# Collaborative Governance in Controlling Air Pollution in Metropolitan

*by* Falih Suaedi

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# COLLABORATIVE GOVERNANCE IN CONTROLLING AIR POLLUTION IN METROPOLITAN

**Dr. Falih Suaedi**

Faculty of Social and Political Sciences (60286), Universitas Airlangga, Surabaya, Indonesia

**Denny Irawan**

Faculty of Social and Political Sciences (60286), Universitas Airlangga, Surabaya, Indonesia

**Nurul Jamila Hariani**

Faculty of Social and Political Sciences (60286), Universitas Airlangga, Surabaya, Indonesia

## ABSTRACT

### Background

*The level of air pollution in Surabaya is high as a result of massive number of vehicles on the street. Local government has executed several procedures to reduce air pollution, but has a problem because of the resources available. Collaborative governance can become the way to solve the lack of resources to tackle the problem of air pollution.*

### Objective

*This study aims to describe the process of collaborative governance in maintance of air pollution in Surabaya City.*

### Method

*This study uses qualitative descriptive. To determine the source of the data, this study uses purposive and snowball technique. The data are collected using library studies and conducting interviews. To test the validity of the data, researcher uses the source triangulation technique. Data analysis in this study is conducted by reducing, organizing data, and drawing conclusions.*

### Result

*The result shows that the criteria of collaborative governance are not fully executed because of the lack of involvement of other stakeholders in the collaboration forum and insufficient financial resources.*

### Conclusion

*Collaborative governance need to be maintained by both government and stakeholders for the best result*

## 1. INTRODUCTION

Government is mandated to continuously adjust to what is needed by the environment. This adjustment is an effort to respond to the development lead by the globalization era that is occured in the internal and external environment. One of the reason because the development of an increasingly global environment demands the roles of government agencies to accommodate all interests within the framework of democracy (Harymawan and Nowland). Various collaborations between stakeholders in the administration of government are also carried out as an effort and response of the government in handling public problems. Collaborative governance can become the alternative way to cope with the environemental problem by involving government, private sector, and society (Rizki et al.). But, the problem in collaborative governance is the issue of water pollution is insufficient funds needed for operational costs.

Collaboration is defined as a form of cooperation, interaction, compromise of several elements, whether individuals, institutions nor parties involved directly and indirectly who receive consequences and benefits. It emphasizes that various forms of cooperation, interaction in government, and conflict resolution in various actors who are directly or indirectly involved will receive the impact of governance (Rizki et al.).

The impact of implementing governance can be optimized through planning. Some experts, such as Innes and Booher, Healey, and Gunton and Day suggested collaborative planning has been successfully implemented in several countries, for example to address environmental, security, water management involving many stakeholders, and across administrative areas (Puspitasari and Cahyani)

One country that uses collaborative approach to address environmental cases is Indonesia. The main problems of developing countries such as Indonesia, especially in urban areas is traffic congestion, slums, the need for clean water, and the need for healthy air. One of the metropolitan cities in Indonesia with the highest number of vehicles is Surabaya (Yearley et al.). The problem of air pollution in Surabaya is a serious problem that have to be immediately addressed by the city government. As the population increases in a city due to the relatively high rate of population growth, the level of urbanization will also increase. Thus, it will cause an increase in the number of vehicles as a support for community activities which results in the accumulation of more personal transportation equipment (Gani and Scrimgeour). In addition to these problems, the global community is also facing problems. One of them is related to transportation. (Prihandono).

The perspective of collaborative governance has also been widely used to solve local area problems because of the limitations of local government in running the governance in their regions. Because the perspective of collaborative governance is a process that involves many policy actors to be said to be good governance or good governance.

Based on the results of previous studies, it also seems that there are still many obstacles in applying collaborative governance such as constraints of authority in the organizational hierarchy, lack of government commitment, lack of public trust, limited information, lack of involvement of other stakeholders, and limited capacity of local government (Yearley et al.).

Through these various explanations, the purpose of this study is to describe the process of collaborative government to control air pollution in Surabaya.

## 2. METHOD

This research uses qualitative descriptive method. Determination of data sources is decided by using purposive and snowball smapling ethod. The data collection is done by using library study and cundcting interview (Tsai et al.). To test the validity of the datathis study uses the source triangulation technique. Data analysis in this research is done by reducing, and organizing data, and drawing conclusions.

## 3. RESULT AND DISCUSSION

### 3.1. Collaborative Governance

Ansell and Gash explain a new strategy from the government called collaborative governance as a form of governance that involves various stakeholders simultaneously in a forum with government as an official body to make formal decisions (Ansell and Gash). Harymawan in his research (2016) interpret collaboration as working together or working with other people. It implies that an actor or an individual, group or organization collaborates in several businesses. Every party who cooperates with others has certain terms and conditions which vary greatly (Puspitasari and Cahyani). The word "collaboration" was originally used in the nineteenth century in the development of industrialization, as the term for the emergence of more complex organizations, and increased division of labor and tasks. These conditions are the basic norms of utilitarianism, social liberalism, collectivism, mutual assistance and the rise of scientific management and the theory of human relations organizations (Harymawan and Nowland).

Ansell and Gash explain collaborative governance is a governance arrangement in which one or more public institutions directly involve non-government stakeholders in a formal decision-making process, oriented to consensus, deliberative, and has a purpose to create and implement public policies and manage programs or public assets (Selin and Selin).

Donahue and Zeckhauser stated that, "Collaborative governance can be thought of a form of agency relationship between government as principal, and private players as agent." (Yearley et al.). It means that collaborative governance can be considered as a form of cooperative relationship between the government as the regulator and the private sector as the executor.

Referring to the various meanings explained about collaborative governance, it can be stated that basically, the needs to collaborate arises from the interdependent relationship that exists between parties or between stakeholders. Collaborative governance can be explained as a process involving shared norms and mutually beneficial interactions between actors in governance (Hoekstra). Through the perspective of collaborative governance, positive goals from each party can be achieved.
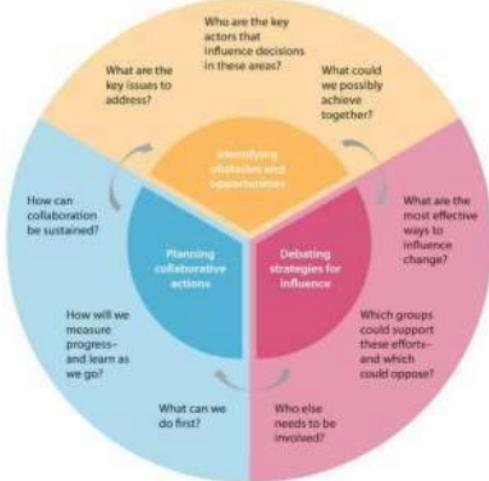
**Figure 2.** Three process in Collaborative Governance and Action Planning

Source: Ratner. Collaborative Governance Assessment. Malaysia: CGIAR.

The picture above shows three phases of collaborative processes in governance (Ratner, 2012: 5). The first stage is Identifying Obstacles and Opportunities. At this stage, the government and stakeholders who collaborate, which are private sector and the community, will identify various types of obstacles that will be faced during the governance process. At this stage, each stakeholder explains to each other about the problem and other stakeholders listen to each other's problems (Mannberg & Wihlborg, 2008). Each stakeholder has the same authority to determine the policies for each problem that has been identified and takes into account opportunities in the form of achievement that can be obtained from each party involved. Basically, this phase is a phase of listening and understanding each other problems and opportunities to be able to take advantage of every problem explained by each stakeholder.

The second stage is Debating Strategies for Influence. At this stage, stakeholders and authorities involve in governance, engage in dialogue or discussion about the obstacles that have been explained in the first phase. Discussions is conducted by each of the stakeholders involved, includes discussion of the strategies chosen as the most effective way to solve the problem. Then continue with discusssing the parties who are able to support the resolution of problems in governance that have been explained.

The third stage is Planning Collaborative Actions. After going through the stage of listening to the problems that will be faced in the governance process and conducting discussions about determining effective strategies to anticipate problems. At this stage, the stakeholders and authorities will begin to make a plan based on the implementation of each strategy that has been discussed in the previous stage, such as the initial steps to be taken in the collaboration process between stakeholders, namely the government, the private sector and the community (Rizki et al.). Then identify the measurement of each process carried out and determine the steps to keep the collaboration process in the long term.

## 3.2. The criteria of success in Collaborative Governance

Goldsmith and Kettl state that there are important things that can be used as criteria to success in a network or collaboration in governance, which are Network Structure, Commitment to a

Common Purpose, Trust Among The Participants, Governance, Access to Authority, Distributive Accountability / Responsibility, Information Sharing, Access to Resources (Goldsmith and Kettl).

Networked Structure is a relationship between one element with another and reflects together the physical elements of the network handled. As a result, in collaborative governance network elements would not form a hierarchy, or the sole existence of power in one party (Selin and Selin). So that in collaborative governance, networks should be equal with the network structure involved, with no hierarchy of power, domination, and monopoly. So, all parties have equal rights, obligations, responsibilities, authorities, and opportunities for accessibility in achieving common goals.

Commitment to a Common Purpose is the reason why a network should exists because of the same commitment and attention to achieve positive goals together. These goals are usually be found in the general mission of a government organization. In addition, commitments that are established must not be in favor of one of the stakeholders or policy stakeholders for the benefits one party only. So that the commitment that exists in collaborative governance must be for the common good through finding a shared solution (Yearley et al.).

Trust Among The Participants is a professional or social relationship, and the belief that participants entrust information or efforts of stakeholders or other authorities in a network to achieve common goals. In this case, every stakeholder should trust each other because it is a manifestation of the professional relationship that is established to achieve successful implementation of collaborative governance (Harymawan and Nowland).

Governance is a relationship of trust between governance actors or government. In addition, there are rules agreed upon by each stakeholder, and there is freedom to determine how collaboration is carried out. In this case, governance can be said to be governance if there is clarity about who is a member and who is not a member (Ansell and Gash). Access to Authority is the availability of clear and widely accepted measures or provisions of procedures. So, there are clear rules of authority and are accepted by each stakeholder to carry out their roles according to their authority (Prihandono).

Distributive Accountability / Responsibility is structuring, organizing, and managing together with stakeholders and sharing a number of decision-making to all members of the network and sharing responsibility for achieving the desired results (Selin and Selin). Thus in collaborative governance, there must be a clear division of responsibilities, and each stakeholder (including the community) must be involved in making policy decisions.

Information Sharing is an easy access for members, privacy protection, and limited access for non-members as long as it can be accepted by all parties. So that in collaborative governance there must be clear information sharing, and easy access to information can be obtained for each stakeholder (Puspitasari and Cahyani). Access to Resources is the availability of financial, technical, human, and other resources needed to achieve network goals. So, there must be clarity and availability of resources for each stakeholder involved.

### 3.3. Implementation process of collaborative governance in controlling air pollution of Surabaya

The first stage of the collaborative government process is to identify air pollution problems and see opportunities for air pollution control in the city of Surabaya. The first step begins by identifying the condition of the air quality monitoring station, the results of which indicate that there are three stations that function properly while the other four stations cannot function or are damaged (Selin and Selin). This is caused by spare parts to repair the station no longer in production and have to buy a new station. Furthermore, air pollution conditions, which indicate that air quality in the city of Surabaya is still in good condition but can potentially

become air pollution if there is no further action. This is caused by the increasing number of motorized vehicles every year (Yearley et al.).

Next step in the first stage is identifying the causes of air pollution, the results of which show that motorized vehicles are the main cause of air pollution, and there are several other causes such as industry and people's mindsets that cannot be invited to live healthy (Prihandono). Through these various causes, the government also made various efforts in controlling air pollution. Among them are Car Free Day, testing of movable and immovable sources of emissions, UKL-UPL licensing, SPPL, public transport business licensing, workshop development, SITS management, city park management and urban forests, as well as the preparation of RPJMD which guides all programs or efforts (Ansell and Gash).

In addition to various efforts that have been made by the government, a number of obstacles have also been found in the implementation of air pollution control. Among them are the lack of participation and socialization of the community regarding the Car Free Day and SITS programs at the beginning of operations, as well as existing policies that are still contradictory to the policy of buying cheap vehicles. Then there are still other obstacles in managing green open space in the city of Surabaya, especially related to land status, and there are still many land uses.

Next step is identifying the opportunities for collaboration by looking at various types of efforts and obstacles to implementation. In addition, the opportunity for collaboration is also seen from the involvement of various parties that have been regulated in the RPJMD for 2016-2021 (Rizki et al.). In the RPJMD, explaining that air pollution control collaboration involves various actors of governance, namely government, private sector, and society (Prihandono).

In the first stage of the collaborative government process there are several criteria that have been met, namely Trust Among The Participants and Access to Authority. This can be seen from the start of the trust between the government and the community who participated in the implementation of air pollution control programs. In the aspect of authority also shows the existence of clear rules and accepted by each stakeholder to carry out roles according to their authority (Rizki et al.).

In this firts stage, the other six criteria of governance have not been fulfilled, because there is still a power hierarchy in the implementation of air pollution control programs, a commitment that exists prioritizes those who offer assistance, the dominance of involvement from the government, policy directions using a top-down approach, making decisions less involving stakeholders others, there is no clarity and ease of access of information for each stakeholder, and the availability of financial resources is still insufficient (Selin and Selin).

The second stage of the collaborative government process is to carry out a dialogue between actors to solve the problem of air pollution control in the city of Surabaya. The first step begins by identifying the process of dialogue between actors. The results show that the process of dialogue between actors is carried out before the implementation of activities or programs, with the aim that there is no overlapping of tasks for each stakeholder. However, in the process of dialogue between actors, it was seen that the decision authority for the implementation of air pollution control policies was dominated by the government (Yearley et al.).

The next step is identifying the barriers to inter-dialogue. Overall, the obstacle is that the actors involved cannot attend meetings or forums. In addition, coordination that tends to be determined by the center results in the length of policy decision making, as well as the existing dynamics demanding to immediately make decisions and policy actions.

With these obstacles, the next step is finding a solution to overcome barriers to dialogue between actors in controlling air pollution in the city of Surabaya. Referring to various informant submissions, the solution is that there must be awareness for each stakeholder to attend the meeting, and each stakeholder is required to work well together so that decision making can be immediately followed up. The accuracy of decision that is made will affect the success of implementing control programs.

In the second stage of collaborative governance, there is only one criterion that has been fulfilled, which is Trust Among The Participants. This can be seen from stakeholders who entrust their duties to the parties involved in the forum. Whereas the other seven criteria have not been fulfilled because there is still a power hierarchy in policy decision making, a commitment that is committed prioritizing those who offer assistance, its governance is dominated by the City Government, there is still a tendency of authority determined by one party, making decisions less involving other stakeholders, there is no clear information sharing and there is limited access for non-members, and the availability of financial resources is still insufficient (Stewart, 1993).

The third stage of the collaborative governance process is planning collaborative actions from controlling air pollution in the city of Surabaya. The initial step begins by identifying collaborative planning. Based on the results of information from each informant, collaborative planning is in the form of planning program updates that are adapted to current conditions, and sustainable development planning. These plans are guided by the Surabaya City Government budget.

The next step is identifying the assessment of the success of collaborative governance in controlling air pollution in the city of Surabaya. Based on the delivery of all informants stated that the collaboration that has been established so far has been successful because each stakeholder works well together and each stakeholder supports each other (Ansell and Gash). However, there are criteria that are used to assess whether the collaboration is successful or not. In the third stage of collaborative governance there are several criteria that have been fulfilled, namely Commitment to a Common Purpose, Trust Among The Participants. This can be seen from the commitment and trust of each stakeholder to produce sustainable air pollution control programs.

The other six criteria of success have not been fulfilled because there is still a power hierarchy determined by the center on collaborative planning, the direction of policy uses a top-down approach, the resources obtained only benefit certain parties. There is still a tendency for authority determined only by one party, so that making the decision did not involve wwith other stakeholders (Sabatier, 1986). Moreover, there was no responseregarding of information sharing, limited access for non-members, and the lack of financial resources (Ansell and Gash).

## 4. CONCLUSION

Based on the findings of data, it can be concluded that the collaborative governance process has not been effectively executed. This can be seen from the criteria of collaborative governance which are still not fulfilled, especially the Distributive Accountability and Access to Resources criteria at the Debating Strategies for Influence stage.

These criteria are not fullfilled because of a lack of involvement of other stakeholders in the collaboration forum, and the availability of financial resources that are still insufficient. The criteria for the availability of financial resources are still the main obstacle due to the lack of provision of the budget stipulated in the RAPBD for handling air pollution problems in the city of Surabaya. This shows that there is still a lack of commitment from the government. Overall, at the three stages of the collaborative government process in controlling air pollution

in the city of Surabaya, only one criterion has been fulfilled, namely Trust Among The Participants.

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