

The Urban Book Series

Ninik Suhartini  
Paul Jones

# Urban Governance and Informal Settlements

Lessons from the City of Jayapura,  
Indonesia

 Springer

# **The Urban Book Series**

## **Series Advisory Editors**

Fatemeh Farnaz Arefian, University College London, London, UK

Michael Batty, University College London, London, UK

Simin Davoudi, Newcastle University, Newcastle, UK

Geoffrey DeVerteuil, Cardiff University, Cardiff, UK

Andrew Kirby, Arizona State University, Phoenix, USA

Karl Kropf, Oxford Brookes University, Oxford, UK

Karen Lucas, University of Leeds, Leeds, UK

Marco Maretto, University of Parma, Parma, Italy

Fabian Neuhaus, University of Calgary, Calgary, Canada

Vítor Oliveira, Porto University, Porto, Portugal

Christopher Silver, University of Florida, Gainesville, USA

Giuseppe Strappa, Sapienza University of Rome, Rome, Italy

Igor Vojnovic, Michigan State University, East Lansing, USA

Jeremy Whitehand, University of Birmingham, Birmingham, UK

## **Aims and Scope**

The Urban Book Series is a resource for urban studies and geography research worldwide. It provides a unique and innovative resource for the latest developments in the field, nurturing a comprehensive and encompassing publication venue for urban studies, urban geography, planning and regional development.

The series publishes peer-reviewed volumes related to urbanization, sustainability, urban environments, sustainable urbanism, governance, globalization, urban and sustainable development, spatial and area studies, urban management, urban infrastructure, urban dynamics, green cities and urban landscapes. It also invites research which documents urbanization processes and urban dynamics on a national, regional and local level, welcoming case studies, as well as comparative and applied research.

The series will appeal to urbanists, geographers, planners, engineers, architects, policy makers, and to all of those interested in a wide-ranging overview of contemporary urban studies and innovations in the field. It accepts monographs, edited volumes and textbooks.

More information about this series at <http://www.springer.com/series/14773>

Ninik Suhartini · Paul Jones

# Urban Governance and Informal Settlements

Lessons from the City of Jayapura, Indonesia

 Springer

Ninik Suhartini  
School of Architecture, Planning  
and Policy Development  
Institut Teknologi Bandung  
Bandung, Indonesia

Paul Jones  
School of Architecture, Design  
and Planning  
The University of Sydney  
Sydney, NSW, Australia

ISSN 2365-757X

ISSN 2365-7588 (electronic)

The Urban Book Series

ISBN 978-3-030-06093-0

ISBN 978-3-030-06094-7 (eBook)

<https://doi.org/10.1007/978-3-030-06094-7>

Library of Congress Control Number: 2018964677

© Springer Nature Switzerland AG 2019

This work is subject to copyright. All rights are reserved by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.

The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

The publisher, the authors and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, express or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

This Springer imprint is published by the registered company Springer Nature Switzerland AG  
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

# Foreword

I was delighted to accept the invitation to foreword this new book, authored by Ninik Suhartini and Paul Jones—*Urban Governance and Informal Settlements: Lessons from the City of Jayapura, Indonesia*. I met both authors in the Informal Urbanism Hub convened at the UN-Habitat conference in Cairo, November 2014. Ninik Suhartini was by then presenting her early research findings on informality and governance arrangements in Jayapura, her hometown in Indonesia. Paul Jones was introducing us to urban informality in a not so well-known context of the Pacific Ocean islands, while I was reflecting on how the ‘old continent’ of Europe had dealt with formalization of informal settlements in regional contexts. The latter included the Portuguese setting during the last quarter of the twentieth century. The above represented three perspectives on informality cutting across emergent features, different points of view and past experiences. The well-known world statistics on urban informality show how, despite planning institutions try to deal with the issue, they continue growing.

Later, we became close colleagues, sharing our experiences and research achievements, introducing new concepts to the discussion of informality and inevitably relating it to complexity since simple approaches and solutions implemented during decades proved to fail or to generate even more informality. The exciting experience of being invited in 2017 and 2018 to be part of the joint ongoing studio organized by Paul Jones and Ninik Suhartini from the University of Sydney and academics from the Institut Teknologi Bandung with a strong focus on *kampung*—the most well-known brand of informal settlements in Indonesia—was a crucial landmark to consolidate this shared awareness for the need of new complexity approaches. This cross-collaborative studio immersed in students experiencing notions of ‘bottom-up’ urbanism makes it possible to aim for new planning frameworks and, in a way, to break the path dependency on top-down designed rules. Patterns and pattern analysis are, therefore, part of the work developed by Paul Jones and with Ninik Suhartini, a way to understand complex random developments. Patterns of interfaces between private and public places, but also patterns of blocks and of public spaces as the result of what is left from private occupations reveal the urge that the authors put in understanding informality.

The focus of the research that embodies this book is fascinating by itself: a city, Jayapura, capital of the peripheral province of Papua, part of a rampantly growing country, Indonesia, one of several nations with a pace of change and development hardly achieved by other parts of the world—namely, by the Global North where (still) most of the knowledge on informality is produced. The dominant position of developed countries on discourses related with urbanization in the developing world has been a trend that in a way this book counterbalances. Also, for this reason, it is particularly positive and inspiring to see such relevant topic as the one of informalities being addressed by a researcher like Ninik Suhartini, who deals daily with the challenges of governance arrangements regarding formal and informal settlements in the Planning Board of Jayapura Municipality and who brings into this book her perspective on the subject, in such a brilliant way.

There are other reasons for finding inspiration in this book, now to be published. One of them is the fact that the authors address the less-explored relation between spatial analysis and urban governance. These two topics of research have rarely been interconnected, since spatial analysis became a quite autonomous field of research within urban design, while urban governance has remained as related with social and political sciences—thank you Ninik and Paul for intersecting them. If spatial analysis of block and form patterns is by itself a rich source of information, the challenge of going beyond that and bridging the disciplinary boundary with urban governance gives an additional quality to this book. The combination of spatial arrangements with governance emerges in this book in a clear and novel perspective, as part of the same process. Additionally, in this book, we can envision a ‘feedback loop’ from previous research involving spatial analysis from the context of the kampungs in Bandung (authored by Paul Jones, Sri Maryati and Ninik Suhartini and published this year by the Institut Teknologi Bandung press) to the context of Jayapura’s informal settlements.

Another aspect that deserves to be underlined is the fact that the authors chose the basic urban services to demonstrate the emergence of governance arrangements in informal settlements. Basic urban services are, globally, the most critical aspect of urban informality given their strong impacts on public health and on settlements’ livelihood, and with other concerns of land readjustment, collective facilities or public spaces, contribute to a stronger sense of community. The context of basic urban services is probably one in which the actors involved are more subjected to pressure—therefore, governance arrangements designed to deal with these very basic needs can be an excellent ground for other governance arrangements to provide diverse urban services.

Despite the novelty of combining spatial patterns and governance arrangements, the structure of the book allows the reader to follow, in a very easy and clear way, the authors’ reasoning on urban governance arrangements regarding informal settlements. While doing that, this book is also a very good source to understand urbanization and urban governance in relation with the case of Jayapura. It also gives the reader a perspective on urbanization and urban governance arrangements in developing countries (positively refusing the comparison with the developed world). Instead of looking for ‘best practices’, the focus of this book sits on a

double periphery condition. Informality is on one hand in spatial and institutional terms devoted to inaccessible places, and Jayapura in Papua is also remote regarding the Indonesian nation. By addressing types, processes and outputs of formal urban governance in Jayapura the authors are also opening the way to explore another kind of ‘interface’, the one so neglected between formality and informality. The in-between balance of winners and losers with the outcomes of formal urban governance on basic urban services reveals an interest on understanding what the effects of governance arrangements are. By doing this, a stable and coherent setting one can to understand the value of not so visible features of community governance arrangements in informal settlements.

The authors express the potential of these processes while they also show their awareness with the fact that the focus of their research is unrepeatable as social processes are. This wise awareness enhances the value of this research, drawing the reader’s attention beyond just a focus on outcomes and once again looking at qualities of the processes that were analysed. If there was something that the academic and professional planning communities have learned during these years of research is that good, long-last solutions to formalize informality are much more than interventions to fix malfunctions. I more than hope, I truly believe, based on other researches, that institutions although they tend to be and present themselves as highly formalized bodies, they learn with informality. And therefore, I found this book so valuable to deal with informality and in the long term to contribute to a better management of urban settlements in general, both formal and informal.

Aveiro, Portugal

Professor Paulo Silva  
Department of Social  
Political and Territorial Sciences  
University of Aveiro, Campus  
Universitário de Santiago

# Preface

It has been acknowledged that urbanization in developing countries has generated a complexity of challenges, including the need to address rapid population growth and the consequences and impacts of unequal physical development and economic growth. With rising urban poverty, it is increasingly clear that the benefits of urbanization have not been distributed evenly, with many groups and individuals excluded from access to services such as affordable land and housing, water, sanitation, accessible jobs and public transport. Within this setting, mid-sized towns and cities play an increasingly important role in dealing with the management of their urbanization processes and outcomes as they are at the ‘cutting edge’ of addressing decentralized governance arrangements to address their urban issues. Within the context of achieving sustainable urbanization, there has been an increasing research focus on governance and the pivotal role it can play in producing more effective and equitable urban development and management outcomes. This includes the important role of facilitating and enabling a range of tools, instruments and processes to deal with the many urban issues and problems central to improved human development outcomes in mid-sized towns and cities.

Within the above setting, the objective of this research is to better understand the nature of urban governance regarding the provision of basic urban services in developing countries, primarily in the domains of housing, water and sanitation. The research is aimed at identifying and understanding the implications of various forms of governance that facilitate the provision of basic urban services, albeit unequally in terms of spatial distribution, quality and quantity, and how this understanding may assist in improving systems of urban planning and management. Using the case study of the mid-sized city of Jayapura, Papua, Indonesia, the research explores (i) the types, processes and stakeholders that constitute formal urban governance in the provision of basic urban services; (ii) an understanding of how stakeholders gain and benefit ‘on the ground’ from formal urban governance arrangements in providing basic urban services, and why; (iii) for those who do not directly benefit from formal urban governance arrangements, how individuals, groups and communities organize and access governance to meet their basic urban

service needs; and (iv) clarifying the contributions of the research findings to a better understanding of the nature of urban governance and its relationship to the often unequal provision of basic urban services.

This research builds on methodological approaches utilized in understanding the nature of urban governance in developing countries context. First, it does this by deconstructing a case study, thus appreciating the value and importance of contextual differences and similarities and their implications for planning and development. Second, the research provides an empirical basis for testing and quantifying the different outcomes arising from formal and informal governance. The methods employed are extensive and comprised securing primary (that is, face-to-face household surveys interviewing 448 respondents, ground mapping in four informal settlements and semi-structured interviews with 12 stakeholders) and secondary data regarding urban governance, planning and management. In respect of the household surveys, they were undertaken to determine the perception of residents in formal and informal settlements regarding who gains and benefits from urban governance outcomes for the basic urban services of housing, water and sanitation. The spatial analysis undertaken at a municipal scale examined the configuration of formal and informal settlements in the city, while ground mapping was conducted to analyse the block patterns, building and service types at a settlement level. The interviews undertaken were aimed at obtaining information about the 'life experiences' and perceptions of stakeholders who have been involved in the process of urban governance, particularly in the provision of basic urban services. A typology survey was utilized to identify the physical outcomes and the quality of basic urban services in informal settlements as well as to understand the types, structures and networks of urban governance. In addition, an analysis of published data was undertaken in order to obtain trends on demographic, social, economic and cultural development as well as formal urban governance systems and structures in Jayapura.

This research reveals that emerging mid-sized cities such as Jayapura have experienced rapid urbanization and have been forced to confront and acknowledge the fast-growing demands of basic urban service provision for a diverse population. Urban governance arrangements have emerged both formally and informally to cope with addressing gaps in basic urban service provision across a range of settlement types. At a broader level, the research enriches suggestions in the literature that planning, design and governance need to recognize and address via more effective means the complexity of the city. The challenge for planning generally is to question 'one size fits all' approaches and seeks a deeper understanding as to what constitutes city complexity as highlighted in the Jayapura case study.

The research uncovers that the outcomes of formal governance arrangements in basic urban service provision vary in terms of beneficiaries, types of benefits and levels of benefits. Spatial planning outcomes are restricted to those who reside in the planned areas—that is, they are spatially exclusive—while development and sectoral planning outcomes are targeted at beneficiaries in both planned and informal settlements. The nature of spatial planning has its genesis in colonial approaches based on territoriality and zoning to segregate space for different urban

populations and uses. Spatial and sectoral planning outcomes, such as roads, electricity, formal drainage and domestic waste collection benefit stakeholders who are directly involved in the planning process, which in the case of Jayapura are the residents who live in the planned settlements as mandated by legislation. Residents living in informal settlements are excluded from involvement in legal spatial planning processes and deemed not to be important and relevant in the spatial planning process.

On the other hand, development planning activities benefit groups in both planned and informal settlements. The use of both development and sectoral planning provides the flexibility to address a more inclusive range of basic urban service needs across a wider population cohort, which includes residents excluded from the spatial planning process. Hence, development and sectoral planning benefit a greater range of stakeholders in terms of housing, water and sanitation provision, regardless of their spatial location. Despite the evolving formal and informal governance arrangements in basic urban service provision, issues of the financial and technical capabilities of stakeholders plus the 'skewed' overarching planning framework which supports residents who could be termed middle or upper class in terms of income, employment and location have strongly influenced outcomes. The latter have contributed to insufficient gaps in the provision of formal and informal basic urban services while at the same time increasing the emergence of community-organized basic urban services in both planned and informal settlements.

The major modes of governance arrangements in the informal settlements in Jayapura consist of what can be termed traditional governance, formal and informal governance, and hybrid governance. Traditional governance is an arrangement based on local social-cultural values and norms and is tied to specific kin and ethnic groups and embedded in a land tenure type. Formal governance comprises development interventions conducted by the Municipal Government and other bodies via legally endorsed planning processes, while informal governance comprises varying 'bottom-up' self, group and community arrangements that provide basic urban services based on mutual understanding and or agreement. Hybrid governance in Jayapura involves three main stakeholders centered on 'the governance of three pillars' (the government, the church and the native Papuan community), and comprises arrangements that combine and utilize traditional, formal and informal governance.

All these governance types co-evolve as their boundaries overlap and intersect through time at the local settlement, municipal and to a lesser degree, national level. They work together at varying levels of coherency and 'equilibrium' in the development process to provide basic urban services in formal and informal settlements. The 'governance equilibrium' represents a 'balance' at a specific point and place in time in how stakeholders utilize and share resources, and access various contributions in various ways to obtain basic urban services. This 'balance' is shaped by two main elements: (1) 'fixed' elements of governance that apply generally to all settlements, such as land tenure and the leadership of local leaders, and (2) 'variable' governance elements comprising contextual- and location-specific elements

embedded in the settlements, such as the types, scales and ongoing organization of basic urban service arrangements. With over a billion people living in slums and informal settlements, it is paramount that policy and decision-makers better understand the implications of their governance processes and outcomes in striving towards sustainable urbanization as contained in recent global urban mandates such as Habitat 3 and Sustainable Development Goal 11.

Jayapura, Indonesia  
Sydney, Australia

Ninik Suhartini  
Paul Jones

# Acknowledgements

This book is developed from Ninik Suhartini's Ph.D. thesis as completed during June 2012–January 2017 in the Sydney School of Architecture, Design, and Planning, the University of Sydney, and awarded September 2017. The Ph.D. was a consequence of Ninik's life-long curiosity to understand the 'signs' of what Allah has written as rules in the Al-Quran. In this context, Ninik's thesis was as an opportunity to understand the processes and dynamics shaping everyday life, their placement and governance, and how they contribute to the good and 'not so good' of humanity. This desire for deeper knowledge and learning arose when Ninik was working as an urban planner for 12 years at the Jayapura Municipality, Papua, Indonesia.

For the Indonesian Government, Jayapura has been a priority centre of economic, infrastructure and social development at a national level for the last two decades, and now functions as a strategic growth centre in the eastern part of Indonesia. However, like many planning systems in the global world, urban planning and development at the local level has not delivered outputs and outcomes as expected due to the myriad interplay of national, regional and local factors. This situation spurred Ninik onto gaining a deeper understanding on how cities really work to hopefully make a greater contribution to the urban planning profession, thus dealing more effectively with the issues and problems as emerging in the ongoing urbanization process. As cities in developing countries are seen by many as messy, chaotic and highly influenced by politics, Ninik pursued her initial Ph.D. research in an academic world where she sought to combine her insights as a practitioner with academic rigour and scholarship. This work and rationale forms the basis of this book for both co-authors.

In terms of contributions to this book, Ninik would like to acknowledge Ibu who provided inspiration via love, wisdom and strength. Ninik would also like to thank her husband Mas Jon, children Farhan and Dianti, only sister Retno, Bapak and Yudi for their trust and endless prayers. In terms of my co-author, I have been fortunate in working with Associate Professor Paul Jones, a global expert on Asia Pacific urbanization and informal urbanism. Paul has expanded my capacity and

widened my perspectives on how to understand the workings of the city and especially its multiple levels of inequalities. I thank Paul as both a co-author and supervisor, teacher and mentor for his total dedication, time, and patience in fostering my academic and professional pathways during both my Ph.D. and in the development of this book. There is not enough space to mention Paul's contributions in this research and beyond in advocating better outcomes for those living their lives in informal settlements and slums, whilst seeking a deeper understanding of the city 'as it is' and 'as it might be'.

We would like to thank Amy Wan and the Australia Awards team for facilitating Ninik's academic and professional development while at the University of Sydney; Dr. Alun Pope, Prof. John Landis and Dr. Delik Hudalah for their constructive advice in strengthening the research analysis in the Ph.D.; Prof. Nicole Gurrán, Prof. Peter Phibbs and Dr. Adrienne Keane for sharing their academic guidance at the University of Sydney; Lisa Agnesari, Basuki Argo Utomo, Mery Clara Youwe, Niko Waromi, Edison Bab, Ronald Thesia and all surveyors from the University of Cenderawasih, Jayapura, who assisted in conducting face-to-face household surveys, ground mapping and rechecking data. Also thank you to Rebecca Bradford and Sara Birks for their initial editorial assistance.

We would also like to thank the Sydney School of Architecture, Design and Planning of the University of Sydney for their support in pursuing this critical research publication as an important aspect of better understanding and managing the urbanization process. As well, the findings of research work undertaken in the kampungs of Bandung by both co-authors with Associate Professor Sri Maryati from the Institut Teknologi Bandung, Indonesia, permeate this work. We thank her sincerely for her insights and dedication to improving urban service outcomes in kampungs. Finally, we thank Professor Paulo Silva from the University of Aveiro, Portugal, for his insightful comments in the Foreword.

January 2019

Ninik Suhartini  
Paul Jones

# Contents

## Part I Situating Urbanization and Urban Governance

<b>1 Introduction</b> . . . . .	3
1.1 The Setting . . . . .	4
1.2 Purpose and Research Questions . . . . .	5
1.2.1 Research Purpose and Questions . . . . .	5
1.3 Research Methodology . . . . .	6
1.3.1 Key Methods . . . . .	6
1.3.2 Case Study Design . . . . .	8
1.4 Structure and Scope . . . . .	8
References . . . . .	12
<b>2 Urbanization and Urban Governance in Developing Countries</b> . . . . .	13
2.1 Introduction . . . . .	14
2.2 Urbanization in Developing Countries . . . . .	15
2.2.1 An Overview of Urbanization . . . . .	15
2.2.2 The Rise of Informal Urbanism . . . . .	19
2.3 Urban Governance Arrangements in Developing Countries . . . . .	23
2.3.1 An Overview . . . . .	23
2.3.2 Concepts of Urban Governance . . . . .	25
2.3.3 Governing Basic Urban Services in Developing Countries: The Complexity of Formal, Informal and Hybrid Governance Arrangements . . . . .	28
2.3.4 Assessing ‘Good’ Urban Governance . . . . .	30
2.4 Summary and Implications for the Research Framework . . . . .	33
References . . . . .	37

**Part II A Case Study of the Mid-Sized City of Jayapura, Papua, Indonesia**

**3 An Introduction to Jayapura, Papua, Indonesia** . . . . . 43

3.1 Methods Used During the Fieldwork . . . . . 44

3.2 Jayapura: Geography and Administrative Status . . . . . 50

3.2.1 Geography . . . . . 51

3.2.2 Administrative Status . . . . . 51

3.3 Land Use . . . . . 54

3.4 Population . . . . . 54

3.4.1 Total Population . . . . . 57

3.4.2 Population Density and Distribution . . . . . 59

3.4.3 Social Facilities and Human Development Index (HDI) . . . . . 60

3.5 Socio-cultural Aspects . . . . . 60

3.5.1 Ethnic Mix . . . . . 61

3.5.2 Customary Landownership . . . . . 62

3.6 The Urban Economy . . . . . 64

3.7 Urbanization in Jayapura . . . . . 67

3.8 Summary . . . . . 69

References . . . . . 72

**4 Types, Processes and Outputs of Formal Urban Governance in Jayapura** . . . . . 75

4.1 Introduction . . . . . 76

4.2 Types, Processes and Outputs of Spatial Planning . . . . . 76

4.2.1 Types and Processes . . . . . 77

4.2.2 Key Outputs . . . . . 82

4.3 Types, Processes and Outputs of Development Planning . . . . . 88

4.3.1 The Long-Term Development Plan (LTDP) of Jayapura . . . . . 88

4.3.2 Medium-Term Development Plan (MTDP) of Jayapura . . . . . 89

4.3.3 The Annual Development Plan (ADP) of Jayapura . . . . . 91

4.4 Sectoral Planning Types, Processes and Outputs for Housing, Water and Sanitation . . . . . 97

4.4.1 Housing Provision . . . . . 99

4.4.2 Water Provision . . . . . 100

4.4.3 Sanitation . . . . . 107

4.5 Summary . . . . . 111

References . . . . . 114

<b>5</b>	<b>Who Gains and Benefits from the Outcomes of Formal Urban Governance for Basic Urban Services</b> . . . . .	115
5.1	Introduction . . . . .	116
5.2	Spatial Planning Outcomes . . . . .	117
5.2.1	Resource Allocations . . . . .	117
5.2.2	Who Gains and Benefits from Spatial Planning . . . . .	119
5.2.3	Issues Regarding Spatial Planning Outcomes in Jayapura . . . . .	127
5.3	Development Planning Outcomes . . . . .	131
5.3.1	Resource Allocations . . . . .	131
5.3.2	Who Gains and Benefits from Development Planning . . . . .	132
5.3.3	Issues Characterizing Development Planning Outcomes in Jayapura . . . . .	139
5.4	Who Benefits from Sectoral Planning: Housing, Water and Sanitation . . . . .	143
5.4.1	Housing . . . . .	143
5.4.2	Water . . . . .	145
5.4.3	Sanitation . . . . .	152
5.5	Summary . . . . .	156
	References . . . . .	161
<b>6</b>	<b>Key Features of Community Governance Arrangements in Informal Settlements</b> . . . . .	163
6.1	Introduction . . . . .	164
6.2	An Overview of the Types of Basic Urban Services in Informal Settlements . . . . .	165
6.2.1	Context . . . . .	165
6.2.2	Housing . . . . .	166
6.2.3	Water . . . . .	172
6.2.4	Sanitation . . . . .	175
6.3	Governance of Basic Urban Services in Informal Settlements: A Case Study of Four Settlements . . . . .	180
6.3.1	Case Study 1: Argapura Bawah . . . . .	181
6.3.2	Case Study 2: Batu Putih . . . . .	188
6.3.3	Case Study 3: Dok IX . . . . .	196
6.3.4	Case Study 4: Kampung Kayu Pulo . . . . .	204
6.4	Summary . . . . .	210
	References . . . . .	215
 <b>Part III Conclusion</b>		
<b>7</b>	<b>Towards More Inclusive Urban Governance</b> . . . . .	219
7.1	Introduction . . . . .	220
7.2	Revisiting the Key Research Questions and Findings . . . . .	221

- 7.2.1 Question 1: What Are the Types and Processes, and Who Are the Stakeholders that Constitute Formal Urban Governance in the Provision of Basic Urban Services? . . . . . 221
- 7.2.2 Question 2: Who and How Do the Stakeholders Gain and Benefit ‘on the Ground’ from Formal Governance in Providing Basic Urban Services? . . . . . 222
- 7.2.3 Question 3: How Do Individuals, Groups and Communities Who Do not Directly Benefit from Formal Urban Governance, Organize and Access Governance to Meet Their Basic Urban Service Needs? . . . . . 223
- 7.3 Contribution to the Literature . . . . . 226
  - 7.3.1 The Nature of Urban Governance . . . . . 227
  - 7.3.2 The Complexity of Urban Governance Arrangements . . . . . 229
  - 7.3.3 The Importance of Understanding Context and the Need for Nuanced Urban Governance Arrangements at Varying Scales. . . . . 230
  - 7.3.4 Typology Analysis as the Main Tool in Classifying Informal Settlements and Identifying Types of Arrangements, Stakeholders and Processes of Basic Urban Service Provision. . . . . 231
  - 7.3.5 A Better Understanding of the Concepts ‘Informal Settlements’, ‘Good Urban Governance’, ‘Self-Organization’ and ‘Self-Governance’ . . . . . 231
- 7.4 Policy and Practice Implications . . . . . 232
- 7.5 Further Research Opportunities . . . . . 233
- 7.6 Concluding Remarks. . . . . 234
- References . . . . . 235

# Abbreviations

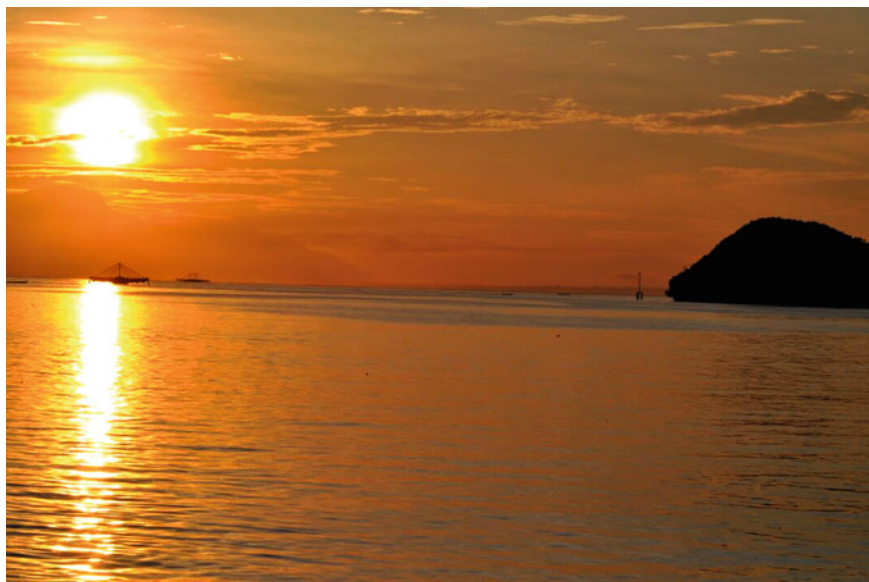
ADP	Annual Development Planning
AUSAID	Australian Agency for International Development
Bappeda	<i>Badan Perencanaan dan Pembangunan Daerah</i> (Regional Planning Board)
BPS	<i>Biro Pusat Statistik</i> (Central Bureau of Statistics)
DKP	Dinas Kebersihan dan Pemakaman (Department of Waste Management and Funerals)
HDI	Human Development Index
ILO	International Labour Organization
LPPM-UNHAS	<i>Lembaga Penelitian dan Pengabdian Masyarakat Universitas Hasanuddin</i> (the Research and Community Service Centre of the University of Hasanuddin)
OECD	Organisation for Economic Co-operation and Development
PDAM	<i>Perusahaan Daerah Air Minum</i> (Regional Enterprise for Drinking Water)
PDRB	<i>Produk Domestik Regional Bruto</i> (Gross Domestic Regional Product)
PLN	<i>Perusahaan Listrik Negara</i> (State-Enterprise for Electricity)
PNPM	<i>Program Nasional Pengentasan Kemiskinan</i> (National Poverty Alleviation Program)
RIPPDA	<i>Rencana Induk Pengembangan Pariwisata Daerah</i> (General Plans for Regional Tourism Development)
RPJM	<i>Rencana Pembangunan Jangka Menengah</i> (Mid-Term Development Plan)
RPJPD	<i>Rencana Pembangunan Jangka Panjang Daerah</i> (Long-Term Development Plan)
RT	Rukun Tetangga
RTRW	<i>Rencana Tata Ruang Wilayah</i> (the General Spatial Plan)
RTRWN	<i>Rencana Tata Ruang Wilayah Nasional</i> (the National Spatial Plans)

RW	Rukun Warga
UN-DESA	United Nations Department of Economics and Social Affairs
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UN-Habitat	United Nations Human Settlements Programme
UNICEF	United Nations Children's Fund
UN-WWAP	United Nations World Water Assessment Programme
USAID	United States Agency for International Development
WHO	World Health Organization

**Part I**  
**Situating Urbanization and Urban**  
**Governance**

# Chapter 1

## Introduction



Dawn in Yos Sudarso (Humboldt) bay, Jayapura

**Abstract** This chapter sets the scene for the main narrative of the book which is to explore the arrangement and effectiveness of urban governance in small to medium and mid-sized towns in providing basic infrastructure and services such as housing, clean water, and sanitation. Set against a background of rapid urbanization in developing countries, a range of mechanisms to meet basic urban service provision are recognized and accommodated by formal systems. However, many informal settlements remain neglected in formal service provision as they are considered illegal, unplanned and or do not accord with the ‘modern’ vision for city development. On the other hand, in some contexts, local government does not have adequate capacity

to provide services. In this setting, the chapter sets out four research questions which are based around assessing the implications of various forms of governance in providing basic urban services and their contribution towards improving systems of urban planning, management and their outcomes. The core focus of the research centers on how basic urban services are provided to the population, especially those living their lives in settlements designated as informal settlements. The case study is Jayapura, the capital of Papua Province, Indonesia, a growing mid-sized city experiencing rapid growth, especially in informal settlements. The research methods, including examining primary and secondary data on urban governance as well as the case study design, are summarized in this chapter.

**Keywords** Urbanization · Urban governance · Research questions · Methods  
Case study

## 1.1 The Setting

Developing countries have experienced a rapid increase in population over the last 50 years, with Asia being the most populated region in the world. In terms of urbanization, Asia has the largest proportion of urban growth and it is predicted this trend will continue to increase over the next 30 years with countries such as Indonesia, India and China being major contributors (UN-Habitat 2016).

In Indonesia, for instance, the urban population increased significantly during the period 1980–2010, from 22.4% of the total Indonesian population in 1980 to approximately 49% in 2010, with most of this growth occurring in the main cities of Java Island (Firman 2012). The largest population and the largest urbanized areas are still concentrated in Java Island, with other islands such as Kalimantan and Papua having the least development growth, including urbanization.<sup>1</sup>

Consequently, Indonesia must deal with many issues arising because of urbanization including the inadequacy of basic urban service provision and the uneven distribution of development benefits across the country. Papua Province, for example, is the least developed locality in Indonesia. In terms of the Human Development Index (HDI), this province remains on the lowest rank in the country from 60.20 in 1996 to 64.94 in 2010 (BPS 2012a). Regarding poverty, Papua Province is the poorest part of the country, slipping from 40.78% in 2007 to 31.98% in 2011 in regards to the proportion of the provincial population living in poverty (BPS 2012b).

---

<sup>1</sup>To accelerate the development process in Papua, the Indonesian government enacted several policies such as Law 21 of 2001 about Special Autonomy for Papua, which includes Papua Province and West Papua Province. According to the Law, Papuan people are prioritized to access special rights such as priority in education, health, access to infrastructure, gender equality and community empowerment. Furthermore, many territorial proliferations have been conducted during the last decade, which has divided the province from 11 counties and 2 cities in 2001 to 28 counties and 1 city in 2011. This policy has accelerated the urbanization process in the province as more cities are developing in the area.

The capital of Papua Province, Jayapura, reflects the symptoms occurring in many urban areas in mid-sized cities in Asia as indicated by UNESCAP (2015). The population growth in Jayapura is 4.4% and above the national average (BPS 2012a, b), with 43.9% of in-migration per year. Furthermore, Jayapura is experiencing a rapid growth of informal settlements which has reached 25% of the total city area and encroaches onto planned settlements, hazard-prone land and conservation areas (Jones and Suhartini 2014a).

On the other hand, Jayapura local government is facing under-capacity in dealing with unmanageable urban growth, such as the mismatch of water demand and supply (PDAM 2010), lack of formal housing (Paruntung 2004) and low level of sanitation provision (EHRA 2012; DKP 2012). Concurrent with its function as a national activity centre, urban development in Jayapura remains focused in the initial urban areas designated to the west of the city and has not expanded to the eastern parts as identified for urban expansion (RTRW Kota Jayapura 2014).

In response to these circumstances, different mechanisms of governance have evolved and operate alongside the formal arrangements conducted by the government (Jones and Suhartini 2014b). Groups and individuals that have been excluded from formal development for example, have developed several adaptive arrangements by utilizing their own resources and capacities in providing for their individual and collective daily needs (Suhartini 2015). Furthermore, they have established informal activities in terms of increasing their income as well as providing basic infrastructure and services, such as housing, clean water and sanitation. Several mechanisms in meeting basic urban service provision are recognized and accommodated by the formal system, while many settlements remain neglected in formal service provision as they are considered illegal, informal and unplanned (Suhartini 2016).

In this context, questions regarding the effectiveness of urban governance, including processes and procedures in urban management have been raised particularly those that are conducted by the government. Such questions include inquiry into how different basic urban services have been delivered by various processes and activities to address the needs of urban residents. Furthermore, a broader discussion is timely to address the ways in which cities and urban residents in developing countries manage to adapt to city complexity, including the various conditions under which residents live their daily lives. Urban governance, therefore, is more than just the government, but also includes a broader scale of management and arrangements with multiple stakeholders which may be termed formal, informal or other (Stoker 1998).

## 1.2 Purpose and Research Questions

### 1.2.1 *Research Purpose and Questions*

The purpose of this research is to better understand the nature of urban governance in developing countries and its relationship to basic urban services, especially in

fast-growing mid-sized cities. Hence, this research explores the implications of various governance forms and their contribution towards improving systems of urban planning, management and their outcomes.

Using a case study of the mid-sized city of Jayapura, Papua, Indonesia, the research questions explored in this study are as follows:

- a. What are the types, processes and range of stakeholders which constitute formal urban governance in the provision of basic urban services?
- b. Who and how do stakeholders gain and benefit ‘on the ground’ from formal urban governance arrangements in the context of providing basic urban services?
- c. For those who do not directly benefit from formal urban governance arrangements, how do individuals, groups and communities organize and access governance to meet their basic urban service needs?
- d. How can we better understand the evolving nature of urban governance and its relationship to the provision of basic urban services?

Table 1.1 sets out the research purpose, research questions and sub-questions.

### **1.3 Research Methodology**

The methodological approaches for this research were designed to explore the nature of urban governance at a local and city scale so as to understand the types and processes of governance arrangements as well as the complexity of urban development. The research, therefore, utilizes multiple methods to secure and examine primary and secondary data framed in a case study approach to achieve the research purpose. At an international level, a case study approach has been widely used to better understand urban governance in developing countries, particularly where formal and informal urbanism is at play (see for example, Devas 2004, in case studies of South Asia, and the study by Bakker et al. 2008, in Indonesia).

#### ***1.3.1 Key Methods***

Several methods are utilized in this research, including examining primary and secondary data and information on urban governance. Secondary data analysis is undertaken to obtain general trends in demographic, social, economic and cultural development in the study area. On the other hand, primary data analysis including spatial analysis, interpretation of interviews and household surveys are also carried out. The spatial analysis using aerial imageries and city plans is conducted to acquire the spatial configuration of the formal and informal settlements in the city. Such analysis identifies the distribution and total area of both settlements types as well as measuring the consistency of spatial plan implementation. The interviews are aimed