

SUSTAINING PARTICIPATION AT LOCAL GOVERNANCE

Case of PDPP (Participatory Medium Term Development Planning) in Indonesia^{*}

Introduction

In decentralization era, the local government's authorities in managing their region have been increased. They were forced to have the capability to fulfill the citizen needs. In addition, the concern on good governance issue has been increased rapidly in these recent years. So the local government that has limited human resources as the main actors who will formulate the policies seems like in "jeopardy". This condition is one of reasons why some donor agencies give technical assistances to help the local government in accomplishing the good governance.

The donor agencies as technical assistance of the local government face the condition that their activities have limited time. But, accomplishing the good governance is not easy as it requires time. So this paper is aim to learn the strategies of some donor agencies to achieve their expected outcome (usually is good governance) without extend their program's time. This paper will use a case study on PDPP in Indonesia to get the understanding on sustaining participation of local governance, but to support the discussion it will use some other cases (using desk study), such as LGSP in the Philippines, Citizen Advancement and Participatory Budget in Belo Horizonte, Brazil, and The Breglumasi Program - An urban and social development initiative, Tirana-Albania.

Decentralization, Good Governance, and Participation

The term of "governance" encompasses not just on government, but also private sectors and civil societies (individuals and groups) and systems, procedures, and processes in place for planning, management, and decision-making. Good governance has been recognized as the crucial prerequisite for effective development. The concern of good governance especially in local level (local governance) has been increased since the wave of decentralization has pound some developing countries. Out of 75 developing countries, 63 are taking steps into decentralization (Rossi, 2003). The idea behind decentralization or devolution is better public decisions that reflect local priorities will be achieved by moving closer to people, so the public policies have been transferred authorities or power and resources from central government to the autonomous local units in local governance.

Good governance itself is about how decisions are made, who is involved in decision-making process, and framework for the decision-making. Good governance is associated with a more inclusive, open, transparent, and an accountable system for decision-making (Davidson, 1999). The elements of good governance are (ADB, 1995; Davidson, 1999; Radsady, 2001; Blair, 200):

1. *Accountability* is imperative to make public officials answerable for government behavior and responsive to the people (individuals, communities and private businesses) from which they derive their authority
2. *Participation* derives from an acceptance that people are at the heart of development. Participation gives people a meaningful role in local government decisions that affect

* The author was involved in PERFORM in 2003 as an Education Institutional Specialist and in 2004 as a facilitator. Even though this article focuses on the PDPP as the program of PERFORM - USAID, but interpretations and conclusions of this article do not reflect the USAID or RTI International (the consultant) thinking and policies. All errors or shortcoming are definitely responsible of the author.

them, and also gives government access to important information about the needs and priorities of the people. Communities' role is crucial in the process of articulation of their needs into real demands and in the process of negotiation and participation in project design, implementation, and monitoring. By participation, it can improve the performance and sustainability of policies, programs and projects, especially in the local level.

3. *Predictability* refers to the existence of laws and policies to regulate society and their fair and consistent application
4. *Transparency* is the availability of information to the general public and clarity about government rules, regulations, and decisions
5. *Responsibility* brings up the need of officials leaders to be legally, politically, economically, and morally responsible to the society as a whole
6. *Leadership* talks about the commitment and will of the leaders and officials to carry out the good governance

There are complex relations between the different elements of good governance. In many ways some factors can be seen as preconditions of others, but also as important effects in the other direction. For examples, accountability is often related to participation, and also to the predictability and transparency. At the same time, predictability requires transparency, because it may be difficult to ensure faithfulness without information about how equally positioned individuals/communities have been treated.

To achieve the success of good governance programs, it will need stakeholders' engagement to support the implementation, even the support start from the initiation process. The Urban Management Programme defines the stakeholder engagement includes (UMP, 2001):

- Strong political will and dedication of stakeholders (strong leadership). The proactive role of the key actor or group is instrumental in keeping the process moving.
- The presence of organized stakeholder groups. The more stakeholder groups are involved, the more likely the process will be successful.
- Strong support and involvement of local partner institutions and anchor institutions.

Concern of Some Donor Agencies on Participation in Local Governance

Current community participation theory suggests that politicians and bureaucrats have exploited community and excluded them in development and planning process. But through participation, people are no longer viewed as beneficiaries, but are considered as important stakeholders in the planning and implementation of development programs. This increases ownership and enhances results.

The emergence of community participation as an approach in development and planning process that has been used in the United Nations participation programs and also in some programs funded by international agencies that required the creation of opportunities for all people to be politically involved in development and planning process. By the mid-1990s, United Nations Development Programs has assisted more than 250 decentralization activities; USAID was supporting about 60 decentralization activities around the world; and other donors were actively doing those similar programs in various countries (Blair, 2000; Sanoff, 2000).

This paper will use some cases of participatory planning program in some developing countries to support the discussion of PDPP in Indonesia. The following cases are The Philippines – Canada Local Government Support Program (LGSP); Citizen Advancement and Participatory Budget in Belo Horizonte, Brazil; and The Breglumasi Program – An Urban

and Social Development Initiatives, Albania. Based on those cases, we got some following points:

- *Background of those programs is quite similar, improving the performance of the local governance or good governance.* In LGSP, the issue of good governance is poverty reduction through effective local governance in planning, programming, and project implementing with enhanced stakeholder participation in the target regions. This issue is also the issue of Albanian case, but it more focuses on the low-income neighborhood. But in Brazilian case, although the outcome is effectiveness of the Local Government in services delivery, they focus on the change of the budgetary mechanism, to be more participative, enabling citizenship, encouraging and promoting the participation of society in public decision making and consequently redirecting the municipal government towards a priority inversion on its investment.
- *At the beginning, all programs have an initial program in some targeted regions.* After several years implementation and the result are quite satisfied not only for the donor agencies but also for the local government and the community, *the programs have been replicated in other targeted regions.* The number of replication programs is depending on the situation, issues, and capacity and commitment of the local government to support the program.
- *The involvement of the international agencies mostly as the technical assistance and financial supports;* these programs also *involve local organizations as their partner* to support their accomplishment, such as community organization, non-government organization, local authorities, etc. The LGSP through its national and seven regional offices, it works with LGUs (Local Government Units) and civil society organizations to help them identify their capacity development needs, implement capacity development programs, apply new skills and systems, and institutionalize improvements. LGSP also works with local resource partners, some local/national universities and training center to provide the technical assistance required throughout the various stages capacity development. An academic scholarship program for LGU personnel's developed the LGSP Educational Advancement Program (LEAP) developed with region based academic institutions that involved graduate problem oriented courses in public administration, public management, environmental resource management, and urban and regional planning. The different approach was used in Albanian and Brazilian cases, the use some aboard institutions to give a tailor made training for capacity building the local government.
- *Those programs after several years implementation can increase the performance of the local government in services delivery.* The LGSP-Philippines has some outcomes, such as more efficient and effective LGU leadership and management; enhanced access to and improved quality of services; more equitable, efficient, effective, transparent, and sustainable generation, allocation, and utilization of resources; and more effective and equitable participation in local governance. In Brazilian case, the program can make better coordination and integration between various actors, organizations or institutions; changes in social, economic and environmental policies and strategies; improvement in institutional capacity; changes to local, regional and national decision making; changes in the use and allocation of resources, and changes in people's attitudes and behavior. In Albanian case, the influences of this program are efficiency in the service delivery (more households can be reached with the same fund); changing in the local level by the establishment of a project coordination unit in the Ministry of Public Works and Project Management Team at local government levels; and avoiding corruption through working in partnership, close co-operation; and exchanging information and knowledge to promote positive environment for all parties involved.

Those programs above give us some description on how the process of participation at local governance conducted under the program of internal agencies. But to get briefly discussion on how the agencies create strategies to sustain the participation process on achieving good governance, we use case of PDPP in Indonesia.

The *Program Dasar Pembangunan Partisipatif (PDPP)* or Participatory Medium Term Development Planning in Indonesia

In September 2000, the USAID (US Agency for International Development) and Indonesian Ministry of Finance signed an agreement, the so-called Strategic Objective Grant Agreement that contain of training and technical assistance program called PERFORM (Performance Oriented Regional Management). The aim of this program is as capacity building of the local governance's (kabupaten/kota), especially in organizing local finance, organizing urban services supply, and implementing participatory planning approach. This program was broke down in three technical assistances on: fiscal decentralization policy, administration decentralization policy, and planning and development decentralization policy that focus on the PDPP (Program Dasar Pembangunan Partisipatif) or the participatory medium term development planning.

The targeted regions of PDPP in Indonesia are West Sumatera, West Java, Central Java, East Java, South Sulawesi, and Papua. The initial phase (2000-2003), technical assistance was given to 35 local governments in those provinces. The result of this phase is satisfied, based on the initiation process; the demand of this program was very large. So the USAID decided to replicate the program to about 44 new targeted local governments, some of targeted local government in the initial phase is still as targeted local government. The focus of this phase in on the three basic services of the local government, i.e.: basic education, health services, and water services. Those focuses will be developed based on the participatory planning principles and will be integrated into planning process and local government budgeting.

The focus on PDPP is based on the implication of Law 22/1999 and Law 25/1999 that give opportunities for the local government to plan and manage their region based on the strengths and weaknesses. But the phenomenon of good governance and decentralization force the local government to be more democratic, transparent, and involve the community participation. So, PDPP is intended to improve the capacity of the local government and all stakeholders to implement participatory planning and development.

PDPP as a participatory planning and development approach in local government, involves some stakeholders in their process, such as:

- a. *The Local Government* as the technical team that consists of the related institutional representative and as the supervisor team that consists of the leaders of those institutions;
- b. *The Non-government stakeholders* (NGS's) forum is the representative of community groups and professional agencies in the local area;
- c. *The Community groups* in village level
- d. The Facilitators who are came from consultant, CBOs, universities, and local partners

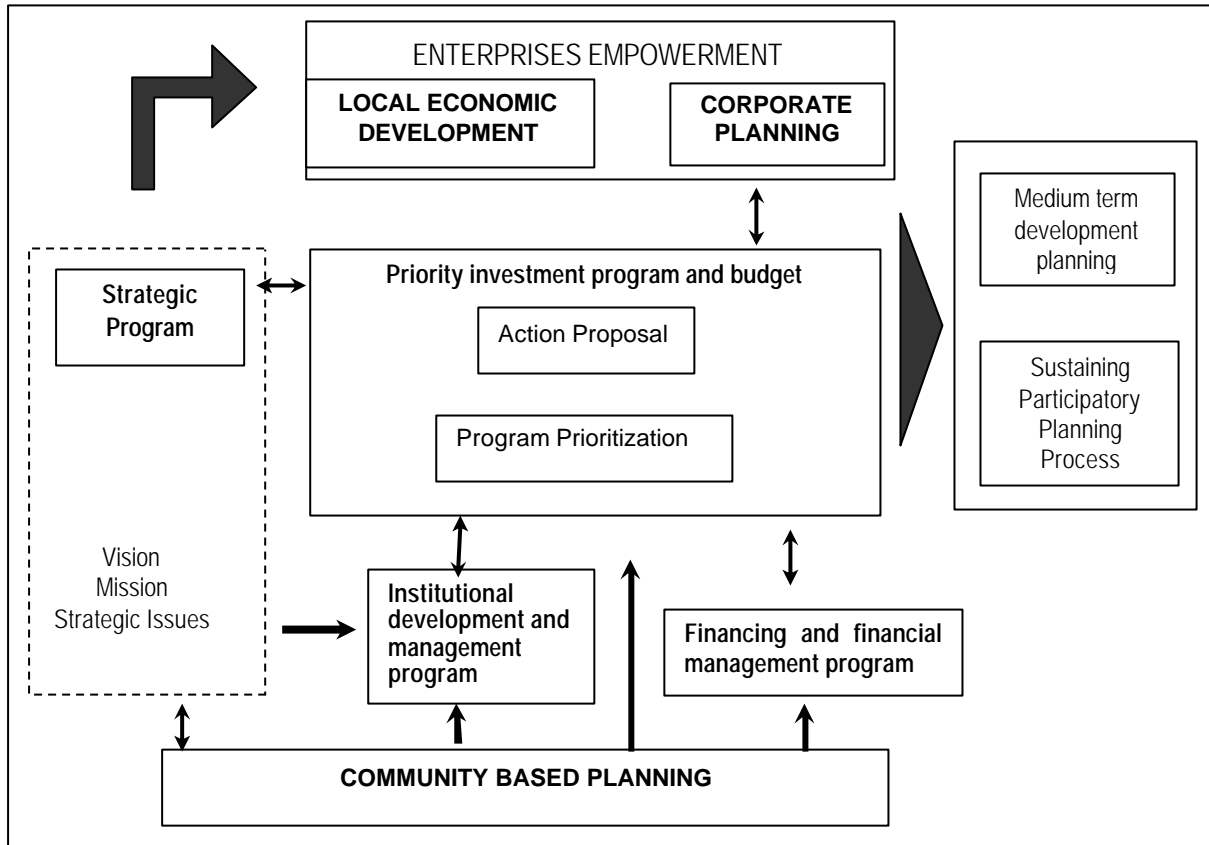
Basically, PDPP is a framework for the local government to be able to identify the community needs and then with other stakeholders' priorities the development programs. PDPP can be described as follow (Ngoedijo, 2004):

- The objective is to improve community participation in the decision making process in local planning and budgeting
- The expected outcome is good local governance.

- The approaches are participation, collaboration, partnership, dialog, and consensus development
- The principle and norm are medium term (5 years) strategic planning, integrated planning, performance oriented, sustainability, and good governance.
- PDPP has been design as an instrument that can be as flexible as possible so it can be fit in the abilities and needs of local government in planning and manage their area.
- The contents of PDPP Plans compiles five main components:
 - o Village level medium term needs assessment and development plans (RPJMD)
 - o District/city wide medium term needs assessment and development strategy (strategic program)
 - o Priority investment program and budget
 - o Financing and financial management program
 - o Institutional development and management program
- Community participation process in PDPP includes the following stages:

Stages	Output
☞ Preparation	<ul style="list-style-type: none"> - Stakeholders identification - Strengthening the local partners - Planning process dissemination
☞ Agreement in villages level	<ul style="list-style-type: none"> - Strategic issues identification - Strategic issues prioritizing - Medium term plan arranging
☞ Agreement in districts level	<ul style="list-style-type: none"> - Strategic issues formulation
☞ Agreement in local level	<ul style="list-style-type: none"> - Strategic issues formulation and local prioritization
☞ Participatory planning coordination forum	<ul style="list-style-type: none"> - Vision, mission, and objective formulation - Development's concepts and strategies formulation - Local economic formulation - Financial program formulation - Infestation program formulation - Institutional development program formulation - BUMD's (local government's enterprise) corporate plan formulation - APBD's (local budget) concepts and policies formulation
☞ Institutionalization	<ul style="list-style-type: none"> - Development of regulation system and participatory planning mechanism and procedure
☞ Strengthening the local partners	<ul style="list-style-type: none"> - Strengthening working groups in local planning and budgeting, stakeholders forum - Accommodate participatory planning in university's curriculum

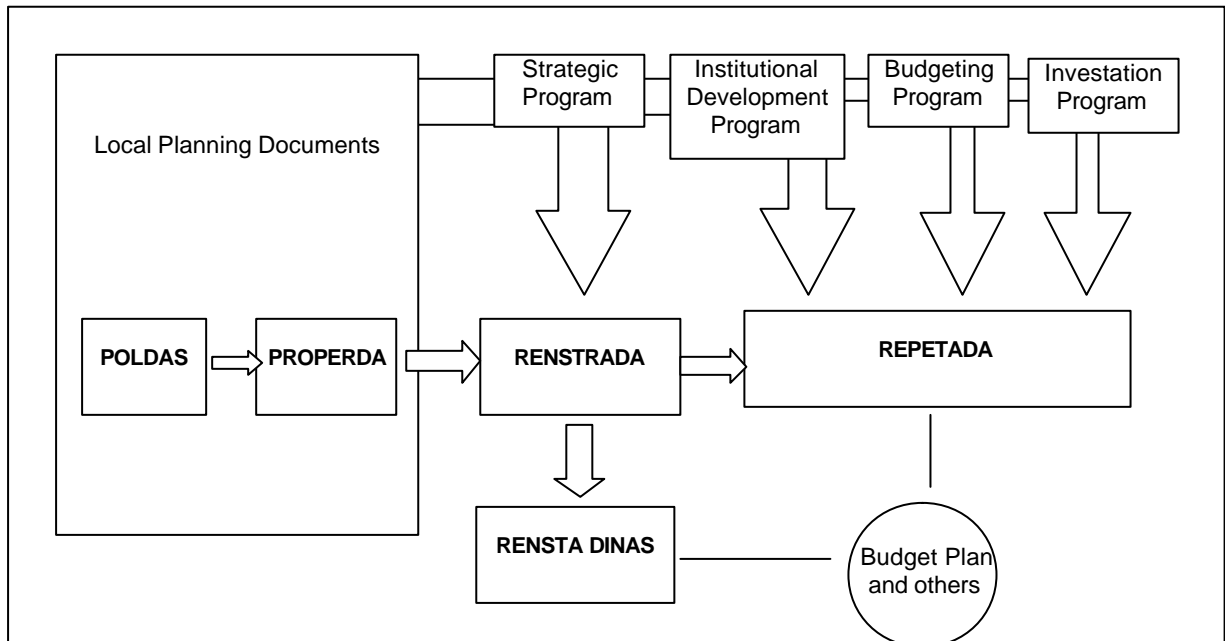
Figure 1. Participatory Planning Process in PDPP



Source: www.perform.or.id

- Supporting information for community participation includes official document in local level such as Local Infestation Profile, PROPEDA (Five Year Local Development Program), RENSTRADA (Local Strategic Plan), REPETADA (local annual plan) RTRW (Region's Master Plan), RAPBD (local budgeting), and other sector documents.

Figure 2. Preparation of Local Planning Documents through PDPP Approach



Source: PERFORM, 2004

After several years of implementation, the program has contributed on the changes of the environment for planning in the local government, such as in (Ngoedijo, 2003, PERFORM, 2003a):

- *Revitalizing the traditional participatory planning practice.* In South Sulawesi, the local government implements local economic development policy for encouraging partnerships to develop the local products and develop local regulation on participatory planning based on community value bodied. In West Sumatera, the local government's development planning process suit with the "nagari system" that more empower the rights and responsibilities of community and more allocation of local budget to support locally driven development projects.
- *Developing more effective budget.* PERFORM helps the local governments in revitalizing the bottom up planning process and stimulates the use of CAN and involvement of wider range of stakeholders in the preparation and review process of the local budgeting.
- *Greater provincial commitment for participatory planning efforts.* Province of West Java and Central Java are beginning to allocate fund for some local governments for preparing strategic participatory planning and the supporting activities. PERFORM is currently asked by Provincial Government to formulate criteria for provincial budget allocation to support local development projects and conduct some activities in local economic development in those provinces.
- *Strengthening the role and functions of City Stakeholders forum.* The Kediri City Forum and "Sapulidi" Forum are the examples of the City Stakeholders forum that are strengthened and emerge during the program. Those forums are actively involved in the public projects planning and implementation process.

Box 1. Sapulidi, the NGS Forum in Boyolali, Central Java

"Sapulidi" is a NGS Forum in Boyolali, Central Java, Indonesia. The word "SAPULIDI" or a broom of split coconut midribs to describe the philosophy of this forum: the power will appear when the split coconut midribs ware strongly united.

This forum was facilitated by PERFORM, especially by Central Java Regional Office. Generally, the existence of Sapulidi in Boyolali as one of targeted local government of PDPP in Central Java Province, bring strong enthusiasm on the participatory planning. The Sapulidi members are very concern on the planning and development projects that are not participative based on their opinion. For example, they concerned in the Wono Pedut's water project. This project is not participative, because the community was not involved in the planning process, not only as the one of urban stakeholder, but also as the beneficiaries.

They were involved in some public hearings to discuss the area planning and development, but in the initially stage, sometimes their contribution to improve the planning and development projects has no respond from the local government. Other stakeholders did not perceive their input. In spite of the support from the other stakeholders in local level was not as much as the expectation, but their existence gets support from province government and the community

Source: PERFORM, 2003a

- *Greater Involvement of stakeholders in RAKORBANG (budget plan) process.* Bottom up planning uses Community Need Assessment (CNA) as the input for discussion on budget allocation.

Box 2. PDPP for Anyone

The Formappel (Forum Masyarakat Peduli Pembangunan Lumajang) or Lumajang's Community Forum who are Concern in Urban Development) is a city stakeholders forum in Lumajang, East Java, that was declared as the follow up of PERFORM in East Java. Almost every day the Formappel, Local Partner and Technical Team of PDPP do some activities related to the PDPP Program. The collaboration between non-government stakeholders (in this case is Formappel and government stakeholder requires time, needed long process to achieve the collaboration until the Formappel has bargaining position as part of development resources.

The other case of PDPP in Lumajang is on the make of Medium Term Program in Village Level. In the beginning the process was very slow, the community has no respond on this program. But after the village's cadres got training about the program from PERFORM, almost 100% targeted village can finish the document. The community participation in Lumajang is not only on the make of PDPP document but also in some village's development activities, such as in the improvement of their neighbourhood and in the local economic development.

Source: PERFORM, 2003a

- *Inter-regional cooperation promoted.* PERFORM facilitates cooperation between non-governments stakeholders in Central Java and East Java to develop the local economic potencies. In other local government, the PERFORM involvements related to some issues such as poverty reduction, local economic development, and also as mediator in conflict resolution among stakeholders.

Box 3. Furniture's Cluster Development

One of aspects in PERFORM in PELP (Pengembangan Ekonomi Local Partisipatif / Participatory Local Economic Development) with the outcome is the ability of the related stakeholders in local economic cluster development. The ability is measured by enthusiasm of the stakeholders to find the problem solutions on the cluster development.

One of PELP outputs that are doing well in Central Java is PAWONSARI Cluster. This cluster has located in three provinces (Pacitan in East Java, Wonogiri in Central Java and Wonosari in Yogyakarta). All regions have own potencies that can support each other in the local economic development. The idea of this cluster development was started from Non Government Stakeholders Forum that wants to make cross province cooperation. The participatory mechanism in the PELP encourages the all stakeholders to be committed in the cluster development, so they do not face any significance barriers.

This cluster development in Pawonsari is based on the development of UKM (small and medium enterprises) as the centre of furniture's cluster. After several months of group discussion activities, the Forum has an idea to establish a business development services and broker that have task to identify the potencies of the UKM and to market the product of the UKM.

Source: PERFORM, 2003a

- *Greater transparency in local budget.* In some targeted local government, the discussions and review of budget plan are open and transparent to public and mass media.

Box 4. Participation Prevents “Hidden” Projects

The “Hidden” Project words are very common in Indonesia, “hidden” because they are not transparent where it comes from, who are involved and how it will be financed. In Wonogiri, Central Java, the awareness of participatory planning during PDPP has created the awareness of transparent projects. The commerce committee and local government realise that “hidden” projects can be avoided by transforming PDPP into the project mechanisms, includes the tender, budgeting, and prioritising mechanism. Through PDPP that has participatory approach in local planning and budgeting, we can prevent the “hidden” projects.

The commerce committee also becomes conscious that without participation their projects will be useless, community as their consumers’ wont to use their product because the communities argue that the products are not their needs. So through Community Need Assessment conducted by PDPP, they can get what the people needs or the required products.

Source: PERFORM, 2003a

- *Better management of key regional development issues.* In West Sumatera, the local government established Integrated Urban Poverty Reduction Team addressing some issues of urban poverty. The team also involves independent law offices and NGOs to review standard, quality, and consistency of all related local regulations.
- *Intensify cooperation with Local University for planning purposes.* In Pekanbaru, Riau, the local government included the Socio-Economic Research Center, Riau University, in the PROPEDA and RENSTRADA Planning Team Professionals. In Kendal, Central Java, the Department of Regional and City Planning, Diponegoro University was actively involved in the Community Need Assessment and Strategic Medium Term Planning process.

Box 5. Participatory Planning in Diponegoro University

Department of Regional and City Planning in Diponegoro University is a quite new institution. It was established in 1992, but the progress of this department is satisfied as it has had some cooperation with local, national, and international institutions in research, training, and education actions. One of them is PERFORM Project. In 2003 the cooperation had begun for one-year time bound. Through this cooperation, the staff can have useful experience in PDPP as one of practical approach in participatory planning; the students can have useful experience how to create a community based plan through some approach such as forum discussion groups; and the department can deeply explore and improve the perceptiveness about the participatory planning approach in planning and development. Overall, the capacity of the staff and student about participatory planning has been increase.

In the beginning of 2004, the cooperation has been over, but it was continued by a new cooperation between the Centre of Participatory Planning and Development (P5) and PERFORM. The cooperation items include marketing activities to the non-targeted local government, development participatory planning through some action researches, and facilitating activities for the targeted local government but mandatory demand regions (that has cooperation with PERFORM) or real demand regions. Those activities give opportunities for the staff in Department of Regional and City Planning in Diponegoro University to improve their capability on participatory planning, not only in theory but also in practice.

Source: PERFORM, 2003a; P5 UNDIP, 2004

Box 6. The Universities Networking

During the program implementation, PERFORM establish some cooperation with local universities in the targeted area, i.e.: Andalas University in West Sumatera, Diponegoro University in Central Java, Brawijaya University and Institute of 10 November Technology in East Java, Hasanuddin University in South Sulawesi, and Cendrawasih University in Papua.

The activities during the cooperation include completing curriculum to accommodate participatory planning as emerging approach; arranging short course training modules; internship for academic staff in targeted local government; publishing bulletin and newsletter on participatory planning, conducting seminar and workshop on participatory planning; provisioning literature and information on participatory planning; and setting up a centre for participatory planning.

The progress of the cooperation is different for each university is different, so in October 2003, the PERFORM conducted a workshop with a purpose to explore the lesson learned of the cooperation that can be replicated in other universities. This purpose can be achieved by establishing a universities networking, as a media for sharing of information and experiences to promote and institutionalise the participatory planning approach. The networking can be done through mail list, workshop and other media information.

The output of cooperation between PERFORM and those universities is a centre for participatory planning (CPP). The tasks of this institution are more applicative. The staffs in a CPP are expected can be act as facilitator in facilitating PDPP process in local government, the experiences form internship is the provision. The CPP is also directed to market their product (facilitator of PDPP) for non-targeted local government and for other funding agencies and to share information and experience about PDPP with other CPPs through the existing network.

Source: PERFORM, 2003b

Concluding Remarks: Sustaining Participation in Local Governance

Decentralization, good governance, and participation are the main concern of not only international agencies, but also national and local institutions, especially in developing countries that are forced to demonstrate their performance (good governance). From those cases, especially from PDPP in Indonesia, some lessons learned could be got that are very useful to make the participation in local governance can be sustained after the program is offered. Following are some of lesson learned:

1. ***Bringing all key actors together is vital.*** Changes in planning and development happen when changes occur in the relations between the three key actors: local government, private sector, and community. The map of stakeholders as the result of stakeholders' identification is the PDPP is one of initial crucial step. Policy and institutional design forums that bring their commitments to listen to each other and work together in a team such as in working team of PDPP is the key. In the programs (in the Philippines, Brazil, Albania, and Indonesia) above, the presence of local and national education institutions, such as universities and training centers as strategic partners of the donor agencies, is very crucial. The rule of the those institutions are not only on the capacity building of the community and local government, but also on the development of participatory planning concepts, on the monitoring of planning and implementation of the local government policies, programs and projects, as well as the external donor programs. In PDPP, some staff of the cooperative universities acts as the facilitator on the discussion of the three key actors above in making PDPP documents.

2. ***Strengthening the stakeholders.*** For the community it can be achieved through initiating and strengthening community forum. In West Java, the community forum also trained to make own community need assessment and documented it as one of their data. For the local government, the capacity building about participatory planning is very needed; not only to improve their capacity about participatory planning approach in planning and development, but also to change their culture from top-down oriented actions into bottom up oriented (community based) actions. In PDPP, the strengthening of the stakeholders are not only for the community and local government, but also for potential strategic partners, such as university's staff, private consultant, and other strategic partners. They are trained to improve their capacity on PDPP and the mechanism to achieve the expected outcome/output.
3. ***Changes in rules of the game and institutionalization processes.*** The participatory planning documents will be useless when it cannot be legalized, because the legalization is the key in implementation of participatory planning in large area. So the change of rules of the game (law or policies that priorities the participatory planning documents as the realization of the community needs) is very crucial. The product will be useless if not legalized. This changing is also for the institutionalization of community forums and the counterpart of the local government and the team who work on the participatory planning and development process as the guarantee of their position in the planning, implementing and monitoring of the development process. In PDPP, the Working Team and Core Team has got SK Bupati (Mayor Decree) to institutionalize the formation and the function of the member of the teams. Those changes are the part of change management in local level, change in the roles of the actors and the mechanism of local development. Change management is also the outcome of PDPP, this program emerges some ideas, initiations, and innovations in local development from local level even from village level, to achieve effective and efficient local development/government (good governance).
4. ***Participatory process and conflict management should go together.*** Participatory processes that will bring different stakeholder groups together to make decisions should have rules of engagement as well as rules and mechanism for resolving and disagreements that are known and agreed by all. The rules of engagement or the commitment are the agreement of all team after recruitment process. The facilitators who got management conflict subject in their PDPP training facilitate this process.
5. ***Networking and Strengthening of Local Universities/Institutions.*** Through networking among the local universities/Institutions and through cooperation with the technical assistance, the effectiveness and efficiency of the participatory planning program can be improved. It will support sharing experiences and synergy in promoting and institutionalization participatory planning and development. The strengthening is to prepare the institutions as local bodies that will continue the external donor's aims (good governance) as well as their aims. In the case of PDPP in Central Java, networking of local universities/institutions is under the CPP (Center for Participatory Planning). For example, CPP Purwokerto consists of Community Empowerment Institution-Soedirman University (Purwokerto) and Community Empowerment Institution-Pekalongan University (Pekalongan). Central Java has three CPP i.e. P5 - Diponegoro University, Community Empowerment Institution-Soedirman University (Purwokerto) and Community Empowerment Institution-11th March University (Surakarta). The networking is also among those three CPP itself, for example, when the CPP in Purwokerto has PDPP training series, it used an expert of strategic program from P5, Semarang. Lack of resources in a CPP is not a big problem, as long as they can share resources, not only human but also information and experiences in participatory planning and development.

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