

Synergistic Municipal-community partnership: Resolving Challenges in the Implementation of the National Slum Upgrading Program (KOTAKU) in Gajah Wong Riverbank Area, Yogyakarta

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ABSTRACT

The successful resolution of challenges faced during the implementation of the National Slum Upgrading (KOTAKU) Program in Gajah Wong Riverbank area, marked by initial resistance from affected communities, was achieved through the inclusive engagement of diverse community elements and collaborating agencies. This intricate interplay among stakeholders has a profound influence on the program's effectiveness. This study aims to unravel the dynamic relationships forged among various agencies and community components within the conflict management framework, ultimately enhancing program implementation. To attain this objective, a qualitative methodology employing a case study approach was utilized. The investigation revealed that the local government, in executing the National Slum Upgrading (KOTAKU), fostered collaboration with other governmental entities through a synergistic alignment of related programs. Reinforcing the program through the utilization of complementary initiatives contributed to achieving program objectives without resource constraints. The synergy among agencies was bolstered by optimizing existing social institutions within the community as active program implementers. This, in turn, positively influenced the processes of identification, socialization, and coordination, ensuring their effectiveness. Furthermore, the active involvement of the local community played a pivotal role in addressing challenges and overcoming initial resistance. The application of a persuasive socialization model effectively conveyed the program's significance in improving the residents' welfare, thereby fostering acceptance. This collaborative pattern depicts a synergistic model aligning policy maker interests with community needs, characterized by a continuous spectrum of participation and empowerment.



Introduction

The initiation of the National Slum Upgrading (KOTAKU) Program, aimed at revitalizing the Gajah Wong riverbank area in Muja Muju Village since 2019 due to its vulnerability to flooding and potential slum development, faced resistance from the local residents. The KOTAKU Program, focusing on infrastructure, spatial planning, and sanitation development in the area, encountered negative perceptions from the community. Residents perceived the program, initiated after data collection and organization by the National Land Agency (BPN) and the Land and Spatial Planning Agency (Dispentaru), as an attempt to seize their long-standing land. Residents' concerns, rooted in the mapping of deficient areas, were not met with repression from the government. Instead, proactive measures involving the community, community organizations, and various agencies were implemented, yielding satisfactory outcomes. A persuasive step model was employed to ensure the effective implementation of the KOTAKU program, fostering a collaborative approach that actively engaged the affected community. This approach has significantly contributed to the widespread success of the program.

Researchers often overlook the effectiveness of applying an external problem-solving model that hinders the implementation of the KOTAKU program. Many studies focus on identifying obstacles but fail to analyze the resolution structure employed by program implementers. Two main obstacles have been identified by KOTAKU program implementers. Firstly, there is a documented low level of community participation, as indicated by Efendi et al. (2020). Secondly, the program's effectiveness is scrutinized, with findings derived from the impact of its implementation. Research by Safrijal et al. (2021) suggests that infrastructure improvements facilitated by the KOTAKU program are considered effective, aligning with community needs. However, this study reveals a significant issue related to the availability of sufficient funds. Another aspect highlighted by Syamsiar et al. (2020) is that the infrastructure development program's implementation through the KOTAKU program is perceived as ineffective due to a lack of integration with a skills improvement model, making it non-sustainable. Additionally, the role of the community in program implementation is underscored by Delyus et al. (2023), who assert that

the program's success is attributed to the community's active involvement in planning, decision-making, and evaluation processes.

This study aims to scrutinize the effective mechanisms for implementing programs in communities that initially rejected the KOTAKU program. Departing from the tendency of previous research to overlook this aspect, this research serves as a valuable complement, seeking to identify effective strategies for addressing challenges originating from external entities, particularly the resistant community. To achieve this objective, the study endeavors to address three key questions: (1) What are the dynamics characterizing the implementation of the National Slum Upgrading (KOTAKU) Program in Muja Muju, Yogyakarta? (2) How does the relationship model between government institutions, residents, and community organizations unfold in the implementation of the National Slum Upgrading (KOTAKU) Program in Muja Muju, Yogyakarta? (3) What impact is generated by the application of these relationships in the implementation of the National Slum Upgrading (KOTAKU) Program in Muja Muju, Yogyakarta? These inquiries are presented to establish a model for addressing challenges that impede the implementation of the KOTAKU program in Muja Muju, Yogyakarta, with the ultimate goal of enhancing community welfare.

This study challenges the assertion that involving diverse elements of society, each with distinct orientations and functions, in addressing policy-related problems poses a vulnerability to conflicts of interest (Teorell, 2006). The government, as the policy owner, tends to normatively implement programs in line with strategic plans. Similarly, community organizations aim to participate but face constraints related to funding. Meanwhile, the community often exhibits a passive tendency to accept prevailing circumstances, leading to challenges in regulation and structuring that become uncontrollable. Synergy among these elements becomes feasible when there is a consensus on the meaning of community participation. Such agreement is achievable through alignment between the interests of policymakers and the needs of the community. In this context, participation takes the form of a continuum and yields an empowering impact (Plummer, 2000). The harmonization of diverse interests, coupled with the fulfillment of essential elements in fostering relationships between institutional elements and the community, can significantly influence the smooth implementation of the program.

Literature review

National Slum Upgrading (KOTAKU) Program: orientation and goals

Initiated in 2019 by the Ministry of Public Works and Public Housing (PUPR), the National Slum Upgrading (KOTAKU) Program aims to expedite the resolution of urban slums. Aligned with the 100-0-100 movement (ensuring 100 percent access to safe drinking water, eradicating slums, and providing 100 percent access to proper sanitation), this strategic effort by PUPR underscores the program's significance (Directorate of Settlement Area Development, 2018). The policy direction of the KOTAKU program emphasizes constructing systems, facilitating local governments, and empowering communities (Sitorus et al., 2020). Addressing slums involves building a collaborative platform that enhances the role of local government and encourages community participation (Rositasari & Mulyadi, 2022). This collaboration spans central government, provincial government, city/district, community, and other stakeholders, with a focus on positioning the community and city/district government as the primary actors (Wastiti et al., 2021).

The funding for the KOTAKU Program originates from a variety of sources, including the central government, provincial government, city/regency government, non-governmental organizations, other stakeholders, and development partner institutions such as the World Bank, Asian Infrastructure Investment Bank, and Islamic Development Bank. The program's objective of preventing the emergence of slums is accomplished through diverse initiatives. These include the development or rehabilitation of settlement infrastructure (Nurkhasanah & Wahyunengseh, 2021), the enhancement of community and local government capacities (Eferyn et al., 2023), and the creation of supporting infrastructure (Yanti et al., 2020). These efforts collectively aim to improve community access to infrastructure, thereby elevating and enhancing the well-being of individuals in urban areas. The central focus of the KOTAKU program is on fostering community involvement as the primary strategy for addressing slum areas, achieved through assistance and empowering the community (Safrizal et al., 2021).

Participatory empowerment: The key of Community-based Development

Participation refers to an individual's engagement in the activities of their community or social group beyond their regular work commitments. It is a result

of social interactions among individuals and fellow community members (Fudge Schormans, 2014). In the realm of development activities, community participation signifies an awareness and commitment to the community's role in enhancing their quality of life (Haklay, 2017, p. 169). The impetus for community participation stems from factors such as dependency, trust, and social networks (Putnam, 1993), contributing to the community's growing development capacity. Consequently, participation is viewed as an integral component of social capital (Fu & Mao, 2022). As people become more mindful of their local environments and engage in social organizations, community participation is expected to increase.

Proven to enhance the effectiveness of the development process, community participation accelerates progress, ensures the precision of program targets, fosters social cohesion, and elevates the overall quality of life (Sahroni, 2019). Numerous models of community participation adopt a bottom-up approach, involving the community in every stage of the development process. This approach originates not externally but from the community's own aspirations and challenges. In the bottom-up participation model, the community, positioned as the subject of development, actively engages in identifying the root causes of issues and collectively formulating needs. This inclusive process encompasses the examination of existing community systems and values (Andriany, 2015). The success of a development program hinges on the stakeholders entrusted with implementation, highlighting the crucial role of their ability to effectively execute the program (Batara et al., 2018).

Method

Employing a qualitative method with a case study approach, this research delves into a comprehensive examination of community participation in the implementation of the KOTAKU program along the Gajah Wong riverbanks. Conducted over the course of one year in 2022, this study aims to provide an in-depth exploration following the completion of the KOTAKU program implementation. The Gajah Wong riverbank, selected as the research focus, stands out as a successful case where the program effectively transformed a slum area into a productive, comfortable, and safe environment, previously rejected. Notably, the program's success is attributed to the remarkable level of community participation witnessed in this location. Evidenced by the establishment of water tourism attractions and

community-friendly infrastructure, this success has catalyzed economic growth, improved river quality, and empowered the local community.

In collecting data within the Gajah Wong riverbank area, researchers conducted direct observations to identify individuals suitable as informants for data collection. This included community leaders, stakeholders, and those actively involved in the KOTAKU program. Once key informants were identified, researchers proceeded with in-depth interviews. The informants interviewed encompassed representatives from the Yogyakarta City government, village government, community leaders, volunteers, facilitators, and regional administrators. The direct presence during data collection facilitated interactive engagement, direct information retrieval, and the identification of factors influencing community participation. This approach aims to enhance the depiction of community involvement along the riverbanks (Cornwall & Jewkes, 1995).

Extensive documentation activities, covering visual, demographic, and program data, were undertaken. This involved seeking objects and data, such as archives, photos, videos, and other sources, to bolster research findings. Following data acquisition, the researcher verified the results to ensure congruence with the interview outcomes. Subsequently, a Focus Group Discussion (FGD) was conducted based on data collected from observations, interviews, and documentation. FGDs played a crucial role in obtaining comprehensive feedback from all stakeholders, offering valuable additional insights into the KOTAKU program. Data analysis was conducted through a qualitative narrative approach, utilizing information from observation, documentation, in-depth interviews, and FGDs. Employing the analysis techniques of Miles and Huberman (1984), which involve data reduction, data presentation, and drawing conclusions, the researcher collected preliminary information, eliminated irrelevant data, and presented the compiled data from observations, documentation, and interviews to draw conclusions. The final step involved verifying the presented data to ensure objectivity and alignment with the research theme. Following this systematic approach, the researcher asserts that the research results align with the chosen methodology, yielding detailed and contextually relevant data in accordance with the research study's objectives.

Result

This section addresses the resolution of challenges encountered in implementing the KOTAKU program in Muja Muju. The discussion is structured into three segments. The initial part outlines the challenging circumstances necessitating collaborative handling and participation from diverse stakeholders for the effective implementation of the KOTAKU program. The subsequent segment delves into the strategies employed to foster the engagement of various parties, enabling the mitigation of issues and ensuring the smooth execution of the program. The third part elaborates on the outcomes resulting from these efforts in involving diverse stakeholders, emphasizing their crucial role in the program's success. For a more detailed explanation, please refer to the subsequent section.

Dynamics of Implementing the National Slum Upgrading (KOTAKU) Program in Muja Muju, Yogyakarta

The community's resistance to the Gajah Wong riverbank development program, designed to enhance the safety of residents, manifests as a form of non-acceptance. This rejection stems from various factors, including social and economic conditions, as well as awareness of the program. Specifically, those who decline participation are predominantly residents residing in areas directly bordering the river. This demographic falls within the lower-middle economic bracket and possesses limited land ownership. Upon observation, it was noted that a significant portion of the dissenting residents belongs to RT 53, where the majority are employed as laborers. In contrast, residents from RT 52, predominantly government employees, exhibit a more favorable inclination toward the program. It is essential to highlight that social conditions did not emerge as a determining factor influencing the community's rejection of the program.

The residents' opposition to the development programs in the Gajah Wong riverbank area is additionally attributed to the cutting of residential land for the construction of public facilities. A significant number of residents from RT 52, who experienced the impact of land cuts, raised this concern. Demographic considerations also played a role in the implementation of the KOTAKU program for the development of the Gajah Wong riverbank area. This circumstance unfolded in the RT 54 neighborhood, situated in a basin area vulnerable to

landslides. A critical issue for development in this region revolves around land ownership problems. As reported by the RW head, the community's resistance is primarily rooted in their apprehension about the encroachment upon their land, particularly because the land is utilized without proper authorization. The community occupies *kekancingan* land, the use of which requires approval from the Panitikismo of the Ngayogyakarta Sultanate. The lack of adequate socialization about the program's objectives further exacerbated these concerns.

The KOTAKU program managers face numerous challenges as they strive to rejuvenate and enhance settlements along the Gajah Wong riverbank. The revitalization is essential for addressing urban issues, particularly since this area bears the stigma of being a slum in the city of Yogyakarta. The proximity of settlements to the river directly contributes to the area's susceptibility to flooding, which not only affects the local community but also leads residents in other areas to unfairly blame Kelurahan Muja Muju for flood-related issues. Additionally, insufficient road access hampers the community's economic activities. These various challenges have fueled rejection of the program's implementation by the community. The clash between these reasons and the community's conditions has resulted in a series of rejections. Furthermore, the independent efforts of the community through RT heads have the potential to initiate new conflicts.

Municipal-community partnership model: Development of Gajah Wong Riverbank Area

The contentious residential development program along the Gajah Wong riverbank is being addressed through the implementation of structural and cultural intervention models, as outlined in Table 1. The data reveals three distinct development approaches employed by the KOTAKU program implementers in Yogyakarta City to mitigate conflicts. Firstly, collaboration among government agencies is emphasized as a pivotal strategy. The KOTAKU program, a strategic initiative by the Ministry of Public Works and Public Housing (PUPR), actively engages the Yogyakarta City Public Works, Housing, and Settlement Areas Office (DPUPKP) in partnership with various government institutions to ensure the success of the program. These agencies undertake socialization efforts to foster community understanding regarding the significance of development

and relocation along the Gajah Wong riverbanks. The active involvement of entities like the National Land Agency (BPN), Land and Spatial Planning Agency (Disperparu), and DPUPKP works towards persuading the community, integrating their programs, such as the Complete Systematic Land Registration (PTSL), and the *Mundur Munggah Madhep Kali* (M3K) Program. Similarly, support is extended by the Yogyakarta City Environmental Agency (DLH), which constructs a Wastewater Treatment Plant (WWTP), and the Yogyakarta City Public Works Agency, providing assistance for Livable House programs. Program collaboration stands as the central focus in engaging various government institutions in Yogyakarta City.

Lead actor(s)	Roles
Government Institutional	Approve program planning, infrastructure development, area improvement, program management, mobilize funds, policy socialization, collaborative programs
City of Yogyakarta Fosidas	Land use permit granting, policy socialization Program implementation, coordination with institutions, socialization of policies, improvement of skills, accommodating aspirations
BKM	Program planning and implementation, community capacity building, coordination with other BKMs, fund management, socialization, post-program conflict resolution, and supervision.
Local authorities People of urban village	Coordinating citizens, facilitating Program implementers

Tabel 1. Actors and their functions in area improvement

Secondly, the collaborative relationship between the government and local authorities plays a pivotal role. The development initiatives for the Gajah Wong riverbank area aim to mitigate the impact of flooding, safeguarding residents in the region by establishing partnerships with community institutions. These include the City Program Coordinator, urban village Facilitator, Watershed Gathering Forum (Forsidas), and the Muja Muju Village Community Self-Help Agency (BKM). Each institution is assigned the responsibility of disseminating information about the vulnerability of Muja Muju to potential flooding from the overflow of the Gajah Wong River. The active engagement of these social

community institutions is geared towards cultivating a cultural persuasive approach. Members of these institutions actively employ informal and familial mechanisms to enhance understanding, enabling the affected community to embrace and support the program.

Thirdly, participatory urban development is emphasized. In addition to leveraging the role of social community institutions, the KOTAKU program implementers in Yogyakarta City actively involve the community itself to foster trust among neighboring communities and engage them directly in the development process. According to the accounts from neighborhood heads (RTs), direct community participation has spurred volunteers to contribute both labor and finances to ensure the program's success. The community was provided with the opportunity to actively participate in the development process along the Gajah Wong riverbank. Residents demonstrated their commitment by contributing both physically and financially. They took the initiative to collect funds, with each neighborhood contributing IDR. 1,000,000. Additionally, residents participated in communal efforts (gotong royong), donating their labor. Those unable to contribute physically agreed to substitute their labor with a donation of one sack of cement. Beyond those directly affected by the riverbank revitalization project, individuals from neighboring villages also volunteered to partake in the activities.

The impact of municipal-community partnership intervention on the implementation of the KOTAKU Program

Various interventions, undertaken by multiple entities within the Muja Muju urban village community in diverse forms, culminated in the residents' approval for the program implementation. The residents' consent stems from the establishment of a shared understanding of the anticipated impact resulting from the expansion of land functions around the Gajah Wong riverbank. The Neighborhood Head of RT 53 asserted that persistent and persuasive efforts to raise residents' awareness, despite a negative stigma against them, yielded positive results. Thirty-two parcels of land and residents' houses were willingly offered for cutting to facilitate road widening. The community's endorsement was further demonstrated through their active participation in collaborative

construction and demolition efforts for the houses affected by the road widening. The program spanned over eight months.

The community's efforts to convey an understanding of the program's objectives were positively received by government agencies, prompting the implementation of relevant initiatives. The land agency introduced the Complete Systematic Land Registration (PTSL) program to assure residents that the program does not jeopardize their land ownership. This not only provides residents with a psychological boost by strengthening their sense of ownership but also fosters sustainable development by enhancing community ties to the land. Furthermore, the reconstruction of residents' houses was facilitated through the *Mundur Mungghah Madhep Kali* (M3K) program. Over its three-year duration, the program achieved significant success in organizing the settlement. This success motivated community institutions to initiate improvements in the settlement's quality, focusing on water tourism as the primary potential. The Gajah Wong River tourism initiative garnered responses from various community organizations, which offered training in dance art, cultivation of potted fruit plants (Tabulapot), empowerment in agriculture, plantations, fisheries, and food processing.

The residents demonstrated keen enthusiasm in enhancing the settlement's quality through water tourism. They took initiative to create a strawberry village and a grape village. While the implementation of the grape village faced challenges due to grape varieties unsuitable for the local weather and soil in Yogyakarta City, this effort showcased residents' direct involvement in the development of their residential area. This transformation improved the area's accessibility, thereby contributing to the economic advancement of the community. To ensure the program's sustainability, community members established a Utilization and Maintenance Group (KPP) as a collective platform to uphold and perpetuate successful and beneficial programs. Initiated by community members, this group is divided into two parts – the utilization group and the maintenance group. Funding for these initiatives is sourced from “*jimpitan*,” a routine contribution made by residents every day. In addition to the KPP, the Panca Tertibnas Forum (orderly garbage, orderly parking, orderly study hours, orderly visiting, and orderly administration) was formed to maintain community order and uphold an organized environment.

Synergizing Structural and Cultural Patterns: Overcoming Resistance in the KOTAKU Program Implementation along Gajah Wong Riverbanks

The implementation of the KOTAKU program along the Gajah Wong riverbanks, faced with resistance from certain individuals, was successfully navigated through persuasive intervention strategies that engaged various stakeholders. The resolution process benefited from the synergies of both structural and cultural patterns. The pursuit of structural patterns involved the maximization of government agencies affiliated with the city government, serving as the driving force. Simultaneously, the city government harnessed the potential of social community institutions to actively participate in conflict resolution and program implementation. These institutions acted as facilitators and catalysts, bridging the community with the government and adopting a cultural settlement pattern. The cultural pattern extended to the surrounding community, fostering ongoing trust-building efforts and increasing awareness about the program's impact. The collaboration between institutions, community agencies, and the community effectively instilled trust and confidence within the affected community, ensuring sustained participation in the program and establishing a durable development pattern.

The collaborative interaction among governmental entities, social-community organizations, and the local populace has led to a series of initiatives grounded in three core principles. Initially, the emphasis is on fostering participation. Communities actively engaged in identifying problems wield a significant influence on the apt model of persuasion, sensitizing affected communities to embrace the program. Secondly, a mechanism for participation is crucial. Addressing the challenge of public awareness regarding the program's impact necessitates comprehension of regulations, the efficacy of support, and a shared sense of unity. This is achieved through the involvement of institutions outlining rules, social-community organizations ensuring targeted program implementation, and local communities familiar with the prevailing conditions and obstacles. Thirdly, internal capacity-building is pivotal. The deployment of a debriefing pattern through training serves as a cornerstone for ensuring the sustainability of the KOTAKU program. These three principles constitute the focal points in the implementation of municipal-community partnerships.

Enlisting diverse stakeholders in addressing program implementation challenges enhances the appropriateness of participation. The alignment of participation with actual needs is influenced by a clear sense of purpose, understanding of requirements, and the identification of reduced involvement (Afthanorhan et al., 2020). This knowledge is best acquired by engaging local stakeholders and the surrounding community as integral components of the participation process. The involvement of various parties in this participatory element requires support from services, infrastructure, and other complementary programs to bind the actors playing a role. According to Hu and Zheng (2021), adopting a re-regulation model in countries with participatory systems fortifies policy measures, maximizing all potential to bolster the effectiveness of program implementation. The cumulative contributions foster stronger bonds among actors, fostering a robust relationship conducive to sustainable development. To reinforce sustainability, community capacity building is essential, creating an organizational framework that aligns with program effectiveness in addressing community needs (Caniglia et al., 2020; Chan et al., 2020; Shelton et al., 2020). The model of maximizing efforts through improved working relationships serves to diminish barriers that impede levels of participation.

Mitigating obstacles through the collaborative efforts of multiple stakeholders in addressing implementation challenges within the KOTAKU program in Kelurahan Muja Muju exemplifies the process of reshaping program implementation management (see to Figure 1.). This redefinition emerges in response to internal conditions that hold the potential to impede progress.

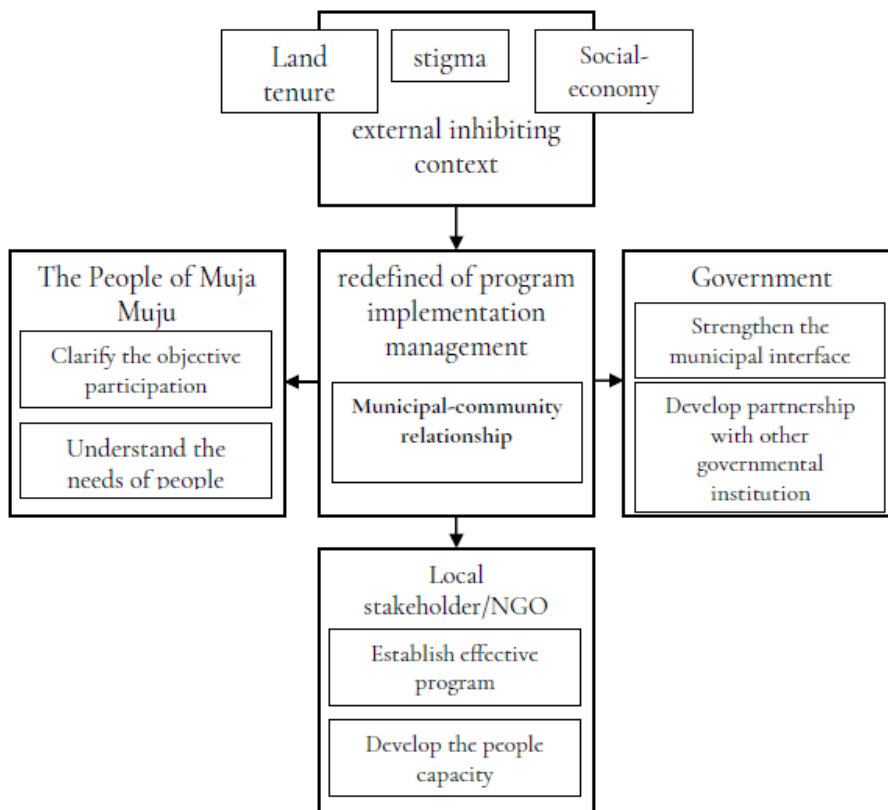


Figure 1. Redefinition model of KOTAKU Program management in Muja Muju

Enhancing the effectiveness of participation in the success of the KOTAKU slum alleviation program is facilitated by the process of redefining program implementation, which includes the active involvement of all relevant stakeholders.

The Gajah Wong riverbank area serves as a pilot model for program implementers grappling with external challenges, showcasing the effectiveness of the KOTAKU program through the synergy of various elements in municipal-community relationships. Efendi et al. (2020) identified a low participation pattern, potentially stemming from community rejection. The comprehensive involvement of all elements helps anticipate obstacles, employing a direct community identification pattern to tailor the program to their needs. This

aligns with the insights of Syamsiar et al. (2020), although the study diverges in highlighting the distinctive role of community institutions conducting training for program sustainability. Contrary to findings by Safrijal et al. (2021) and Delyus et al. (2023), which emphasized community contribution to success, this study underscores the reinforcing impact of participating agents.

In a democratic setting, the imperative to engage the community directly, alongside diverse community organizations and government institutions, stands as a crucial element in the developmental process. The involvement of various stakeholders plays a pivotal role in fostering a sense of ownership for government-launched programs. Proximity between the government and the program is enhanced, amplifying its overall effectiveness. Recognizing the government's limitations in problem identification and the community's constraints in terms of capital and skills, a complementary approach becomes essential. Establishing partnerships among the government, the community, and community institutions is deemed an effective measure, fostering a scalable and impactful empowerment model for the creation of sustainable programs (Angelia et al., 2020). This contextual framework actively contributes to promoting participation, fostering commitment among government agencies, and facilitating synergy among various policies.

Conclusion

This study did not discover solutions to the persistent challenges identified in the implementation of the KOTAKU program, such as issues with participation, limited funds, and program sustainability. Instead, the research identified a redefinition process in the implementation of the KOTAKU program in the Gajah Wong riverbank area in Muja Muju village, which faced resistance. The redefinition process involves collaborative efforts between government institutions, various community organizations, and direct community engagement. The synergistic management of the program adopts an implementation pattern that is adaptive, solution-oriented, and sustainable, strengthened by complementary programs. Each stakeholder's contribution, with an awareness of their position and role in the program's success, is crucial, even among those initially resistant. Effective and sustainable program

formation relies significantly on productive management in implementing the KOTAKU program.

The observations regarding the management approach to implementing the KOTAKU program along the Gajah Wong riverbank, using the municipal-community relationship model, are anchored in the concept of community participation. This concept underscores the need to establish a paradigm that considers the involvement of non-government organizations in the development process. However, this study, focused on a singular case, yielded a limited application model of the concept, preventing the recognition of similar issues in diverse communities or the resolution of different problems within the same community. To evaluate the effectiveness of the relationship pattern established by the city government and the community in program implementation, there is a requirement for testing the synergistic model of municipal-community relationships.

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Author's Declaration

Authors' contributions and responsibilities. Write the contribution of each author here, or mark the following column. The authors made substantial contributions to the conception and design of the study. The authors took responsibility for data analysis, interpretation and discussion of results. The authors read and approved the final manuscript.

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The authors declare no competing interest.

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