

Kitakyushu Initiative for a Clean Environment: Successful and Transferable Practices
**Surabaya (Indonesia): Comprehensive Kampung Improvement as Model of Community
Participation¹**

Institute for Global Environmental Strategies²

Target Area: Community participation

Time Period: 1998-2002

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Introduction

The environmental problems faced by low-income urban settlement are complex in many of the world's large cities. These "urban poor" residents of the city are usually disadvantaged groups in terms of income and public service facilities. Efforts to improve living environments in such low-income urban settlements are often hampered by lack of financial resources, legality questions over land ownership, ineffective planning, over reliance on top-down approach and political will.

Community participation is a method in which role of community is at center stage. The need for community participation as a major factor for project sustainability is well recognized in recent days (Uphoff, 1997). In many instances the rhetoric of community 'participation' in reality is just 'representation'. Community representation is a weak form of community participation. Community participation is a voluntary process involving people with their firm influence or control over decisions affecting them (Narayan, 1995). However, several other types of community participation models exist; in many of the models, the role of the community is limited to following instructions from the government, attending meeting and carrying out activities but overall playing an insignificant role in decision making. Empowerment aims at the improvement of individual and collective skills to regain control over living and working conditions and their impact on well-being (Henderson & Thomas 1987; Rosmarie et al. 1999). In a real sense, "community participation" is community empowerment and a demand driven approach that shapes the programs and activities based on the needs of the community and allowing them to decide and execute the activities with government working in the role of facilitator. This latter approach is applied in the Comprehensive Kampung Improvement Program (C-KIP) to improve the living environment in low-income settlements in Surabaya. The case study of C-KIP provides an innovative model for community participation with tremendous local achievement.

Kampung Improvement Program- Overview

Kampung is the native name for informal and self-planned (unplanned) settlements that constitute a large share of urban settlements in Indonesian cities. Kampung are not "slums" but are usually ill serviced and low-income housing areas with regard to sewerage systems, garbage collection and other public services. Since the late sixties, efforts to improve the living environment in these Kampung were carried out by governments in Indonesia³. The basic goal of the program was to provide a basic level of service and to improve physical infrastructure through community involvement. Such efforts were initially initiated in Jakarta and Surabaya in 1968. About 63% of population in Surabaya was estimated to live in Kampung in 1993 although it constituted only 7% of city area in terms of physical space⁴. Creative participation by communities where the program was implemented was the key reason for the success of KIP despite the low budget in Surabaya. Only in 1976, World Bank's assistance was secured for KIP implementation in Surabaya and then program's scope and scale increased to include health and environment aspects in addition to basic infrastructure. Although KIP constituted one fifth of the total city development budget, it served more than 60% of population, mostly low-income group. Surabaya received The Aga Khan Award for Architecture (1986) UNEP Award (1990), and The Habitat Award (1991) for its achievements in the Kampung Improvement Program. From 1984-90 KIP achievement included⁵:

- Improving 1.2 million people's living environment spread over 3,008 ha
- Upgrading 220 km of footpaths and roads
- Constructing 93 Km drains and culverts
- Laying 56,000 meters of water pipes
- Building 86 public bathing, washing and toilet facilities
- Significant improving solid waste collection, and
- Constructing elementary schools and public health centers

³ KIP was introduced in 1924 by colonial government in Surabaya and Semarang to prevent the spreading of diseases from Kampung to the neighboring middle and high-class residential areas.

⁴ 1993 estimation. Cities of the Future - Successful Housing Solutions in Singapore and Surabaya, Building and Social Housing Foundation, UK, 1993.

⁵ Jeff Kenworthy (1997), Murdoch University, Australia

Surabaya, a second largest city in Indonesia with population of 2.5 million⁶, sought to make a more comprehensive program for Kampung in the mid-90s, including physical infrastructure and non-physical aspects such as improving social economic conditions in Kampung or community development in general. A new approach was needed as the development gap between Kampung and other parts of the city was large and growing, social-economic dynamics inside these Kampung needed to be strengthened and there was realization that the potential to do more existed in the communities. Accordingly, the Comprehensive Kampung Improvement program (C-KIP) was launched and implemented from 1998-2002 in 27 Kampung.

C-KIP Objectives included:

- To direct community to be aware of Kampung's problem and potential
- To encourage community to identify and solve their priority of needs and obstacles
- To encourage community to construct self planning, implementation and evaluation of the development of their living environment
- To improve the community competency to discover, develop and mobilize any resources nearby
- To improve the social-economic capacity of the community

C-KIP has made significant achievements and the program has been sustainable so far. The overall assessment is difficult to be shown with quantitative indicators, as its sustainability in long term is more important. However, before C-KIP was launched, there was no such infrastructure and opportunities in Kampung, and the program has provided visible assistance in improving the living environment and opportunities in the community. Therefore, the amount of activities that communities themselves carried out itself is achievement. Communities are solving their own problems on their own and these are significant achievements. The following preliminary results have been obtained thus far:

- Establishment of local institutions such as 27⁷ Kampung Foundations, 27 Co-operatives and more than 500 Community Self Help Action Groups
- Improving physical conditions, social economy and quality of life of 27 Kampung.

The table below shows the program components and activities carried out in 1998-2001 (the ongoing is not final as the numbers grew)

Program Component	Activity	
	Type	Volume
1. Physical environment improvement	- Pathways improvement	7,473.8 meters
	- Drainage improvement	6,432.6 meters
	- Solid waste management	1,142
	- Public toilets	7
	- Other facilities	6
2. Community development	- Management training	98
	- Skill training	627
	- Soft loan	2,502
	- Information and publication	15
3. Housing improvement	- Housing improvement	1,764
	- Kitchen improvement	247
	- Toilet	212
	- Water supply connection	243
4. Land management	- Building permit	176
	- Land certification	660

⁶ World Urbanization Prospects, 2001 update. UN Population Division

⁷ This is the numbers of Sub-districts (Kampung) so far improved under C-KIP. In the subsequent fiscal years, city development budget will at least improve ten sub-districts.

C-KIP community participation model

C-KIP is built over the successful experiences of KIP that received several international and other national awards. Surabaya's KIP success is already replicated in other cities in Indonesia as well as in Vietnam, Cambodia, Thailand, India, and other countries.

C-KIP is a community based development effort where community takes the role of planning, implementing and monitoring with support from local government and supporting institutions. Based on their own needs and priorities, the communities make the program implementation decisions, thus communities have sense of ownership of the program due to direct involvement in all activities. The major premise of C-KIP is to formulate program and activities based on what people have and what people want or can do by themselves. Such approach stimulates the willingness of community inhabitants to do more by themselves and work positively within the city budget limit or to contribute financially by themselves.

Community Self-Survey: The first step in the implementation of C-KIP is Community Self-Survey that maps the problems and opportunities that exist in the community. This survey, a quantitative indicator based mapping, is the basis for substantial activity planning. The community is fully involved in this survey and problems and opportunities that exist in the community, from the view of the community, is identified and analyzed. This mapping tool covers five aspects:

- (i) Housing conditions
- (ii) Availability and quality of services
- (iii) Availability and quality of infrastructure
- (iv) Community status
- (v) Supported aspect (organization, participation, etc.).

Based on community-recognized priority of the problems and potentials, the community meets, in the form of community workshop, with experts and city government to decide what they want to do. This could include physical infrastructure planning such as pathway development, solid waste management, waste water improvement, public toilets, etc.; as well as non-physical aspects such as development of co-operatives, micro-credit for small business, skill development training, education, family loans, etc.

Community organizations: Next, community organizations are formed, which are responsible for management of the funds, program implementation and overall supervision. Four types of community organizations are identified in C-KIP process each responsible for decision making, finance management, implementation and supervising.

- Decision making - Local Kampung Development Board, KDB (or sometimes called Kampung Foundation): This is a legal entity responsible for overall management of the process including bridging between the program establishing community and fund providing city government or bank. It also plays a role in disseminating technology information, mobilizing public, etc. Members of the board are elected from bottom-up principles from local community stakeholders.
- Finance managing task force - Multi Economic-based Cooperation (MEC): This is a self-sustaining local co-operative mechanism that manages the fund, provides micro-credit, etc. to the community groups. The responsibility of paying micro-credit lies on each self-help group rather than individuals. This avoids the problem of 'free rider' by some individuals because members of the group carefully select its members from their trusted individuals. A well-managed local organization checks such 'free rider' problem (Ostrom et al., 1993). Representative of MEC, using interview method, examines and identifies their capacity to obtain loans or in some situations, the MEC may recommend a member(s) with less experience to follow the group training appropriate to their interest before providing loan.
- Implementation task force - Community Self-help Group (CSG): This consists of 510 households with similar interests that represent the need and demands of community members in a collective way at smallest neighborhood unit level (RTs). A leader heads such group (not necessarily a head of RTs). The tasks of the group are to select trusted members,

establish and arrange program and priority, comply with the program scheme, and conduct the activity. Some of CSG may also be established to conduct physical program that is funded by grants and community self-fund.

- Supervision Council (SC): This council is responsible for monitoring and supervising all KDB activities. The member of SC is the heads of RTs, the heads of RWs (higher neighborhood unit level) and LKMD (Sub-district Community Defense Board).

Providing management and institutions development training is important for these institutions to run smoothly. This is carried out by capacity building activities such as, lectures and visits by experts (such as other community leaders, community experts, financial managers etc.) and learning from other successful Kampung programs through visits and information gathering. C-KIP in essence, gives a perspective to communities on how to organize themselves and solve their problems on their own.

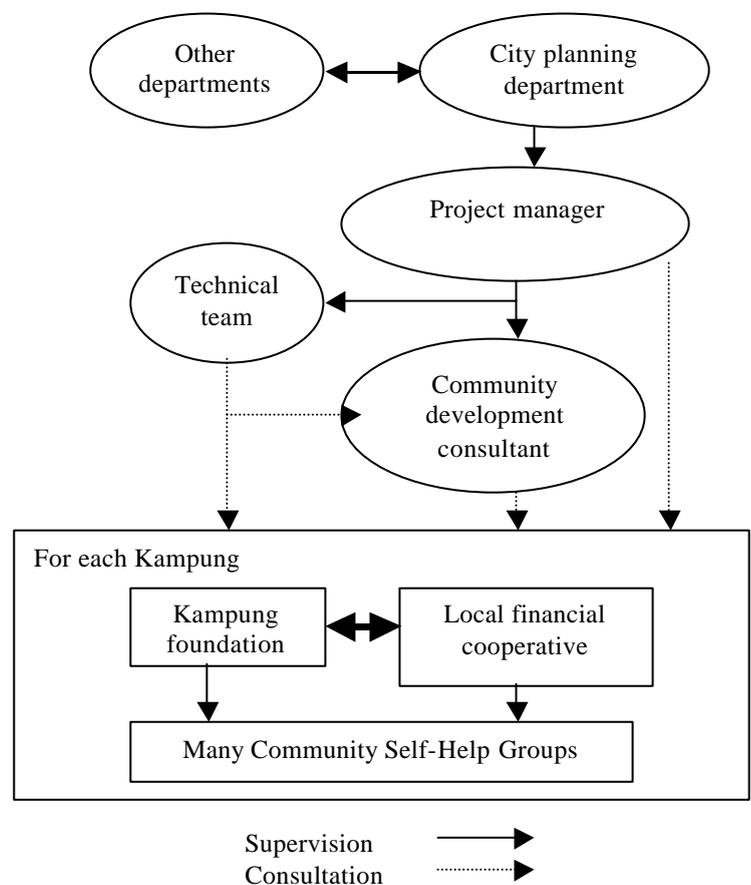
Formulation of development planning:

The development planning is wholly based on community self-survey mapping and consideration of available funds from the city government. Three criteria to be fulfilled are: community financial contributions since government funds might not be adequate; community contributing physical labor or action; and all physical plans should follow in accordance with city development plan.

Financial mechanism: World Bank program ended in Surabaya in mid-nineties and C-KIP implementation from 1998-2002 is solely based on city government funding. The fund comes from the city government's annual maintenance budget. Since such funds are directly disbursed to local communities through KDB, this helps to cut down overhead cost that may amount up to 30%. Until last year (2001), the city government's contribution to each Kampung was 200 million Indonesian Rupiah but from 2002, it has been increased to 250 million Rupiah for each Kampung. This fund is divided into two parts, one fifth of the sum is used as a

grant for physical infrastructure development (community contribute in addition to that) and rest for revolving-fund purpose for developing co-operative mechanism. 12% interest is generally used on such micro-credits however each Kampung can decide on their own. Each Kampung has different rules with usually higher interest rate on business loans compared to small family loans.

Role of government and other stakeholders: Surabaya City government launched C-KIP with the partnership of relevant stakeholders and ITS (Institute of Technology Surabaya). Apart from financial aspects, the government has also provided technical and other relevant support for the implementation of the program. The organizational arrangement is shown in the above figure. Kampung selection by the city government is based on objective analysis but not with political considerations. ITS has been invited since 1976 to help implement KIP. ITS carries out preliminary



mapping surveys with the help of students to identify problems and potential in Kampung. Based on this survey, the city government decides where improvement programs are to be implemented. These mapping of problems and opportunities are presented to the respective Kampung, and community groups in Kampung make changes, alterations or new surveys as appropriate.

Lessons learned

C-KIP is the ongoing process where increasingly more Kampung are participating. This program is at implementation stage continuously. The important lesson learned from this program and KIP is that the community-based mobilization of resources and implementation activities is very effective while dealing with low-income group problems. The sense of ownership is very important for its sustainability and better management, which comes through community empowerment. The establishment of independent institutions in communities is one of the core important aspects. KIP has helped to make city "inclusive", responsible, and credible as a result of community participation, activities and sense of group belongingness. This experience has opened up new avenues for communities and provided confidence that they can achieve additional objectives in the future. However, any program is not without problems, at least at the initial stage. The major problems faced during the implementation were:

- (1) Unwillingness of local government to allow local people to manage fund
- (2) Communities members are not always the best people for the job
- (3) Hesitant to take responsibility on parts of local community
- (4) Difficult for local community to make decisions on best course of action

However, these problems were sorted out once the program started and activities took on momentum through series of workshops, meetings and confidence building measures between government and the community members.

Implication to other cities

The program has potential application to other cities in Indonesia and elsewhere where un-serviced and unplanned compact low-lying settlement problems exist. The approach used in this program to deal with issues facing low-income groups might be useful in solving similar problems being faced in many Asian urban areas. However, the legalization of such squatter land might be a problem as, in most cases, the residents do not own land legally for their potential application to urban slum areas. Usually, the government may hesitate to run such a program, particularly in terms of infrastructure development, with the communities that are on illegal land. In the KIP program of Jakarta, the first move was made in transferring of land rights to dwellers; only then could the government work with communities in improving their living environment through KIP.

In any case, C-KIP is a community based development effort where communities are empowered in decision making and identifying their own priorities and problems. The model of community-involvement is very simple and is likely to work well in other cities in and out of this region. The model itself is very much refined as it stems out from successful KIP effort. However, small modifications may be necessary for different places. This is also a good model of how academic institutions can play role in complex practical urban issues and collaborate with local governments, which require technical assistance and new ideas.

The replicable elements in this experience are:

- Model of community participation and empowerment through community organizations
- Model of government and community collaboration
- System for financial mechanism including micro-credit scheme and mobilization of local resources

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