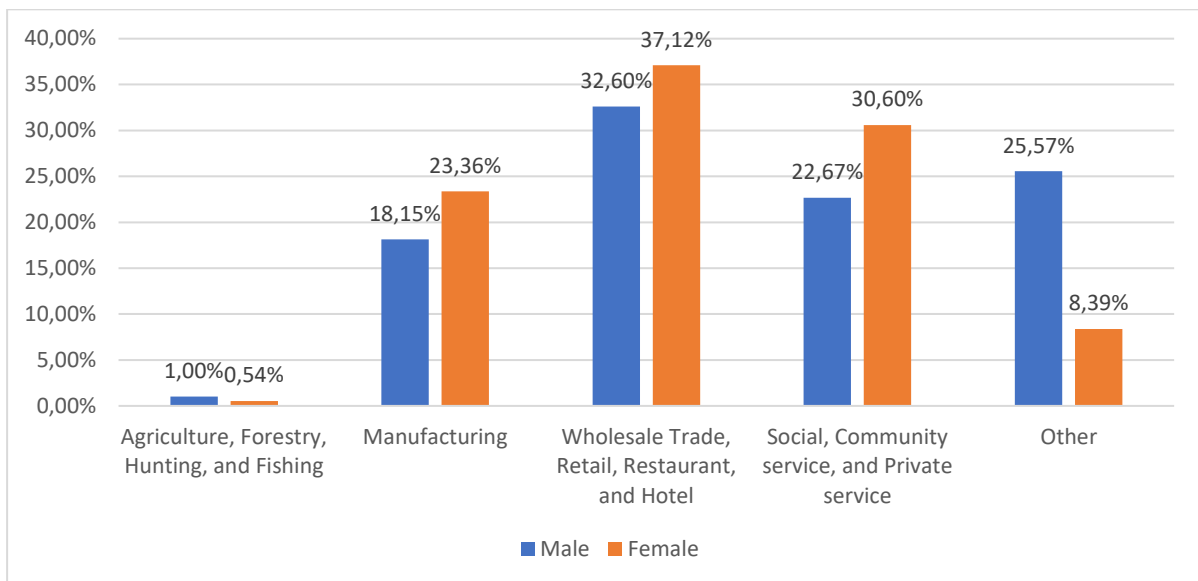


Figure 3-6: Percentage of Population Aged >15 Years by Main Industry and Gender in Bandung 2015
Source: Data Processing of Central Statistics Agency Bandung, 2015

In terms of religion, 91% of the population of Bandung adheres to Islam. Other religions in Bandung are Protestant (5%), Catholic (3%), Buddhist (1%) and Hindu as well as Confucian (<1%).

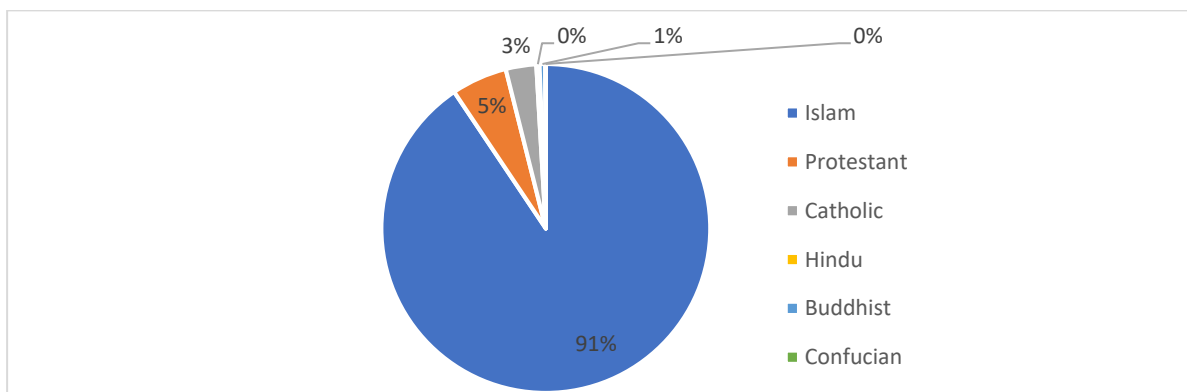


Figure 3-7: Percentage of Population by Religion in Bandung 2015
Source: Data Processing of Central Statistics Agency Bandung, 2015

3.1.1.3 Economic Conditions

The Gross Regional Domestic Product (GRDP) of Bandung is largely formed by the secondary and tertiary economic sectors with the largest contribution from the wholesale trade and retail sector (27%) followed by the manufacturing sector with 21%. Transportation (11%), construction (9%), and information and communication (9%) also contributed significantly to the GRDP of Bandung in 2015. Transportation and warehousing showed the highest growth of 8.56% in 2014 and 11.47% in 2015.

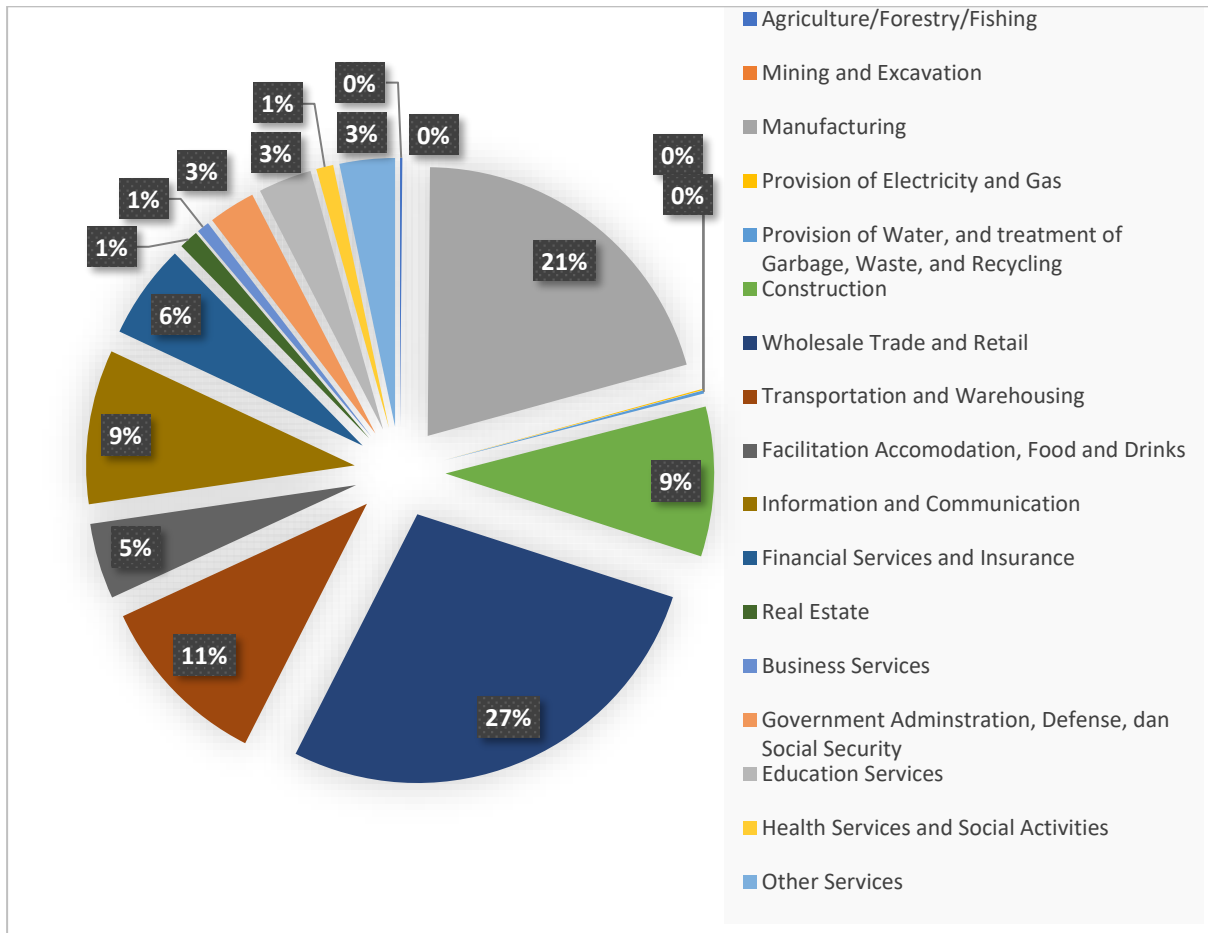


Figure 3-8: Economic Sector Contribution to GRDP Bandung 2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

Although the economic growth rate of Bandung is consistently higher than that the provincial and national average, the trend decreases significantly from the year 2012 (8.53%) to 2015 (7.63%). The slowdown in economic growth is not only experienced by the city of Bandung but also by the province of West Java and nationally. This indicates a slight decline in national economic conditions that affect the city of Bandung.

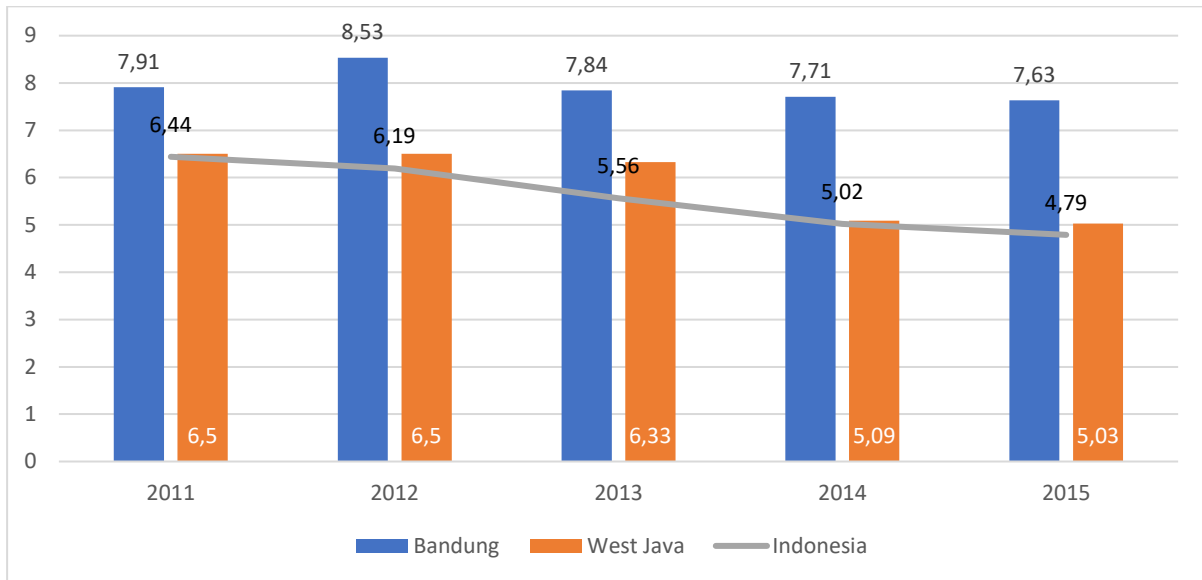


Figure 3-9: Economic Growth Rate in percentage of Bandung 2011-2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

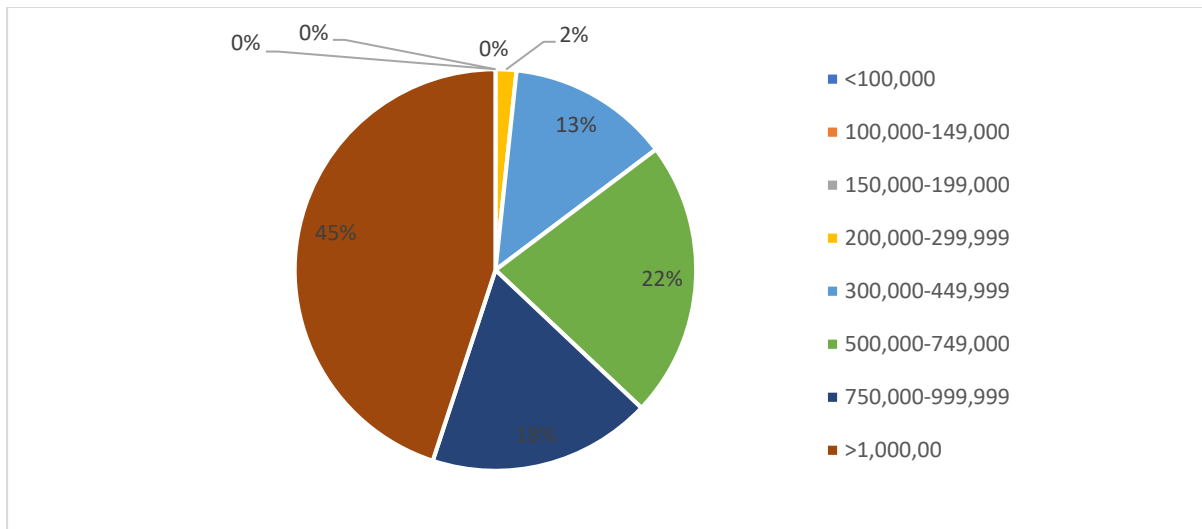


Figure 3-10: Population of Bandung Grouped by Monthly Expenditure Per Capita 2015

Source: Data Processing BPS Bandung, 2015

The average total monthly expenditure per capita in the city of Bandung was Rp. 1,433,908 in 2015. More than 40% of the population has monthly expenditures above one million rupiah but 1.68% of the population has still a per capita expenditure in the range of Rp. 200,000-Rp. 299,000.

Of the average monthly per capita expenditure, 37%, or Rp. 536,438 was spent on food, while non-food expenditure was Rp. 897,469. In addition to food, the largest expenditure is for housing and household facilities (34%) and goods and services with 17%. The expenditure for parties and ceremonial purposes is the smallest with less than 1%.

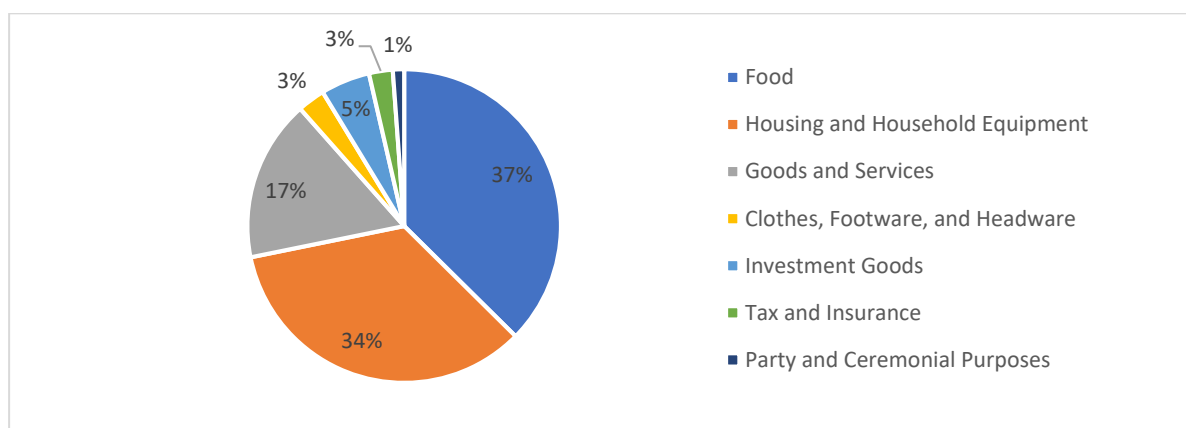


Figure 3-11: Average Monthly Expenditure Per Capita in Bandung 2015

Source: Data Processing of Central Statistics Agency Bandung, 2015

3.1.1.4 City Budget

Bandung's local budget consists of three pillars, i.e., local revenue, local expenditure, and local financing (Regulations of the Minister for Home Affairs 13/2006). In 2017, Bandung's budget consisted of local expenditure of Rp 6.855.932.292.456, local revenue of Rp 6,503,784,682,502, and financing of Rp. 352,147,609,954.

Local Revenue

Bandung's local revenue is derived from three main components namely Locally Generated Revenue, Balancing Fund, and Other Lawful Local Revenue. While the Locally Generated Revenue is obtained purely from Bandung, the Balancing Fund originates from the state budget and is allocated for regions to fund their needs in the implementation of decentralization. The third component of Other Lawful Local Revenue consists of Profit Sharing Funds and Provincial Financial Assistance from the provincial government as well as grants from the central government. Bandung's Local Revenue in 2017 was mostly made up of Locally Generated Revenue (47.13%) and Balancing Fund (39.86%).

Table 3.1: Local Revenue Structure Bandung City 2017

Component	Amount (Rp)	Proportion (%)	Source
Locally Generated Revenue	3,065,143,012,234	47.13	
- Local tax	2,400,097,139,060	36.90	Bandung City
- Local levies	262,678,023,845	4.04	Bandung City
- Profits of Segregated Wealth Management	20,000,000,000	0.31	Bandung City
- Other Locally Generated Income	382,367,849,329	5.88	Bandung City
Balancing Fund	2,592,216,225,000	39.86	
- Special Allocation Fund	423,866,199,000	6.52	Central Government
- General Allocation Fund	1,823,867,625,000	28.04	Central Government
- Tax / Non-Tax Revenue Share	344,482,401,000	5.30	Central Government
Other Lawful Local Revenue	846,425,445,268	13.01	
- Central government grants	10,000,000,000	0.15	Central government

- Tax Sharing Funds from the Province	747,573,257,268	11.49	West Java Province
- Financial Assistance from the Province	88,852,188	0.00	West Java Province
Total	6,503,784,682,502	100.00	

Source: Data Processing from <http://data.bandung.go.id/apbd2017/index.php/apbd/pembiayaan> (December 21, 2017)

Local Expenditure

Bandung's 2017 local expenditure was Rp. 6,855,932,292,456 which is divided into direct (Rp 4,232,599,179,192) and indirect expenditure (Rp 2,623,333,113,264). Local expenditure can be divided into affairs, accounts, and function. Based on the affairs, 57% of expenditure is budgeted for mandatory basic service, while based on account, the biggest expenditure proportion is 38% for employee expenditure followed by 33% for goods and services expenditure. Meanwhile, the three functions that get the largest proportion of budget are education (17.76%), health (16.44%), and public works and spatial planning (11.48%). Meanwhile housing and settlement function gets 7.93% of the city budget.

Table 3.2: Proportion of Bandung City Expenditure by Function in 2017

Function	Proportion (%)
Education	17.76
Health	16.44
Public Works and Spatial Planning	11.48
Finance	9.71
Housing and Settlements	7.93
Transportation	3.14
Environment	2.49
Culture	2.09
Peace and Public Order and Community Protection	2.01
Youth and Sports	1.11
Social	1.02
Food	0.95
Communication and Informatics	0.66
Capital investment	0.59
Planning	0.56
Trading	0.56
Library	0.53
Staffing and Education and Training	0.53
Population Administration	0.46
Labor	0.42
Cooperatives, Small and Medium Enterprises	0.39
Women's Empowerment and Child Protection	0.38
Population and Family Planning Control	0.30
Other Support Functions	18.49

Source: Data Processing from <http://data.bandung.go.id/apbd2017/index.php/apbd/pembiayaan> (December 21, 2017)

Financing

The total financing budget of Bandung in 2017 was Rp. 352,147,609,954 and is divided into local financing revenue of Rp 455,147,609,954 and local financing expenditures of Rp 103,000,000,000.

3.1.2 Slum Conditions in Bandung

In Bandung, based on Decision of the Mayor of Bandung No. 648/Kep.286-Distarcip/2015 there were 445 slum locations with a size of 14,574,458.67 m² or 1,457.45 Ha in 2014. The communities in slum settlements often face problems such as limited access to public services, particularly infrastructure. This is primarily caused by the fact that many slum settlements are constructed illegally and, therefore, are not included in formal frameworks of basic service provision such as water and electricity because the city water service and the state electricity company require settlements to be legal. Table 3.1 below shows the condition of the limited access to public service facilities in slum settlements in Bandung.

Table 3.3: Lack of Access to Infrastructure in Slum Settlements in Bandung

Criteria	Condition
Neighborhood Roads	<ul style="list-style-type: none"> - 60% of the settlements lack adequate neighborhood roads - 69% of the road conditions in the settlements is of bad quality
Drainage	<ul style="list-style-type: none"> - 22% of the settlements are flooded > 30 cm, for > 2 hours, > 2x a year - There are areas without neighborhood drainage - There are areas with dirty neighborhood drainage that stinks and often overflows during rain because it is filled with trash - Oftentimes drainage does not function well
Waste Water Disposal	<ul style="list-style-type: none"> - Only a few areas have sewage service - Sewage is often directly discharged into the river - 59% of the buildings do not have a swan neck closet connected to a septic tank - 66% of household sewage pipes are connected to neighborhood drainage
Clean Water and Drinking Water	<ul style="list-style-type: none"> - Many households get their water from rivers/wells/public hydrants - 36% of the community cannot meet their daily water needs of 60 liters/person/day
Waste treatment	<ul style="list-style-type: none"> - Trash is often thrown into the river - 24% of domestic trash is picked up less than twice a week.
Fire Hazard Safety	<ul style="list-style-type: none"> - 95% area lacks fire protection facilities - High vulnerability to fires due to overcrowding and highly flammable building materials
Electrical Network	<ul style="list-style-type: none"> - There are many cases of stealing electricity or using the neighbors' electricity because houses are not connected to the power grid
(Green) Open Space	<ul style="list-style-type: none"> - There is no (green) open space because the entire area is built-up, including the riverbanks that are supposed to be green open space.
Shelter	<ul style="list-style-type: none"> - Densely populated and not suitable for living - Semi and temporary houses - Houses at the riverbanks are prone to landslide
Public Facilities	<ul style="list-style-type: none"> - Minimal health and sports facilities

Source: DPKP3 Kota Bandung, 2017; Moeliono, 201; Directorate General of Human Settlements, 2015



Figure 3-12: Neighborhood Conditions in Slum Areas in Bandung

The study location of Tamansari Urban Village is located at the Cikapundung River. This is a strategic location from the perspective of the environmental carrying capacity for the city of Bandung and the province of West Java. However, the river, particularly at Tamansari, experiences erosion and sedimentation, caused by the dumping of trash in the river. The slum settlement of Tamansari is 23.55 Ha in size and is categorized as heavy slum category. The main problems in the area involve various factors, such as insufficient sanitation, drainage, a chaotic building structure, a high population and building density and low economic factors, and bad road conditions.

3.1.3 Bandung City government policies and programs

Bandung City government has issued the Bandung Urban Slum Settlement Plan (RKP-KP), which is assisted by Directorate General of Human Settlements of the Ministry of Public Works and Housing,

through one of its task forces in West Java Province (Development of Settlement Area and Building Arrangement) in 2015. The plan (RKP-KP) aims to achieve the target of 0% slums in 2019 through several programs as illustrated below.

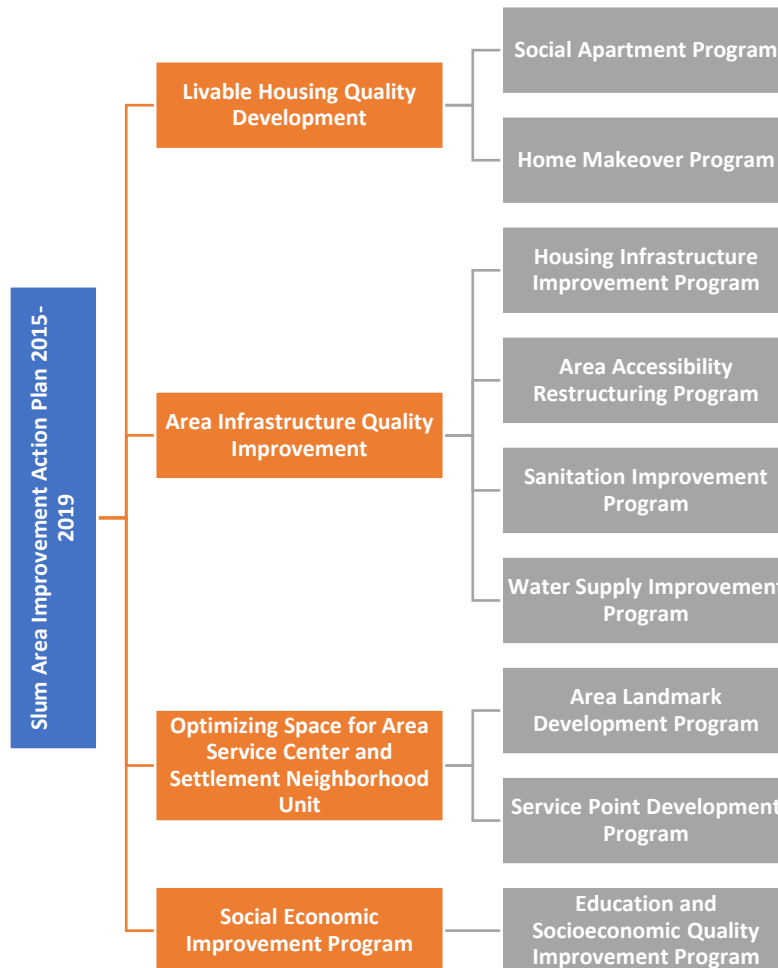


Figure 3-13: Slum Area Improvement Action Plan of Bandung City

In addition to those activities, the Bandung City government also initiated several activities as follows.

3.1.3.1 Channeling

Various Urban Villages in Bandung have done channeling to improve partnerships since 2015. This includes training activities with work units from the city government, training and the providing of scholarships by NGOs and the renovation of sanitation facilities with the CSR unit of a bank.

3.1.3.2 BKM Mart

BKM Mart consists of a marketing service for the products of community groups and the sustainable operational funding for Community Self-help Groups. BKM was founded in 2012 with allocated funding

of Rp. 800,000,000 for eight urban villages. In 2013, the program was carried out with Rp. 9,975,000,000 for 133 urban villages. Thus, each urban village receives funding of Rp. 75,000,000. In 2014, the capital for BKM Mart was Rp. 578,450,000 for 37 Urban Villages.

3.1.3.3 Development Apartments in Tamansari Urban Village

This program involves the development of apartments in Tamansari Urban Village, the case study area in Bandung. It is part of the efforts to manage the slum conditions and the environmental degradation in the area. This apartment follows the concept of building without evicting in this strategic location near the city center, so the inhabitants can remain close to the location of economic activities.

3.1.3.4 Local Government Work Units in Bandung

Various work units at the local level are involved in the management of slum areas, based on their main duties and functions. This includes both macro policy and technical institutions. The main work unit is the Office of Housing, Settlements, Land and Parks (DKP3). It is responsible for technical affairs directly related to the community. The Agency for Development Planning, Research, and Construction (Bappelitbang) has the authority to formulate macro policies and prepare studies. One of its functions is to coordinate multi-sector activities related to slum areas. Its clients are technical offices.

3.1.3.5 Workgroups

Workgroups are cross-work units and cross-stakeholders and are responsible for managing a program or activity. There are a number of workgroups associated with the handling of slum areas, such as the Housing and Settlements Work Group, the Water Supply and Environmental Sanitation Work Group, and the Tamansari Apartment Development Work Group.

Workgroups are determined by the mayor's decision with an organizational structure that generally consists of at least a mentor, the person in charge, chair, secretary, and members. It holds weekly multi-sector coordinating meetings. The weekly agenda discusses the implementation of programs and activities that are or will be implemented on thematic topics.

3.1.4 Different schemes and programs of NGOs for slum improvements

3.1.4.1 NGO Praksis

Praksis is an NGO in Bandung that is focused on participative planning. Praksis focuses its support by building bridges between various actors in the planning process by guiding communities, marginal groups or minorities such as the poor. The cases handled by Praksis include supporting street vendors, farmers, and communities that have to deal with urban planning of their slum settlements.

The purpose of the guidance is for marginalized groups to be heard in the planning process. According to Praksis, excluded groups are often the ones that do not know about the planning process and who are rarely involved in the process. They are often identical with poverty, not considered, not thought about, and not mainstream. This is why Praksis acts to convey the aspirations of these marginalized groups in the development process. Praksis, however, is not pro marginalized groups and contra public policy. Rather, it positions itself in a neutral position in order not to influence the mediation and reconciliation process between the two parties because of their subjectivity.

3.1.4.2 Komunitas Taboo: Kampung Kreatif

In 2003, this community was formed in Bandung. It focuses on educating about democracy. Its main mission is to develop a collective consciousness towards the understanding of democracy. Democracy is understood as an activity related to the government process, management, community rights and the responsibilities of the country towards public service provision. The country and the community are viewed as elements of a unity that complements each other.

Komunitas Taboo attempts to transmit this concept of democracy through creative activities at various locations in Bandung with slum conditions where conflicts often occur. It offers free education and emphasizes that education does not always have to happen in an institutional way. From there on, Komunitas Taboo tries to start a dialog with the locals to discuss the idea of creative villages, which is really about the embodiment of a beautiful village with good aesthetics, carried out through the participation of the local community. Their approach is to grow the creative potential in the villages, which slowly develops the local potential for art and the creative economy of the locals. The basic idea is that creativity can be grown from poverty and limited resources. Since the creative potential of the villages became clear, many creative activities were organized with the collaboration of the Taboo Community and other NGOs such as Bandung Creative City Forum, with the Bandung city government such as discussions about public space, creative village festivals and national mural competitions.

3.2 Surakarta Context

3.2.1 Surakarta City Profile

Surakarta or also known as Solo is one of the main cities in Central Java, in which it is surrounded by Karanganyar, Boyolali and Sukoharjo districts. Administratively, Surakarta City consists of 5 sub-districts, i.e., Laweyan, Serengen, Banjarsari, Jebres, and Pasar Kliwon, and 51 urban villages. Most land in the city is used for housing/settlements, approximately 64% (2,874.93 Ha). Meanwhile, the economic activities occupy approximately 15% of the city area.

As an old town, Surakarta is like a magnet that attracts residents from other districts to access the economic opportunities and social services provided by the city. The city population in 2015 according to official statistics is 557,606 people. With a city area around 44 km², the population density is around 12,672 people per km². The most densely populated sub-district is Banjarsri and the least dense is Serengan. The female population is greater than the male population, i.e., 282,340 versus 275,266, respectively. Due to its attractiveness, the daytime population of Surakarta in 2016 was around 2.5 million people. The extra figure is caused by many residents from surrounding districts that come to the city to work, study, or for other activities.

As a transit city, Surakarta faces several problems in terms of social, cultural and economic problems. Urbanization is inevitable, although people come to the city for many different reasons. However, the main factor for this urbanization is the perception that a big city has all amenities, including decent living conditions, job opportunities, educational facilities, and modern and better-maintained infrastructures.

Based on some observations, many residents from surrounding districts want to become citizens of Surakarta, especially during the leadership of Joko Widodo (currently the President of Indonesia) as Mayor from 2005 until 2012. During his leadership, the city implemented various programs for different stakeholders, especially for the poor population. Health sector programs such as Surakarta Citizen's Health Maintenance and education sector programs such as educational assistance for the citizens are two programs to cater specifically the poor population, which are not found in other districts. Thus, both programs attracted many people to become the citizen of Surakarta. Those who initially came to the city for working gradually settled down in the city although they are not registered as citizens of Surakarta.

Direct consequences of the increasing number of migrants coming to Surakarta are the emergence of poverty pockets in the city and the increasingly vulnerable population. Based on a study by Konsorsium Monitoring Kebijakan Publik (KOMPIP) Surakarta, which is supported by another study by Handayani (2006), the marginal population in Surakarta includes street vendors, pedicab drivers, traditional market vendors, street children, musicians, parking guys, prostitutes, and the disabled. Those marginal groups have social, economic, and political problems. The term marginal group is sometimes also associated with un-wealthy or minority groups, or even the lower class in the society. It is very common that those marginal groups are living with inadequate conditions, without proper basic services or they cannot access public service facilities.

The city, based on recommendations by a team of academics and NGO activists defines the marginal group as those who are in informal sectors and do not have access to the power, and have only a small contribution to the development of the city. The term marginal group is often used interchangeably with

the poor. According to the team, there are eight marginal groups, consisting of street vendors, traditional market vendors, pedicab drivers, squatters, parking guys, the disabled, scavengers, and street musicians. Besides those groups in this study, the marginal groups include also elderly, gay, people with AIDS, prostitutes, and women and children victims of domestic violence.

3.2.2 Slum conditions in Surakarta

Based on a study in 2015, there are almost 360 hectares of slum areas in 15 urban villages in Surakarta city. Those wards are Gilingan, Nusukan, Kadipiro, Sumber, Semanggi, Pajang, Mojosongo, Kedunglumbu, Jagalan, Banyuanyar, Sangkrah, Jebres, Tipes, Sondakan, and Manahan. This figure is actually less than the official data from the Mayor Decree No. 032/97.C/1/2014 on the urban slum areas in Surakarta, which lists 467.62 hectares of slum areas in the city. There are three types of slum areas in Surakarta, i.e., those living on riverbanks; those living along railway tracks; and those living in very high-density zones. The typical conditions of each type are portrayed in the images below. Within these slum areas, 18,625 houses are considered inadequate.

Several challenges in slum improvement programs in Surakarta include:

1. 50% of slum areas are considered as inadequate houses that occupy state land and are not according to the land use plan.
2. Unclear legal status of the land, not all buildings have proper building construction permits and building use rights.
3. Density and irregularity of the buildings.
4. Inadequate sanitation, trash collection, and clean water.
5. Low awareness of the residents regarding environmental management, and
6. Disempowered low-income people.



Figure 3-14: Three Types of Slum Areas in Surakarta: 1. Riverbank; 2. Railway Track; and 3. Higher-density Area

In Surakarta, water provision is sufficient for the communities. Most houses have a water supply either from the city water service or from wells. However, in Semanggi, the city water service only provides water for three hours per day, between 1 a.m. and 4 a.m. The construction of new water treatment plant is planned to provide sufficient water for the area.

The slum area in Semanggi Urban Village is categorized as a slum with heavy slum conditions. It is located illegally on railroad tracks, riverbanks and has a high urban density. The slum area covers 76.03 Ha and contains 8.139 buildings. 1.405 of these buildings are considered houses unsuitable for living and 3.256 buildings are unregulated. The area is vulnerable to flooding. The slum area of Mojosonggo has a size of 11.89 Ha with a medium slum category. The total number of buildings is 525 and 61 houses not suitable for living and 241 buildings are unregulated. Some problems in the neighborhood include the low awareness of the community regarding clean living, a lack of garbage management, and drainage that does not work properly. The slum area of Sondakan is 5.47 Ha and it is categorized as having medium slum conditions. It is a densely populated slum located on a riverbank. There are 2.354 buildings, 515 of which are houses not suitable for living and 1.293 houses are unregulated. The area contains batik industries that lack waste management, which exacerbates environmental conditions in the area (RKP-KP, 2016).

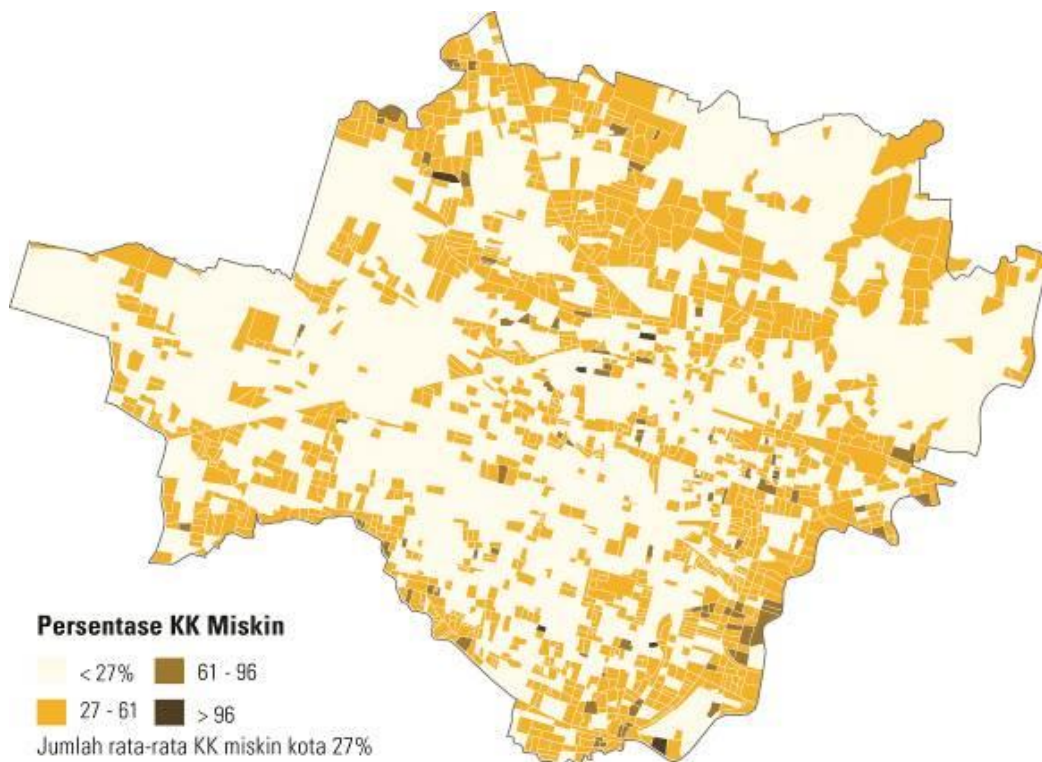


Figure 3-15: Proportion of Poor Household in each Neighborhood Unit in Surakarta



Figure 3-16: Neighborhood Conditions in Slum Areas in Surakarta

3.2.3 Surakarta City government policies and programs

The vision and mission of the mayor of Surakarta are that five basic human rights form the main program of the mayor, i.e., the rights to education, health, food security, infrastructure, and economy. The vision of the mayor is “Solo Bright without Corruption” to develop a community that is healthy, smart, satisfied and sheltered by developing five types of culture, i.e., a culture of mutual assistance, ownership, caring, guarding, and securing the city of Surakarta. By-law no. 11/2014 on Poverty Reduction also regulates the empowerment of the poor; poverty alleviation is not merely giving money but also about empowerment.

Since the leadership of Joko Widodo as mayor, the city has been more serious about providing basic services to its inhabitants. This can be seen from the increase in education service provision, healthcare facilities, the provision of social facilities and decent public service provision, and the development of a social security system. A healthcare program was launched that provided treatment for residents of Surakarta, particularly the poor.

The leadership of Joko Widodo-Rudy between 2005 and 2012 also accommodated the marginalized communities more. A number of programs were launched aimed at these marginalized communities such as the revitalization of traditional markets, the regulating of street vendors, relocating inhabitants, programs regarding the improvement of houses not suitable for living and the construction of infrastructure that is more accessible for people with disabilities.

3.2.3.1 Resettlement

The government of Surakarta has a program to resettle the community that lives at the riverbank of Bengawan Solo, a location prone to flooding. The relocated people are offered decent housing in Mojosongo, which is less densely populated than the other sub-districts in Surakarta. The land around Pepe River is also planned. The inhabitants are resettled in apartment buildings that are built on state land using a green building concept. This is a win-win situation because it respects the rights of the community.

3.2.3.2 Improvement of houses not suitable for living program

This program has been undertaken since 2006, a year after the current president of Indonesia, Joko Widodo, became the mayor of Surakarta. The program involves help for home improvements of 2 million rupiah per family. At the start of the program, there were 6,612 houses unsuitable for living in Surakarta. Between 2006 and 2009, 4,500 of these houses were improved through this program. The recipients of this program were inhabitants of Surakarta, with houses unsuitable for living, who have the right of ownership of the houses and the houses are not built on state land.

3.2.3.3 Education

Surakarta Community Education Assistance (BPMKS) was launched with the purpose of achieving the completion of the nine-year compulsory education completion program toward the compulsory education of twelve years. Since 2013, Surakarta has declared itself as an inclusive city in the field of education. The city provides education to children with disabilities at Extraordinary Schools and it has supported normal schools to provide education for children with disabilities. Regulation of the Minister of National Education no. 70/2009 on the implementation of inclusive education is the legal umbrella for each region

to organize inclusive education that provides a decent education to children regardless of their ethnic background, social condition, economic ability, political views, family, language, or geographical remoteness, living location, gender, religion or physical and mental condition.

3.2.3.4 Musrenbang

In Surakarta, participative development planning is implemented through Musrenbang (Solo Kota Kita, n.d.) This refers to the process of community discussion about local development needs. This is an annual process where residents meet to discuss the issues that their communities face and where they decide upon the priorities for short-term improvements. This list of priorities is then handed over to the city planning department, which will assign resources. Musrenbang is a bottom-up approach in which communities can influence city budgets and neighborhood investments.

In fact, the Musrenbang process was introduced to replace Indonesia's former centralized and top-down government system. Local communities and governments now have a greater responsibility to shape the future of their neighborhoods. Residents should participate because it is an opportunity to collectively decide the future and assure that government investment in neighborhoods meets community development needs.

3.2.3.5 Urban Village Development Fund

Through this Urban Village Development Fund, the government of Surakarta provides local communities with the possibility to manage independently funds, including in accommodating the needs of marginal groups living in the urban villages.

3.2.3.6 Complaint service

Since 2014, Surakarta City Government has opened a public complaint service with a website-based electronic system called Surakarta Complaint Service Unit (ULAS). This complaint system is developed to improve government performance. Through a web-based complaint system, as well as SMS Service, Twitter, and Facebook, the Surakarta City Government opened access to 24/7 community complaints. Through ULAS, Surakarta City Government increased the effectiveness of services to the community, which originally was possible only through letters and SMS. Through ULAS, the community can quickly report complaints and can easily monitor the follow-up.

3.2.3.7 Urban Village Poverty Reduction Team (TPKK)

Besides forming a regional poverty reduction team, the city of Surakarta has also formed urban village poverty reduction teams. These teams collect data on residents up to the lowest government level of the neighborhood unit (RT) to ensure the validity of the data and ensure the data is updated to the actual

situation. The TPKK is a cross-sectoral and cross-stakeholder coordination forum on the urban village level that serves as a coordinating platform and carries out policies and programs for poverty alleviation. The TPKK consists of the following elements: an urban village community empowerment institution, an urban village facilitator, NGOs, family welfare programs, youth organizations, religious leaders, community leaders, community social workers, education institutions, businessmen, and the urban village government.

One of the tasks of the TPKK is data collection on the poor, by local residents based on indicators that have been prepared by the Regional Poverty Reduction Coordinating Team. Residents can also report themselves as poor, to be verified by the TPKK.

Chapter 4: Analysis of Access to Urban Services in Slum Settlements

This section presents the household survey data based on the survey data from the selected slum settlements. The surveys have been carried out in Bandung and Surakarta. In both cities, 60 respondents representing one household each were asked for their views on the following topics. All tables in this chapter provide data in percentages.

4.1 Socio-economic information of the surveyed households

4.1.1 Information about the respondents

The information regarding the relationship of the respondent to the head of the household and marital status is important as it can help explain the answers that are given. The gender of the respondents can, for instance, explain differences in the perceived participation of women.

The study in Bandung involved 60 households in four community units (RW) in the urban village of Tamansari. The respondents in the surveys were not always the head of the household. Only 35% of the respondents were the head of the household and most (60%) were the spouse of the head of the household.

The average age of the respondents was 47.25 years old with the youngest aged 19 years and the oldest aged 75 years. Most of the respondents were female (78%) and married. There were also three unmarried male respondents, one widower, and nine married men. The respondents who were the head of the household were generally female widows.

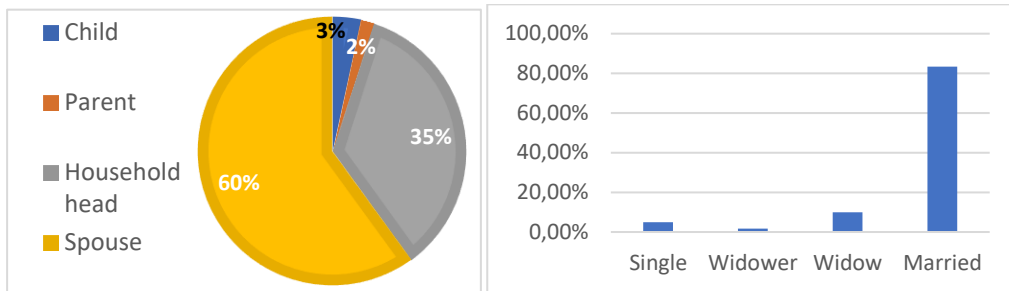


Figure 4-1: Relationship of the respondent with the head of the household in Bandung (left)

Figure 4-2: Marital statuses of the respondents in Bandung (right)

The respondents in the Surakarta study come from community units (RW) located in three sub-districts that form pockets of poverty. Of the 60 respondents, 43 were male (72%) and 17 were female (28%). The age of respondents varied; most (36%) were aged between 41-50 years. Meanwhile, the next age group of 31-40 amounted to 23%, followed by respondents aged 51-60 (22%). Of the respondents, 15% were older than 60 years, 2% was under 20 years of age and the age group of 20-30 years amounted to 2% as well.

The marital status of the respondents in Surakarta varied, the statuses of the respondents were married, widow, widower, unmarried and married but without children. There are five widows, two widowers, and one person was divorced. The remaining respondents were married. Most respondents in Surakarta were male household heads (50 people); while seven respondents were wives or female household heads and three respondents were children.

4.1.2 Information of the head of the household

“Education and employment are documented in the literature as particularly salient mediators through which multiple disadvantages may play out” (World Bank, 2013:75). The educational attainment in the study areas is an indicator of the level of inclusion of the respondents.

In Bandung study area, the head of the household is generally the husband who is also the main breadwinner for the family. Male heads of the family have higher education level compared to female heads of the family. This can be seen from the fact that more male household heads graduated from high school (45%) and even attended university (7%), compared to female household heads who only graduated from elementary and junior school, while only a small percentage graduated from high school.

Table 4.1: Respondent’s Educational Attainments in Bandung

Gender	Educational attainment	Bandung
Male	Elementary school	12
	Junior school	18
	High school	45
	Attended university	7

Female	Elementary school	10
	Junior school	5
	High school	3

In terms of education in Surakarta, there is a variance of formal educational attainment, from elementary, junior school, high school and ever attending university. Most of the respondents graduated from elementary school, i.e., 41%, while 28% of the respondents graduated from junior high school and 17% were high school graduates. The rest graduated from vocational school, attended university, never attended school, or is illiterate.

Table 4.2: Respondent's Educational Attainments in Surakarta

Educational Attainment	Surakarta
Cannot read or write	2
Never attended school	2
Elementary school	41
Junior school	28
High school	18
Vocational school	2
Attended vocational school	2
Attended university	3
Junior school drop out	2

The health conditions in the study area are relevant for inclusion because unhealthy living environments can deteriorate the health of its inhabitants. In addition, a lack of access to health care could leave marginalized groups with health issues they are unable to overcome. The average household head in Bandung is in good condition, 58% of which are healthy and the other 30% are very healthy. However, there are also household heads with physical health issues because such as stroke, diabetes, low blood pressure, stomach pain, flu, and cough. In Surakarta, almost 90% of the respondents consider the household head healthy or even very healthy. Meanwhile, some have physical health issues such as high blood pressure and other slight physical illnesses.

Table 4.3: Respondent's Health condition in Bandung and Surakarta

Health condition	Bandung	Surakarta
Very good	30	7
Good	58	80
Some slight physical illness	12	13

4.1.3 Social Condition

The social structure in Bandung is religiously homogeneous with Islam as the majority religion. From the perspective of ethnic groups, 70% of respondents are Sundanese. The rest belongs to various types of

groups from both inside and outside Java. Non-Muslims and non-Javanese ethnic groups are minority groups. However, based on the surveyed communities, including the minority groups themselves there is no fragmentation or differentiating in their lives albeit their religion and ethnicity belong to a minority. They feel that life is harmonious between minorities and the majority. Within the group of Muslims themselves, even though there are several different schools of thought and those who do not belong to any group. They acknowledge there is no disagreement that disturbs the harmony of their lives.

In Surakarta, all the respondents are from Javanese ethnicity and the majority is Muslim. Only a few respondents are Christians. As for the organization/school of thought, most respondents claim not to be affiliated with a particular organization.

In Bandung, the average number of family members in a single house is four. However, there is a family with 16 family members living in one house together. When analyzing further, the house consists of more than one household (for example, children are married but still staying in the same place with their parents and other relatives).

Migration patterns could explain differences in levels of community participation among residents that have lived in the study area for all their lives compared to migrants. If migrants fully participate in community affairs, this would be a sign that the study areas are inclusive neighborhoods. If the respondents claim migrants participate fully, this shows that they are accepted in the area and this will help these migrants become part of the community; this is a sign of inclusiveness. The residential status of the inhabitants of the study area is essential in their access to services provided by the government. In Indonesia, cities generally only provide urban services to people who hold a local ID card. For instance, a local ID card is a prerequisite to being able to vote in local elections and to receive financial help from the government.

Most respondents in Bandung have lived in their current house since birth, 42 years on average or almost equal to the average age of the respondents. There are also some families that recently moved into the area who rent a house or stay in someone's house. The respondents who are new in the area or who have moved do this generally to follow their husband. Others moved because they found a job in the city and there are those who moved because they were evicted from their previous residence.

Table 4.4: Migration in Bandung

Ever migrated	Type of migration	Percentage
No	No	87
Yes	Urban to urban	5
	Rural to urban	3
	Internal migration	5

The direction of movement is both urban to urban and rural to urban because these migrants look for a job in the city of Bandung. Those who moved within the city did so because they were evicted and they seek cheaper rental prices. Based on their ID status, two respondents still do not have a Bandung ID card (3%) and reside by staying over at someone or by renting a house in the study area.

All respondents in Surakarta are administratively recorded as residents of the city who hold a Surakarta identity card. This means even if some rent a house or lives in family's house all have been recorded as a resident of Surakarta. Of the respondents, 12 (20%) said that they had moved before living in Surakarta due to their job because they moved to work in Surakarta, followed their husbands or parents-in-law or they sold their house and live in a house inherited from their parents.

In relation to the status of their residence, most people in the study area in Bandung claim that they own their place of residence and that they have lived there since birth. However, in general, the land they live on is illegally occupied for a very long time and over a generation. Ownership of the land is generally a public asset, for instance, a riverbank that should be open green space, empty government-owned land, or is land owned by PT. KAI, Bandung City Government, PDAM Tirta Wening Bandung, etc. Because the land has been neglected for a long time, it was occupied by the community who has inhabited the land for a very long time (more than a generation).

Table 4.5: Residential status in Bandung

Bandung ID card	Owned		65
		Rent	
	Living in someone's house		5
No Bandung ID card	Rent		2
	Living in someone's house		2

The case of land ownership is very hard to settle; especially when the inhabitants have built up and occupied the land for more than 20 years and nothing was done about this. In accordance with Government Regulation No. 24/1997 on Land Registration and Regulation of the Minister of Agrarian Affairs/Head of National Land Agency No. 3/1997 concerning Land Registration, if the occupants have occupied land consecutively for 20 years or more than an ownership deed of the land may be filed.

In Surakarta, the home is used as a residence, a place to socialize with the neighborhood, educate the children, and as a resting place. It is one of the important needs of the citizens. All respondents lived in a landed house instead of in a flat. The residence status in the study areas in Surakarta was varied, e.g., the respondents live in houses built on state land, in rented homes, in their own homes, and there were who live with a parent or family. Most respondents live in self-owned homes, while some live with their parents

or with other family members. Some respondents rent and some live on state land. The respondents who live in homes built on land owned by the state all live on the riverbank in Semanggi. The average time of residence is over 30 years and only three people lived in their house for less than 5 years.

Table 4.6: Residential status in Surakarta

Status	Percentage
Owned	73
Rented	7
Living in someone's house	15
State land	5

4.1.4 Economic Condition of the Household

The difference in occupations and income range indicates a quite heterogeneous economic structure in the study area in Bandung. This variation can be seen from the type of work of the household head from each household where most work in the service sector (34%). Workers in the service sector often do informal jobs such as maid, public transportation drivers, motorcycle taxi drivers, private drivers, parking attendants, cleaning service, security guards, and shopkeeper. In addition, quite some household heads work professionally full-time (13%) either in private companies or as permanent workers in a factory. However, 28% of households have their own business, which is relatively informal, such as selling food around the neighborhood, having food stalls, and other small-scale or household businesses. There are also household heads who work as laborers or construction workers (17%). The rest of the respondents are housewives or retirees.

Although many household heads work in the informal sector, accumulated, the average income per month is still above the average minimum wage in 2017 set at Rp. 2.843.662. This is especially true for household heads with full-time employment earning a monthly salary and for household heads that run a business.

The household heads who work in the service sector, where the majority of the work is classified as informal and who works as a construction worker, earned an income that tends not to be fixed but depends on daily conditions. The income earned varies considerably, ranging from daily, weekly, to monthly. The smaller the unit of income earned (daily) the greater the informality is of the level of the work. It is not guaranteed that they can work on a daily basis. Even though sometimes the income in one day is large, the future income is not guaranteed.

The total income in one family is not too much different from the income of the household head. This is because generally, the household head is the main breadwinner for the whole family.

“Social exclusion based on (...) group attributes can lead to lower social standing, often accompanied by lower outcomes in terms of income, human capital endowments, access to employment and services, and voice in both national and local decision making” (World Bank, 2013:75). Conversely, high levels of employment are the embodiment of social inclusion. In addition, the income from employment provides opportunities for increased access to a wide range of services. The respondents in the study occupy a variety of jobs. Most of the respondents have their own business such as convection, birdcage producers, selling meatballs, looking for valuable trash, and having a stall. Some work as factory workers or in the service sector such as drivers, pedicab drivers, and shoe repairmen. Other jobs were entrepreneur, livestock farmer, and teacher. There were respondents who received subsidies from the government and the church to meet their daily needs, while others did non-permanent jobs.

Table 4.7: Respondent’s Employments in Bandung and Surakarta (in percentages)

Type	Bandung	Surakarta
Running business	28	48
Agriculture (husbandry)	0	2
Factory worker	0	15
Service industry	34	11
Government subsidy	0	2
Church subsidy	0	2
Entrepreneur	0	8
Full-time professional job	13	2
Unemployed	0	2
Teacher	0	3
Construction	17	0
Other	8	5

4.2 Community organizations and participation

4.2.1 Use of Communication Media

The use of communication media in the study areas provides clues on how to best channel efforts of reaching out to marginalized communities. Knowing the media of communication that is commonly used will ensure the effectiveness of what is communicated. Television and cell phones are the most common and frequently used communication media of the respondents in Tamansari Urban Village, Bandung. Meanwhile, loudspeakers followed by newspapers, radio, and the internet are less used than television and cell phones. Therefore, both communication media are the most effective media in disseminating news and information to the community in Tamansari.

Table 4.8: Use of Communication Media in Bandung (in percentages)

Communication media	Never	Rarely	Occasionally	Regularly	Very regularly
Newspaper	40	32	18	7	3
Radio	33	30	20	10	7

Television	3	10	12	27	48
Internet	57	13	13	10	7
Cell phone	20	10	15	28	27
Public announcements	77	2	5	13	3

The respondents in Surakarta provide a similar picture on the use of communication media. In Surakarta, television and cell phones are widely used communication media by the respondents; 35 respondents use cell phones often and 42 respondents use television. Television is used because it is more fulfilling to get audiovisual information compared to other media such as radio, which the respondents are abandoning. Only 13 people still rely on the radio as a communication medium. The internet and loudspeakers are rarely used; 45 respondents said they never use the internet and 54 respondents claimed to have never used loudspeakers. Loudspeakers are usually used to provide information of announcements of social activities for the community, usually through loudspeakers in the mosque. For details, see the table below.

Table 4.9: Use of Communication Media in Surakarta (in percentages)

Communication media	Never	Rarely	Occasionally	Regularly	Very regularly
Newspaper	47	20	25	8	0
Radio	40	30	5	22	3
Television	3	12	13	70	2
Internet	75	8	12	5	0
Cell phone	18	5	19	58	0
Public announcements	90	2	3	5	0

In addition, this form of information dissemination is also done with conventional printed and written media such as bulletin boards, leaflets attached to walls or in alleys, posters, and banners.

4.2.2 Involvement in Community Organization and Activities

The involvement in community organizations is a sign of the inclusion and the participation of the respondents. In addition, it offers opportunities to influence the delivery of services and the overall access to these services for all residents of the study area. In Bandung, not all respondents are engaged in community institutions/organizations. Only small proportions of the respondents (18%) are members of community organizations and have family members who are active in community organizations (25%). Community institutions in the Tamansari area consist of youth organizations and Family Welfare Programs, the members of which are mothers, Qur'an recital groups, and administrators of neighborhood and community units.

In the case of community organizations, there is a quite striking difference between Surakarta and Bandung, where 65% of respondents in Surakarta declare to be involved in community organizations. In

this case, most of the respondents claimed to be involved in urban village-based community organizations such as the Family Welfare Program and the Youth Center and various religious organizations.

In Surakarta, the level of participation of respondents in social affairs and public affairs is high. This is influenced by the Javanese culture that has a strong tradition of mutual help, instilling a culture of a sense of belonging and concern for the surrounding environment, and gathering. This, of course, affects the pattern of social relations in the environment.

Table 4.10: *Involvement in Community Organizations*

Involvement in Community Organizations	Bandung		Surakarta	
	Yes	No	Yes	No
Member of the community/village leadership	18	82	65	35
Other family member works in community/village leadership	25	75	45	55

As with the previous indicator of involvement in community organizations, the participation in elections gives a chance to influence the governance of the area. The active and voluntary participation in elections without pressure from the leadership is a sign of the democratic inclusion of the residents; it is a sign that the respondents are moving from a powerless state to a state of civil society.

Related to local democracy in Bandung, embodied by the election of leaders/heads of local government, some respondents claimed to be often involved in the election or more than four times on average. This depends on the age of the respondent, the older the respondent the more frequently involved in elections the respondent will be. What needs to be emphasized is that there is still a small percentage of respondents, especially women, who say they have never been involved because they are represented by their husbands. There are also respondents who have never voted because they are newcomers in the area. In the process, the majority of respondents (75%) stated that family members actively and voluntarily choose their leader, provided they were old enough to vote (17 years or older). However, there is also the practice of leaders contacting the community to vote.

In Surakarta, 90% of respondents have followed the elections of neighborhood units/community units or community institutions more than twice. Only 7% of the respondents stated that they have only once participated in the democratic process at the neighborhood unit and community unit levels. The remaining 3% have never voted. When viewed from the quality of participation, the respondents' involvement is voluntary and proactive, meaning that people realize the importance of voting and using their rights as citizens. In Surakarta, 65% of the respondents vote actively and voluntary, while 35% of respondents claimed to vote because the head of the neighborhood unit, community unit or other institutions contacted them to vote.

Table 4.11: Participation in Elections

	Bandung	Surakarta
Family members vote in an active and voluntary way	75	65
Village leadership engages to vote	25	35

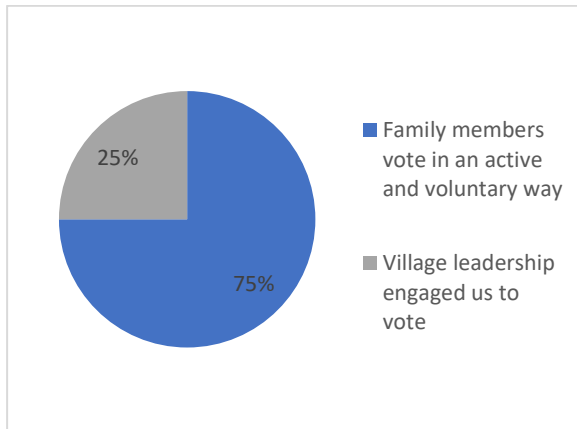


Figure 4-3: Elections in Bandung

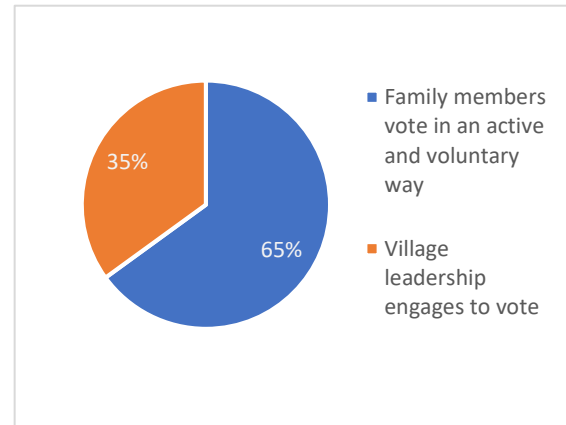


Figure 4-4: Elections in Surakarta

The indicator of the final word in important community issues demonstrates the participation and inclusion of the residents. It shows if the respondents have the opportunity to make decisions or if decisions on issues are made by the leadership. In Bandung, if there is a problem in the community, according to respondents, usually community leaders (53%) have the final word in resolving it. However, there are also some cases under certain circumstances with the settlement is decided either by the representatives of the residents (34%) as well as all citizens (13%). A different picture can be seen in Surakarta. Here 50% of the respondents state that all citizens are involved in the final decision to problems. 38% of the respondents answered that the community leaders have the final word, which is similar to the situation in Bandung. In Surakarta, 10% answered that the final decision was taken by representatives, compared to 34% in Bandung. Meanwhile, in Surakarta, 2% stated that the final decision was taken by influential residents, while in Bandung no one answered this.

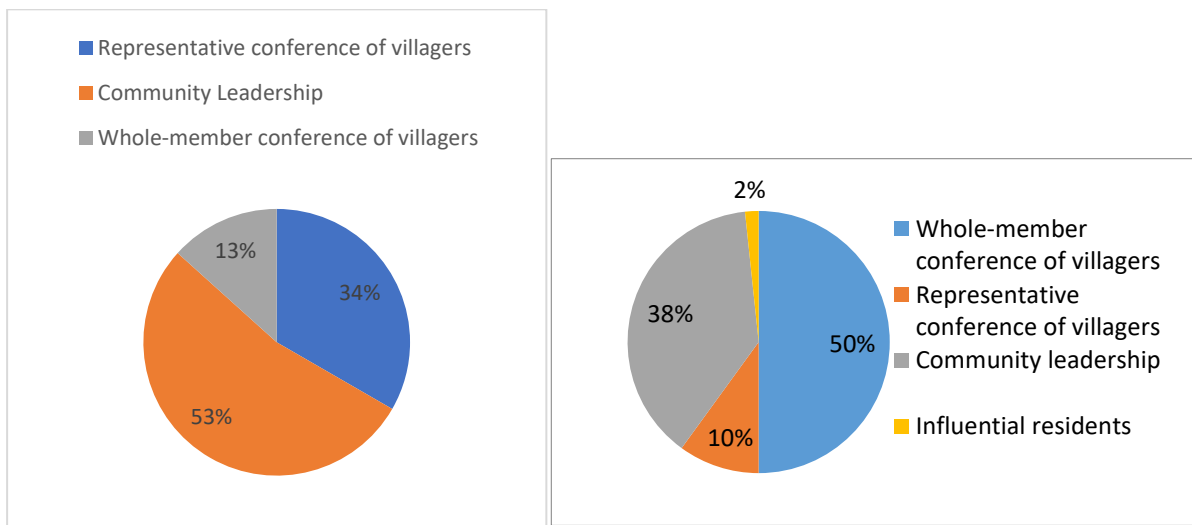


Figure 4-5 and Figure 4-6: Final word on important community/village issues Bandung (left) and Surakarta (right)

Table 4.12: Final word on important community/village issues

Final word on important community/village issues	Bandung	Surakarta
Representative conference of villagers	34	10
Community Leadership	53	38
Whole-member conference of villagers	13	50
Villager who is influential but not in any type of leadership group	0	2

Female participation and gender equality are indicators that show the position of women as a group that is often marginalized. The full participation and high levels of gender equality demonstrate the high level of inclusion of women. In community affairs in Bandung, respondents state that women are often involved (80%) especially when it comes to Family Welfare Program activities that involve mothers. Thus, the role of men and women is equal in the community's affairs. However, a small proportion of respondents argue that women are rarely involved in certain cases, so men have a bigger role. An example is the physical work activities. There is also a small portion that opines that the role of women is more active, this occurs mostly when in the household head is a widow.

Women's participation in public affairs in Bandung does not only involve 'typical women activities', such as preparing food and cleaning up or other activities related to the Family Welfare Program. Rather, the involvement of women nowadays is much greater; women act as decision-makers in public affairs, serve in committees and organizations, and sometimes chair meetings or discussions. Nevertheless, the position of the chair in a committee or organization remains almost always occupied by men. Sometimes in the election of the chairman of a committee, there are female and male candidates but the majority of the

citizens prefer men as leaders, while women can at most have a position as vice chairman, secretary, treasurer, and division chairperson.

A point of interest is that when it comes to equality between men and women, the majority of the respondents answer that there is equality between men and women. However, in some cases, men consider women's position equal but women themselves tend to withdraw themselves, lack confidence in their abilities and decide to not participate outside family affairs. Some women still think that women's affairs only relate to the "kitchen" and "home", while men's affairs are much wider than that. Nevertheless, most citizens believe that women can play a bigger role. Currently, gender roles can even be reversed, with women earning a living and men staying at home to look after the household and the children, or both spouses work to earn a living.

Table 4.13: Female participation in the public affairs of the community/village

Female participation in the public affairs of the community/village	Bandung	Surakarta
Frequently	80	87
Rarely	20	6
Almost never	0	7

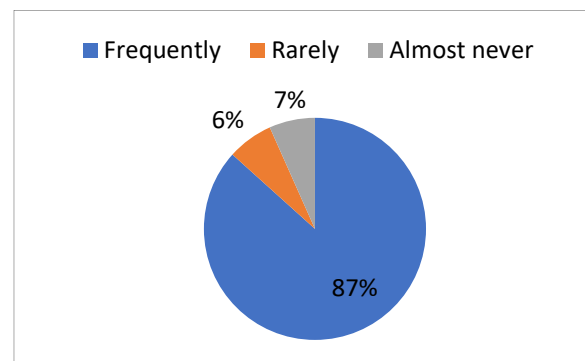
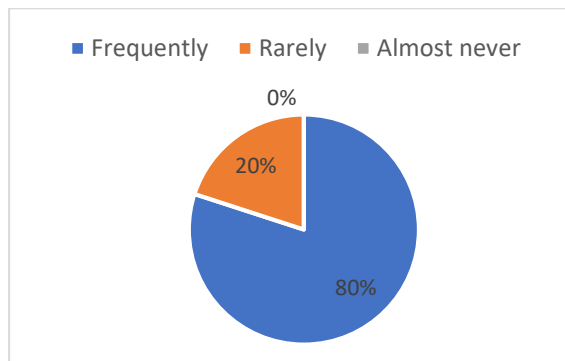


Figure 4-7 and Figure 4-8: Participation of Women in Public Affairs in Bandung and Surakarta

Table 4.14: Gender Equality

Gender Equality	Bandung	Surakarta
Men play more active roles	12	22
Women play more active roles	15	5
Equal participation	73	73

In Surakarta, women also participated actively in public/community affairs, seen from the 87% of respondents stating that women are often actively involved through both the Family Welfare Program and other activities of the neighborhood and community units. Meanwhile, 7% states that women are rarely

involved and 6% says women are almost never involved. Meanwhile, in terms of equality in male and female roles, 73% said that men and women play a comparable role, 22% stated a more active role for men and the remaining 5% considered the role of women more active.

Women's active participation in public/community affairs in Surakarta can be seen from 87% of respondents stating to being actively involved through the Family Welfare Program or other activities of the neighborhood unit and community unit. Over time, women's participation in Surakarta has increased. In the 2000s, since participatory planning was implemented in the neighborhood unit, community unit, and urban village levels, regulatory developments have been implemented in the form of a 30% requirement for women's participation in the planning process. Every planning level seeks to fulfill the rule; however, the involvement of women is merely in committee affairs, as in providing consumptions. In the planning process, the role of women is generally small because women are not active; the regulation of female participation is just a formality. In the decision-making process too, in many cases, women just agree with everything without expressing their own opinions and ambitions.

Over time, women have begun to take on bigger roles. For example, in commissions women not only take care of consumptions but also have started to be active in work groups. In the process of participatory development planning, women began to strive for programs related to health, environment, and the needs of women, children, and the elderly. However, even though women begin to play an active role, it has been the same women who have been active and there has been no regeneration process for new women to become active.

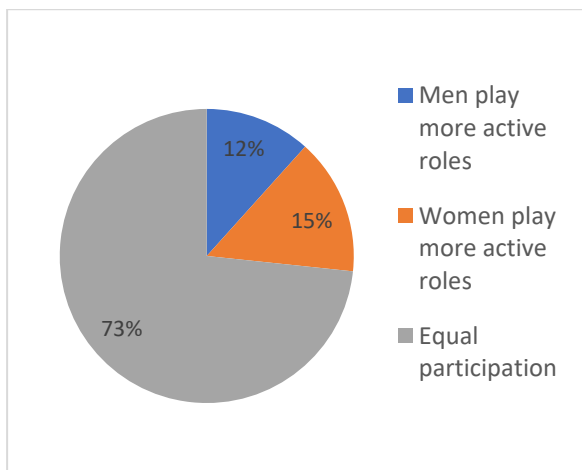


Figure 4-9: Gender Equality in Bandung

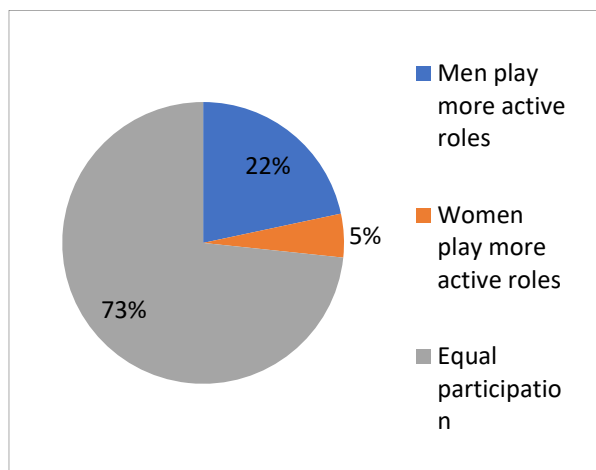


Figure 4-10: Gender equality in Surakarta

“Excluded people may lack friends, social networks, and reserves of social capital to fall back on” (World Bank, 2013:56). Thus, the number of friends and close friends is a sign of inclusion. Full participation in

community affairs shows that the respondents have social networks and reserves of social capital to fall back on. In Surakarta, 98% of the respondents say that they are willing to participate in community affairs, while only one person was unwilling to participate. In Bandung, also 98% of the respondents agreed that communication with other citizens is important. The respondents communicate with other residents when stopping by to chat, when there is a meeting in a public space, they chat as they walk by, and during gatherings. The respondents prefer to interact in person rather than on the phone or online. Therefore, the number of friends in the surrounding environment is more than five. Some even have more than 100 friends, but the average is around 20 friends. If asked the number of close friends, most answered they have between 2 and 20 close friends living in their neighborhood.

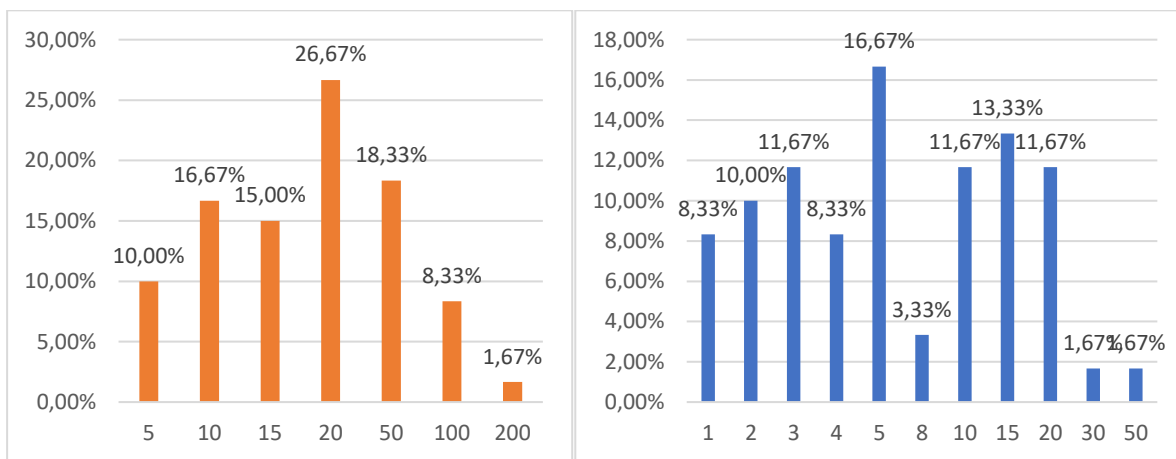


Figure 4-11: Number of friends in the neighborhood in Bandung (left)

Figure 4-12: Number of close friends in the neighborhood in Bandung (right)

In community affairs, most respondents in Bandung and Surakarta answered that:

- They are able to borrow materials when needed from neighbors
- They are able to obtain help when needed from neighbors
- They ever participated in community affairs
- They are willing to participate in community affairs
- They trust in community service organizations
- They trust in other community neighbors
- They feel happy living in the current community
- They are willing to participate in community services
- They are willing to engage other community residents to participate in community affairs
- Migrants and ethnic minorities/newcomers can fully participate in community affairs

The difference between Bandung and Surakarta is that the majority of respondents in Surakarta are willing to migrate, while the respondents in Bandung are not.

The study in Bandung showed that immigrants are invited to participate fully but often do not want to participate, especially students who rent a room. Regarding the participation of students, 23 percent of the respondents believe that newcomers often tend to be unwilling to participate, are ignorant, individualistic, self-absorbed, inactive, and rarely report themselves. The respondents also argue that the participation of minorities, especially migrants in community affairs, depends on the personality of the migrants to choose whether to be actively involved or not.

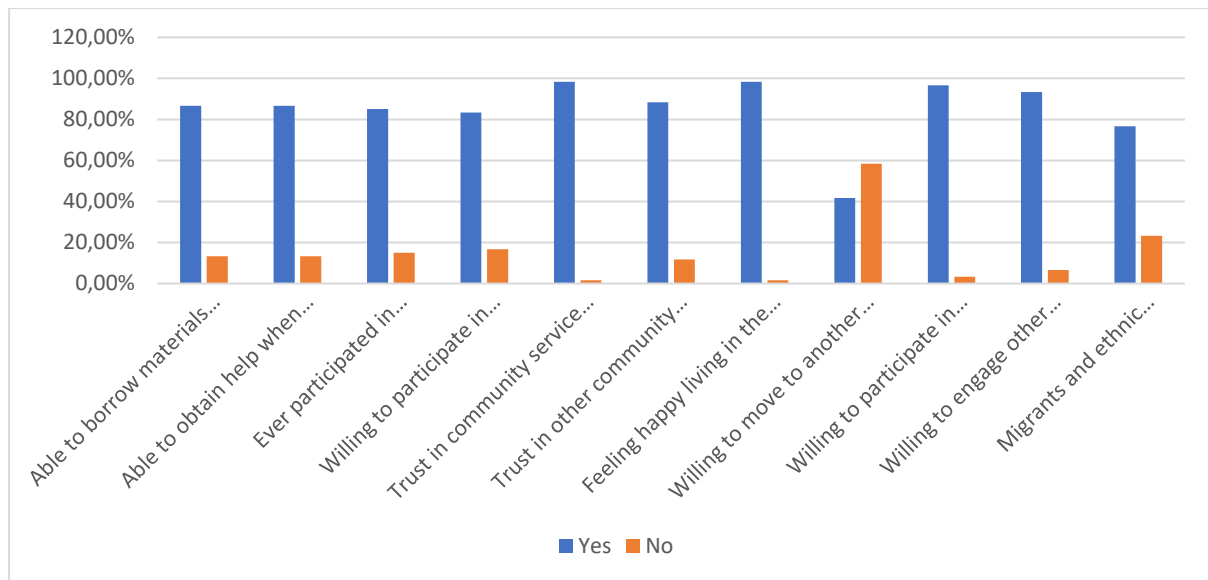


Figure 4-13: Participation in community affairs (Bandung)

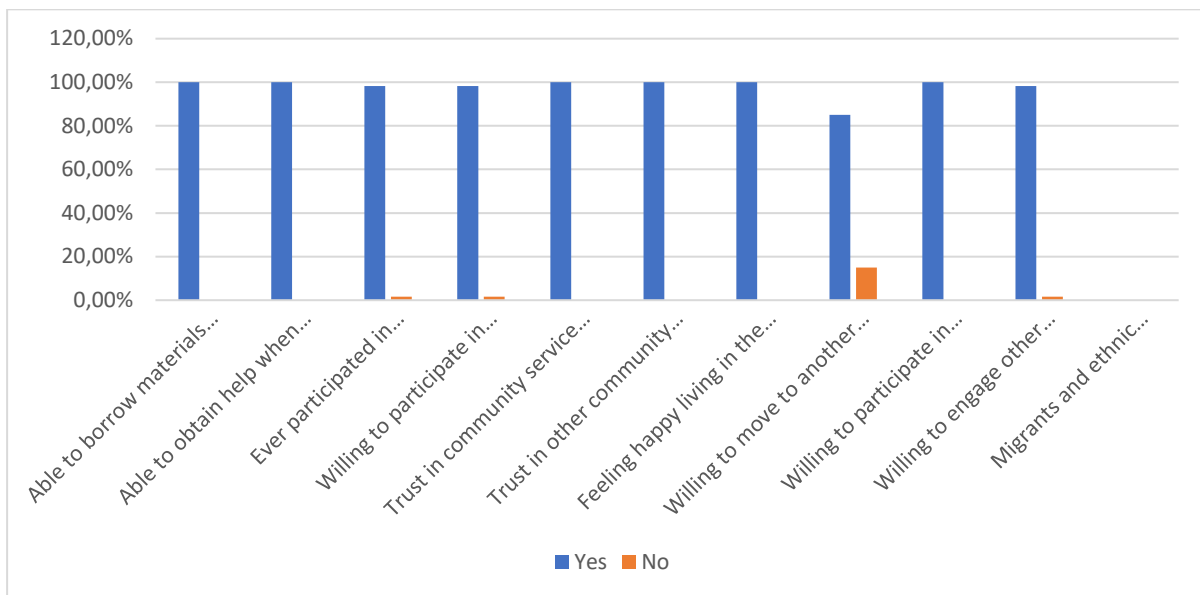


Figure 4-14: Participation in community affairs (Surakarta)

There is a gap between the ideal and the existing condition of community involvement in local democratic processes and mechanisms, especially for marginalized groups or people living in slums. Many existing processes and mechanisms, in practice, rarely comply with procedures. The gap between the ideal conditions of marginalized groups can occur because of their limited assets. Their limited social and physical assets cause marginalized groups to be often invisible and unheard so that their space of participation becomes smaller. These groups are often unidentified and unorganized. Without detection of such segments of marginalized groups, they do not enter into systems that can accommodate their needs. Therefore, the government needs to make efforts in identifying the segment of these groups to detect them so they are able to enter into the system.

Table 4.15: Mechanisms and Processes of Local Democracy for Communities in Slum Areas

Ideal Conditions	Existing Conditions
Communities can participate in planning and adjusting plans (Spatial Planning Law No.26/2007) through Musrenbang.	Not all communities are involved in the Musrenbang forum. Many are not even aware of the forum.
The House of Representatives represents the people in fulfilling their aspirations.	The House of Representatives does not reach the community. Often it only makes populist promises. When giving the community something, it often is something that the community wants instead of needs. It is only to attract sympathy.
Two-way dialogue and community participation in the process of development projects.	Only socialization of the final call. It is not a two-way dialogue with community engagement from the beginning to the end of the process.

4.3 Vulnerability assessment

According to the World Bank (2013), excluded groups are more vulnerable to extreme events. Severe weather events disproportionately affect people with challenges in their mobility. Women are also more likely to die from natural disasters because they stay home more often. Thus, these marginalized groups are more at risk if the study areas are more prone to disasters.

Tamansari Urban Village faces many threats such as flooding. All respondents live on the banks of the Cikapundung River, which is designated for green open space. During the rainy season, the river often overflows due to discharge and large runoff as well as sedimentation of the river and the amount of garbage clogging the flow of the water. This automatically submerges the settlement area. In addition, the high building density leads to high disaster vulnerability, for example for fire. Fires have occurred in the past in RW 15. The high building density makes the evacuation process very difficult and fire spreads very quickly.

In three study areas in Surakarta, there have been no catastrophic disasters because 57% of the residents said there was never a disaster, 33% had experienced clogged drainage channels and the remaining 10% had experienced flooding. Residents experiencing clogged drainage and floods live in Pasar Kliwon, which is located on the riverbank. Meanwhile, there are respondents in Jebres who claimed to have experienced an inundation for several hours during the rainy season.

Table 4.16: Risks in Bandung and Surakarta (in percentages)

Risks	Bandung	Surakarta
Flooding	78	10
Fire	8	0
Lack of drainage after heavy rain	2	33
No	8	57
Does not know	2	0

The access to basic urban services of marginalized groups depends highly upon the provision of these services. The following table shows how the respondents in the study areas value the preparedness of the government in providing these services. The majority of the respondents in Bandung and Surakarta consider the preparedness of the government to provide basic urban services sufficient. 87% of the respondents in Surakarta thinks, the government is somewhat prepared, 11% considers the government satisfactorily prepared and only 2% thinks the Surakarta city government is poorly prepared.

Table 4.17: Preparedness of the government departments to provide basic urban services

Preparedness of the government departments to provide basic urban services	Bandung	Surakarta
Poor preparation	18	3
Somewhat prepared	56	83
Satisfactorily prepared	18	12
No idea	8	2

Marginalized groups are generally excluded from the development process due to generally lower education levels and low influence on developments. A prerequisite for influencing developments that will affect them is to know of the government’s development plans. In both cities, 52% of the respondents are aware of the development plans of the city. The most well-known plans in Surakarta are infrastructure development plans such as road repairs, paving, road improvements, culverts, and sanitation. In addition, social security programs such as education assistance and health insurance are also known. Interestingly, one respondent knows about the expansion plan for Semanggi Urban Village Pasar Kliwon. The government plans or programs that have been identified by the respondents in Bandung include hotel construction; the construction of cheap apartments/row houses/flats; eviction plans; park improvements; greening, especially in the Cikapundung River area; the development of a monorail and LRT; and - road widening.

According to most respondents in Bandung, these projects target to serve all levels of society including minorities, migrants, children, and women. Unfortunately, only 12% of the respondents have ever participated in open budget sessions of the city government. These budget discussions have resulted in the allocation to the needs of the community in the form of the Family of Hope Program, which involves cash transfers to very poor households, community activities, school equipment, cash and subsidized rice for the poor.

About half of the respondents in Surakarta (52%) do not think that there are government and NGO programs targeted for youth, women, migrants, or ethnic minorities. In Bandung, however, 82 percent of the respondents think these programs exist.

Table 4.18: Awareness of Development Plans (percentages)

Awareness of Development Plans	Bandung	Surakarta
No	48	48
Yes	52	52

4.4 Scale of deficits in access of the marginalized groups to urban services

4.4.1 Access to Vital Urban Services

The inclusion of marginalized groups can primarily be seen from their access to urban services. The most vital of these urban services that marginalized groups need to access are clean water; community-level sanitation and waste disposal; restrooms; electricity; food; primary health care facilities; and education facilities. The following table shows the perceptions of the respondents in the survey regarding the scale of deficits in access to urban services. The respondents in Bandung state that almost all basic services can be accessed except for sanitation consisting of wastewater and garbage, and health services. A small proportion of respondents do not have access to sanitation services, especially wastewater, given the location of many houses along the riverbanks. Due to the building density, there is no land for decent sewers; individual as well as communal. As a result, waste is discharged directly into the river. There are respondents who feel they lack easy and affordable access to health services. This may be because the respondents do not understand the procedure of registration and use of BPJS (Social Security Management Agency) facility, which can relieve health costs.

In Surakarta, also nearly all respondents stated that their needs for basic services such as health care, education, shelter, electricity, clean water, sanitation and garbage have been met. Only three respondents stated that they did not have access to clean water. These respondents live in Pasar Kliwon where water is only supplied at certain hours. The seven respondents who complained they did not have access to shelter also live in Pasar Kliwon, on the riverbanks. Their lack of access to shelter is because they are not able to get help through the home improvement program for houses not suitable for living because their houses are built on state land.

Table 4.19: Access to shelter and vital services in Bandung and Surakarta (percentages)

Access to shelter and vital services	Bandung		Surakarta	
	Yes	No	Yes	No
Clean water	100	0	95	5
Community-level sanitation and waste disposal	82	18	100	0
Restrooms	100	0	100	0
Electricity	100	0	100	0
Food	100	0	100	0
Primary health care facilities	97	3	100	0
Education facilities	100	0	100	0
Shelter	100	0	88	12

The table above offers an overwhelmingly positive image of access to shelter and vital services for marginalized groups in Bandung as well as in Surakarta. It is, however, important to analyze the quality of the services obtained and see if every household has exclusive access to these services. In addition, not all

services are provided by the government. Although almost all respondents stated that they have access to basic services, in reality, the services obtained, mainly related to clean water, environmental sanitation and shelter are provided independently (individually or communally) and are more need-driven than policy-driven. The services of clean water, sanitation, and shelter provided by the government (policy-driven) have a low coverage; especially sanitation services (wastewater and trash) because until now the government is still unable to provide this access.

The majority of the community in the study area in Bandung has access to clean water, independently obtained (individually or communally), from both shallow (3-15 meters) and deep groundwater (> 15 meters) by digging wells. The water is machine-pumped, hand-pumped, or by the traditional way with pulleys and buckets. The only treatment before drinking the water and using it for cooking is by boiling it. In addition, a small part of the community is served by the piping network of the local water supply utility (a public and centralized system). However, this water must also be cooked before using it for drinking and cooking. Besides the local water supply utility and independently acquired water, drinking water refill depots sell bottled water or gallons of water as an alternative in meeting the needs of community drinking water.

There are also some communal restrooms (managed by residents) which are provided by the local water supply utility PDAM Tirtawening, donor agencies, and aid programs from the Bandung City government and are often used for bathing and washing clothes. The quality of water from any of the sources mentioned before can be categorized as good, i.e., odorless, tasteless, and clear. In terms of continuity, clean water can be obtained at almost any time or 24 hours per day and in a quantity that meets the basic needs of 120 liters/person/day. However, in certain seasons such as prolonged dry seasons, it is a common complaint that it becomes more difficult to access water due to lower groundwater levels; water needs to be pumped from deeper than usual and sometimes the groundwater slightly tastes and smells like metal, but still clear. In the rainy season, the water from the local water supply utility is less clear and in the case of maintenance/draining treatment plants, water supply is often very limited (6-12 hours per day).

Although the Tamansari neighborhood is located very close to the river, the residents do not use water from the river because it is heavily polluted and contaminated by domestic waste both from the area upstream and by residents who live along the riverbanks. The river is the backyard for houses and most houses in the Tamansari slum area dump garbage and domestic wastewater (both gray and black water) directly in the river. Only 25-50% of homes have family toilets and individual or communal septic tanks. The limited availability of land is a constraint for building septic tanks so the rest of the residents have toilets but wastewater directly flows into the river.

Besides wastewater, trash is often disposed of directly in the river, although the frequency of residents disposing of waste into the river decreases over time. The reduction of this bad habit is one positive impact of several movements initiated by communities concerned with the Cikapundung River Area. In addition, the Bandung City Government has also provided several schemes for waste management consisting of training and counseling related to recycling garbage, providing communal wastebaskets and taking garbage to trash collection sites located close to residential areas. This trash collection happens independently by individual citizens or paid officers. Residents who want their garbage to be collected from their home can pay the garbage collectors. The officers are usually part of the organization of the neighborhood unit or community unit (cleaning department) or are citizens who assist in collecting trash in return for contributions for their service.

The State Electricity Company supplies the entire Tamansari area. In some cases, especially in urban slums, there are some houses that are not registered at the State Electricity Company but still obtain electricity from neighbors or other houses. This may be known by the neighbor who agrees with cost-sharing with households requesting access to electricity or electricity can be stolen without the knowledge of households that have the electricity service. Health services and educational services for the Tamansari community tend to be easily accessible in close distance considering that this area is located in the middle of an urban area with health and education facilities in various levels spread evenly. Many programs have been implemented to achieve the 9 years of compulsory basic education, such as the waiver of educational fees for elementary to junior high school, scholarship programs, and other facilities that facilitate citizens to access education.

Slum dwellers tend to have different perceptions of the quality of dwellings than the government or other parties. Almost all residents in the area are living comfortably in their current house. However, the Bandung municipal government classifies the area in the category of heavy slum with the following criteria:

- 65% of buildings are not regulated;
- Building density >150 units/ha;
- 60% semi-permanent buildings;
- Average population density of 500-750 people/ha;
- Vulnerable to fire and flooding;
- No border to the river, the river directly into the backyard of the dwelling; and
- Land status is mostly state land, public land or open green space (river setback),

There are no substantial issues with access to food or food sources. The local community is able to meet the need for food as a daily primary need. Many donations are given by various parties in the form of food staples and subsidized rice for the poor.

In general, clean water in Surakarta comes from the river, groundwater and mountains (from the regencies of Klaten and Boyolali). The distribution of water sources is strongly influenced by the geographical typology of the area: the southern and western parts of Surakarta which have a sloping topography and are geographically close to Boyolali have access to mountain water from Cokro Tulung, so that the water quality of the local water supply utility in Laweyan, Serengan and Banjarsari sub-districts is generally better. The central to eastern regions have varying access, some of which are supplied by the local water supply utility from Cokro Tulung (old connections), deep wells and treated river water. Meanwhile, northern regions such as Mojosongo and parts of Banjarsari obtain water from deep wells (see Solo Kota Kita: 2012 pp.7-15).

In relation to community participation in water supply and management, the study of Solo Kota Kita (2012) explains more about forms of citizen participation, such as the social master meter system, PAMSIMAS, and communal well construction. In Semanggi Urban Village, including the survey locations, the community has a communal management system of a public hydrant that involves fees every time people take water, while water payments to the local water supply utility are carried out collectively. Meanwhile, the master meter is a form of support of the local water supply utility to the poor through the provision of water with a cheaper basic cost through the collective management (master meter). Two study sites apply this system, i.e., Mojosongo and Sondakan. Another form of participation in clean water management is the PAMSIMAS model where the Public Works Office builds communal wells and leaves the management to the community, including collecting service charges. Clean water in Surakarta is usually used for wash, cleaning, toilets, and cooking. The water needs to be boiled first to be able to drink it or use it for cooking. There is no tap water that can be drunk directly except those located in the vicinity of the local water supply utility office.

All respondents in the study locations in Surakarta stated that they have access to sanitation. In this case, the municipal government of Surakarta through the Public Works Agency provides sanitation in the slums, including in the three urban villages of study area: Semanggi, Mojosongo, and Sondakan. The provision of sanitation includes two programs, i.e. (1) the construction of communal wastewater treatment plants and connections to houses that do not have a waste management system, (2) communal restroom construction in densely populated areas where the community does not have a sanitation system in each house. The provision of sanitation is in cooperation with various parties such as the Ministry of Public

Works and its IUWASH project. While in Semanggi Urban Village, there is also a communal restroom initiated by citizens funded by independently collected money.

100% of respondents said they have access to health services. This shows that health services in Surakarta have reached all respondents in the slum locations. Health service is one of the significant achievements of Surakarta City Government with the Surakarta Community Health Care Program (PKMS). This program has been implemented since 2008, with the aim of providing health care insurance for the people of Surakarta, especially for the poor.

4.4.2 Support During Disasters

The inclusion of marginalized groups can primarily be seen from the type of support they receive especially during disasters. Some respondents reported that they received assistance from various sources in the form of money, food, water, waste collection, medicine, shelter, training, agricultural materials, construction materials, clothing, and school fee waive . Based on the respondent's answers, most support was received from the urban village and from other community members. There is a difference in the types of support that respondents in Bandung receive from the governments (either central, provincial or local) compared to those in Surakarta. Respondents in Bandung reported that they receive only cash and food support, meanwhile respondents in Surakarta receive cash, food, water, electricity, waste disposal, restroom, and medical service from the governments. Apart from the government, support has also been channeled by political parties, students, and hospitals. Support is not merely received in the event of a disaster (disaster is rare). Food aid provided by the central government is in the form of subsidized rice. The central government has also provided money through the Direct Cash Assistance program, which amounted to 300-400 thousand rupiahs. However, it is no longer provided.

In its distribution to the community, the respondents face several issues or problems in receiving government support. According to the respondents, the issues are:

- Support is provided to members of the community who, according to the respondents, do not really need the support (not targeted). Meanwhile, there are many other members of the community who need support but do not receive it;
- The bureaucratic process is too long and convoluted so the requirements to receive support are too strict;
- Direct Cash Assistance is no longer given and the respondents do not know about the future planning for this program; and
- So far, the respondents have only been recorded and they were given promises but they have not received actual support.

Marginalized groups are often unable to provide for their basic needs. Thus, they require help from different levels of government and other organizations to meet their basic needs.

Table 4.20: Types of Support and its Source in Bandung and Surakarta

Types of Support	Sources of Support							
	Central Govt	Provincial Govt	City Govt	Sub-district	Village	NGO	Community	Others
Cash	√ X		√		√			
Food (incl. subsidized rice)	√ X				√	X	√	Political parties
Water			X		√	X	√ X	
Electricity			X			X	X	
Waste disposal			X		X		√ X	
Restroom	X						X	
Medical Service			X		√ X	X	√	Students, Hospital (Bandung), Fosmil (Surakarta)
Shelter					√ X	X	X	
Types of Developing Support								
Work opportunities								
Skills training		√	X		√			
Agricultural input			√		√			
Construction material					√	X		
Mental health service								
Clothing							√	
School Fees waiver	√							

Note: √ = Bandung, X=Surakarta

4.4.3 The expected role of local government dealing with service delivery and access

It is the government's task to provide services that enhance the resilience of marginalized groups. The following table describes a range of services and the importance that the respondents attach to it.

Based on the respondents' access and lack of access to basic services and the level of vulnerability and risks they face, their expectation of public service provision in Bandung is very high in some of the following aspects:

- Proper public announcements;
- Helping to build community-level shelters;
- Support for the elderly and people with disabilities;

- Cleaning and maintaining the shelters;
- Community-based preparedness;
- Developing more infrastructure for resilience; and
- Building appropriate infrastructure.

The aspects of average or low expectations are:

- Mobilizing community members;
- Door-to-door awareness campaign; and
- Use of community radio.

It turns out that not all respondents have high expectations for all aspects of public services. They have very high expectations for several aspects that are considered important for their survival that have not yet been fully fulfilled.

Table 4.21: Expectations of Service Provision by the Government in Bandung (in percentages)

Service	Low priority	Some priority	Priority	High priority	Very high priority
Proper public announcements	0	2	10	33	55
Helping to build community-level shelters	2	3	3	27	65
Mobilizing community members	2	13	53	32	0
Door-to-door awareness campaign	0	20	47	33	0
Use of community radio	2	30	32	18	18
Support for the elderly and people with disabilities	0	0	0	22	78
Cleaning and maintaining the shelters	0	5	2	38	55
Community-based preparedness	0	2	2	38	58
Developing more infrastructure for resilience	0	2	3	25	70
Arranging local transport for moving to shelters	3	12	18	45	22
Building appropriate infrastructure	0	2	2	28	68

In Surakarta, the respondents' expectations are high for the role of the city government in providing public services such as proper public announcements, mobilizing community members, and support for the elderly and people with disabilities. An average expectation level above 50% indicates that people expect the Surakarta City Government to continue to improve their public service provision. Meanwhile, as in Bandung, the lowest expectations are for the use of community radio.

Table 4.22: Expectations of Service Provision by the Government in Surakarta (in percentages)

Service	Low priority	Some priority	Priority	High priority	Very high priority
Proper public announcement	2	3	18	77	0
Helping to build community-level shelters	0	5	13	68	1
Mobilizing community members	0	1	22	77	0

Service	Low priority	Some priority	Priority	High priority	Very high priority
Door-to-door awareness campaign	0	5	20	75	0
Use of community radio	17	32	13	38	0
Support for the elderly and people with disabilities	0	11	10	77	2
Cleaning and maintaining the shelters	0	2	23	72	3
Community-based preparedness	0	28	70	2	
Developing more infrastructure for resilience	1	2	23	72	2
Arranging local transport for moving to shelters	7	17	20	56	0
Building appropriate infrastructure	0	27	72	1	0

Each urban dweller has certain expectations from the access to services by the government. Marginalized groups are more than other groups dependent on the government to provide these services. For instance, rich people can afford private hospitals, while poor people are dependent on free healthcare provided by the government. Therefore, it is important to know which services these marginalized groups expect the government to provide.

The respondents in Bandung have high or very high expectations for access towards livelihood, housing, recovery policy, health care, credit of the local government, and children's education. All six aspects are essential components in supporting their life. It can be concluded that the six aspects are not fully achieved for most respondents, leading to a high expectation, with children's education being the highest.

Table 4.23: Expectations of Access by the Government in Bandung (in percentages)

Access	Low priority	Some priority	Priority	High priority	Very high priority
Livelihood	0	3	20	77	0
Housing	0	7	26	67	0
Recovery policy	0	2	25	42	31
Health care	0	2	25	42	31
Credit of the local government	8	2	11	37	42
Children's education	0	2	2	18	78

In Surakarta, the community expectations of the role of the municipal governments in providing access to other services are also high. Over 50 percent of the respondents have high expectations for all six aspects. The highest expectation is for healthcare, followed by children's education. The respondents in Surakarta also state that social security programs such as healthcare and education support are very helpful for the community members. The respondents in Semarang claim to be helped much with the healthcare program, which offered cancer treatment with medication and surgery provided free of charge. The lowest expectation in Surakarta is for loans. It can be interpreted that the respondents in Surakarta do not really need this access to loans. Meanwhile, respondents in Bandung have high expectations of these loans.

Another difference between Bandung and Surakarta is that in Bandung many respondents have very high expectations, while in Surakarta the respondents hardly have very high expectations.

Table 4.24: Expectations of Access by the Government in Surakarta (in percentages)

Access	Low priority	Some priority	Priority	High priority	Very high priority
Livelihood	0	5	28	64	3
Housing	0	13	27	60	0
Recovery policy	0	3	37	58	2
Healthcare	0	0	5	95	0
Credit of the local government	2	11	22	65	0
Children's education	0	0	11	87	2

4.5 Level of overall satisfaction

4.5.1 Overall assessment of sense of safety/confidence

The overall happiness of people is not only dependent on objective aspects but also on general levels of satisfaction. The following tables provide an overview of the sense of safety or confidence of the respondents regarding the natural environment; current living place; drinking water; community public safety; future of the family; government policy; local government; and community leadership.

The sense of safety or confidence of the respondents in Bandung is generally on medium and (very) high levels. The sense of safety or confidence of the aspect of drinking water is the highest compared to other aspects, namely by 74% of respondents have high and very high levels of satisfaction. This is in line with findings in the previous discussion where 100% of the respondents state they have access to clean water. Although some of the water is obtained independently, the respondents do not find it difficult to acquire it and the availability of water is guaranteed at all times in quantity, quality, and continuity. In addition, the government's inability to provide piped water services to all communities is responded to by various programs of procurement, repair, and maintenance of non-piped water infrastructure with various schemes by the central and local governments and donor agencies so that access to clean water is relatively easy.

Table 4.25: Sense of safety/confidence in Bandung (percentages)

Aspect	Very Low-Low	Medium	High- Very High
Natural environment	20	32	48
Current living place	13	35	52
Drinking water	5	21	74
Community public safety	15	27	58
Future of the family	17	33	50
Government policy	22	51	27
Local government	13	48	39
Community leadership	7	38	55

The aspects of public safety aspects, community leadership, current living place, future of the family, and the natural environment are assessed mostly at high and very high levels and only a small proportion values these aspects low and very low. This shows that the access to these aspects is good enough for most people. Whereas the above aspects are all valued almost 50 percent or higher, most respondents considered the aspect of local government and government policy in the neutral category while the remaining respondents show no significant difference between very low and very high assessments.

Most of the respondents in Surakarta reported high levels of safety or confidence toward all aspects asked; some even gave a very high rating. Nevertheless, there were also respondents who provided a very low assessment of the aspect of drinking water supply. As discussed before, one of the communities lacks access to clean water, thus it is reflected in the sense of safety or confidence.

Table 4.26: Sense of safety/confidence in Surakarta (percentages)

Aspect	Very Low-Low	Medium	High-Very High
Natural environment	2	23	75
Current living place	0	22	78
Drinking water	18	15	67
Community public safety	3	10	87
Future of the family	0	17	83
Government policy	0	13	87
Local government	0	17	83
Community leadership	0	10	90
The whole society	0	13	87

4.5.2 Overall satisfaction with organizational performance

The provisions of services and help for marginalized groups originate from the organizations responsible for it. The following tables describe how the respondents in the study areas value the organizational performance of these organizations. The results do not show a trend of very satisfied or very dissatisfied, but neutral and satisfied. Overall, the respondents assess the performance in each level as satisfied or moderate.

The level of satisfaction about organizational performance in Bandung shows that most of the respondents are much more satisfied with the organizational performance of community/village leadership, local sub-district government and the city government compared to the performance of NGOs, the provincial government, and the central government. This indicates that the lower levels of government interact more directly with the community. There is a tendency that the public will give higher assessments of satisfaction of an organization if it provides programs directly felt by the community.

Table 4.27: Satisfaction about organizational performance in Bandung (percentages)

Organization	Not satisfied at all	Somewhat satisfied	Neither satisfied nor dissatisfied	Satisfied	Very satisfied
Central government	15	18	40	20	7
Provincial government	3	17	51	22	7
Municipal government	3	15	30	19	33
Sub-district government	0	15	33	40	12
Community/village leadership	0	5	35	37	23
NGOs	3	29	38	22	8

This is in line with the responsibility of the leadership of villages, sub-districts, and municipal government who have a direct responsibility of serving the community. Regional autonomy policies lead to provincial and central government policies to be implemented through the three lower-level organizations in accordance with their respective authority so that the central and provincial governments will rarely implement the programs or provide direct assistance to communities.

In Surakarta, the level of community satisfaction of the performance of the organizations is diverse. The government level with the lowest satisfaction is at the provincial level and the respondents are most satisfied with the levels of government in the city and village. From the performance of all these organizations, most citizens are highly satisfied with the municipal and village governments. This is because the community directly feels the public services provided by the municipal government. The high satisfaction with the municipal government may also be due to the limited knowledge of the community regarding the ownership of the program, in the sense that people generally know that the programs implemented in their areas are from the municipal or central government regardless of whether the program is conducted in cooperation with other parties. Generally, the public does not know about the provincial government programs.

Meanwhile, NGOs get the lowest assessment, as 2% of the respondents are not satisfied at all and no respondent is very satisfied with the performance of NGOs in Surakarta. This is because the community does not know about the programs that are implemented by NGOs, which is shown by the 93 percent of respondents who were satisfied nor dissatisfied. In the interview process, many respondents were not even familiar with the term NGO. Many consider work related to public services the domain of the government rather than that of NGOs. In addition, the word NGO sometimes has a negative connotation of merely being a government's critic. This is due to the stigmatization of NGOs as anti-government movement in the New Order regime (see Antlov et al., 2005), a feeling that has been carried over to the reform era.

Table 4:28: Satisfaction about organizational performance in Surakarta (percentages)

Organization	Not satisfied at all	Somewhat satisfied	Neither satisfied nor dissatisfied	Satisfied	Very satisfied
Central government	0	15	22	58	5
Provincial government	0	13	54	30	3
Municipal government	0	1	15	77	7
Sub-district government	0	1	17	80	2
Community/village leadership	0	5	10	82	3
NGOs	2	3	93	2	0

4.5.3 Overall assessment of the institutional features of local government

The previous tables described how respondents value the organizational performances. The next tables demonstrate how the respondents value the institutional features of local government, as the government level that most influences the lives of city dwellers. In Bandung, the aspects of corruption, the politicization of service delivery, equitability of resource distribution, and level of accountability show medium and low levels of satisfaction. This shows that the performance of these four aspects is insufficient in the eyes of the community. There are still many respondents who feel that resources are not evenly distributed or there are imbalances on one side, the high level of politicization in public services, the level of corruption of the municipal government is still high, and accountability is still low in the eyes of some respondents. The previous Mayor of Bandung, Mr. Dada Rosada was jailed due to corruption case involving his staff and the misuse of social assistance fund. The recipients of the fund are mainly the poor who live in areas like in Tamansari. On the other hand, the aspects of community participation, transparency of activities, and gender sensitivity are rated high. Overall, the institutional features of the local government in Bandung are rated medium to high.

Most respondents in Surakarta are satisfied with the performance of the local government, some aspects stand out. Whereas the respondents in Bandung assessed local government to have high levels of corruption, the perception of respondents in Surakarta is that corruption tends to be low. This proves the level of public confidence in the government in Surakarta. However, the perception of low corruption of local government does not necessarily mean that the rate of corruption in Surakarta really is low. Rather, this is related to public confidence in the leaders that represent the government, especially the mayor. From the time Joko Widodo was mayor to FX. Hadi Rudyatmo, the people have high confidence in their leadership. This may result in an overall positive sentiment of the government's performance in terms of reducing the rate of corruption.

Table 4.29: Assessment of the institutional features of local government in Bandung (percentages)

Institutional features	Very Low-Low	Medium	High-Very High
Corruption (clean government)	65	22	13
Quality of service delivery	12	40	48
Politicization of service delivery	45	35	20
Resource mobilization capacity	13	42	45
Resource management capacity	17	46	37
Equitability of resource distribution	43	32	25
Capacity to plan	15	50	35
Work efficiency	15	50	35
Adequacy of manpower	25	45	30
Transparency of activities	20	23	57
Level of accountability	42	55	3
Community participation	2	33	65
Level of trust by community members	7	46	47
Gender sensitivity	28	17	55
Responsiveness to special needs of marginalized groups	18	40	42
Overall image	18	50	32

In addition, the practice of good public services in pockets of poverty and slums is one of the common parameters that encourage people to have high trust in the government. In Bandung, one of the four aspects of local government that the respondents consider problematic is the politicization of service delivery. This is also the aspect of local government that some respondents in Surakarta are not satisfied with, even though most respondents still think this politicization is not a problem.

Besides high level of satisfaction with clean government (low level of corruption), other institutional features of Surakarta government rated high by respondents were level of trust by community members, community participation, quality of service delivery, and the capacity to plan. Overall, the institutional features of local government of Surakarta are valued even higher than the Bandung government.

Table 4.30: Assessment of the institutional features of local government in Surakarta (percentages)

Institutional features	Very Low-Low	Medium	High-Very High
Corruption (clean government)	3	12	85
Quality of service delivery	6	22	72
Politicization of service delivery	25	23	52
Resource mobilization capacity	3	59	38
Resource management capacity	3	59	38
Equitability of resource distribution	7	55	38
Capacity to plan	2	33	65
Work efficiency	3	59	38
Adequacy of manpower	0	55	45
Transparency of activities	0	55	45
Level of accountability	0	58	42
Community participation	0	27	73
Level of trust by community members	0	25	75
Gender sensitivity	5	42	53
Responsiveness to special needs of marginalized groups	2	40	58

Overall image	0	33	67
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Chapter 5: Innovations and Good Practices

This chapter analyzes the data from the city and slum settlements by focusing on the innovations and good practices in the study areas. The study addresses the innovations and good practices in four topics, i.e., participation, accountability, transparency, and access. For each innovation, the study specifies (1) what the innovation or good practice is in terms of content; (2) how was it designed and implemented; and (3) what has been the impact of the innovation/good practice and potential for replicability.

5.1 Participation

5.1.1 Musrenbang

Chapter 3 of this report has described Musrenbang, the process of participative development planning. It refers to the process of community discussion about local development needs. This bottom-up process is participatory in nature as it attempts to give communities a voice and a chance to influence the development planning that will be implemented. The Musrenbang process was introduced to replace Indonesia's former centralized and top-down government system. Law 25/2004 on the National Development Planning System institutionalized Musrenbang on all government levels and in the long-term, medium-term and yearly plans. It emphasizes the need to synchronize five planning approaches, i.e. political, participative, technocratic, bottom-up, and top-down in regional development planning. Since 2000, the communities in Surakarta have gotten used to the participative development process. Members of the public have been involved starting with the planning process at the community unit, neighborhood unit, and urban village. Later, representatives of the community have also been involved with community discussions on the sub-district and city level. Originally, Surakarta was the pilot project for Musrenbang, but because it is regulated in national legislation, it is replicated all over Indonesia albeit with various degrees of success (Kota Kita, n.d.)

5.1.2 Regional Development and Empowerment Innovation Program (PIPPK)

Another participatory good practice is PIPPK. This program of the Bandung municipal government was introduced in 2015. It is aimed to increase the community participation in the development process. It is implemented by the entire local government organization and through community institutions consisting of community units (RW), the Family Welfare Program, youth organizations, and community empowerment institutions. PIPPK is formed based on the belief that dynamic changes occur within the community that can be implemented optimally through broad, bottom-up community participation, especially in decision-making in solving various problems through community empowerment.

Although the development system is considered to go in the right direction, the Bandung Municipal government hopes that PIPPK can further refine the development process in the city. The program is expected to address various development problems at the local level by combining various existing programs (P2KP, PNPM, and IDT) and is expected to provide learning and empowerment for the community, that the development process must be carried out through an innovative decentralization approach by all parties (collaborative) and be the responsibility of all parties. The main basic objectives and principles are shown in the following table.

Objectives	Principles
<ul style="list-style-type: none"> • Improving the capacity of the community and community institutions in mapping the central small-scale development issues in each urban village; • Improving the ability of the community and community institutions in urban villages in independently solving various development problems in each urban village; • Improving the community's ability in the development of community economy, especially entrepreneurship for opportunities to create new entrepreneurs and new jobs; • Establishing the development management learning process in each urban village. 	<ul style="list-style-type: none"> • Based on human development • Oriented at the poor • Innovative • Participatory (the community is actively involved in the development process) • Autonomous in its implementation • Decentralized • Gender equality and justice • Democratic • Transparent and accountable • Priority on innovation and empowerment • Collaborative • Continuous and sustainable

Figure 5-1: Objectives and basic principles of the Regional Development and Empowerment Innovation Program (PIPPK)

The Regional Development and Empowerment Innovation Program (PIPPK) is carried out with the usual mechanisms and development processes, i.e., starting from the process of planning, implementation and controlling, evaluation and monitoring, and reporting and accountability. Its implementation requires direct participation and the involvement of the community at all stages of the development process, accommodated through community institutions in the scope of activities within the scope of community units (RW), the Family Welfare Program, youth organizations and community empowerment institutions.

According to the mayor of Bandung, Ridwan Kamil, the concept of PIPPK is carried out to ensure that all areas in Bandung receive development funds. Equitable development in Bandung is the main target of this program. According to him, there are three main concepts of empowerment, namely:

1. Society must be empowered, not always be the object of planning;

2. Movements must be carried out together; and
3. Activities are carried out evenly throughout Bandung

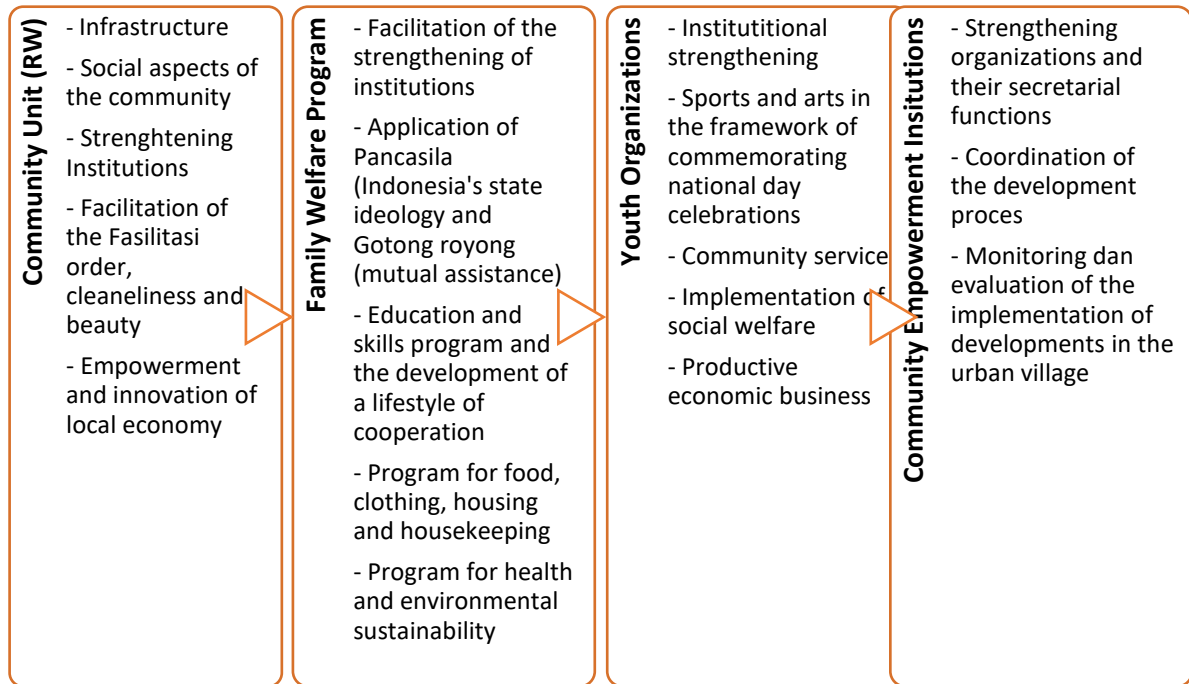


Figure 5-2: Scope of activities of the Regional Development and Empowerment Innovation Program

This program has high potential to be replicated in other cities in Indonesia. It is developed bottom-up on the municipal level, but it is inspired by the current Indonesian government paradigm of decentralization and citizen participation in the development planning process.

5.1.3 Active involvement of marginalized groups

In Surakarta, the head of the Regional Development Planning Agency ensures that all marginalized groups are included in the development planning process. He believes that all marginalized groups have already formed community groups. All known groups are involved in the development planning process, in cooperation with the government work unit related to their sector. The head of the Regional Development Planning Agency actively asks community groups to be invited if they are not yet included in the development process. This good practice is easily replicable in other cities in Indonesia as it is not institutional program but rather the mindset to involve actively each marginalized group. This is a way to empower these groups instead of making them fight for their own rights.

5.1.4 Mider Projo and Sonjo Wargo Program

Mider Projo is one of the routine programs that the current mayor of Surakarta carries out each Friday morning. Sonjo Wargo is similar activities that the mayor does in the evening. Both activities involve

meeting people in their own environment as a facility to listen to their aspirations. The weekly activity of Mider Projo has been carried out in Surakarta since the current president of Indonesia (Joko Widodo) was Surakarta's mayor, when it was referred to as *blusukan*. This good practice is easily replicable as it does not require a large budget and it prevents the city administration from governing its citizens from an ivory tower.

5.2 Accountability

5.2.1 SAKIP Juara (Government Institution Performance Accountability System Champion Program)

SAKIP Juara is one of Bandung's programs for creating responsible governance. On the basic principles of good governance and clean government, the government of Bandung seeks to start a paradigm shift from "Input-Oriented Government" to "Result-Oriented Government", based on the principle of accountability, meaning that the result of every program and activity of the state must be accountable to the public.

The low level of Performance Accountability score of the previous Bandung city government was identified to be caused by weak leadership commitment, resistance towards change, low understanding of performance accountability and a low quality of performance data. Based on the identification of the four problems, the SAKIP Juara program encompasses five steps. The most innovative is the fourth step to build SILAKIP (SAKIP Online), BIRMS, and Bandung Command Center applications. In this step, the performance management system of the Bandung City Government refers to the integration of financial accountability with performance accountability by utilizing information technology embodied in three management systems.

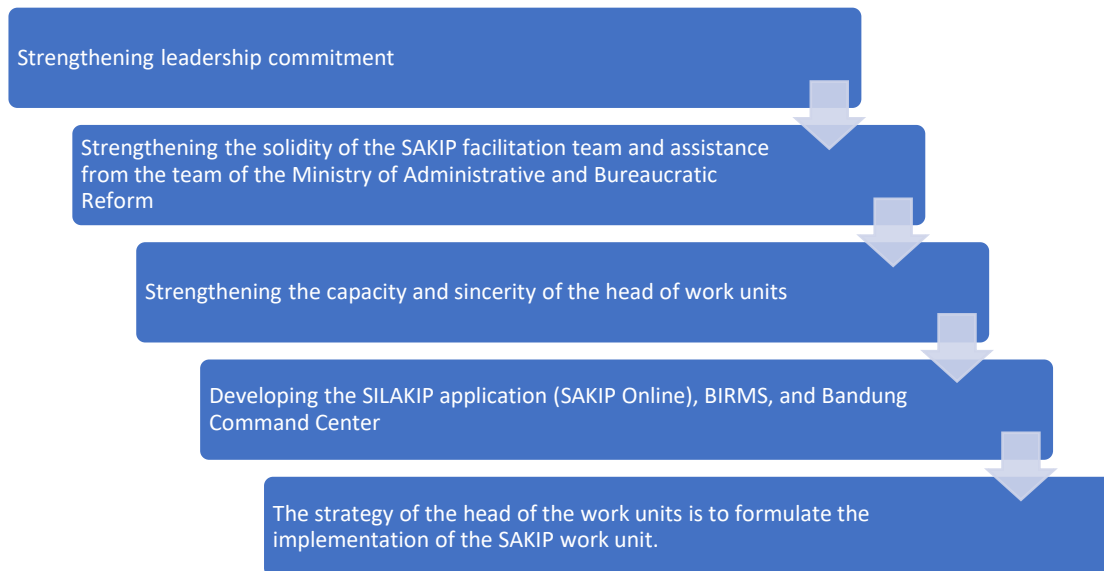


Figure 5-3: Five steps of the SAKIP Juara Program

1. SAKIP Online or SILAKIP (Performance Accountability Reporting Information System)

With SILAKIP/SAKIP online, performance reports of work units can be viewed both quarterly and yearly. Not only by government officials, SILAKIP is also accessible to the public to view the progress of the of work units in the achievement of their targets. The Ministry of Administrative and Bureaucratic Reform regularly audits the accountability of local governments. In 2015, Bandung was the only city in Indonesia to score an A on this, while it was ranked 400th in 2013 (Nurmatari, 2016). This shows how effective the Bandung municipal government programs are, which serves as an example for other cities in Indonesia to replicate.

2. BIRMS (Bandung Integrated Resources Management System)

BIRMS is an integrated bureaucratic information portal. Since 2013, all bureaucratic affairs are integrated into information technology. BIRMS is created so that leaders can make decisions quickly and accurately without the need for many meetings to see the progress of an activity. BIRMS is mostly intended to facilitate the performance of the work units but there is also some information that can be accessed by the public such as information related to public auctions, procurement, and direct appointments. There are various applications such as:

- e-Musrenbang: Participative Development Planning through e-Musrenbang online;
- e-budgeting: through the Regional Information Management System (SIMDA);
- e-RUP: General Procurement Plan;
- e-Project: work planning;

- e-ULP: Public Auctions through;
- e-proc: procurement of goods/services through public auctions;
- e-kontrak: procurement of goods/services through direct appointment and contracts;
- e-swakelola: procurement through self-management;
- e-progress: progress of procurement of goods/services;
- e-performance: performance of procurement of goods/services; and
- e-asset: assets through the procurement of goods/services.

3. Bandung Command Center

Bandung Command Center is Bandung government's center for information management using information and communication technology. It was built as an effort in realizing the city as a leading and smart city. Some of its functions include monitoring the condition of the city (such as traffic congestion and street vendors) and viewing the performance of bureaucracy in making decisions appropriately and quickly. Bandung Command Center is connected with CCTV installed in 80 strategic locations.



*Figure 5-4: Mayor of Bandung, Ridwan Kamil (standing), inside Bandung Command Center
Source: portal.bandung.go.id*

5.2.2 Service for Public Complaint Handling

In order to ensure that government is accountable to the public, a service for public complaint handling system has been initiated by the central government. The LAPOR! application (meaning report in Indonesian, abbreviated for Online Citizen Complaints Service) can be used by SMS 1708, website (www.lapor.go.id), or Android and Blackberry apps. The LAPOR! website shows the status of the complaint and the way in which it is handled internally. This information is available to the public. The data on the complaints through the application are saved for analysis to be used in reports to leaders in the government. LAPOR! is actively used by Indonesian citizens; it receives around 800 reports by citizens

each day. In 2013, the LAPOR! initiative was presented at the Open Government Partnership Summit in London.

Since 2014 the Municipality of Surakarta has also opened a public complaint service with a website-based electronic system called the *Unit Layanan Aduan Surakarta* (ULAS). This complaint system is established to improve government performance. Through a web-based complaint system, as well as through Short Message Service (SMS), Twitter and Facebook, the Surakarta Municipal Government open access to 24/7 community complaints. Through ULAS, Surakarta City Government increased the effectiveness of services to the community from the initially through letters and SMS only.

Through ULAS, the community cannot only quickly make the complaints, but it is also easy to monitor the follow-up. Communities can monitor directly and see how far the related government unit responds and acts quickly to respond to the complaint. Inevitably, the concerned government unit also has to be responsive and quick in following up the complaints that become its authority. In this case, each government unit can monitor in real time the performance of other units. Therefore, the concerned unit is required to respond to complaints quickly and be given a maximum of 3 days time.

5.3 Transparency

5.3.1 Website of Government Agencies

Transparency usually relates to participation and accountability as pillars of good governance. Transparency is a principle that ensures access or freedom for every citizen to obtain information about governance, related to information on policies, processes of formulation and implementation, as well as the results of the policy. To facilitate the public in obtaining budget planning information and its use, one of the things done is to provide information that is easily accessible through both online and offline media.

An example is the website of the Provincial Development Planning Agency (<http://bappeda.jabarprov.go.id/>). This website provides much information for the residents of Bandung. The website has an overview of different applications and public information, which can be seen in the following figure. A different section of the website provides an overview of all development plans that have been implemented. A nice feature of the website is the option to translate it from Indonesian to English and Sundanese, which is the native regional language of many residents of Bandung. It is uncertain what the impact of this good practice is for the marginalized groups in society, remembering the low use of the internet by the respondents in the study area. In addition, some features of the website do not work yet. Providing information on websites is a good way to offer transparency to citizens in general, as it can prevent people from having to travel to a government office to acquire information.



Figure 5-5: Website of Regional Development Planning Agency: apps

5.3.2 Presence of Government Agencies on Social Media

The Regional Development Planning Agency is also an example of the presence of government agencies on social media, in this case, Twitter: <https://twitter.com/bappedajabar>. Being active on Twitter is a good way for government agencies to increase their transparency and to provide information to the public in an easy way. Indonesians are very active on Twitter. In May 2016, Indonesia had 24.34 million active Twitter accounts, placing Indonesia ranked third globally. In 2016, Indonesian Twitter users sent 4.1 billion tweets (Jakarta Globe, 2017). The Regional Development Planning Agency uses its Twitter account to send information of direct importance to the public, such as the new regulation that toll roads now only accept e-toll instead of cash payment. This good practice is easily replicable, as it requires only a small budget to implement.

5.3.3 Bandung Planning Gallery

Bandung Planning Gallery (BPG) officially opened in early August 2017. It is the first city planning platform in Indonesia. BPG displays the kaleidoscope of urban development in the past, present, and future city planning. Various models of development are displayed, ranging from maquettes of the city of Bandung to three-dimensional maps of the Bandung basin. The main purpose of BPG is that every development plan is known by the community to offer transparency. According to the mayor of Bandung, BPG is developed in the spirit of open government. It is still too early to see the impact of the Bandung Planning Gallery. It is, however, a more accessible way for citizens to visualize plans. Especially when they are not trained as planners, it could be hard to interpret maps on paper.



Figure 5-6: Situations inside Bandung Planning Gallery

5.3.4 Information Management and Documentation Office (PPID)

The Information Management and Documentation Office oversees access provision to public information for people who request it. The provision of information in Indonesia is based upon Law No. 14/2008 on Public Information Openness and Decision of the Minister of Communication and Information Technology No. 117/KEP/M.KOMINFO03/2010 on Information Management. The position of Information Management and Documentation Office was founded to realize a transparent and accountable information service to fulfill the rights of information applicants. The information provided in the framework of government transparency is very diverse and can include Regional Budget Management; Regional Planning; Procurement of goods and services; and Public Service.

The public can access information in various ways

1. At a service desk;
2. Through the website ppid.bandung.go.id or through the websites of the respective work units
3. By sending a letter to the head of the Office of Communication and Information
4. By phone
5. By E-mail

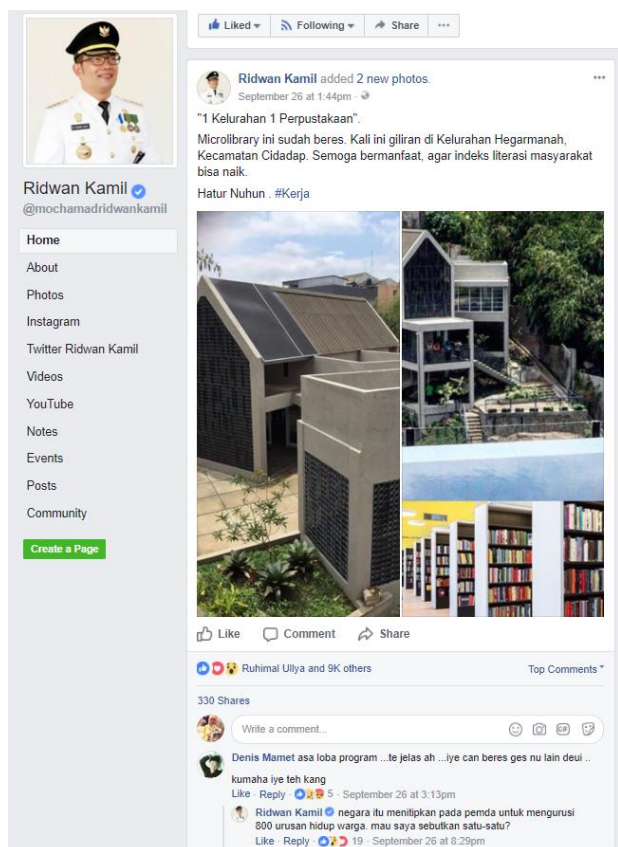
6. Through social media. The Information Management and Documentation Office has various social media accounts, including Facebook, Twitter, Instagram, and a YouTube channel.

As per November 2017, the website of the Office of Communication and Information has been visited more than 13 million times.

5.3.5 Social Media Account of the Mayor of Bandung

In addition to the media and official portals of the Bandung City Government, data and information are also delivered through the social media accounts of the mayor of Bandung. Through this account, he regularly makes announcements and provides information on the progress, process, and development of plans in Bandung City. He conveys his messages in an accessible way, often using Sundanese, the traditional language of Bandung. He also quickly responds to comments and suggestions of the public made to his social media account. The impact of the social media accounts of the mayor of Bandung can be seen from the number of followers. Per November 2017, his Facebook account has about 3.26 million followers and his Twitter account 2.82 million and over 40.000 tweets. These numbers are high, considering Bandung had 2,481,469 inhabitants in 2015.

Figure 5-7: Facebook Account of the mayor of Bandung



5.4 Access

Good practices and innovations in the implementation of access to basic services for marginalized groups in the city of Bandung have been discussed in chapter 2 and 3. These practices were initiated by the central and regional government, so they were not programs typical for the city of Bandung. Nevertheless, since 2015, the government of Bandung launched 23 programs on poverty alleviation by providing access to basic services for the poor. Based on PPID (2016), there are seven focus areas, i.e., education, social, health, food security, community economics, subsidized shelter, and economic spatial planning.

Table 5.1: Bandung City Poverty Alleviation Programs

Field	Program
Education	Free education
	Undergraduate scholarships
	Free school bus
Food security	Subsidized rice for the poor
	Provision of subsidy for 3 kg gas canisters for the poor
	Motorcycle taxi delivery
	Delivery of basic needs for workers
Community Economics	Entrepreneurship training
	Jasmine credit (Loans without collateral and no interest)
	Labor intensive employment program for jobs such as janitors, security officers, and park keepers
	Launching a registration application for entrepreneurs by eliminating micro business licensing
Subsidized Shelter	Home renovation for houses not suitable for living
	Apartments for laborer and honorary teachers
	Public housing apartment at 15 sites with subsidies to the needy
Economic Spatial Planning	Structuring street vendors by relocating them to designated locations
	Coaching of street vendors through management organizations, business development, capital facilitation, providing identity cards to street vendors and the establishment of street vendor forums in 27 sub-districts
	Renovation of traditional markets
Social	Let's Pay Zakat Program, to invite the Muslim community give alms to the needy
	Family for Family Program to look for 60.000 families to become foster families for poor families
	Funeral subsidy (IDR 2 million)
	Free wedding service
Health	Insurance premium paid by the municipal government
	ER Fund for emergencies
	Free ambulance
	24 hours public health facilities so the poor do not need to go to the hospital at night

Source: PPID Kota Bandung, 2016

Chapter 6: Factors and Barriers

The innovations and good practices as described in the previous chapter are inseparable from several important underlying factors. Several important factors lead to these breakthroughs in the mechanism of participation, accountability, transparency, and access for society, especially marginalized groups. In addition, this chapter provides an overview of the structural and institutional barriers to full engagement of marginalized groups in processes and mechanisms of local democracy.

6.1 Identification of the factors that led to the innovations and good practices

6.1.1 Leadership

In Indonesia, leadership is an important factor that underlies innovations in cities around the country. The current president, Joko Widodo has brought change in Surakarta during his time as mayor (2005-2012). This study has already provided some good practices in Surakarta that started during the leadership of Widodo. An example is *blusukan*, or making unplanned (impromptu) visits to the community. Since his leadership, Surakarta has also become more participative and inclusive for marginalized groups. Several pro-marginalized group policies relate to the relocation of street vendors, a health scholarship program, the renovation of houses that were unsuitable for living, and the revitalization of traditional markets.

The same is true for Bandung. A study by Ramdhani (2015) on the leadership of Ridwan Kamil, the mayor of Bandung shows that he is one of the keys to the transformation of Bandung in the last 5 years. The study describes him as a charismatic and transformational leader, which can be seen from the following four types of behavior: (1) charisma/idealized influence, i.e., strong self-confidence and holding firm to his beliefs to make Bandung a comfortable city to live in; (2) inspirational motivation, he inspires the people of Bandung to play a role in the future of the city; (3) intellectual stimulation, i.e., he inspires the people to think innovatively and creatively with regard to the progress of the city of Bandung; and (4) individualized consideration or individualized attention, i.e., he listens and pays attention to the input from the people. In addition, the mayor has six qualities that a leader should have, i.e.: (1) a clear vision; (2) communication skills; (3) social skills; (4) good character; (5) good competences; and (6) bravery and firmness. The accomplishments in his leadership are based on dedication and hard work. An example of the accomplishments of Ridwan Kamil is the increase in accountability of the Bandung government. During his leadership, Bandung moved from rank 400 to become the highest rated city in accountability.

The former mayor of Jakarta, Basuki Tjahaja Purnama, is also seen as one of Indonesia's powerful leaders, according to the opinion leader survey of the University of Indonesia (Cahya, 2016). After his first 100 days as governor of Jakarta, the Jakarta Post (Wardhani, 2015) published an article on some of his

accomplishments during that time. He demoted several agency heads whose work was not up to his standards. To improve the performance of civil servants and to prevent corruption he implemented a new payment system where civil servants receive a static and a dynamic pay, which is only paid if certain targets are met. He also implemented an electronic payment system for micro-entrepreneurs, aimed to stop illegal levies by thugs.

6.1.2 Communication style

Good communication techniques are an important capital for the government of Bandung in interacting with the community. The use of social media such as Facebook, Twitter, Instagram, and YouTube channels are very effective in disseminating information widely. Language ranging from Indonesian, English, and Sundanese as a traditional language and style that is not always rigid but still elegant, humorous, and warm has become one of the main points in establishing communication between the government of Bandung with its citizens.

6.1.3 Community approach

The direct approach to visit the community, either making Sunday a leader's routine to just eat and chat with less well-informed people in Bandung, or Friday morning in Surakarta, provide routine information, socialize and listen to grievances and hopes of citizens to make citizens sympathetic to their leaders and government people's willingness to participate to become part of and cooperative in development and management of their city.

6.1.4 Transformation of the Government Management Paradigm

The government management paradigm that used to be oriented at input has been transformed to be oriented at output. Because of that, various creative efforts have been undertaken to ensure the accountability of the government's performance with the principles of good and clean governance.

6.1.5 The smart city concept

The implementation of the smart city concept in Bandung makes an incremental operational change based on the use of information and technology. This concept integrates various fields. This has a practical and efficient impact on urban management and services; it facilitates public services and shortens the time to solve problems as it is based on technology and information. Bandung is considered one of the forerunners of the smart city concept in Indonesia. Jakarta has also applied the smart city concept in its Jakarta Smart City project. It provides the city with a dedicated hub for the latest technology. It helps startups that focus on smart city technology with apps like Qlue and Trafti, and technology like smart lighting and ERP to shape the daily life of Jakarta's citizens. Another city in Indonesia well known for its

implementation of the smart city concept is Makassar. One of the latest smart city applications in Makassar is its smart CCTV, which serves as an example for other Indonesian cities (Winarko, 2017).

6.1.6 Easiness for citizens to tell the government their aspirations

The Indonesian government makes it more and easier for citizens to report complaints. Systems such as the national LAPOR! and ULAS, the complaints system developed by the local government of Surakarta facilitate citizens in filing reports through various ways, such as SMS, website, Twitter, Facebook or by phone.

6.2 Structural and institutional barriers to full engagement of marginalized groups in processes and mechanisms of local democracy

Realizing socio-political inclusion and local democracy for the community groups living in slums encounters obstacles and challenges that often hamper the process. Therefore, experiences from slum management in Indonesia, especially in Bandung, show the major obstacles and challenges faced by various parties, either from the perspective of the community in the slums themselves or others as regulators and service providers, i.e., the government and other actors who act as mediators such as NGOs/Activists and Environmentalists. The main barriers and challenges to the full engagement of marginalized groups are discussed below.

6.2.1 Trust

There is a lack of trust among various parties involved (between the community and the government, the community with NGOs, and NGOs with the government). Trust is often shaken by parties with political motivations that change people's opinions quickly. If people do not trust the government then no government effort will be effective. Conversely, if the community has high levels of trust then whatever the leaders say will be done and followed by the community. Participation and a good track record of leaders are believed to be tools that can increase trust. The survey results suggest that the level of trust of respondents in Surakarta toward the city government is generally higher than those in Bandung. According to the survey in Bandung, this is associated with the low level of satisfaction with regards to corruption, politicization of service delivery, equitability of resource distribution, and level of accountability. The trust in the government is also affected by inconsistencies in government policy. In one case, regulations are enforced strictly but in other cases, situations are left alone. An example is controlling illegal buildings on riverbanks by the government for violating regulations in one location but not acting in other locations.

6.2.2 Political and personal interests

There are provocations from the opposition side related to political interests. The community is an object and political tool that is easily instigated by groups with certain interests. Certain parties are major obstacles in the planning process because they have particular interests and try to incite or provoke the community with a variety of motives because they are unwilling to cooperate in the process. This is reflected in the level of satisfaction of respondents in both cities toward the politicization of service delivery, some respondents have issues with this aspect in their respective city. Another example is the existence of third-party brokers in development projects. The brokers make it difficult for the government to convey its good faith to the communities. Often the government's mandate is not distributed as a whole because of these parties. The most common example is in the process of compensation for land. Communities often do not get their due right because a part of their share is taken by the brokers. Structurally, these brokers can come from either party, the local apparatus and from the residents' representatives.

6.2.3 Lack of participation

Processes and mechanisms of local democracy for people affected by development projects are not working properly. Community involvement is still limited so its needs may not be accommodated. Often processes seem very instant and the government's engagement is only a final call or notification, not a two-party dialogue and without inputs of the opinions and aspirations of the community from the beginning of the planning process until the construction process. Community involvement in democracy and local mechanisms has not been felt fully by the communities, even though community participation has been formalized in the national legislation regarding the development planning system (Law No. 25 of 2004) and local government affairs (Law No. 23 of 2014 on Regional Government). Many respondents acknowledge that not all communities are involved in the Musrenbang forum (Community Discussions on Planning and Development). Even many respondents feel unpopular and have no idea about the forum.

6.2.4 The mindset of communities

Communities often have a selfish way of thinking and do not care about the process. People often just stick to instant and easy ways of doing without considering the long-term consequences. Changing the patterns of community behavior and the process of adaptation to new things are challenging on its own. The limited amount of land and the ever-increasing urban populations necessitates non-conventional long-term slum handling solutions such as vertical dwelling. Landed houses are no longer an option. Changes in behavioral patterns of life and in the outlook of people who are used to living in landed-houses are needed as they now must live in vertical dwellings, which is difficult for them and this requires

serious time and adaptation. In addition, it is a challenge to educating the public, especially the marginalized groups in understanding and acquiring an awareness of the need for an understanding of participation, accountability, transparency, and access to basic services. An example of behavior that needs to be changed is seen in the case of Surakarta, where children voluntarily chose to work instead of going to school because they prefer to make money instantly.

6.2.5 City budget allocation

Decentralization policy has improved fiscal capacity of local governments, especially municipal governments. This is shown by the case of Bandung, where almost 50% of the city budget is gained from locally generated revenues, in which 40% is from local taxes and levies. It implies that it is in the city discretion on how to spend those revenues. However, from the expenditure information we learned that although 57% of the budget is spent for performing mandatory basic services, as mandated by decentralization policy, based on expenditure account, the biggest expenditure proportion (38%) is actually for government employees expenditure, followed by 33% for goods and services expenditure. Meanwhile, budget for capital expenditure is only 24%. Thus, although in terms of function the city has allocated its budget for education (17.76%), health (16.44%), public works and spatial planning (11.48%), and housing and settlement (7.93%) sectors, we cannot tell how much the proportion is spent for actual development, compared to the routine expenditure for government employees. Greater allocation for routine, rather than capital, expenditure is nation-wide phenomena.

6.2.6 Data

In Surakarta, many programs are aimed at poverty reduction. However, poverty alleviation is still constrained by chaotic data management because the municipal government does not have a master data set that can act as a joint reference. Each work unit has its own data for poverty alleviation programs. As a result, many programs are not on target or programs have double receivers for funding. Meanwhile, there is also national data. One of the respondents stated that the biggest problem of poverty alleviation in Surakarta is the ego of the sectoral work units with their own data. He pointed out that the Education Office has different data on school-aged children compared to the data from community-based poverty documents. The difference is because the data of the Education office comes from schools, while the data from Urban Village Poverty Reduction Team comes from the community. Therefore, single data is important to be a common reference by all work units. Another problem related to data, as pointed out in the interviews with key informants, is a difference in attitude to poverty data between the local government of Surakarta and the regional higher tier government. Surakarta is innovative in compiling local data, which usually shows a higher rate of poverty. Meanwhile, the regional government is more focused on showing their accomplishments in reducing poverty rate and the number of poor people.

Chapter 7: Conclusions

The final chapter of this study contains the main findings and conclusions. It is structured as follows: (1) the Indonesian context consisting of national context in terms of policies and programs and the context of the two cities; (2) findings from the survey; and (3) informing pro-marginalized group reforms about urban policy and programs in selected cities, and, thus, contribute to the implementation of Sustainable Development Goal (SDG) 11.

7.1 The Indonesian Context

7.1.1 The national context in terms of policies and programs

Since the fall of the New Order regime of Suharto in 1998, Indonesia has implemented many decentralization policies that enable local governments to prepare programs and policies that are better adjusted to the local situation. This new situation facilitates participatory planning in Indonesia, as local governments have more power to develop bottom-up participatory planning programs that involve local communities, NGOs, and other community organizations. In line with this, the Indonesian government has implemented the participatory development-planning scheme of Musrenbang through the enactment of Law No. 25 of 2004 on the National Development Planning System. It emphasizes the need to synchronize five planning approaches, i.e. political, participative, technocratic, bottom-up, and top-down in regional development planning.

Cities in Indonesia have a comprehensive approach when it comes to marginalized groups. Slum improvements through Indonesia's National Slum Upgrading Program is initiated by the Ministry of Public Works and Housing targeting 100 percent universal access to safe water, 0 percent slum settlements and 100 percent access to safe sanitation, by 2019. The program does not only build infrastructure but also provides social and economic assistance for better sustainability of community life in slum settlements. For program implementation, the ministry is working closely with local governments in order to identify and map settlements considered slums based on several criteria.

Various programs in the past such as the Urban Poverty Alleviation Project attempted to tackle poverty at its root instead of trying to deal with the symptoms. This implies an attempt to change the mindset, behavior, and attitudes of the poor marginalized groups in Indonesia. The overview of barriers lists a few points that show the mindset of the marginalized groups could be a problem for them to achieve better welfare.

The Family of Hope program is also in line with this perspective. The program gives conditional cash transfers to the poor if they keep their children in school and give them health check-ups. This is aimed to break the cycle of poverty that many marginalized groups are in.

7.1.2 Context of two cities

Two cities (Bandung and Surakarta) have been selected to represent Indonesia in this study. Bandung is one of Indonesia's metropolitan cities with a population of almost 3 million. Bandung is the provincial capital of West Java. Surakarta is a medium size city with a population around 0.5 million, located in Central Java.

The study areas in Surakarta consist of three locations. Many houses are constructed illegally on railroad tracks, riverbanks and the areas have a high building density. Many of the houses are not suitable for living. Bandung has 445 slum locations with a size of 1,457.45 Ha in 2014. The communities in slum settlements often face problems such as limited access to public services, particularly infrastructure. This is primarily caused by the fact that many slum settlements are constructed illegally and, therefore, are not included in formal frameworks of basic service provision such as water and electricity. The services obtained in the study area, mainly related to clean water, environmental sanitation and shelter are provided independently (individually or communally) and are more need driven than policy driven. The services of clean water, sanitation, and shelter provided by the government (policy driven) have a low coverage; especially sanitation services (wastewater and trash) because until now the government is still unable to provide these services.

7.2 Findings from the survey

This study assesses the level of community organization and participation through several indicators such as the use of communication media, involvement in community organizations and political participation in election or local decision-making. On the use of communication media, respondents in both cities mainly use television and cell phones regularly, and never or rarely use public announcement, internet, or radio. Meanwhile, on the involvement in community organization there is a striking difference, where in Surakarta 65% of respondents state that they are member of community leadership council, while in Bandung only 18% of respondents.

The respondents in both cities actively participate in local democracy. They often - actively and voluntarily - vote in community-level leadership elections. In both cities, female participation in public affairs is high and women have an equal role to men. Newcomers are also generally considered to participate fully in public affairs. The participation of women in both cities goes beyond mere 'typical women jobs' like providing food; the survey results show that women play an increasingly active role in community

organizations and speak up more in development planning issues. However, this is not yet a true form of gender equality, as men are still preferred as chairmen, while women hold lower positions in the organizational structure. In addition, there are still many women who hold on to traditional gender roles and exclude themselves from public participation to focus only on their own household.

Most respondents also consider that they have access to basic services even though many of these services are independently acquired rather than provided by the government. They generally have high expectations of the services the city should provide; the more important for their life the service is, the higher their expectations. However, the respondents seem to be satisfied with their basic services regardless that the quality of these services is not objectively sufficient. The scale of deficit in access to service is assessed through the access to vital services, support during disasters, and the expected role of city government. In Bandung, sanitation/waste disposal and health care are services that some respondents don't have access to, while in Surakarta it is clean water and shelter. In Bandung the type of support that respondents receive from the governments during disasters, which rarely happen, are mainly cash and food, while in Surakarta almost all basic necessities are provided by the governments. This is in line with what respondents in Bandung think of the capacity of city government to provide basic urban services (56% think that they are somewhat prepared), compared to respondents in Surakarta (83% think that they are somewhat prepared).

In term of level of safety or confidence towards several aspects in life, in Bandung the aspect of government policy and local government have less satisfaction than other aspects, unlike in Surakarta, where respondents are satisfied with all aspects. In both cities the organizations in which respondents are more satisfied with are community/village leadership, subdistrict government, and city government. It suggests that the closer the government level to the public, the more satisfaction level they bring to the community. This seems to be related to the delivery of services by local government as mandated by the national policy of decentralization; local programs are more visible than for instance those of the central and provincial government. On the overall assessment of institutional features of the city government, Bandung respondents' satisfaction level is medium to high, while Surakarta respondents' is high to very high. Bandung's respondents have low satisfaction with regard to corruption, politicization of service delivery, equitability of resource distribution, and level of accountability. Furthermore, the high level of participation seems limited to local government levels. On the city level, only half of the respondents know about development plans and hardly anyone is aware of city budget discussions.

The city of Surakarta experienced an up and down pattern in participation. In general, the surveys show that many respondents regard highly the state of participation. There are several possibilities that participation is more meaningful in a procedural way, but the survey shows that the participation system is quite good in Surakarta; it is rare to find people who do not know the process of Musrenbang and other forums such as citizen participation. *Blusukan*, informal visits to the community, is also a semi-informal participation model introduced by former Mayor Joko Widodo. However, it is needed to carry out an in-depth analysis of the depth of participation. Yayasan Kota Kita (2016) in Surakarta shows that the procedures that are developed and reinforced by regulation, are also vulnerable to become a boring routine in Musrenbang. Someone even noticed that Musrenbang involved a checklist of needs.

Nevertheless, NGOs have introduced the medium-term development plan on the urban village level as an effort to strengthen the dynamics of participative planning to be more substantive and powerful. Yayasan Kota Kita has introduced the method of information usage, which can also strengthen evidence-based city planning. Building capacity on different lines seems to be continuing so that participation continues at a dynamic level. Participation is not a project agenda, but a process that must be maintained to ensure that citizens are aware of their needs and are willing to voice their needs to the government.

7.3 Conclusions

To answer the study questions, i.e. the barriers to social and political inclusion of the marginalized groups and to what extent they are engaged in local democracy mechanism, in general, the government in both cities tries to reach the most marginalized groups by providing channels of participation. Examples are the territorial and sectoral systems in Musrenbang, the process of community discussion about local development needs, and attempts to build a service system that is more accessible to all circles in the city. However, there are structural/institutional constraints.

In Surakarta, one of the major constraints is the lack of urban administration data system to support the service program. There are differences in data on the poor, as well as in the beneficiaries of the programs, which is sometimes also influenced by the political dynamics at the bottom level. The government is also still unable to bridge the issues of residents with Surakarta ID cards and non-Surakarta ID cards, while many problems in the service sector are linked with groups living in marginal and poor areas related to problems with administrative identity. Many immigrants are unregistered and live in poor urban villages in Surakarta.

Although there are mechanisms to ensure the participation of non-territorial and marginalized groups such as disabled, informal salespersons, *becak* drivers, etc., there are weaknesses in government institutions' capacity to reach out to these groups. Marginalized groups are usually closed off and need a strong government willing to be proactive, rather than expecting marginal groups to be pro-active.

The results from the study in Bandung show that some of the important barriers include a lack of trust in the government, in part by inconsistencies in the enforcement of regulations. Despite the fact that many policies have been developed for a more inclusive city, in practice, these policies are not always as inclusive as how they were designed to be. An example is participatory planning which should start at the beginning of the planning process. The respondents in Bandung, however, state that they often only hear a final call. In addition, the practice of these new policies still experiences problems in its application.

Another problem is a low awareness of residents of the inclusive policies that the government has set up. This could be caused by their marginalized status, which makes it more difficult to access information. This is related to the problem of educating the marginalized groups. An example of behavior that needs to be changed is seen in the case of Surakarta, where children voluntarily chose to work instead of going to school because they prefer to make money instantly.

As to answer the last study question on innovation and good practices, both Musrenbang and Bandung's Regional Development and Empowerment Innovation Program (PIPPK) are aimed at improving participation by increasing community participation in the development process. *Mider Projo* or *blusukan* in Surakarta aims to increase participation through visits of the mayor to the communities. This is also done by the mayor of Bandung. SAKIP Juara, Bandung's Performance Accountability System Champion Program has managed to increase Bandung's national accountability rank from 400 to be the most accountable city in Indonesia. The transparency of local government in Indonesia is improved through the websites and presence on social media of government agencies. The social media accounts of the mayor of Bandung also help to achieve transparency. Finally, the national service for public complaints handling, LAPOR!, facilitates citizens to file their complaints, which happens en masse.

Much good practice in governance in Surakarta leads to the achievement of SDG 11. Human settlement improvements have long been initiated both with central government assistance and with local initiatives, such as when Joko Widodo introduced the concept of compensation for flood victims on the riverbanks. Improved public services are noticeable in the health and education sectors as well as job creation to create a comfortable and sustainable city. The concept of healthy, smart, satisfied, with shelter, is a concept that can represent the urban desire to meet the demands of urban development as a "human settlement" that is comfortable and sustainable.

The city of Bandung has also implemented various programs aimed at the livelihoods of the marginalized groups living in urban slum settlements with support of central government program, KOTAKU. Education, skills training and support in coordination with other groups of craftsmen have the potential to increase their income and, thus, help them overcome their poverty by supporting their own efforts and hard work.

In line with this, NGOs have provided training and have raised awareness to marginalized groups to empower them in the democratic process. In addition, these NGOs have introduced the marginalized communities to their own creative potential. This has been proven to improve the direct environment in their neighborhood and can serve as a way to increase their economic options to provide for their livelihood.

The aforementioned innovations and good practices inseparable from several important underlying factors as discussed in the previous chapter, i.e., leadership, communication style, a community approach, a transformation in the government management paradigm, the smart city concept, and easiness for citizens to tell the government their aspirations.

7.4 Informing pro-marginalized group reforms and policy implications

The government of Surakarta has socialized its pro-marginalized group reforms through the urban villages, community units, and neighborhood units to the local communities. This has led to a change in the behavior of the marginalized communities in Surakarta, to be more open and to participate more actively in the programs of the government. Marginalized communities now participate in development planning for projects such as the arrangement of their neighborhood. Marginalized groups also prove their willingness to cooperate in community-based data collection, which is the basis for implementing poverty reduction programs. Unrecorded marginalized groups also become more active in registering themselves as marginalized groups to be entitled to basic services such as healthcare, education, and shelter. Both in Bandung and Surakarta, NGOs play an important role in raising awareness and provide capacity building for the needs of the community.

Both the governments of Surakarta and Bandung have also developed a wide range of policies and programs aimed at marginalized groups. However, the survey of marginalized groups showed that many marginalized residents are not involved in participatory planning and are not aware of these new programs. To involve fully these groups and to achieve inclusive city planning there needs to be continued attention to raise their awareness and build their capacities. Informing marginalized groups could

empower them and contribute to the success of SDG 11. This requires extra efforts as many sources of information are online, while the survey results show that the marginalized groups in the two cities hardly use the internet.

In addition to informing pro-marginalized groups reforms, the study also leads to policy implications for the Indonesian situation, aimed at coping with the barriers to inclusion for marginalized groups. There should be many government service models that emphasize the importance of intermediary groups or facilitators to link and build closeness with marginalized groups. The city has started by endorsing many village facilitators, but it is also necessary to model collaborations with NGOs and social activists to reach these groups.

In Surakarta, a clear barrier is the lack of a central database. Developing a central database that is accessible to all work units should make it possible to streamline poverty reduction policies. It will help focus efforts and funding for the people who need it most. In Bandung and Surakarta, many promising policies and programs were developed. A plan for strengthening the management system of all programs/policies that have been successfully created and implemented and bring a positive impact to the region will help ensure the continuity of the programs and could be used for policy transfer to other regions in Indonesia.

The government needs to increase their willingness to use planning in a truly participatory way. Now many communities only receive a final call from the government. To achieve the Sustainable Development Goal of inclusive cities requires governments to include the marginalized groups from the start of the planning process. It is important to focus on educating the marginalized groups in society. Many people show behaviour that is not conducive to their economic and social development. This involves continued capacity building and raising awareness of the spectrum of inclusive measures that are already there.

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Appendix: Questionnaire for Households

Project on Political and Social Inclusion and Local Democracy in Asian Cities: Cases of Indonesia, India and Vietnam

Location: _____(Province)_____ (City)_____ (County) _____(Village)

Date and Time: ____ (MM) ____ (DD) ____ (HH) ____ (MM)

Interviewer: _____

Supervisor: _____

Part I: Socioeconomic Information of the Household

1. Number of the household from 1 to 60

2. Gender: Male Female

3. Age:

4. Marital Status:

Married Single Divorced

Widower Widow Separated

5. Relation to Household Head:ⁱ

Household head Spouse Brother/Sister Parent

Spouse's parent Son/Daughter Daughter-in-law/Son-in-law

Nephew/Niece Grandchild Other relatives

6. Ethnic Group:

(Modify as needed): _____ Minority: _____

7. Total Number of Household Members:

Male: _____ Female: _____

8. Gender of Household Head:

- Male Female

9. Literacy of the Household Head:

- Cannot read or write Elementary school drop out
 Elementary school Junior school drop out
 Junior school High school drop out
 High school Bachelor's degree and above

10. Health Condition of the Household Head:

- Very good
 Normal
 Has some slight physical illness
 Has some slight mental illness
 Other (please specify): _____

11. Average Annual Family Income (in local currency): _____

12. Income Source and Amount (in local currency): _____

- Full-time professional job
Local government _____ Public service unit _____
Community governing committee _____ Enterprise _____
GONGO _____ NGO _____
Other _____
- Construction _____ Service industry _____
Other _____
- Agriculture
Farming _____ Husbandry _____
Forestry _____ Fishery _____
Other _____
- Running business _____
- Minimal living allowance _____

Other _____

Part II: Community Organization and Participation

13. Did you ever migrate (number of times)

Yes _____ No

14a. If yes,

Direction of migration	Reasons for migration
Rural to rural	
Rural to urban	
International migration	

14. Use of communication media: do you use any of the following?

1 = Never, 2 = Rarely, 3 = Occasionally, 4 = Regularly, 5 = Very regularly

Communication media	1	2	3	4	5
Newspaper					
Radio					
Television					
Internet					
Cell phone					
Public announcements					

15. Are you a member of the community/village leadership?

Yes No

16. Is any other member of your family working in community/village leadership?

Yes No

17. How many times have you participated in voting for community/village leaders? _____

18. In the latest election, how many people in your family voted? _____

18a. Your position on voting is:

- Family members vote in an active and voluntary way
- Village leadership engaged us to vote
- Other situation: _____

19. Who has the final word in important community/village issues?

- Community/village leadership
- Representative conference of villagers
- Whole-member conference of villagers
- Villager who is influential but not in any type of leadership group
- Other (please specify): _____

20. Do women participate in the public affairs of the community/village?

- Frequently Rarely Almost never

21. Do men and women have equal participation in public affairs of the community/village?

- Yes
- No, men play more active roles
- No, women play more active roles

22. Do you think it is important to communicate with other community residents?

- Yes No

23. How do you communicate with other community residents?

- Chat when dropping by
- Chat when meeting in community public space
- Via telephone/short message service (SMS)/online
- Other ways, please specify: _____

24. How many friends do you have in your community? _____

25. How many close friends do you have in your community? _____

26. Are you able to borrow materials when needed from your neighbors?

Yes

No

27. Are you able to obtain help when needed from your neighbors?

Yes

No

28. Have you ever participated in community affairs?

29. Are you willing to participate in community affairs?

Yes

No

30. Do you trust community service organizations?

Yes

No

31. Do you trust other community neighbors?

Yes

No

32. Do you feel happy living in your current community?

Yes

No

33. Are you willing to move to another community?

Yes

No

34. Are you willing to participate in community services?

Yes

No

35. Are you willing to engage other community residents to participate in community affairs?

Yes

No

36. Do you feel migrants and ethnic minorities can fully participate in community affairs?

Yes No

37. If "No", why do you think that is the case?

.....
.....

Part III: Risk and Vulnerability Assessment

38. How would you rate the preparedness of the government departments to provide basic urban services?

*1 = Not prepared at all, 2 = Poor preparation, 3 = No idea,
4 = Somewhat prepared, 5 = Satisfactorily prepared*

1	2	3	4	5

39. Are you aware of any development plans by your local government that are focused on urban service delivery and management?

Yes No

40. If yes, what are the projects/programs?

.....
.....

40 a. Does your community face one or more of the following:

- Flooding
- Fire

- Lack of drainage after heavy rain
- Other disasters

41. Are the service delivery project by the Government or NGOs targeted for youth, women, migrants, or ethnic minorities?

Yes No

42. Have you participated in any open budget sessions of the local government?

Yes No

a. If yes, did the local government make any allocations for community engagement?

Yes No

b. If yes, what were they?

.....
.....

Part V: Providing Shelter and Vital Services

43. Does your household have access to the following:

- Safe drinking water
- Community level sanitation and waste disposal
- Primary health care facilities
- Education facilities
- Food
- Electricity
- Restrooms
- Shelter

43 a . Have you received any support from any of the following sources during disasters?

Sources of support	Types of Support								
	Cash	Food	Water	Electricity	Waste disposal	Restroom	Medical service	Shelter	Other
Central government									
Provincial government									
Municipal government									
Local government									
Village/ community									
NGOs									
Community members									
Others									

43 b. Did you face any problems in receiving support from the above organizations? If yes, list the problems and issues related to your access to the above services

----- problems and issues in services provided by government

----- problems and issues faced in services provided by NGOs and community organizations

Sources of support	Types of <u>Developing</u> Support						
	Cash	Work opportunity	Skills training	Agricultural input	Construction material	Mental health service	Others
Central government							
Provincial government							
Municipal government							

Local government							
Village/ Community							
NGOs							
Community members							
Others							

44. In your opinion, what is the expected role of local government dealing with service delivery and access?
(Rank the boxes according to priority.)

1 = Low priority, 2 = Some priority, 3 = Priority,

4 = High priority, 5 = Very high priority

Service	Priority rank
Proper public announcement	
Helping to build community-level shelters	
Mobilizing community members	
Door-to-door awareness campaign	
Use of community radio	
Support for the elderly and people with disabilities	
Cleaning and maintaining the shelters	
Community-based preparedness	
Developing more infrastructure for resilience	
Arranging local transport for moving to shelters	
Building appropriate infrastructure	
Others	

Access	Priority rank
Livelihood	

Housing	
Recovery policy	
Health care	
Credit of the local government	
Children's education	

Part VI: Overall Satisfaction

45. What is your overall assessment of sense of safety/confidence vis-à-vis the following?

1 = Very low, 2 = Low, 3 = Medium, 4 = High, 5 = Very high

Aspect	1	2	3	4	5
Natural environment					
Current living place					
Drinking water					
Community public safety					
Future of the family					
Government policy					
Local government					
Community leadership					
The whole society					

46. How would you rate your overall satisfaction about the performance of the following organizations?

1 = Not satisfied at all, 2 = Somewhat satisfied,

3 = Neither satisfied nor dissatisfied, 4 = Satisfied, 5 = Highly satisfied

Organization	1	2	3	4	5
Central government					
Provincial government					
Municipal government					
Local government					

Organization	1	2	3	4	5
Community/village leadership					
NGOs					

47. How would you rate your overall assessment of the institutional features of local government?

1 = Very low, 2 = Low, 3 = Medium, 4 = High, 5 = Very high

Institutional features	1	2	3	4	5
Corruption					
Quality of service delivery					
Politicization of service delivery					
Resource mobilization capacity					
Resource management capacity					
Equitability of resource distribution					
Capacity to plan					
Work efficiency					
Adequacy of manpower					
Transparency of activities					
Level of accountability					
Community participation					
Level of trust by community members					
Gender sensitivity					
Responsiveness to special needs of marginalized groups					
Overall image					

