

## Policy Implementation of Slum Upgrading Program in Coastal Area, (Case Study: Slum Upgrading in Kelurahan Tanjungmas, Semarang)



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### Abstract

*Most of the slums are located in coastal areas because the coastal areas are close to the main livelihoods as fishermen. Agung Ridlo, from Sultan Agung University, conducted a study that concluded that North Semarang has a specific attraction for migrants because its location is the center of trade and industry. The migrants came and looked for places to stay near their factories or beaches. Thus, slum areas were formed gradually. This research is aimed to examine policy implementation of slum upgrading programs in Kelurahan Tanjungmas Coastal Area. The research method is a qualitative method by using qualitative descriptive analysis techniques. The study finds the Implementation process of houses improvement program in Kelurahan Tanjungmas coastal area reflecting based on the policy map in the policy model is a lead to the model of 'top-down'. The top-down model is a pattern conducted by the government for the community and the community participation only more in mobilization form. Keywords: policy, implementation, slum, coastal area*

## 1. Introduction

More than one billion people live in indecent areas without access to basic needs, adequate sanitation, improved water supply, durable housing, adequate living space, and secure tenure (Amnesty in Sori, 2012). Lack of these basic conditions has direct consequences on the physical well-being of the urban population (Scalar et al, 2005). According to UN Habitat, (2010) the number of worldwide slum dwellers continues to grow at the rate of 10 percent every year, hence increasing the problem. As a result, future urban development will show further expansion and sprawling of slums and the spread of urban problems if no remedial action is taken in the coming years (UN Habitat, 2010). To address this problem of slum formation and expansion, many governments as well as the international institution have programs aimed to decrease the rate of future slum formation. Many efforts have been made by the United Nation, Non-Governmental Organization (NGOs), and other stakeholders to improve the living and the economic condition of slum dwellers. The government has together surpassed Millennium Development Goals (MDG) number seven target 11 is improving the lives of 100 million slum dwellers by 2020 (UN Habitat, 2010). The government's role should be the one of enabling, which implies encouraging the local community groups to become involved or take over the production or the rehabilitation of housing while the government supplies easy credit, land tenure, the essential infrastructure, technical assistance and the legal support (Coit, 1998).

Most slums are located in the coastal area. The coastal area is a strategic location and close to the main livelihoods as fishermen. It means that the coastal area has a specific character as a result of interaction between the processes that occur on the land and the sea towards the land. Coastal settlements eventually developed in the conservation area towards the beach and became a slum. The problem of slum areas cannot be separated from the dynamic in the community's life or the government policy to manage housing and settlement. Semarang is one of the metropolitan cities that is inseparable from the slums problem, especially in its coastal areas. To solve the slum problem in Semarang Municipality is a part of poverty alleviation policy through Local Regulation of Semarang Municipality Number 4-year 2008 concerning poverty alleviation in Semarang Municipality. The program related to slum upgrading is the housing improvement program. According to the study of poor community inventory by the Housing Agency, Kelurahan Tanjung Mas was one of the priority areas in Semarang Utara sub-district to upgrade. The government of Semarang Municipality had taken some policy related to slum upgrading. The government tries to manage the slum problem through poverty alleviation policy. Kelurahan Tanjungmas as one of the locations in Semarang Municipality where it's Program had been implemented. In this case, this research will be conducted to examine public policy implementation. The research question of this study is how does the implementation of poverty alleviation policy to manage the slum problem in coastal Kelurahan Tanjungmas?.

## 2. Research Method

This research is expected to examine public policy in Semarang Municipality related to slum upgrading policy. This study focused on the implementation of a slum upgrading program in coastal Kelurahan Tanjungmas, Semarang. This study is an emphasis on the policy and implementation of slum upgrading programs in coastal Kelurahan Tanjungmas. To achieve the expected result, this study uses a qualitative approach. Qualitative research is an inquiry process to get understanding based on the clarity tradition methodology through explaining social problems and humanity (Cresswell, 1994). This research is categorized as qualitative research and should explain the detailed phenomenon related to policy and its implementation. The analysis method in this research used qualitative descriptive to explain the policy and its implementation. This study also explains the characteristics of the phenomenon between policy and its implementation. The research design for this research will explain the phenomenon related to the not-livable houses improvement program to manage slum upgrading in Kelurahan Tanjungmas coastal area. This research using Non-probability Sampling. The informant will be chosen by purposive sampling for the government and snowball sampling for the community.

## 2.2 Literature Review

### 1. Coastal Area as settlement activity

The coastal area is defined as the transition between sea and land, direction land includes areas that are still exposed to water splash or tidal sea and direction sea covers an area of the continental shelf (Beatley at al., 1994 in Dahuri et al., 2001). A general description of the coastal area in terms of definition and characteristic is important in order to get an understanding related to the coastal area. The coastal area is a transition area affected by changes in land and sea (Law of the Republic of Indonesia No. 27 of 2007). the discourse of various actors shifted from the “use” to the “management” of coastal areas (Fernandez, 2000). Based on Femandez definition, there are some activities related to social-economic. From those socio-economic activities, it also has the potential to be settlement activity.

### 2. Slums in Urban Area

Turner defines slums as a residential area with facilities which are not feasible or do not exist at all (Turner, 1976). while according to Yudohusodo, slums due to the low income by the community. Consequently, it is very difficult to get decent housing for the community. In addition, slum areas also occur because of the high urbanization rate from the rural area to an urban area and the high price of the land in an urban area that cannot be affordable by the low-income community, so the lives are overcrowded. (Yudohusodo, 1991:29). According to UN-Habitat (2003), slums and urban poverty are not just a manifestation of a population explosion and demographic change or even vast impersonal forces of globalization, slums must be seen as a result of the failure of housing policies, laws and delivery of national urban policies.

### 3. Slums Upgrading

The World Bank approach used for the first generation of its urban development projects during the 1970s and 1980s was considerably influenced by the writing of John F. C. Turner. Turner minimized the role of government, limiting it to providing essential environmental improvements and public services, thereby allowing squatters and/or slum-dwellers to gradually improve their living conditions (The World Bank in Werlin, 1999). Hunchermet (2008) proposed that slum upgrading be to improve the lives of slum dwellers, reduce slums and prevent the formation of new slums, and then it needs to outmaneuver two interested parties: first, the existing and prospective landlords at the bottom end of the market, who are keen to take on tenants in their inadequate structures; and second, lower middle-class households who are tenants and have few prospects for acquiring home-ownership other than by buying out the beneficiaries of slum upgrading (and site and service) projects intended for the poor.

Minnery (2013) also describes that slum upgrading is as often seen as one of the most effective ways of tackling urban poverty, the approaches taken by slum upgrading policies vary considerably, as do their degrees of success. At its most basic, slum upgrading can focus on the improvement of physical services such as roads and drainage. More frequently it encompasses these plus improving the quality of housing.

### 4. Public Policy Implementation

Van Meter and Van Horn in Abdul Wahab (1997:65) state that the implementation process is “That action by public or private individuals’ groups that are directed the achievement of objectives set forth in prior decisions”. Policy implementation is an effort to achieve the goals by certain equipment and a certain time. The principle of Policy implementation is a way to certain policy can achieve the goals. To implement the policy, there are two choices: first, direct implement the policy in some programs and the second is by formulating derivate its policy (Dwijowijoto, 2003:158).

Implementation is the carrying out of a basic policy decision, usually incorporated in the statute, but which can also take the form of important executive orders or court decisions (Mazmanian and Sabatier, 1983). Ideally, that decision identifies the problems to be addressed, stipulates the objectives to be pursued, and in a variety of ways, ‘structures’ the implementation process. The compliance of target groups with those decisions, the actual impacts – both intended and unintended – of those outputs, the perceived impacts of agency decisions, and finally, important revisions (or attempted revision) in the basic statute. Policy implementation in terms of management located in the frame of organizing-leading-controlling. So the policy has been created; the next activity is to organize, doing leadership for implementation and control for its

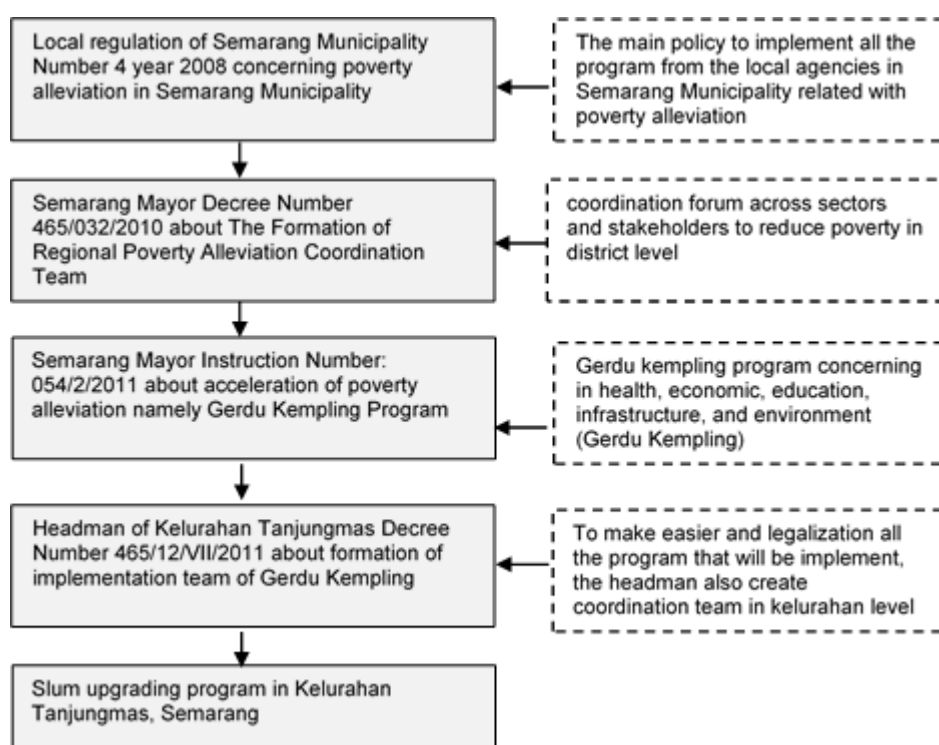
implementing Dwijowijoto, 2003:162). In producing information about policy performance, these types of criteria have already proposed by Dunn:

- 1) Effectiveness refers to whether a given alternative results in the achievement of a valued outcome (effect) of action; that is an objective.
- 2) Efficiency refers to the amount of effort required to produce a given level of effectiveness. Efficiency is often determined by calculating the costs per unit product or service.
- 3) Adequacy refers to the extent to which any given level of effectiveness satisfied the needs, values, or opportunities that gave rise to a problem.
- 4) Equity is related to legal and social rationality and refers to the distribution of effect and effort among different groups in society.
- 5) Responsiveness refers to the extent that a policy satisfies the needs.
- 6) Appropriateness, related to substantive rationality

### 3. Findings

#### 3.1 Problem

Slum problem in Kelurahan Tanjungmas cannot be separated from the dynamical of the community life and government policy in housing and settlement management. The location of Kelurahan Tanjungmas directs adjacently with Java Sea. By this condition, most of the community in Kelurahan Tanjungmas as a fisherman. The location that has adjacent to the sea makes the condition of this area is affected by the ocean climate. The ocean climate is marked by surfaced tides that some of the areas in Kelurahan Tanjungmas are flooded by tidal flood (rob). In the other side, environmental quality in the coastal settlement of Kelurahan Tanjungmas still categorized as unhealthy, dirty, and bad environmental. By this reason, Kelurahan Tanjungmas has still categorized as a slum area in Semarang Municipality. The slum problem encourages the government and the community to do some actions to solve the slum problem through public policy. The Local Government of Semarang Municipality has already made a local regulation Number 4-year 2008 about poverty alleviation. One of its programs related to slum upgrading namely houses improvement program. Slum upgrading in Kelurahan Tanjungmas has some policy support started from the regional level until the national level. **Picture 1** is some of the regulations related to slum upgrading in coastal Kelurahan Tanjungmas.



Picture 1. The regulations support for slum upgrading in coastal Kelurahan Tanjungmas, it is clear that slum upgrading in coastal Kelurahan Tanjungmas has some policy supporting and should be done by the local agencies of Semarang Municipality who have the main tasks and function related with slum upgrading..

### 3.2 Research Implementation

Slum problem is a part of poverty that consists of multi-sectors and multi-stakeholders. Multi-sectors involve some aspects, such as physical, economic, and social. Multi-stakeholders are influenced by the stakeholders who engaged in slum problem both the government and the community. In the coastal Kelurahan Tanjungmas is one of the areas in Semarang Municipality that still has slum problem. According to Riant Nugroho (2009) explains the meaning of policy implementation, in principle is a way for a policy to achieve the objectives. Van Meter and Van Horn in Abdul Wahab (1997: 65) state the implementation process is "that action by public or private individuals' groups are directed to the achievement of objectives set forth in prior decisions.

The implementation process of houses improvement program in coastal Kelurahan Tanjungmas was started by Planning Agency as the government facilitator in the implementation of poverty alleviation policy. Planning Agency appoints Housing Agency as one of the local agencies in housing to propose a program.

There was a slum problem in Kelurahan Tanjungmas became the reason to implement houses improvement program. Based on the Poor Community Inventory Study in Semarang Utara and Semarang Timur recommended that Kelurahan Tanjungmas as the priority area to manage. The second stage is the socialization process, in this stage the program was discussed in Kelurahan level together with the communities, to determine who the eligible people for the program. After determined the plan of the program, the program was discussed again in the local government level for getting approved to implement. Implementation of houses improvement program was conducted by synergy some stakeholders consist of the technical team, the third party from housing agency, and the community.

Policy implementation started from the local government of Semarang Municipality through coordination between the local agencies to determine the program related to poverty

alleviation, and one of them is houses improvement program. It was determined based on the field problem. Then the program gets approved to be implemented. In the implementation program also involved community participation to improve their houses. Based on the policy-map in policy implementation model, housing improvement program is a lead to the model of 'top-down.' The top-down model is a pattern conducted by the government for the community and the community participation only more in the mobilization form (Nugroho, 2009:518).

Grindle reveals that the successful implementation of public policy is determined by two variables, namely the content variable and context variable. The content variable is what is in the content of public policy obtain any such public policy implementation process. The context variable is an overview of how the political contexts and the administrative activities that affect public policy are implemented (Suwitri, 2009:86). Referring to the Grindle Model, implementation of houses improvement programs is explained by variable content and context variables. Variable content includes interested affected, type of benefits, the extent to change envisioned, site of decision making, program implementers, and resources committed. Successful implementation of public policy is also determined by the context variable consist of three elements, namely Power, Interest, and strategies of actors involved; institution and region characteristics; compliance and responsiveness (Suwitri, 2009:88).

The problem of policy implementation is also influenced by external factors which usually complicate the process of implementation. Based on the idea from Abidin, there are six external factors that influence policy implementation namely; physical, political, attitude, lack of input factor, weakness of one stage, and weakness in the policy itself (Abidin, 2012). The problem of policy implementation of houses improvement programs in coastal Kelurahan Tanjungmas related with external factors from Abidin opinion is found that the external factors are affected by gaps between policy and implementation involving physical condition, lack of input factor, and weakness of one stage. Natural condition in Kelurahan Tanjungmas is as the coastal area which is affected by the sea climate is vulnerable to tidal flood and land subsidence. This problem leads to the implementation process of house improvement is disturbed because the physical condition in this area always has tidal flood and land subsidence problems which directly caused declining the housing quality and settlement environment overall. The second factor is the lack of input factors. In this case, policy implementation of the house improvement program has weakness in terms of the funding. Lack of budgeting from the government and the community led to the policy output only felt in term of improving the housing quality and only the community who got the program could feel the benefit. The third is in the weakness of one stage, the stages in the implementation of houses improvement program in coastal Kelurahan Tanjungmas was conducted by given assistance in building material type and house construction was conducted by a third party was chosen by Housing Agency.

This mechanism was assessed not efficient by the community because the improved part of houses is not in accordance with the needs and desires of the community who get the program. So, the communities have to continue construction their houses by themselves with limited funding. Furthermore, this mechanism is also not transparency because the community does not know the development process clearly, and the number of funds received. This problem was caused the community feels disappointed with the program implementation. For more detail about the slum upgrading policy through houses improvement program in coastal Kelurahan Tanjung Mas could be seen in **the table 1**.

Implementation Criteria	Policy	Implementation
1. Effectiveness	Policy objective based on the local regulation of Semarang Municipality number 4-year 2008 involves ensure protection and fulfillment of poor basic right; accelerate reduce the number of poor people, increase community participation; and ensure consistency,	<b>Has achieved Effectiveness</b> Slum upgrading program in coastal Kelurahan Tanjungmas through houses improvement program has achieved effectiveness. There was quality changing of houses who get the program become better quality from not-livable houses become livable houses, by this quality changing it contributed in slum upgrading. Based on this achievement

Implementation Criteria	Policy	Implementation
	synchronization, and synergy in poverty alleviation	indirect also contribute to the achievement of the vision of poverty alleviation program acceleration in Semarang Municipality amount 2% per year. There is community participation in the implementation of houses improvement program also reflect the achievement of the objectives in term of community empowering in poverty alleviation.
2. Efficiency	Based on Local Regulation of Semarang Municipality number 4-year 2008-chapter X about funding. In article 27 mentioned that one of the funding sources of poverty alleviation comes from the central government, provincial government, local government, community, and other sources.	<b>Has achieved efficiency</b> The assist was 15 million rupiahs in form building material and construction process for each beneficiary. By minimum assists, it can be encouraged the community who get the program to continually improve their house. It means that houses improvement program has already achieved efficiency with minimum funding from the government and the community, it can achieve the policy objective related to the objectives expectation.
3. Adequate	The poor community right based on the local regulation of Semarang Municipality number 4-year 2008 in chapter IV, article 9 is mentioned that one of the poor communities is housing right.	<b>Has not achieved adequacy</b> Although the achievement of this criteria assessed has not yet optimal, generally program implementation only solves the houses of the program beneficiaries and at one as an alternative for the poor people to get the livable house, but the policy output cannot solve the overall slum problem. This slum problem in Kelurahan Tanjungmas also affected by the coastal characteristic because it is directly adjacent with the Java Sea which is vulnerable to tidal flood and land subsidence, so this problem caused slum areas to be formed in Kelurahan Tanjungmas.
4. Equity	In Local regulation of Semarang Municipality Number 4-year 2008 concerning poverty alleviation in Semarang Municipality in article 4 mention that poverty alleviation is based on principles involves justice and equal, participatory, democracy, integration, legal order, mutual trust that creates a sense of security. And in article 5 and 6 mention that poverty alleviation program apply to the poor people are included in poor criteria from the Local Regulation of Poverty	<b>Has achieved equity</b> The cost and the benefit of houses improvement program implementation have distributed equally to all the poor people was a proposed amount of 29 households. The cost was given in the same mechanism and budget. Furthermore, the program outputs directly felt by the program benefit through quality changing of houses become better and livable.
5. Responsiveness	Slum upgrading is a part of poverty alleviation in Semarang Municipality because of the slum problem also identical to the poverty problem. In the local	<b>Has not achieved responsiveness</b> Although there was a positive appreciation for the program, the program also gets disappointment respond and dissatisfaction from the

Implementation Criteria	Policy	Implementation
6. Appropriateness	<p>regulation of Semarang Municipality number 4-year 2008 in article 22 mentioned that poverty alleviation is implemented in stages, integrated, and consistency with the priority scale with considering the capabilities of the local government and the poor people needs.</p> <p>Houses improvement program is also referred to the general purpose of poverty alleviation policy is to reduce the number of poverty in Semarang Municipality because in the local regulation of Semarang Municipality number 4-year 2008 mention that housing assistance as one of the efforts to implement poverty alleviation. And then in chapter VII about poverty alleviation implementation, article 18 mentioned that housing assistance involve housing provision, houses improvement, and infrastructure assistance</p>	<p>program beneficiaries against to the assist in building material and construction that not accordance with their need and desire. And another reason, there is no transparency in program implementation.</p> <p><b>Has not achieved appropriateness</b> The program benefits only changing in house quality of the community who get the program become better. And this program implementation has not yet given impact in economic and environment. In economic, there is no increase in community income and otherwise, it was burdened to the community because they should to continually improve their houses by themselves. Whereas in environment aspect, this program also not reduces slum problem in coastal Kelurahan Tanjungmas.</p>

#### 4. Conclusion

Slum problem in Kelurahan Tanjungmas is a part of poverty in Semarang Municipality. To manage this problem, The Government of Semarang Municipality formulate the policy namely Local Regulation of Semarang Municipality number 4-year 2008 about poverty alleviation. This policy becomes the main regulation in term of poverty alleviation in Semarang Municipality. This policy as the actions which has chosen, approved, and implemented by the government to manage public problems. Based on the policy-map in policy model, the implementation process of houses improvement program in coastal Kelurahan Tanjungmas reflected 'top-down' model. The top-down model is a pattern is conducted by the government for the community and the community participation only more in mobilization form. The policy implementation process of houses improvement program refers to Grindle Model reveal the successful implementation of public policy is determined by two variables, namely content variable and context variable. These variables have supported the achievement of policy objectives. Therefore, the policy of houses improvement program is assessed quite a success because the program has achieved the objectives and the community also have felt the benefit from the program implementation that is there are improving quality changing of houses.

Houses improvement program refer to the local regulation of Semarang Municipality number 8 years 2008 also carry the implementation of chapter IV about the poor right to access the livable houses and livable environment. Implementation of houses improvement program had achieved in three criteria consist of effectiveness, efficiency, and equity. And the other criteria had not yet achieved consists of adequate, responsiveness, and appropriateness. Policy output of houses improvement program is concluded has achieved the goals although the benefit is felt by the community not significant.

Policy implementation has been conducted related to the existing regulation, but in implementation process occur obstacle which cannot be managed. It was influenced by three external factors. First, the external factor of the physical condition was affected by the sea

climate that in Kelurahan Tanjungmas vulnerable in tidal flood and land subsidence. Second, lack of input factor that program has weakness in term of funding, because the funding only comes from Regional Budget and Revenue of Semarang Municipality and the community who get the program. Third, the weakness of one stage; it was conducted by given assistance in building material type and house construction was conducted by the third party and there is no transparency in the program implementation. Overall implementation of houses improvement program cannot achieve significant objectives and the community feels disappointed with the program implementation.

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