

# BEST PRACTICES

NON-STATE ACTORS AND LOCAL AUTHORITIES IN DEVELOPMENT – ACTIONS IN PARTNER COUNTRIES (MULTI-COUNTRY) FOR NON-STATE ACTORS

## DELGOSEA

Partnership for Democratic Local  
Governance in Southeast-Asia

## Best Practices on Institutional Governance in Southeast-Asia

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DELGOSEA



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The project has five partner organizations, running the national offices in their respective countries. DELGOSEA partners are:

- ACVN, Association of Cities of Vietnam, Vietnam
- LOGODEF, Local Government Development Foundation, Philippines
- NLC/S, National League of Communes/Sangkats of the Kingdom of Cambodia, Cambodia
- TEI, Thailand Environment Institute, Thailand
- UCLG ASPAC, United Cities and Local Governments – Asia Pacific, Indonesia







## Best Practices on Institutional Governance in Southeast-Asia

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BP4	Yogyakarta, Indonesia
BP5	Kartamantul, Indonesia
BP6	Prik, Thailand
BP7	Guimaras, Philippines
BP8	Lang Son City, Vietnam
BP9	Battambang, Cambodia

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## Thematic Area II: Institutional Governance

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## About DELGOSEA

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In the first phase of project implementation, intensive research was carried out to determine best practices (BP) in local governance in each of the five participating countries. A consortium of international local governance experts and representatives from the LGAs reviewed and selected 16 BPs out of the submitted 27 BPs.

The project concentrated on the following four thematic areas while selecting best practice examples from the five countries:

1. People's participation in planning and decision-making;
2. Institutional governance;
3. Inclusive urban public services;
4. Fiscal management and investment planning.

Starting in January 2011 through to August 2012, DELGOSEA will continue to collaborate with LGAs and local governments to transfer best practices replication. The pilot cities/municipalities could modify or improve the original best practice to their local context. The LGAs in the five participating countries will closely consult and guide the selected pilot local governments on the transfer and implementation of BP replication.

## About this Publication

This publication is the second volume of a series of publications on best practices in local government in the five project countries of the DELGOSEA project. The other three volumes are:

Volume 1: People's participation in planning and decision-making;

Volume 3: Inclusive urban public services;

Volume 4: Fiscal management and investment planning.

These best practises were selected after a long and thorough research procedure, taking place between April and July 2010. Internationally renowned experts on local governance compiled a shortlist of 27 examples out of hundreds of submitted projects. The selection was based on the following key criteria: high transferability potential to other countries, the impact on the living conditions of the local people, institutional and financial viability as well as project sustainability.

From these 27 best practices, 16 were finally chosen for publication by a committee made up of experts and local stakeholders, including local government associations. With the help of external experts as well as resource persons from the cities featured, a detailed description and analysis of all aspects of the projects was developed, with the aim of providing comprehensive information for any other city or commune who is interested in replicating the example.

This particular volume features the six best practice examples in the area of institutional governance – two from Indonesia, one each from Thailand, the Philippines, Vietnam and Cambodia. Each focuses on a different aspect of municipal administration and service delivery by local councils – taken together, they give a rich picture of the various attempts being made in Southeast Asia to improve the way local institutions are governed.

For more information and other related publication, please visit [www.delgosea.eu](http://www.delgosea.eu).

## Introduction to Institutional Governance

Institutional governance in this best practice documentation refers to the proper and effective functioning of a city's institutions in providing services to meet the growing demands of its citizens. In this context, institutional governance stands for the quality, efficiency and timely delivery of public service of a city's government through democratic means.

### 1. Framework for Institutional Governance at Provincial and municipality Level in the Five Countries

Although each of the five countries is geographically and culturally different and characterized their administrative units at various levels of sub-national governments differently; and although they are at different stages of decentralization reform program implementations, decentralization and local governance reforms seem to have a similar rationale:

*"Reduce people's dissatisfaction with the government's centralized system and to bring people's voice in the governance process aiming to promote responsiveness and accountability of government's institutions and officials in carrying out their functions".*

In this respect, the common goals of reforms are to:

- Create a culture of local participatory democracy, accountable to the citizens;
- Improve public services and infrastructures;
- Bring about social and economic development;
- Contribute to poverty reduction.

These are ambitious goals which can not be achieved without a proper administration in place. The structure of a particular administration generally depends on the geographical and demographical size of its constituency. For the five SEA countries under this project, apart from directly or indirectly elected council, the municipal administration typically includes directly or indirectly elected as well as appointed mayors or board of mayors/governors and staff who are commonly public/career employees and/or contracted personnel. As citizens' demands are on the rise, highly skilled and professional management and staff will have to be deployed at this sphere of government in order to undertake the works of public service provisions meeting the citizens' needs, yet in accordance with local policies, resolutions and directives. In this respect, it is essential that we understand the framework of sub-national administrative structures these five countries operate in.

- **CAMBODIA**

Commune/Sangkat councils (the lowest tier of government) - directly elected through party proportional system – are receiving their funding through an annual transfer of inter-government funds (called Commune/Sangkat Fund) and employ very few staff (including one centrally-appointed clerk). As of now, these directly elected councils have very limited roles, functions, responsibilities, authorities and resources.

District/municipality and provincial/capital levels – councils for the capital, 23 provinces, 159 districts, 26 municipalities and 8 Khan (urban district in the Capital of Phnom Penh) - were elected in May 2009. The elections of these councils was done in a different way to the commune elections and only (11,353) commune/Sangkat councilors were the eligible voters to elect those higher-level councils. Together with the government's appointed board of governors, they represent the government at these levels.

Before the establishment of the above sub-administrations, government service delivery (SD) had been mainly provided by national ministries and their technical staff based at provincial and district levels (not at commune level). Now, the government is at the stage of reviewing these service delivery functions and is considering their gradual transfer to the province/capital and district/municipal administrations.

- **INDONESIA**

Indonesia is a unitary republic state by constitution and administratively divided into 33 provinces (including three special provinces and Jakarta Special Capital Region). Provinces are further divided into districts (349) and municipalities (91). The rural villages (*desa*) are under the jurisdiction of the district, and urban villages (*kelurahan*) under jurisdiction of the municipal governments. The heads of provincial, district and municipal governments are directly elected – similar to the president and the vice-president of the country. The majority of public civil servants are managed by the district and municipal government through local government technical agencies.

- **THE PHILIPPINES**

The Country's 1987 Constitution provided for extensive decentralization and greater local autonomy. It also formed the basis for the 1991 Local Government Code which gave local government units the responsibility of delivering local and basic public services and of raising local or own-source revenues for financing their expenditure assignment. Decentralization and devolution of power and authority from the central government to local



governments unleashed tremendous opportunities for self-development at the local level quite unlike the period preceding the enactment of the decentralization law when the central or national government exerted control over virtually all aspects of local administration and governance<sup>1</sup>.

#### ■ **THAILAND**

There are three different types of municipal government - city-level, town-level and sub-district-level. In each municipality/city, there are municipal assemblies and mayors, directly elected by their local citizens for 4-year terms. As of today, there are 1,229 municipalities (city level: 20; town-level 84; sub-district-level: 1,025).

Historically, before the decentralization reform in the 1990s, local authorities in Thailand did not play an important role in public service delivery compared with the central government and its sub-national branch offices. In this respect, the decentralization reform in Thailand was an attempt to transfer administrative services and financial and human resources to local authorities and subsequently develop their capacity in public service delivery.

#### ■ **VIETNAM**

Administratively, Vietnam has three tiers of sub-national administrations consisting of provincial, district and commune levels. The first tier of this sub-national level is the province and city. As of 2005, there were 64 provinces including 59 provinces and five centrally-controlled cities. The second tier is the 662 districts which include 25 provincial towns, 42 urban districts, 59 towns, and 536 rural districts. The third tier is the commune. There are 10,776 communes which include 1,181 wards, 583 district towns, and 9,012 communes.

Each of the above tiers has a representative organ called People's council. The People's councils at all these three levels are directly elected by all eligible voters in their constituency through a Plurality-Majority/FPTP system. Local elections could be held at different times. As per the Law on Local Administration, the People's council of each level shall elect, relieve and dismiss the president, vice president and other members of its People's Committee (literarily, the board of governors) and heads and other members of its specialized committees including the People's Court Jury. The People's Committee is the executive organ that coordinates with all technical line offices in public service delivery.

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<sup>1</sup>Gilberto M. Llanto, "Decentralization, Local Finance Reforms and New Challenges: The Philippines," paper presented at the Third Symposium on "Decentralization and Local Finance" at the Institute for Comparative Studies in Local Governance (COSLOG), National Graduate Institute for Policy Studies, Tokyo, Japan on March 10, 2009.

## 2. Achieving Institutional Effectiveness for Local Governance and Democracy (by Dr. Gaudiso C. Sosmena, Jr.)

Institutions are established to perform specific functions and purposes. Because institutions are to achieve certain goals or objectives, good management is an essential precondition to achieve institutional effectiveness. The constantly changing environment of institutions also requires organizational flexibility.

Local institutions and public agencies concerned with local government management and democratic practices must possess organizational flexibility as well as anticipatory or predictive capacity to notice opportunities in advance and to develop the necessary strategies to achieve certain and specific objectives. These basic guidelines on how an institution can optimally perform to accomplish its mandate are formulated as a management tool for the local government that may undergo review and evaluation.

Likewise, the following guidelines for institutional effectiveness are designed specifically for local democratic institutions which include city/municipality administration, other local government units and the local government associations involved in the formulation of local management strategies for effective local governance:

- **Revisit the Legal Mandate of the Institution**

Objective: To establish an accurate benchmark for what is expected out of the existence of the institution. Examples are local governments and other local public institutions created either by constitutional provision and/or legal acts/laws.

It is important not only for the process of program planning but also for the staff of any local institutions to know the legal framework of the tasks of the individual staff members.

Institutions like local governments must exist and act in accordance with public laws or the constitution of the country. For the five countries discussed here, legal mandates of city/municipality administrations are detailed in the respective country's organic law, decentralization or local administration act and its regulations.

- **Observe the Cardinal Principle in Organizational Management that Structure Follows Function**

Objective: To remind local government heads and management analysts that the legal mandate should be understood first before a decision is made how local institutions should be organized. The work content likewise determines the divisions and units of the organization. One of the critical objectives in the creation of those divisions and units is to ensure that the needs of the citizens are correctly identified and that the administration is structured in the best way to meet those needs.

The pilot cities, divisions and units under discussion are those with the mandates to provide quality and timely services to the citizens with convenient access, transparency as well as affordable and low costs. In this respect, cities' management shall create structures in line with devolved and/or delegated functions, scope of citizens' demands/needs and resources.

- **Set the Policies, Goals and Programs of the Organization**

Objective: To provide policy direction and goals of the organization, including what projects and activities staff is responsible to complete and attain.

Formulating the policies and programs of the organization is a step necessary to allow local governments or other local organization perform their task much more effectively and efficiently. Cities in the five countries have gone through a process of developing their long term, medium-term and annual plans as well as their budgets. It is, therefore, important to remind our pilot cities about participatory and democratic processes while formulating and reviewing their plans.

- **Design a Competencies Building Program for the Staff of Local Governments and Other Local Institutions**

Objective: To maintain optimal effectiveness and efficient productivity of local governments and other local institution as well as to develop a culture of excellence in local government administration and in political leadership.

The competencies building program should consist of sectoral training interventions. First, competence building efforts must be knowledge based. This is what educators call cognitive or an intellectual exercise. It can be knowledge-specific depending on the requirements of a certain position. For local government administrators it will be about local leadership and constructive politics. For local government councillors who are in principle having different political ideologies, constructive political deliberations on local policy, plan and budget would be an essential theme. These deliberations must include people's participation, civic engagement as well as special attention to the marginalized, vulnerable and different interest groups of people.

Second is skills development or auto motor as the educators would again say. This second dimension has to do with developing certain technical skills in both mental and manual jobs and or specific position requirements. Examples are computer skills and/or effective decision making skills. Skills development supports knowledge based training.

The third training dimension focuses on the attitudinal or behavioral aspect. It has something to do with developing positive attitudes for specific positions. At times, behavior modification is needed for one to be more productive in ones work. In other circumstances, local government personnel will have to occasionally reach out to the community to understand their hardship and needs rather than waiting for citizens to always come to demand the services.

There are five (5) minimum requirements for one to be able to perform ones work productively and satisfactorily especially if one is dealing with the public. These are:

- a. High or wide intellectual horizon;
- b. Possesses power of analysis;
- c. Must be resolute;
- d. Must possess a sense of fairness;
- e. Must have common sense which is not always easy, especially when one is trapped in a culture of legalism.

#### ■ **Task Individual Staff in Local Government with Specific Responsibilities**

Objective: To allow individual staff members to know and understand their roles in achieving the mandate of the local government and other local institutions.

Job descriptions and work content of individual staff need to be properly defined. When every staff member fully knows his or her job, it limits the necessity of supervision to the minimum, thereby allowing supervisors to be much more creative and more concerned with policy making or consulting local government constituencies. Some organizations require staff to sign their job descriptions to ensure that they are fully understood.

#### ■ **Determine the Necessary Management Tools for the Local Government Organization.**

Objective: To upgrade the technology orientation and technical and geographic information system competencies of the local governments.

Digital equipment like computers and Global Position System (GPS) gadgets are essential to modernizing local government institutions. In the study of cities of the five countries, computerization has been pushed by cities management. All staff in Yogyakarta city, for instance, are required to be computer literate.

- **Decentralize Appropriate Functions and Powers of Local Governments to the Appropriate Operating Units of the Organization**

Objective: To develop a hierarchy of decision-making levels which is part of a good management principle.

An institution or local government whose functions and powers are properly decentralized assures the smooth and continuing operations of the organization, even if the head of office or the local government leader is travelling or incapacitated.

Before a decision is made, three questions are generally asked as guide to good decision making.

- Is the decision legal or is it in accordance with public law?
- Is the decision in accordance with good public management?
- Equally important: is the decision politically feasible?

- **Determine the Management Information System Requirements of the Local Government Institutions**

Objective: To establish a database which shall form part of the management information system. An information system of any organization is essential for making quality decisions. Local governments need to develop the information based power of the institution or organization which can make the local governments distinct and visible.

An effective Management Information System (MIS) improves the image of local governments and makes the same organization distinct from other agencies. Cities' administrations in the same country are usually at different stages of development and/or usage of MIS. Therefore, there is much more for a city to learn from their peers.

- **Manage Local Government Budget Efficiently**

Objective: To manage scarce local government resources for optimal results.

A local government budget is the life blood of a local administration or of any institution or organization. Determining per-capita budget to support individual staff performance is important for any agency in their budget and expenditure analysis.

- **Develop the Performance Measurement System of the Local Government Institution or any Local Organization**

Objective: To be able to know whether the local government is highly performing or not performing at all.

Some criteria of performance which can be used in this regard are:

- Adequacy
- Responsiveness
- Equity
- Timeliness
- Efficiency
- Effectiveness

In this regard, the local government may develop its internal system of reward and sanction. The aim is to provide financial or psychological rewards to employees who are high-performers. It also can provide sanctions to employees that have gone astray away from the notion of job responsibility and accountability.

#### ■ **Develop a Monitoring and Evaluation System**

Objectives: To measure institutional performance and to formulate implementation milestones, i.e. success indicators. The output of a monitoring and evaluation system is important for re-planning the program cycle.

The local government must make it its priority to be concerned with institutional performance. Knowing the cost of operations is a legitimate budget concern. A monitoring and evaluation system also allows the institutions to appreciate opportunity cost and what its implications mean to the local governments as public institutions.

#### ■ **Perform Management Audit**

Objective: To evaluate the internal system of the organization and determine whether its mandate has been substantially accomplished over a period of time.

Management audits look into systems and procedures of the local government or local democratic institutions like local government leagues. The standard of performance of its employees is evaluated, a cost-benefit analysis etc. is undertaken to provide a scoreboard on how the agency perform in its totality. The process keeps the local government as an organization always on its toe.

### 3. Multi-stakeholder (Whole-Government) Approach

In this best practices documentation, multi-stakeholder approach refers to an approach that requires concerned government actors/service providers to work together in promoting the quality, efficiency and timely delivery of public service of the city's government. In doing so, city government's offices would need to work under one consolidated system, procedure and sometimes one management structure as well.

Cities in all five countries have made different experiences with bringing various governmental line agencies to work together in public service provision. These initiatives range from e-government to one-stop shop or one window service office. All these efforts have been implemented in the form of piloting and/or own initiatives and will be discussed in chapter 4 below.

By working together under one system and procedure, different agencies are able to offer cheaper and timely services with transparent and simple procedures. At the same time, people/service recipients could drastically reduce their time and resources in searching for or sometimes learning from different government's bureaucracies.

### 4. Transparency and Accountability as Key Principles for Institutional Governance

Transparency in institutional governance requires that all decisions and the implementation of those decisions are carried out in accordance with the legal framework, that information related to the decision-making process is simple and accurate, openly disseminated and accessible by the public, especially those who will be affected by such a decision and its enforcement.

Internationally, the term "accountability" has various definitions. Accountability in this best practices documentation, however, refers to the use of one's responsibility and authority to perform a function, and the consequences that follow from that function performance. This means that a city's institutions carry out their functions with the decentralized/given authority and take full responsibility for their performances by reporting and explaining the reasons for the decisions. They also bear full consequences for their enforcements. They have to be accountable to their citizens/service recipients for what they do and the impact of their actions.

Transparency and accountability have been promoted in various forms in all five countries; the status of implementation is very different though. By delivering their public services, the laws and regulations of the above five countries establish foundations and also provide incentives to cities' governments to disseminate information, promote people's participation, consultation as well as performance monitoring and evaluation of public institutions. Therefore, a city's government should consider appropriate tools in promoting transparency and accountability for their public service provision. These include tools to promote:

- Dissemination of city's drafts prior to decisions;
- Dissemination of documents/reports;
- People's right of access to information and display of city's decisions (including service tariffs and fees);
- Hearings/consultation/advisory process;
- Participatory decision-making;
- Performance information;
- Public discussion of public office's annual performance;
- Oversight/External feedback.

The "Local Government Participatory Practices Manual of the Federation of Canadian Municipalities (FCM)" describes details of 15 practical tools to increase the level of public awareness of municipal planning issues and decisions, to provide local government leaders with a greater appreciation for public priorities, and to promote greater public involvement in local government affairs. These include details on how to prepare and organize:

- Information Publications
- Resource Centres
- Community Outreach
- Electronic Bulletin Boards
- Public Meetings
- Public Hearings
- Open House
- Workshops
- Design Charrette
- Focus Groups
- Surveys
- Participatory Television
- Mediation Sessions
- Citizen Advisory Groups
- Referenda

These tools are essential for a city's administration to consider in promoting transparency and accountability of their public offices. For the five SEA countries, some tools are more appropriate than others; hence focusing on concretization of a few working tools is recommended. Furthermore, real examples of some critical tools will be discussed under the country's best practices below.



To instill downward accountability and improve service delivery, some countries have introduced and put in place different means of grievance systems/feedback mechanisms which include feedback boxes, telephone hotlines, fax, SMS, email portal and an Ombudsman or an Ombudsman office. By definition, Ombudsman means an independent person or office provided for by the country's constitution, by action of legislature issued by the state or central government. An Ombudsman could be appointed by a legislative council or selected by various interest groups (including the city's council, representatives of NGOs and businesses) to be responsible in receiving complaints from aggrieved persons against a city's government agencies, officials and employees. In some cases, the Ombudsman has the power to inspect all necessary documents, recommend corrective action, issue independent reports to the city's council and/or a city-parent organization (such as the Ministry of Interior/Home Affairs), and/or negotiate with the city's administration.

Interpreting the above definition, one could conclude that an Ombudsman guards and keeps the city's administration clean from corruption and abuse of power. In this regard, the establishment of a functioning Ombudsman helps a city's administration in its effort to promote the quality, efficiency and timely delivery of public services in their jurisdiction; it hence reduces people's dissatisfactions with the city's government.



## **Short Summaries of Best Practices on Institutional Governance**

## Summary Best Practice 4 | BP 4

### E-Government as the Breakthrough to Enhance Government Performance and Services, Yogyakarta, Indonesia

The Yogyakarta city government has developed a management system that makes use of information and communications technology (ICT) for a more organized, efficient, and effective delivery of services. The Yogyakarta city government formulated the following objectives when designing and implementing the e-government best practices:

- Utilizing technology to address government administration transparency;
- Increasing public participation throughout all stages of government's development activities, from planning and implementation to evaluation;
- Enhancing government's performance in carrying out public service duties.

Activities included amongst others:

- Basic information technology training courses and awareness campaign for Yogyakarta city government officers;
- Establishment of Technology and Information Telemathics Office (TIT) as an umbrella institution to oversee e-government implementations by other departments/offices;
- Activation of the website [www.jogjakota.go.id](http://www.jogjakota.go.id) to engage the public in interactive communications to improve Yogyakarta's public services and download information on taxations, permits, banking and other facilities;
- Online recruitment for Yogyakarta's civil servants;
- Online procurement systems for all governments' departments/offices;
- Implementation of online learning course for junior and senior high school students in Yogyakarta.

The adoption of an e-government system has resulted in:

- Improved quality of services delivered by government, such as transparency in licensing and budgeting as well as in the city's procurement system;
- Significant reduction in the total administrative and operations costs of the government;
- Increased transparency, control and accountability in the government's organization;
- Improved investment appeal of the city.

The budget for the Yogyakarta city e-government program and the responsible Telemathics and Information Technology (TIT) Office fully originates from the local budget, with an annual increase of 1%.

## Summary Best Practice 5 | BP 5

### Cooperation between Local Governments to Address Shared Needs, Yogyakarta-Sleman-Bantul (Kartamantul, Indonesia)

In 1999, Law No. 22 made decentralization of government possible in Indonesia, giving autonomy to the municipalities and regencies. Since then, the role of the provincial government became more and more important. Beyond that background, the three local governments - Yogyakarta, Sleman, Bantul (Kartamantul) – decided to optimize their services to their communities by identifying urban problems that were common to them, and addressed them through integrated efforts. A Joint Secretariat of Kartamantul has been set up to address the following services: Garbage management, liquid and solid waste management, drainage management, road management, clean water, transportation and spatial layout.

The following results have been achieved:

1. A common waste disposal center located in Piyungan, Bantul Regency has been set up, improving the garbage management by the local governments; illegal garbage disposal has been avoided; garbage management became more responsive and effective.
2. A water treatment system of liquid waste filter has been developed in Bantul Regency; liquid waste problems in upstream area (Yogya) to downstream area (Bantul) can now be resolved.
3. Urban communities have been provided with sufficient clean water.
4. Roads connecting the three regions were constructed according to an integrated plan, thus avoiding wastage.
5. An integrated drainage system has been developed and set up.
6. Limitation of minibuses to 170 vehicles servicing the route traversing the three regions; traffic flow has become more organized.
7. Infrastructure development along the borders of the three regions follows an integrated plan.

In the initial phase, the Kartamantul operational and project activities were financed from Yogyakarta provincial budget. Following the implementation of regional autonomy in Indonesia starting 2001, the funding source for Kartamantul secretariat and its project activities were taken over by the three participating local governments. Each shares an estimated budget based on proportional distribution of shared workload.

## **Summary Best Practice 6 | BP 6**

### **Governance through Partnership between the Municipality and the Community, Prik, Thailand**

The Prik municipality experiences show collaboration between people in the community and government authorities, public organizations, and civil society institutions which led to an effective governance effort improving and sustaining people's livelihood. Its first pilot project on solid waste management showed that by involving people's participation in the activities, their knowledge and attitude towards waste management was improved and they developed positive consciousness and behavior to sort out waste prior to disposal. At the same time, the role of municipality officials also became stronger as they got to know the needs of their community better and could develop appropriate policies.

To solidify their effort, Prik municipality formed various Community Core Teams (consisting of municipal officials and community leaders) and relevant learning centers where community people participate actively. The intention of the municipal authority is to provide capacity building for the local people that consists of participatory process development and sharing and learning-based activities.

The majority of learning centers for each theme were initiated and are operated by the Community Core Team and community people. From 2005 to 2008, the municipality and its communities expanded their activities and developed the following systems:

1. The Tambon/local governance system;
2. The environmental management and energy system;
3. The community-based economy, welfare, and safety agriculture system;
4. The learning and educational system;
5. The voluntary healthcare system;
6. The communication system.

These systems have become a best practice for other municipalities/cities who can learn how to ensure people's participation in many aspects of governance and to achieve sustainable development. In 2009, more than 50 public organizations conducted study tours to Prik municipality's learning centers and systems. Based on these experiences, moreover, Prik municipality became a pilot area for other programs, e.g. Healthy Tambon Network or the program on efficient economy – which will be transferred to other municipalities in Thailand.

## Summary Best Practice 7 | BP 7

### Participatory Urban Planning, Guimaras, Philippines

The island province Guimaras, through funding support from the German Technical Cooperation program, participated in the six-year program “Integration of Plans and Planning Processes”, starting in 2005. To strengthen the economic potential of the province without harming the ecosystem and the agro-tourism industry, Guimaras saw the need to work on a harmonization and integration of the different land use plans into the overall physical framework plan of the province.

The specific objectives of the project were as follows:

- To assist the officials and residents of Guimaras to prepare and complete their Provincial Physical Framework Plan (PPFP);
- To establish the substantive linkages between the Regional Physical Framework Plan (RPFP) and the PPFP, on one hand, and the PPFP and the Comprehensive Land Use Plans (CLUP) of the component municipalities, on the other;
- To develop and apply approaches and methodologies for effecting integration of the planning systems at the regional, provincial and municipal levels;
- To document the process for possible replication in other areas and regions.

The innovative planning process adopted in Guimaras was so far the only one successfully attempted and completed in the Philippines. This is because it was the first time that the PPFP was drafted simultaneously with that of its five component municipalities namely: Jordan, Buenavista, San Lorenzo, Sibunag, and Nueva Valencia. It is a pioneering effort in terms of planning, which ensures both vertical and horizontal linkages of plans – linking the provincial plan to the regional plan and linking it to the plans of the municipalities. With the integration and eventual implementation of these plans, modest gains have been achieved in the development of Guimaras’ tourism industry. Both tourists arrivals and investment in tourism facilities and services have increased. Projects identified in the plan which were completed or implemented include:

- Roll On-Roll Off (RORO) Port construction in Sibunag;
- Port Facilities upgrade in Jordan and Buenavista;
- Road upgrading program;
- Fish Landing Facility construction;
- Agro-forestry in sloping areas promotion;
- Integrated Coastal Management (ICM);
- Tourism development initiatives; and
- Functional roles of component municipalities.

## Summary Best Practice 8 | BP 8

### Public Institutional Innovation, Lang Son, Vietnam

Following the master program for administrative innovation for 2001-2010, Lang Son city aimed at developing innovative models to improve administrative services and people's participation, as follows:

- Simplify administrative procedures;
- Strengthen administrative and institutional structures, as well as policies that are in line with the requirements of industrialization and modernization of the country;
- Promote a democratic system by encouraging people to participate in improving laws and regulations;
- Identify clear responsibilities of public organizations, so public agencies can decentralize services and works to the private sector and to civil organizations;
- Use information technology in implementing innovations.

The following results were achieved:

- The "One Stop Shop Reception and Return Department" is set up and functioning by combining the different state administrative agencies into one integrated counter. The city successfully offers services, such as business and land registration, permits for housing and construction, as well as the transfer of rights of houses and land use, in a convenient and transparent manner.
- Reorganization and adjustment of the organizational and personnel structure of the different state agencies, in accordance with functions, tasks, and conditions;
- A communication plan and cooperation agreements have been developed and set up ensuring the involvement of the media, civil society, other departments and the private sector in the innovation process;
- Enhanced public servants' capacity and performance through professional training, adherence to responsibility, working compliance, and reward mechanism;
- IT application model is set up and fulfils the Public Administrative Services in accordance with one stop shop mechanism;
- A quality control system is applied for the operation of the State administrative agencies in Lang Son province;
- An e-portal connecting the wards' and communes' departments and units under the municipal People's Committee is functioning.
- The financial management and urban services have been transferred from the city government to the district people's committee. The project has improved the land certification process and reduced conflicts in land use rights.



## Summary Best Practice 9 | BP 9

### Strengthening of Local Self-Administration: Revenues and Budget, Transparency and People's Participation, Battambang, Cambodia

In June 2003 the Royal Government of Cambodia set up the pilot program the development of urban districts administration with the aim to establish an institutional framework for a transparent local self-administration, to improve the service delivery to the citizens, and to strengthen their participation in decision-making processes. The new structures were first piloted in two municipalities – Battambang and Siem Reap, which should serve as models for the extension of the program to other municipalities at a later stage. The specific objectives of the piloting were as follows:

- Developing the capacity and change the attitude of the third level of government, so it will appreciate, manage, and actively use the new procedures for good governance and to encourage people participation;
- Developing the legal framework for a sound revenue system in the two urban pilot areas and gaining first experiences from the implementation of this system as a model for local self-governed secondary level cities in Cambodia, including aspects like local tax revenues, administrative fees and revenues from tourism;
- Further developing existing initial regulations for the budget procedures of the two urban pilot districts into a well functioning and efficient system for budget planning, budget implementation and budget supervision for other urban districts in Cambodia.

Amongst the various forms of capacity building for the local administration and introduction of different forms of people's participation, the most prominent outputs of the piloting were the establishment of the One Window Service Office, the introduction of the Ombudsman's office, the set up of elected district councils and the introduction of participative land use planning.

The six year pilot was funded by the European Commission and the Konrad-Adenauer-Stiftung, and carried out in cooperation with German and Italian local governments.



## **Best Practice 4 | BP4**

### **E-Government as the Breakthrough to Enhance Government Performance and Services, Yogyakarta, Indonesia**

Author:

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with the support of APEKSI (Association of Indonesian Municipalities)

[www.DELGOSEA.eu](http://www.DELGOSEA.eu)

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## Section A. Best Practice Description

### 1. Introduction of the Best Practice Model and its Innovative Elements

The Yogyakarta city government has developed a management system that makes use of information and communications technology (ICT) for a more organized, efficient and effective delivery of services. The Yogyakarta city government formulated the following objectives when designing and implementing the e-government best practice:

- Utilizing technology to address government administration transparency;
- Increasing public participation throughout all stages of government's development activities, from planning and implementation to evaluation;
- Enhancing government's performance in carrying out public service duties.

The implementation of Yogyakarta city's e-government is the first one in Indonesia in many aspects: website design, facilities, updates, contents, transparency and community response to the program. This official website of Yogyakarta city government, [www.jogjakota.go.id](http://www.jogjakota.go.id), received an award as the best government website from Warta Ekonomi magazine in 2008. The award boosted the website's reputation as one of the city government's reliable interfaces with the public and it has become the mainstay of Yogyakarta city's e-government.

The e-government's activities included amongst others:

- Basic information technology training courses and awareness campaign for Yogyakarta city government officers;
- Establishment of Technology and Information Telemathics Office (TIT) as an umbrella institution to oversee e-government implementations by other departments/offices;
- Activation of the website [www.jogjakota.go.id](http://www.jogjakota.go.id) to engage the public in interactive communications to improve Yogyakarta public services and download information on taxations, permits, banking and other facilities;
- Online recruitment for Yogyakarta's civil servants;
- Online procurement systems for all government's departments/offices;
- Implementation of online learning course for junior and senior high school students in Yogyakarta.

## 1.1 Website Highlights

The content of the Yogyakarta city government's website can be divided into several categories:

- [\*Jogjaku\*](#) (My Yogya)
  - Vision and Mission
  - Symbol and Identity
  - City History
  - Geography
  - Maps
- Public Facilities
  - Important Phone Numbers
  - ATM
  - BANKS
  - Money Changers
  - Hospitals
  - Pharmacies
  - 24-hour clinics
  - Bus [Terminals](#)
- Government
  - The Mayor's Profile
  - The Deputy Mayor's Profile
  - Departments
  - Finance
  - Email lists
- Services
  - Public Services
  - Tax
  - Charges
  - Downloaded Forms
  - Building Construction Permit Registration
- City Info
  - Headline News
  - Principles and Community Figure
  - Yogya Updates

- Transportation
- Tourism

Since launched on October 7, 2002, website visitors of [www.jogjakota.go.id](http://www.jogjakota.go.id) of July 19, 2010). Based on this number, the estimated annual visits to this website are nearly 1.5 million. This is much higher than visits to other district/city government websites which have average number of hits of about tens of thousands.

Most Yogyakarta residents seem to find the information on the city's facilities most useful. The numbers of hits on banks, ATMs, or money changers, up to the third week of July 2010, were ranging between 20 thousand and 30 thousand. Meanwhile, recognized facilities such as hospitals only generated seven thousand hits. On the other hand, visitors' hits for faster-growing facilities such as 24-hour pharmacies, medical clinics, even terminal information hits are relatively high, reaching almost 26 thousand hits. This indicates that Yogyakarta residents have confidence in the information on the website and rely on the site for accurate guidelines.

### 1.1.1 Interactive Sections

#### People's Online Forum

The website also provides an opportunity for holding dialogues between the general public and government officials through the *People's Online Forum* section which has two columns, namely Residents and Polls. In the *Residents* column, every Yogyakarta resident may convey grudges, messages, criticism, suggestions, or information about the city's conditions and daily issues faced by the public. Unfortunately, this column does not display answers or responses from the city government. Here are some examples of the kind of issues that appear in the *Residents* column:

+62274xxx


Dear Mayor, please discipline those vagrants and beggars. Lately, they have caused disturbance at an increasing scale to the public. Thanks.

+62274xxx

We support the construction of BTKN road, but in this modern era, can't you build roads without blocking the road access? Please help us, Mayor. We read that road access will be closed until December.

Two opinions are usually displayed one website within one day, but the number may vary depending on the amount of messages received from the public. All of these opinions are then forwarded to the relevant government offices for taking actions.

The *Polls* column, on the other hand, is intended to accommodate public perception of Yogyakarta city government plans, or against critical public issues. Examples of recorded polls are shown below:

 Do you agree with the 5-day work program launched by the Yogyakarta city government?

- ☒ Yes
- ☐ No
- ☐ I do not know

 Voters: 3427

Thousand Thousands of opinions are received from various groups of the society through the *Polls* column. However, it must be considered that the online polls do also accommodate the voices from people not residing in Yogyakarta. Hence, the *Polls* system does not merely reflect the perception of citizens from Yogyakarta.

According to Suciati, Head of Hardware Sub-Department of the Telemathics and Information Technology (TIT) Office, all responses, information and the *Polls* results, as well as the Residents column responses, were submitted to the respective Regional Working Unit (SKPD).

### **Information Services and Complaint Unit (UPIK)**

In 2006, the city of Yogyakarta cooperated with the development agency Swisscontact in order to launch a new website <http://upik.jogjakota.go.id>. UPIK stands for *Unit Pelayanan Informasi dan Keluhan* (or Information and Complaint Services Unit). This site serves as a communication forum between Yogyakarta residents and their government, where people submit information, complaints, criticism and suggestions about public services and development activities in the city.

UPIK site receives about 30 e-mails every day. Each site visitor who enters the complaint section must register to obtain an ID and subsequently the user can check the status of the forwarded complaint by using the allocated ID. Everyone will get an individual response from UPIK staff. Although the cooperation with Swisscontact had finished, UPIK site continues to be part of Yogyakarta e-government website and serves as a centre for the public to forward their complaints and suggestions on issues concerning their city.

UPIK also provides a hotline service number: 0274 555242 (phone) and 08122780001 or 2740 (SMS) to facilitate the communication needs of community members.



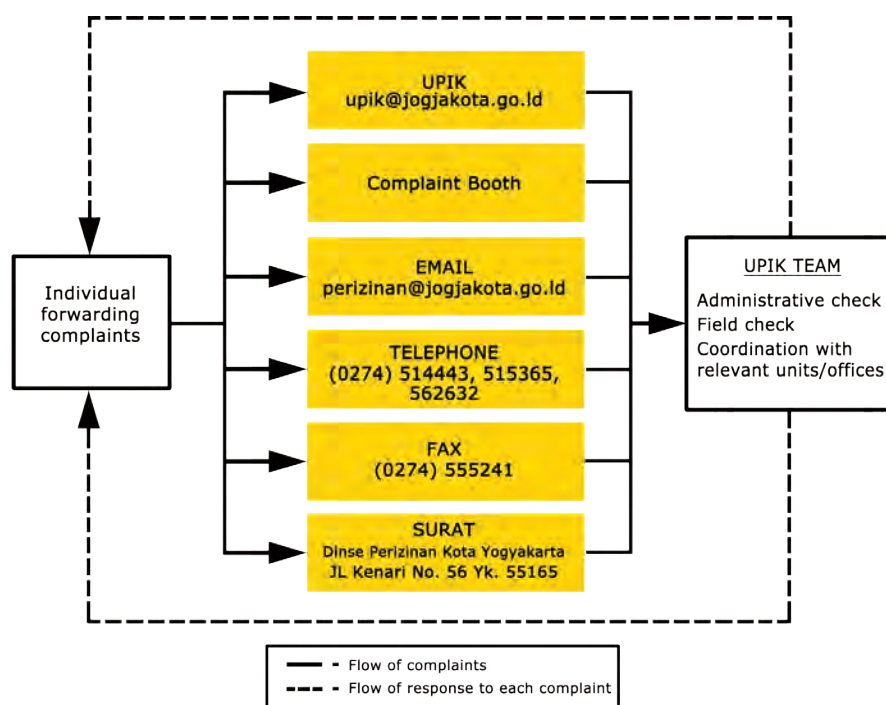


Illustration1: UPIK response mechanism towards community complaints

### 1.1.2 Internal Sections

#### E-Recruitment

The Yogyakarta city government has started implementing online recruitment of civil servant candidates (CPNS) since 2008. The number of applicants using this facility in 2009 was approximately ten thousand people. The system apparently could accommodate such a huge interest without experiencing any overload or failure during the recruitment process.

Nevertheless, the city government has been criticized for requiring all civil servants to be computer literate, while knowing that computer skills are not equally taught in all schools, which means that some applicants were unable to fill out the electronic application form. These criticisms did not deter the Mayor, Herry Zudianto, from enforcing the online recruitment policy.

#### E-Procurement

One of the typical activities prior to the opening of government tenders was lobbying by the local government's associate companies or prospective partners to win the tenders. Many brokers usually went to the government offices to lobby the policy makers on procurement of goods and services. However, this situation has changed. With e-procurement system on the website, where everything is computerized, the brokers have become powerless.

The e-procurement process starts by the applicant filling out all the administrative requirements specified by the city government; the process is entirely computerized. Bidders shall then bid on the specifications of goods and services required by the Yogyakarta city government. They have no knowledge of the initiators or decision makers of these tenders since the decisions are made by working groups formed by the Yogyakarta city government for each tender. The members of the working groups come from seven Regional Working Unit or SKPDs. By having working groups with various roles - as initiator and decision maker -, the e-procurement tries to minimize personal lobbying by companies. In the past, these companies would easily identify and lobby the decision maker to win the bidding. Given the existence of these working groups, the winner of the bidding process will be determined by SKPD officials who are different from those involved in the tender opening.

### E-Procurement Mechanism

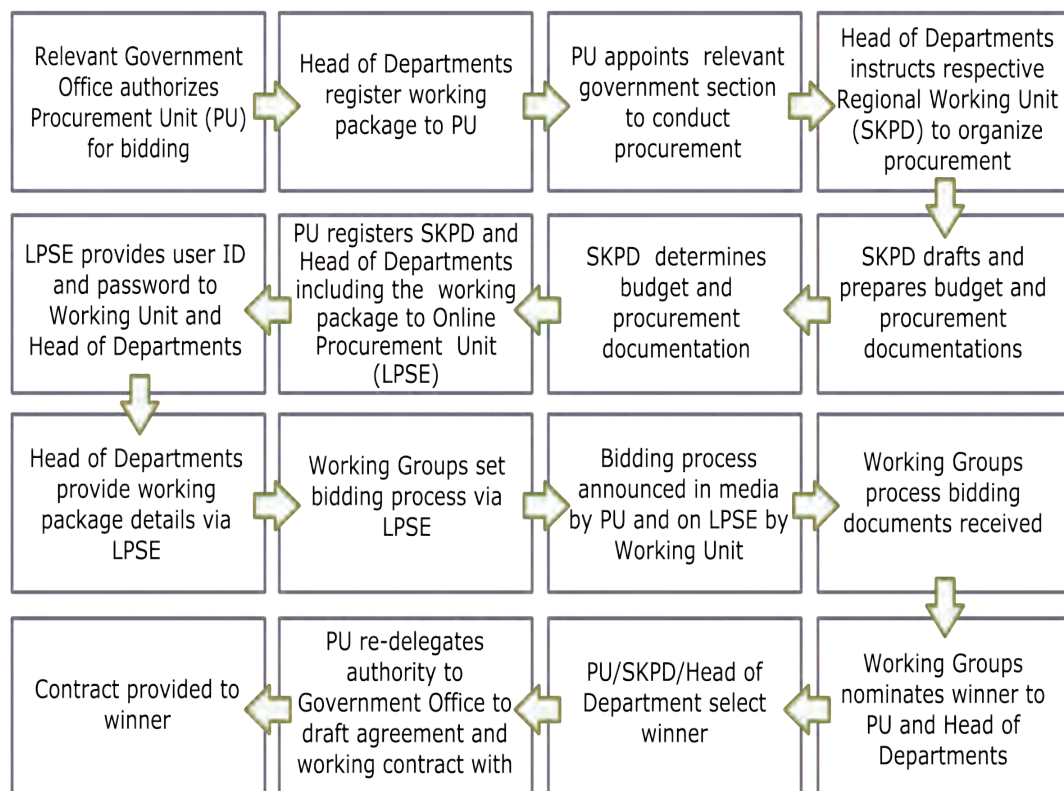


Illustration 2: E-Procurement flowchart

## **E-Government One Stop Service**

The One Stop Service system was first introduced by the police force in the management of motor vehicle documents. This way, each member of the community can complete all administrative matters related to motor vehicle permits and/or fines at the same time and place.

Yogyakarta city has then adopted this system into one of their e-government services for the public.

All matters related to E-permit, E-public service, E-Tax and Retribution are now located on the ground floor of one of the buildings at the Mayor's office complex in Yogyakarta city. As a result, the quality of these offices' services has also improved because all offices coordinate with one another. Thus, the people also benefit because they get better access to information and services and can finalize their permits' paperwork efficiently.

## **E-Tax and Retribution**

With the online system, Yogyakarta resident can now find information on Land and Building Tax (PBB) regulations which are under the authority of the Yogyakarta city government and learn about various kinds of levies and related procedures in Yogyakarta city at [www.jogjakota.go.id/index/extra.arsip/34](http://www.jogjakota.go.id/index/extra.arsip/34)

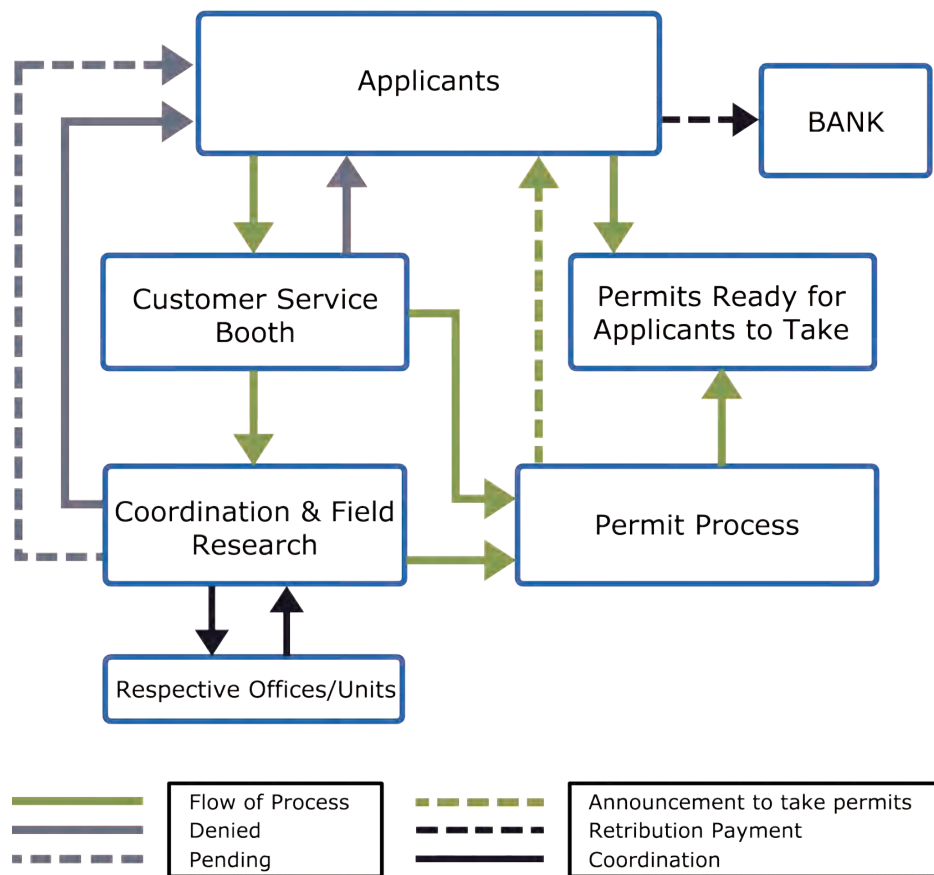
For other community taxes, payment shall be made at the local tax offices.

## **E-Permit**

In 2006, the Yogyakarta government decided to organize all permits-related services under one institution namely the Permit Office, which would be utilizing a technology-based information system. All permit-related services online are organized under the management of the Permit Office.

There are 25 types of free, downloadable permits and report forms provided by the Yogyakarta city government at [www.jogjakota.go.id/index/extra.arsip/37](http://www.jogjakota.go.id/index/extra.arsip/37). These available permits forms and reports are quite comprehensive, ranging from birth certificates, marriage-divorce certificates, death certificates to Foreign Labor Employment Permit in Yogyakarta city. Yogyakarta residents can contact the E-Permit office number: 0274 290274 for further information.

## E-Permit Application Mechanism



### Illustration 3: E-Permit Application Mechanism

## E-Public Services

There are 29 permits on the management and utilization of public facilities in Yogyakarta city. These services include company registration, library, mortgage application and identification cards. All regulations and permits are available for download at [www.jogjakota.go.id/index/extra.arsip/32](http://www.jogjakota.go.id/index/extra.arsip/32).

### Online Student Learning Consultation (KBS Online)

100%

## **Interconnecting Departments and Units for Better Public Service**

Different departments and units are interconnected through the website, so they are able to share with each other the information, suggestions, and complaints they receive. For the citizens, this interconnection also makes it easier to find information in relevant government links. A large number of issues with regard to the following website services or facilities are handled by the relevant government departments/working units:

- DPRD (Local Parliament): <http://dprd-jogjakota.go.id>
- Investments: <http://invest.jogjakota.go.id>
- Tourism: <http://pariwisata.jogjakota.go.id>
- Manpower and transmigration: <http://bkol.jogjakota.go.id>
- Legal products: <http://hukum.jogjakota.go.id>
- Education: <http://pendidikan.jogjakota.go.id>

## **2. Reasons for Program Development, Shortcomings and Challenges Addressed by Best Practice Model**

The Yogyakarta city government formulated the following objectives when designing and implementing the e-government best practices:

- Utilizing technology to address government administration transparency;
- Increasing public participation throughout all stages of government's development activities, from planning and implementation to evaluation;
- Enhancing government's performance in carrying out public service duties.

One of the greatest problems in the Indonesian administration, both within central and local government, is its sluggish and complicated nature. It seems unable to follow the dynamics of society and to reform itself according to the needs of a dynamic, complex and increasingly sophisticated modern society.

The implemented Yogyakarta e-government so far has solved some typical difficulties of the inefficient and complicated bureaucracy. With e-government, the Yogyakarta administration improved to a great extent its service quality and transparency in managing civil servant recruitment, procurement and policies affecting the public life such as tax, permits and quality education.

The e-government also engages the entire community of Yogyakarta city to learn about their city correctly, have access to government's plans and development programs and be able to participate in the development process.

### 3. Results Achieved and Relevance to Public Life

E-government in Yogyakarta positively affects various aspects of the public life by improving the following areas:

- Student learning process through online consultation
- Transparency in licensing and budgeting
- Transparency in city's procurement system
- Increased investment appeal of the city

These achievements reflect the success of the Yogyakarta city government in implementing the principles of good governance, transparency and public participation.

Below is a brief description of the relevance of such positive achievements to public life.

#### 3.1 Online Student Learning Consultation

Thousands of school children from Elementary School (SD) to High School (SMA) may have access to some extent to improved learning facility through Student Learning Consultation. This online approach allows each student to learn interactively online by discussing various questions tested at school. The Yogyakarta city government has also installed internet hot-spots intended to cover all schools in Yogyakarta city. This effort aims to ensure that all students have equal access to online information and learning facilities.

#### 3.2 Transparency of Licensing and Budgeting

The licensing process that previously took more than 14 days can now be completed within two or three days. The public can also track the licensing status easily. Illegal levies in the form of 'enveloped money' can no longer be raised by the city government staff since all costs are clearly presented and displayed on the official website.

#### 3.3 Transparency in Procurement

The Yogyakarta city government is also trying to combat corruption, collusion and nepotism related to the procurement of goods and services within the city government structure through e-procurement. The online procurement system involves seven working groups with authorities to select and decide. This approach eliminates the previous practice of making decisions on the bidding process by a single person. Hence, the currently applied e-procurement system minimizes vested interests and potential bribery of city government officials.

### 3.4 Increased Investment Appeal

The website, to some extent, also influences the way the Yogyakarta government improves its investment appeal. In 2009, it received the Best city for Capital Investment Award by the National Coordinating Body of Capital Investment (BKPM). Yogyakarta won the first prize in two categories: time efficiency and reduced 'hidden charges' for permits process. In comparison to other cities, such as Banda Aceh in Nanggroe Aceh Darussalam province, which needs nine permits to establish a business, Yogyakarta only needs three permits. Therefore, less days are needed to complete these permits (55 days for Yogyakarta compared to more than three months in Banda Aceh). With a smaller number of permits and days, the potential opportunities to ask for 'hidden charges' is reduced.

A survey conducted by the International Finance Corporation in 2009 placed Yogyakarta on the fifth rank of 183 investment-friendly cities in the world. This award was given after Yogyakarta implemented Mayor's Regulation no 3/2009 on providing incentives to reduce costs of permits for new investors. As an appreciation to its successful e-government implementation, the Yogyakarta city government received the 2009 Warta Ekonomi magazine's E-Government Award under the category of Best Website.



Picture 1: E-Government Award 2006 for E-Leadership to Yogyakarta City Government presented by Warta Ekonomi Magazine

The Warta Ekonomi E-Government Award is given to the best Indonesian government institution that has implemented information technology to accomplish its function as a public servant. The award nominations need to go through several phases: data collection, visits to the selected institutions and interviews with the heads of relevant institutions. Award criteria include website quality, E-Government implementation and supporting infrastructure. The Warta Ekonomi has organized this award for eight years regarding improvement in innovation and quality of services from contestants.

Prior to the "Best Website" award, the Yogyakarta government had received several awards from Warta Ekonomi, including the 2006 E-Leadership Award (see picture above).



For the 2009 “Best Website” award, the ceremony was opened by the Minister of Communication and Information of the Republic of Indonesia, Tifatul Sembiring and the presentation of the plaque and the certificate was carried out by Muh Ikhsan, Chief Editor of Warta Ekonomi to the Deputy Major of Yogyakarta, H. Haryadi Suyuti, taking place at the Jakarta Convention Centre, Kebayoran Baru, South Jakarta, on Tuesday (15/12).

Warta Ekonomi’s theme for e-government in 2009 was Connected Government 2.0 - Toward a Collaborative Government. The issue of connectivity is vital in improving the quality of public services. The Warta Ekonomi’s award is aimed at encouraging and inspiring Indonesian government institutions to improve the quality of public services with the support of information technology.

In his speech, Minister of Communications and Information Tifatul Sembiring said, “Some of the accelerating factors on e-government development in Indonesia are technological advancement, improvement of the people’s economy, the pace of public adoption including government bureaucrats. Hence, it is considered necessary to establish a strong cooperation between the government, the business world, universities and the public in order to build the technology.”

Upon receiving the award, the Yogyakarta city government continued to make efforts to improve the quality of public services. Website development is continuously maintained and supported by high population of internet usage. Contents are regularly updated and include all detail information required by the public. In addition to the support of adequate infrastructure, the website is also managed by human resources in a coordinated special team. The process of exchanging information with the IT-focused media is two-ways, with quick responses.

The box below reveals the impressive record of Yogyakarta’s administration in receiving prestigious awards due to its outstanding performance in e-government.



### **Yogyakarta E-Government Achievements**

#### **2004**

- First Winner of government Website, awarded by the Ministry of Communications and Information;
- Top 10 candidates for E-Government Award by Warta Ekonomi Magazine.

#### **2005**

- First Winner, E-Government Award 2005 for District/City Government in Indonesia, by Warta Ekonomi Magazine;
- Best of The Best for all E-Government Award categories in 2005, by Warta Ekonomi Magazine.

#### **2006**

- Special Achievement for E-Leadership, by Warta Ekonomi Magazine.

#### **2007**

- E-Government award on Community Impact by Warta Ekonomi Magazine.

#### **2009**

- E-Government Best Website for District/Cities Government in Indonesia by Warta Ekonomi Magazine.

## **4. Description of Yogyakarta City**

Yogyakarta city was built in 1755, in concurrence with the establishment of the Ngayogyakarta Hadiningrat Kingdom by Sri Sultan Hamengku Buwono I in the Beringin Forest. After the Declaration of Independence on August 17, 1945, Sri Sultan Hamengku Buwono IX and Sri Paduka Paku Alam VIII received the plaque of appointment as Governor and Deputy Governor of the Yogyakarta Special Region (DIY) Province from the President of the Republic of Indonesia.

Later, on September 5, 1945, the President issued a mandate stating that the Kesultanan (Sultanate) area and Pakualaman area are Special Regions which constitute an integral part of the Republic of Indonesia pursuant to Article 18 of the 1945 Constitution. On October 30, 1945, he issued a second mandate stating that the government administration in the Yogyakarta Special Region (DIY) shall be carried out by Sri Sultan Hamengkubuwono IX and Sri Paduka Alam VIII together with the National Working Committee.

Yogyakarta city covers the Kesultanan (Sultanate) and Pakualaman regions. It became a Kota Praja or Autonomous City with the enactment of Law No. 17 of 1947. Article I states that the Yogyakarta city district covering the Kesultanan (Sultanate) and Pakualaman regions as well as several other regions of Bantul district were designated as a region authorized to govern and manage its own households. The region was then named Yogyakarta City Haminte.

Based on the parliamentary decree no XXI/MPRS/1966, Law No.5 of 1974 on Principles of Regional Administration was issued. Under this law, DIY became a Province and also a First Level Region led by a regional Head titled Governor of Yogyakarta Special Region (DIY) and Deputy Governor of Yogyakarta Special Region (DIY) unbound by the provisions on term of office, terms and manners of appointment applicable to other regional Heads and Deputy regional Heads, especially for His Highness Sri Sultan Hamengku Buwono IX and Sri Paduka Paku Alam VIII.

Meanwhile, the municipality of Yogyakarta became a Second Level Region led by a Mayor Head of Second Level Region bound by the provisions on terms of office, terms and manners of appointment applicable to other Second Level Regional Heads.

Yogyakarta city is also the capital of DIY Province and the only second level district with city status. The remaining four other districts in DIY Province are Bantul, Sleman, Gunung Kidul, Kulonprogo.

Yogyakarta city is located in the middle of the DIY Province, with area boundaries as follows: Northside - Sleman district, Eastside - Bantul and Sleman districts, Southside - Bantul district, Westside - Bantul and Sleman. Yogyakarta city lies 114 m above sea level. Yogyakarta city has the smallest area compared with other second level regions, i.e. 32.5 km<sup>2</sup> which means 1.025% of the total area of DIY. Yogyakarta's economy is dependent on non oil and gas commodities.

Yogyakarta's non oil and gas exports in the year 2008 increased compared to exports in the previous years, i.e. from USD 26,063,497 in 2007 to USD 29,952,837.07 in 2008. Most exports of the municipality of Yogyakarta come from the handicraft industry with competitive products on U.S. and European markets. Pandanus handicraft commodities have the largest contribution to the total value of exports amounting to USD 7,016,979 or 23.43% of total exports of Yogyakarta. Wood furniture commodities are the second largest contributor with a value of USD 6,073,175.11 or 20.28% of the total export volume, while flat tanned leather commodities are ranked third with an export value reaching USD 4,916,554.86 or 16.41%.

Markets are one place indicating the level of welfare of an area/region. There are 32 markets located in the municipality of Yogyakarta (2008), occupying a land area of 124,847.07 m<sup>2</sup> with 15,340 traders. 79.62% of the market locations are equipped with adequate facilities and infrastructure, while 20.38% are traditional markets with very limited infrastructure.

Yogyakarta also experienced progress in urbanization due to the development of the educational sector which has attracted the interest of hundreds of thousands of students from all over the country in the past two decades. The influx of students automatically results in an increased construction of educational facilities and infrastructure.



Picture 2: Maps of Yogyakarta

Based on the results of the 2010 population census, the Yogyakarta Special Region provincial population was 3,452,390 million people, consisting of 1,705,404 males and 1,746,986 females. The Yogyakarta city population is about 388,088 people equivalent to 11.2 percent of the total provincial population.

## 5. Budget for Best Practice Implementation

The budget for the Yogyakarta city e-government program and the responsible Telemathics and Information Technology (TIT) Office fully originates from the local budget. The TIT budget allocation normally increases by about 1% per year.

However, the TIT budget with the modest increase of 1% annually is still relatively low when compared with the Local Revenue of the Yogyakarta city government that reached IDR 800 billion last year.

According to the Head of Department of TIT, Sukadarisman, the largest share of the e-government budget is used to provide internet broadband services with a value of about IDR 3,7 billion per year.

*Table 1. Budget for E-government Development in Yogyakarta City*

No	Year	Total Budget (Million Rupiah/IDR)
1	1999	4,0
2	2000	Routine: 75,5 + Development: 45,5
3	2001	Routine: 60,5 + Development: 220
4	2002	Routine: 58.5 + Development: 480
5	2003	2,900
6	2004	4,600
7	2005	3,800
8	2006	4,699
9	2007	4,652
10	2008	4,374
11	2009	5,833
12	2010	5,826

*Source: Implementation/application of e-government of the city government of Yogyakarta, 2010*



## 6. Specific Technical Expertise

Implementation of e-government requires specific technical expertise. To ensure this, the TIT Office holds routine computer technician training for staff in their respective SKPDs (usually three staff per SKPD). Over ten years, approximately 300 staff have been trained in the following disciplines:

- Basic computer operations, including on-off, how to use the mouse, the internet, and e-mail;
- Basic technician skills which includes trouble-shooting;
- Basic networking which includes network connection repairs.

The Yogyakarta city government meets its own needs for technical staff through internal training by technical staff at the TIT Office and/or by recruiting competent staff. In general, graduates with adequate background and skills in Informatics Management, Computer Engineering, and Network Engineering are the most likely potential candidates.

At the early stage of e-government in 2002, the TIT Office sent its staff to earn diploma degree in computer science at vocational schools in Yogyakarta. Nowadays TIT employs 27 staff consisting of: Ten staff as Technical Management Team responsible for managing the technological aspects of hardware and software, and 17 as supporting team members.

Recruitment of TIT employees is regularly carried out each year and is coordinated with the Local Civil Service Bureau. The recruitment process will be determined by the needs for additional staff and available budget.



Picture 3: Computerized licensing services at the Yogyakarta City Hall operated with software designed by TIT Office.

## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

The Electronic Data Processing Office (KPDE) established in 1999 was the embryo of e-government in the Yogyakarta city government. At that time, KPDE was in charge of managing personnel and payroll data. In the period 2000-2006, KDPE was transformed into the Office of Archives and Electronic Data Processing (KAPDE) under the authority of the Local Secretary of the Yogyakarta city government. In 2006, KAPDE was merged with the city government's Public Relation department to form the Regional Information Agency (BID) led by an official of Echelon II level. Three years later, in 2009, KPDE was transformed into the Telematics and Information Technology Office (TIT) and then developed into a department. The Head of the TIT Department is in charge of the two sub-departments Application and Hardware.

In the beginning, the Yogyakarta government also partnered with various institutions and the private sector to develop the e-government system. It cooperated with the MIPA Faculty at the Gajah Mada University (UGM) in surveying every government agency to draw up a SWOT analysis. The city government also obtained technical assistance from the People's Economy Empowerment Study Centre (PKPEK), and cooperated with the Information and Communication Technology Service Centre (PPTIK) of UGM and the private sector (gamatekno and Jogjamedianet companies) in the procurement of infrastructure. These network-related procurements were provided through rental arrangements.

#### 1.1 Core Tasks and Functions of TIT Office

The TIT Office of the Yogyakarta city government provides support to the Regional Working Units (SKPD) in the following areas:

- Hardware
- Software
- Network
- Application

To facilitate its tasks, TIT is authorized to:

- Design Internal Applications
- Design Sub-Domains

## 1.2 Results of TIT Office Implementation

Until 2010, TIT Office has designed:

- Up to 32 internal applications which can be divided into two categories: Public Services and Filing. These are further divided into several sub-categories, among others: Management Information System (MIS) for salaries of Yogyakarta city government staff, MIS for personnel, licensing, local revenues, tax on land and buildings, charges and funerals.

The Mayor of Yogyakarta has decided to prohibit SKPDs from creating their own applications. Any application must be supplied entirely by the TIT Office. The four forms of TIT support to SKPD shall be tailored to the needs of each SKPD based on feedbacks of the working units and evaluation results.

- Sub-domain applications designed by TIT are shown at <http://www.jogjakota.go.id/> which amount to 17 sub-domains, including the jogjakota domains, until 2010. The main objective of designing the sub-domain of the Yogyakarta city government is to increase accessibility of the city government and its services by the public.

The other 16 sub-domains are Education Office, Permits, Yogyakarta city Cooperation, Gender Mainstreaming, Yogyakarta Zakat Office (Islamic charity), Our News, Bike to School, New Student Enrolment (PSB) Online, Electronic Copy Service, News Clipping, UPIK (Information and Complaint Services Unit), Small Medium Enterprise, Job Fair, Tourism, Art and Culture Office, Law and Online Learning Consultation (KBS).

In fulfilling its roles and functions, the Telematics and Information Technology (TIT) Office carried out several strategic activities, namely:

- Technology Literacy Campaign for Yogyakarta City Officials*

After starting to serve as Mayor of Yogyakarta in 2001, Herry Zudianto launched the campaign of technological literacy for city government officials. The Head of Department of Telematics and Information Technology (TIT) and also the Secretary of Yogyakarta city confirmed that the officials, particularly the old ones, spent most of their office hours attending technology training. Some were learning to type fast, some were learning programs, and some were learning to use the internet. In just a few years, most of Yogyakarta city government officials have developed basic computer skills, enabling them to do email correspondence and perform official duties online. Even if there are technologically illiterate officials, they are usually only one or two of the older generation.

Technology literacy already became an absolute necessity for the Yogyakarta city government. It has started with the recruitment of civil servant candidates that requires online registration by the applicants themselves. This approach is not without any criticism. However, claims that online registration is a form of discrimination against non-internet user is rejected by the city administration. The Mayor's attitude is reflected by the following quote: "If you are not technology literate, you are not qualified to be city government official."

- *Information Technology Education and Training for Yogyakarta city government Officers*

According to the Head of TIT Hardware Sub-Department, Suciati, all SKPD heads have received basic computer training which enables them to at least manage email correspondence. This is a vital skill because the Mayor of Yogyakarta, Herry Zudianto, has ordered to have all memos and invitations sent to all officers via email. This decree requires every local official, from the village chief to the Head of SKPD, to operate computers and internet. A series of trainings which usually last for two weeks per course have been completed by all local government staff. As mentioned in the previous section, TIT has trained approximately 300 staff from various SKPDs (Local Working Unit) over the past ten years.



Picture 4: All staff of Yogyakarta city are required to be computer literate because they serve the public entirely with information technology.

Yogyakarta's Mayor, Herry Zudianto, is the main actor of e-government implementation in the city of Yogyakarta. After successful convincing the staff in the Mayor's office of the idea of e-government and after lobbying the local council to allocate sufficient budgets for this program, he established the necessary organizational structures for designing and managing various applications. In 2006 he succeeded with the assistance of Swisscontact to launch the Information Services and Complaints Unit



(UPIK) website which provides information, complaints, criticisms and suggestions from Yogyakarta city residents related to public service delivery.

During his first term as Mayor of Yogyakarta, covering the period 2001 – 2006, Yogyakarta city received many awards, and championships have been obtained on both national and provincial levels. The 139 national-level awards and championships included: Krama Widya Award for the successful implementation of Nine Year Compulsory Education Program for National Level, Implementation of Sanitation (Sector Housing) Best National Level, Bangun Praja Adipura Award (Environment Division) Best National Level, City Level Best on Environmental Performance, Autonomy Award Grand Category in Leading Profile on Political Performance, Special Category Region Award in Leading Innovative Breakthrough on Public Accountability. The government was also recently awarded the Best Clean City Award for Big City Category at national level. The Mayor had been re-elected for his second term in 2006-2011.



Picture 5: The Mayor of Yogyakarta, H. Herry Zudianto (seated at the left) and Vice Mayor H. Haryadi Suyuti (seated at the right) are looking at their blogs on the laptop screen.



Picture 6: Mayor of Yogyakarta, H. Herry Zudianto, was named as one of the "10 Leadership Figure in 2008" by Indonesian prominent news magazine, Tempo. The magazine referred to Mayor Zudianto ... "manage with simplicity..... Openness, participatory, egalitarian and accountability are keys in his governance... All communications lines are open..."

## 2. Functions and Roles of National Government

In the past, the central government supported Yogyakarta city by providing hardware and software for program implementation, including:

- The Ministry of Finance provided assistance by supplying hardware installed with Regional Finance Development System software;
- The Ministry of Home Affairs provided assistance by supplying population administration system hardware and software to record residents' data and produce Resident's ID Cards (KTPs);
- The National Family Planning Coordination Board provided hardware and software as well as network connection to record data of residents participating in the Family Planning Program;
- The Ministry of Finance provided Electronic Procurement Services, designed as procurement software to local government bidding process.

Furthermore, The Ministry of Communications and Information has been assisting in terms of quality measurement for e-government through the Annual TIT performance review.

## 3. Brief Description of the Implementation Process, Legal and Administrative Conditions, Qualifications Process, Monitoring and Evaluation

### 3.1 Four Phases of E-Government

There are four implementation phases carried out from the e-government inception to launching, maintenance and evaluation:

#### **Preparation Phase**

The preparation phase covers the establishment of the online information site of each respective institution, preparation of human resources, and the internal and public testing of the website.

#### **Maturation Phase**

This phase covers the integration of all applications and dissemination activities that have been developed. There were three main activities in this phase:

- Composition of the integrated database and the supporting site to ensure that the interests of each agency or unit as well as the requirements of data sharing with other units are accommodated;
- Improving the awareness of the government apparatus in handling the data and information. This activity is expected to change the work culture in adapting the use of information and communication technology;

- Adoption of more appropriate technology. One of the adjustments is the application of the network and information system.

### **Stabilization Phase**

- Adjustments in the standard operating procedures, as ICT is now being used by the workforce in the performance of official duties, both internally and in providing services;
- Establishment of a website for public services and transactions.

### **Utilization Phase**

The government provides technology-based facilities, including access to information, education and library. These technology-based facilities can be widely utilized for government to government (G2G), government to Business (G2B), and government to Communities (G2C).

The e-government implementation supervision is conducted on a daily basis by the Head of TIT Office who submits progress reports on program implementation to the Local Secretary. The Secretary controls and monitors the entire IT program and further submits reports to the Mayor of Yogyakarta.

## **3.2 Formal and Legal Aspects**

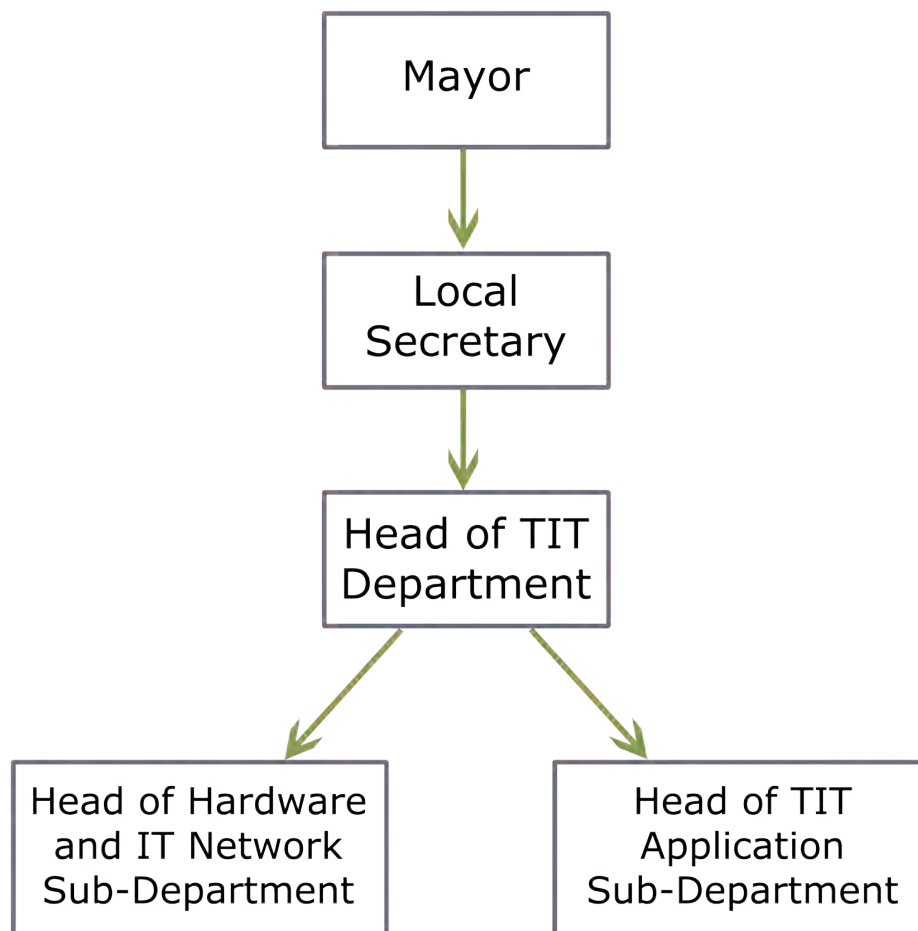
The establishment and operation of the TIT unit is in line with Government Regulation No. 41, 2007 on Organization of the Local Government and Government, and Regulation No. 39, 2007 on National/Regional Financial Management. Both regulations serve as legal grounds for TIT Office under the authority of the Local Secretary (Sekda) of the Yogyakarta city government. Furthermore, the organizational structure of TIT is defined by Local Regulation of Yogyakarta City No. 8 of 2008 on formation, composition, position, and core tasks of the Local Secretariat and Local House of Representatives' Secretariat.

All TIT office staff are recruited based on educational background and assigned by Local secretariat. After they were assigned, they would have had received sufficient computer training and education prior to conducting their duties.

Monitoring and evaluation (M&E) of e-government implementation in Yogyakarta city is conducted bi-monthly by the TIT Office, with participation of respective SKPD (office). The M&E results are then reported to the Local Secretary and the Mayor of Yogyakarta for further directions when deemed necessary. Each year, the evaluation results are also reported to the Ministry of Communication and Informatics for further assessment.

The budget proposal is prepared by the Head of the TIT Office and submitted to the Local Secretary to be included in the Yogyakarta government budget discussion. The final budget is then forwarded to the city's House of Representatives for approval.

Below is the TIT Department structure, with the two Sub-Departments Hardware and Information Technology Network and Applications, and its relationship with the Local Secretary and the Mayor.



*Illustration 4: TIT Department Organizational Structure*

#### 4. Civil Society and Community Involvement

The website engages communities at large to participate in several interactive features namely:

- a. Residents: a forum where community members can send Short Message Service (SMSs) on their views, criticism and suggestions about city's conditions and issues. Their messages are later displayed for others to view.
- b. Polls: an online voting system on various issues of public concern. The system enables the public and the government to measure 'reaction' towards certain policies or actions affecting people's life.

- c. UPIK (Information and Complaint Services Unit): similar to Residents column; this site serves as a communication forum between Yogyakarta residents and their government to channel queries, complaints, criticism, and suggestions about public services and development activities in the city. The UPIK site is equipped with a feedback mechanism. First, each visitor must register to obtain an ID as a pre-condition to submit views and be able to check the status of forwarded suggestions or complaints. Next, all visitors will receive a response from UPIK staff.

## 5. Role of Media

The role of the mass media was not very prominent when the e-government program began in 2002. Journalists from various media in Yogyakarta were first waiting for the e-government outcomes. After its successful implementation with positive impacts and benefits for society, the mass media viewed the Mayor of Yogyakarta as 'hero'.

In 2009, Warta Ekonomi newspaper presented the E-government Award for Best Website to the Yogyakarta government. This award is given to the best Indonesian government institution for its services in the field of information technology.

By 2010, the implementation of e-government in Yogyakarta city was considered a routine activity and slowly losing its appeal for media headlines. Nevertheless, several regular activities such as online student enrolment and civil servant (CPNS) recruitment are still widely covered by the media.

## 6. Input from International, National and Local Experts

In 2003 Swisscontact, an international NGO, provided technical assistance for information technology to the Yogyakarta city government that focused on the construction and management of UPIK (Information and Complaint Management Unit) online. After the termination of this cooperation, the management and development of the IT system including hardware and software have been entirely handled by TIT's technical staff.

## 7. Types of Implementation Activities

### 7.1 Simplified Licensing

Before the Yogyakarta city government implemented e-government, business licensing would not be completed within months. Now, the process needs significantly less time depending on the type of licensing. For example, a real estate licensing takes about 55 days. Applicants may also call respective government offices to check their application status.





Picture 7: Regional Development Bank (Bank Pembangunan Daerah/BPD), a bank owned by the Yogyakarta Special Region Province is also located in the same location, so that the services provided by Yogyakarta city government is called a One-Roof Service (Yantap-Pelayanan Satu Atap)

## 7.2 Online Student Learning Consultation (KBS)

Online Student Learning Consultation (KBS) is a technology-based student learning consultation facility that was established in 2009. The objective of KBS is to serve as a place for students to ask questions and consult any issues faced in the learning process. Students, who may feel they have not had enough time to understand some lessons during school hours, can contact KBS online teachers for consultations.

For example, Mathematics is not the most favorite subject for many students. In many classrooms, mathematics is presented in a less attractive ways, emphasizing on memorizing rather than creative and critical thinking.

Most students are also afraid to ask their teachers, parents (family) or friends about the difficulties in learning Mathematics. In addition, the number of students in most schools in Indonesia is usually about 40 students, whereas the ideal ratio is 30 children per classroom.

In consideration of the points above, the KBS system was established to address such obstacles for Mathematics and other subjects.

This online consultation facility was inaugurated by the Mayor on September 15, 2006. Consultation materials for junior high school students include: English, Mathematics, and Natural Sciences, while for Senior High School students they include English, Physics and Mathematics.

The KBS operates every night, starting from 19.00 - 21.00, at the Taman Pintar building, Yogyakarta. Two teachers from junior and senior high schools in Yogyakarta are selected and scheduled to facilitate the consultations. Sessions for junior high school students through interactive

question-and-answer formats are scheduled on Monday, Wednesday and Friday, while sessions with senior high school students are conducted on Tuesday, Thursday and Saturday.

Consultation can also be conducted through the website of KBS Online at <http://kbs.jogjakota.go.id/> by sending questions to: [kbs@jogjakota.go.id](mailto:kbs@jogjakota.go.id). These questions will be answered by online teachers.

Since the program started, the existing data records show that approximately 5400 consultations occurred between students and teachers. However, there were criticisms from teachers that the KBS program was used by some students to get an 'easy answer' for their homework. Since then, the scheduled teachers have not directly answered the students' questions; rather they have provided some guidelines and let the students find out the answers themselves.



Pictures 8+9: Taman Pintar never lacks students and children visitors who benefit most from this technology-based learning facilities.



Picture 10: Taman Pintar, an online Student Learning Consultation centre, viewed from the outside.

The secretariat of KBS online occupies the Memorabilia Room at the Taman Pintar Yogyakarta complex. It is open for students' visit and supervising teachers will follow up.

In addition to KBS online, there is also an interactive program called the Radio Anak Taman Pintar (Children's Radio), broadcasted live every day from Monday to Saturday at 19.00 - 20.00 local time.

### **7.3 Hot Spots at Junior and Senior High Schools in Yogyakarta City**

Another e-government program of the Yogyakarta city government in the education sector is the installation of hot spots at junior and senior high schools across the city. There are 16 junior high schools, 11 senior high schools and six vocational high schools in Yogyakarta.

Some hotspots still need to be improved, as they are not properly functioning. In junior high schools, hotspots are located at teachers' room only, not yet available for all classrooms. Nevertheless, the existence of hotspots has some impacts for both teachers and (senior high) students.

For some teachers, internet services at school have lightened their tasks, especially for administrative matters and research for lesson plans materials.

Installation of hotspot services at senior high schools is more extensive. For example, in Kotagede Senior High School 3 and Senior High School 5, Yogyakarta city, hot spot services can be accessed until school ends even towards the evening. The students, therefore, could utilize internet in their learning process and stay at school to do their homework rather than going to commercial internet shops.

### **7.4 New Student Online Enrollment**

One breakthrough in the field of education by the Yogyakarta city government is the online enrolment of new students. The online system ensures transparency on students' enrolment to be solely based on the grades of the national exam. In the past, there were stories of bribery practices from parents to get their children into the favourite schools, despite their children's lack of adequate grades and unavailable seats.

With this online system, each student's grade will be automatically ranked. Each school will enrol students based on the ranking and available seats. If one school has no more seats available, the students will be automatically allocated to a different school.



### **7.5 Kiosk for 14 sub-districts in Yogyakarta City**

The latest e-government activity is the construction of a K Kiosk (computer kiosk), which will have begun in November 2010. Upon approval of the Amended Local budget, the Yogyakarta city government plans to spend IDR 400 million to build K Kiosks in 14 sub-districts in Yogyakarta city.

K Kiosk is a touch screen computer that can be accessed by the public in those sub-districts. K Kiosk will contain all information on public services needed by the residents of such sub-districts. By accessing K Kiosk, the public will obtain information on procedures, time, costs and requirements for basic services (i.e. ID cards, land affairs) and further to get to know the processing status. The introduction of the K Kiosk will also lead to high transparency on related costs imposed by the sub-district office.

The K Kiosk will contain all information needed by the residents of such sub-districts about their areas. This includes not only information about sub-districts, but also information related to the Yogyakarta city government that will be displayed here. With the K Kiosk, the community at all level, from sub-districts to grassroot level, is encouraged to be more technologically literate.

### **7.6 One Stop Service**

One Stop Service was first introduced by the police force for the management of motor vehicle documents. Yogyakarta city adopted the system: all E-permit, E-public service, E-Tax and Retribution are located on the ground floor of one of the buildings at the Mayor's office complex in Yogyakarta city.

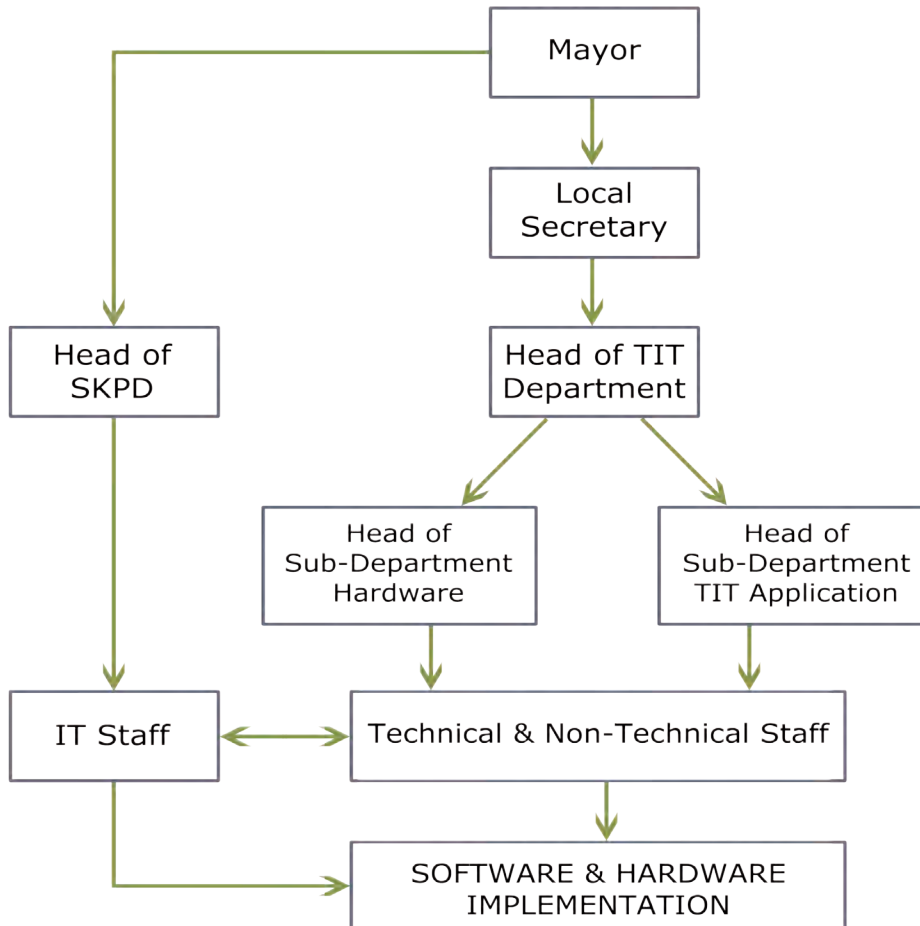
The office's layout consists of several counters for related department's staff, who are also connected to an online database managed by TIT Office. Therefore, visitors can easily go from one table to the next when applying or following up their permits or tax-related matters. They can track the status of their application easily and estimate the completion date. In the past, it was difficult to predict the length of time required to complete a permit as the visitor had to check with different offices/department.

## **8. Steering Body and Coordination Mechanism**

Daily supervision of the e-government implementation is conducted by the Head of Sub-Departments in TIT Office. For the overall program monitoring, the Head of TIT Office will report to the Local Secretary, who will further submit reports to the Mayor of Yogyakarta.

In the event that certain SKPDs experience problems implementing the program, they will report to the TIT Office to find solutions. If this situation remains unresolved, the Local Secretary or the Mayor of Yogyakarta will take a corresponding action.

The structure below shows the communication line between each Head of SKPD and the Head of TIT Office. The Mayor oversees e-government implementation, whereas the Local Secretary is in charge of technical implementation and budget.



*Illustration 5: Communication Structure between TIT and Working Units*

According to Local Regulation of Yogyakarta city No. 8 of 2008, the local secretariat is led by the Secretary. The local secretariat has the core task of developing local government policies, coordinating the implementation of duties of local government offices, monitoring and evaluating the implementation of local policies as well as developing the capacity of local government administration and officials.

At the staff level, technical matters such as computer application, programs or hardware matters are coordinated among relevant SKPD staff. Failures, overloads, virus attacks and other similar disturbances are resolved by the technical and/or non-technical staff responsible for software applications and hardware.

## Section C. Best Practices Evaluation

### 1. Sustainability of Yogyakarta's Best Practice Model

The e-government model in Yogyakarta is sustainable due to the following considerations:

- a. The government has put extensive efforts into having good planning and implementation phases to develop the website and into setting up policy and Standard Operating Procedures (SOPs) in the form of:
  - Yogyakarta City Long Term Development Plan;
  - Standard Operating Procedures (SOP) in the area of:
    - Network security management
    - Server management
    - Client management
    - Hardware and software
    - Sub-domains development
- b. The government undertook serious efforts and implemented strategies to develop the quality of human resources in relation to e-government in the following areas:
  - Management information system;
  - Website maintenance;
  - Development of internet-based information system for education, tourism;
  - Technology Literacy Campaign and mandatory trainings for all civil servants. All Heads of SKPD received basic computer training and are now able to operate basic email correspondence for office works.
- c. Clear mechanism for coordination among different government departments or units.

The role and responsibilities of the TIT Office role are well respected and acknowledged by other government departments and units. The clear division of responsibilities and sound communication structure has resulted in effective inter-departments/units relations.

The above mentioned aspects related to policies, procedures, human resources, communication and organizational structures are key elements for ensuring sustainability of the e-government system.

## 2. Major Success Factors of the Best Practice Model

The success factors of Yogyakarta e-government are a combination of the strong leadership of the Mayor and the continuing support of the local parliament.

### ■ Leadership of Mayor

The consistency of Mayor Herry Zudianto in launching the e-government program and his consistency to move forward with his ideals has been an important success factor — despite some resistance regarding his internet literacy program for civil servants and his drive to improve the efficiency level of the government's bureaucracy. The Mayor's determination to ensure coordination between the TIT Office and other relevant government Departments and SKPD (Regional Working Unit) has also been crucial for the smooth implementation of e-government.

### ■ Support by the Local Parliament

The local parliament has been supportive of the e-government design and further implementation. It endorsed necessary regulations and adequate budgets for this purpose from the initial stages of the program in 2003 until today.

The local parliament has been supportive towards the establishment of the TIT office under the Local Secretary of Yogyakarta city government through the endorsement of two regulations: government Regulation No. 41 of 2007 on Organization of the Regional Apparatus and Government Regulation No. 39 of 2007 on National/Regional Financial Management. It also secured TIT organizational structure with the Local Regulation of Yogyakarta city No. 8 of 2008 on Formation, Composition, Position, and Core Tasks of the Local Secretariat and the Local House of Representatives' Secretariat.

## 3. Major Challenges and Obstacles of the Best Practice Model

Yogyakarta city e-government program has faced some challenges, among others:

### 3.1 Inconsistency in the Selection of Operating System

The implementing officers at the TIT office of Yogyakarta city have raised concerns over the inconsistency of the central government in Jakarta, in terms of:

- Lack of firm direction in choosing the operating system, between Open Source or Microsoft Windows-based. This situation had happened in the past and created some difficulty for TIT staff to make a choice in creating software applications. Several times, the applications made could not be used because the central government was using another operating system and ordered all offices throughout Indonesia to

follow suit. For example: The financial administration operating system of the Ministry of Finance is Windows-based, so that the city government needed to spend a considerable amount of money to buy genuine Windows software.

- Funding was not properly coordinated.

At some stages during the establishment of the e-procurement system, the central government provided assistance in form of hardware, software and funding for network connection. However after six months, the funding was discontinued without prior notice. The Yogyakarta city government had considerable expenses for purchasing and establishing internet connection to overcome the obstacle.

### 3.2 Information Update Issues

Although the Yogyakarta city government website has been widely known and used by the public, the officers at the TIT office generally are still facing some challenges in its implementation, i.e.:

- Reluctance to Update Information

Some offices are still reluctant to update information on the website. This is partly caused by their own impression of a lack of public interest/response to their services - which does not encourage them to do updating. Another reason is the perception of some offices that it is not so important to provide up-to-date information to the public.

- Inaccessible Information

Emails or SMSs from the individuals to Yogyakarta government are inaccessible to the public; only relevant SKPD or government officials can read these complaints or suggestions. There is a growing inclination to have these emails and SMSs made available for the TIT office and also entire Yogyakarta residents, in order to improve transparency and encourage public dialogue. In any case, this issue was addressed through the existence of an interactive radio show "Jogja Menyapa (Jogja Greets)" in which individuals could express their complaints toward any public issues and would be directly responded to by the Mayor/Vice Mayor/or representatives from any relevant government unit.

## 4. Hardware Selection Issues

A small error in the design of the e-government had occurred, namely the selection of a telephone hardware using old technology. Consequently, due to the poor choice of a wrong cell phone technology, these SMS-based programs and possibly other programs will stop running for some time, as they wait for the systems to be fixed.

## 5. Concerns to Sustain Achievements

New leader(s) usually carry a strong personal and group interest, and are therefore likely tend to abandon their predecessors' programs despite their usefulness or efficiency. It is of general concern that the next leadership in Yogyakarta might not continue the current implementation of e-government. To avoid this situation, it is very important to institutionalize all positive features and outcomes of e-government through local regulations.

## 6. Why This Model is Viewed as Best Practice

The e-government model of Yogyakarta city can be categorized as best practice for several reasons:

- The transition from manual procedures to e-government took place relatively smoothly and the leadership of Mayor and Deputy Mayor of Yogyakarta successfully managed this transition without causing public protest and internal conflicts among departments/government working units;
- The government is responsive to technological advancements and utilizes them to improve its public services, making them more transparent, accessible and accountable in the eyes of society;
- E-government significantly increased public participation in many aspects of their citizenship such as education, licensing, taxation and rights to express their concerns or ideas for issues related to the city;
- The unresponsive and slow administration became more effective and responsive to the dynamics of community development;
- The technology is proven to have assisted in improving transparency, public participation and accountability of the Yogyakarta city government as the implementing principles of good governance;
- Successfully integrating technology in the management of city government, from planning, implementation, monitoring and evaluation of government programs.

Furthermore, the adoption of e-government has resulted in:

- Improved quality of services delivered by the government, such as transparency in licensing and budgeting as well as the city's procurement system;
- Significant reduction in the total administrative and operations costs of the government;
- Increased transparency, control and accountability in the government's organization;
- Improved investment appeal of the city.

## 7. Yogyakarta's Best Practice Transfer and Replication Adaptability

E-government is not technically difficult to be replicated by other cities in Indonesia or other countries as a result of the advancement of computer hardware and software technology.

However, Yogyakarta city e-government best practice does not only rely on technology. Several important aspects integral to the success of Yogyakarta city e-government implementation and, therefore, necessary to be considered by other cities interested to replicate this best practice, are:

- Clear vision and mission of the supreme leaders of the city government, i.e. the Mayor and Deputy Mayor. Both must work together to turn the vision and mission into visible outputs and create real impacts to the public.
- Collaborative approaches with different departments/working units, especially with the Heads of Departments or Offices and their subordinates.
- Develop a well-defined program, with clear quantitative parameters.
- Keeping up to date with the selection of design, technology including hardware and software, and training for e-government technical staff. Therefore, a budget should be adequately planned to ensure the preparation phase is well set up.
- Disseminate the e-government program among the city government officials and facilitate trainings and facilities for human resources development to manage e-government, both in the technical and non-technical issues. The minimum standard for regular civil servants is the skills and ability to conduct email correspondence and collect internet-based information.
- Gain support from the local legislators, especially in relation to regulations and budget to sustain e-government mechanism and activities.
- Be transparent, accountable and provide open access for the public throughout all phases — from design to implementation and monitoring.

Mayor of



YOGYAKARTA

## Remarks

### BEST PRACTICE E-GOVERNMENT YOGYAKARTA

Assalamu'alaikum Wr. Wb.

Greetings to all of us,

The progress and development of information technology today are moving rapidly. The operation of digital technology in many sectors provides a bigger, quicker, and most importantly, more accurate access, management and utilization of information. Electronic media utilization is one significant factor determining the success of local, national and global exchange of communications. In this fast-moving context, the local government is expected to act clean, transparent, accountable and responsive to the public. The government must be answerable to fulfill two main demands from the public, while these are different but somehow link to one another: 1. to provide better, trustworthy, and accessible public services for all people and 2. to listen the aspiration of the people.

The Presidential Instruction No. 3/2003 on the National Policy and Strategy to develop E-Government has instructed each municipality/province to take concrete steps in aiming the development of E-Government nationwide through the use of electronic-based government mechanisms to ensure delivery of effective and efficient public services.

The implementation of the Presidential Instruction in Yogyakarta City started with the launching of the Yogyakarta City Government official website at [www.jogjakota.go.id](http://www.jogjakota.go.id) on October 7, 2002. Furthermore, the Government of Yogyakarta followed up infrastructure supports for E-Government implementation by developing human resources capacity and establishing information system network applications for website and respective sub domains. Through these efforts, we hope E-Government in Yogyakarta City could fulfill the public demands for better, trustworthy, and accessible public services, and engage the people interactively through participation and dialogue on the designs of local government policies.

Today, Yogyakarta City Government has established information system network and multimedia infrastructure able to transfer high capacity data which create a more conducive environment for better public services. We will continue to improve the multimedia resources and facilities as the backbone for smooth data transmission to all members of the public, including the use of intranet. The "Connectivity" principle, where all sub-district offices, down to the village



and its health-care center will be interconnected, as well as connectivity between city/municipality, province, national and international. Therefore, information technology is not only functionalized as services support but also play a strategic role.

Through this information system network, all government working units could utilize the technology to serve the public better. The Yogyakarta City government is also moving toward a paperless government and therefore, is striving to integrate information technology culture into all government activities and coordination.

E-Government is not a shortcut to achieve economic growth or improvement or to increase efficiency of government performances and to create clean and transparent government mechanism. E-Government in Yogyakarta is a way to achieve those objectives, which can not be established only by launching regulations and policies only, but requires a process of hard work, strong motivation, and participation by all concerned stakeholders. We wish the Best Practice E-Government in Yogyakarta can inspire all partners to develop E-Government and achieve Good and Clean Government.

Wassalamu'alaikum Wr. Wb.

**Mayor of YOGYAKARTA  
H.HERRY ZUDIANTO**

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## List of Abbreviations

ATM	: Anjungan Tunai Mandiri ( <i>Automated Teller Machine</i> )
BID	: Badan Informasi Daerah ( <i>Regional Information Agency</i> )
BID	: Badan Informasi Daerah ( <i>Regional Information Agency</i> )
BKPM	: Badan Koordinasi Penanaman Modal ( <i>National Coordinating Body of Capital Investment</i> )
CPNS	: Calon Pegawai Negeri Sipil ( <i>Civil Servants Candidates</i> )
DIY	: Daerah Istimewa Yogyakarta ( <i>Yogyakarta Special Region</i> )
DPRD	: Dewan Perwakilan Rakyat Daerah ( <i>Local Parliament</i> )
G2B	: <i>Government to Business</i>
G2C	: <i>Government to Community</i>
G2G	: <i>Government to Government</i>
ICT	: Information and Communication Technology
ID	: <i>Identity Card</i>
IMBB	: Ijin Mendirikan Bangun Bangunan ( <i>Permit for Building Construction</i> )
IPA	: Ilmu Pengetahuan Alam ( <i>Natural Sciences</i> )
IT	: <i>Information Technology</i>
KABAG	: Kepala Bagian ( <i>Head of Department</i> )
KAPDE	: Kantor Arsip dan Pengolahan Data Elektronik ( <i>Office of Archives and Electronic Data Processing</i> )
KBS	: Konsultasi Belajar Siswa ( <i>Student Learning Consultation</i> )
K-Kiosk	: Kios Komputer (computer kiosk)
KPDE	: Kantor Pengolahan Data Elektronik ( <i>Electronic Data Processing Office</i> )
KTP	: Kartu Tanda Penduduk (Citizen ID card)
LPSE	: Layanan Pengadaan Secara Elektronik ( <i>Online Procurement Services</i> )
M&E	: Monitoring and Evaluation
MIPA	: Matematika dan Ilmu Pengetahuan Alam ( <i>Mathematics and Natural Sciences</i> )
MIS	: <i>Management Information System</i>
PBB	: Pajak Bumi dan Bangunan ( <i>Land and Building Tax</i> )
Pemkot	: Pemerintah Kota ( <i>City Government</i> )
PPTIK	: Pusat Pelayanan Teknologi Informasi dan Komunikasi ( <i>Information and Communication Technology Service Centre</i> )

PJU	: Penerangan Jalan Umum ( <i>Public Road Lightening</i> )
PKPEK	: Perkumpulan untuk Kajian dan Pengembangan Ekonomi Kerakyatan ( <i>People's Economy Empowerment Study Centre</i> )
PSB	: Penerimaan Siswa Baru ( <i>New Students Enrolment</i> )
SD	: Sekolah Dasar ( <i>Elementary School</i> )
SEKDA	: Sekretariat Daerah ( <i>Local Secretary</i> )
SETDA	: Sekretariat Daerah ( <i>Local Secretariat</i> )
SIM	: Sistem Informasi Manajemen ( <i>Management Information System</i> )
SKPD	: Satuan Kerja Perangkat Daerah ( <i>Regional Working Unit</i> )
SLTP	: Sekolah Lanjutan Tingkat Pertama ( <i>Junior High School</i> )
SMA	: Sekolah Menengah Atas ( <i>High School</i> )
SMKN	: Sekolah Menengah Kejuruan Negeri ( <i>Vocational High School</i> )
SMS	: <i>Short Message Services</i>
SOP	: <i>Standard Operating Procedure</i>
SWOT	: <i>Strengths-Weaknesses-Opportunities-Threats</i>
TIT	: Teknologi Informasi dan Telematika ( <i>Telematics and Information Technology</i> )
UAN	: Ujian Akhir Nasional ( <i>Final National Exam</i> )
UGM	: Universitas Gajah Mada ( <i>Gajah Mada University</i> )
UPIK	: Unit Pelayanan Informasi dan Keluhan ( <i>Information and Complaint Service Unit</i> )

## **Best Practice 5 | BP5**

### **Cooperation Between Local Governments to Address Shared Needs, Yogyakarta-Sleman-Bantul (Kartamantul), Indonesia**

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with the support of APEKSI (Association of Indonesian Municipalities)

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## Section A. Description of Best Practice

### 1. Introduction of the Best Practice Model and Its Innovative Elements

The best practice Kartamantul is an interregional cooperation of the city of Yogyakarta and the districts of Bantul and Sleman. The concept of interregional cooperation is based on the provisions of Article 19 of the Law 33, the legal basis for regional autonomy in Indonesia. The cooperation among these three local governments in Indonesia has allowed these local authorities to achieve cost effectiveness and economy of scale in the delivery of basic services.

The concept of interregional cooperation as practiced in Indonesia has its counterpart in the Philippines as provided for in Section 13 Article 10 of the Philippine Constitution of 1986 and Section 33 of the Local Government Code. The Decentralization Act of 1999 in Thailand has a similar provision on interlocal cooperation.

Discussions concerning cooperation between local governments in Indonesia have actually been formally regulated through several legislations, such as:

- Regulation of the Minister of Home Affairs No. 6 of 1975 concerning Interregional Cooperation;
- Decree of the Minister of Home Affairs Number 275 of 1982 on Guidelines for Interregional Development Cooperation;
- Circular of the Minister of Home Affairs No. 114/4538/PUOD dated 4 December 1993 regarding the Implementing Guidelines for Inter- Regional Cooperation;
- Circular of the Minister of Home Affairs No. 193/1652/PUOD dated April 26, 1993 on Procedures for Establishment of Cooperation Relations Inter Province (Sister Province) and Inter-City (Sister City) for domestic and foreign affairs.

However, those policies had not been optimally utilized at that time to create interregional cooperation in Indonesia. In fact, interregional cooperation remains an issue requiring attention since there are so many problems and communities' needs in regions that must be addressed or fulfilled by crossing the boundaries of administrative areas.

Because of the significance of regional cooperation, the government set a legal framework higher than any ministries' regulation or circular, namely Law Number 22 of 1999 on Regional Government. This law was then amended by Law Number 32 of 2004 regarding Regional Government or commonly known as the Regional Autonomy Law.



At the Regional Autonomy Law, it is regulated in Article 195 paragraph (1) which reads: "In order to improve the welfare of the people, any region may be entered into cooperation with other regions which are based on considerations of efficiency and effectiveness of public services, synergy and mutual benefit." In another paragraph, namely paragraph (2) which reads "The cooperation referred to in paragraph (1) can be realized in the form of cooperation among regional entities regulated by collective decision." This shows that the government is highly aware of the importance of interregional cooperation as one of the tools to enhance regional capacity.

In reality, however, following the enactment of this law, perceptions and attitudes regarding regional autonomy vary widely between regions. For example, some may perceive autonomy as a momentum to fulfil the desires of their own region without taking into account the broader context of the overall interest of the state and other neighbouring regions.

As a result, some disturbing negative symptoms emerged, including the development of interregional conflicts, excessive exploitation of natural resources and the emergence of excessive regionalism ego. Districts or cities tend to protect their full potential strictly for their own sake and close themselves to other districts or cities. Yet this tendency to limit mutual cooperation is harmful for their own regions. Areas with this trend will slow down the development process of their own. This is because an integrated development plan is necessary to ensure successful regional cooperation.

Experiences show that many problems in a region are due to policies in other areas, such as policies relating to the environment, infrastructure, demography, education, health and others. In short, a plan or policy made by a district, a municipality or province, often underestimates the impact on other districts, municipalities or provinces. Under these conditions, an integrated planning function and horizontal coordination is the key factor to solve these problems.

However, not all regions in Indonesia have such negative views. After the enactment of the Regional Autonomy Law, a number of models on regional cooperation emerged, such as the Development Cooperation Agency (BKSP) of Jakarta, Bogor, Depok, Tangerang, Bekasi, dan Cianjur (JABODETABEKJUR), which has been implemented since 1975, and Sulawesi Regional Development Cooperation Agency (BKPRS). At the level of districts/ cities, there are the Interregional Cooperation Agency (BKAD) SUBOSUKA WONOSERATEN, which is a cooperation body consisting of the municipality of Surakarta, district of Boyolali, district of Sukoharjo, district of Karanganyar, district of Wonogiri, district of Sragen and district of Klaten. Another form of cooperation we can find is the regional Management of BARLINGMASCAKEB, district government cooperation within the areas of Central Java, consisting of district of Banjarnegara, district of Purbalingga, district of Banyumas, district of Cilacap and district of Kebumen.

On a larger scale, involving all the districts of Indonesia, there are the Association of All Indonesian Regency Governments (APKASI), the Association of All Indonesian Municipalities (APEKSI) that involves the entire municipal governments and the Association of Indonesian Provincial Government (APPSI) that involves the entire provincial governments.

Regions that form any joint institution must fully understand the benefits of cooperation they enter into, as presented in the following figure.



Figure 1: Benefits of Cooperation

Of the various models of regional cooperation institutions set up in Indonesia, the most successful institution in carrying out regional cooperation for district/municipal governments are three areas in the Special district of Yogyakarta, namely the municipality government of Yogyakarta, the district government of Sleman and the district government of Bantul. The cooperation model of the three areas is an exemplary and enviable example for other regions in Indonesia.

They realized that in order to improve the municipality's growth, administrative boundaries should not be obstructive, and some public services would be more efficient if managed jointly. The three areas agreed to set up a significant regional cooperation by establishing a forum of cooperation to be eventually institutionalized by forming a Joint Secretariat (SekBer) Kartamantul (Yogyakarta, Sleman and Bantul) in 2001. Remarkably, the cooperation between the three areas was started long before the Interregional Cooperation Law set out in the regional autonomy. The three areas realize that interregional cooperation will lead to cross-border support that benefits all of them. They hope that such a cooperation model will reduce the various conflicts among administrative areas by ignoring administrative territorial boundaries to maximise the development of certain sectors. In having such cooperation, the three areas use principles such as efficiency, effectiveness, synergy, mutual benefit, consensus, good faith, giving

priority to national interests and territorial integrity of the Unitary Republic of Indonesia, equality, transparency, fairness and legal certainty.

The process of establishing such cooperation was inseparable from the process of rapid urbanization in the municipality of Yogyakarta, a centre of economic activity. This process led to widespread urban development to reach the regional administrative boundaries of neighbouring territories, the district of Sleman and the district of Bantul, to form a large urban area called Yogyakarta Raya (Greater Yogyakarta). With such rapid development, it automatically makes some urban services appear as integral systems that cannot be restricted by district administrative boundaries.

One of the main triggers of urbanization in Yogyakarta has been the development of an educational industry, which has attracted the interest of hundreds of thousands of immigrants from all over the country to come to Yogyakarta. This has led to the constructions of educational facilities and infrastructures in Yogyakarta, especially in border areas amongst Yogyakarta, Sleman and Bantul.

Another triggering factor has been the development of housing/real estate in Sleman and Bantul because of the attraction of the area, affordable land prices and the availability of better and more useful land than in Yogyakarta. This has, of course, been followed by the construction of various supporting facilities and infrastructures such as roads, housing for students, kiosks for services and shopping needs of students as well as shopping centres that are almost entirely concentrated in the border areas. Such phenomena have changed the physical character of the area which now forms a unified urban space, covering a large urban area (300 km<sup>2</sup>) situated on the jurisdiction of the three administrative regions, namely Yogyakarta, Sleman and Bantul. This area became known by the name of Yogyakarta Raya.

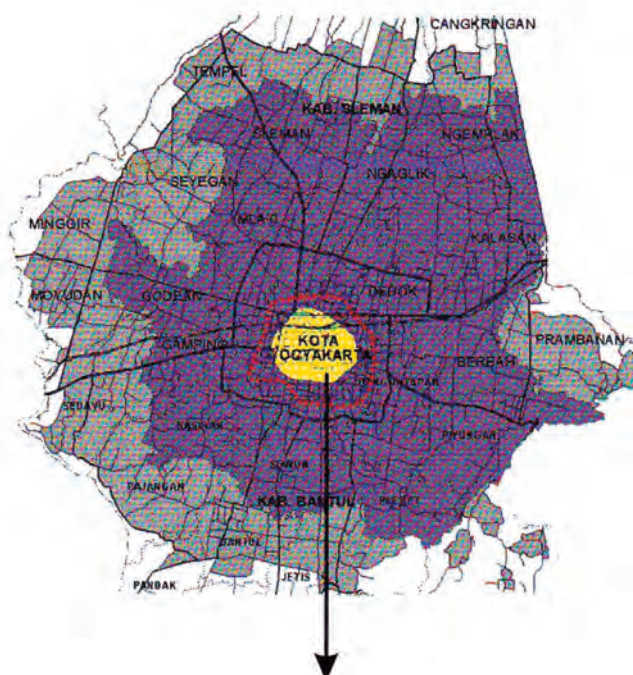
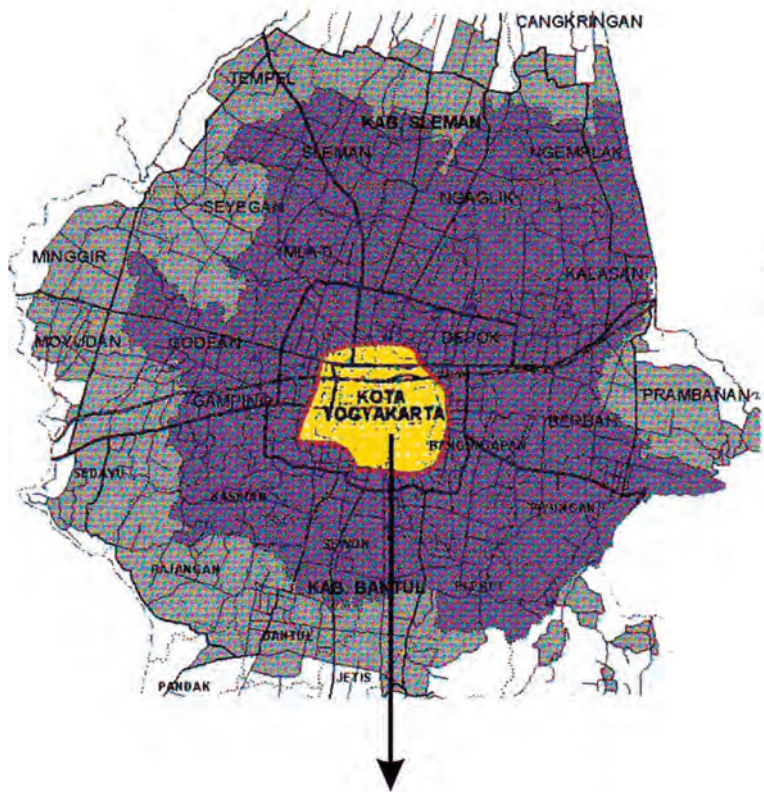


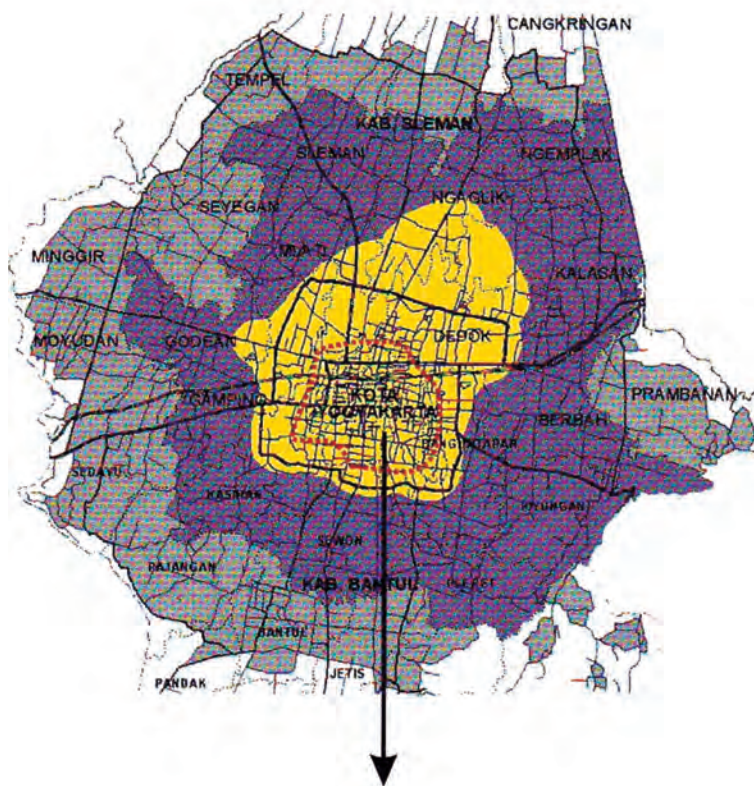
Figure 2: Expansion of Urban Area in Yogyakarta



*Initial Condition: Urban Area was Smaller than Administrative Area*



*Second condition: Urban Area is Similar to Administrative Area*



*Figure 3: Expansion of Urban Area in Yogyakarta*  
*Third Condition: Urban Area is Larger than Administrative Area*

This trend in urban development has turned Yogyakarta into a metropolitan area. A new approach to planning and managing the area is therefore required, in which a traditional planning framework or the character of locality can no longer be used.

In the case of urban management of this kind, the fundamental problems faced are the planning and provision of basic urban infrastructure, such as the placement of centralized public facilities (off-site facility), such as waste landfill and a waste water treatment plant (WWTP). Constructions of such types of facilities are expensive and require attention to be paid to special criteria such as land area, distance from settlements and wind direction.

Such issues are one of the reasons for the municipal government of Yogyakarta, district government of Sleman and district government of Bantul to enter into cooperation – establishing Kartamantul (abbreviation of the three names).

As an initial concrete step of the cooperation forum, a joint pilot project was undertaken in 1992 for an integrated waste management system, facilitated by the provincial government of Yogyakarta. The cooperation supervised joint activities, including the establishment of a waste landfill, which was completed in 1996.

The pilot project was successfully carried out and as a consequence Kartamantul Cooperation Forum was able to facilitate cooperation activities in other sectors. Through the discussions conducted by the Head of Regional Development Planning Agency (Bappeda) and technical staff of each local government through the Joint Secretariat, further cooperation opportunities in several sectors were identified and developed: a waste water treatment plant (WWTP), clean water supply, roads, drainage and transportation.

The innovative element of Kartamantul Cooperation is that it enables the three regions with similar problems to successfully overcome them with mutually beneficial solutions; this happened long before the enactment of the Government Act on interregional cooperation. In addition, Kartamantul Cooperation also succeeded in laying down the principles of good cooperation among regions as desirable model for other regions.

## **2. Reasons for Program Development, Shortcomings and Challenges Addressed by Best Practice Model**

The city of Yogyakarta, district of Sleman and district of Bantul which have become the Greater Yogyakarta area are clearly aware of the consequences of their joint management, one of which relates to the provision of public services including basic urban infrastructure.

There are at least three different types of circumstances encountered by an urban agglomeration or by a region that experienced the expansion of urban areas exceeding the administrative limits, particularly in the planning and provision of basic urban infrastructure.

First, the issues of choosing the site and the placement for centralized public facilities (off-site facility) such as a waste landfill and a waste water treatment plant (WWTP). Constructions of such types of facilities are expensive and require attention to be paid to special criteria such as land area, distance from settlements and wind direction. Not many areas fulfil the criteria covering the technical, economical and environmental aspects and one needs to look carefully to find a suitable location. The issue of garbage and waste water is a major problem faced by these three areas, which is why they became the major concern in the forum of cooperation that was established.

The second issue is the planning and construction of a basic urban infrastructure sector with a cross-border nature, such as water networks, drainage networks, wastewater and road and river management. For the urban region, intensive coordination beginning at the planning stage and lasting until the evaluation stage is required for the infrastructure services to be optimized.

The third issue is a lack of clarity on the provision of basic services on the border areas. This occurs because the border areas become gray areas of service which are not targeted anymore by the local government because there is ambiguity about who is responsible for the provision of services.

Thus, it is clear that when there is no institution that manages the facilities and infrastructures of urban border areas, the urban management performance will be inadequate or very low, as experienced by the government of Yogyakarta municipality, Sleman district and Bantul district.

Some examples will help to illustrate the reasons for the three local governments to cooperate when conducting planning and execution of development.

Sleman region located in the upstream of the province is an area of water conversion and becomes a buffer for the entire lower region, namely the municipality of Yogyakarta and the district of Bantul. The municipality of Yogyakarta as the capital of the province serves as the driving force for economic activity in the three regions. Meanwhile, the district of Bantul is located downstream of the city. Since it consists partly of dry and infertile land, it is a suitable place for various disposal plants. The three areas need and therefore complement each other. It is impossible for one area to exist well without the support of the other regions' facilities. Therefore, the Kartamantul Cooperation integrated the management of urban infrastructure and facilities in the three regions.

The main objective of the Kartamantul Cooperation is to balance and harmonize the management and development of urban infrastructure and facilities at three local governments. They agreed to enhance coordination in the planning, implementation, monitoring and evaluation of urban infrastructure and facilities management.

In addition, the Kartamantul Cooperation also helps to increase the efficient use of resources from the three local governments and to optimize development for the welfare of a better society. One way to achieve these objectives is to improve the planning, execution and control of facilities and infrastructure development activities in bordering urban areas. The Kartamantul Cooperation also facilitates the three local governments to discuss and coordinate any relevant matters concerning the management of urban infrastructure.

Along with the change from centralized to decentralized governance marked by the publication of Law. 22 of 1999 on Regional Government which emphasizes autonomy at municipality/district level, the role of provincial government of the Kartamantul Cooperation that has existed for a long time began to decline.

However, with a strong commitment from the three local governments, the joint management approach model for urban infrastructure system that is mutually beneficial will be preserved.

### **3. Results Achieved and Relevance to Public Life**

At the beginning of the establishment of Kartamantul Cooperation, the three regions agreed that this institution would be developed into a full planning board with powerful authority to perform the functions of urban development in Greater Yogyakarta. To provide a real experience of cooperation in the three local governments, a joint pilot project started in 1992 in the construction sector, building waste management facilities.

Why chose waste? Back in the 1990s, the municipality of Yogyakarta, Sleman district and Bantul district had the same problem, poor garbage disposal system. Garbage was collected by respective government office at the time was only dumped on vacant land available along the river or on the edge of the road.


With the facilitation of the provincial government of Yogyakarta, the three governments agreed to build Piyungan landfill for solid waste management in Bantul district. The landfill occupied an area of 12.5 hectares and was completely built in 1996. To support the three governments in preparing themselves to manage Piyungan landfill, it was handled for the first five years by the Department of Public Works of the provincial government of Yogyakarta (DIY), with some involvement from the three governments. According to the agreement, starting from the 2001/2002 fiscal year, through a letter from the governor of Yogyakarta special district No. 658.1/0777, the landfill management was handed over to the three local governments. The handover motivated the three local governments to reinforce their cooperation format by establishing the Joint Secretariat (SekBer) of Kartamantul in 2001. The Sekber Kartamantul establishment was approved by the Joint Decree Letter (SKB), three regions' heads, Mayor of Yogyakarta, Sleman Regent and Bantul Regent.



This collaboration was made on the basis of mutual assistance and benefit for all in the operation and maintenance of landfill facilities and infrastructure with the aim that the utilization, management and development of the landfill could be done effectively and efficiently and meet the technical standards of the environment. Through the facilitation of the Joint Secretariat, the three regions remain committed to manage and share the huge operational costs of the landfill. According to the agreement, the co-financing is based on the amount of garbage (tonnes) by each local government (see table below).

**HASIL KERJASAMA**

**Sharing Biaya O&M TPA Piyungan**  
(berdasar volume sampah yang masuk ke TPA Piyungan)



TAHUN	YOGYAKARTA	SLEMAN	BANTUL	TOTAL
2001	599.315.100	100.923.900	42.620.600	742.859.600
2002	738.743.348	124.403.380	52.536.149	915.682.877
2003	895.340.064	150.774.056	74.882.580	1.120.996.700
2004	1.035.636.080	174.399.716	86.616.364	1.296.652.160
2005	1.281.383.021	215.784.182	107.171.697	1.604.338.900
2006	1.571.617.344	264.659.480	131.446.176	1.967.723.000
2007	1.789.138.080	301.289.850	149.639.070	2.240.067.000
2008	1.853.113.821	355.260.163	153.626.016	2.362.000.000
2009	1.934.115.000	547.563.000	121.222.000	2.602.900.000

Table 1: Financial Sharing of Piyungan Landfill

This table shows that the cost of waste management is huge. Piyungan landfill management needs are about two billion dollars a year. At the same time, the total requirement of funds for waste management, including collection and transportation could reach more than two billion per year. Meanwhile, waste levy receipts from each region are still very low or less than 25% of its real needs, so it still depends on government subsidies. Thus, the Joint Secretariat has played a significant role in initiating the revision and improvement of waste management policy rates in the three regions. Subsequent developments show that the role of the Joint Secretariat for the management of Piyungan landfill is significant.

The Kartamantul Joint Secretariat, in its capacity as a representative of the three regions, has also entered into a Cooperation Agreement with the private sector in the waste into energy management, in September 2005. Through a transparent and participatory process of establishing a cooperation with the private sector, PT. Global Solusi Waste was finally selected as a partner to manage the transformation from waste into energy.

After the process of selecting a partner, it was recommended to the three regions' leaders to come to a joint agreement, and a Memorandum of Understanding was prepared. However, several steps still had to be passed by the Joint Secretariat of Kartamantul before the cooperation project could be implemented. These steps were: selection of location study, EIA (Environmental Impact Assessment) study, and economic and financial feasibility study.

In general the scope of the integrated waste management cooperation is as follows:

1. Joint utilization of infrastructure and facilities for waste landfill for urban areas of Yogyakarta;
2. Landfill management, including: operational management and maintenance, infrastructure development, establishment of organization, environmental management, financing and infrastructure development.



Picture 1: The process of landfill construction for solid waste in Piyungan





*Picture 2: The scavengers collecting recycled goods in Piyungan landfill*



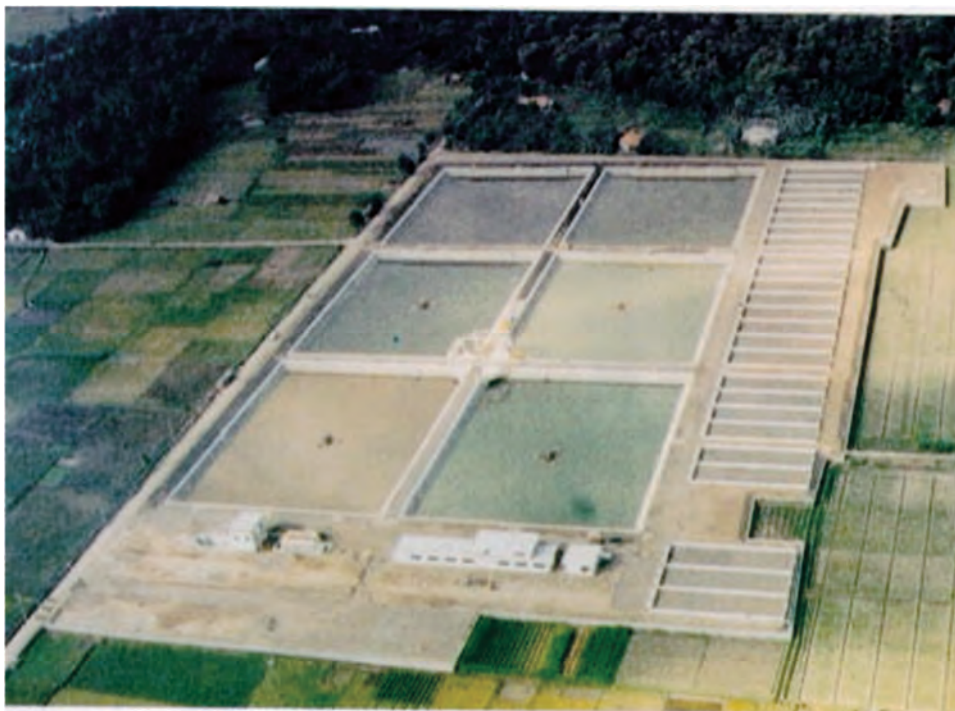
*Picture 3: The process of waste disposal in Piyungan landfill*



The Joint Secretariat also attempts to minimize the production of waste by using a variety of waste recycling strategy.

The successful cooperation in integrated waste management led to another area of cooperation, i.e. the management of waste water. For waste water management, Yogyakarta can be considered fortunate to have inherited from the Dutch the remnants of a processing system for domestic waste water, which was built between 1928 and 1938. The existing system has helped to reduce or prevent contamination of ground water due to *cubluk* or septic tank sanitation commonly used in many areas.

Commencing from a small installation that only served the palace area and the complex of the University of Gajah Mada (UGM), it was then agreed to build a larger system that is the Waste Water Treatment Plant (WWTP) in Pendowoharjo, Sewon, district of Bantul, along with the wastewater pipelines that serve the population in some areas around Code River and Winongo River. The facility of WWTP with a capacity of 356 l/sec or 15 500 m<sup>3</sup>/day was opened officially in 1997, a year after the operation of Piyungan waste landfill. This installation consists of four aeration ponds to process wastewater and is equipped with a sludge drying bed.



Picture 4: Installation of Sewon Waste Water

The establishment of Sewon WWTP was based on the cooperation efforts between the government of the Yogyakarta special district, Department of Public Works, and the Japan International Cooperation Agency (JICA). However, just like the Piyungan landfill, the facility used for the benefit of these three regions was initially managed by the government of Yogyakarta Special district. Starting 2003, its management was handed over to the three regions under the framework of Kartamantul Cooperation.

No.	Name of LG	2005	2006	2007	2008	2009
1	Yogyakarta municipality	125.000.000	125.000.000	125.000.000	145.000.000	145.000.000
2	Sleman district	10.000.000	10.000.000	10.000.000	20.000.000	20.000.000
3	Bantul district	10.000.000	10.000.000	10.000.000	20.000.000	20.000.000
4	Yogyakarta province	650.000.000	777.000.000	849.890.000	1.000.000.000	1.357.451.520
<b>Total O &amp; M Cost</b>		795.000.000	922.000.000	994.890.000	1.185.000.000	1.512.451.520

Table 2: Financial Support for the Waste Water Sector (amount in Indonesia Rupiah/I)

The aim of this cooperation is to be of mutual assistance and benefit, both in the operational management and maintenance of facilities and infrastructures of the Waste Water Treatment Plant (WWTP). The WWTP main pipeline is stretched to 10 kilometres. The maintenance is conducted in such a way that the utilization, management and development of waste water can be done effectively and efficiently and fulfils the environmental technical standards.

The scope of the WWTP cooperation is as follows:

1. Joint utilization of pipeline carriers and managing the infrastructure of household and non-household waste water (education, trade and services, and hotels, except for dry cleaners / laundry, hospital and textile companies);
2. Operational management and maintenance of the pipeline carriers and waste water facilities based on corporate management principles;
3. Infrastructure development;
4. Development of organizational and administrative procedures;
5. Authorization and personnel revenue;
6. Financing;
7. Tariff authorization;
8. Environmental management.

Similarly to their experience with the Piyungan landfill management, the three regions have difficulties in financing the operation and routine maintenance of the Sewon Waste Water Treatment Plant. Most of the financing depend on provincial subsidies because the three local governments have a less than 25% capacity to bear the total operational costs. This is because the local government revenue for waste water services is small as a result of very low levy rates. The numbers of subscribers to the service is also still very small.

The role of the Kartamantul Joint Secretariat is to overcome such shortcomings and facilitate discussions in order to revise the Local Regulation on Waste Water of the municipality of Yogyakarta, especially the adjustment of the old tariff established in 1991, which is considered no longer relevant to the current

needs. This revision involves a technical team from the three regions with the aim to provide expertise to the government of Sleman district and Bantul district who will also prepare a similar regional regulation in their respective regions.



*Picture 5: Waste Water Treatment Plant as a result of the three regions cooperation*



*Picture 6: household waste water absorbent car*



From this activity, a new significant agreement was reached, in which the technical team of three regions agreed on the principle of full cost recovery in setting the tariff, a common logic employed by companies. This is a step forward for the three local governments. Although the amount of the final tariff would of course take into account the economic and social conditions of their people, there is enthusiasm to learn in advance how much is actually required to finance the system. One follow-up of this step is a proposal by the technical team for a survey to find out people's willingness to pay.

In the midst of the financing difficulties, one bright spot appeared in the form of an offer of cooperation from the Department of Industry and Trade, province of Yogyakarta, concerning the use of waste water effluent discharge and the drop point elevation to generate electricity. The strategy is to accommodate the flow of waste water effluent discharge to be channelled to Bedog River, but disconnected in the middle of the way. This flow is useful to turn on the power plant (turbines), micro hydro. Furthermore, the hydropower (water power plant) from the waste water will be useful to generate electricity.



Picture 7: Board of MHP Development Project of Sewon Bantul

Although the power generated from the simple power plant is only 10 KW, it is apparently enough to provide lighting to the people of one village. The electricity generated can also support the financing of the waste water treatment. If using the services of the State Electricity Company (PLN), in a month, the electricity costs for the WWTP operations reaches IDR 25 million. Meanwhile, by the existence of the simple plant utilizing the waste water, at least the illumination of the WWTP area does not need to depend on the State Electricity Company anymore. Therefore, it can save electricity costs up to IDR 4 to 5 million. It becomes a new breakthrough for cost savings and utilization of appropriate technology.



The facilitation of Kartamantul cooperation does not always involve all three local governments, but it also facilitates cooperation between the two regions joined in the Kartamantul.

The case of the collapse of the Blambangan bridge, which is located within the jurisdiction of Sleman district is one of the cases handled by Kartamantul that involve only two of the regions, i.e. the district of Sleman and the municipality of Yogyakarta. The bridge, which is a remnant of the Dutch period, is important because it connects Sleman with the centre of Yogyakarta. The construction of the bridge collapsed mainly because of two reasons: first, the water from the leaked water pipeline caused the concrete or solid foundation which supports the bridge broken. Second: during rainy season the water volume is exceeding the current capacity of the river.

This problem was detected after a community member sent a letter to the government of the municipality of Yogyakarta. Since the bridge was located on the border area, this problem was then submitted to the Joint Secretariat of Kartamantul. Immediately, the joint institution conducted a coordination meeting between the government of Yogyakarta municipality, government of Bantul district and provincial government of Yogyakarta special district.

Based on the results of that meeting, it was eventually agreed that the province would be responsible for building a new bridge, since the bridge is located within the authority of the province. The broken asphalt road and damaged drainage would be improved by the government of Yogyakarta municipality because they are included in its territory. Meanwhile, the district of Sleman was assigned to release or acquire the land because this bridge would be widened on land included in Sleman district.

As a result, within three months, by having the immediate and directed coordination, Blambangan bridge could be repaired and was open for traffic again, although it was still in the form of emergency bridge with a width of five meters. The good example in this case is that without regional cooperation, it would not have been possible to deal with this problem so quickly and efficiently.

After the success of the government of Yogyakarta municipality, Sleman district and Bantul district in cooperation on the development of Piyungan landfill and Waste Water Treatment Plant (WWTP), the cooperation forum of the three regions began to arrange cooperation in other sectors. Through the discussions carried out jointly by the Head of Regional Development Planning Board (Bappeda) of the three local governments, several recommendations for other cooperation emerged.

The three local governments agreed that the concepts of Kartamantul cooperation are Share of Benefit, Share of Risk and Share of Burden, so that any joint projects should be shared proportionately, especially in terms of budget.

Other cooperation activities performed through Kartamantul are:

*1. Drainage:*

The drainage system cooperation was established in 2000 by the three governments. It applies the concept of environmentally sound drainage (eco-drainage), and is divided into three components as follows:

- Construction of a drainage channel to eliminate flooding and inundation and reduce additional load of flood on the river;
- Construction of a rainwater infiltration well in the household level for ground water reserves; and
- Construction of ponds to minimize rainwater flow peak discharge, in addition to their many benefits for irrigation, splash water, humidity maintenance and as a place of recreation.

The purpose of this drainage management is to synchronize the facilities and infrastructure of drainage in the three regions to prevent flooding and remove puddles due to high rainfall in urban areas.

Meanwhile, the scope of drainage joint management includes:

- Management of drainage facilities and infrastructure in urban areas;
- Drainage facilities and infrastructures in shared roads;
- Management of drainage facilities and infrastructures which includes: determination of drainage networks, determination of drainage function, construction, improvement and rehabilitation of drainage, operation and maintenance of drainage;
- Supervision, which includes: socialization and control, environmental impact management;
- Financing;
- Monitoring and evaluation.



Picture 8: Tub of drainage control



Picture 9: Drainage system



## 2. Roads:

The cooperation agreement on facilities and infrastructure management of the transportation system has been entered into by the three governments on December 18, 2003. The agreement was made with the aim to create synchronization on management of road infrastructure and facilities in urban areas of Yogyakarta.

Meanwhile, the scope of the work is as follows:

- Management of road system facilities and infrastructures in urban areas;
- The shared road (link) is a road within the authority of the three local governments and located in the border area;
- Management of road infrastructure and facilities which includes: preparation of program and planning, implementation of activities (establishment of networks, determination of status, function and class of road, construction, improvement and rehabilitation of road, operation and maintenance of road);
- Supervision, which includes: socialization and control, licensing on road dispense and environmental impact management;
- Financing;
- Monitoring and evaluation.



Picture 10: Management of street border, cooperated by the three regions

### 3. *Clean Water Supply:*

Clean water is a vital requirement for every resident and its supply is significant to each region. The three regional government leaders acknowledge the importance of having clean water now and in the future and therefore proposed the Joint Secretariat of Kartamantul to solve this problem. In order to optimize the long process of obtaining clean water resources, the Kartamantul Joint Secretariat has taken on the coordination of the three regions, particularly in responding to the provincial plan in order to obtain mutually agreed point of view and guarantee the good cooperation process. The three regions welcomed such initiative because they acknowledge the vital needs for clean water supply.

Prior to the Kartamantul Secretariat's existence, the Regional Drinking Water Company (PDAM) of Sleman and Yogyakarta used water resources from the territory of Kaliurang, deep and shallow wells, to provide clean water for the people. The PDAM of Bantul depends on its wells as main resources. However, with the increase in population and urban activities, the need for clean water increased, while the capacity of water from the existing sources decreased. The water quality was also declining as ground water pollution was on the increase.

All this time, the water springs used by the Regional Drinking Water Company (PDAM) were Umbul Wadon and Umbul Lanang, located within the area of Kaliurang, Sleman. This was quite unsettling because Umbul Wadon was also utilized for farmland irrigation and by other third parties.

To address this issue as well as future needs, Yogyakarta's provincial government has sought some alternative water resources. The first source is Magelang, from where water naturally flows to the area of Yogyakarta. The second alternative is the water of Progo River.

Initially, the plan was to use the water resource from Magelang, which would have been cheaper than to get water from the Progo River. It would have required only a simple management system with disinfection and would have utilized the gravitational force for the transmission, reducing the investment costs and leading to cheaper water tariff, since there would not have been an additional cost for a water pump. In comparison, channelling water resources from Progo would require a complete chemical and physical processing system as well as a pump, increasing the investment costs and leading to higher water tariff.

But in the middle of this process, the Magelang Regency government imposed a set of environmental protection regulations, including tariffs or additional taxes, which would have increased the purchasing price of Magelang water resources. The network of water pipes used in the area, according to the new regulations, would then also have become the property of Magelang government.

Under those circumstances, the provincial government of Yogyakarta chose Progo river flow upstream as the main alternative. Technically, the risk associated with above problem can be more anticipated by the provincial government of Yogyakarta. From Karangtalun village, Magelang, Progo river water then brought to Banyurejo village in Sleman which is currently being carried out feasibility studies for development of raw water treatment plant at that location. If the source of raw water with this modern technology purification was successfully developed, the needs clean water of Regional Drinking Water Company (PDAM) in Yogyakarta will not depend only on Umbul Wadon source.

The Kartamantul Secretariat's role is to help addressing the urgent need of the three PDAMs to build new distribution and interconnection networks to distribute clean water from Progo river to the customers of each PDAM, including finding sources of financing for these investments, since this plan was not yet included in the investment project for raw water supply in the cooperation of private party and DIY Province. In addition, the Joint Secretariat plays a very important role in improving the performance of the three PDAMs, for example through operational efficiency and billing, water leakage reduction, as well as a gradual adjustment of the tariff.

The cooperation agreement on facilities and infrastructure management of clean water services has been entered into in Hotel Radisson Yogyakarta on November 28, 2001. The agreement was made with the aim to fulfil the need for raw water/clean water in urban areas of Yogyakarta.

Meanwhile, the scope of the work includes:

- Water management and services which include: development of clean water supply, construction of facilities and infrastructure extraction building, transmission pipelines of raw water, installation of clean water processing, transmission pipelines, clean water reservoir, formation of institution/organization and working procedures, financing, establishment of the basic tariff of clean water and environmental management;
- Construction, management and development in cooperation with private parties.



Picture 11: Installation of clean water supply

#### 4. *Transportation:*

The cooperation agreement on facilities and infrastructure management of a transportation system has been entered into by the three governments on 28 November 2001. The agreement was made with the aim to create program synchronization, transportation facilities and infrastructure management activities in urban areas of Yogyakarta.

In addition, this cooperation also serves to reduce traffic (vehicle volume) and improve services to the community by providing a public facility, in the form of safe and comfortable public transportation, known as *TransJogja*. It provides bigger buses, with comfortable seating and fixed bus stops that are not only safer and more convenient for the public, but also help to reduce city traffic.

Meanwhile, the scope of work in this cooperation is as follows:

- Management of facilities and infrastructure on a transportation system in the three regions;
- A transportation management system that includes: a management sub-system and traffic engineering of the road transport, a sub-system of people transport management, a sub-system of freight, a sub-system of knot/road transport terminal management, a sub-system of urban railroad transportation network, a sub-system of coaching, counselling and supervision as well as management of environmental impacts.



Picture 12 : Cooperated bus as mode of transportation by the three regions





Picture 13: Cooperated Bus-Stop

The results of the cooperation between the municipal government of Yogyakarta, government of Sleman district and government of Bantul district must have serving public interest as its main priority.

#### 4. Summary of Kartamantul Cooperation Benefits

The six sectors of cooperation by Kartamantul have served communities in 14 districts within the region of Yogyakarta municipality (the entire area of the municipality), nine sub-districts in the district of Sleman and five sub-districts in the district of Bantul.

Accrued benefits resulting from such cooperation have improved the welfare of the people in these areas. Below is the summary of benefits from each sector:

- Communities in the urban agglomeration of Yogyakarta now have easier access to improved and developed basic infrastructure (garbage, sewage/waste water, clean water supply, roads, drainage and transportation). Standardization of forms and models of public services in urban areas conducted by the three regions (Yogyakarta, Sleman and Bantul) also increases the community and government collaboration in managing the urban areas of Yogyakarta;
- The Piyungan landfill site also affects the income generation potential of surrounding communities. The scavengers have experienced an increase in their income as they have access to the landfill to gather recycled trash for recycling garbage collectors. There are about 225 people scavengers who rely on the landfill

Piyungan. Consequently, the recycle trash collectors also benefit from the existence of this Piyungan landfill, because they receive increased recycled trash from the scavengers. The neighbourhood also utilizes Piyungan Landfill as a cattle grazing area;

- In the case of Sewon WWTP, the benefit is generated from the construction of a micro-hydro power plant (MPP). Although its capacity only reaches about 10 KW, it is adequate to provide electricity for villagers. They can now enjoy cheap electricity without having to rely on the State Electricity Company. The electricity generated can also support the financing of WWTP - using MPP can save up to IRD 4-5 million in electricity cost. A new breakthrough for cost savings and utilization of appropriate technology;
- For the cooperation in the transportation sector, the people from three regions really feel the benefits with the existence of *TransJogja*. These comfortable buses with cosy seating and air conditioning have fixed and exclusive bus stops, making *Transjogja* a new, main mode of transportation for Yogyakarta's people. Thus, the volume of traffic in Yogyakarta at least can be reduced by the existence of this mode of mass transportation;
- Clean water sector cooperation also has great benefits for the three local communities. The Joint Secretariat plays a significant role in liaising with the Regional Water Company to build a new interconnection network and supply distribution of clean water from Progo River. The Secretariat was also instrumental in finding financing sources for these investments, because it is not included in the project investment of raw water supply partnership between a private company and Yogyakarta Province. In addition, Kartamantul Secretariat also improved the performance of the Regional Water Company through operational efficiency and billing, water leakage reduction, as well as gradual tariff adjustments. These changes allow the community to get optimal clean water services at relatively low costs.

Because the success of the cooperation sectors by the three regions through Kartamantul was so obvious, the three governments agreed to increase the capacity of this institution and solidify its status as the only institution responsible for managing such cooperation.

This effort to achieve a coherent regional network was already visible at the time of the formation of the Kartamantul Joint Secretariat in 2001. At the beginning, the Kartamantul Joint Secretariat did not have adequate management mechanisms to perform its duties and functions effectively. They agreed that for Kartamantul institution to work, it needed support in the form of institutional strengthening and an institutional decision-making process. With a high commitment to promote their cooperative institution, as well as input from the board

members and a number of officials from the three local governments, they agreed to establish cooperation with one of the GTZ Urban Quality (UQ) projects to develop Kartamantul Joint Secretariat. The focus was on strengthening the organization's functions, legal status and on the institutional development of the Joint Secretariat.

For the cooperation to work successfully, UQ provides advice and support in the form of intensive consultation as well as financial support for the start-up of the Joint Secretariat operations.

The strategy adopted to strengthen the Kartamantul Joint Secretariat was elaborated in several steps:

1. Strengthening the Working Mechanism of the Joint Secretariat

This has helped the Joint Secretariat to reach decisions more effectively. The strengthening is done in a variety of ways, including: system administration of the Joint Secretariat, financial management, and reporting and documentation system. Meanwhile, the decision-making structure consists of Technical Team Meeting, Steering Meeting and policy decision by the respective regional Head.

2. Strengthening Joint Secretariat Status, Functions and Duties.

The results of the study on strengthening the legal status and organizational development of the Joint Secretariat provide recommendations on development options, namely (i) the status quo as a coordination forum but with increased functions in monitoring and evaluation, (ii) as a joint institution with the authority to formulate policies together and to provide the sanctions for any party that breaches the contract, (iii) the development of regional joint enterprises for the cost recovery cooperation sector having authority for technical operations of service.

3. Strengthening the Cooperation Activities in Six Infrastructure Sectors

The focus of cooperation in urban areas is to increase efficiency in the management of public services for urban communities.

Positive results from the support of GTZ UQ have brought some changes to the organization of the Joint Secretariat. Impacts on the Joint Secretariat organization include:

- The Joint Secretariat is able to function better and to carry out its duties more effectively following the establishment of an office, personnel support and operational procedures. Previously, their tasks were carried out by local government staff of the three areas with a voluntary basis outside the formal assignment;

- The cooperation commitment from respective local governments increase. This can be seen from the commitment of each local government to contribute to the operational fund of the Joint Secretariat, the implementation of all agreements of cooperation, and the attention and involvement of regional heads;
- Availability of communication and promotion materials of Kartamantul Joint Secretariat in the form of bulletin, newspaper, posters and leaflets;
- The number of visits and requests of the public to the Joint Secretariat office to obtain data on urban infrastructure, explanations of the Joint Secretariat, or on problems with delivery of services. This indicates that the existence of the Joint Secretariat is widely known.

In addition, institutional strengthening helped the Kartamantul Joint Secretariat to develop its vision: "Being an institution that bridges the establishment of equal, fair, participatory, transparent and democratic cooperation in order to realize a comfortable, beautiful and healthy urban space, which is supported by adequate infrastructure and services, high awareness and participation of the people.

Meanwhile the mission statement of the Joint Secretariat of Kartamantul reads as follows:

- To conduct negotiations in order to get fair results;
- To solve problems through mediation;
- To coordinate management and implementation;
- To facilitate the decision-making process;
- To build strong networks;
- To initiate change;
- To provide policy recommendations.

The impacts on the performance of the infrastructure management are amongst others:

- The arrangement of proposed sector development program, especially roads and drainage to be submitted to the Regional Development Coordination Meeting (Rakorbangda);
- Implementation of alkaline water treatment system at Piyungan landfill;
- Efficiency of operation and maintenance cost budget of Piyungan landfill through the annual budget plan review;

- Design of a local regulation on waste water management and revision of a local regulation on the waste water tariff for the municipality of Yogyakarta;
- Establishment of program proposals to improve the performance of cooperation sectors' services.

As the Kartamantul cooperation institution becomes better organized, it has achieved to overcome various problems across the regions, such as the problem of garbage, liquid and solid waste, drainage, roads, water and transportation, which benefits the public directly. In addition, the integrated treatment also results in the cost-efficiency and effectiveness.

However, although the Kartamantul cooperation institution has been stable, many challenges remain:

1. Sustainability of its function and role in improving public services;
2. Institutional development, management stability and capacity, authority, stability of the operating budget, the legitimacy of public funds;
3. Legal support and political support:
  - Central policy: government regulation of interregional cooperation;
  - Provincial policy: local regulation of the spatial plan of urban areas;
  - Legislative optimal support;
  - Networking among stakeholders.



Picture 14: Map of Indonesia



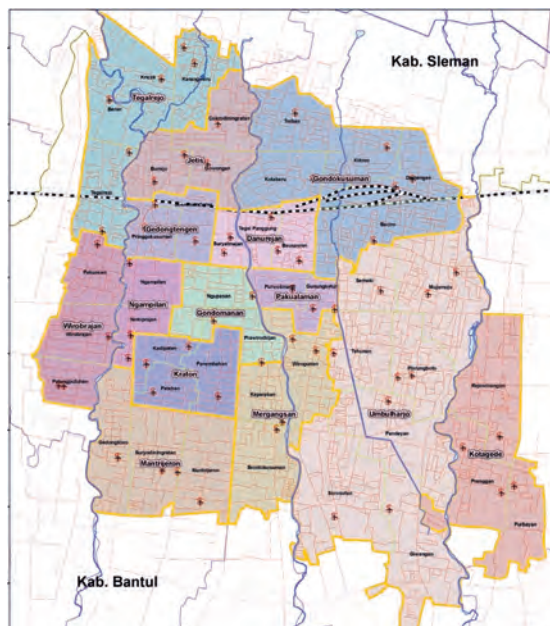
## 5. Description of Yogyakarta, Sleman and Bantul

Indonesia with its capital, Jakarta, is one of the countries in Southeast Asia, which is crossed by the equator and lies between Asia and Australia as well as between the Pacific and Indian Ocean. Indonesia is the world's largest archipelago consisting of 17,508 islands. With a population of approximately 230 million people, Indonesia is the fourth most populous country in the world. Indonesia borders with Malaysia on Borneo Island, with Papua New Guinea on the island of Papua, and Timor Leste on the Timor Island. Other neighbouring countries include Singapore, Philippines, Australia and union territory of Andaman and Nicobar Islands of India.

Since its reformation in 1999, the Indonesian government pursued a decentralization policy by giving greater authority to local governments, apart from the pleasure of Land Affairs and Security, Foreign Policy, Courts, Religion and Monetary Policy.

The objective of decentralization in general is to get closer to the public, so with the granted authority, the local governments in Indonesia are competing with each other to build up their respective region for the welfare of society.

After ten years of decentralization in Indonesia, there have been many breakthroughs or innovations made to improve the welfare of local people, such as what the municipal government of Yogyakarta, government of Sleman district and government of Bantul district have carried out through Kartamantul Cooperation.



### 5.1 Municipality of Yogyakarta

Yogyakarta municipality is situated between 110° 24' 19" - 110° 28' 53" east longitude and between 07° 49' 26" - 07° 15' 24" South Latitude. Yogyakarta Area is approximately 32.5 km<sup>2</sup> or 1.02% of the total area of Yogyakarta Special district with a population of approximately 500,000 inhabitants. The farthest distance from north to south is approximately 7.5 km and from west to east is approximately 5.6 km.

Picture 15: Map of Yogyakarta

The city of Yogyakarta is located in the plain slope of Merapi mountain stream that has a relatively flat slope (between 0 - 2%) and sits at an average altitude of 114 meters from sea level. An area of about 1657 hectares is situated at an altitude of less than 100 meters and the rest (1,593 acres) is located at an altitude between 100-199 meters from sea level. The most common soil type found within this area is regosol.

Administratively, the municipality of Yogyakarta is composed of 14 districts and 45 villages with border areas as follows:

- North: Sleman district
- East side: Bantul district and Sleman district
- South side: Bantul district
- West: Bantul district and Sleman district

The economy of the municipality of Yogyakarta economy is dependent on non-oil and gas commodities. Yogyakarta's non-oil and gas exports in the year 2008 increased compared to exports in the previous years, i.e. from USD 26,063,497 in 2007 to USD 29,952,837.07 in 2008. Most exports of the municipality of Yogyakarta come from the handicraft industry, which generally has typical characteristics of the region so it is difficult to imitate and make these commodities in the U.S. and Europe. Pandanus handicraft commodities have the largest contribution to the total value of exports reached USD 7,016,979 or 23.43 percent of total exports of Yogyakarta. The second largest contribution is made by wood furniture with a value of USD 6,073,175.11 or 20.28 percent of total exports, and flat tanned leather commodities take the third rank with the export value reaching USD 4,916,554.86 or 16.41 percent.

Markets are one of places where public economic activities are carried out which can indicate the level of welfare of an area/region. In total there were 32 markets located in the municipality of Yogyakarta in 2008, occupying a land area of 124,847.07 m<sup>2</sup> with 15,340 traders. Of the overall markets, about 79.62 percent already have adequate facilities and infrastructure, while 20.38 percent are traditional markets with very limited infrastructure.

## 5.2 Sleman District

Geographically, Sleman district is located between 107° 15' 03" and 107° 29' 30" east longitude, 7° 34' 51" and 7° 47' 30" south latitude. The northern area of Sleman district borders Boyolali, Central Java Province, the eastern area borders Klaten district, Central Java Province, the western area Progo Regency, Yogyakarta



Province and Magelang district, Central Java Province and the southern area borders the municipality of Yogyakarta, Bantul and Gunung Kidul district, Province of Yogyakarta.

The area of Sleman district is 57,482 hectares or 574.82 km<sup>2</sup>, or approximately 18% of the area of Yogyakarta Special Province, which is about 3185.80 km<sup>2</sup>, with the farthest distance of the North – South 32 km, East – West 35 Km. Administratively, the district comprises 17 sub-districts, 86 villages and 1,212 sub-villages with a population of approximately one million inhabitants.



Picture 16: Map of Sleman district

Based on the characteristics of existing resources, Sleman district is divided into four regions, namely:

1. The slope region of Mount Merapi, starting from the road connecting the municipality of Tempel, Turi, Pakem and Cangkringan (ring belt) up to the peak of Mount Merapi. This region is responsible for the water resources and ecotourism required by the activities around Mount Merapi and its ecosystem;
2. The eastern region includes the sub-district of Prambanan, a part of Kalasan sub-district and Berbah sub-district. This region contains relics of antiquity (temple) which is the centre of cultural tourism, as well as upland areas which are sources for white stone;

3. The central region includes Yogyakarta municipality agglomeration area covering The sub-districts of Mlati, Sleman, Ngaglik, Ngemplak, Depok and Gamping. This area is a centre of education, trade and services.
4. The western region includes the sub-districts of Godean, Minggir, Seyegan and Moyudan which are agricultural areas of wetlands, having enough water and sources for raw materials for handicraft industries, including mendong, bamboo and earthenware vessels.

The Sleman district is passed by the National Highway which connects Sleman with port cities such as Semarang and Surabaya. This has positive impacts on Sleman's economic improvement.

The main economic sectors in the Sleman district are trade, hotel and restaurant sectors, amounting to 21.98 percent of total revenue. The service sector amounted to 18.83 percent, the processing industry sector to 15.09 percent and the agricultural sector to 13.36 percent.

### 5.3 Bantul District



Picture 17: Map of Bantul district

Bantul district is located in the southern part of Yogyakarta Province, bordering with:

- Northern: municipality of Yogyakarta and Sleman district
- Southern: Indonesia Ocean
- Eastern: Gunung Kidul district
- Western: Kulon Progo district

Bantul district lies between 07° 44' 04" - 08° 00' 27" south latitude and 110° 12' 34" - 110° 31' 08" east longitude.

The total area of Bantul district is 508.85 km<sup>2</sup> (15.90% of the total area of the Province of DIY), which consists of 17 sub-districts, 75 villages, 933 sub-villages with a population based on data from 2007 of 831,657 inhabitants.

The topography of Bantul district is 40% lowlands and more than half (60%) consists of a less fertile hilly area, which in broad outline can be described as follows:

Agriculture is the leading sector for regional income in Bantul district, followed by is the mining/quarrying sector, manufacturing industry, electricity, gas and water supply, trade, hotels and restaurants, transport and communications, and services.

## **6. Budget for Best Practice Implementation**

There are two different financing components in implementing these best practice models, firstly, the operational costs of the Joint Secretariat of Kartamantul and secondly, the cost of the implementation of each cooperation project in the sectors that have been mentioned above.

As described previously, at first the Kartamantul joint institution financing came from the provincial budget of Yogyakarta, both for the secretariat operations and for the cooperated development project funding. However, after the implementation of regional autonomy (2001-2004), the budgetary responsibility was handed over to the three participating local governments. Each district/municipal government budget is estimated based on proportional distribution of the shared workload. Meanwhile, the operating costs of the Kartamantul Joint Secretariat was supported by the GTZ donor from the Germany government. It is estimated that the GTZ has disbursed funds of IDR. 2 billion.

After around four years of GTZ assistance, the stakeholders, particularly the legislative parliament, considered the benefits from this collaboration model in improving the public services. It was later approved that all costs, both collaborative projects and operational costs of the Kartamantul secretariat, would be borne by the Regional budget (APBD) of each region. For project cost, it will be divided proportionally, depending on the size of the workload carried.

Meanwhile, the operational costs for the secretariat required are on average IDR 500 million per year, to be equally borne among the three governments. The operational funds of the Joint Secretariat office are used exclusively for personnel expenditure, spending on goods and services, maintenance expenditure, spending on business travel and spending on increasing cooperation sectors (studies, research, capacity building).

Meanwhile, the budget for cooperation projects comes from the regional budget of each district/municipal regional government *Work Unit (SKPD)*, based on the agreed volume of work. Usually, the agreement relates to sector cooperation and the budget is discussed when the municipal/district Musrenbang (Development Planning Consultation) is convened.

Especially for the transport sector, the development of shelter located in the municipality of Yogyakarta is now managed through a public-private partnership (PPP) financing model. The private sector is now sharing provincial budgets of IDR 5 million.

## 7. Specific Technical Expertise

In accordance with the best practice model, i.e. interregional cooperation in integrated urban management, personnel is required to understand and be able to handle the complex aspects of urban issues, particularly related to the management of public facilities and to the provision of optimal services. The Joint Secretariat of Kartamantul needs personnel with expertise in public management, project management as well as some staff who have a background in environmental science. To carry out various projects of the cooperation results, technical personnel appropriate to the respective project is needed.

In the supply of human resources to this Kartamantul Joint Secretariat, the three governments of Kartamantul shall be responsible for the recruitment of steering personnel and technical team members. The technical team members consist of all technical officials at their respective governments, such as the regional Secretary and Head of Regional Development Planning, as well as the Head of Office. Meanwhile, for staff at the secretariat's office, professionals are recruited from outside the civil servants. This recruitment is the responsibility of the daily management of the Kartamantul Joint Secretariat.

The main staff of the Kartamantul Joint Secretariat consists of three members, namely the office manager, program assistant and administration & finance assistant. Meanwhile, the supporting staff consists of operational staff, office boy, security and driver.

The post of an office manager is advertised through the mass media. After drawing up a shortlist, the chairman of the Joint Secretariat and other administrators conduct a test to recruit the best candidate. Meanwhile, the recruitment of assistants is conducted by the office manager by obtaining approval from the Chairman of the Joint Secretariat.

The office manager is responsible to the Chairman and Secretary of the Joint Secretariat. The primary task of the Office Manager is to support the Chairman and Secretary in managing the office and all activities of the Joint Secretariat. In addition, the duty of the Office Manager is to conduct supervision over the administrative assistant and program assistant. The details of an office manager's responsibilities are as follows:

1. To assist administrators of the Joint Secretariat in preparing Joint Secretariat's plans of activities per quarter or semester;
2. To prepare Joint Secretariat's meetings, workshops, dialogue seminars, including:
  - Preparation of proposals/term of reference of activities;
  - Determination of the participants, location etc.;
  - Preparation of required materials/facts/documents;
  - Preparation of invitations;
  - Distribution of invitations and confirmation of attendance;
  - Preparation of places and logistics;
3. To prepare meetings/workshops/dialogues documentation including minutes of meetings, photographs and others;
4. To prepare progress reports of the Joint Secretariat's activities per quarter/semester;
5. To keep contact/establish dialogue with relevant parties on request and/or in coordination with the Joint Secretariat;
6. To provide public services, such as giving an explanation of the Joint Secretariat and its activities, on the approval of the Joint Secretariat's administrators.

The main duty of the Joint Secretariat's program assistant is to help the Joint Secretariat Office and take care of all activities relating to technical matters, particularly those related to regional/municipal development issues and municipal infrastructure management, with technical responsibilities as follows:



- To collect all data/information relevant to assist the Joint Secretariat's activities, especially in regional development issues, planning and land use;
- To organize and conduct technical surveys, including taking relevant photographs;
- To assist/provide information to guests regarding the technical aspects;
- To prepare reports/technical documents;
- To create maps and graphics;
- To prepare for presentation materials;
- To prepare, organize and manage the Joint Secretariat website.

Meanwhile, the task of the administrative assistant is to assist the Joint Secretariat office and administer all activities related to matters of office administrative and all relevant activities with administrative responsibilities, as follows:

- To take care of correspondence, both incoming and outgoing, phone calls, facsimiles and e-mails;
- To organize meetings, seminars, workshops and other events;
- To arrange the filing system for all reports and other documentation;
- To maintain and regulate the management of the Joint Secretariat library;
- To prepare, organize and manage daily clippings, minutes of meetings;
- To organize and arrange the schedule of visitors;
- To organize and arrange travel schedules associated with the Joint Secretariat's program for the leadership of the Joint Secretariat, relevant agencies and consultants, whenever required, such as preparation of ticket and accommodation;
- To apply and implement all procurement procedures according to applicable regulations;
- To manage and be responsible for the use of petty cash and perform book-keeping
- To prepare and be responsible for sending/receiving all the Joint Secretariat's documents.



## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

The implementation of the regional autonomy strategy in Indonesia has produced a variety of best practices by a number of local governments. The creativity and innovation capacity shown by the region helps not only to solve local problems, but also cross-regional issues, such as the management of urban facilities and infrastructure which crosses the administrative boundaries of several local governments.

One of the important issues of urban management is infrastructure, such as roads and transportation, water supply, waste water, garbage and others. This is highly recognized by the municipal government of Yogyakarta, Sleman district and Bantul district, three neighbouring areas.

Since there was a shared need and the absence of an integrating umbrella of urban infrastructure management, the three governments had decided to cooperate by forming the Joint Secretariat of Kartamantul as a way of optimizing the integration of their urban infrastructure management in the border areas.

As previously explained, the actual design process of this cooperation began in 1990, when the three local governments were facing problems of environmental pollution caused by poor waste disposal system and waste water management. Garbage collected by the managing office at the time was just thrown away (open dumping) at the available vacant land on the banks of rivers or curbs. Household waste water was discharged into the river or the surrounding environment without undergoing treatment.

In border areas, there was a lack of adequate infrastructure and differences in the design of roads and drainage, although these should be integrated as a single unit system.

Looking at these shared problems, the heads of the Regional Development Planning Board (*BAPPEDA*) from each region met to discuss ways to solve the problem. One of the recommendations from the discussions was to establish a cooperation forum for the three regions.



*Picture 18: Discussion Model developed in the Kartamantul cooperation*

Following up on the recommendation, the Head of the Regional Development Planning Board in each region, facilitated by the provincial government of Yogyakarta, designed a form of cooperation through the partnership forum.

Therefore, the initial design for Kartamantul cooperation purely came from the Head of Regional Development Planning Agency discussions and relevant agencies of the three regions, facilitated by the provincial government of Yogyakarta, without involving other stakeholders.

Why did this design process did not involve parties outside the local governments? This was because the awareness and commitment of the three local governments to cooperate in solving similar problems was extremely strong and no outside assistance was needed.

The initial idea of integrated management cooperation for various similar problems faced by the municipal government of Yogyakarta, district of Sleman and district of Bantul, started from intensive discussions for several years between the Regional Development Planning Agency Heads of the three areas. The existence of a common vision and mission, and the same problems to overcome in each area led to them agreeing to set up a forum of cooperation among the three regions in the 1990s.

Over time it became apparent that there was a need to strengthen the institutional cooperation forum was further.

Finally, through an agreement between the three areas and with the facilitation of the Swiss Development Cooperation (SDC), a Switzerland NGO, the cooperation forum was further strengthened through the establishment of Kartamantul Joint Secretariat.

Although it is acknowledged that the Regional Development Planning Agency Heads of the three areas are the parties considered as the initiators and at the same time as the main actors in forming and running the institution of Kartamantul cooperation, it is also important to highlight the full support provided from the leader of each area.

In addition, the success of the Kartamantul cooperation institution is also supported by other stakeholders such as parliament, academia, and NGOs.

Meanwhile, in terms of institutional strengthening, the role of the German GTZ Urban Quality project is sufficiently significant in assisting the Kartamantul Joint Secretariat.

## **2. Functions and Roles of the National Government**

The central government did not play a key role in the the process of forming Kartamantul. It were the efforts of the provincial government of Yogyakarta which were considered significant to the formation of the cooperation forum. With facilitation provided by the provincial government, Kartamantul ran so well that it was able to develop different sectors of cooperation. Therefore, it can be said that Kartamantul is the first innovation of an integrated urban management in Indonesia, and in recognition of this it was awarded the IMP Award by the World Bank and Ministry of Home Affairs in 2003.

After the issuance of Government Regulation Number 50 of 2007, concerning Procedures for the Implementation of Regional Cooperation, and Regulation of the Minister of Home Affairs Number 69 of 2007, regarding Urban Development Cooperation by the central government, the cooperation has been strengthened further and could develop into a model for other regions.

The central government often presents Kartamantul as a model for interregional cooperation to be imitated by other regions. In fact, the government's Regulation on Regional Cooperation issued by the central government is somewhat inspired by the regional cooperation of Kartamantul.

## **3. Brief Description of Best Practice Implementation Process**

Since 1990, the three regional governments, namely Yogyakarta municipality, Sleman district and Bantul district, through coordination by the Yogyakarta provincial government have entered into an agreement through the Integrated Urban Infrastructure Development Program (P3KT).

The program was supported by the Swiss Development Cooperation (SDC) through Yogyakarta Urban Development Project (YUPD) with its main activity being the preparation of medium-term investment programs for urban infrastructure sectors in the Greater Yogyakarta. This experience has built a shared understanding of the urban area of Yogyakarta as a unity of space and the importance of a joint approach to the management of its urban infrastructure.

The Integrated Urban Infrastructure Development Program (P3KT) in Yogyakarta resulted in an idea of regional cooperation, which was followed up with a formulation of the same concept of the institutional cooperation, named "Joint Secretariat." According to this concept, the Joint Secretariat would be developed as a full planning board having a more powerful authority to perform the functions of urban development in Greater Yogyakarta.

In 1992, a pilot project for the three regions' cooperation was conducted through the waste management sector, to which eventually five further sectors of cooperation were added, the liquid waste water management, clean water supply, drainage, roads and transportation facilities.

The legality preparation process of any cooperation agreement can be considered unique. The Joint Secretariat proposed cooperation plans to the three local governments which were explored and discussed jointly by the Regional Development Planning Agency of the three local governments. Once approved in principle by the respective regional head, the Head of the Regional Development Planning Agency and Legal Section of each region gathered to prepare a Memorandum of Understanding regarding the cooperation to be undertaken, which was then transformed into a Joint Decree of the three regional heads.

Therefore, it can be concluded that stakeholders involved in the process of implementation were only the three local governments concerned and the Kartamantul Joint Secretariat. However, local NGOs and the general public were involved in the process of monitoring and evaluation.

The commitment of each local government to cooperate was shown by all officials, at the technical, managerial and political level.

Politically, the interregional cooperation of Kartamantul has gained support from the parliament of each region. The support of the policy from each regional and provincial government was embodied in the form of a joint decree so that the interregional cooperation of Kartamantul has legality and strong support. The joint decisions include:

- Joint Decree of Regent as the head of regional Level II of Bantul, Regent as the head of regional Level II of Sleman and Mayor as the head of regional Level II of Yogyakarta No. 583b/B/SKB/Bt/1996, 310/Kep/KDH/1996, 1169 of 1996 on interregional Development Cooperation in the Context of the Implementation of Urban Infrastructure Management;
- Joint Decree of Bantul Regent, Sleman Regent and Yogyakarta Mayor number 04/Perj/RT/2001, 38/Kep.KPH/2001, 03 of 2001 on the establishment of the Joint Secretariat of Urban Infrastructure Management amongst the district of Bantul, district of Sleman and municipality of Yogyakarta;

- Joint Decree of Bantul Regent, Sleman Regent and Yogyakarta Mayor number 152a of 2004, 02/SKB.KDH/A/2004, 01 of 2004 on Amendment to the Joint Decree of the Bantul Regent, Sleman Regent and Yogyakarta Mayor No. 04/Perj/RT/2001, 38/Kep.KPH/2001, 03 of 2001 concerning the establishment of the Joint Secretariat of Urban Infrastructure Management amongst the district of Bantul, district of Sleman and municipality of Yogyakarta;
- Joint Decree of Bantul Regent, Sleman Regent and Yogyakarta Mayor number 152b of 2004, 03/SKB.KDH/A/2004, 02 of 2004 regarding appointment of the Chairman, Secretary and Treasurer of the Joint Secretariat of Kartamantul for the Period 2004-2006.

Support of the formal policy helped to ensure the commitment of local governments, so that, for example, the cooperation would continue even even a regional head changed. In addition, the project was supported by local people who feel the benefits of the regional cooperation directly. Without support from the surrounding communities, objections would arise which would ultimately inhibit the implementation of cooperation.

#### **4. Civil Society and Community Involvement**

At the design stage of Kartamantul cooperation, there was no involvement from the community. The Kartamantul idea was purely generated from respective local governments: the municipality of Yogyakarta, the district of Sleman and the district of Bantul.

However, when the Kartamantul cooperation started implementing activities, community members become a significant part of such cooperations. They could act as direct supervisors of any of the six sectors' activities undertaken by Kartamantul. Monitoring by the community was carried out in the form of complaints when there were any shortcomings in the field. They were also proposing further sectors of cooperation, for example in education and health services.

#### **5. Role of Media**

As has been previously noted, the idea of Kartamantul cooperation emerged from the three local governments because of they faced the same problems. Therefore, when designing the Kartamantul cooperation, neither local nor national media was involved.

However, the role of media began to increase when the cooperation among the three local governments was covered in the news. Media not only functioned as information provider, it also happened to be a catalysator between Kartamantul and the general public. Through constand activity and progress reporting, media also allowed for public monitoring.

## 6. Input from International, National and Local Experts

The success of Kartamantul cooperation can not be separated from the role of experts from the *Deutsche Gesellschaft fuer Technische Zusammenarbeit* (GTZ), through its Good Local Governance Project. The German organisation contributed to the testing, institutionalization and dissemination of examples of innovations in local and region governance, particularly in the areas of planning, budgeting, provision of public services and natural disaster risk management.

The GTZ involvement in institutional strengthening of the Kartamantul Joint Secretariat was conducted through an Urban Quality Project in 2003. The focus of this Urban Quality Project was the strengthening of the legal and institutional status of the Kartamantul Joint Secretariat.

Such activities aimed to improve the effectiveness of cooperation and to increase communication between the relevant stakeholders. In addition, they also provided support to the six sectors of urban infrastructure, garbage disposal, waste water, clean water supply, drainage, roads and transportation.

The three pillars supported by the GTZ for institutional strengthening since 2003 are as follows:

- a. To realize steady and sustainable institution, strengthening functions, duties, authority and legal status, and mechanism of action, preparation of the secretariat and the administrative tools and capacity development, including financial management capacity;
- b. To strengthen the decision-making process and accountability, including increased commitment and active involvement of every level of management; development of every level of management; communication strategy development of the Joint Secretariat, increased involvement of the Joint Secretariat, increased involvement of stakeholders, network development and other strategic matters such as preparing the regulations;
- c. To strengthen the implementation and results of cooperation, including extending the duty of coordination to the entire cooperation and the intensification of the whole topic of discussion that supports the improvement of performance in many cooperation sectors' service delivery. Therefore, it is not limited to technical aspects only, but includes improving service standards.

Although Kartamantul Joint Secretariat made some achievements and progress on their own accord, the input provided by the GTZ, among others, was useful in ensuring that the decisions agreed in the meetings would be followed up as soon as possible by members of the steering team. This follow-up should be delegated to their staff with clear tasks and schedules. It is recommended that legislators are involved in the steering team meeting because there are



issues or problems discussed at the Joint Secretariat that are not well known and understood by the parliament. Moreover, the composition of membership of parliament is also likely to continue to change over the time and situation. Therefore, it is important to always update the information to them.

In addition, it is also necessary to conduct meetings amongst the regional heads in order to maintain their commitment to the cooperation. The Joint Secretariat should identify the topics and strategic issues to be discussed at the level of regional heads and prepare the meeting materials.

## **7. Types of Implementation Activities**

In terms of implementing the best practice model, different types of activities had to be conducted prior and after to the establishment of the Kartamantul Joint Secretariat. Before the establishment of the Kartamantul Joint Secretariat, regular meetings were held between the Special district of Yogyakarta and the municipal government of Yogyakarta, the district government of Sleman and the district government of Bantul through their respective Heads of Regional Development Planning Agency and related technical departments. In addition, workshops were conducted to define the types of projects to be jointly implemented.

Then, after the entry of SDC through Yogyakarta Urban Development project, a workshop to formulate a concept of the institutional cooperation named “Joint Secretariat” was conducted. Cooperation on the development of Piyungan Solid Waste Landfill was selected as a pilot project for the three regions to gain experience in cooperating, followed by the construction of Sewon Waste Water Treatment Plant (WWTP) and other projects.

The second type of activity was conducted after the establishment of the Kartamantul Joint Secretariat through the support of the GTZ Urban Quality project. These included institutional strengthening, agreement on vision and mission, preparation and management tools, developing plans for the involvement of other stakeholders, upgrading facilitation and moderation and strengthening decision-making processes. Apart from the activities supported by the Urban Quality project, there were also regular bi-weekly meetings between the three local governments that facilitated the Joint Secretariat.

## **8. Steering Body and Coordination Mechanism**

The steering body of the Kartamantul Cooperation consists of Chairman, Secretary, Treasurer and Members of the Steering Board. In addition, the Kartamantul Cooperation Organization also has a technical team comprising members of Technical Departments of the three regions handling the joint projects.

Within the Joint Secretariat itself, there is an operating team consisting of Office Manager, Technical Assistant and Administrative Assistant.

### Steering Board

1. Chairman: Regional Secretary of Bantul district
2. Secretary: Head of Regional Development Planning Agency of Bantul district
3. Treasurer: Chief of Financial section of Bantul district secretariat

Members of the Steering Team	Member of Technical Team
1. Local Secretary of Yogyakarta municipality	1. Regional Development Planning Agency of district/municipality
2. Local Secretary of Sleman district	2. Department of Regional Settlement and Infrastructure (Kimpraswil) of Yogyakarta municipality
3. Local Secretary of Bantul district	3. Department of Regional Settlement, Infrastructure and Transportation (Kimpraswilhub) of Sleman district
4. Head of Regional Development Planning Agency of Yogyakarta municipality	4. Office of Public Works of Bantul district
5. Head of Regional Development Planning Agency of Sleman district	5. Department of Environment of Yogyakarta municipality
6. Head of Regional Development Planning Agency of Bantul district	6. District/municipality of Department of Transportation
7. Head of related Office/Technical Institution	7. District/municipality of Regional Water Supply Company
	8. Head of Environmental Impact Control Office (KPD) of Sleman district
	9. Environmental Impact Management Agency (Bapedal) of Bantul district
	10. Regional Financial Management Agency (BPKD), Regional Finance and Wealth Management Agency (BPKKD), Finance of district/municipality
	11. Section of Law, Governance and Organization of district/ municipality

Figure 4: Organizational structure of the Joint Secretariat of Kartamantul

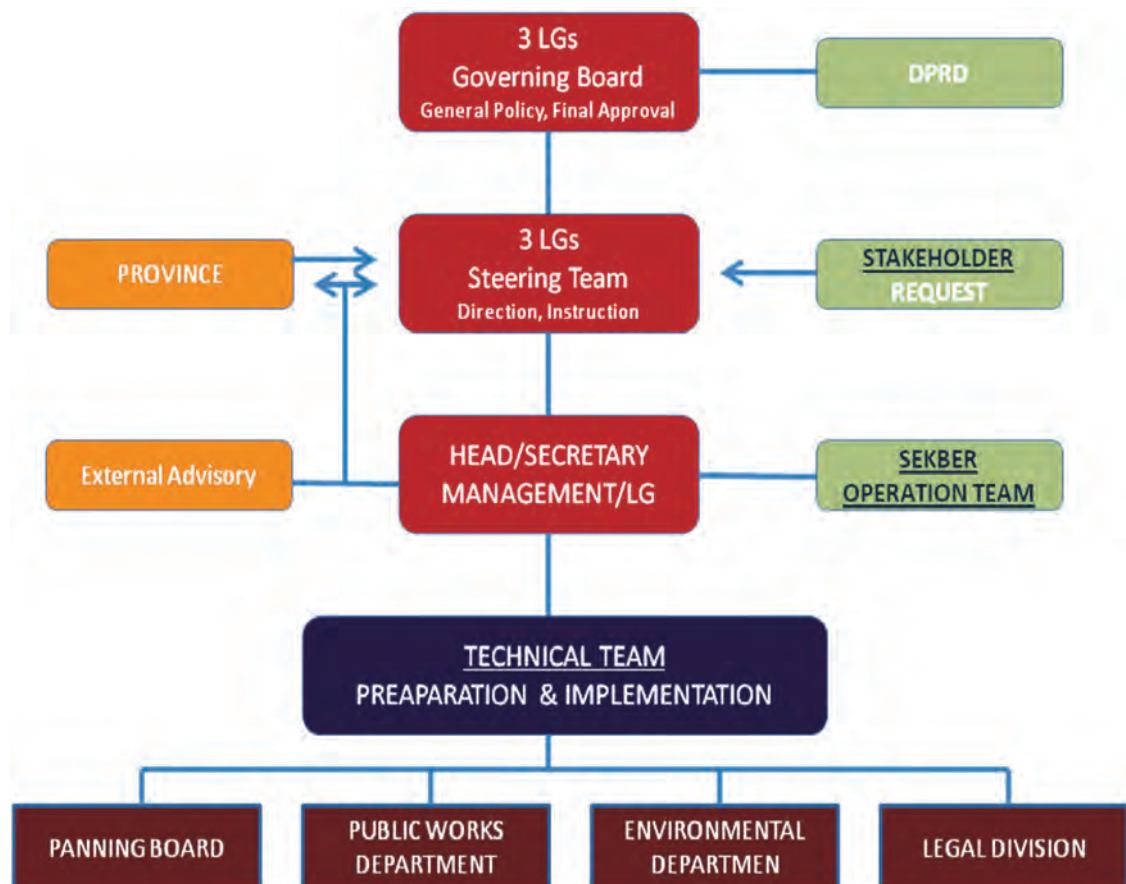
The Steering Board of Kartamantul Joint Secretariat is rotated every two years and can be extended in accordance by collective agreement. It is intended that all three local governments have the same responsibilities in managing the Joint Secretariat. In addition, the rotating mechanism is intended to enhance the sense of belonging of the three local governments to Kartamantul Joint Secretariat.

### Operational Team of the Kartamantul Joint Secretariat (as of September 2010)

Office Manager : R. Ferry Anggoro S  
 Technical Assistant : Nasa Ujiarto Aji  
 Administrative Assistant : Elyana Wiwik Setyani

In terms of coordination of the Kartamantul cooperation implementation, the Operational Team of Kartamantul proposed sectors for cooperation to the Steering Board. After obtaining approval from the chairman of the Steering Board, the Operational Team invited the Head of Regional Development Planning Agency and related technical team from the three local governments, i.e. the municipal government of Yogyakarta, district government of Sleman and district government of Bantul.

Meanwhile, the decision-making process can be described as follows:



## Section C. Best Practice Evaluation

### 1. Sustainability of Kartamantul's Best Practice Model

The interregional cooperation of Yogyakarta, Sleman and Bantul or Kartamantul was developed to solve urban problems perceived by each region in the spirit of togetherness. Interregional cooperation has been implemented in concrete ways in various areas which include infrastructure and solid waste management, Waste Water Treatment Plant (WWTP), water services, roads, drainage and transportation system. In addition, the interregional cooperation of Kartamantul has obtained recognition and support from various parties, both in funding and technical assistance associated with the sectors in which joint projects took place.

The positive impact resulting from the cooperation on waste water treatment and waste management is the reduction of water pollution. The pollution was largely caused by domestic waste in the local area due to the sanitation system using *cubluk* or septic tanks generally used by the public, which has now been minimized. Meanwhile, the impact of cooperation in the road sector is opening access to transportation which resulted in improved social connectivity and economic cost savings. Thus, through the interregional cooperation of Kartamantul, the live quality of people could be improved intensively.

The interregional cooperation of Kartamantul has been strengthened by regulations in the form of a Joint Decree of the three regions' heads, both in the establishment of Kartamantul Cooperation Institution itself or in the cooperating sectors. In addition, the Law on Regional Autonomy increasingly strengthens the Kartamantul Cooperation Institution from the regulatory point of view.

In terms of financing, all three regions agreed to bear the operating funds of the Kartamantul Cooperation Institution jointly through their respective regional budget. Meanwhile, the funding for the cooperating sectors would also be shared proportionately, based on the volume of work.

Based on the success of the cooperation so far as outlined above, it can be argued that the interregional cooperation of Kartamantul will be continued, with the possibility of expanded the cooperation sectors in the future.

In addition, a collaboration that has lasted for a long time illustrates the principle of "mutual benefit" in which each participating region has benefited from such cooperation.

## 2. Major Success Factors of Kartamantul's Best Practice Model

The success of the interregional cooperation of Kartamantul was not achieved in a short span of time; it required great efforts that took much energy and time. How an idea becomes a reality cannot be separated from the background of past cooperations, joint interests and a common understanding of a system approach in the management of urban infrastructure<sup>2</sup>.

However, some key success factors of the interregional cooperation of Kartamantul can be formulated, as follows:

- The cooperation is built by developing the institutional collective action, i.e. the existence of a common consciousness, to enter into a cooperation based on common problems. The local government of Yogyakarta, district government of Sleman and district government of Bantul took collective action to start an innovation of policy reform and the transformation of an urban infrastructure management system. However, this success depended on the mutual interest and the common understanding of a system approach in the management of urban infrastructure.
- A commitment of various parties to ensure the success of cooperation amongst the regions. This commitment has to come not only from the civil service, but also from elements within society, universities and even donors. The role of each actor that is in synergy has formed a force to encourage innovation of public services. Commitment at top level has encouraged and provided direction to the officials at the managerial and technical levels to realize the cooperation in more concrete forms.
- The support from the provincial government and the role of the Sultanate of Yogyakarta, in the form of policy establishment as the basis for the implementation of cooperation and material support. In the field of policy, the provincial government issued several laws and regulations in the Governor Decree of Yogyakarta Special district Number 175/KPTS/1995 concerning Urban Infrastructure Management Guidelines and Decree Number 200/KPTS/1997 regarding the Establishment of Cooperation Secretariat Agency for Development of Yogyakarta, Sleman and Bantul. Both formal policies have provided a strong foundation for the realization of interregional cooperation. Meanwhile, in terms of financing, the government of Yogyakarta has provided support from the provincial budget to finance the operating fund of WWTP and other operational costs. In terms of facilities, the provincial government has facilitated the Joint Secretariat building in Yogyakarta. Specifically, the Sultanate of Yogyakarta has also played a role in the provision of a landfill site, which helped to establish the cooperation sector of waste management.

<sup>2</sup>*Sejarah Pendirian Sekber Kartamantul* (History on Establishment of Kartamantul Joint Secretariat), website <http://www.kartamantul.pemda-diy.go.id/index.php?option=content&task=view&id=32&Itemid=51>

Although the Piyungan landfill is located in Bantul district, the status of the land is the property of the Yogyakarta Palace, which is governed by the Sultan of Yogyakarta, Sultan Hamengkubuwono X.

- The existence of external support from donor agencies and universities. Donor agencies, just like the *Deutsche Gesellschaft fuer Technische Zusammenarbeit* (GTZ) through the Good Local Governance Project, provided a lot of technical assistance related to institutional strengthening activities, functions and roles of the Joint Secretariat of Kartamantul. Meanwhile, support the University of Gajah Mada (UGM) helped to strengthen the organization's legal status and the organizational form of the Joint Secretariat. The support from such institutions further strengthens the existence of the Joint Secretariat as coordination and mediation forum with the authority in the policy-making process in particular sectors.
- The participation of multi-stakeholders in the process of planning, decision-making, program implementation, and monitoring and evaluation of the cooperation program. This helped to raise awareness that the interregional cooperation of Kartamantul is mutually owned, and not owned by the local government only, the donor agency only or the provincial/central governments only.
- The existence of policy support from the central government in implementing the interregional cooperation. There are at least four laws, one government regulation, two presidential regulations and four ministerial regulations.

Legal bases underlying the interregional cooperation are as follows:

- Law No. 25 of 2004 concerning National Development Planning System (SPPN)
- Law No. 32 of 2004 regarding Local/Regional Government
- Law No. 33 of 2004 on Local Financial Balance
- Law No. 17 of 2007 concerning the National Long Term Development Plan of 2005-2025
- Government Regulation No. 50 of 2007 regarding Procedures for Regional Cooperation
- Presidential regulation No. 7 of 2005 on the Medium Term Development Plan of 2004-2009
- Presidential Regulation No. 67 of 2005 on Cooperation between the Government and Business Entities in relation to Infrastructure Provision
- Regulation of the Minister of Home Affairs No. 69 of 2007 on Urban Development Cooperation
- Regulation of the Minister of Home Affairs No. 19 of 2009 regarding Capacity Development



- Regulation of the Minister of Home Affairs No. 22 year 2009 on Technical Guidelines for Regional Cooperation
- Regulation of the Minister of Home Affairs No. 23 of 2009 concerning Guidance and Control Procedures for Regional Cooperation

This body of legislation is a strong legal foundation for local government in entering into cooperation, so that the legitimacy of interregional cooperation as a strategy for improving the welfare of society can be increased.

GAMBAR REGULASI TERKAIT KERJASAMA DAERAH DALAM NEGERI

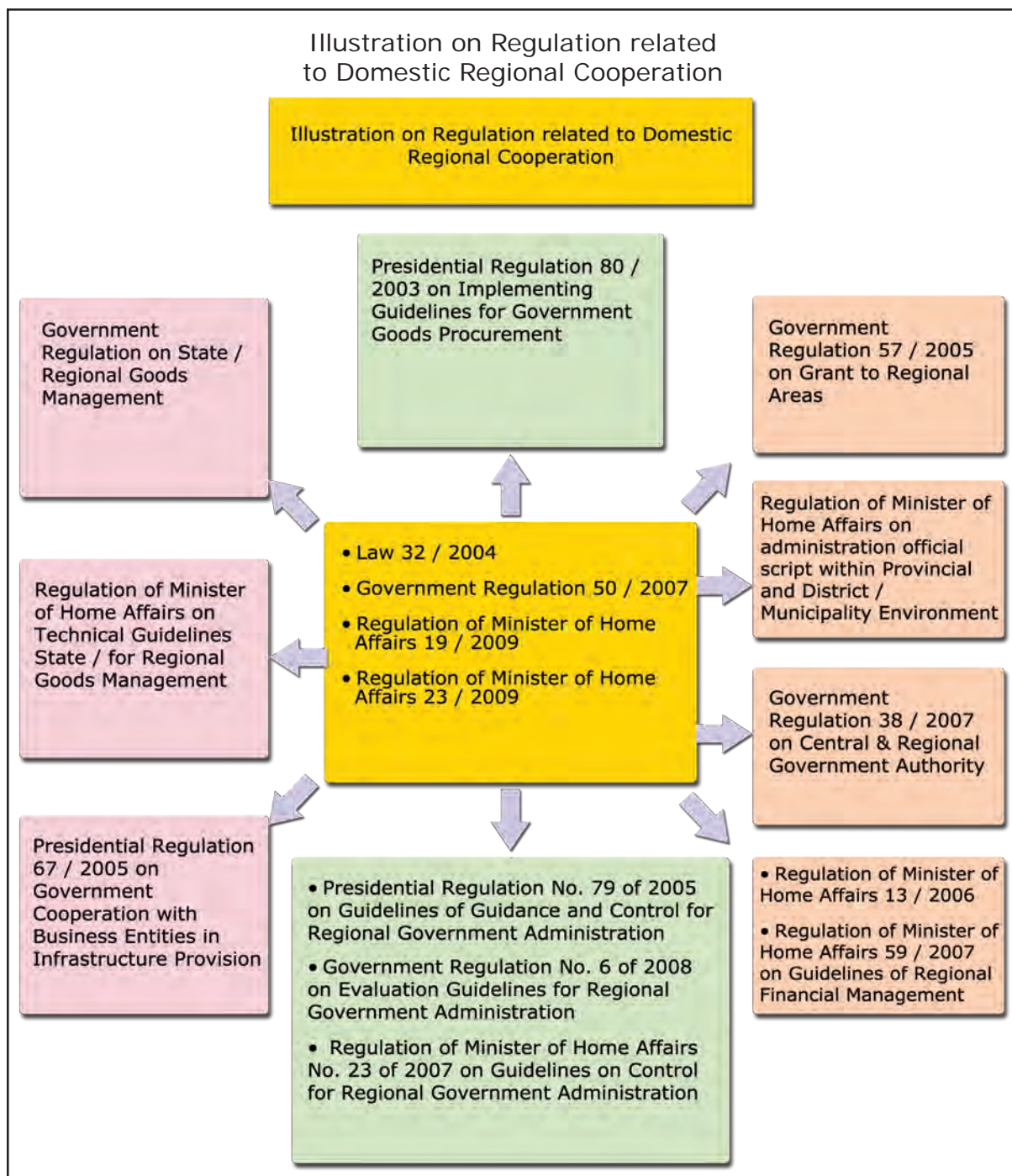


Figure 6: Regulations Related to Domestic Regional Cooperation

### 3. Major Obstacles and Challenges of Kartamantul's Best Practice

The biggest challenge in conducting interregional cooperation is how to synergize the potentials of each region into a powerful instrument to solve various problems that the regions are facing now and in the future. This was also a challenge for the interregional cooperation of Kartamantul when it was first initiated.

In detail, the challenges were: First, the regulation governing regional cooperation was still a macro policy, meaning, there were many matters of principle, such as the source and nature of funding, cooperation and institutional mechanisms, that needed to be addressed with a more detailed regulation. Detailed regulations are very important, especially in budgeting and in the management of the regional cooperation fund, given that regional financial management should be based on existing rules. With no strict rules about the sources and financial management of regional cooperation, the regions entering into cooperation would have to be very careful in budgeting and usage, which in turn would inhibit creativity and innovation to realize the regional cooperation.

In general, there are two ways to receive money for cooperation between cities/regencies within the government system:

1. Through the cost sharing among Local Government Work Unit (Satuan Kerja Pemerintah Daerah/SKPD),
2. Through the Regional Finance Bureau.

Currently, most local governments prefer submitting their budgets via the first system. This is in line with the Minister of Home Affairs Regulation No. 37 of 2010 on Guidelines for Budgetary Revenues and Expenditures of 2011 Fiscal Year explicitly attached: *"In case any local government forms a joint institution, each local government shall make budget allowances in the regional budget for grants to the joint institution."* However, there are disadvantages in having interregional cooperation funded through grants, since grants can only be provided for non-routine activities or one-off activities, i.e. not for the core funding of an organisation.

The second challenge for interregional cooperation is determining the areas of cooperation. Although each cooperating region may face similar problems, they do not necessarily have the same degree of priority, as each region has its own set of prioritized programs.

The third challenge is that there is usual limited availability of human resources in the regions with which to achieve the additional aims of the cooperation projects. This might lead to problems in achieving the results that were forecast.

#### 4. Why This Model Is Viewed as Best Practice

*First*, the interregional cooperation of Kartamantul is an innovation developed by local government in urban areas to solve problems and generate a tangible impact on improving quality of life and environment, both for the people living within the cooperating areas and the ones in the surrounding areas.

*Second*, the interregional cooperation of Kartamantul was built and implemented with participation of multi-stakeholders: the central government, provincial and district/municipality governments, NGOs, universities, donor agencies and private parties. The extensive involvement of all these parties has led to a synergy that became a power in the implementation of the cooperation.

*Third*, the interregional cooperation of Kartamantul is an initiative proven to be sustainable in economical, environmental, social and cultural terms. Economically, the existence of activities as a result of the cooperation has the *potential* to increase people's income. Better environment condition can also be gained through waste management and drainage projects. In terms of social culture, through this cooperation, the values of mutual cooperation and tolerance characterizing the local community can be revived.

*Fourth*, it has a sustainable impact on policy and decision-making both at the level of the central government and for other regions, such as the emergence of government regulation that specifically regulates the interregional cooperation. The interregional cooperation of Kartamantul has also made a significant contribution to the development of public service management.

*Fifth*, it can be taken as an initiative that can be adopted by other areas having similar problems. The success of the interregional cooperation of Kartamantul has prompted other regions to do the same thing.

#### 5. Kartamantul's Best Practice Transfer and Replication Adaptability

The interregional cooperation of Kartamantul can generally be adopted by other regions, but cannot be replicated as a whole because, in principle, the problem faced by every border area has its own characteristics, so it requires a deep study about the appropriate needs to determine the format for cooperation institutions.

The replication of the interregional Cooperation of Kartamantul as a technical process is carried out by a transfer of application, technology and information through the exchange of ideas and solutions. The replication can also be done by managerial transfer in the form of a system or a series of decision-making process and resources allocation.

The most important thing for the transfer process is to understand and take into account the behaviour, characteristics and capabilities of pilot areas in adapting the approaches and efforts.

To conduct an effective replication, several activities need to be arranged, such as training, guidance, input from experts, field visits, field trips and exchanges of staff.

Lastly, to ensure that the interregional cooperation of Kartamantul can be well replicated in other areas, including outside of Indonesia, it is important to assure that there is synergy between the pilot city and Kartamantul: the pilot city has to be motivated to learn and Kartamantul has to be willing to provide assistance.

## Concluding Comments

The Kartamantul interregional cooperation is a good model of interlocal government cooperation that has high transferability potential in Indonesia and also in other countries in Southeast Asia. This concept of cooperation and its strategy for development can also be a mechanism for:

1. Developing an interregional economic data base as framework for investment;
2. Organize and train an interregional team of experts who can provide consultancy services to other districts which may replicate the Kartamantul experience. This approach allows a wider area of development beyond one single political boundary.

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## **Best Practice 6 | BP6**

### **Governance through Partnership Between the Municipality and the Community, Prik, Thailand**

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with the support of TEI (Thailand Environment Institute)

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## Section A. Best Practice Description

### 1. An Introduction to the Best Practice Model and Its Innovative Elements

The Prik experience is focused on people-oriented governance and a good example of the revival of the important concept of peoples' participation in development and governance. Both the concept of civil society and participatory governance are strategies that lead to participatory local government administration. It is a value-driven concept which became a premium policy in democratic local governance.

The Prik best practice is an example of this renewed concept of participatory democracy.

Prik municipality applies the concept of good governance through partnership beyond the administrative boundaries of the sub-district of Healthy Tambon. It tries to work via a "partnership-based" approach and to shift from "local government-based" to "local governance-based".

Prik municipality has its own municipal policies covering the following eight issues: (1) natural resource and environmental management, (2) infrastructure development, (3) sufficiency economy development, (4) educational, art, and cultural development, (5) healthcare and quality of life development, (6) disaster prevention and community tidiness development, (7) social development, and (8) good governance. It is particularly noticeable that the issue of "good governance" has been addressed and embedded as a municipal development policy (see Illustration 1).



Illustration 1. Municipal policies and the focus on the good governance concept

Prik municipality has been defined as a “organization with potential” in working and collaborating with public organizations, regional government authorities, civil society and other local government authorities.

The innovative elements described in this best practice model, consist of (1) all elements of good governance concerned, (2) the flexible administrative style, the so called “Prik administrative system”, and (3) the Healthy Tambon project which is working towards a sustainable community and livelihood, based upon the governance concept.

## **1.1 Good Governance Concept**

The main elements of the good governance concept are transparency, accountability and participation.

### **1.1.1 Transparency**

Transparency means clear operational rules internally (administration) and free-flow of information in operations externally. This is to allow outside scrutiny in an open and transparent manner. This is the main method which Prik municipality uses to disseminate the municipality’s information. Various channels are used to ensure the information eventually reaches the people of the community.

For two-way communication, Prik municipality conducts community fora, monthly meetings and community core-team meetings. Most importantly, the Community Organization council, which has been set up in 2008, is also working in parallel with the municipal councils to inspect and audit the performance of the municipal authority. This will give the people of the community access to the municipality’s information, so that they can participate in the policy process.

### **1.1.2 Accountability**

Accountability means that a person or an authority has to be able to explain/report its actions to another person. In this context it is about the local authority being responsible for providing explanation and justification of their actions.

Prik municipality has clear structural organization and rules. It means lower level staffs must be accountable, responsible and report to an immediate superior throughout their tasks/duties. On the other hands, the Mayor is to be accountable to the people. To ensure a “demand-oriented system”, the municipality set up the Municipal Development Plan Committee. The committee consists of municipal representatives, experts from local universities and people’s representative who come together to formulate municipal policies and plans.

Moreover, to achieve accountability, the local community in Prik municipality has set up a “complaint filing system” via a web board on [www.tonprik.org](http://www.tonprik.org), so that the people of the community can have a say in the running of their local community both informally and formally.

### 1.1.3 Participation

Public participation will occur when the persons or groups have adequate and equal opportunity to get involved in any public task, such as a policy process, from the first stage of policy formulation until the final stage of policy evaluation. Participation of the people can take the shape of (i) formal participation such as local election, and (ii) informal participation such as getting involved in the policy-making process: problem identification, needs prioritization, plans and policies formulation, implementation and evaluation.

Public participation seems to be the outstanding trait of Prik. The participation is there along with a partnership of all actors.

Due to a participatory-based approach and partnerships with many other organizations, this municipality has made good experiences in carrying out projects with support from outside. In its project for environmental management, Prik municipality implements a zero-waste management concept. Within this project, the municipal authority has worked closely with different organizations for more than 10 years, including a university, i.e. the Faculty of Environmental Management, and the Office of Environmental Policy and Planning Regional 16th of the Ministry of Natural Resource and Environment.

## 1.2 Prik Administrative System

Prik municipality has its own administrative style: firstly, the “coaching project”; secondly, building up understanding, knowledge, and awareness.

The “*coaching project*” refers to the continuing human resource development based on the simple concept that development can improve life of all mankind. This concept then establishes the “learning organization” since the success of the Prik learning project depends on all members’ of the organization learning together (Prik municipality, 2010).

- The Bumiputra encourages the municipal office to recruit local people to work as municipal staff in their area. It is believed that local people know better the real context of their community than outsiders and that they can adjust better to any possible changes. Once they start with positive activities in their community, it will lead to a better public service provision for all in the end (Prik municipality, 2010).

- *"The patronage system in Thailand cannot be denied. The municipal executives and elected local officers always ask the municipal staff to recruit their relatives, sons and daughters, to work. But, we can make the best use of this system by treating them equally to others once they have been recruited, and by providing them with capacity building measures to ensure that they can work for their community under hardship and with great efforts."* (Mayor of Prik municipality, interviewed, 13 July 2010)
- The term "tandem project" refers to the focus on changing the system of the organization to be teamwork-based. This concept also includes the organization's image. Personal development needs to be a priority from the highest to the lowest level. An acceptance of differences amongst each other is needed as well. If implemented properly, the tandem work will assist the governance concept and the idea of participation of all (Prik municipality, 2010).

*"Building up understanding, knowledge and awareness"* refers to the adjustment of the municipal staff in changing the working style from bureaucratic to a more flexible approach.

The learning and sharing process of Prik municipality consists of four core stages: adaptation, exchange, dynamism and revolve. These stages symbolise a new approach for Prik's administration, moving from a previously bureaucratic system and rigid "division-based" working approach of municipal officials that led to slow public services, towards a more flexible working system where there are fewer boundaries between different tasks.

### 1.3 Healthy Tambon Project

Healthy Tambon (sub-district) concept refers to the application of Prik municipality's vision of *"sufficient economy, the community livelihoods' tie, human-centered-based development, and the peaceful civil society"*. In order to mobilize the task and service provision towards this vision, six major systems have been taken into account (see illustration 2).

Hereafter, a brief description of each major system leading towards the Healthy Tambon project will be presented. The intention of this part is to illustrate the application of good governance which is a necessary condition for the success of the Healthy Tambon project. Examples of the actual activities will be presented later in Part B.

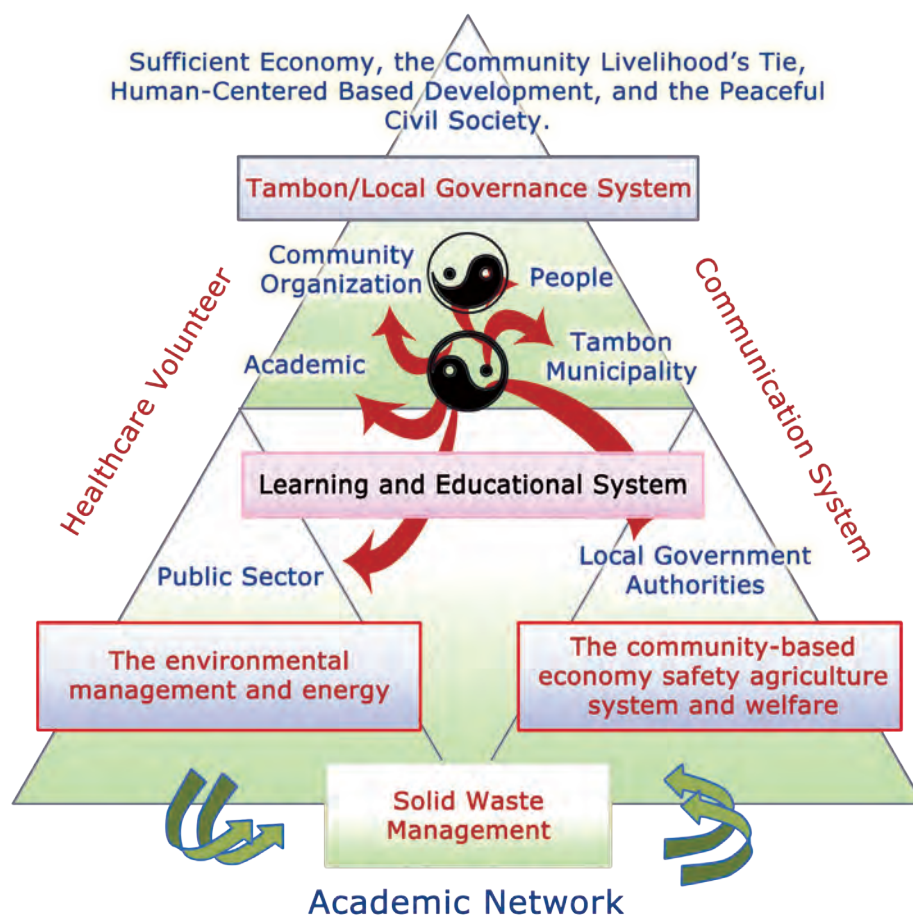


Illustration 2. Six Major Systems of Prik municipality Towards Healthy Tambon Project

#### 1.4 The Tambon or Local Governance System

This system refers to the public sector management following the principles of good governance, bringing together all elements of it. The municipality's administrative system is run according to the mechanisms of "active partnership".

- *The Environmental Management and Energy System*

This system tries to develop the management of environmental issues to raise the awareness of people in the community to these issues and to provide alternatives for waste management. The aim is to maximize the value of waste, as well as to promote alternative and renewable energy at household level. It cannot be denied that the task of environmental management, in particular in the area of solid waste management, requires the participation of all groups, since everybody creates waste. It is, therefore, important to raise people's awareness and to carry out activities in which they can participate.



- *The Community-Based Economy, Welfare and Safe Agriculture System*

In the system of community-based economy, welfare and safe agriculture, various groups have been organised i.e. the occupation groups, the saving groups, and the safe agriculture groups. Most activities conducted by community core teams are in this system. The concept of transparency, participation, efficiency and effectiveness has been applied in operating and mobilizing the groups.

- *The Learning and Educational System*

This system refers to opportunities available for learning and sharing through all styles, i.e. formal, informal and autonomous learning. This system aims at encouraging people to be a part of a learning-based society in their local context, integrating the educational systems of schools and communities and to provide the understanding and knowledge for all participants through education for all generations.

- *The Voluntary Healthcare System*

The healthcare volunteer system refers to a holistic approach in healthcare services for all, i.e. involving community healthcare volunteers, mother volunteers, junior community healthcare volunteers, care for elderly people volunteers and emergency medical service volunteers. Here, the municipality's responsibility is obvious in terms of serving all people of all ages, especially abandoned and disadvantaged people.

- *The Communication System*

This system acts both as a channel for people to participate in and as a way to ensure the municipality's transparency. The communication channels used by the municipality include various media, i.e. website, community radio, documents, newsletters. The aim is to provide information about the municipality's activities which will lead to a greater understanding of these activities by local people. This, in turn, will create more transparency and encourage people to participate in the life of their community.

It is undeniable that all six major systems of Healthy Tambon concept are linked to the good governance concept.

## 2. Reasons for Program Development, Shortcomings and Challenges Addressed by Best Practice Model

Prik is a small municipality. The budget, manpower and equipment is limited which presents a barrier for the municipality's development. Therefore, immediately after the municipal authority has been upgraded to be a Tambon municipality, the Mayor decided to mobilize the community to join in the municipality's development process.

The Mayor compared the situation of Prik with other larger municipalities. He pointed out that the larger municipalities have less limitation than the smaller municipalities, since their budget is larger, they have more personnel and equipment. For those municipalities, it is therefore not so significant whether local people participate on a voluntary basis in the running of their community. As a consequence, the level of local participation is likely to be low in a larger municipality (Mayor of Prik municipality, interviewed, 13 July 2010).

As an innovative solution to the problems of limited resources, the municipal authority tries to provide the basic services using a participatory approach. The Healthy Tambon model connects the six major systems which are relevant to people's daily life and in that way develops a sustainable community.

## 3. Results Achieved and Relevance to Public Life

- The people of the community, especially the ones forming part of the core-team, have been empowered by being encouraged to participate in the municipal tasks via the "Participatory Process Development". This leads to the development of "civic culture" and a sense of "co-ownership" based on the social capital amongst the people of the community.
- The local community has formed their own groups and are working together to mobilize the Healthy Tambon mission. This has affected the living situation of the local people in all aspects, such as better environmental management, a better healthcare system, an improved quality of life and a new emphasis on the learning process.
- There are also indirect impacts on the people of the community. Since the Prik model has been promoted as a center of excellence for others to learn from, the visits by representatives from neighbouring community generate business opportunities for local people, for example through home stay, catering and selling souvenirs.
- The success of this model is evidenced by many awards from many national organizations as follows; Phra Pokklao Award for the transparency and public participations from Phra Pokklao Institute (2005), Green Globe Award (2006), Reduce tropical activity with our hands (2007), LDI Award 2008 for Governance and Liveable City and second award for Community energy (2008), Phra Pokklao Award for the transparency and public participations from Phra Pokklao Institute (2009).

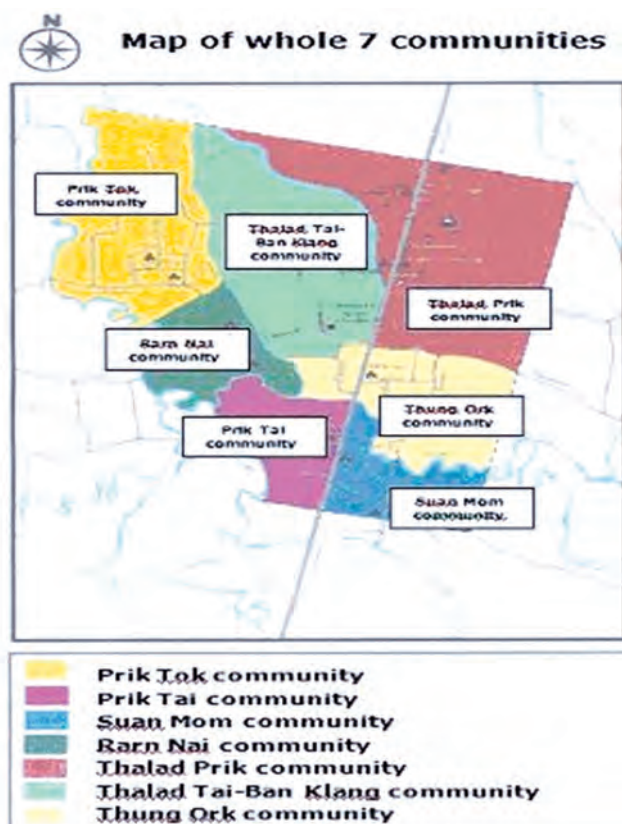
#### 4. Description of Prik Municipality

Prik municipality is a municipality located in Tumbon Prik, Sadao district, Songkhla province in the southern part of Thailand. It is only 8 km from the Thai-Malaysian border. The population is 6,114, divided into 1,412 households (2009).



Picture 1. Map of Thailand and Prik municipality

There are seven communities in Prik municipal area, as shown in picture 2.



Picture 2. Map of seven community areas

#### 4.1 Prik Tok Community

Prik Tok Community used to be a port community on the U-Tapao Canal. This canal played an important role as a communication path linking Hatyai district and Sadao district and then connecting to Malaysian communities. Prik Tok was established in 1938 (Benmalek, 2001, cited in Phisitatatukul, 2002). There are 889 people living in this community; 487 male and 402 female (as of March, 2010).

Major activities in this community are, firstly, religious activities, secondly, occupational activities. The occupational groups in Prik Tok are from Horm Jiew (fried onions) and catfish feeding.



Picture 3. Prik Tok Community

#### 4.2 Rarn Nai Community

Rarn Nai Community, formerly called Bann Thalad Nork (outer market), is situated next to the market. Since the market community has been expanding, various shop houses have sprung up along the roads. The name of this community has been changed to "Rarn Nai".

There are 632 people living in this community: 312 male and 320 female (data as of March, 2010).

Major activities in this community are, firstly, religious activities, secondly, occupational activities. The occupational group within the Rarn Nai community is the production of Thai desserts.





Picture 4. Rarn Nai Community

#### 4.3 Thalad Tai-Ban Klang Community

This community has a long history. This community has been named as Thalad Tai-Ban Klang as a result of its location in the South of Thalad Tok community (Thalad Tai) and it also in the center of Prik municipal area (Ban Klang). In ancient times, this community had been a major city of the lower southern part. It was an absolute monarchy and the last governor was "*Khooon Abhirom*". During World War II, this community was a temporary camp for Japanese troops. The military base and the prison were built here. After the end of World War II, the main road within this community was constructed and named as "Mitra Songkram road" or War Alliance road.

There are 1,056 people living in this community: 528 male and 528 female (data as of March, 2010).

Major activities in this community are, firstly, the religious activities as in many other communities. Secondly, the occupational groups, including Thai dessert and chili paste making. Moreover, within this community, the Recycle Bank has been initiated.



Picture 5. Thalad Tai-Ban Klang community

#### 4.4 Thalad Prik Community

This community used to be place of the community market, taking place every Wednesday along the National Highway No. 4 (Karnjanawanit road). However, there was a situation of unrest at some point, linked to the communist movement, which led to local people being accused of being communists and the imposition of a 9pm curfew. As a result the economic growth had declined and some local people moved away. However, the situation eventually returned to normal and those people moved back to settle in this community again.

There are 933 people living in this community; 376 male and 557 female (data as of March, 2010). Most of people living in this area are Thai-Chinese.

Major activities in this community are, firstly, the religious activities like many other communities. Secondly, the occupational groups include fresh flower management.





Picture 6. Thalad Prik Community

#### 4.5 Thung Ork Community

In the past, this community used to be located on grass fields (in Thai, so called Thung) in the East (in Thai, Ork) which is a higher level area. This is why it was named Thung Ork (the eastern field). The community settlements are placed on 2 major areas (i) the grass field and (ii) the higher level area, so called "Kok E Rang". E Rang, in Thai, is "the vulture" and it was assumed that there were many "vultures" living in this area a long time ago.

There are 900 people living in this community; 459 male and 441 female (data as of March, 2010).

Major activities in this community are, firstly, the religious activities. Secondly, the occupational groups include the preparation of fresh coconut milk.



Picture 7. Thung Ork Community

#### 4.6 Suan Mom Community

This community was named Suan Mom as a result of its past, where most of its land was occupied by some high-ranking people. The community was therefore named after this group. Many coconut trees and palm oil trees were planted in this land. The first palm oil tree planted in Prik still exists now.

There are 1,320 people living in this community: 663 male and 657 female (data as of March, 2010).

Major activities in this community are, firstly, the religious activities as in many other communities. Secondly, the occupational groups include the production of curry paste and sewing.



Picture 8. Suan Mom Community

#### 4.7 Prik Tai Community

This community is situated in the south of Prik area. The people living in this area migrated from other nearby areas such as Hatyai district, Klong Hae district and Klong Rien district. This community used to be the port community since the ancient time due to its location along the U-Tapao canal.

There are 379 people living in this community: 180 male and 199 female. (data as of March, 2010).

Major activities in this community are, firstly, the religious activities as in many other communities. Secondly, the occupational groups include catfish feeding and sewing.



Picture 9. Prik Tai Community

As a whole, most people in these communities work in the agricultural sector; 85% on the rubber plantation and 10% in orchards. The rest are wage labourers, traders, and others.

Regarding the religion, the people of the community are 90% Muslim and 10% Buddhist. The people from two religions live together peacefully here.



## 5. Budget for Best Practice Implementation

Each year, the municipal authority has its own fiscal budget to undertake their tasks.

In running the Healthy Tambon project, Prik municipality has also received the amount of 22 million baht for a three year project. This has supported the activities conducted by the municipal authority and the community core-team.

## 6. Specific Technical Expertise

Since 1999, various organizations have visited Prik and brought technical expertise for designing and implementing the Healthy Tambon model as shown in Table 1.

Specific Expertise	Who Supplied It	How
Solid waste management	Academic institution: Faculty of Environmental Management - Prince of Songkla University	Conducting participatory research to help the community to jointly develop strategies for their solid wastes. The ensuing learning process enhanced the community's knowledge, its attitude and practice in solid waste management.
Participatory process development	NGO – Community: Organisation Development Institute (Public Organisation)	Teaching the participatory process for integrated liveable community development
"Reduce tropical activity with our hands" project	Toyota Motor Thailand Co., Ltd. and Thailand Environment Institute (TEI)	Reducing energy consumption and greenhouse gas emissions in their community
Renewable energy	Ministry of Energy	Providing knowledge and practices towards renewable energy, especially the waste to energy approach
Sufficient economy via "84 Tambons on A Sufficient Path Project"	Petroleum Authority of Thailand (PTT)	Fostering and upgrading the community capacity in terms of activity design through integrated approach covering all aspects.
Community Organization	Community Organizations Development Institute (Public Organization)	Focusing on the participation of all sectors, in particular civil society. This has also led to the appointment of a sub-committee coordinating the development community including representatives from all sectors to the community consultation.

Table 1: Specific technical expertise for designing and implementing the model

## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

In 1998, Prik was upgraded to a Tambon municipality (local level administration). Mr. Suriya Yeekhun was the Mayor at that time. At that time, local people were not so aware of the importance of local government and did not perceive organized local forums as a place to identify their needs and problems. Very few local people were involved in activities then. Moreover, the limitations in terms of budget and manpower which came with being a small municipality, could not be denied. However, the Mayor decided to make people aware of local issues. The first step was to solve the solid waste problem within the community. Prik Tok Community, then, was the pilot area in which the community-based solid waste management project was initiated.

In 2001-2002, a Master student from Prince of Songkla University conducted research on "*The promotion of public participation and learning process in solid waste management: a case study of Prik municipality Tambon Prik, Amphoe Sadao, Changwat Songkhla*". The results of the study showed that using a participatory approach when researching the issue can help in promoting people participation in solid waste management. Local people were able to participate in each step of the way to find the appropriate solid waste management solution for their community, including examining problems, collecting and analyzing data, identifying problems, finding solutions, implementing and evaluating progress.

The research team then worked together to formulate their strategic plans for managing solid waste and implemented the plans with the community (Pisitattagul, 2002).

In 2003, another research project, *The Development of Learning Process in Solid Waste Management: A Case Study of Priktok Community in Prik municipality Tambon Prik, Amphoe Sadao, Changwat Songkhla*, aimed at developing a learning process for a community on managing their solid waste, was conducted. The results of the study showed that the learning process enhanced the awareness of the participants in all aspects, including increased theoretical knowledge as well as changed attitudes and practices. This led to an improvement in the attitude towards solid waste management and a better understanding that solid waste was still valuable and that the community and the municipality had to cooperate in its management. The research participants started to separate waste before disposal.

Furthermore, as part of the learning process, the staff of the municipality also learned to understand the community conditions and needs, as well as its importance and potential. Accordingly, the staff adjusted their working methods to suit the community and to provide more support.

The result of this participatory process were impressive and gained attention from local people. In 2005, the Mayor steered the municipality's development path to "the quality of life" project by setting up the municipality's nursery, primary school and local curriculum.

In 2006, the community-based environmental management project was promoted and various environmental activities have been conducted with the support of an external organization i.e. the Ministry of Energy.

In 2007, the concept of "sufficient economy" was introduced as the municipality's guideline. At that time, it was recognized that for successfully dealing with the local problems, a local database was needed. As a first step, a database on health was established in 2007.

In 2008, some research on *"The Development of a Learning Process for Core-Team Community Members for Integrated Community Environmental Management: A Case Study of Prik municipality, Amphoe Sadao, Changwat Songkhla"* was carried out. The objectives of this research project were to develop a learning process for core-team community members to mobilize the integrated environmental management, and to find out the factors contributing to and obstructing the development. The result showed that this learning process helped to develop the understanding, knowledge, attitudes and skills of the target groups to be community leaders in mobilizing the integration of an environmental management approach in their communities.

In 2008, the Community Organization council was set up to work in parallel with the municipal councils to inspect and audit the performance of the municipal authority. In addition, local groups consisting of school staff, religious leaders and natural leaders (tribes chiefs), in total 12 people, have been involved, and were working together to monitor and scrutinize the municipality's performance (Prik municipality, 2010).

In 2009, drawing conclusions from a the various projects that had taken place over the last nearly 10 years, Prik municipality confirmed that the "learning process" can be the foundation for sustainable development. In that year, more than 50 public organisations organised study tours to visit this municipality.

By the end of 2009, the Mayor of Prik outlined his idea of expanding the Prik project to the public. His plan is to make the best use of various learning centres in the community. This will not only benefit the visitors who come to learn from the experience of Prik municipality, but also the people of Prik who will be encouraged to participate even more in the learning-based society and to become more active citizens. This new project is called "friends help friends". However, the resources for this project still needed to be found, and



Prik municipality proposed this idea to the Thai Health Promotion Foundation, who has been supporting the Healthy Tambon project since 2009.

One of the municipality's visions is "human-centred development". In 1999, the Mayor launched this policy and also mobilized the municipal network including the academic and external organizations such as NGOs, public sector organisations and other local government authorities. Today, Prik municipality is networked with organizations from all levels including the provincial level, and with the national organizations such as Thai Health Promotion Foundation. The process towards the development of the municipality and the actors involved can be seen in Table 2 below.

**Prik municipality's performance (1999-2009)**

Upgraded be the Tambon municipality	Problem of 8 tons per day was concerned but the budget is limited	Master student conducted the action research	The local network working on Prik U-tapao canal was initiated	Quality of life development infrastructures and local governance have been carried out	Environmental management, energy policy, and educational policy have been launched	A focus on a path for sufficient economy	Establishment of Community Organization Councils	Mobilizing the Healthy Tambon Project	
TERM 1			TERM 2			TERM 3			
1999	2000	2001	2002		2005	2006	2007	2008	2009
The community organizations for 7 communities were set up	Environmental project local - Academic network - Public forum - Activity and community groups were set up	Expanded the activities	Local people and school children joined the activity	The people's satisfaction was very high more local partnership and network involved	Local people have been empowered	Mobilizing to environmental management and education	Local network on environmental management	- Poomibutra - Coaching system - Tandem system	Healthy Tambon
		The Counter Service for local people has been set-up							
		Community research				KPI award	Green Globe award	Reduced tropical activity with our hands	LDI Awards
		People concerned the solid waste problem							
		Community groups development							

The main actors involved in the project can be divided into two groups:

1. Community groups played a significant roles in carrying out their own development scheme. In the meantime, the municipality acted as the "facilitator".
2. The non-residents coming to Prik since 1999 included academics and NGOs, conducting the liveable community project, as well as other external organisations. This group has become the driving force in supporting Prik municipality's activities.

## 2. Functions and Roles of the National Government

For years, the activities of Prik municipality have been supported by national authorities. Two of these stand out and will be described in more detail below.

In 2009, the Thai Health Promotion Foundation has approached Prik municipality to conduct the “Healthy Tambon Project”. The Thai Health Promotion Foundation initiated the project with Prik which later became a best practice model for many other municipalities through “friend helps friend”.

At the beginning, however, the Thai Health Promotion Foundation tried to convince Prik municipality to copy the best practice model from other local authorities as a “set-package”, but the municipal executive refused to do so. As the Mayor argued, *“the experiences collected by were not gathered overnight. Prik started their processes by introducing a community-based solid waste management, healthcare volunteer system, safety agriculture, and local governance. The Thai Health Promotion Foundation was, therefore, unable impose their best practice model on Prik”*.

Indeed, like many other communities, Prik has its own agenda and context. The Thai Health Promotion Foundation was eventually convinced by the Mayor’s argument and allowed Prik municipality to design and implement the project based on their interest and context. The role of the national authority, i.e. the Thai Health Promotion Foundation, changed to one of facilitator and promoter of Prik’s best practice.

Also in 2009, Prik municipality joined in “84 Tambons on A Sufficient Path Project”, a project which follows his Majesty’s royal initiatives on sufficiency economy and realizes the concept in a concrete manner in the targeted 84 Tambons nationwide. The work of the Green Globe Award Project, which emphasises cooperation within a social network have also inspired and influenced the project with its method of screening and selecting outstanding people who protect the environment, soil, water and forests. The awards from the Green Globe Awards Project are designed to provide moral support and encouragement to the beneficiaries (<http://www.pttplc.com>).

In Prik, a core team was selected and charged with administering the resources. This project encourages the people of the community to conduct the activities themselves, with municipal staff being involved as core team members. The PTT regional and Tambon staff have worked closely with the community core team to conduct the project on “sufficient economy path” (Boonkeaw, 2009).

A senior staff of PTT stressed in an interview that this project has helped the community to approach their activities in a creative way. The community core team still has to produce the “A Sufficient Path Community Plan” which can be used as a model for other communities. The interviewee further explained that *“this project differs from many other projects. This is because it is people-*

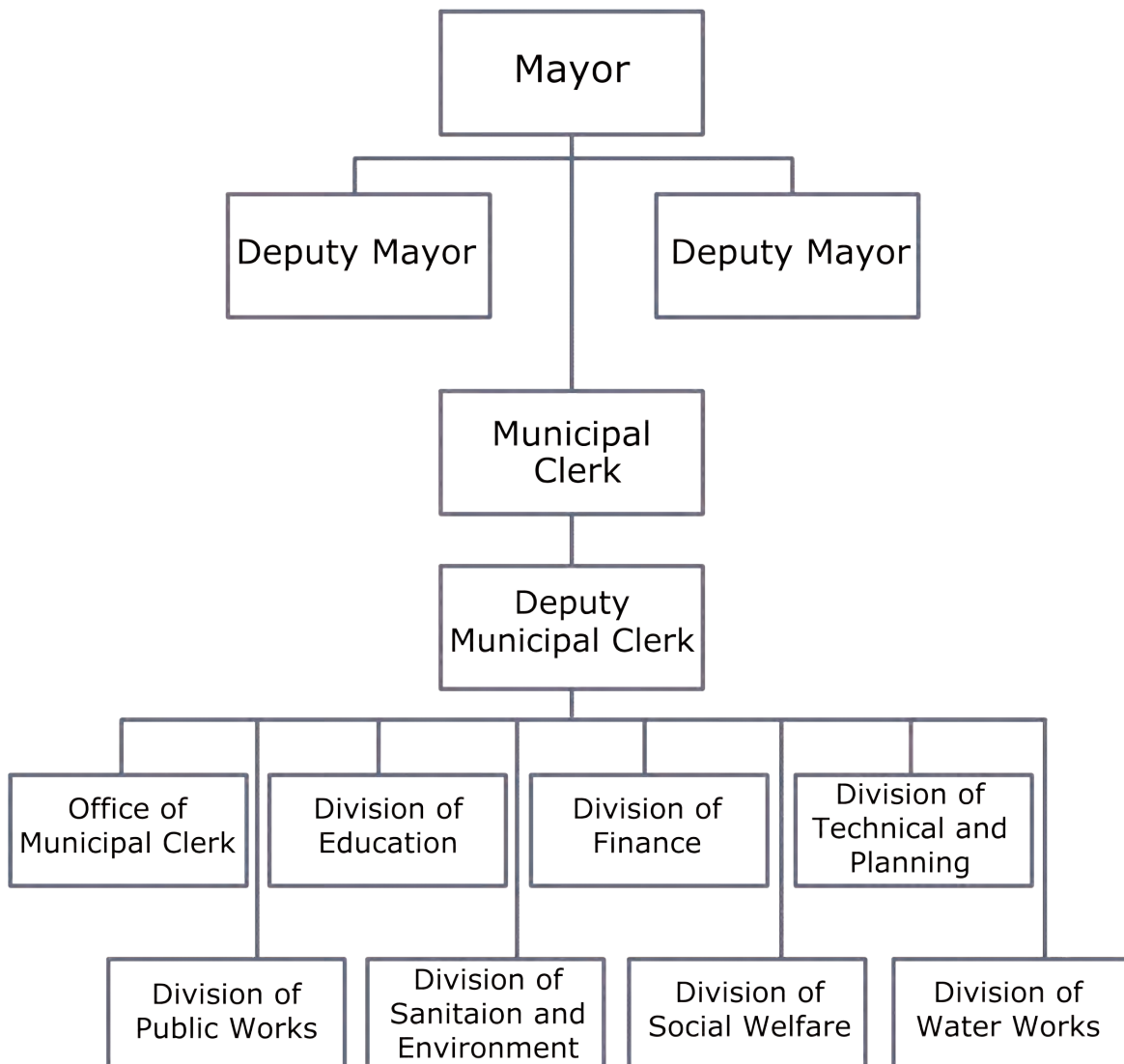
*centered and not a money-based project. The knowledge-based project i.e. conducting the participatory project, training course, field trips has emerged and it has become an outstanding PTT project" (Boonkeaw, 2009, interview, 12 July, 2010).*

### **3. Brief Description of Best Practice Implementation Process**

Prik municipal government consists of elected local officials and municipal officials. The municipal officials are responsible for running the municipality, which is divided into eight divisions:

- The Office of Municipal Clerk is responsible for the administration of the municipal policies and plans. It acts as the city council's and Mayors' clerk in charge of administrative work, personnel administration, disaster prevention and recovery, registration, and all other task which are not assigned to any particular division;
- The Division of Public Works is responsible for the construction and the maintenance of utilities such as roads, building control and permits, the maintenance of the drainage system and similar tasks;
- The Division of Finance is responsible for financial and accounting management, revenue collection, taxation and property registration;
- The Division of Social Welfare is responsible for social welfare services especially for mother and child services, youth services and communities' development;
- The Division of Sanitation and Environment is responsible for the public health administration, public health promotion, public health care centers organization, cleanliness of the city, animal husbandry, sanitation, chronic disease prevention and control, and mounting public awareness of health, etc;
- The Division of Technical and Planning is responsible for the policies and planning analysis, research and evaluation of municipal policies and plans, judicial works, setting the budget and public information services, etc;
- The Division of Education is responsible for the implementation and development of municipal primary and secondary schools. Its tasks are the promotion of non-curriculum education, religious, cultural and recreational activities;
- The Division of Water Works is responsible for public water services.

The structure of Prik municipality is as shown below.



*Illustration 3. Structure of the municipality*

#### 4. Civil Society and Community Involvement

Civil society groups play an important role in mobilizing the population. They consist of:

- Community core team members. In Prik, the recent establishment of community organizations was in line with the instructions and guidelines, published in 1987 by the Office of Urban Development of the Department of Local Administration (DOLA), Ministry of Interior. These grassroots bodies are state-organized and state-mandated rather than self-initiated or independently organized groups. The basic concept of these particular community organizations is based on a putative participatory approach in local government's basic services delivery. Since in providing basic services the local government has to deal with a large number of people,

they need “channels” at the grass root level to do so effectively. In the Thai context, the community leader, along with his/her committee has also important responsibilities to fulfil vis-à-vis the municipality, particularly dealing with community problem-solving, preparing proposals for community development, and/or implementing the municipality’s development program (Raphipan, 2001: 143). Prik municipality had set up seven community organisations covering every square kilometre of the municipal’s total area of 4.8 km<sup>2</sup>. In each community organisation, a committee was elected. The committee members work closely with the community people. Remarkably, the profile of the community core team members vary in each community;

- Occupation groups have been set up by the community core team and community people. Now, these groups have been pooled and have become a “learning center” for other municipalities. These groups consist of curry paste group, coconut milk group, Thai bakery group, sewing group, fresh flower group, and Thai dessert group;
- The Community Organization council was organized in 2008 to work in parallel with the municipal councils to inspect and audit the performance of the municipal authority. In addition, school staff, religious leaders and natural leaders i.e. headmen are working together to monitor and scrutinize the municipality’s performance.

## 5. Role of Media

The role of the media used to be minimal in the case of Prik. There is some local media covering the case of Prik, i.e. Focus Songkhla newspaper.

But since Prik became a model community and its best practice well-known, it has been presented by many media including free T.V., National Broadcast of Thailand (NBT). As the Mayor pointed out, *“the T.V. programme presenting the Prik case has impacts on the people of the community, increasing their confidence.”* (Mayor of Prik municipality, interview, 13 July 2010).

## 6. Input from International, National and Local Experts

In 1999, the first international organization “Hanns Seidel Foundation” started to work with Prik. Their international experts conducted the workshop on democracy for Prik municipality.

In the following years, various organisations such as national experts, i.e. LDI and local NGOs, initiated the project towards the livable community in Prik. As mentioned earlier, the academic institution, Prince of Songkla University, ran the four master thesis researches in 2002, 2003, 2004, and 2008.

2002 was the first year that some researchers worked with Prik. The community core team was selected to be in the research team. They were trained to design,

collect and analyze data on “waste problems”. They then worked together to formulate a strategic plan for managing solid waste and implemented the plan with the community (Pisitattagul, 2002).

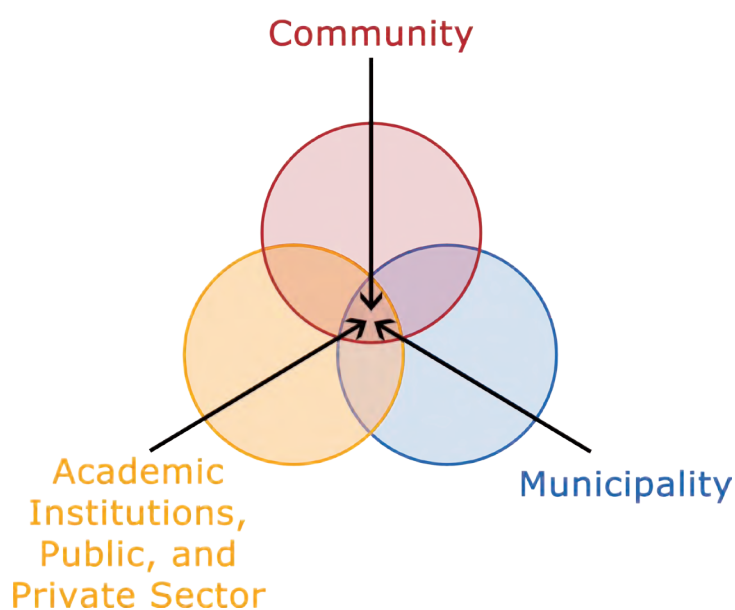
In 2003, another researcher ran another project in the Prik Tok community. This time, the learning process was directed towards the management of solid waste, involving the community core team, the researcher, and municipal staffs (Ungjarern, 2003).

In the meantime, with regard to healthcare services, Prik municipality received support from the Health Systems Research Institute (HSRI) in producing the healthcare database. This led to the following community-based activities: the healthcare volunteer system for elderly people, children and disabled people. Yet again, the people of the community and the community core team were involved in running the project. Meanwhile, the emergency medical service system (E.M.S.) was initiated to deliver patients to hospitals, supported by Songkhla Provincial Healthcare Office, Ministry of Public Health.

In 2009, the cooperation between Prik and national organisations was extended. The Thai Health Promotion Foundation carried out the Healthy Tambon project. Meanwhile, PTT has cooperated with Prik municipality to commence the “84 Tambons on A Sufficient Path” Pproject, as mentioned above.

The cooperation with other organisation has been of great help to Prik. At the beginning the involvement of various actors tended to be project-based which has recently changed and has become more community-based. Figure 13 shows the cooperation and support of various actors working with Prik municipality.

## Environmental Management in the Community



*Illustration 4. Involved actors towards community-based environmental management*



## 7. Types of Implementation Activities

The local community formed their own groups to conduct the activities, through the learning centers arranged around six themes, as seen below. Remarkably, most of learning centers mentioned in the following part are initiated and operated by the community core team and the people of the community.

### 7.1 The Tambon/Local Governance System

This refers to public sector management inspired by the concept of good governance. This is to ensure that all elements of good governance are applied. An active partnership mechanism is in place to administer the municipality's administrative system.

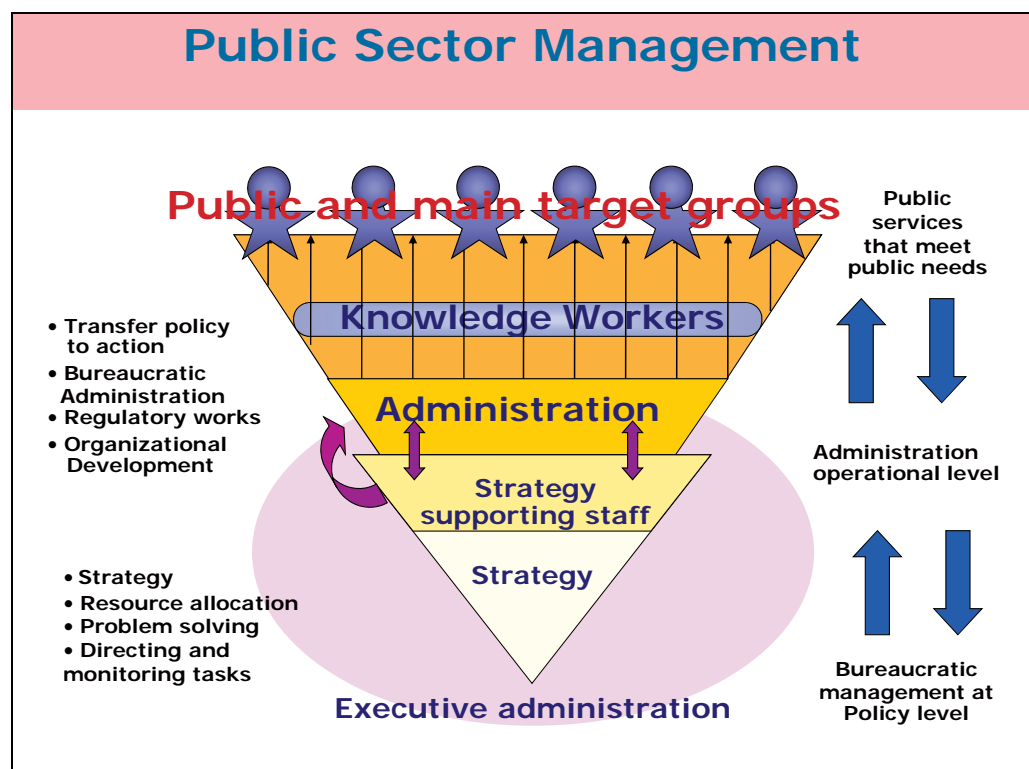


Illustration 5. Tambon/local governance systems

### 7.2 The Environmental Management and Renewable Energy System

Prik municipality set up a learning center for environmental management and renewable energy. The main coordinator is the Director of the Division of Sanitation and Environment, Prik municipality.

The main organizers of this group, which is responsible for running the environmental management and renewable energy system, include members of the community core team, people of the community, students, and school teachers, i.e. Mr. Sakareeya Madlied, Mr. Ali

Madni, Ms. Ropiah Tohheem, Mr. Chaya Sanmad, Kansuda Armeen and Renuka Denmad.

The objectives of this learning center are teach the participants how to manage waste, to increase their awareness of the issue and to apply their newly acquired knowledge to their own situation. The aim is also to provide an alternative waste management system and to maximize the value of waste.

Major activities include lectures and demonstrations on e.g. making, charcoal, bio-detergent, bio-gas, soap and waste separation at the household level.

The audio-visual equipment used in this learning center consists of loud-speakers, documents, flowcharts to help participants visualise the subject matter, and some equipment for demonstration.

The expected outcomes for this learning center are an increase in participants' awareness, knowledge about waste management, and the capability to apply good waste management in their own households.

The subjects covered in the four learning centers are:

1. Household waste management
2. Renewable energy
3. Recycle Bank
4. Municipal compost plant

"Zero-waste" activities have been carried out. The waste management in Prik is distinguished into four geographical levels: upper, middle, and downstream level.

At the upper level, the people of the community can get involved by separating organic waste at home, which can be converted into compost. The recyclable part of the waste is transferred to the Recycle Bank at the middle level.

The Recycle Bank at the middle level was set up in 2003. It was initiated by people of the community and then expanded to schools. This Bank can be seen as a second filter in minimizing the amount of waste. Composting and energy recovery are carried out, before the remains are moved to a landfill site.

Finally, at the third and downstream level, the amount of waste has recently decreased from eight to three tons per day. Waste is separated between organic and general waste; dried and composted.

The whole system of environmental management in the Prik community, including renewable energy, is shown in illustrations 6 and 7 below.

Details of the activities conducted at each learning center are shown in appendix 1.

### Methods Model of Environmental Management in the Community of Prik Municipality

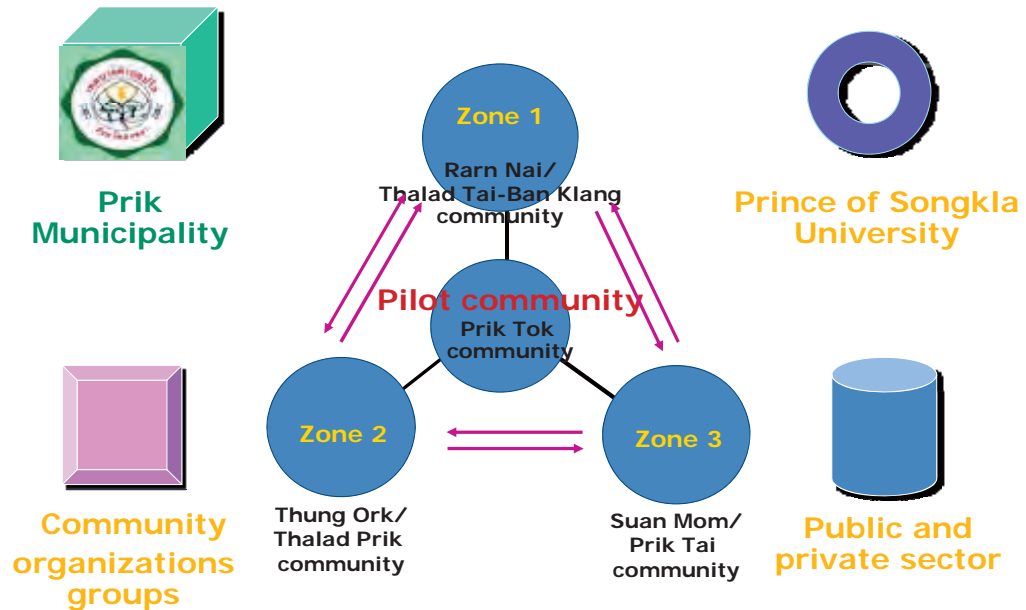


Illustration 6. Model of Environmental management in community of Prik municipality

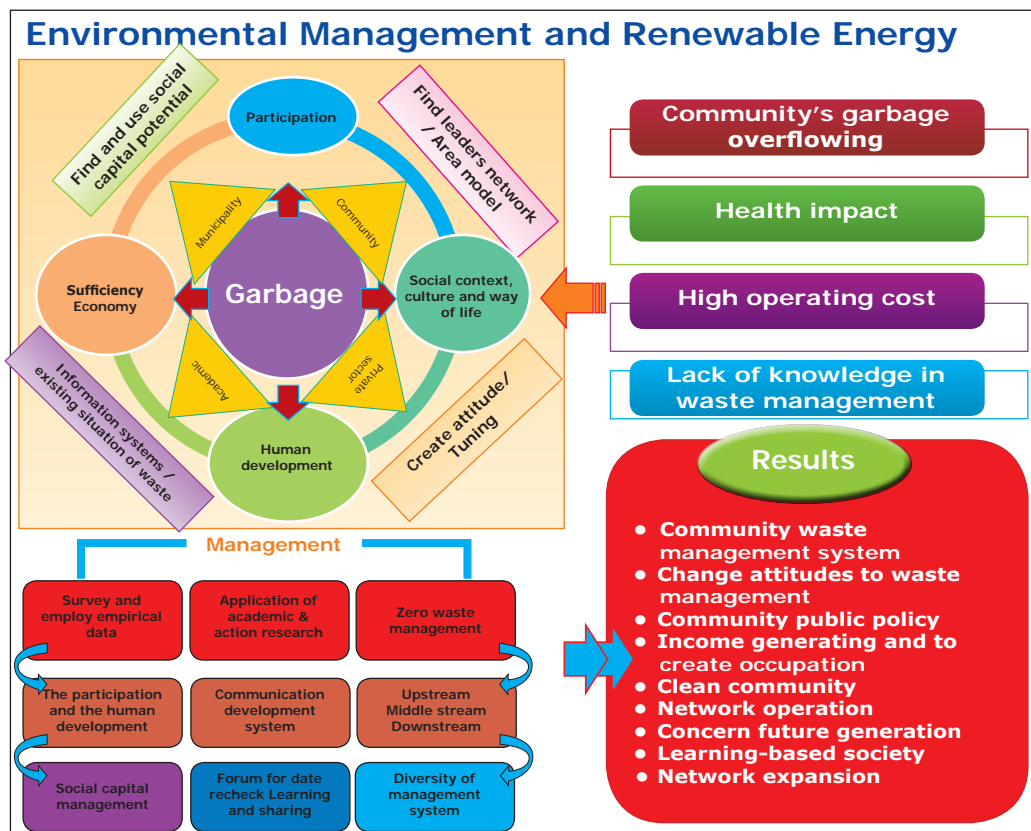


Illustration 7. Environmental management and renewable energy

### 7.3 The Community-Based Economy, Welfare, and Safety Agriculture System

This thematic grouping is concerned with the community-based economy, safety agriculture and welfare. Various activities have been initiated and the community core team has been busy organizing them. The main coordinator is the Acting Director of the Division of Social Welfare, Ms. Nipa Tohheem.

There are 12 learning centers to carry out activities under this theme. The objectives are: (i) The community core team and the occupation groups provide the basic concept and show by example how to form groups and how to organize the group-based activities. This is to ensure that the local people can make the best use of their spare time. (ii) These activities are voluntary-based and all members benefit from working together. (iii) It is important to ensure that the basic concept of community welfare and safety agriculture can be met at community level with involvement of local people.

The major activities include lectures and demonstrations by the representatives of the occupation groups or saving groups, i.e. flowersmaking, Thai herbs, Thai dessert and bakery, chilli paste, coconut milk, curry paste, sewing and Thai local dessert. The mentioned activities employ local resources i.e. herbs and vegetables, and the skills of the groups' members. In this learning center, the safety agriculture is also a model for external organizations to learn how to produce their own organic foods. Most importantly, the saving groups are also a role model for others.

The audio-visual equipment used in this learning center consists of loud-speakers, documents, flowcharts to help participants visualise the subject matter, and some equipment for demonstration.

The expected outcomes for this learning center are an understanding of and experience in sustained group-based activities. In addition, instructions in the sufficient economy concept, which can be done practically, are also available to all participants.

The community-based economy, welfare, and safety agriculture system is shown in illustration 8. Details of the activities conducted at each learning center are shown in appendix 2.

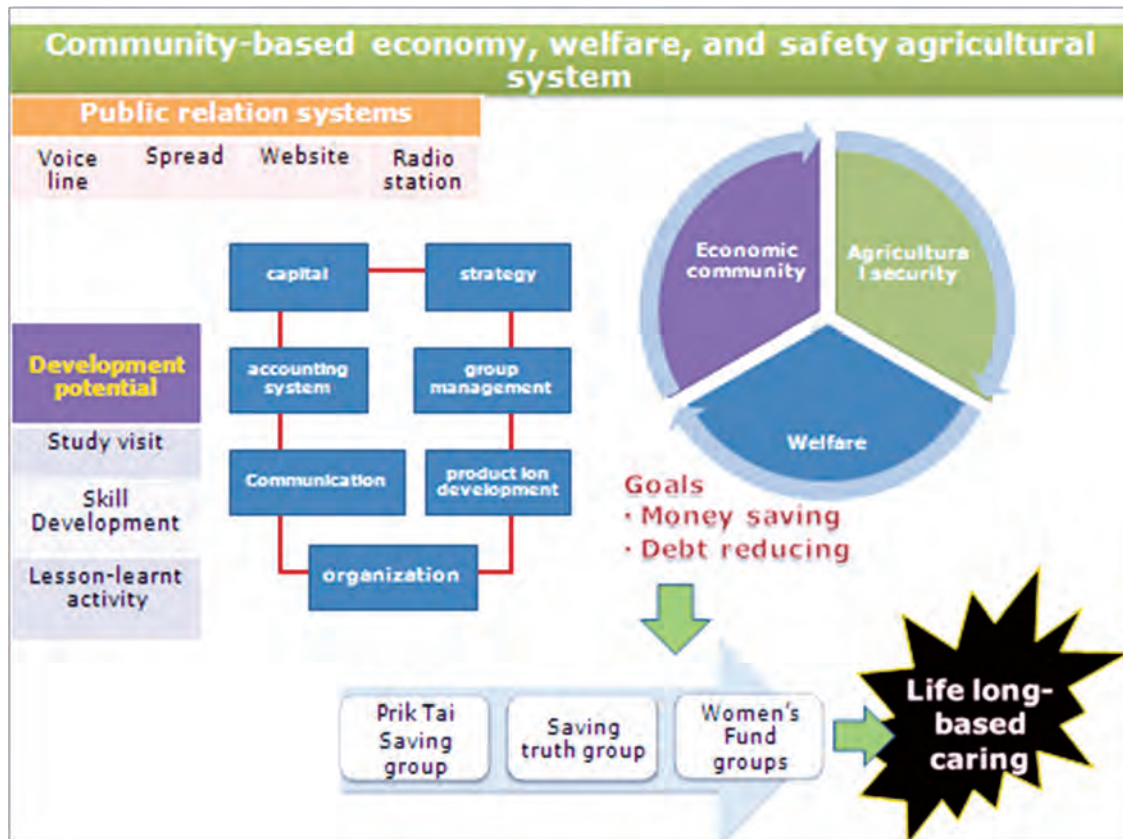


Illustration 8. Community-based economy, welfare, and safety agriculture system

#### 7.4 The Learning and Educational System

Prik municipality has set up learning centers for self learning and the educational system. This center is based at a school and the main actors running the activities are the students with support from the teachers.

The main coordinator is the Acting Director of the Division of Education, Prik municipality, Mr. Hadanand Lohsoh.

In the learning and educational system, there are five learning centers organised to support this theme. The facilitators of these leaning centers, since it is a school-based activity, are the students with support from school teachers such as Araya Nuanvilai, Arnon Madlied, Parameerat Thongsujarid, etc.

The objectives of this learning center are (i) to allow the participants to learn about the educational system, set up to serve the local community, especially the Muslim society, (ii) to provide guidelines in implementing local wisdom and a path for sufficient economy, (iii) to integrate the learning system within schools and communities and (iv) to provide understanding and knowledge for all participants through education at all ages.

The major activities include lectures and demonstrations by students to produce bio-detergent, bio-gas, soap and to run a recycle bank. The audio-visual equipment used in this learning center consists of loud-speakers, documents, flowcharts to help participants visualise the subject matter, and some equipment for demonstration.

The manager of the Recyclable Bank is Ms. Ropiah Tohheem. The bank is mostly organised by the students. Every Friday morning, the students bring their recyclables to the bank and sell it there.

The expected outcomes for this learning center are the increase in participants' awareness, the knowledge gained from this learning center, and the application of the concept of a "learning-based society".

Major activities based on the five learning centers include waste separation center, bio-gas center, compost center, recycling center, and sufficient economy center, as shown in illustration 9. Details of the activities conducted at each learning center are shown in appendix 3.

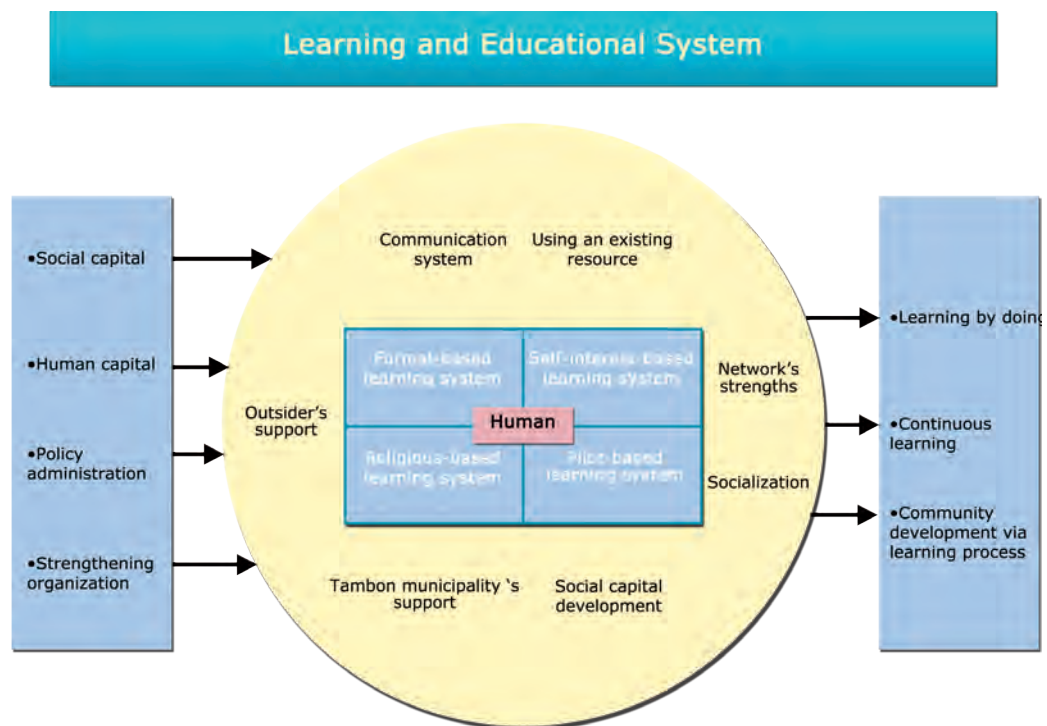


Illustration 9. Learning and educational system



## 7.5 The Voluntary Healthcare System

This refers to the voluntary healthcare system. Various activities were initiated and the community core team have been working together to organize the activities. The main coordinator is the Director of the Division of Sanitation and Environment, Ms. Nutcharee Airloui.

Under this theme, there are 6 learning centers to carry out the activities. The objectives of these learning centers are (i) to provide healthcare for certain group of people i.e. the disabled, mothers and babies, pregnant women, the elderly, and chronic patients. (ii) To get students involved as healthcare junior volunteers in order to increase their awareness of working with the disadvantaged groups.

The major activities include lectures and demonstrations of how to take care and handle a certain group of people as well as patients. The audio-visual equipment used in this learning center consists of loud-speakers, documents, flowcharts to help participants visualise the subject matter, and some equipment for demonstration.

The expected outcomes for this learning center are to increase the awareness among community people for helping each other. This also leads to the voluntary-based activities for healthcare system.

Illustration 10 below illustrates the voluntary healthcare system. Details of the activities conducted at each learning center are shown in appendix 4.

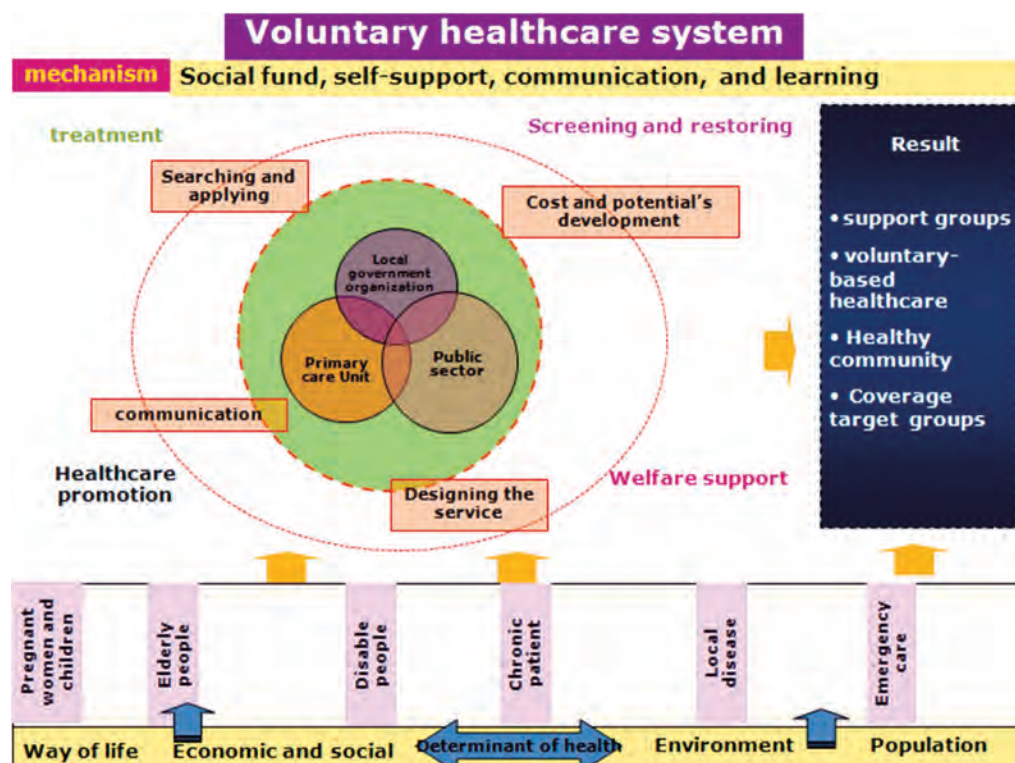


Illustration 10. Voluntary healthcare system

## 7.6 The Communication System

This refers to the communication system both within the community and with the world outside. The main coordinator is the Acting Director of the Division of Social Welfare, Ms. Nipa Tohheem.

One learning center and a community radio station form part of this communication system. The objective of this learning center is to provide the basic concept and an example of a channel for two-ways communication. It is to ensure that this channel will support the attempts of the municipal authority to be more responsive to the local people's needs and that there is a better fundamental service for everyone.

The major activities of the community radio include providing lectures and demonstrating how to run the program as a D.J. The audio-visual equipment used in this learning center consists of loud-speakers, documents, flowcharts to help participants visualise the subject matter, and some equipment for demonstration.

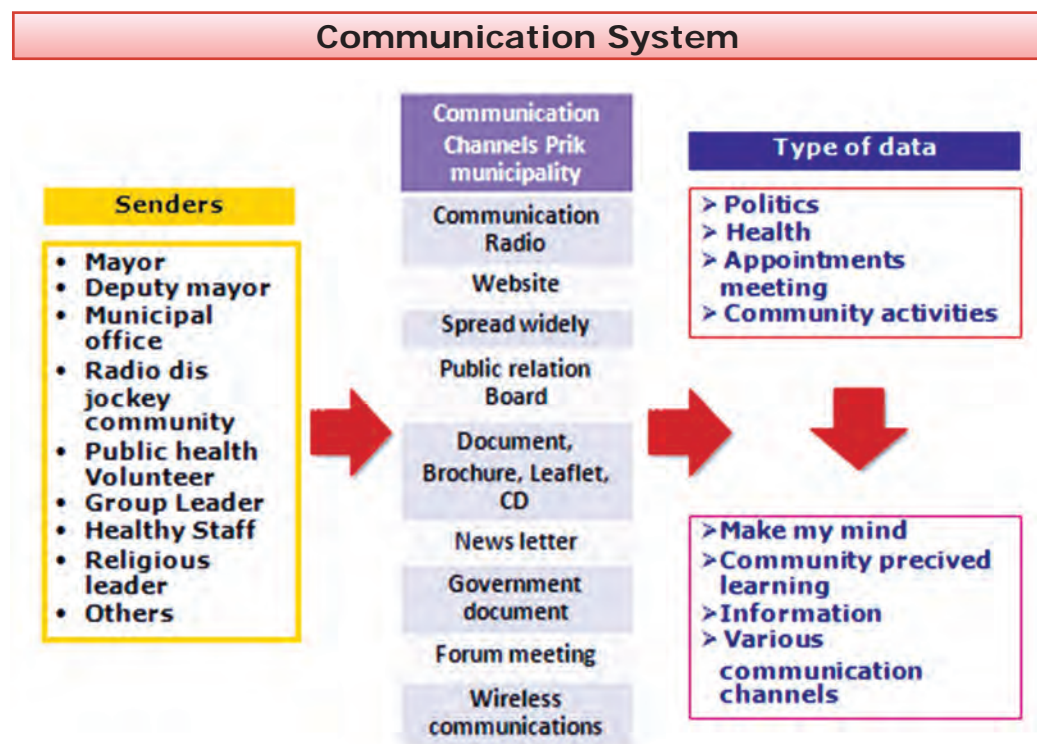


Illustration 11. Describe flow of communication system Details of the activities conducted at each learning center are shown in appendix 5.

## 8. Steering Body and Coordination Mechanism

The learning process was designed to establish change agents in the following three main groups:

### 8.1 The Municipal Staff

The process to build up capacity of the municipal staff has ensured that they have reached a certain understanding of the local community and can work well at community level, having become more service-minded.

By now, the motto of the municipal staff is “I am ready”. This refers to their willingness to take a pro-active role and apply the ideas of adaptation, exchange and dynamism into their administrative system.

### 8.2 The Community Core Team

This group can be divided into two sub-groups:

- The core team, which is the internal mechanism, includes the municipal staff recruited under the bumiputra approach and working in the tandem system. This means they will be working in groups and are assigned to be “community coordinators” to collaborate with each target community. Their role is to work closely with the people of the community in running the project. Thus, it can be ensured that the municipal authority utilizes these people as “links” to connect the local government to the people of the community.
- The second group consists of the community members who have become involved and who have empowered themselves to become community leaders. The people from this group are so called “community leader change agents”. Over time, they have become the community’ experts in supporting the Healthy Tambon’s activity.

### 8.3 The People of the Community

These are the people taking part in the community’s activities, including the learning centers. The intention of the municipal authority is to provide capacity building activities to the local people, through the participatory process development and the learning-based activity.

Prik municipality builds up the learning-based society in such a way that the core team consists of a systematic thinker, an administrator, a practitioner, a facilitator and a knowledge manager (see illustration 12).

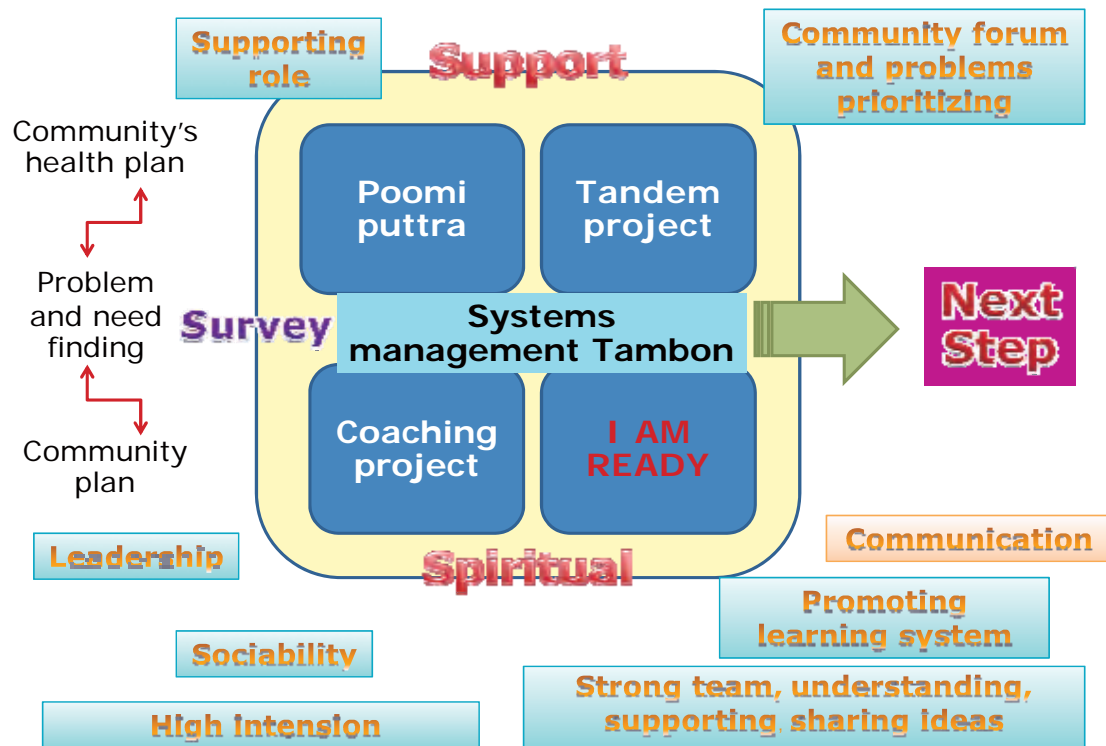


Illustration 12. Systems towards administrative management

## 9. Sequence of Activities and Vertical and Horizontal Coordination

The major working and learning elements can be divided into three areas: database management, the participation of all and team work, and the opportunity to have access to learning and education.

### 9.1 Database Management

One of the priorities of Prik municipality is the database management which allows local people to identify the problems in their community via various channels i.e. meeting with local people and forming local groups.

Since local people are taking part in the activities, they have to join the monthly meetings. In these meetings, the progress of their activities, difficulties and lesson learnt will be discussed and solutions sought. As mentioned by the Prik Mayor in one of the monthly meetings, "it is the time for everyone to share their ideas. The solutions come from participating actors. It is clear that the municipal governments does not leave local people to deal with the problems by themselves, indeed, they work and share and support each other and you never walk alone!" (Prik municipality, 2010)

In addition, all relevant data and work progress will be uploaded on the municipal website.

## **9.2 Participation and Teamwork**

Prik municipality's work is based on the concept of engaging all members of the local community and giving them responsibility for their municipality. All actors at the local administrative level, including local government officers, local people, members of the municipal council and the municipal staff need to cooperate. (Prik municipality, 2010).

The activities of Prik municipality are never 'directed' by money. Indeed, the focal point of this municipality is human-centered development. Since this is not an easy task, the municipality often turns to the support network surrounding the community, asking them for help in solving difficulties. This support network includes public sector organisations, academia, and non-government organisations (Prik municipality, 2010).

## **9.3 Opportunity to have Access to Learning and Education**

This refers to a chance for the local actors to learn and share through various channels, for instance, learning from the experts, sharing the lesson learnt and learning from other cases through field trips. The community core team regularly visits other municipalities to learn from them and share experiences. This provides capacity building support to enhance their projects and activities (Prik municipality, 2010).

Regarding the vertical logic, it can be seen through the provision by the municipal government in setting up the database management system, conducting the monthly meetings as local forums for the community core team to participate in, as well as in providing the opportunity to have access to learning and education.

The horizontal logic, on the other hand, can be seen through the network and the partnership among internal and external actors.

## Section C. Evaluation of the Best Practice Model

### 1. Sustainability of Prik's Best Practice Model

- This model has shown that it is sustainable. Right now, Prik municipality has acted as a role model for many other local governments to learn from. This municipality has served as a "learning center" for outsiders, and at least 10 representatives of other local governments visit Prik every month.
- Since 2009, the Thai Health Promotion Foundation has promoted Prik municipality as the "pilot area" for the project of "Healthy Tambon Network". This means that Prik, both the municipality and its community, have to play an exemplary role for Tambon Administrative Organizations (TAOs) from southern Thailand to learn from. This project has supported 20 TAOs a year, or overall 60 TAOs, between 2009 and 2011 to come and adopt the model of Prik to their own communities.

### 2. Major Success Factors of Prik's Best Practice Model

Major success factors which influence this model are:

The "capital" of Prik municipality can be seen as "community capital" including the ecological, financial, social, human resource and wisdom capital.

- Ecological capital: Prik municipality is an agricultural-based community. The geographical factors allow most local people to work in rubber plantation and orchards, leading to better incomes.
- Financial capital: Apart from earning salaries, local people are also involved in various community-based activities which generate income and enable them to save some money. For instance, the occupation groups or the saving fund group can contribute to household savings. Moreover, souvenir making, catering, and home-stay can be another income source.
- The social capital can be seen by the relationship within the local community. Ninety percent of the local people are Muslim. Its social capital is based on kinship networks and local culture.
- Human resource capital: The community core team has been continuously developing people's learning processes.
- Wisdom capital: Since the local community core team has been empowered, the team supports the community to apply their capacity in practice. (Pisitattagul, 2002; Boonkeaw, 2009; Choosuk et al, 2010).



The roles of core team community members are significant. There is evidence of strong leadership in some communities (Boonkeaw, 2009). Moreover, input from participatory research methods has fostered the capacity building of the community core team.

The roles of the Mayor and the officials are evident, particularly the Mayor's outstanding characteristics, acting as the coach and mentor to his staff instead of resorting to a top-down working style.

External agencies play a key role in supporting the municipal and community activities and projects. The support from external factors have brought the continuous and effective coordination (Pisitattagul, 2002). The role of external agencies is shown in illustration 13.



*Illustration 13. Prik municipality and Roles of External Agencies*

### 3. Major Challenges and Obstacles of Prik's Best Practice Model

Factors challenging the design and implementation of this model include:

- The extra workload for the community core team to be speakers, facilitators, as well as attendees joining many meetings, can affect their daily life. The municipal authority, therefore, tries to solve this problem by training other people in the community to take on some of the core team functions. Some external experts also warned that, since the participation is limited to a group of people, this can lead to social discrimination, with the marginal groups not being involved in community life in the same way. All actors involved have to look at ways of closing this gap.

- The problem of possible internal politics within the community. Pisitattagul (2002) found in her research that there has been some conflict amongst the people of the community about the quality of the performance of the municipal executives. This may be one reason why many local people have not yet become involved, even though the community core team tries to enhance the participatory-based activities. The problem of “silent majority” at the community level needs to be taken into account.
- Limitations of the support the municipality can offer in terms of budget, personnel and time (Pisitattagul, 2002). In particular, as Prik is the Tambon, or sub-district, municipality which is very small, an insufficient number of officials to coordinate and work with the villagers was a problem. This is why Prik municipality is relying to a great extent on a support network to carry out the activities.

#### **4. Why This Model is Viewed as Best Practice**

This model shows the integration of a local community in a collaborative effort towards a shared vision. The “Healthy Tambon” project is an example of how a multi-partnership approach is used to deal with a public issue.

Community participation can be promoted by a civic culture that supports the involvement of citizens (Docherty 2001: 2250). Community participation, in the case of Prik, may be fostered through a “learning-based society”.

#### **5. Prik’s Best Practice Transfer and Replications Adaptability**

Although Prik municipality is small compared to many other municipalities, this model shows the “paradigm shift” from “local government” to “local governance” which is vital.

The government-based municipality defines its relationship with the people living there as “donor and recipients”, and which has been shown to not be a very successful approach. The “good governance concept” and having a “partnership” between people in the community and the municipality must be recognized as a “new approach” for local authorities. To empower the local community and provide them with a space to share and learn in while developing their community is a holistic-based approach which should not be ignored. It is undeniable that the Prik model should be one of the best practice examples for other municipalities to learn and share in terms of moving their community towards Healthy Tambon.

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## Websites

[www.pttplc.com](http://www.pttplc.com)

[www.tonprik.org](http://www.tonprik.org)

Appendix 1. The Environmental Management and Renewable Energy System

Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation System
1. Renewable energy group	To provide the basic concept of waste to energy and demonstrate	<ol style="list-style-type: none"> <li>1. To allow the participant to share and learn how to manage waste</li> <li>2. To simulate the participants' awareness and to apply it to their own cases</li> <li>3. To provide an alternative waste management system and maximizing the waste values</li> </ol>	<ol style="list-style-type: none"> <li>1. Moo 2- the learning center for sufficient path</li> </ol>	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Demonstrate</li> <li>• Share</li> </ul>	<ol style="list-style-type: none"> <li>1. Mr. Sakareeya Madlied</li> <li>2. Mr. Ali Madni</li> <li>3. Ms. Ropiah Tohheem</li> <li>4. Mr. Chaya Sanmad</li> <li>5. Kansuda Armeen</li> <li>6. Araya Nuanvilai</li> <li>7. Renuka Denmad</li> </ol>	<ul style="list-style-type: none"> <li>- Speaker</li> <li>- Documents</li> <li>- Flow chart</li> <li>- Equipment</li> </ul>	<ol style="list-style-type: none"> <li>1. Observing the interest of the participants</li> <li>2. Evaluation form</li> <li>3. The involvement of the participants</li> </ol>
2. Household-based solid waste management group	To provide the basic concept and to demonstrate waste management at the household level		<ol style="list-style-type: none"> <li>2. Moo 3- Thalad Tai-Ban Klang community</li> </ol>				
3. The recycle bank	To provide the operation of recycle bank conducted by students		Moo.3 Thalad Tai-Ban Klang community				
4. The municipality's composting plant	To provide the basic concept/ methods, and to demonstrate the waste composting		municipality's composting plants				





## Appendix 2. The Community-Based Economy, Welfare and Safety Agriculture System

Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation system
1. Artificial -flower making group	Producing the artificial flowers and to earn income	1. To provide the basic concept and example in how to formulate groups and how to mobilize the group-based activities. 2. To provide the guidelines for practicing the local wisdom and a path for sufficient economy	Artificial -flower making group - Moo 3 Thalad Tai-Ban Klang community	Lecture Demonstrate Share DIY- Do it yourself	Ms. Thassanee Sontivong	- Speaker - Documents - Flow chart - Equipment and materials to demonstrate	1. Observing the interest of the participants 2. Evaluation form 3. The involvement of the participants
2. Herbal group	Producing the herbal products and provide knowledge in how to conduct the activities		Herbal group -Moo 3 Thalad Tai-Ban Klang community		Ms. Sunisa Madsoh		
3. Thai dessert and bakery group	Producing Thai dessert and bakery and how to conduct the activities		Thai dessert and bakery group -Moo 3 Thalad Tai-Ban Klang community		Ms. Sunisa Madsoh		
4. Chilli paste group	Making chilli paste and how to conduct the activities		Chilli paste group-Moo 3 Thalad Tai-Ban Klang community		Ms. Ropiah Tohheem		
5. Coconut milk group	Making coconut milk and how to conduct the activities		Coconut milk group – Moo 2 Thung Ork community		Ms. Jammree Kaewead		
6. Curry paste group	Making curry paste and how to conduct the activities		Curry paste group – Moo 5 - Suan Mom community		Ms. Jariya Maddey		



Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation system
7. Sewing group	Making the garments and how to form the groups		Sewing group – Moo 5 - Suan Mom community		Ms. Maseedoh Dar-Ie		
8. Thai local dessert group	To provide the understanding and knowledge in making the garments and how to form the groups		Thai local dessert group Moo 4 - Rarn Nai community		Ms. Sowdah Raabjan		
9. Prik municipality saving group	Methods in forming the group - how to increase savings and reduce cost		Prik municipality saving group –Moo7 –Prik Tai communit		Mr. Amarit Ruangrot		
10. Saving truth group	Methods in forming the group - how to increase savings and reduce cost		Saving truth group –Moo7 –Prik Tai community				
11. Fresh flower group	Forming group to do flower decoration and to earn income		Fresh flower group – Moo 1 Thalad Prik community		Ms. Sirikhwan Ananthapan		
12. Safety agricultural group	Basic knowledge and guidelines in living under the path of sufficient economy To understand the household-based food production and linkage to the waste management		Safety agricultural group- Thalad Prik community		Mr. Farid Benmusa		



### Appendix 3. The Learning and Educational System

Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation System
1. Waste separation center	To separate the waste and concern its importance	(i) To allow the participants to learn the educational system set up to serve the local context, especially the Muslim society  (ii) To provide the guidelines in practicing the local wisdom and a path for sufficient economy  (iii) To integrate the learning system between schools and communities  (iv) To provide the understanding and knowledge for all participants via education for all generations	Prik municipal school	Giving lecture, and demonstrating by students in making the E.M., making bio-detergent, biogas, soap, and recycle bank by the students	Students	Speaker, the documents, the flowchart to visualise the participants, and the equipment to demonstrate	1. Observing the interest of the participants 2. Evaluation form 3. The involvement of the participants
2. Bio-gas center	To learn how to make the best use of organic waste to generate bio-gas						
3. E.M. and composting center	To make the E.M. and composting via the organic waste						
4. recycling center	To maximising the values of waste via 3 Rs						
5. Sufficient economy center	To learn how to live via a path of sufficient economy						





## Appendix 4. The Voluntary Healthcare System

Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation System
1. Disable people healthcare group	The process in caring for and handling mentally ill patients	To gain the knowledge and understanding in caring for mentally ill people	– Moo 2 Thung Ork community	Lecture Demonstrate Share Participation in caring the patients	<ul style="list-style-type: none"> <li>- Ms.Darunee Satirabutra</li> <li>- Ms.Jariya Madday</li> <li>- Ms. Sookruthai Nuidode</li> <li>- Ms. Rochedah Malinee</li> <li>- Ms.Naiyana Kaewthuy</li> <li>- Ms. Moonerah Madni</li> <li>- Ms.Siriporn Klinpitak</li> <li>- Ms. Soodsawad Madsoh</li> <li>- Ms. Sowdah Rabbjan</li> </ul>	<ul style="list-style-type: none"> <li>- Speaker</li> <li>- Documents</li> <li>- Flow chart</li> <li>- Equipment and materials to demonstrate</li> </ul>	1. Observing the interest of the participants 2. Evaluation form 3. The involvement of the participants
2. Elderly people healthcare group	<ul style="list-style-type: none"> <li>- The process of caring for and handling elderly people</li> </ul>	To gain knowledge and understanding of caring for elderly people	– Moo 2 Thung Ork community				

Name of Learning Center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation System
3. Healthcare volunteer for mother and children	- The process of caring for and handling pregnant women and infants under 6 years	To gain knowledge and understanding of caring for pregnant women and infants under 6 years	Thalad Tai-Ban Klang community				
4. Healthcare for chronic patients	The process of caring for and handling patients with chronic diseases	To gain knowledge and understanding of caring for patients with chronic diseases	Moo3 Thalad Tai-Ban Klang community				
5. Healthcare volunteer junior	The role of the healthcare volunteer juniors in caring for and handling the health of the local people	To gain better understanding of caring for the health of the local people	Moo3 Thalad Tai-Ban Klang community				
6. Emergency medical service (E.M.S.)	The process of providing the E.M.S. services	To gain a better understanding of carrying out the E.M.S. services	The civil defence volunteers				





## Appendix 5. The Communication System

Name of learning center	Content	Objectives	Venue	Methods	Speaker	Media	Evaluation system
1. Community radio and public relations	The process of operating the community radio and the public relations tasks	To gain better knowledge and understanding of operating the community radio and public relations	The community radio station: Prik municipal office	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Demonstrate</li> <li>• Share</li> <li>• Participate in being the D.J.</li> </ul>	<ul style="list-style-type: none"> <li>• Mr. Kosem Da-ie</li> <li>• Mr. Poramin Moohamad</li> <li>• Ms. Panjaree Changpood</li> <li>• Ms. Nipapat Kesornmad</li> <li>• Ms. Ratjanee Rakpetch</li> </ul>	<ul style="list-style-type: none"> <li>- Speaker</li> <li>- Documents</li> <li>- Flow chart</li> <li>- Equipment and materials to demonstrate</li> </ul>	<ol style="list-style-type: none"> <li>1. Observing the interest of the participants</li> <li>2. Evaluation form</li> <li>3. The involvement of the participants</li> </ol>





## **Best Practice 7 | BP7**

### **Participatory Urban Planning, Guimaras, Philippines**

Author:

**Dr. Alvin Ang**

with the support of LOGODEF (Local Government  
Development Foundation in the Philippines)

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## Section A. Best Practice Description

### 1. Introduction to the Best Practice Model and Its Innovative Elements

Guimaras is a small island-province with six towns which is located in western central Philippines or in Administrative Region 6. During the implementation of IPPP (Integration of Plans and Planning Processes), the province received support from the German Agency for Technical Cooperation (GTZ) and the United States Agency for International Development (USAID) since Guimaras was then a high priority province of the USAID program on local governance in the Philippines. However, the experience of Guimaras on the IPPP has not been confined to that province, since under Section 13, Article 10 of the 1986 Constitution, Interlocal Cooperation is advocated. This advocacy is repeated in Section 33 of the Local Government Code whereby development planning beyond political boundaries is strongly advised and supported.

The Guimaras experience in IPPP can be an instructive lesson to municipalities similarly situated which may wish to replicate the Guimaras project.

The innovative planning process adopted in the island-province of Guimaras is so far the only one successfully attempted and completed in the country. The reason for that is, that this was the first time that the Provincial Physical Framework Plan (PPFP) was drafted simultaneously with that of its five component municipalities, i.e.: Jordan, Buenavista, San Lorenzo, Sibunag, and Nueva Valencia. It is a pioneering effort in terms of planning, which ensures both vertical and horizontal linkages of plans – linking the provincial plan to the regional plan and linking it to the plans of the municipalities.

Several characteristics of the planning process have helped it to be regarded as a best practice:

- It is a plan that the province and the five municipalities were able to agree on, especially on the element of the functional roles of each municipality. The province plays a leading role in this initiative, with its municipalities advancing from competing with adjacent municipalities to focusing on their own strengths and advantages.

According to Engr. Evan Arias – one of the supporters of the planning process, “When the municipalities did their own plans independently, as is happening elsewhere, they tend to have a little of everything – tourism, agriculture. They then tend to compete with the other municipalities. Sometimes, too, there are conflicting land use plans between adjoining municipalities. But for this process, we are able to harmonize the plans. The municipalities also agreed to play their functional roles.”



- The plan integrates tourism, which is a major economic driver of the province, with agriculture. Consequently, the direction of economic development adopted by the provincial and municipal plans is agro-tourism.
- The plan is holistic for the island-province with sustainability as the primary objective. While there may be different perceptions on how the island should be developed for its sustainability, the plan charted the direction for the province. The province came up with a plan that everybody agreed on, even though the process involved a wide range of interests and sectors.

Engr. Arias added that the province of Guimaras pushed for the kind of development that will not endanger the island's environment. This decision is backed up by previous scientific studies and data gathered data on Guimaras's environmental condition. He said, "During the planning process, we advocated a sustainable development that will not jeopardize our island. The planning took almost three years considering that we had a lot of consultations with the *barangays* [villages or communities] and municipalities."

- The planning process gives a new meaning to the term 'consultation'. "Consultation is no longer injected only after the plan has been drafted for presentation to the community for comments and validation." During the planning process of the province, consultation was carried out even at the early phase of data analysis and in the course of drafting the development alternatives. The stakeholders actively participated in the process and were 'consulted' in the identification of the province's development directions. Consultation in the Guimaras experience immerses the stakeholders themselves in the planning process.
- The planning process brings about a sense of ownership amongst the stakeholders. Stakeholders take part in the planning which leads to a formulation of their various plans. As a consequence, they have a stake in the outcomes which are agreed as part of the planning process. It is also an interesting fact, that those who were involved in the initial phases of the planning continuously support the implementation of the plans up to this date, even even when they are not in the same positions anymore.

When referring to the chosen development emphasis on agro-tourism, Tourism Section Head Angeles Gabinete said, "Agro-tourism was chosen by the stakeholders because at least 52%-58% of the Guimaras population are farmers. This choice is not about changing agriculture but supplementing it, making it more productive and profitable by adding tourism experiences. The initiative is loved and accepted by the stakeholders themselves."

## 2. Reasons for Program Development, Shortcomings and Challenges Addressed by Best Practice Model

In 2003, a partnership project called the Decentralized Planning Structures Project (DPSP) was forged between the Federal Republic of Germany and the Republic of the Philippines. As part of this six years project, the DPSP aims to strengthen the capabilities of selected government agencies such as the National Economic Development Authority (NEDA) and the Regional/ Local Development councils in terms of planning, investment programming, budgeting, and monitoring (PPBM) processes as well as project development and management.

The DPSP is implemented in the Visayas by the NEDA, with the technical and financial support of the German Agency for Technical Cooperation (GTZ). The three regions in the Visayas are assisted to strengthen their national-regional-local relationships or linkages and integrate their regional-local planning systems.

The following are the key result areas of the project:

- National, regional and local development systems and processes are harmonized and integrated within a decentralized planning framework;
- Private sector participation in regional and local development planning and implementation is enhanced;
- Regional and local planners and implementers are equipped with skills and tools in development planning, investment programming, budgeting and monitoring of programs and projects; and
- An integrated information and communication technologies (ICT)-based information system for regional development planning is operational.

In the Western Visayas Region (Region 6), the DPSP has adopted the island-province of Guimaras as a pilot area for developing and demonstrating the approaches and methodologies for administering a two-pronged integration of plans and planning processes – vertical and horizontal. Vertical integration refers to the integration of plans from the regional to the provincial and the municipal levels. Meanwhile, horizontal integration of different plans is administered amongst adjoining local government units (LGUs) and barangays [villages].

Prior to the integration of plans, Guimaras was the only province in the Western Visayas Region that did not have an approved PPFP. That was one of the reasons why the GTZ-assisted project chose Guimaras as a pilot area for its programs. Secondly, Guimaras has a manageable geographical size and provincial political structure, consisting of only five municipalities. Hence, it introducing and administering systems or processes in the area is manageable. Furthermore, one of the advantages of having a small-sized province is that

the people in the area are easily unified in terms of addressing challenges and reaching common goals.

The planning process stems in part from concerns about sustainability issues arising in Guimaras. The perception of development in the province is different among the stakeholders. For example, some stakeholders welcome industries like mining while others do not as they deem them destructive. Guimaras basically reached a point where it has to wrestle with development alternatives that are industrial-based such as mining on the one hand, and agro-tourism initiatives that need not put at risk the integrity of the island's environment.

Also, the planning paved way to Guimaras' compliance with Republic Act 7160 which mandates local government units to prepare and update their respective land use plan. Section 20 (c) of the Local Government Code of 1991 states:

*"The local government units, shall in conformity with existing laws, continue to prepare their respective comprehensive development plans enacted through zoning ordinances which shall be the primary and dominant bases for the future use of land resources; provided that the requirements for food production, human settlements, and industrial expansion shall be taken into consideration in the preparation of such plans."*

The model was developed with the following objectives:

1. To assist the officials and residents of Guimaras in preparing and completing their provincial physical framework plan (PPFP);
2. To establish the substantive linkages between the regional physical framework plan (RPFP) and the PPFP on one hand, and the PPFP and the comprehensive land use plans (CLUP) of the component municipalities on the other;
3. To develop and apply approaches and methodologies for effecting integration of the planning systems at the regional, provincial and municipal levels;
4. To document the process for possible replication in other areas and regions.

### **3. Results Achieved and Relevance to Public Life**

The expected tangible outputs produced at the end of the project were:

1. Complete draft of the PPFP of Guimaras;
2. Revised drafts of the CLUPs of the component municipalities.

More than these project outputs, it was also the first time that a concrete application of the integration of plans and planning has been made.

An authoritative account on the concept of integration was given in the paper entitled “Review and Prospects for Land Use Planning in the Philippines” published in the United States Agency for International Development (USAID)-funded *A Study of Regional and Local Planning Systems*, Book II, 1993. Later, a revised version of the paper was included in Chapter 4 of the book by Prof. Ernesto Serote, *Property, Patrimony and Territory: Foundations of Land Use Planning in the Philippines* (Serote, 2004).

Below are key features of the integration concept as described by Prof Serote:

- The physical framework and land use plans must be integrated vertically because land use policies must be consistent across all administrative levels;
- Medium term development plans need not be vertically integrated all the way. A break between the region and the province and between the province and the municipality is necessary to reflect the relative autonomy of local governments;
- National agency programs are naturally integrated vertically because they are developed at the national level and only implemented at lower levels;
- Public investment programs must be articulated vertically because of their powerful effect on the shape and direction of development at all levels;
- Horizontal integration of plans within each administrative level is imperative, except for NGA programs which are normally implemented independently of local development plans.

Until a pilot test actually occurred, Prof. Serote’s concept of integration remained theoretical and unrealized. The GTZ-assisted project acted as a catalyst for the concrete application of the integration of plans and planning processes. The project demonstrated a viable framework for local planning and it helped evaluate and refine the concept of integration and its elements.

Despite being a pilot case, the Guimaras project also produced an exemplary framework that was, according to Engr. Arias, eventually adopted by the Department of Interior and Local Government (DILG) for the rationalized local planning system which is currently rolled out for Philippine municipalities and cities.

The “integration of plans and planning processes,” introduced and interpreted the terms of the DPSP project, including the activities and report requirements. It described the operational framework in place to manage the desired results, not only in delivering the identified tangible plans for the province and its municipalities, but also the significant vertical and horizontal integration of these plans.

#### 4. Description of Guimaras Province

Guimaras is an island province which lies southeast of Panay Island and northwest of Negros Island. The island is separated from Panay by the Iloilo Strait and is separated from the province of Negros by the Guimaras Strait.

Guimaras remained a sub-province of Iloilo until it acquired its provincial status on May 22, 1992. It is composed of five municipalities, i.e.: Buenavista, Jordan, Nueva Valencia, San Lorenzo and Sibunag. Its capital is Jordan. Originally, it was composed of only three municipalities. The municipalities of San Lorenzo and Sibunag are relatively new, created only in 1995 by virtue of R.A. 7897 and R.A. 7896, respectively.

Guimaras has a total of 98 barangays. Its total land area is 60,457 hectares (ha), almost 3% of the approximately 2,002,320 hectares regional total. Some 59,600 hectares comprise the mainland, Inampologan, Panobolon and Guiwanon Island, while the remaining 857 hectares are made up of uninhabited islands.

The province's population size is 141,450, according to the 2000 Census of Population and Housing, the latest census conducted. The total number of households is 27,465 as of 2000. Of the five municipalities in Guimaras, Buenavista is the largest municipality in terms of population size, comprising 29.5 percent of the total provincial population. Nueva Valencia and Jordan, the capital town, follow with 24.2 percent and 20.3 percent of the provincial population, respectively. Sibunag has the smallest population share with only 11.7 percent and San Lorenzo has 14.3 percent.

Guimaras has the smallest population in Region VI contributing only 2.28 percent to the 6,208,733 population of the region. At the national level, Guimaras makes up only 0.18 percent of the total Philippine population of 76.5 million. [Census, 2000]

As of July 2003, Guimaras' economy was dominantly dependent on the primary or agricultural sector which includes agriculture, fishery and forestry, with a 48.21% share in the total number of persons employed in the province in that sector. The tertiary sector contributes a 37.50% share and covers transportation and communication; wholesale and retail trade; financing, insurance, real estate and business services; and community, social and personal services. The lowest share of 14.29% is taken by the secondary sector with mining and quarrying; manufacturing; construction and electricity; gas and water. Guimaras is famous for its mango exports. Mango exportation is a very significant economic opportunity, Guimaras being the only qualified mango exporter province of the Philippines to the United States of America (USA). Apart from mango exportation, Guimaras has eventually become recognized for its pristine beaches and other existing/potential tourism attractions that can be developed into world-class destinations.

The province is headed by a governor who also leads the provincial development council (PDC) which is the planning body of the province. Along with him, the following are members of the PDC: all mayors of component cities and municipalities, the chairman of the committee on appropriations of the SP, the congressman or his representative, and representatives of NGOs operating in the province, who shall constitute not less than one-fourth (1/4) of the members of the fully organized council.

The SP exercises local legislative power for the province. The SP is composed of the provincial vice-governor as presiding officer, the regular sanggunian members, the president of the provincial chapter of the Liga ng mga Barangay, the president of the Panlalawigan Pederasyon ng mga Sangguniang Kabataan, the president of the federation of the sanggunian members of municipalities. The Guimaras SP has a total of 12 members.

## **5. Budget for Best Practice Implementation**

Under the project principle, the GTZ assists the province in the planning process not only by way of sharing technical expertise and capacity building, but also with funding. After normal start-up expenses which were mostly incurred for meals, consultant fees, workshop materials, office supplies and the publication of reports, the rest of the costs such as transportation, public consultations and other incidental expenses, were mostly shouldered by the province. The transportation costs covered were for the PPDO (Provincial Planning and Development Office) team accompanying the consultant in the frequent conduct of field works and consultations in the different municipalities of the province and other venues.

There were also instances when some of the host municipalities paid for the meals. No major pieces of equipment were purchased as the team and the municipalities used already existing provincial facilities. The project, however, provided the necessary computer units for the municipalities and the technical working group in order to facilitate data management.

Assistance of the GTZ for the planning process was from 2004-2006. On the later progress of the project, the costs were taken over by the province – from the final reports, to follow-up meetings and the presentation of the results.

## **6. Specific Technical Expertise**

In order to adopt effective means to work jointly with its funding partner, Guimaras province sought the expertise of NEDA. The presence of regional NEDA ensured compliance to guidelines especially in the formulation of the PPFP linked with the RPPF. The regional NEDA was instrumental in working with GTZ to find a match between GTZ's decentralization project and potential beneficiaries. The concept was developed to conduct a pilot test of a specialized local planning process, and Guimaras was chosen in the Western



Visayas Region. GTZ provided extensive technical assistance to help Guimaras develop certain plans for the province and the municipalities. The project was timely, considering that it dovetailed the development strategies of the island-province which are anchored to the plans.

Noteworthy is also the technical expertise of the main consultant, Prof. Ernesto Serote, from the faculty of the School of Urban and Regional Planning, University of the Philippines at Diliman, in developing strategies for integrating the provided technical assistance of NEDA with the effective approach applicable to the planning activities. Prof. Serote designed the consultation and capacity-building activities in such a way that these endeavour to have a long term positive impact by building municipal-level technical capacity interpretation – as requested by local communities themselves.

Instead of providing consultative expertise to a draft plan, Prof. Serote existed as a resource for as long as the planning warranted it – by developing local expertise and delivering a reliable output. He provided the general direction in the planning process. With the GIS already in place, Prof. Serote as the consultant provided the techniques and technical know-how to analyze the already available data using GIS. While other provinces may have the GIS capability, the technical expertise of a consultant to perform the analysis may be required. Apart from Prof. Serote, a support team was also present for the documentation and facilitation of the different activities in the course of the planning.

## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

The initial activity of the program – a general orientation and organization of the local planning structures - was started in December 2004. During an inception workshop on planning database preparation and analysis, conducted by the NEDA the project was introduced for the first time.

Following the orientation and inception workshop, activities geared towards the capacity-building approach were adopted for the technical component of the local planning structures. This involved providing the input of consultants in the form of conceptual frameworks and analytical tools, as well as introducing techniques through seminar-workshops, guided exercises and long assignments. Through this approach, the stakeholders themselves were responsible for producing the intermediate and final outputs. This was a deviation from current consultancy practice in which the consultant prepares the planning document for the client. Under this innovative approach, the consultant ensures the quality of outputs through process- coaching and critique of outputs.

Moreover, participatory and consultative processes were used as a vehicle for getting political officials and decision-makers to participate. Public consultations were conducted at certain junctures of the planning process precisely for this purpose.

Below is the schedule that was proposed for the activities of the planning process.

Table 1. Proposed Schedule of Activities

Date	Activity	Persons Involved
December 7, 2004	General Orientation and Organization of Local Planning Structures	Representatives of the region, province and 5 municipalities
December 8-9, 2004	Seminar workshop on planning database preparation and analysis	Technical Staff from the region, province and 5 municipalities
January 11-13, 2005	Vision-Goals Workshop (Province)	PDC, SP and technical staff and 5 MPDCs
January 25-February 10, 2005	Vision-Goals Workshop (municipal)	Tech. staff of 5 municipalities, MDCs and SBs
February 22-24, 2005	Preparation of Presentation Materials	Prov. Technical staff and MPDOs
March 1-2, 2005	Public Consultation No. 1	PDC, SP and others
March 9, 2005	Public Consultation No. 1	MDC, SB and others (Mun. A)
March 10, 2005	Public Consultation No. 1	MDC, SB and others (Mun. B)
March 15, 2005	Public Consultation No. 1	MDC, SB and others (Mun. C)
March 16, 2005	Public Consultation No. 1	MDC, SB and others (Mun. D)
March 17, 2005	Public Consultation No. 1	MDC, SB and others (Mun. E)
April 13-15, 2005	Spatial Strategies Workshop (Province)	PPDO and MPDCs
April 20-22, 2005	Spatial Strategies Workshop (municipal)	Mun. A, B & C
April 27-29, 2005	Spatial Strategies Workshop (municipal)	Mun. D & E
May 4-6, 2005	Spatial Development Policies Workshop	PPDO, SP and PDC and 5 MPDCs
May 9-13, 2005	Land Use Policies Workshop	All MPDOs & reps. of MDCs & SBs
May 25-27, 2005	CDP/LDIP Workshop	MDC & MPDO (Nueva Valencia & Sibunag)
June 1-3, 2005	CDP/LDIP Workshop	MDC & MPDO (San Lorenzo & Buenavista)
June 7-9, 2005	CDP/LDIP Workshop	MDC & MPDO (Jordan)
June 10-30, 2005	Finalization and Editing of all outputs	PPDO, MPDOs, Consultant
	End-of-Project Report	Consultant

The planning process started and was completed during the gubernatorial term of now Congressman JC Rahman Nava. Then governor [JC] Nava was the in charge of the planning process. The present provincial governor, Gov. Felipe Hilan Nava, was then the mayor of the municipality of Jordan.

The PPDO coordinated the schedule of the activities with the stakeholders, ensuring that these activities were well attended. In addition, the office was responsible for drafting the reports and putting the gathered materials together for publication.

The Sangguniang Panlalawigan (SP) members showed their active involvement in the goal formulation workshop, in the selection of the preferred strategy for the province, and best of all, in the formulation of land and water use policies. Their skillful steering of the bilateral consultations between adjoining municipalities helped in resolving key issues.

Keeping in mind that the project is based on the principles of decentralization, municipal officials and department officers also played significant roles in the planning process. The Municipal Planning and Development Coordinator (MPDC) of each municipality ensured that its officials and sector representatives were invited to attend the different formulation workshops and public consultations. The municipalities were also hosts to the workshops scheduled in their corresponding areas.

Then mayor of Nueva Valencia, Diosdado G. Gonzaga, was commended for his consistent and active participation in practically all activities. The former mayors of Jordan and Buenavista, Felipe Nava (now governor of the province) and Samuel Gumarin (re-elected), respectively, also deserve honorable mention for their heroic effort to participate.

The deputy mayors also were active actors in the planning process, showing consistent attendance and participation. In terms of number of Sangguniang Bayan members consistently participating, it is a toss-up between Nueva Valencia and Sibunag for first place and between Jordan and Buenavista for second place.

The technical staff of NEDA Regional Office VI (NRO 6) and the entire PPDO had done an excellent job of facilitating and coordinating all activities both at the provincial and municipal levels.

Since there were also sectoral concerns, the planning process involved representatives of several non-government organizations (NGO) and civic organizations (CO). Those sectors, whose representatives were visible during the consultations, were of farmers, fisherfolks, teachers, religious affiliations, commerce and industry, banking, pumpboat owners, indigenous people, resort owners, electric cooperative, limers and lime factories, senior citizens, amongst others. The issues of these sectors were acknowledged and addressed.

Below is the sectoral committee composition decided upon by the stakeholders.

Table 2. Sectoral Committee Composition

Sectoral Committee	Core Technical Working Group (Must be there)	Expanded Technical Working Group (Nice to have around)	Full-Blown Sectoral Committee (The more the merrier)
1. SOCIAL DEVELOPMENT	MPDO Staff SWDO MHO POSO LDC Rep (brgy) LDC Rep (CSO) District Supervisor PTA Federation Sanggunian Rep	Police Chief Fire Marshall Local Civil Registrar Population Officer PCUP Nutrition Officer Housing Board Rep NSO Manager GSIS/SSS	Sports Organizations Religious Leaders Labor Groups Senior Citizens Media Reps YMCA/YWCA Inner Wheel Club School Principals Charitable Organizations
2. ECONOMIC DEVELOPMENT	PESO Agriculturist Tourism Officer Coop Devt Officer MPDO Staff LDC Rep (brgy) LDC Rep (CSO) Sanggunian Rep	DTI Representative Chambers of Commerce & Industry Trade Unions Bank Managers Market Vendors Sidewalk Vendors Cooperatives Transport Orgs	Lions Club Jaycees Rotary Club Academia Other interested groups and individuals
3. PHYSICAL/ LAND USE DEVELOPMENT	Municipal Engineer Zoning Officer MPDO Staff LDC Rep (brgy) LDC Rep (CSO) Sanggunian Rep municipal Architect	Electric Coop Rep Water District Rep Real Estate Developers Professional organizations Telecommunications companies Academe	Other interested groups and individuals
4. ENVIRONMENTAL MANAGEMENT	MPDO Staff LDC Rep (brgy) LDC Rep (CSO) General Services Head LG-ENRO Sanggunian Rep	Sanitary Inspector CENRO PENRO FARMC Reps BFAR Rep Heads of private hospitals Academe	Environmental Advocates Other interested groups and individuals
5. INSTITUTIONAL DEVELOPMENT	MPDO Staff LDC Rep (brgy) LDC Rep (CSO) LGOO Local Administrator Sanggunian Rep	HRDO Treasurer Budget Officer Assessor Academe	Religious groups Good Governance advocates Other interested groups and individuals
CORE TECHNICAL WORKING GROUP – composed of local government officials and functionaries whose tasks and responsibilities address the concerns of the particular sector directly or indirectly.			
"NICE TO HAVE AROUND" – other LGU officials, national government agencies operating in the locality, and important non-government organizations with functions and advocacies touching on the concerns of the particular sector. When added to the core TWG the resulting body becomes the Expanded TWG.			
"THE MORE THE MERRIER" – other groups and individuals, mainly from non-government sectors, who have a stake in local development in whatever capacity, enrich and enliven the full-blown committee's deliberations with their varied views, agendas, and advocacies.			

The planning process was structured as a training program consisting of four modules so that it was consistent with the capacity-building approach. Each module is briefly described below in terms of activities, inputs and outputs.

**Module I** - Generating the planning database, consisting of statistical information and maps, and applying selected analytical tools and techniques to derive various indicators of development and underdevelopment, of problems and constraints as well as challenges and opportunities for development. Outputs of this module include the updated ecological profile, a constructed statistical compendium and an accomplished “problem-solution” matrix.

**Module II** - Formulating new goals or revalidating and/or revising an existing vision statement. Outputs are the revalidated/revised vision statement, vision elements and their respective descriptors and success indicators, and the vision-reality gaps transformed into sectoral goals.

**Module III** - Formulation of the PPFP in the case of the province and the CLUP in the case of the municipality. There are three major activities in this module:

1. Generation of alternative spatial strategies taking into account the regional and provincial spatial strategy and choosing the most desirable alternative for the province or municipality;
2. Formulation of policies on settlements, production, infrastructure and protection areas, consistent with the preferred spatial strategy and with national policies; and
3. Formulating the implementation tools.

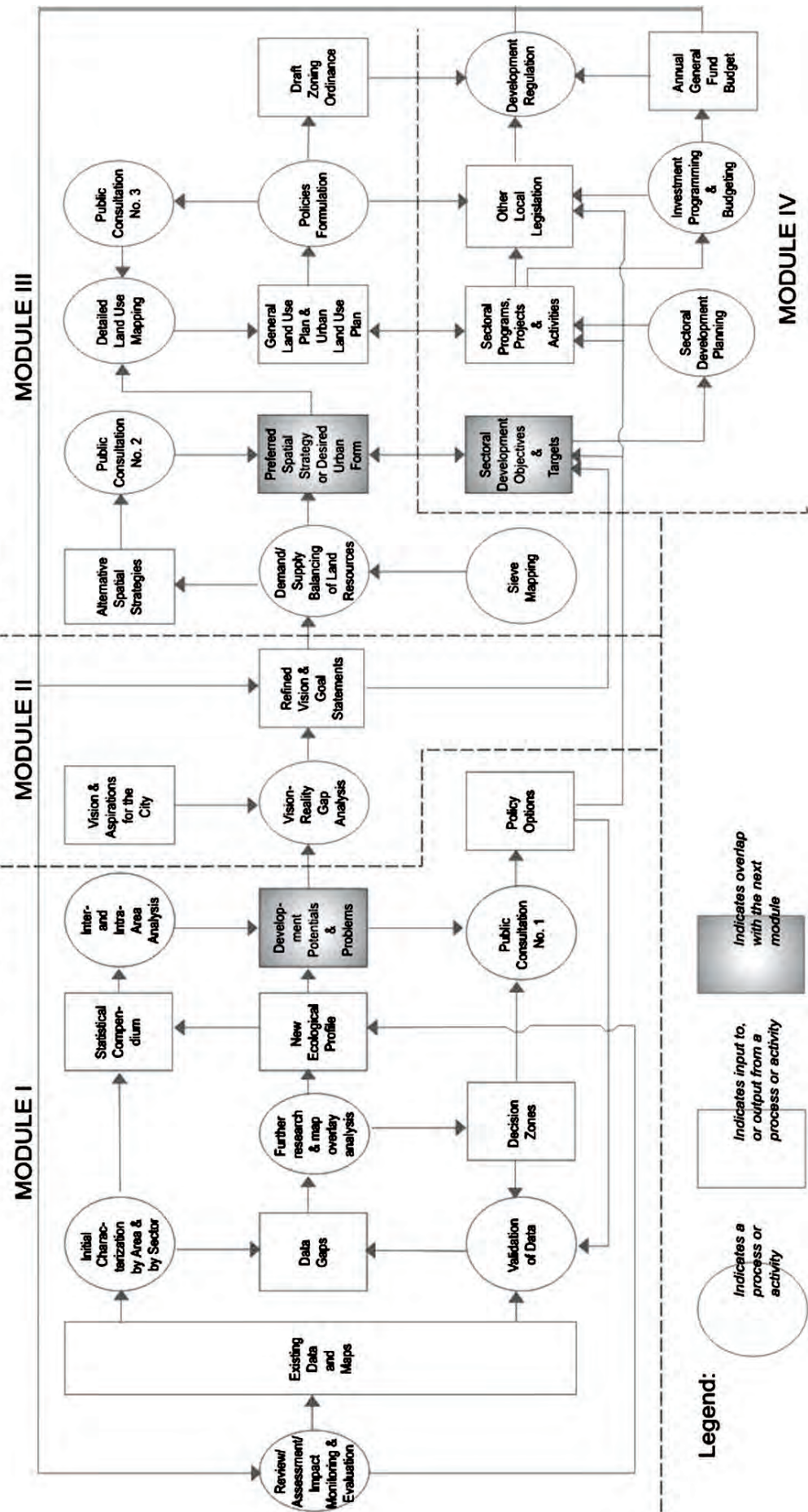
**Module IV** - Preparation of the 3-year Local Development Investment Program (LDIP) of each municipality.

Below is chart summarizing how the modules were implemented:



# The CLUP- CDP - LDIP Process Flow

Chart prepared by Ernesto M. Serote



## 2. Brief Description of the Implementation Process, Legal and Administrative Conditions, Qualifications Process, Monitoring and Evaluation

Below is the actual schedule of the activities of the planning and implementation process.

*Table 3. Revised Schedule of Activities*

Date	Activity	Persons Involved
December 7, 2004	Project Orientation	Representatives of the region, province and 5 municipalities
December 8-9, 2004	Planning Database Preparation and Analysis	Technical Staff from the region, province and 5 municipalities
January 18-20, 2005	Provincial Vision-Goals Workshop	PDC, provincial councilors, technical staff and 5 MPDCs
January 25-February 17, 2005	Municipal Vision-Goals Workshop	PDC, technical staff of municipalities, municipal councillors, MDC and NEDA staff
March 8-10, 2005	Inter/Intra Area & Sectoral Data Analysis	NEDA, PPDO, MPDC and 4 from each municipality
April 7-8, 2005	Provincial Spatial Strategies Formulation Workshop	PPDO, MPDCs, NEDA staff and other stakeholders
April 25-May 11, 2005	Municipal Spatial Strategies Formulation Workshop	MPDOs of 5 municipalities
April 21, 2005	1 <sup>st</sup> Provincial Public Consultation	PDC, provincial councillors, and other stakeholders
May 23-27, 2005	1 <sup>st</sup> Municipal Public Consultation	MPDC, representatives of MDC and municipal councillors
July 20-22, 2005	Land and Water Use Policy Formation	NEDA, PPDO, MPDC and 4 from each municipality
August 24-26, 2005	CDP/LDIP Formulation Workshop	NEDA, PPDO, MPDC, and 14 from each municipality
September 26-30, 2005	CDP/LDIP Workshop for the Municipalities	MDC, MPDO
October 26-28, 2005	PPFP-CLUP Reconciliation	PPDO, MPDC
January-February 2006	Public Consultations on the PPFP	Provincial and Municipal Officials, Stakeholders
February 27-March 1, 2006	Training on the Preparation of Zoning Ordinances	Municipal and Provincial Officials
August 15-17, 2006	Seminar-Workshop on Zoning Administration	Municipal and Provincial Officials

As laid down in the PPFP, the following are Guimaras's implementation strategies:

## **2.1 The PCLUP and the Provincial Comprehensive Development Plan (CDP)**

The Provincial Comprehensive Land Use Plan (PCLUP) as a long term plan shall serve as a guide for the formulation of sectoral plans under the CDP. The settlements plan and the infrastructure plan components of the PCLUP shall guide the planning of the social sector in the CDP, as well as the planning of the infrastructure sector in the location of infrastructure projects. The production plan component shall serve as the basis for the economic sector in pursuing agro-fishery productivity, location of agro-industries and tourism planning. The protection plan component shall serve as a guide for the environment sector in the identification and implementation of environmental projects as well as in undertaking environmental planning and management.

A draft CDP was already formulated through several workshops and consultations with major stakeholders in the province. In view of the formulation of the PCLUP, the draft CDP will be reviewed and revised accordingly to incorporate the applicable provisions of the PCLUP. The technical working group that facilitated the formulation of the CDP will take the lead in this process. The plan will then be presented to the Provincial Development council (PDC) for adoption.

## **2.2 The PCLUP and the Provincial Development Investment Program (PDIP)**

The CDP, as a medium term plan, will undergo several cycles of planning and implementation to complete the planning horizon of the PCLUP. It will then be translated into a 3-year Provincial Development Investment Program (PDIP). The PDIP coincides with the term of office of elected officials and shall serve as the development agenda that the legislative and executive can focus on to prioritize interventions. As an implementation instrument, the PDIP contains the list of programs and projects lifted out of the CDP and prioritized on an annual basis.

## **2.3 The PCLUP and CLUPs of Component Municipalities**

The PCLUP is the intermediate level that links the RPFP with the municipal CLUPs. The PCLUP is indicative in nature like the RPFP and presents a framework of land use that shows in which role the province contributes to national and regional development.

The CLUP is a detailed plan that adopts a desired urban form as the organizing concept in the location of various land-using activities. It is the basis for the enactment of a comprehensive zoning ordinance and other regulatory measures.

The CLUP plays a critical role in fully implementing the development framework set forth by the PCLUP. The protected areas under the PCLUP and RFPF shall be adopted by the CLUP as a form of constraint to urban development, thereby ensuring its protection.

*a. Agri-forestry areas*

Under the Guimaras PCLUP, upper catchment areas of watershed were delineated using the GIS. Recognizing the impracticality of putting such a large area under strict protection, it was designated as an agri-forestry area as a way of regulating land use to avoid environmental degradation arising from inappropriate farming methods such as the “clean culture technology”. In the absence of zoning powers at the provincial level, the CLUPs of component municipalities shall provide the support needed by adopting the designated land use for the area and back it up with corresponding zoning ordinances.

*b. Functional roles*

Under the PCLUP, each municipality has a defined role to contribute to the attainment of the provincial vision and goals. These roles are embodied in the municipal vision that was crafted to define the desired condition of the LGU after 30 years. The CLUP is the mechanism by which these roles can be effectively performed by the municipalities. In moving towards the Guimaras vision of becoming the agro-tourism capital in the region, the following roles will be performed by the five municipalities:

- Jordan will serve as the primary growth and commercial center and main gateway to Guimaras;
- Buenavista will serve as the center for higher education, secondary growth center and alternative gateway;
- Nueva Valencia will serve as the tourism capital and major fishing ground;
- Sibunag will serve as a major agro-fishery producer and cargo port of entry linking Guimaras to Negros;
- San Lorenzo will serve as a major agri-fishery producer and the commuter gateway to Negros.

## **2.4 Review and Approval of CLUPs**

The mandate of the Housing and Land Use Regulatory Board (HLURB) to review and approve the CLUPs has been devolved to the Sangguniang Panlalawigan (SP). The planning approach adopted in the formulation of the Guimaras PCLUP under DPSP assistance involved simultaneous formulation of the PCLUP and the CLUPs and highlighted the need to ensure vertical and horizontal integration of plans. This process enabled both municipal and provincial technical working groups to interact and exchange inputs and recommendations, thereby constituting a form of

collective planning at both levels. Considering that the law specifies the process which CLUPs will have to undergo in the process of approval, the Provincial Land Use Committee - Technical Working Group (PLUC-TWG) - shall assist the PLUC in providing technical expertise to the SP.

## 2.5 Provincial Legislative Agenda

The following ideas have been put forward as inputs to the legislative agenda of both the SP and the SBs:

- Declaration of upper catchment areas of watersheds as agri-forestry areas and regulating land uses in said areas;
- Declaration of areas with slopes above 18% as forest reserves;
- Legislations to move for the possible cancellation of spurious titles for areas above 18% slope;
- Declaration of identified areas in Jordan and Sibunag as wildlife reserve;
- Declaration of mangrove and mangrove reforestation areas as protected areas;
- Legislations to delineate boundaries of municipal waters;
- Declaration of identified areas as marine sanctuaries;
- Legislative measures to resettle communities located inside timberland areas, water easements (coastal, rivers, creeks) and faultline buffers;
- Legislative measures to expand coverage of irrigation facilities to potentially irrigable areas;
- Establishment of the District Agri-Industrial Center (DAIC) and San Miguel Central Business District;
- Legislation to prioritize road sections identified in the PCLUP;
- Generating of private sector participation in the establishment of seaport facilities;
- Legislation putting mango trees under protected status;
- Legislations to adopt the co-management principle in managing the Taklong Island National Marine Reserve (TINMR);
- Legislative measures to set limits in the utilization of limestone;
- Legislation reverting status of abandoned and undeveloped fishponds and those with expired foreshore lease agreement (FLAs).

## 2.6 Impact Monitoring System

To determine if the province has truly arrived at its desired destination or attained its vision and goals requires an effective monitoring and evaluation system.



Monitoring, which is a routine gathering and reporting of performance or an assessment of progress of development programs/projects, and evaluation, which basically uses the results of monitoring and other tools to assess project effects/impact which may either be intentional or unintentional, should be done continuously within the planned period or time frame.

The most important bases in monitoring and evaluating the implementation of the PCLUP will be the vision descriptors or goals, the indicators and their targets.

The contributory prioritized/implemented programs/projects/services and policies/measures will also be monitored and evaluated. This can be done more effectively by the municipalities, their municipal Planning and Development Office (MPDO) and functional Municipal Project Monitoring Committee (MPMC). Strong coordination with them will also be done by the Provincial Project Monitoring Committee (PPMC), the official monitoring arm of the PDC and the PPDO which are mandated to undertake the monitoring and evaluation.

Monitoring changes in land use will involve the following:

- *Benchmarking*

Considering the GIS technology that has been made operational in the province, the aerial photos taken in 2002 will be used as the benchmark for monitoring changes in land use over a 30-year period.

- *Updating land information*

The presence of the GIS-based tax mapping system in the province will enable the PPDO and the assessor's office to effectively update developments applied to individual land parcels. Considering that the system includes a business and building permit application, any development that will be introduced in the form of new structures or plantations automatically enters the database. To reflect the new structures on the map, a global positioning system (GPS) will be used to obtain data required to add the new information to the land use map.

- *Updating aerial photos*

Considering the huge cost involved in aerial photography, it may be practical to take aerial pictures every ten years only. The use of GPS in obtaining geographic data may instead be used to update information.



- *Generating an updated “existing land use” map*

Towards the end of the planning period, an “existing land use” map will be produced. This can then be compared with the “existing land use” map from 2005 which serves as the benchmark to determine changes in land use over a 30-year period.

- *Changes in environmental quality*

The Provincial Environment and Natural Resources Office (PENRO) have initiated the monitoring of water quality in coastal areas around the province. Considering that coastal areas are the repository of matters emanating from the uplands, water quality data, especially turbidity readings in mouths of major rivers, can serve as indicators of environmental quality. This can also include other parameters to determine presence of chemicals as a way of finding out if agricultural activities have resulted in deterioration of surface water quality.

To effectively institutionalize this, there is a need to establish a chemical laboratory in the province to handle all environmental monitoring activities. Results of the monitoring and evaluations will serve as bases for cyclical planning and decision making.

### **3. Civil Society and Community Involvement**

Since the planning adopted a multi-stakeholder, participatory approach, a public consultation heavily relied on various stakeholders in the province of Guimaras to evaluate the presented alternative spatial strategies. The activity involved not only municipal and provincial elected and appointed officials and national government agencies, but also NGOs, People’s Organizations (POs) and the religious sector.

Visible bodies well represented during workshops and the public consultation come from the Nueva Valencia Multi-Purpose & Transport Services Coop., Guimaras People’s Economic Foundation, Provincial Agrarian Reform Beneficiaries Ass’n., Federation of Guimaras Fisherfolks Ass’n, and Iloilo Code NGO’s Inc., among others.

### **4. Input from International, National and Local Experts**

Even before the local expert’s (Prof. Serote’s) involvement, the Guimaras province has been partner with the Canadian Urban Institute (CUI) since 1994. The CUI is a Canadian NGO based in Toronto accessing funds from the Canadian International Development Agency (CIDA) to implement projects in Asia and Africa. The partnership of the province with CIDA has also influenced the planning process even before the contract for DPSP. CIDA assisted the province in strategic planning at the *barangay* level. It also provided assistance

with data management and environmental protection. This strategic planning with a touch of Vancouver's regionalistic concept and properties aided the province in formulating the framework with Prof. Serote later.

## 5. Implementation and Sequence of Activities

The 30-year planning period of the plan will be broken down into three phases to facilitate clarity in the prioritization of programs and projects.

The idea of integrating development plans at all administrative levels is not new. As early as 1990, Prof. Serote was engaged by the National Land Use Committee to conceptualize and conduct training programs on physical framework planning. He also came up with the idea of vertical and horizontal integration of plans. The idea materialized in the form of a chart reproduced below.

### 5.1 Vertical Integration:

#### *a. Regional-Provincial Plan Integration*

The regional-provincial plan integration was implemented beyond the scope of the Guimaras project, under the wider DPSP coverage. The revised RPFPs and medium-term regional development plans of the three (3) Visayas regions and their component provinces were adequately prepared.

Region 6 or the Western Visayas Region is envisioned to become a major agro-industrial and tourism region. To achieve this vision, the provinces of that region were each assigned a sector. Guimaras is accordingly billed to become the 'agri-tourism capital' of Region 6. The relationship of Guimaras to the region, therefore, was anchored to this regional role. To ensure that Guimara will fulfill its role in the regionsuch role and that the regional-provincial linkages of the plans are maintained, technical staff from the regional level were consistently present to serve as resource persons in the Guimaras planning project.

The influence of the elements of the Western Visayas Region's RPFP is strongly seen in terms of the substantive contents of Guimaras's PPFP, the provincial vision statement, the spatial strategy and the land use policies.

#### *b. Provincial-Municipal Plan Integration*

This integration was made possible through the continued cordial relations between the Provincial Planning and Development Office (PPDO) staff and the Municipal Planning and Development Coordinators (MPDCs). It is also noteworthy that the regional technical staff maintained their presence and provided inputs in all municipal level planning activities.

To ensure coherence of substantive content between the PPFP and the component municipalities' CLUPs, the PPDO provided input in key stages of the process, especially in the construction of the municipal vision statements, in the generation of alternative spatial strategies, and in the formulation of land and water use policies.

One significant aspect of this integration is devising a planning-data management system for the municipalities. Beyond the normal requirements of periodically updating their ecological profiles, the municipal planners were taught to construct and maintain their own statistical compendium (SC). As a planning database, the SC is an improvement over the basic municipal profile. Rather than merely compiling statistics into a profile, the SC transforms the statistical data into indicators of development, underdevelopment, poverty, and the like. The format of the SC allows the generation and display of information at three geographical scales simultaneously. The resulting data could display the status of development or underdevelopment of the province, its component municipalities and the barangays or clusters of barangays of each municipality. Shown below is a sample SC format.

DATA/ INFORMATION INDICATOR	GEOGRAPHICAL AREAS					REMARKS
	Municipality	Province	Barangay Clusters			
			1	2	N	
1. <i>Population and Social Indicators</i> a. Population size (2 or 3 census years including latest) b. Growth rate (1970-1980; 1980-1990; 1970-1990) c. Gross population density (1970; 1980;1990) d. Percent of urban population (1970;1980;1990)						

Figure 1. Sample Statistical Compendium

Also related to the planning data management system is the geographic information system (GIS) of the provincial government of Guimaras. The GIS capability of the province proved to be a huge advantage to the planning of the project, considering the low level of mapping capability in the component municipalities.

One exercise in which the GIS demonstrated its great advantage was during the “sieve-mapping” or “map overlay analysis”. Sieve-mapping was utilized to identify decision zones or conflict areas among the municipalities. It was also used to screen out areas that are not suitable for urban expansion, as an input to designing alternative spatial strategies or urban forms. If performed manually, the process of sieve-mapping is laborious and the measurement of area coverage is less precise. Through the help of GIS, the municipal maps are now of better quality than before.

The Guimaras experience has enlightened many provinces to acquire the GIS system. However, they do not normally put this facility in the service of their component municipalities to aid them in their planning needs.

Provincial-municipal integration of substantive contents of plans was formally undertaken on at least two occasions. One was during the “land and water use formulation workshop” where inter-jurisdictional and cross-border issues were resolved. The other occasion was when the municipal land use plans and that of the province were reconciled along the four policy areas of protection, production, settlements and infrastructure. Selected issues resolved or discussed during the policy formulation workshop were summarized by Prof. Serote and are presented below.

■ *Settlement Hierarchy and Functions*

- Urbanization, which has concentrated in the older towns on the western side of the island-province, shall be encouraged in the two newly created municipalities on the eastern part of the island.
- For more effective control and regulation, it was agreed that embalming services should be centralized in the province to serve all funeral parlors operating in the different municipalities.
- Consistent with the drive to attract more tourists and visitors, modern sewerage systems shall be provided for every major population concentration.
- Each municipality shall operate its own solid waste management facility because no one would agree to host a common disposal site within their territorial jurisdiction.

■ *Infrastructure Issues and Policies*

- Being an island province, the most important transport infrastructure in Guimaras is water-related. The island-province also serves as the “bridge” between the larger islands of Panay and Negros. Hence, the roll-on, roll-off (RORO) facilities are important infrastructure issues. On the western side, it was decided that in the long term the wharves of Jordan and

Buenavista should be developed as a single facility. On the eastern side, San Lorenzo and Sibunag agreed to split the RORO functions between them with San Lorenzo catering for light passenger traffic while Sibunag will service the heavier cargo vessels.

- Regarding fishing ports, however, two is one too many for Guimaras. Nonetheless, Jordan and Nueva Valencia decided to develop one each, in Lawi and Cabalagnan, respectively.
- What is there to do with the unfinished airport in Buenavista? A majority of people do not favour its further development. Very few see a need for the facility in the distant future, but even those few have not managed yet to come up with concrete ideas on what to do with the area in the short term.

■ *Production Land Use Issues*

- Being self-sufficient only in rice and fish is not enough for the people of Guimaras to be comfortable. It was therefore decided to increase the sufficiency levels in other food commodities such as vegetables, root crops and meat. The extensive brushlands could be used to support an expanded livestock industry. All municipalities are also encouraged to start raising free-ranging poultry, since there is a growing market for organic food and it would support the tourism industry.
- The most controversial production activity in Guimaras is limestone mining. There were vehement objections to suggestions of increasing the rate of extraction and on-site processing of lime into cement. The main reason for the objection is the perceived adverse impact of this activity on the environment.

■ *Protected Areas Issues and Policies*

- Under the National Integrated Protected Areas System Act (NIPAS) or Republic Act 7586, the Taklong-Tandog Protected Seascape in Nueva Valencia is the only nationally-declared protected area in Guimaras. There are, however, unresolved issues related to its status as a protected area, which are preventing an enhancement of its present status. In the planning process, there was a push for a co-management approach when it was decided that other protected areas will no longer be placed under the NIPAS but will be protected through local action and legislation.
- The big concern in Guimaras is how to increase the area under forest cover, especially in the upper catchments of watersheds so that the flow of water in rivers can be sustained. This is compounded by the fact that practically all areas are already

privately owned. The consensus therefore is to encourage the property owners to plant fruit trees in the upper catchments to ensure perpetual tree cover. There are suggestions to resort to drastic measures such as slapping the idle-lands tax on absentee landowners whose extensive holdings remain idle or underutilized.

- *Inter-Jurisdictional and Cross-Border Issues*

- The actual planning exercise has drawn attention to the persistent boundary disputes between adjoining municipalities and the need to resolve them. Boundary disputes stem, in particular, from the creation of the new towns of San Lorenzo and Sibunag which were carved out of older towns. In the process, certain discrepancies in boundary delineation have cropped up. There is the running dispute over the island of Nadulao which is being claimed by both San Lorenzo and Sibunag. Province-wide, there is a need to delimit the boundaries of municipal waters. During the workshop to formulate the land and water-use policy, the Sangguniang Panlalawigan (SP) agreed to take the initiative to resolve these issues. The SP has conducted dialogue meetings between the Sangguniang Bayan (SB) of San Lorenzo and Sibunag with the aim of resolving their conflicting claims over Nadulao Island.

## 5.2 Horizontal Integration

### *a. Between Adjoining Municipalities*

A workshop to formulate the land and water-use policy was held involving adjoining municipalities. Even more than the substance of the agreements, the participants appreciated the process of bilateral consultations. Shown below are the procedural guidelines for the bilateral consultations.

Below are the highlights of the bilateral agreements:



## LAND/ WATER-USE POLICY FORMULATION WORKSHOP

Provincial and Component Municipal CLUPs

Province of Guimaras

July 20-22, 2005

### Workshop 4: Inter-Municipal Issues/Resolutions

**Objective:** To resolve existing conflicts or pre-empt potential conflicts among proposed land and water-use between adjoining LGUs.

**Activity:** Bilateral consultation, round robin fashion. Each municipality will be paired off with every other municipality with which it shares boundaries. In at least 30 minutes, the two municipalities will highlight existing and potential conflicts arising from the formulation of their respective CLUPs. Then they will agree on specific actions or policies to resolve their conflicts.

### Schedule of Bilateral Consultations:

Session	Municipal Pairs	Convenor	Documentor
1	Jordan 1-Buenavista Jordan 2-San Lorenzo Nueva Valencia-Sibunag	BM E. Diaz BM H. Galanza BM J. Dela Cruz	Gil V. Japitana Lilibeth Laruan Amparo Buncad
2	Buenavista-San Lorenzo Jordan 1-Nueva Valencia Jordan 2-Sibunag	BM V. De Asis BM A. Chavez BM J. Dela Cruz	Lilibeth Laruan Rodolfo Gamarcha Marilou Maranon

### Procedure during consultations:

1. When the two parties are settled on opposite sides of the table they exchange their proposed land use plans, each closely scrutinizing the other's maps to see how they are affected by the other's proposals.
2. Then they identify areas of conflict and fill out the appropriate form.
3. Next they identify areas of common beneficial interest and likewise fill out the appropriate form.
4. Finally, the two parties discuss and come to an agreement on what to do in these areas of conflict and mutual benefit identified.
5. The meeting is ended with a handshake between the parties across the table.
6. The convenor shall attest to the agreements by affixing his/her signature.

Figure 2. Procedural guidelines for the bilateral consultations

- Between San Lorenzo and Sibunag on the contested Nadulao Island  
Hold consultations and dialogues involving both SBs and the SP, the DILG and other concerned agencies.
- Between Jordan and Sibunag  
Reconcile their land use plans and zoning proposals for the adjoining areas from Crossing San Miguel (Jordan) to Kati-kati, Millan (Sibunag).
- Between Nueva Valencia and Sibunag  
Fisherfolks of both towns agreed on the common boundary of their municipal waters in the island-barangay of Guiwanon. Floaters and markers will be installed with the assistance of NAMRIA and will be witnessed by representatives of both municipalities.
- Between Jordan and Buenavista  
Jordan agreed to protect the forested hills in barangays Rizal and Montpillier as source of water for the affected residents of Buenavista.

*b. Between the CLUP and the CDP/LDIP*

The other aspect of horizontal integration is between the CLUP and the City Development Plan (CDP)/Local Development Investment Program (LDIP) at the provincial and municipal levels. At the provincial level the 3-year comprehensive development plan had been prepared prior to the start of this project. It is possible that the CDP prepared earlier and the PPFP prepared later are not effectively linked. The provincial planners have recognized the need to repeat the CDP process to dovetail its substantive contents with those of the completed PPFP. That process is, however, outside the scope of this project.

At the municipal level, the consultant's input into the CDP/LDIP process is completed. The required re-doing of the CLUP, however, has not yet been undertaken, since at the time the CDP/LDIP workshops were being held, none of the LGUs had completed their draft CLUP.

For information, copies of the PCLUP will be provided to every municipality and preferably to all barangays. It will also be packaged into a simple and localized reading material for distribution to every barangays. The main features of the plan will be disseminated to all the stakeholders in five municipal gatherings, in the meetings of the Municipal Development councils (MDCs) and Liga ng mga Barangay. Copies of the plan will also be distributed at other barangay events.

A presentation of the final plan will be made to all barangay captains and major stakeholders. After approval of the plan by the HLURB Board, the planning document will be packaged into its final form and distributed to all mayors, barangay captains and educational institutions.

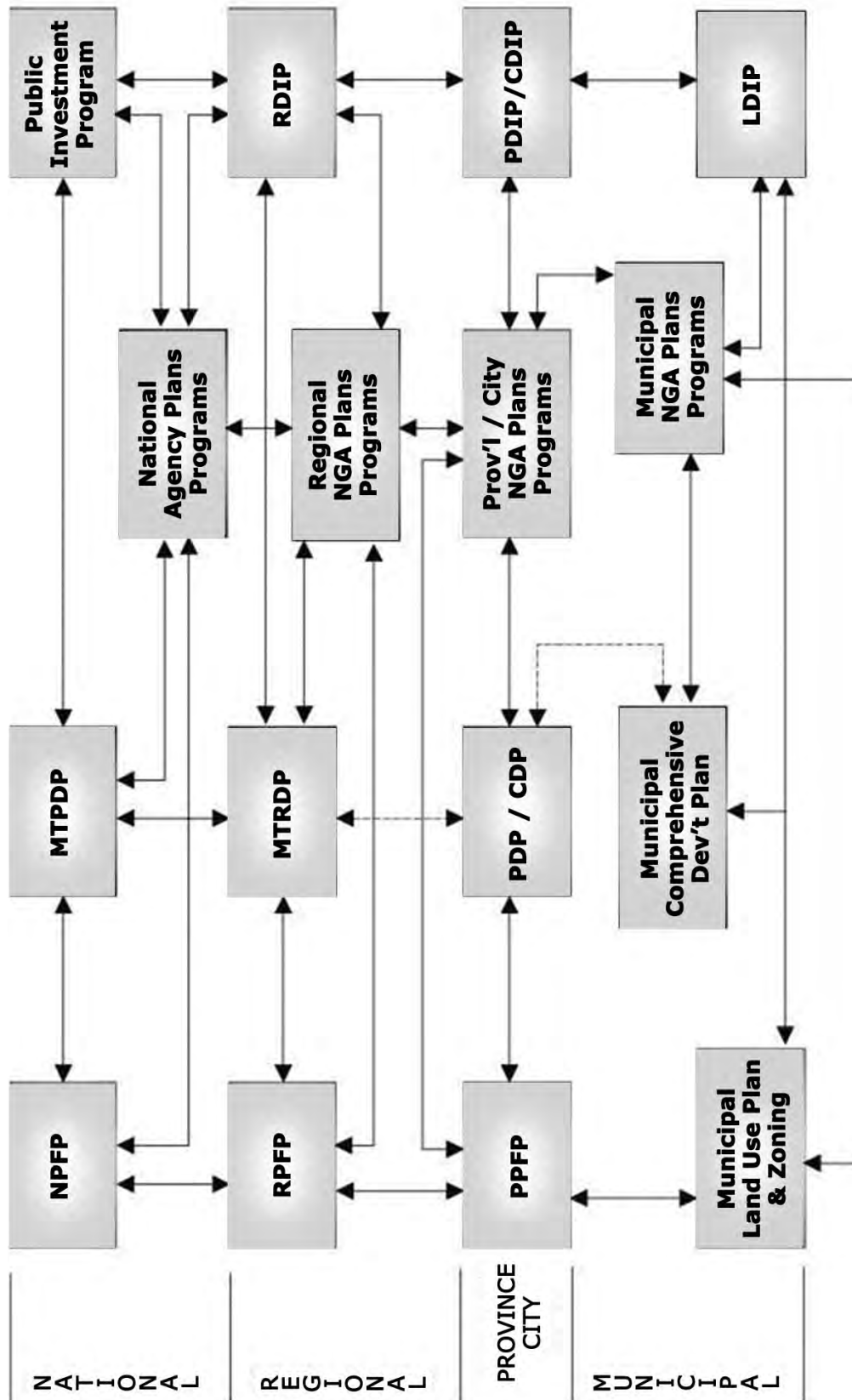


Chart 2. Vertical and Horizontal Linkages of Plans  
(Source: Serote, 2004, Fig. 4.6, p. 163)

## Section C. Evaluation of the Best Practice Model

### 1. Sustainability of Guimaras' Best Practice Model

The plans and planning processes of the province of Guimaras got off to a strong start. The provincial government has shown willingness to continue implementing and adopting the outputs and results of the plans in the long run. However, key stakeholders have identified the following factors which could affect the sustainability of the plans and planning processes:

- *Political Stability*

"If the political stability of the province is not maintained, then there would likely be a problem sustaining the plans" shared Engr. Arias. He is referring to politics constraining development projects. He added that there is a threat that the integration concept cannot be adopted if the resulting development projects from the plan cannot be sold to a new generation of politicians. The blueprint exist, it will be up to the next leaders of the province to sustain it.

- *Investment Priorities*

There is also pressure to identify initiatives for the province in the future, for example in the industrial sector. The next batch of provincial leaders might prioritize industrial development over the already agreed agro-tourism initiatives. The investment code should ensure that investments are complementary with the PPFP and should not be pollutive in nature. There should be a conscious effort among the leaders to prioritize the environment code before the investment code to provide effective development controls.

- *Awareness Amongst the People*

Awareness already exists amongst Guimaras' population about the importance of their own involvement in protecting their environment. This was best seen when a proposal for further mining activities surfaced and the people protested against the planning application. People have realized that mining is no longer the future for Guimaras.

### 2. Major Success Factors of Guimaras' Best Practice Model

The success of the integration of plans and planning processes can be attributed to several factors including:

- *Commitment of Political Leadership*

It is not every day that you witness notable participation of elected officials in workshops. But it happened in Guimaras. Mayors and vice-mayors themselves would sit for hours of discussions and even write on metacards for collection of ideas during the workshops. Engr. Arias remarked, "This is critical because in the past, only the technical staff of the municipalities were sent to workshops."

The planning process interested local leaders. They understood that elected officials are in effect planners as well. They should be the primary planners and should not rely solely on their technical staff.

- *Capacity of Stakeholders*

Most of the activities of the planning process focused on capacity- building not merely of the officials but also the stakeholders. According to Ms. Gabinete, "Those who attended the planning activities in the past, even when they are no longer officials of their organizations at present, were still willing to attend and give inputs." Ms. Gabinete cited one funding project where Guimaras was not a pilot area, "Because the capacity-building of the province is of a much higher level, we were able to meet the deadlines earlier than the pilot provinces identified in the region." This is one of the less quantifiable and intangible, but essentially valuable factors that helped the province achieve success in their planning.

- *Continuous Promotion of Guimaras*

The promotion of the province not only within the Philippines but also outside of the country has paved the way for access to funding and a strong and privileged partnership with different funding institutions. Through this continuous promotion, funding institutions noticed what Guimaras has to offer and the potential the province has. When they partner with the province on a project, they are given clear ideas on which specific sectors they would work on. The province is committed to a partnership on a working project. Provincial Economic Development Officer (PEDO) Charry Galia relates, "When we enter into a contract, we really give our best. We deliver. That is why we are often handpicked to be a pilot area."

A very notable outcome of the project is also the high degree of participation, especially from the members of the local legislative councils at the provincial (Sangguniang Panlalawigan) and the municipal (Sangguniang Bayan) levels.

The project was able to challenge and motivate the leadership of the province and its component municipalities. Usually, members of the local legislative body do not participate in planning activities because of the conventional notion that planning is a function reserved for the executive branch. But early on in the project, it was emphasized that the task of defining the development agenda of the local communities was a joint responsibility of the executive and legislative branches.

With regard to the CLUP, the primary responsibility is lodged with the legislative body as stated in the Local Government Code (Sec. 447 and 458). To reinforce the argument for giving responsibility to the SB or the municipal officials, Prof. Serote cited the little known fact that land use planning is essentially a function of the state to intervene in decisions taken by property owners about the use of land which the state does

not own. The authority to intervene is given to the state on behalf of the people, to ensure that the manner of land use will promote the general welfare of the community. Within the local government structure, it is clear that the legislative body is the one mandated to exercise that authority. Moreover, to ensure that the exercise of their authority to regulate land use is not done arbitrarily, the SB needs the CLUP as its rational guide. Therefore, there is a need for the municipal officials to participate in the drafting of the CLUP.

To the credit of the local legislative bodies in Guimaras, they have shown tremendous enthusiasm and support for the project. In at least three important activities in the planning process, the members of the Sanggunian Bayan Members attended in record numbers:

- a. In the crafting of the vision and goals;
- b. In the generation of alternative spatial strategies and selection of the preferred strategy; and
- c. In the formulation of land and water-use policies. Incidentally, these are the critical stages in the planning process wherein the decisions and choices made by the political officials are most needed. Without those decisions at critical junctures of the planning process, the work of the technical staff is at best ineffectual.

### **3. Major Challenges and Obstacles of Guimaras' Best Practice Model**

#### **■ External Factors**

External factors that affect the success of the project include national policies which could jeopardize local concerns. One example would be the experience of an oil spill, essentially because there was no national policy that regulates what kind of cargo could be transported along the Guimaras Strait or Iloilo Strait, considering these are sensitive areas. There is also the threat of mining in the province, especially if the national government advocates mining. Other policies that would most likely affect the plans are tourism policies, and security issues.

#### **■ Enforcement**

With the plan already in place, one factor that could affect its sustainability would be enforcement. According to Provincial Planning and Development Officer Jimmy Baban, the municipalities should be aware of the ordinances which were created as well as the provisions of those ordinances. Municipal officials should understand that they themselves are the enforcers.

The project was originally designed to last for seven (7) calendar months from December 1, 2004 to June 30, 2005. By the second month of its implementation, the schedule was revised at the request of the participants. By the seventh month it became clear that the project objectives could



not be met, and the project was therefore extended to the end of October 2005. The total project duration was eleven (11) months.

The following were cited by Prof. Serote as reasons for the delay:

- *Pressure of Work Assignments*

The MPDCs, whose task is was to complete the documents (including the actual writing), had to attend to a multitude of other tasks. These were mainly ad hoc tasks which did not fall under the formal duties and responsibilities of their office. Only two out of the five MPDCs were able to coordinate, in the true sense of the term, the preparation of the outputs involving other members of the TWG: Sibunag and Nueva Valencia.

This is not unique to Guimaras. It seems that there is no effective distribution of tasks and assignments among LGU offices anywhere. The MPDO often serves as a catch-all for assignments from the local chief executive (LCE) and from national government agencies (NGA). Perhaps this situation cannot be avoided in very small LGUs where there are too few capable personnel to allow for division of labor.

The creation of sectoral committees to serve as the extended arm of the MPDO is supposed to remedy the situation. In the Guimaras project there was not enough time to organize and prepare the sectoral groups to take on the tasks they are supposed to perform. As a result, the sectoral groups were very enthusiastic in attending the seminar-workshops but could not be relied upon to produce their own parts of the final outputs. That questions, of course, the ability of the MPDC to coordinate the different sectoral groups.

Due to the multiple tasks that the MPDCs have to attend to, the requirements of this project have on several occasions taken the back seat. Occasional, the scheduled project activities had to be rescheduled due to community affairs such as religious festivals and official LGU functions taking precedent.

It should be noted that there have been too many holidays not a few of which were simply the creation of the President under her "holiday economics" program. Then there was the President's directive to observe a four-day work week for the entire month of May 2005 as an energy conservation measure.

- *Inadequate Preparation of MPDCs*

None of the MPDCs was formally educated in project planning. The one exception is the MPDC of Buenavista who, in the course of the project, took the initiative to obtain further education in planning by enrolling in the graduate diploma program in urban and regional planning at the U.P. Iloilo.

Again, this is not unique to Guimaras. All over the country, there are hundreds of LGU planning officers who have not had proper training. Rather, they had prepared themselves for all sorts of jobs elsewhere. Neither do they have the opportunity to “grow on the job” because the functions of local planning offices are currently ill-defined. Hence, expectations about what local planning officers ought to be doing are just as nebulous.

A lack of formal education in planning amongst the key participants proved to be a handicap for the project in at least two respects. One is their unfamiliarity with the peculiar terminology or jargon in planning. The other is their inability to see the big picture.

Unfamiliarity with planning jargon is an important setback, since behind the jargon are concepts essential to understanding the rationale and basis of what they are being made to do. For example, the concept of alternative spatial strategies, a standard piece of planning terminology, was particularly difficult for them to understand. It took them a long time to understand that for every desired role they identified for their municipality, there should be a particular spatial arrangement of various land-using activities, otherwise known as urban form, because of the need to emphasize certain elements that contribute to reinforcing that role. The more roles they identified, the more alternative urban forms are needed to carry out those roles. Furthermore, the generation and selection of alternatives are processes that normally occur in the individual's mind. It is hard to objectify these thought processes into participatory and consultative consensus building. And yet this is necessary for planning in a democracy. Admittedly, this step in the planning process took a considerable time for the participants to internalize.

The practical test as to whether they have internalized the concept of spatial strategies is how they have used their chosen alternative as the organizing concept for designing their urban and general land use plans. It was found that the participants at the provincial level and those from two municipalities had less difficulty than the remaining three LGUs. The latter needed extra effort and coaching. The consultant had to make as many as five extra trips to Guimaras to provide coaching assistance from July to October when the plans were being written.

The lack of formal planning education also became apparent in the MPDCs' inability to see the entire planning process. Without a feel for the process as a whole, they simply proceeded from one task to another as called for in the long assignments. Having completed certain tasks they would not know what to do next but simply waited for the next task to be given.

- *Non-conventional Approaches*

The non-conventional approach adopted in this project made it difficult to follow strictly the proposed schedule of activities. Firstly, the participatory-consultative process requires that schedules cannot be unilaterally imposed but must conform to the availability of participating stakeholders. Key participants frequently asked for certain scheduled activities to be postponed because of other commitments.

Moreover, in a truly participatory process, the activity should be conducted in the municipality itself to allow the real stakeholders to participate. It is therefore not advisable to combine two or more LGUs when undertaking activities that require the participation of a wide range of stakeholders. Many activities had to be rescheduled due to the need to allot a dedicated time for holding the activity in a particular municipality.

Secondly, the capacity-building approach recognizes the role of participants as more important than the consultant's. Therefore, the consultant must engage the participants on their own terms taking into consideration their willingness to cooperate and readiness to learn.

Thirdly, part of the capacity-building approach is the need to leave the responsibility to produce the final outputs entirely to the participants. This is a radical departure from conventional consultancy practice. Its purpose could not have been more consistent with the objectives of capacity-building. But the practical implication is that it takes a longer time and greater doses of patience to develop the technical capacities of people who lack the basic foundations.

- *Trip to China by the Consultant*

The consultant's two-week trip to Wuhan, China, on June 12-25, 2005 also contributed to the delay of the completion of the planning process. As a result, the project activities that had been scheduled for June 2005, i.e. the land/water-use formulation workshop and the CDP/LDIP workshops, had to be rescheduled for July and August, respectively.

#### **4. Why This Model is Viewed as Best Practice**

The planning process, according to Ms. Galia, is regarded as a best practice example, because it is very basic. She said that for an LGU to be well-directed, it should really start from a good plan, be it a short term or a long term one. The plan should be harmonized, so that everybody understands what the province and the local government units in the province envisages to achieve in the next 30 years. If there are innovations along the way, in the short or medium term, the PPFP will still serve as a basis for changes. She described all the development initiatives of the province as basic plans.

Aside from being basic, the plan is simple and working, said Mr. Baban, it is delivering results. He added that the plan is replicable, probably not the entire plan, but still doable at a minimal cost.

Asked why it is a best practice, Ms. Gabinete said "Because the involvement/participation of the stakeholders is there. If ever we retire, we have our set of next climbers to continue implementing what we developed. The plan improves the efficiency of the stakeholders, because they formulated it themselves. It gives us a sense of ownership."

## 5. Guimaras Best Practice Transfer And Replications Adaptability

Several local and foreign groups have already come to Guimaras to learn about its successful planning process and explore the possibilities of replicating it in their own areas. Papua New Guinea, for example, has visited the province and has plans to send its legislative group for a more thorough study tour.

Within the Metro Iloilo-Guimaras (MIG) region, the Guimaras framework was used in conceptualizing the Metro Iloilo-Guimaras Economic Development council (MIGEDC) plans. These plans would include eco-tourism initiatives and MIG spatial development framework.

Is the Guimaras experience replicable in any other place in the country? Prof. Serote claims it is replicable, but not in its entirety. There are some aspects of the project that can be replicated with reasonable degree of success if certain conditions are met:

### The Concept of Plan Integration

- The key role of the NEDA regional Office. This was very obvious in the Guimaras project where the technical staff of NEDA Regional Office (NRO) 6 made a point of being present in all major phases and activities of the planning process. On every occasion, they ensured that lower level plans were consistent with the regional plans and policies. In future replications the this should also be expected of the NRO.
- The critical role of the PPDO. All activities at the municipal level were effectively facilitated by PPDO staff. They also provided the provincial perspective in the critique of workshop outputs. In future replications the PPDO is expected to be pro-active as well, assisting every one of their component municipalities in all aspects of planning. To be more effective in assisting the LGUs, the PPDO should be restructured to mirror the organization and functions of NEDA. After all, provincial planning is, for all intents and purposes, an example of regional planning.
- The GIS capability of the province has been a major advantage of the Guimaras project. Provinces which have acquired or are acquiring GIS capability must make this facility available for use by their component municipalities.

- The size of the province is immaterial to the idea of plan integration. The small size of Guimarães, which was a factor in its being chosen as the pilot area, is now being cited by some observers as an argument for the non-replicability of the Guimarães experience. What worked in Guimarães may not work in large provinces, they say. But these critics tend to forget the fact that large provinces have more personnel. With proper organization and allocation of functions, large PPDOs should be able to attend to the needs of their component municipalities. After all, the task of integrating plans of all component municipalities need not be done simultaneously.

### **The Capacity Building Approach**

- Organize the local development council (LDC) to serve as the technical working groups. Then spend some time on informing the sector members about the central concerns of their sectors and on the planning process.
- Participatory processes are important venues for generating certain types of information and for arriving at consensual decisions. Do not ignore or abbreviate these processes.
- Decide early on who is/are responsible for producing the intermediate and final outputs. This is a realization that came too late and is a major cause of delay in the Guimarães project.
- Under a scenario where there is no external funding, the functions of the external consultant should be devolved to key national agencies which could be called in by the LGUs to assist them on an "as needed" basis. There is no more sustainable arrangement than for existing agencies to take on, as part of their regular functions, giving assistance to the LGUs as and when needed.
- In the long term, all MPDCs must be required to obtain formal education in planning and get special training on the methods and techniques of group facilitation.

### **The Participation of Sanggunian Members**

- Spend some time on trying to change the mindset of the members of local Sanggunians towards accepting their key role in defining the local development agenda jointly with the executive branch. The executive legislative agenda (ELA) process that was introduced by DILG should be brought into the mainstream of local planning, if only to get the automatic participation of the local legislators. Holding workshops initiated and convened by the Sanggunian members will give them a sense of responsibility for the plan.

- DILG should likewise come up with a directive reiterating the primary responsibility of the Sanggunian over the comprehensive land use plan and hence, they should take the initiative in the preparation of this plan rather than wait for it to be brought up for adoption.

### **The Roll-out Mode**

- The idea of rolling out the Guimaras experience with the assisted, in their turn, being the ones to help others, is interesting and is probably worth pursuing. Prof. Serote shared his thoughts about how this can be done through the following:
  - Organize a team of facilitators who will receive direct inputs from the consultant;
  - The team of facilitators, to be composed of selected NRO 6, PPDO, MPDCs and SB members, will be the ones to conduct the seminars and workshops in the new location;
  - In the new site, spend more time in organizing and preparing the technical working groups as well as changing the mindset of the local legislators who will be involved.

### **Concluding Comments**

It would be good to pursue the replication of the Guimaras IPPP once the following questions have been satisfactorily evaluated/answered:

1. The mechanisms for project sustainability;
2. The extent as to how Guimaras experience is properly documented for replication purposes;
3. Lessons learned to formulate replication strategies;
4. Identification of key issues and challenges in the implementation of IPPP; and
5. Policy recommendations.

The answers to those five (5) concerns will help in the effective replication of the Guimaras best practices.



## Documentation of Activities







## **Best Practice 8 | BP8**

### **Public Institutional Innovation, Lang Son City, Vietnam**

Authors:

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with the support of ACVN (Association of Cities in Vietnam)

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## Section A. Description of Best Practice

### 1. Introduction to the Best Practice Model and Its Innovative Elements

Following the master program for administrative innovation for 2001-2010, Lang Son city aimed at developing innovative models to improve administrative services and people's participation, as follows:

- Simplify administrative procedures;
- Strengthen administrative and institutional structures, as well as policies that are in line with the requirements of industrialization and modernization of the country;
- Promote a democratic system by encouraging people to participate in improving laws and regulations;
- Identify clear responsibilities of public organizations, so that public agencies can decentralize services and works to the private sector and to civil society organizations;
- Use information technology in implementing innovations.

Public Administration Reform (PAR) has received a lot of attention of the Party and the Vietnamese government in the national industrialization and modernization process. In 2001, the PAR program's comprehensive objectives were set out at the Ninth Party Congress: "Successfully constructing a democratic, sustainable, professional, modern and effective public administration system based on the Vietnamese State legislation's principle and under the management of the Party....By 2010, the public administration system will be reformed to satisfy the management requirement of the socialist market-oriented economy."

As a response to the reform guidelines, the Party and the state launched many policies since PAR was a key feature of the renovation process. The Vietnamese government has promulgated and implemented a series of PAR programs and plans in accordance with the Party's guidelines and resolutions. The Prime Minister quickly set up the government's strategic and long term PAR program. On 1st July 2001, the Prime Minister promulgated Decision No. 136/2001/QĐ-TTg, approving the National PAR Master Plan for the period of 2001-2010. This was the first time since the reformation that the Vietnamese government released a strategic and long term program, specifying four reform areas including institutional reforms, administrative reforms, consolidation and development of public servants and public finance reforms. The Master Plan was an important tool for the government to instruct central agencies, ministries, divisions and local authorities to strengthen PAR.



Being aware that the administrative reform was urgently needed in the reformation to facilitate a dynamic socio-economic development towards international integration, cities in Vietnam in general and Lang Son city in particular, launched a PAR program with a “One Stop Shop” mechanism, a reform of the administration in the state administrative agencies as well as the lower levels of state bureaucracy, as specified in the 2001-2010 PAR Master Plan announced by the government. Working closely together as a community and mobilizing all resources, Lang Son city made significant progress in their public administrative reform (PAR), especially in establishing an inter-sectoral “One Stop Shop” mechanism, launching an e-portal and improving the qualifications of public servants at all levels of the administration. Public administration is, therefore, becoming more effective, is enhancing the services’ transparency, while at the same time popularizing the city’s trade, tourism and service potential and attracting tourists and investors to Lang Son city. Thanks to these achievements, Lang Son city was selected as a good example of PAR by the Association of Cities of Vietnam (ACVN).

Within the framework of the project entitled “Partnership for Democratic Local Governance in Southeast Asia - DELGOSEA”, the best experiences in PAR exercises in Lang Son city are presented, especially the implementation of administrative reform through “One Stop Shop” mechanism and “e-portal”.

### **1.1 Innovative Element: One Stop Shop Mechanism**

The inter-sector “One Stop Shop” mechanism is an approach of dealing with organizations and individuals affairs under the authority of different State administrative agencies (divisions), at the same level or between different administrative levels. The activities include provision of guidelines, dossier handling, processing, and feedback. All activities are carried out by one counter called dossier reception and result return division at the state administrative agency. The municipal dossier reception and result return division is organized and performed in line with the “One Stop Shop” mechanism.

The “One Stop Shop” mechanism must fulfill the following requirements:

- Administrative procedures are clear, simple, transparent and legal;
- Administrative regulations, procedures, fees and charges as well as dossier processing time must be made public to organizations and citizens;
- Inquiry reception and result return should be conducted in the reception and return department;
- Cooperation between relevant departments to solve affairs/dossiers of organizations and individuals is the responsibility of the state’s administrative agency;

- The dossiers should be solved quickly, conveniently and timely for organizations and individuals.

The “One Stop Shop” mechanism applies to the following range of sectors:

1. Issuance of Certificate of Business Registration for personal and cooperative household businesses;
2. Issuance of Building Permits and House Repairing Permits;
3. Land allocation;
4. Land leasing;
5. Land use rights transfer services;
6. Land use purposes conversion;
7. To grant Certificate of Land Use Rights;
8. To notarize documents;
9. To solve labour and employment policy;
10. To solve the social welfare policy;
11. To solve the policy for people of merit.

Activities conducted by the city to further support the policy:

- The procedure and process guideline system has been established by the city in a simple and convenient manner for people in the fields of business registration, land registration, building permit delivery, house or land use rights transfer and so forth;
- The city regularly reviews, reconsiders and makes transparent its administrative procedures when dealing with individuals and organizations;
- The official evaluation of ISO 9001-2000 processes are completed;
- The state management is gradually decentralized to communes and wards;
- Socio-economic development plans up to 2010 and a municipal spatial development orientation plan up to 2020 are in place;
- Intensive direction on deploying and speeding up the rate of progress of key projects is given;
- Dialogues with local people are held to further understand their demands and expectations, especially with people affected by land reallocation.

## 1.2 Innovative Element: Reform of the State Administration

- The organizational structure and personnel of the specialist agencies as well as of the people's committees of wards and communes has been adjusted, according to the functions, tasks, conditions and characteristics of each agency and unit;
- Regulations on functions, missions, authority and organizational structure for six specialist agencies, i.e. the Department of Internal Affairs, Department of Labour Invalids and Social Affairs, Department of Natural Resources and Environment, Department of Culture and Information, Department of Education and Training, and Department of Economics, were carried out;
- The Municipal People's Committee reviewed and assigned functions and competence based tasks for each public servant, creating a favourable and stable working environment;
- Decree No. 132/ND-CP of the government on streamlining and consolidating the personnel towards an effective and simple direction is implemented;
- Public servant rotation is conducted for accountants, land surveyors, and builders as stipulated by Decree No. 158/2007/ND-CP.

## 1.3 Improvement of Public Servants' Qualifications

- The working regulations were reviewed and extended in accordance with assigned functions, tasks and personnel targets;
- Specific functions and missions of each public servant in the agency were specified;
- The public servants were closely managed and trained with regard to taking on responsibility and implementing working rules;
- At the end of each year, public servants were evaluated as stipulated. Outstanding public servants who successfully fulfilled their assigned tasks received an award, as prescribed in Decision No. 11/1998/QĐ-TCCP-CCVC of the Minister/Head of the Governmental Personnel Department on regulations of evaluating public servants in accordance with eight aspects, including compliance with legal policies of the state, working performance, discipline, cooperation spirit in working, honesty in working, moral lifestyle, sense of qualification improvement and attitude towards serving people;
- The professional qualification and management capacity of specialist staff and managerial officials were enhanced in terms of informatics, construction, urban management, state management, religion, national defence and so on.

#### 1.4 Innovative Element: Public Administration Reform

- Decree No. 130/2005/ND-CP on providing for the regime of autonomy and self-responsibility for use of administrative management payrolls and funds by state agencies was implemented as well as Decree No. 43/2006/ND-CP on providing for the right to autonomy and self-responsibility for task performance, organizational apparatus, payroll and finance of public non-business units;
- Units actively drew up spending plans after being informed of the budget estimates;
- Ways of saving on expenditure were explored and expenditure norms set up;
- Financial expenditure and revenues were checked.

#### 1.5 Innovative Element: The Modernization of the Local Administration and E-Portal Design

In order to modernize the local administration, the city took the following approach:

- IT and networking was used to facilitate the management and control of computer applications such as LAN and e-office software between the specialist agencies and wards/communes;
- Equipments such as servers, workstations, personal computers, photocopying machines and scanners was provided to facilitate the management and control.

Lang Son city's also set up an e-portal, which was divided into five main parts:

- The upper part presents the main banner of the city;
- The left part demonstrates the structure of the menu bar;
- The right part illustrates search and ads banner functions;
- The centre (the heart) presents details of information areas;
- The lower part displays the website editorial board contacts.

The official name of the municipal website is: <http://langsoncity.com.vn>, which is an integrated e-data system from the Municipal People's council and People's Committee to the wards' and communes' departments and units.

Content of the website includes:

- The "overview" part which gives information on history and development, natural and social conditions, potentials and strengths, the socio-economic development orientation, the municipal administrative map;

- The “organization” part which includes functions, missions and addresses of the municipal People’s council, People’s Committee, specialist departments and People’s Committees of wards and communes under the city;
- The “administrative procedures” part which contains a complete set of information on administrative procedures implemented by the municipal People’s council and People’s Committees of wards and communes (including land survey, construction, justice-births, deaths and marriages, certification, social labours and others; forms and relevant legal documents);
- The “news and events” part which lists news on activities in all aspects, including politics, economics, culture, society, urban management, updated daily;
- The “tourism and service” part which consists of information about famous natural sights, historical relics, traditional festivals, culinary art, restaurants and hotels in the city.

The website was designed and developed by Net-Com AG Company - a provider of professional e-portal solutions from Germany - based on the active-city software, their license software. The website is developed based on the portal website technology widely used in the world. This technology is programmed on MySQL-based ColdFusion background.

The website was designed with the most simple display and representation for the public servants. The smart editing functions enable direct update on internet-based contents. Archived data records can be directly corrected by clicking without a series of search.

Data which is used often such as images, addresses, web links and so on are collected in the system’s data storage folder. Editors will not make multiple data entry and administrators can manage data easily. By using WYSIWYG processing program, text documents and sample designs can be modified as easy as in the normal word processing program without a need to understand how to program. Therefore, the public administrative officers are able to set up a most systematic data collection, processing and updating procedure. When the data input is made available in the system, information areas will automatically connect as per specific criteria. The end-users will simply see the synthesized details.

The website is sponsored by Net-Com AG Company, who took on the initial design and construction consultation fees. The operation management and administration of the website is financed through the municipal budget.

## 2. Reasons for Program Development, Shortcomings and Challenges Addressed by Best Practice Model

Being characterized by a centralized management mechanism and administrative subsidiaries, local administration of cities in Vietnam in general and Lang Son city in particular, fails to satisfy the requirements of a new management mechanism in new conditions without high management dependency. For a long time, the administrative system was defined by the following circumstances:

- The government management functions and the mission of the administration in a socialist market-oriented economy are not clearly and properly specified; assignment and decentralization between industries and levels are not coherent;
- The unsynchronized administrative system is overlapping and inconsistent; the administrative procedures in many fields are complicated; some rules are not strict enough;
- The organization is cumbersome, characterized by multiple levels; the administrative management method is centralized but dispersed; there are no proper financial policies and regulations for activities of administrative agencies, non-business bodies and public service providers;
- Personnel has many weaknesses in terms of qualification, responsibility, competence, administrative skills; the working style is not updated; there are incidences of excessive bureaucracy and corruption;
- The administration in the city, the wards and communes is not in line with local people and shows no understanding of the urgent issues in the area. It is confused and passive when dealing with complicated cases.

There are a number of reasons for these problems. Firstly, there is a lack of consistent awareness on the side of the public servants about the government's management roles and functions and role of the administration in a new context. Many guidelines, policies and regulations are not regularly updated and replaced.

Secondly, the implementation of administrative reforms is not synchronized with the reform of the political system led by the Party. The administrative reform is not closely linked with the reform of the legislative and judicial performance either.

Thirdly, the administrative reform is struggling to overcome the attitudes of staff in many of the administrative agencies which are used to a very centralized and bureaucratic working style. This had affected the way they approached their work and their way of thinking.

Fourthly, the current policies and regulations on staffing and remuneration are unsuitable to support the reform effort.



Fifthly, there are shortcomings in managing the implementation of the administrative reform within the government, the central ministries and departments as well as the local People's Committees; implementation guidelines are not consistent and binding.

## **2.1 Problems or Shortcomings Identified in the Model**

- The management of the public service is ineffective;
- The capacity of the public servants is not sufficient and professional enough;
- Functions and missions of specialist agencies on the same level are overlapping;
- The legal framework for the municipal socio-economic development is incomplete;
- The administrative procedures are complicated and time consuming, putting a strain on individuals, organizations and businesses;
- There is little information about the city's potential, strengths as well as its policies on investment;
- Guidelines on licensing and issuing business registration etc. are insufficient. Local people fail to fully understand the problem-solving mechanisms, procedures and steps of the "reception and return department";
- Efforts to inform local people about the implementation of the "One Stop Shop" mechanism have been only partially successful.

## **2.2 The "One Stop Shop Reception and Return" Department's Objectives**

The PAR program aims to develop a democratic, healthy, sustainable, professional, effective and valid administration as prescribed by the state, staffed by a qualified and competent personnel, meeting the demands of the municipal development process.

The reformed administrative system should be compatible with the requirements of managing a market economy as well as the situation in a municipality. The objectives of the "Reception and Return Department" implementing "One Stop Shop" policy in Lang Son city are:

- To implement the governments PAR Master Plan in the period of 2001-2010 in accordance with the decision of the Prime Minister;
- To minimize inconvenience for individuals, organizations and businesses in their dealings with public administration procedures.

Anti-bureaucracy and anti-corruption training should be conducted for some public servants;

- To improve the service quality, sense of discipline, as well as the attitude to serving people; to specify roles and responsibilities of departments and divisions when dealing with issues related to organizations and citizens;
- To contribute to streamlining personnel and restructuring the organization of the state's administrative agencies in a compact, effective and valid manner.

### 2.3 The E-Portal Objectives

The municipal e-portal has been developed with the following objectives in mind:

- To provide local people with information about local authorities, departments and agencies, subordinate units, wards and communes; to contribute to improving the management and operation capacity of local authorities;
- To provide necessary information about public services to people, as well as information about "One Stop Shop" mechanism applied in the "Reception and Return Department" of the municipal People's Committee, wards and communes;
- To set up a forum for business sectors in the area and neighbouring areas to support the local economy, creating a vehicle for businesses in the area to self-advertise, share information and contribute ideas to develop the city in a progressive way;
- To act as a medium to improve Lang Son city's image, introducing information about Lang Son city such as its potential for tourism, trade and services (famous natural sights, historical relics, pagodas, attractive tourism spots), introducing nature, people and special historical cultural characteristics of the city;
- To gradually computerize the state management to successfully implement an e-government project, to connect the PAR with IT to catch up with current development trends.

Through the e-portal, bilateral information relationships between the municipal authority and local people as well as domestic and international investors are established, with the aim of centralizing and mobilizing all resources for the municipal socio-economic development effectively.

## 2.4 Determination of Functions and Mission of Agencies and Units

In response to Plan No. 17/KH-UBND, dated 23/2/2008 of the provincial People's Committee on re-arranging and re-organizing the specialist agencies under the municipal and communal People's Committees in accordance with the government's Decree No. 14/2008/ND-Cp, dated 4/2/2008, the municipal People's Committee promulgated and implemented Plan No. 16/KH-UBND, dated 29/2/2008, on re-arranging and re-organizing the specialist agencies under the municipal and communal People's Committees.

The re-arrangement of the specialist agencies is carried out to ensure progress, as stated in Decree No. 14/2008/ND-CP. Leadership assignment is well performed. Public servants and contracted employees of departments are experiencing changes in their ways of working due to separation, mergers, winding-up, integration and new establishment. These people will be assigned to new positions in favourable working-conditions which will hopefully avoid a reluctance on their part to continue fulfilling the jobs. The movement of staff, documents and equipment is conducted carefully, without loss or damage to documents and property.

As a first step, the city decided to promulgate regulations on functions, missions, authority and organization structure of six specialist agencies after having instructions from the superior agencies, i.e., Department of Internal Affairs, Department of Labour Invalids and Social Affairs, Department of Natural Resources and Environment, Department of Culture and Information (in terms of Trade). As a next step, regulations on functions, mission, authorities and organizational structure of the municipal specialist agencies will be announced.

As a result of the new issuance, amendments or supplementation of the working regulations in units, 100% agencies and units under the city published their working regulations. When there is a change in their functions and mission, some units actively issued the amendment and supplementation of the working regulations as stipulated by the annual public servant meetings. However, some of them failed to supplement the regulations on time.

The city implements Decree No. 132/ND-CP of the government on streamlining and improving the public service staff in a compact and logical manner, re-arranging the organizational structure of the specialist divisions as stated in Decree No. 14/2008/ND-CP of the government (in 2008- 2009, 121 positions were cut, 4 of public servants and 117 of officials). It has succeeded in rotating the officials and public servants as stipulated to enhance the professionalism and integrity as well as

to prevent corruption and excessive bureaucracy. Up to now, the city basically fulfils the guidelines on staffing rotation for positions such as accountants, land-surveyors/builders as stipulated by the Decree No. 158/2007/ND-CP of the government. The organizational structure and personnel arrangement of the ward and communal specialist agencies are adjusted in accordance with the conditions and individual circumstances of each unit.

In general, the operation of the administrative agencies is in order without overlapping functions and missions. Consultancy for the municipal People's Committee is being increasingly improved. The state management, therefore, has become much more effective, making a remarkable contribution to fulfilling the socio-economic, security and national defence plan.

## **2.5 Reform of the Public Service Sector Staffing System**

Officials and public servants are the first resource to receive and process information. Besides clearly specifying positions and roles of the staff in the organizational structure, the municipal People's Committee pays special attention to the job description and job title of each position, thereby creating a basis for proper recruitment, arrangement and employment.

In addition, the municipal People's Committee requires agencies to review and supplement the working regulations in line with assigned functions, mission and personnel, specifying function and mission of each official and public servant in terms of responsibility and working regulations.

With reference to Decision No. 11/1998/QĐ-TCCP-CCVC, dated 05/12/1998 of the Minister/Head of the governmental personnel department on issuing regulations of evaluating officials and public servants, it is determined that it is a very important step to define capacity and qualifications, to implement proper policy on employment, arrangement, assignment, promotion, and training. An evaluation of public servants and officials should be conducted as stipulated. Especially for leaders and vice-leaders of relevant agencies, this direct evaluation is applied by the standing municipal People's council and People's Committee. The evaluation and rating results in 2008 of 217 staffs showed:

- Leadership quality: 34 (22 excellent; 12 good)
- Contracted public servants and employees: 167 (63 excellent; 111 good; 9 average)

The form-based evaluation attached with Decision No. 11 of the Minister/Head of the governmental personnel department is looking at eight aspects, including compliance with legal policies of the state, working performance, discipline, cooperation spirit in working, honesty in working, moral lifestyle, sense of qualification improvement, attitude towards serving people. A 10-point scale is used. The rating results of the eight aspects are added up. A score of 72 or more is ranked as "excellent". If 56 -71 points are obtained, it ranks at "good", anything between 40- 55 points is considered "average", anything below 40 points "poor". Because the ranking is based on the total number of points of the eight aspects, some illogical cases have emerged, where the working performance is relatively poor, but total points are still above average.

The city is considering training and refresher workshops as one of key concepts in improving the qualifications of the staff. The training and refresher workshops were closely matched to the job requirements.

Between 2007 and the first six months of 2009, the municipal People's Committee assigned a large number of officials, public servants and employees to attend the training courses, specifically as follows:

- 179 officials, public servants and employees of departments and divisions, attended the training courses, of which:
  - 73 people went to colleges and universities;
  - 80 people took part in refresher courses of the state management knowledge/expert program;
  - 11 people attended refresher courses of the state management knowledge/main expert program;
  - 4 people took part in a foreign language training course (English Level C);
  - 11 people attended others training measures.
- On the communal level, between 2007 and the first six months of 2009, the municipal People's Committee assigned 427 people to attend the training courses:
  - At universities: 12 people;
  - Training of the military commander: 2 people;
  - Refreshing courses for titles Chairman, Vice Chairman of the People's council and People's Committee: 35 people;
  - 4 subjects on military knowledge improvement: 224 people;
  - Training on the state management relating to religion: 85 people;
  - Others: 69 people.

To further improve the qualifications of staff, the municipal People's Committee worked closely with Ho Chi Minh National Academy of Politics to organize three classes (each lasting five days), to educate people on the state PAR and the People's Committees, with a total of 330 staff participating. As a result of these courses, officials and public servants are now familiar with the content, trends and PAR improvement measures. They have also acquired the skills of implementing the "One Stop Shop" policy in practice, as well as strategic planning skills, employee evaluation, administrative communication skills, etc.

By implementing Decrees of the government, instruction circulars of Ministry of Home Affairs, guidelines of the municipal People's Committee and Department of Home Affairs, the municipal People's Committee recruited 78 officials in 2008 (56 GVN, 7 medical officers and 15 others). However, the recruitment process still shows some inadequacies:

- According to the current guidance on recruitment, there are very high priority regulations for people from ethnic minorities. These regulations affect the recruitment input quality;
- Recruitment based on training level (from universities to colleges and vocational schools) is not applied to the kindergarten teachers. This is only applied when many candidates have the same mark for the final criteria;
- For the points mentioned above, the municipal People's Committee has made a direct recommendation to the provincial specialist agency to submit the competent authorities for approval.

## 2.6 Public Administration Reform

As part of the public administration reform, it is required to implement Decree No. 130/2005/ND-CP on provision of autonomy and self-responsibility for the regime on the assignment of personnel and administrative management budget for state agencies; also Decree No. 43/2006/ND-CP on provision of the right to autonomy and self-responsibility for task performance, organizational apparatus and financing the personnel of public professional units.

When budget estimates are provided, agencies and units prepare plans and implement the regime of autonomy, applying cost-effective solutions and setting up expenditure norms. Many units seriously publicize funds and save expenses to avoid financial waste. The units' procurement of equipment and property is inspected as stipulated by the state. During six months about VND 214 million were saved.

According to the result of the fixed asset procurement evaluation of 17 units with an initial value of VND 841.8 million, VND 79.1 million could be saved in the procurement process.



To implement the state's financial management policy, the city regularly checks the execution of budget estimates for dependent accounting units and agencies. Thanks to revenue and expenditure decentralization to the ward and communal budgets, these units can actively raise their own income and increase revenues for the state budget.

Responding to Decree No. 71/1998/ND-CP, dated 08/09/1998, of the government on promulgating regulations on implementation of democracy in the operations of agencies and units, currently 100% the agencies and units under the city set up their internal expenditure regulations, publicize budget estimates and expenditures as stipulated. The procurement, management and employment of equipment and assets comply with regulations.

The Law on Anti-Corruption is being followed by 100% officials and public servants under the city. Full declaration is applied for objects and items of declaration as stipulated.

## **2.7 Modernization of the Administration**

Regarding the introduction of IT in the agencies and units: E-portal is designed and developed; IT is used in management and administration, such as LAN and e-office software to improve the management performance of the municipal People's Committee to the specialist departments and the People's Committees of wards and communes. Specialized IT staff are employed to meet the demand of equipment application and IT qualification.

Regarding the application of quality control system TCVN ISO 9001:2000 into the operation of agencies and units: It is stipulated in Decision No. 144/2006/QĐ-TTg, dated 20/6/2006, of the Prime Minister that the project on applying TCVN ISO into the state administrative agencies in Lang Son city is to be implemented. The municipal People's Committee prepared and promulgated the documentary system for the first time, applying TCVN ISO 9001:2000 into agencies and units, as stated in Decision No. 1268/QĐ-UBND, dated 16/7/2007; the second time as stated in Decision No. 3100/QĐ-UBND dated 15/12/2008.

On 14/01/2009, the General Office of Standards, Measurement and Quality (STAMEQ), under the Ministry of Science and Technology, released Decision No. 63/QĐ-TĐC on granting Certificate of Quality Management System in accordance with TCVN ISO 9001:2000 for the state's administrative agencies in Lang Son city.

Currently, the city continues improving management and application forms and the e-portal. The "Reception and Return Department" strictly complies with the requirements and principles of the "One Stop Shop" policy, i.e:

- Receiving queries and and returning the results in one place;
- Publicizing the administrative procedures, fees, documents and records;
- Shortening handling time of organizations and individuals' dossiers;
- Clarifying the administrative procedures as stipulated;
- Establishing favourable conditions for organizations and individuals.

### **3. Results Achieved and Relevance to Public Life**

Currently, the municipal Dossier Reception and Result Return Department is under the direct management of the office of the municipal People's council/ People's Committees. It is led by one Head of the department and five official specialists, responsible for receiving dossiers and returning results in terms of business registration, certification, registry, building permit delivery, natural resources. The e-portal operates and updates the latest news on guidelines and policies of the Party and the state, party committees and local authorities as well as information on the operation of departments, organizations, wards and communes, disseminating news to all officials and public servants in the city.

#### **3.1 Specific Achievements**

The outstanding and meaningful achievements of PAR innovation are:

- Functions and operations of agencies under the governmental administrative system, ministries, central departments to the People's Committees at all levels were remarkably improved and concentrated on the state management;
- The administrative regime was gradually innovated in all fields, especially forming an economic regime as per request of the socialist market-oriented economy;
- The organizational structure of the government and administrative agencies at all levels were re-arranged and adjusted in a more streamlined manner; the administration from central to grassroots level worked more effectively;
- The personnel employment and management were improved as stipulated by the Ordinance on Public Servants ranging from selection, evaluation, grade increase examination, reward and discipline to training and improvement. The payroll regime and policy were updated.

## 3.2 Results of Implementing the PAR in Lang Son City

### 3.2.1 Management Regime Improvement

Lang Son City's People's Committee strives to construct a legal document system to fundamentally improve the management regime and gradually decentralize the units, wards and communes. Regarding the public administrative procedures relating to individuals and organizations, on 16<sup>th</sup> July, 2007, the municipal People's Committee announced Decision No.1268.QD-UBND on issuing 29 documents to implement the quality control system application in line with national standard (TCVN) ISO 9001:2000 in the municipal People's council and People's Committee. The application of the ISO 9001:2000 quality control system contributed to a reform of the administrative procedures, specifying obligations of agencies, organizations and public servants in receiving and handling problems in a timely manner as per request of the organizations and individuals.

As far as planning is concerned, the municipal spatial development master plan, the socio-economic development plan until 2010, and the vision plan up to 2050 require a concentration on steering, implementing and strengthening the progress of key projects. Decentralization and authorization to subordinates should be enhanced; clear specification between functions and mission of the state administrative agencies and that of non-business bodies involved in the public service are needed (in 2008, the municipal People's Committee decentralized the urban order management for wards and communes; it succeeded in fulfilling the project on strengthening the urban green tree system management, maintenance and care with Lang Son Water Supply and Drainage Co., Ltd).

To improve the working methods, performance and quality, the municipal People's Committee works closely with every department, division and unit to timely inspect and deal with difficulties. During these reviews, the Chairman and Vice-Chairmen of the People's Committee as well as leaders of the specialist departments often engage in a direct dialogue with local people, so that disputes can be settled quickly.

### 3.2.2 Public Administration Reform

The city is keeping statistics on administrative procedures, forms and statements as per Decision No. 30/QĐ-TTg dated 10/01/2007 of the Prime Minister on approving the administrative simplification project in the state management field in the period 2007 – 2010 as instructed by the province.

On 28/4/2009, the municipal People's Committee announced Decision No. 924/QĐ-UBND on establishing the administrative procedure control team to successfully implement the administrative procedure review, on 04/05/2009, the team released Notice No. 25/TB-TCT on assigning tasks to the team members. Plan No. 36/KH-UBND dated 29/04/2009 was promulgated and implemented on reviewing the administrative procedures. Training courses on the review of administrative procedures were held for leaders and public servants of the wards, communes and specialist agencies.

The result showed the following:

- At the municipal level, the first statistics showed 47 procedures, after additional reviews were conducted, the figure rose to 153;
- At the communal level, the first statistics showed 470 procedures of all eight units in the wards and commune; after additional reviews were conducted, the figure rose to 164 (the review was only carried out at three units namely Hoang Van Thu ward, Chi Lang ward and Hoang Dong commune).

These administrative procedures were summarized by the team and reported to the Chairman of the municipal People's Committee. Currently, the city is waiting for the provincial People's Committee to issue the decision to announce the general administrative procedures applied in the wards and communes in Lang Son province for implementation.

On 20/7/2009, the municipal People's Committee decided to promulgate regulations on "One Stop Shop" regime-based organization and operation of the "Reception and Return Department" to replace previous decisions.

At the communal level, the municipal People's Committee required wards and communes to quickly amend and augment regulations on operation and to improve the staffing in the department. That was completed by the wards and communes.

Staffing in the department of the city, the wards and communes complies with the provincial instructions (four officials work as the official in charge at the municipal level; whereas two out of four positions are assigned to the wards and communes including: land survey/construction; office/statistics; justice/registrar and culture/ society working in accordance with the current regime).

This is the first reform which aims to streamline personnel, improve responsibility and the performance of staff. However, the staff must be competent, enthusiastic and devoted to fulfil their assigned tasks. Currently, some wards and communes are confused in handling jobs (for two out of four public servants); the city expects to perfect the procedures to promulgate regulations on administrative procedures in

some fields in the department at the municipal, ward and communal levels. Recently, the department has been equipped with modern facilities to meet the requirements for technical equipments and facilitate quick and convenient service for organizations and individuals.

In the department at the municipal level, operations are maintained including certification, delivery or change of Certificate of Land Use Rights, House Repair and Building Permits, delivery or change of Certificate of Business Registration. Fields dealt with by the department are therefore covered by ISO 9001:2000.

### **3.2.3 Impacts on Living Standards in the City**

The implementation of administrative reforms in Lang Son has been successful and had positive impacts on individuals and organizations operating in Lang Son city.

In the “One Stop Shop” division, document procedures, sequences, time, fees and charges are announced transparently. The complicated administrative procedures suffered by local people and enterprises are improved to better serve individuals, organizations and enterprises.

Clear, simple, open, legal and comfortable administrative procedures have facilitated the prompt and convenient handling of dossier for individuals and organizations. This has made the local people very happy and excited. The inter-sectoral “One Stop Shop” mechanism improves service quality, satisfying the expectations of local people have of their public services, rendering a better service and enhancing the image of local authorities, shortening the gap between the local authorities and local people, reducing disturbance and exaction of officials and public servants.

Because individuals and organizations are provided with clear and thorough information and guidance, violation in construction such as illegal or unauthorized construction cases has been reduced; the city’s economic situation is increasingly developed. Negative cases such as exaction and corruption no longer exist. The local people support the PAR and believe in guidelines and policies of the Party, the state and local authorities.

## 4. Description of Lang Son City

### 4.1 Overview

Being the capital of Lang Son province with a natural land area of 79.18 km<sup>2</sup>, Lang Son city is situated on the National Highway No. 1A, 18km from the Sino-Vietnamese border, 15 km far from Huu Nghi Quan and 13 km far from Dong Dang in the Northeast. Its population is approximately 140,000 people with various ethnic groups such as Kinh, Tay, Nung, Hoa and Dao, Muong, San Diu, San Chi, etc. The city is characterized by a tropical climate, with annual average temperature of 21.0 C, average humidity of 80%, and annual average rainfall of 1439 mm.

The city was previously known as Lang Son town and received its city status (of category III) in 2002. There are five central wards and three suburban towns. New infrastructure and urban areas have been developed by the local authority with the aim to become a city of category II grade in 2010. Its economy is mainly derived from tourism and services, especially trade. The GDP per capita reaches 1,200 USD/person. Annual import-export turnover through border gates of Lang Son is approximately USD 600 million.

Lang Son city is the socio-political, economic and cultural center of Lang Son province, having an international multi-traffic railway and road network, and convenient trade. It is an important location connected with the robust Hanoi-Hai Phong-Quang Ninh economic triangle and an economic-cultural gateway of Vietnam to China and Western European countries.

Lang Son is favoured by nature in terms of topography, climate, land and tourism resources with a convenient location and traffic system. There are many cultural and historical relics which are highly rated. Many famous landscapes have been acknowledged in Vietnamese folk-songs such as Tam Thanh Grottoes (Nhat Thanh, Nhi Thanh, Tam Thanh), the Mac Dynasty's citadel, To Thi Mountain, Thanh pagoda, Chua Tien (which means Pagoda of Fairies), Ky Cung and Ky Lua Market Street.

The convergence of geographical, natural and human factors gives Lang Son city great potential and strength to develop trade, tourism and service.

### 4.2 Brief History

Lang Son city has been the center of the border area for a very long time, located on a historic traffic hub, connecting the border area with Thang Long's imperial citadel. This was also a political/economic/ cultural and social exchange route between Vietnamese feudal dynasties with Chinese feudal ones. The place witnessed a series of historical battles against the northern enemy of various generations of Vietnamese people and armed forces.



Lang Son town was established in 1925, a township of Lang Son province, divided into two natural areas with Ky Cung River as a natural boundary. Accordingly, the southern bank was referred to as “the provincial side” and the northern bank was called as “Ky Lua side”. The provincial side is the centre of administrative bodies of the provincial administration, whereas Ky Lua side is the place of markets where domestic, production and trading activities of local people were concentrated.

During the war of resistance against the French colonialists, Lang Son town witnessed famous campaigns such as the Autumn/Winter Campaign (1947) and Border Campaign (1950). After 1954, being a frontier town, Lang Son town was considered a “pontoon” – a place for receiving and storing aid goods from the socialist countries to support Vietnam. In 1979, the Sino-Vietnam border war was a violent war which took place in the border area and spread to affect almost the entire area of Lang Son town. The city suffered severe damages. On 17th October 2002, the government promulgated Decree No. 82/2002/ND-CP on establishing Lang Son city under Lang Son province.

#### **4.3 Geographical Location and Natural Resources**

Lang Son is located in a large hollow where Ky Cung River passes by. This river derives from Dinh Lap district of Lang Son and flows towards China. Being 154 km from the capital of Hanoi, 18km from the Sino-Vietnamese border, the city is situated on the National Highway No. 1A, the international through-traffic railway of Vietnam/China, the National Highway No. 1B to Thai Nguyen, the National Highway No. 4B to Quang Ninh, the National Highway No. 4A to Cao Bang. The city is located on an ancient rock base at an altitude of on average 250m above sea level, including terrain types such as endrumpf, carter and accumulated limestone. The Dong Dang/Lang Son Border Gate Economic Zone is planned to be a node in the Nam Ninh/Lang Son/ Hanoi/Hai Phong Economic Corridor as an economic drive of Lang Son province, the the northeast of Vietnam, and after 2010 it would become a pole of the Northern Golden Economic Quadrangle (Lang Son/Hanoi/Hai Phong/ Quang Ninh).

According to Decree No. 82/2002/ND-CP, the borders of Lang Son city are defined as follows:

- The north borders with Thach Dan commune, Thuy Hung – Cao Loc district;
- The south borders with Tan Thanh commune, Yen Trach – Cao Loc district and Van Thuy commune - Chi Lang district;
- The east borders with Cao Loc town and communes of Gia Cat, Hop Thanh, Tan Lien – Cao Loc district;
- The west borders with Xuan Long commune – Cao Loc district and Dong Giap commune – Van Quan district.

Lang Son city's natural resources are:

- Land: Total natural land area is 7,918.5 hectares, of which the agricultural land is 1,240.56 hectares, accounting for 15.66% of natural land area. The forestry land area is 1,803.7 hectares, making up 22.78% of natural land area. The specialized land area covers 631.37 hectares, accounting for 7.9% of natural land area.
- Water: Ky Cung River passes by Lang Son city, covering 19km length with average flow of 2,300 m<sup>3</sup>/s. Lao Ly Spring flows from Cao Loc town through Ky Lua area to Ky Cung River and Quang Lac Spring with 97km length and 6-8km width. Besides, the city is also a home to medium-sized and small lakes and dams such as Na Tam Lake, Tham Sinh Lake, Bo Diem, Lau Xa, Ba Chung, and Po Luong.
- Mineral resources: Mineral resources in Lang Son are mainly limestone, clay, sand, pebbles, gravels, etc. There are two limestone mines where reserves are not determined, but the limestone has very high component of calcium carbonate (CaCO<sub>3</sub>), which is favourable for cement production. A clay mine with reserves of over 22 million tons is used for producing construction materials. Moreover, there are some minor reserves of bullion, ferrous metals (mangan), bauxite, etc.

#### 4.4 Infrastructure

- Traffic: The traffic system in the city is relatively completed with the National Highways No. 1A, 4A, and 4B, the international multimodal railway and so forth. Currently, the city has approximately 40 km of the National Highway with pavement width of 10-20 m, 60 km of the provincial road with pavement width of 5-11 m. The Hanoi – Huy Nghi Quan Highway with 6 lanes will be constructed with total expected investment capital of 1.4 billion USD in 2010. The international railway will be built by Vietnam and China to facilitate the Nam Ninh – Lang Son- Hanoi- Hai Phong- Quang Ninh Economic Corridor. Pha Lai Port will be constructed as an important port node in the corridor's waterway.
- Irrigation and water supply: There are eight large and small lakes and dams with design capacity of 600 hectares and 20 pumping stations watering 300 hectares; 10 bored wells with capacity of 500-600 m<sup>3</sup>/h and 50 km of ø 50-300 pipeline used to supply water for over 8,000 households and 300 agencies and schools. Currently, the city is home to approximately 8km of water drainage pipeline and over 5km of water drainage ditch.
- Power system: The national power system in the city is approximately 15 km of 10 KV high voltage lines, 70 km of 6 KV line, 350 km of 0.4 KV line and so forth. More than 200 transformer stations

of various types with capacity of 30-5,600 KVA are used to power more than 15.00 meters. The commercial power productivity in the city increases from 21 millions of KWh in 1998 up to 25.8 millions of KWh in 2002, with annual average increase of 5.3%. Main road, cross-sections and intersections are equipped with an system.

- Telecommunication network: In 1997, a digital microwave transmission system was installed and put into operation from the city center to 11 communes and border gates. The total internal provincial digital microwave channels were 400 with capacity of switchboard TDX - 1B 8.000 digitals. Currently, there are 15,000 subscribers and thousands of mobile phones, etc.

#### 4.5 Human Resources

In 2007, Lang Son's population reached over 148,000 people of which urban residents made up 78%, whereas rural residents only accounted for 22%. The natural population growth rate was 0.92%. In addition to the four main ethnic groups, i.e. Kinh, Tay, Nung and Hoa, other ethnic groups can be found, such as Cao Lan, Dao, San Diu, San Chi and Ngai. About 89,200 people are of working age, accounting for 56% of the population, whereas agricultural labour only makes up 26% of the people in the working age group. The trained or professional labour force from the intermediate level and above account for more than 10% of the total working force.

#### 4.6 Socio-Economic Figures

The city's economic growth rate is relatively high: average GDP in 5 years (2002-2007) was 14.5%. Industry group structure in GDP: trade and services accounted for 62.84%; industry and construction made up 32.71%; agriculture accounted for 4.45%. GDP per capita was 1,300 USD/person. Lang Son city is the commercial centre of Vietnam's northeast mountainous area. In 2006, 180 000 tourists came to Lang Son, total retail goods circulation was VND 4,048 billion, making up 99.6% of the set plan with an increase of 21.3%. The commercial and service value has an average increase of 11.3%, the value of industrial and small-scale industry increased by 5.6% on average.

The state budget revenues have been increasing regularly. The revenues from 2002 to 2007 were:

- VND 33,939,000,000 (2002);
- VND 43,867,000,000 (2003);
- VND 56,890,000,000 (2004);
- VND 80,507,000,000 (2005);

- VND 100,146,000,000 (2006);
- VND 122,000,000,000 (2007).

Living standards are increasingly improving; the number of households with above-average income has increased, the rate of poor households had been remarkably reduced, with only 251 poor households at the end of 2007, accounting for 1.47%.

The natural population growth rate was maintained at 0.9%. The child malnutrition was 14.2%, reduced by 0.99% compared to 2005. Implementing Decision No. 134/2004/QĐ-TTg of the Prime Minister, the city has approved and allocated over VND 300 million funding for housing construction and rehabilitation for 60 households, fulfilling 100% of the set plan.

## 5. Budget for Best Practice Implementation

The total cost of VND 2.497 billion for the implementation of “One Stop Shop Reception and Return Department” was mostly made up of investing in establishments and equipments, IT application equipment including servers, workstations, scanners, PCs, photocopying machine, touch screen to publicize administrative procedures, automatic queuing system, barcode to scan document results, cameras and others. These expenses excluded the expenses for constructing the office building.

VND 489 million for equipment in the first period was dedicated to equip servers, workstations and LAN connectors of the municipal People’s Committee. The total expense in the second period was VND 1,008 billion to equip 62 PCs, 6 photocopying machines, 01 scanner and others to strengthen IT application and management tasks.

As for the project on providing modern IT application equipment for the department, the total investment was VND 848 million. It was funded from the state budget and own resources of Lang Son city.

Meanwhile, the costs of setting up the e-portal were shared with net-Com AG Company - a German professional provider of e-portal solutions. The company took on the costs of the initial design and development consultancy expenses. The operation management and administration of the website is financed through the municipal budget.

## 6. Specific Technical Expertise

The model of “One Stop Shop Reception and Return Department” and e-portal model of Lang Son city required the following technical expertise:

- Administrative management;
- Urban construction management;
- Natural resources and environment management;
- Business administration;
- Management science;
- Application Informatics;
- E-administration;
- E-portal editing, management and control.

The e-portal is under the management of the office of the municipal People’s council/People’s Committee. The Head of the office is fully responsible for it. The editorial board includes four members who are officials of the office. In addition, each department, unit, ward and commune under the municipal People’s Committee is responsible for providing relevant information.

The sources of expertise to implement both innovations, therefore, were derived from:

- Lang Son city’s People’s Committee
- Relevant governmental departments:
  - Urban management
  - Natural resources and environment
  - Justice
  - Personnel/social labour
  - Financial Planning

## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

To implement the Resolution of the Ninth Party Congress, the Prime Minister gave directions to quickly set up a strategic and long term public administration reform (PAR) program of the government. After a period of preparation, on 17/9/2001, the Prime Minister released Decision No. 136/2001/QĐ-TTg on approving the state's PAR Master Plan for the period of 2001-2010. The sequence of the provincial People's Committee preparation of the action plan were:

- On 04/9/2003, the Prime Minister promulgated regulations on implementing "One Stop Shop" mechanism in the State and local administrative agencies;
- On 24/10/2003, the provincial People's Committee released Decision No. 2002/QĐ-UB on implementing the "One Stop Shop" regime for some administrative areas in Lang Son province;
- The project No. 670/UBND-DA was initiated on strengthening PAR in Lang Son city in the period of 2009-2010 and in future years;
- The municipal PAR Steering Board was established;
- An expert team was established to support the Steering Board on developing the project, produce regulations on the organization of operation and on the implementation plan for the "One Stop Shop" in the municipal People's Committee;
- The "One Stop Shop" Mechanism for "Reception and Return Department" was established.

The initiating actors of this model are the Vietnam Communist Party and the government of the Socialist Republic of Vietnam by promulgating decisions on approving the state's PAR Master Plan in the period of 2001-2010 and regulations on implementing "One Stop Shop" regime in the state and local administrative agencies.

With response to the government's decisions, the Party Committee and the provincial People's Committee issued decisions on implementing the "One Stop Shop" policy for some administrative fields in the province. The policy was actively directed and implemented by the municipal People's Committee. On 01/01/2004, the "One Stop Shop" mechanism as a basis for the "Reception and Return Department" covering some administrative units in Lang Son city was officially put into operation. The key forces are specialist staffs working in the departments and divisions under the municipal People's Committee.



## 2. National Government Roles and Function

The model of the state PAR and the application of “One Stop Shop” regime was developed by the Communist Party and the Vietnamese government. Therefore, during the implementation of the model, the government closely supported, steered and created favourable conditions as well as inspected and supervised the performance. Annually, the implementation is summarized and continuously revised in accordance with the specific context of each area.

## 3. Brief Description of Best Practice Implementation Process

- Training courses were organized to aid understanding of the resolution and for explaining the action plan to all leaders and public servants in the city, to teach basic requirements and contents of PAR, to develop a scientific working style and to introduce the concept of being dynamic and creative to fulfil the tasks assigned;
- The municipal People’s Committee promulgated and implemented Directive No. 04/CT-UBND, dated 11/7/2007, on strengthening PAR, through compliance with administrative regulations. Officials were assigned to work in the “Reception and Return Department” and to set up and promulgate “Regulations on organizations and operations of the Reception and Return Department”;
- Field trips and study tours were held to other advanced cities implementing the “One Stop Shop” regime;
- A training course was conducted on the implementation of the “One Stop Shop” regime;
- An IT application model was set up modernize the public administration services in accordance with the “One Stop Shop” mechanism;
- Places were selected and facilities and equipment was prepared for the department;
- An annual PAR plan was set up;
- A summary and evaluation of obtained achievements in annual PAR fields was carried out;
- The ISO 9001:2000 quality control system was applied for the operation of the state administrative agencies in Lang Son province in the period of 2007-2010;
- The e-portal, LAN, internet between wards’ and communes’ departments and units under the municipal People’s Committee was set up, investment in IT equipment was made and e-office software was used in the administration.

#### 4. Civil Society and Community Involvement

The “One Stop Shop” with PAR-based model is supported by individuals and organizations operating in the city, due to its effectiveness in settling public administrative procedures. Therefore, social organizations and civil society are actively engaged in publicizing and supporting the PAR model for the implementation of “One Stop Shop”.

#### 5. Role of Media

The municipal People’s Committee set up a cooperation plan between many organizations and units in the city as well as widely disseminated the model, so that individuals and organizations were able to thoroughly understand the benefit of the “One Stop Shop” policy. Organizations and units involved in the communication are: The municipal radio station, Department of Culture, Information and Propaganda, People’s Committees of wards and communes.

The communication forms are relatively diversified and various such as via meetings at the agencies, organizations and units, activities of street groups, via mass media such as local radio and television. Meetings of mass organizations such as party meetings, meetings of Youth Union, Women Association, war veterans, etc also lead to comments on the “One Stop Shop” policy implementation.

In addition, the Department of Culture and Information published leaflets and widely promoted “One Stop Shop” mechanism to the local people.

#### 6. Input from International, National and Local Experts

With the support of the Association of Cities of Vietnam (ACVN) and the National Academy of Public Administration, Lang Son city and Hue city were selected by Net-com AG - a Germany company - as the two pilot cities of the projects “Setting up e-portal service in public administrative management to improve performance of administrative services.” There are four participants in the project including:

Party A : Net - Com AG.

Party B : Lang Son municipal People’s Committee.

Party C : National Academy of Public Administration, Informational Informatics Center.

Party D : Association of Cities of Vietnam (ACVN)

Completing and putting the e-portal into operation required great effort and determination by the leadership, editors and collaborators of Lang Son city, since the information technology qualification of most staff was very limited. It would have been impossible to carry out the project without the support of the Association of Cities of Vietnam (ACVN), the National Academy of Public

Administration and Net-Com AG, who have helped to settle the difficulties and attempted to complete the project as scheduled.

## **7. Types of Implementation Activities**

### **7.1 Administrative Institution Reform**

- Publicizing the resolutions and action plans of the Vietnam Communist Party, the state, Lang Son Province to speed up PRA, improving the efficiency of the performance of the state's bureaucracy;
- Developing programs and plans on the reform of the administration;
- Issuing PAR documents, such as legal documents, and procedures on implementing the administrative formalities;
- Completing the master plan on the urban spatial development and socio-economic development planning;
- Checking the progress of implementing "One Stop Shop" policy in the communes, wards and the city;
- Checking and inspecting the work of the public servants in the offices and units.

### **7.2 Reforming the Administrative Formalities**

- Compiling statistics of the administrative formalities, forms, administrative declaration templates and considering revising these formalities;
- Setting up regulations and processes of implementing the administrative formalities in a simply and transparent manner;
- Meeting people, organising dialogues with the resident community to deal with the queries that had arisen.

### **7.3 Reforming the Local Administration**

- Consolidating the administration, i.e. downsizing the personnel to avoid overlap between job descriptions;
- Establishing a new department in charge of receiving and returning dossiers in line with the "One Stop Shop" policy;
- Decentralizing, delegating responsibilities appropriately to the lower level, and clearly designing the functions and duties;
- Step by step outsourcing the provision of the public services to the private sector.

#### **7.4 Improving the Performance of the Officials and Public Servants**

- Assessing the performance of the officials and public servants;
- Training in politics, professionalism, administrative management knowledge and skills for the governmental cadres and officers.

#### **7.5 Reforming Public Finances**

- Implementing transparency in finance, expenditure regulations, using the public budget and properties;
- Checking and supervising the use of people's taxes;
- Determining the number of personnel and operation expenditure for the all professional offices and units directly under the city's control;
- Avoiding wasting public money and saving.

#### **7.6 Modernization of the State Public Administrative Reform**

- Using office information technology effectively, computerizing the financial management activities;
- Equipping the governmental offices with modern equipment;
- Setting an electronic information ports to supply information for the offices, units, the resident community and promote bilateral dialogue.

### **8. Steering Body and Coordination Mechanism**

#### **8.1 Administrative reform in Preparation for the "One Stop Shop" Mechanism**

Establishing the division to be in charge of receiving and returning dossiers, based on the "One Stop Shop" mechanism, directly under the office of the municipal People's committee. This division shall coordinate with the relevant departments to implement the work.

#### **8.2 Setting Up the Electronic Information Port**

The electronic information port of the city is managed by the office of the People's Committee – People's council. The office manager is the main person in charge. The editorial team includes four cadres working in the office. In addition, each department, division, commune and ward unit under the municipal People's Committee shall appoint liaison officers responsible for providing relevant information.

## 9. Sequence of Activities

### 9.1 Activities in the “Reception and Return Department” Based on the “One Stop Shop” Mechanism

Follow the sequences outlined below:

- Organisations or citizens submit their documents in the “One-door” division of the municipal People’s Committee (or the ward and communal People’s Committees);
- “One Stop Shop” officials receive the documents and explain the process:
  1. The official in charge receives the documents;
  2. He then passes on the documents to the department responsible for a specific issue which deals with them within a specific timeframe;
  3. The “One Stop Shop” official receives the processed documents back from the department and returns them to the applicant, collecting fees or charges as stipulated by the applicable regulations.

### 9.2 Process of Developing the Municipal E-Portal

Upon agreement, the four parties signed the Minutes of Understanding on the implementation of the project on October 1<sup>st</sup>, 2005.

In October 2005, the parties started to make plans and undertake preparatory steps.

Activities began in December 2005:

- Net-Com AG company assigned experts to Lang Son to train the city’s personnel on the method of collecting data, information and editing the content of the e-portal. The editorial teams and other staff were trained how to use active-city software;
- The e-portal was developed;
- Training courses were held relating to “method of information editing and posting into the e-portal” for the editorial team of Lang Son city;

- Over the course of the project, the experts of Net-Com regularly contacted the editorial team of Lang Son city's website to gradually complete the e-portal contents. They jointly solved the technical issues and updated the data. Thank to the great effort of the Editorial team and the staff of Lang Son city, supported by the enthusiast assistance from Net-Com, Lang Son city's e-portal has been completed according to schedule.

Procedures of domain registration and application for license at the Ministry of Culture and Information having been fulfilled, Lang Son city's e-portal has been officially opened and is available at the address <http://langsoncity.com.vn>

### 9.3 Relevant Supporting Activities

- In order to implement administrative reform in Lang Son city, the city has developed projects to prepare for the implementation of the reform. For instance, the project "Pushing up the administrative reform in Lang Son city", the project on the establishment of the "Division of receipt and releasing result in 'One Stop Shop' mechanism", the project "Setting up the electronics information port".
- The activities relating to the projects are summarized and reported on every six months.
- Establishing the inspection group and inspecting some departments, divisions, wards and communes. The inspection group has produced a report, assessing the results of implementing the administrative reform project.
- Regularly checking documents and activities, so that any problems can be dealt with quickly.



## Section C. Best Practice Evaluation

### 1. Sustainability of Lang Son's Best Practice

This best practice model in the field of public administrative reform will be highly sustainable, because it was proposed by the Vietnamese Communist Party, with the agreement and support of the state and local authorities nationwide. Especially, the offices, organizations, units and resident communities are aware of the remarkable effectiveness brought about for the country, the city and the community. Having implemented the administrative reform model, the city shall find it easier to develop their economy further, thanks to good incentives, clear policies for attracting investment, production and business, a restructuring of the economy and social welfare.

Implementing the model of administrative reform also helped in improving the leadership, organization and capacity of the local authority, putting the Party's, the state's and the city's policies into practice, creating consensus in the political system and in the whole society. In conclusion, this best practice model has about political, social, economic and environmental impact. It is supported by the entire governmental cadres, officers and the resident community in the city, which makes it a stable model.

### 2. Major Success Factors of Lang Son's Best Practice Model

The main factors determining the success of the PAR model in Lang Son city are:

- Clear-sighted, proper revision guidelines from the Vietnamese Communist Party and the state were in place;
- the Party's Committee, the main authority in Lang Son city, as well as the resident community responded positively to this revision guideline;
- The city's governmental leaders were dynamic, creative and highly determined to implement this model,
- There was transparency and accountability during the process of implementing the guidelines;
- Regular checking and monitoring took place during the implementation process;
- Attention was paid to training and refresher training for the governmental cadres and officers;
- The implementation was supported by the superior authority;
- Regular updating and justification of activities took place during the implementation process;

- Intensive information dissemination and publicity campaigns were carried out;
- Civil society organizations as well as the resident community took part in the process of implementing and monitoring;
- Learning experiences from other cities were applied to local conditions;
- International cooperation and the support of international organizations was sought.

### 3. Major Obstacles and Challenges of Lang Son's Best Practice

The PAR model encountered many obstacles and challenges:

- The greatest challenge for building an effective, transparent and powerful administrative system was the prolonged weakness of the administration, corruption and moral deterioration of a part of the governmental cadres and officers;
- The huge scale and scope of this administrative reform required continuous implementation, with a high determination, simultaneous study and practice, piloting and drawing conclusions of the new management and organizational models. The government's administrative offices were required to attempt to reform on their own in order to reach the goal of building a democratic administration and step by step modernize, as well as to improve law enforcement in the socialist-oriented market economy;
- PAR is part of the comprehensive reform of the political system and the state administration in general. In fact, there are many important and decisive factors determining the content and the methods of implementing the reform of the state administration, PAR and of developing the jurisdictional government of the Socialist Republic of Vietnam. It is too early to come to a clear conclusion about the success of all these reform efforts;
- The inertia of the centralized and bureaucratic regime had heavily affected the thinking and working style of many officials and public servants. The reform efforts were conducted under those conditions, with inexperienced staff that had a limited knowledge of new economic mechanisms, but were suddenly required to develop a democratic and modern administrative system.

In addition, the following obstacles were encountered:

- All staff working in the "One Stop Shop" were drawn from different departments which were not managed by the same personnel department. It is, therefore, very difficult to manage and evaluate their performance;

- Sometimes, the documents returned to the “One Stop Shop” from the specialists department fail to comply with the regulations. Some are not returned not in due time or the issue was not addressed without a reason given why this was so, so that the official in the “One Stop Shop” could not explain to the applicant what had happened;
- There is no provision for document settlement progress control in the software;
- Regarding the aspect of social invalids, in and before 2009 no transactions were conducted in the “One Stop Shop”, making it a waste of personnel's time. All work related to this issue was done by the wards, communes and the Department of War Invalids and Social Affairs;
- There is no constant cooperation between the head of the “One Stop Shop” office and heads of the specialist departments;
- There is a need of reviewing public administrative work in the on-going fields in line with ISO 9001:2000, as well as screen IT application software to find out the insufficiency;
- Investment capital for facilities and equipment procurement for the department is limited;
- The staff is not regularly trained to improve their qualifications.

#### **4. Why This Model Is Viewed as Best Practice**

The PAR Model in Lang Son city is regarded as a best practice because:

- There is a new PAR achievement in terms of politics, economics and social environment;
- There are new ideas, skills, knowledge and technologies;
- It can be widely transferred and replicated;
- The model is characterized by social, cultural, economic and environmental sustainability;
- A good and effective relationship is established between the local authorities, the private sector and local people;
- There are positive impacts on the social environment and living standards in the city;
- The model is characterized by effective and efficient performances without extensive waste of money.

Furthermore, this best practice achieved the following results:

- The “One Stop Shop Reception and Return Department” is set up and functioning by combining the different state administrative agencies into one integrated counter. The city successfully offers services, such as business and land registration, permits for housing and construction, as well as the transfer of rights of houses and land use, in a convenient and transparent manner;
- Re-organisation and adjustment of the organizational and personnel structure of the different state agencies, in accordance with functions, tasks and conditions;
- A communication plan and cooperation agreement has been developed and set up ensuring the involvement of the media, civil society, other departments and the private sector in the innovation process;
- Enhanced public servants’ capacity and performance through professional training, adherence to responsibility, working compliance and reward mechanism;
- IT application model is set up and fulfils the Public Administrative Services in accordance with the “One Stop Shop” mechanism;
- A quality control system is applied for the operation of the state administrative agencies in Lang Son province;
- An e-portal connecting the wards’ and communes’ departments and units under the municipal People’s Committee is functioning;
- The financial management and urban services have been transferred from the city government to the district People’s Committee. The project has improved the land certification process and reduced conflicts in land use rights.

## 5. Lang Son’s Best Practice Transfer and Replication Adaptability

This model can easily be replicated in other cities in Vietnam, since they are also in the process of implementing PAR guidelines of the Party and the government. No special conditions are needed to implement this model: the costs are low and no specialist staff is needed.

The PAR Model can also be replicated in other Southeast Asian cities for the following reasons:

- The city has a similar size as many cities in the region;
- Many countries in Southeast Asia are also implementing a public administration reform;

- This model does not require special conditions to be implemented, such as intensive demand of high quality labour;
- The Southeast Asian countries are characterized by relatively similar socio-economic settings, which makes this model easily transferable.

From the PAR practice in the past ten years, based on achieved outcomes and shortcomings, some general lessons can be drawn as follows:

- PAR is an extensive task, relating to many fields. For it to be successful it has to be implemented in conjunction with a comprehensive reform of the political system and the state's administration in general;
- PAR has to be integrated into any with economic reforms, so that the two reform-processes can support each other;
- PAR is a sensitive, challenging and demanding exercise which requires strong leadership with a determination to reform;
- PAR must be implemented at the same time top down and bottom up. It is supposed to respect and encourage initiatives and experiments of the grassroots level, making sure that local experiences are becoming part of the reform process;
- PAR must be drawn from Vietnam practice, taking into account the characteristics, traditional features and special identity of Vietnam while at the same time taking inspiration from the knowledge and experiences of other countries.

## Appendix 1

### INSPECTION TEAM ON THE CENTRAL RESOLUTION PERFORMANCE TW % - X SESSION

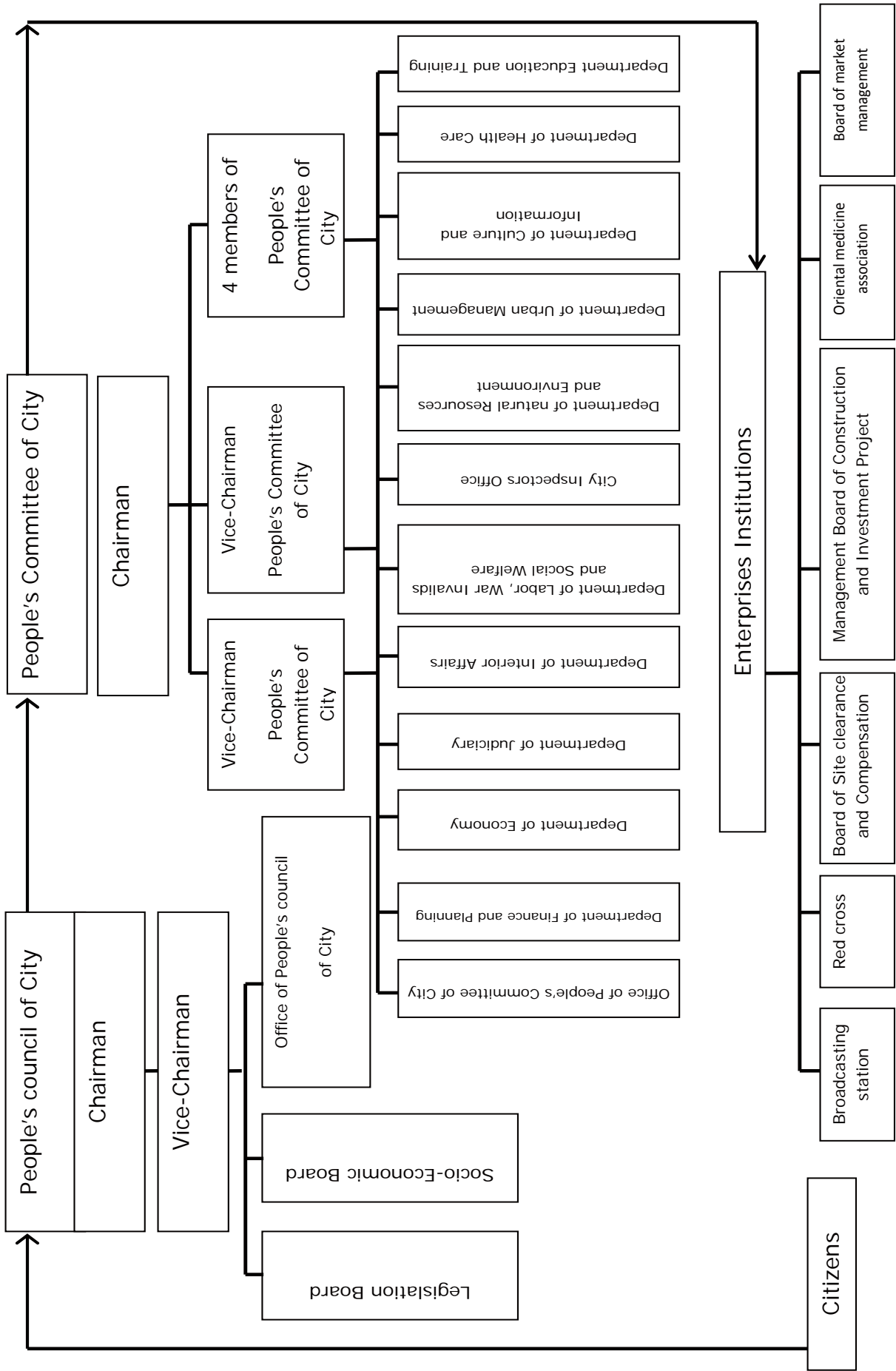
#### STATISTICS

PAR guidelines promulgated in 2007, 2008 and the first 6 months of 2009  
(Attached Report No. 138/BC-TKTr dated 25th September, 2009 of the Team)

No	Titles and types of quotes	Remarks
<b>I</b>	<b>Documents promulgated in 2007</b>	
1	Document No. 518/UBND, dated 28/08/2007, of the municipal People's Committee on implementing weekly working on Saturday in the "Department of Reception and Result Return" of wards and communes	
2	Notice No. 200/TB-UBND, dated 28/08/2007, on organizing the weekly working on Saturday	
<b>II</b>	<b>Documents promulgated in 2008</b>	
1	Notice No. 07//TB-UBND, dated 18/01/2008, of the municipal People's Committee on receiving information for PAR and personnel management when issuing Certificate of Land Use Rights and exercising rights of land users.	
2	Document No. 375/UBND-NV, dated 22/7/2008, on listing the administrative procedures	
3	Resolution No. 18/2008/NQ-HDND, dated 19/12/2008, of the municipal People's Committee on strengthening PAR in the period of 2009-2010 and in the future	
4	Notice No. 135/UBND-VP, dated 31/03/2008, on the fact that since 05/04/2008 the "Department of Reception and Result Return" in charge of receiving results from the city, wards and communes only works on Saturday weekly	
<b>III</b>	<b>Documents promulgated in the first 6 months of 2009</b>	
1	Decision No. 601/QĐ-UBND, dated 18/3/2009, on improving the PAR Steering Board of Lang Son city	



2	Decision No. 884/QĐ-UBND, dated 20/4/2009, on approving Lang Son city's PAR project	
3	Document No. 46/UBND-NV, dated 12/02/2009, of the municipal People's Committee on making the administrative procedure statistics in line with Form No. 01	
4	Document No. 81/UBND-NV, dated 12/02/2009, of the municipal People's Committee on making the administrative procedure statistics in line with Form No. 01	
5	Notice No. 43/TB-BCĐCCHC, dated 20/4/2009, of the municipal People's Committee on assigning tasks to members of PAR Steering Board	
6	Plan No. 36/KH-UBND, dated 9/4/2009, of the municipal People's Committee on reviewing and making statistics of administrative procedures	
7	Notice No. 25/TB-UBND, dated 04/5/2009, of the municipal People's Committee on assigning tasks to members of the inspection team for administrative procedures statistics	
8	Document No. 449/UBND-NV, dated 19/8/2009, of the municipal People's Committee on instructing how to implement the one-door policy at the communal level	
9	Plan No. 66/KH-UBND, dated 31/8/2009, of the municipal People's Committee on implementing Solution TW 5 (X Session)	



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Company Vietnamese Cultural Intelligence implementation and introduction of Vietnam published face-Lang Son-city youth culture Publishing Company Information-Vietnamese cultural intellectual collaboration published in 2008.

Decision 136/2001/QĐ-TTg of the Prime Minister approved the overall program of state administrative reform in the 2001-2010 period.

Decision 181/TTg/2003 of the Prime Minister on the mechanism of a local shop.

Decree No. 08/2004/NQ-CP of the Prime Minister on strengthening State management decentralization between central government and provinces and cities under central authority.

Decision 94/TTg/2006 of the Prime Minister on the implementation of OSS in bulk at the central level.

Decision No 22/2006/QĐ-TTg dated January 24, 2006 by Prime Minister On task assignment in addressing obstacles and recommendations of individuals, organizations and enterprises on administrative procedures.

Decision 93/2007/QĐ-TTg of the Prime Minister promulgating the implementation of OSS, one-door mechanism at the State administrative agencies at the local.

Decision scheme 30/QĐ-TTg/2007 simplify administrative procedures in the areas of state management.

Decision 07/QĐ-TTg/2008 project implementation plan.

Joint-Circular No. 03/2006/TTLT-BTC-BNV dated January 17, 2006 by MoF and MoHA Guidance on implementing the Decree No 130/2005/ND-CP dated October 17th 2005 of the government regulated on the self-management system and self-responsibility in the usage of governmental-staff and administrative management expenditure in state-owned.

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Order No. 26/2005/L-CTN on the Promulgation of law Document of the 8th National Party Congress (28/6 – 1/7/1996)

Political report of the Central Party Committee at the 7th National Party Congress

Political report of the Central Party Committee (Legislature VII)

Resolution No. 01/2006/NQ-CP dated January 16, 2006 by government On major measures to guide and direct the implementation of the socio-economic development and state budget plan in 2006.



Picture 1. One stop shop in Lang Son city



Picture 2. Administrative procedures are publicized in "One Stop Shop"

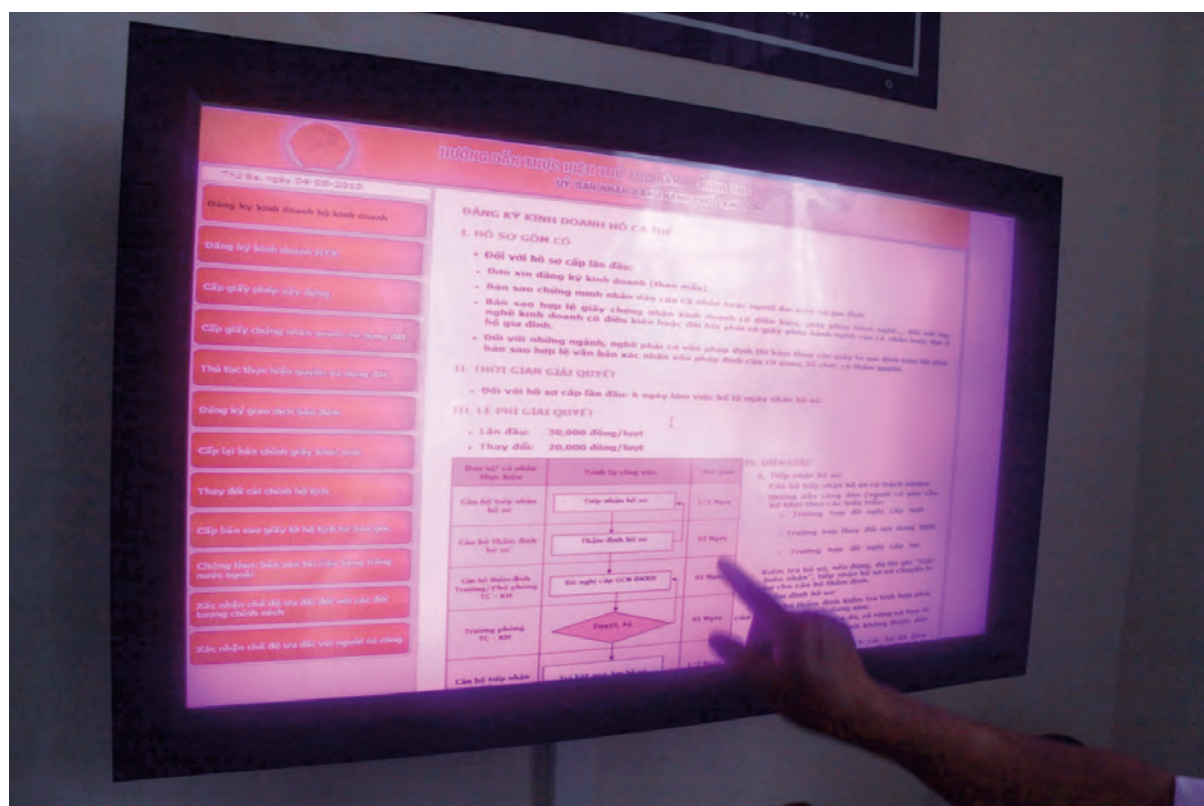


Picture 3. Issuing Land use right certificate in "One Stop Shop" in Lang Son city





Picture 4. ISO 9001-2000 certificate for Lang Son City's People Committee Office



Picture 5. Applying e-portal in administrative procedures in Lang Son city





Picture 6. Easy access to the “one-stop shop” service



Picture 7. Reception and return department in Lang Son city



Picture 8. “One stop shop” at commune level



Picture 9. Clear administrative procedures at commune level

**Best Practice 9 | BP9**  
**Strengthening of Local Self-Administration:**  
**Revenues, Budget Transparency and People's**  
**Participation, Battambang, Cambodia**

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with the support of NLC/S (National League of Communes/Sangkats)

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## Section A. Best Practice Description

### 1. An Introduction to the Best Practice Model and Its Innovative Elements

This best practice is focused on a program called “One Window Service Office” (OWSO), which was initiated and set up by the Royal Government of Cambodia’s decision No 47 SSR, dated 11 June 2003, and which has become operational in Battambang (then called district) in 2005. The main priorities of this pilot program were:

- To develop the necessary legal framework for a revenue system in a pilot urban district and to collect experiences and lessons learned for a wider decentralization and deconcentration reform at this level;
- To develop the existing budget procedures for this pilot municipality into a well functioning and efficient system of budget planning, implementation, monitoring and control for urban towns;
- To develop capacity and change attitudes at the third level of local government for respecting, managing and actively using the new procedures for good governance and people participation as a model of local democracy in Cambodia;
- To give access to information about activities at that third level of government to the public and to local media.

The same program has also been implemented in Siem Reap. However, this best practice will concentrate more on the Battambang experiences.

The One Window Service Office (OWSO) is responsible for administration and delivery of delegated public services to citizen. This office consists of several front office staff (3-6) who are responsible for serving the customers, and several back office staff (5-10) who are responsible for preparing and processing the services required by customers. OWSO (also called “Model City”) provides services such as:

- Culture and fine arts (among others distribution of licenses to photographers or video rent shops);
- Tourism (amongst others licensing of guesthouses up to five beds and restaurants up to 50 places);
- Transport (amongst others registration of motorcycles);
- Mining industry and energy sector (amongst others registration of handicraft shops and businesses in the mining sector);
- Commerce (amongst other registration of small businesses); and
- Construction licensing for residential housing of up to 500 m<sup>2</sup>.

By 2009, the OWSO of Battambang municipality was able to provide 48 different types of services in connection with the above sectors, while other line ministries are now in the process of reviewing and delegating more functions.

Services of this OWSO in Battambang are markedly different from the old system in a number of ways: (1) the fees for various services at the office are transparent (publicly displayed at office), and (2) the services provided are on time and consistent. Through exercising this type of service delivery, Battambang municipality has been able to collect substantial annual own-source revenue.

## **2. Reasons for Program Development, Shortcomings and Challenges Addressed by the Best Practice Model**

The overall development in Cambodia in the past years has been encouraging. The political situation is stable, the democratic structures have been extended (election of commune councils), the economy is growing quickly, and the living conditions for the people – at least for those in the cities – have improved. But certainly most importantly, since 1998, there has been peace in Cambodia. Still, this encouraging news is set against deficits in other areas such as health care, schooling and education, and environmental protection.

The deficits in the public administration are particularly critical. The administration has a centralized structure and is bureaucratic and non-transparent. Simple administrative procedures, such as registration of advertisements, cars, and small businesses, can take disproportionately long, with barely comprehensible procedures and non-transparent service-fee charges.

At the same time, the democratic structures are improving, particularly as the public administrative service delivery has been trying to move closer to the people. Various forms of people's participation - aside from the election of the parliament and at communal level - in Cambodia have just begun with the election of the capital, provincial, municipal, district and Khan councils on May 17<sup>th</sup> 2009.

The structures and mechanisms of those unified administrations have just been established and are, therefore, not yet fully performing their roles and duties. In addition, the capacity of each category of councils is also limited and required more training and capacity building. Although, some functions and duties were devolved down to municipal, district and Khan administration level, staff at that level still has more responsibility for security and public order, rather than development and public service delivery.

## 2.1 Decentralization and Deconcentration (D&D) Policies of the Royal Government of Cambodia

Reforming a still largely centralized administration is the most important precondition for building a citizen-friendly, transparent and efficient administration. This is also the view of the Cambodian government. Directly after the formation of the government in 2004, Samdech Prime Minister Hun Sen presented the council of Ministers with the “Rectangular Strategy for Growth, Employment, Equity and Efficiency” (July 2004). The core of this strategy is to reduce deficits in the area of good governance.

In the National Development Plan, passed in December 2005, it was stated that “the reform of the administration is a core governance strategy”. The goal was to make the administration a potent instrument of public policy and make it more effective, efficient, neutral, transparent and responsive, to serve people better. With the foundations in place, the task ahead is still to deepen and broaden reform processes to target poverty reduction while being sustainable.

Public services will become less bureaucratic, more effective, accessible and transparent through implementing a mix of tools such as One Window Service Offices (OWSO). The capacity of people and institutions within the administration will be developed urgently to uphold principles of good governance and to improve performance. The gradual automation of management and service delivery processes through information technology will be continued to enhance the quality of transparency of public services.

In June 2005, the government passed the “Strategic Framework for Decentralization and Deconcentration Reforms” in which it was sketched out for the first time how the competencies between the authorities on national, provincial, district and commune level should be distributed.

In October 2006, the Ministry of Interior published the “Preliminary Draft Organic Law on sub-national Democratic Development” in which, among other things, it was stated:

- All councils at sub-national levels will be indirectly elected by commune councils;
- Substantial responsibilities should be delegated to the councils, including the responsibility for local facilities and institutions, for infrastructure and for public services;
- The necessary funding and personnel for these tasks will be made available to the councils;
- The councils are required to operate in accordance with good governance principles;



- The districts will be redefined. The goal is to create urban and rural districts. They should receive different competencies and responsibilities.

In May 2006, the Council Minister passed the Policy on Public Service Delivery with a view to serving people better.

The implementation of the Law on Administrative Management of Capital, Provinces, municipalities, districts and Khans as well as the requirements of some legal frameworks and regulations have been established and publicized step by step; roles, duties and working procedure of each council and board of governors have been examined.

### **2.1.1 Administrative Reform in Two Pilot Districts**

In 2003, the Royal Government of Cambodia passed a decision on the establishment of a Model District Administrative through the establishment of the One Window Service Office in Siem Reap district in Siem Reap Province and Battambang district in Battambang Province.

The Ministry of Interior's outline for the Organic Law has been influenced by the experience gathered in Siem Reap and Battambang, the two pilot districts in Cambodia where a reform of the district administration was implemented. The districts in Cambodia, regardless of whether they are rural or urban, have very limited competencies. According to the Prakas 348 from March 16, 2000, the districts are responsible for, amongst other things, order, social affairs, environmental protection and statistical surveys. But they do not have real any decision-making authority, and public services are performed almost exclusively by the province and the respective ministries in Phnom Penh.

This situation is different in Battambang and Siem Reap. The pilot projects in these two districts intended to strengthen the urban districts/towns of Battambang and Siem Reap as urban self-administration models. This included measures to introduce better public service delivery and to establish an institutional framework for transparent administration, participation of the people and interaction with citizens.

These completely new district administrations in Siem Reap and Battambang were constructed with the financial support of the European Union. The project was conducted by the Rhein-Sieg-Kreis (Germany), the city of Spoleto (Italy), the Konrad-Adenauer-Foundation in Cambodia and BBJ Share Italy, a non-profit organization specializing in the application and execution of projects. The first phase of the project was from December 2001 – March 2004; the

second phase from December 2004 – November 2007. The project has since been extended until March 2008, before a final evaluation was conducted.

The legal basis for these two districts was created with the approval of Decision 47 in June 2003. In addition, the Ministry of Interior has passed three Prakas as follow: Prakas No. 790, dated June, 29<sup>th</sup> 2004 on organization and functioning of the Ombudsman office in Siem Reap and Battambang, Prakas No. 791, dated June 29<sup>th</sup> 2004 on structure and administrative management system in Siem Reap and Battambang, and Prakas No. 792, dated June 29<sup>th</sup> 2004 on organization and functioning of the One Window Service Office in Siem Reap and Battambang. Meanwhile, the six ministries also issued Prakas on delegating functions and roles to these two target municipalities.

### **2.1.2 The Role and Tasks of the New Municipal Administration**

According to this Decision 47, it is the task of the administration to:

- Promote good governance;
- Deliver public administrative services, which citizens, enterprises or companies need in their daily life in a transparent way;
- Formulate district development planning with people's participation;
- Coordinate and support all the communal councils in the district;
- Enhance the effectiveness of the implementation of all national policies and all programs of ministries and departments of the royal government.

In addition, the districts are expressly charged to act as an experimental centre of the provinces, to meet the local demand and deliver public services to the local people.

During the project implementation, some functions and duties of the key sectors were delegated to two pilot municipalities, such as Public Work and Transport, Land Management, Urban Planning and Construction, Tourism, Industry Mines and Energy, Culture and Fine Arts, Commerce and Legalization.

### 3. Results Achieved and Relevance to Public Life

The project was a key feature in the overall D&D strategy of the Royal Government of Cambodia (RGC). As the description of the institutional background shows, the Strategic Framework for D&D of the RGC has heavily drawn on the experience of the two pilot districts where the district reforms, including the OWSO, the District Ombudsman (DO), and people's participation measures were introduced.

The OWSO model triggered by the Asia Urbs project has now been replicated in several municipalities under a government-world bank program called "Demand for Good Governance – DfGG" as part of the implementation of the 2008 Organic Law.

At the time being, the innovations tried in the administration of the pilot district fulfilled many important criteria for good governance:

- The administration is accountable: District governors, their deputies and the administration no longer operate behind closed doors; they have to inform citizens about all important decisions, which affect the district;
- The district administration is transparent: Decisions of the administration are publicized in the local media and on the information boards in the OWSO. In addition, citizens are informed about development of the district in an annual citizen's assembly;
- The citizens have a voice: They can participate in the public meetings of the district councils; thanks to the weekly citizen's hour, they can directly address the district governor; in the DO they have a contact point when they are dissatisfied with the decisions of the administration;
- The citizens receive better service: small businesses, restaurants, guesthouses, and mopeds can be registered non-bureaucratically and comparatively quickly. This means that at least a portion of the public services has been organized so that it is effective and citizen-friendly;
- Corruption has been repressed: The fees for the services that are available in the OWSO are displayed prominently; the working procedures in the OWSO are organized in such a way that there is no opportunity to charge "extra money".

In other words, the new district administrations in Siem Reap and Battambang, including the OWSO and the DO, exemplify various principles underlying the DFGG project. The OWSO responds to DFGG by improving the efficiency, quality and transparency of delivery of certain administrative services to citizens; while the DO office mediates DFGG by creating an avenue for feedback and dialogue between the public and public officials at the district level. The People's Participation Measures help to promote and monitor DFGG by encouraging dialogue and feedback, transparency of district government policies and decisions, and participatory planning.

The project had a number of beneficiaries. These included:

- Citizens: All citizens of the selected districts/Khans profited very directly from better service from the administration, increased transparency and more possibilities to make themselves heard by the administration. Given the non-transparent and inefficient situation of service delivery in urban districts before, the positive effects of the OWSO were felt immediately upon its opening. Citizens of the districts where the OWSOs were opened had an avenue to avail themselves of certain administrative services in an easy manner with full knowledge of the process and the official fees involved – something that was not the current norm in Cambodia;
- Small businesses: Likewise, the owners of small businesses, workshops, restaurants and guesthouses benefited in particular. They can now register their businesses quickly and without trouble in a well-functioning OWSO. The Ombudsman also shows his value quickly even if it took some time before the citizens ask him directly for help. His random inspections of the OWSO, alone, guarantee that the rules of the OWSO are abided by;
- Local authorities: Beneficiaries were also the local authorities in the districts/Khans who received these new structures. They got more competencies so that they can better administer in the interests of their citizens. They have been thoroughly trained in their new responsibilities. This led to a higher satisfaction of the citizens;
- Civil servants at different levels: The civil servants at different levels also benefited. At the district/Khan level, the district civil servants have been prepared under the framework of the DFGG project for the new tasks and received a performance incentive according to their work in the OWSO. The staff at the national level at the Ministry of Interior, who constituted the “district support team” that managed the project, also improved their skills, for example in project management, monitoring and evaluation, and financial management. The civil servants of the provincial administration benefited indirectly. In the long term, they will be relieved of service tasks and can concentrate on the coordinating responsibilities of the province;
- RGC: Finally, the project also showed benefits at the government level. This is because, with the introduction of a transparent OWSO model for delivery of district level administrative services, the likely motivation of citizens and small businesses to abide by registration and licensing laws went up (through easier and non-corrupt procedures). In this way, the RGC got more revenue through the delivery of these local administrative services than it would have been got through the old ad hoc system where records of fees and procedures were not clear.

#### 4. Description of Battambang Municipality

Battambang municipality is located in the center of the province of Battambang, along the National Road No. 5 and about 310 km from Phnom Penh to the west of the country. The municipality covers approximately 11,544 hectares of land and has a population of 151,656 (as of 2008). With its large population and location in the center of Battambang province, the municipality has gone through a rapid urbanization process and now hosts people from neighboring provinces (such as Pursat, Paillin, Banteay Meanchhey, and Odor Meanchhey) who seek education, health, cultural and economic services.

The current structure of this model municipality was implemented following Prakas No. 791 of the Ministry of Interior, dated 29 June 2004 on the structure and administrative management system of Battambang district (now called municipality) of Battambang province.

According to the structure, the municipality is led by one governor, deputy governors and a chief of cabinet as a general assistant. It includes 11 offices as follow:

1. One Window Service Office
2. Ombudsman Office
3. Development, Tourism, Culture, Education, Sports and Religion Office
4. Welfare Promotion, Social Affairs and Work Relation Office
5. Personnel Office
6. Finance and Asset Office
7. General Administration and Procurement Office
8. Internal Audit Office
9. Municipal Planning and Investment Office
10. Council Secretariat
11. Assistant Group

In addition, structures and mechanisms have been established as follows:

- Setting up of a “district council” consisting of representatives from all commune councils in the district;
- Establishing a Citizen’s Information Office;
- Creating a position for a district spokesperson;
- Introducing a participatory planning process for drawing up a “District Master Plan” for development; and
- Various forms of capacity building for the district administration and council and introduction of various forms of “people’s participation” for district governance. The two most prominent elements of the reform were, however, the setting up of the One Window Service Office (OWSO) and the introduction of the district Ombudsman’s office.

## 5. Budget for Best Practice Implementation

Cambodia has been a very centralized country, especially in terms of budget and revenue management. Since the start of the implementation of this project, Battambang and Siem Reap as the pilot cities collected fees from this OWSO and submitted them to the central government. In return, they received financial support from both the government and the Asia-Urbs Programme (and now the Government-World Bank/DfGG) to operate the project.

The expansion of pilot OWSOs and DOs was prepared and officially approved in December 2008. The OWSO/DO project is now one component of the Demand for Good Governance (DFGG) project under the financial support of the World Bank (WB) and the RGC totalling approximately USD 4.5 million (USD 3.5 million from WB and USD 1.2 million from RGC). The project is being implemented over four years, starting from 2009.

In total, the new follow-up project will open 22 new OWSOs and DOs - one in each of the 21 remaining provincial towns and one in a pilot rural district. In the first year of the project (2009-2010), the MoI will establish OWSOs and DOs in the following seven municipalities/districts: Takhmao (KDL), Suong (KPC), Preh Sihanouk (SHV), Stung Sen (KPT), Poy Pet (BMC), Kratie (KRT) and Peam Ro (PVG). In year two (2010-2011), eight new OWSOs/DOs will be established; and in year three, seven new OWSOs/DOs will be established and implemented, whereas in year four the project will be rolled out in the remaining municipalities and districts.

## 6. Specific Technical Expertise

The capacity building, technical support and provisions of training materials from outsiders was one of the critical factors that assisted the project implementation successfully. During the project implementation, the EU-Asia Urbs programme and the Konrad Adenauer Foundation (KAS) had supported short training courses on the practice of operational procedures, international experts to train directly the OWSO staff, and study tours abroad to see and understand the concepts and processes of OWSOs there.

However, the capacity building and its support was not as intensive as needed, because those training courses were conducted in a short period of time and focused only on the operational procedures, not the technical aspects. Particularly, the municipality has no capacity development plan in their annual work plan.



## Section B. Methodology in Design and Implementation of Best Practice

### 1. Brief Description of Best Practices Design Process: Initiator, Main Actor and Driving Forces

The Decentralization and Deconcentration (D&D) reform has been implemented by the Royal Government of Cambodia (RGC) as a way to promote local democratic governance and local development (together defined as democratic development) in order to improve its service delivery and contribute to its efforts for the country's poverty reduction.

As the third level of government in Cambodia, the district/ municipality/ Khan, regardless whether they are urban or rural, have had very limited competencies and financial resources. They have been considered as the provincial arm and assigned responsibility for many tasks, including ensuring the social order/ affairs, statistical surveys, environment protection, but had no real decision-making authority. Most public services are performed by provinces and respective central ministries directly from Phnom Penh, the country's capital, or through their provincial line departments.

To address and move forward the D&D reform, the RGC issued the Decision No 47 SSR on 11 June 2003 allowing for the pilots of OWSO in the above two districts/municipalities. In 2004, after consultations and dialogues with concerned ministries and respective provinces and districts/municipalities, the Ministry of Interior (MoI) promulgated several regulations (Prakas #790, #791, #792 etc.) to facilitate the establishment and functioning of the provincial coordination committee, the respective district/municipality council, the OWSO management body and the Ombudsman (or Citizen Office in Khmer language). It should be noted that the district/municipality councils set up for the two districts/municipalities at that time were different than the 2009 district/municipality elected council and consisted of representatives of citizens, commune councillors from different political parties as well as the district/ municipality administration. Under the framework of this special structure, the council plays the most important role on the approval of the annual work plan, budget plan and the monitoring of the program's implementation. The Ombudsman is responsible for receiving and dealing with citizen's complaints concerning the quality and transparency of the service delivered by OWSO. He also plays a key role in linking citizens with the municipal administration.

Under the One Window Service Framework, NGOs have been involved in facilitating information campaigns, citizen hours and forums, and card survey. Citizens have been involved through their interactions with the Ombudsman and participation at the citizen hours and forums. There were monthly citizen hours and quarterly and annually citizen forums organized by specialized NGOs (such as the Centre for Social Development) to gather citizen's perceptions and recommendations on the performance of the OWSO.

In terms of functions and tasks, six ministries have delegated some (sub) functions and tasks via their ministry's regulations.

## 1.1 Project Design

Based on the results of the evaluation, the MoI in consultation with the National Committee for Sub-National Democratic Development (NCDD) has understood that the pilot project on service delivery by municipal administration through OWSO is a good model that satisfied the citizens and institutions concerned, because of efficient service delivery (quick and cheap services, good behaviour of service providers), transparency and reliability. The Ombudsman office served as a valuable mechanism for resolving complaints and connecting with the citizens. In addition, this pilot project encouraged citizens to seek public services for their businesses, and it also contributed to poverty reduction.

The MoI has also realised that the positive outcome of the project implementation regarding the municipal/district administrative reform, both in terms of structure and of management system, has encouraged the staff to perform their work effectively in accordance with functions and duties determined and delegated from national level.

Based on these results, the MoI's working group, which was preparing the DFGG project, has submitted some suggestions, including:

- Continue the ongoing of the pilot project in Battambang municipality after the project of Asia Urb ended;
- Extending the system to at least one municipality/district in each of the provinces in Cambodia. To lay the foundation for such an extension, the World Bank and the Royal Government of Cambodia prepared the buildings of OWSOs as well as the delegation of functions, duties and human resources as it was done in Battambang municipality;
- Coordinating with ministries and institutions concerned to get an overview of which functions and duties should be delegated, so that they can be agreed on in accordance with the practical situation of each municipality/district;
- In order to extend the pilot project to other municipalities/ districts after the project has ended, the MoI must ask permission from the Royal Government to make a decision based on article 19 of the decision No. 47 dated July 11, 2003 on the structure and management system of Battambang district in Battambang province.

## 1.2 Project Development Objective

The objective of both projects – Asia Urbs as well as its extension funded by World Bank - is to strengthen demand for good governance in selected districts in all provinces in the country by:

- Responding to the needs of citizens and small businesses for certain administrative services to be delivered in an efficient, transparent and accountable manner;
- Providing an avenue for mediating complaints and concerns of citizens and small businesses regarding the district administration; and
- Promoting awareness and participation of citizens in decisions, policies and programs of district governments. The project achieved this objective through:
  1. The establishment of a well functioning OWSO in one urban district of each province (likely the provincial capitals) of Cambodia (except Phnom Penh) and in one pilot rural district in the country that will provide citizen-friendly administrative services in a professional, efficient, transparent and corruption-free manner;
  2. Setting up of a DO office in each of the above districts to provide opportunities for citizens to voice concerns, make complaints and ask for clarifications from a neutral and democratically elected mediator between them and the district government;
  3. Delegation of a wide range of appropriate services to the OWSOs while enhancing the mandate and powers of the DO; and
  4. Introduction of a range of citizen's participation and information mechanisms such as annual citizen's forums, an OWSO website, monthly office hours with the district governor, and quarterly business and community representative forums in each of the target districts.

## 2. Brief Description of the Implementation Process, Legal and Administrative Conditions, Qualifications Process, Monitoring and Evaluation

Referring to the Decision of the Royal Government of Cambodia (RGC), the MoI passed the Prakas on the Establishment of One Window Service Office (OWSO) and District Ombudsman Office (DO) in each municipality/district. The objectives of establishing these mechanisms were as follows:

- Promoting the principles of good governance and the reform of the administrative system through an extension of services delivered by municipal/district administration with the provision of these services concentrated in one place;
- Improving public service delivery, reducing corruption and developing people's trust in the administration;
- Encouraging people to voice their opinions and give feedback which would be useful for improving the administrative system;
- Ensuring that the administration is more accessible to the people, responding to their concerns fast, efficient and in a transparent way.

Based on these goals, One Window Service Office was established as:

- A place for fast, efficient and transparent service delivery;
- A place of where all the administrative procedures can be done in one single place;
- A place where clients receive all necessary information and forms in a helpful and organised fashion.

## 2.1 Project Management

*At National Level:*

- The overall management of the project is in the hands of the National Committee for Sub-National Democratic Development (NCDD), through its secretariat NCDDS;
- The direct management is in the hands of the General Department of Local Administration of the MoI;
- The Technical Advisory Group (TAG) will be established by NCDD in order to advise on the policy components of the project such as the preparation of legal frameworks, training, policy of monitoring and evaluation, facilitating structuring and set up on OWSO and DO, preparing annual work plan and budget (AWPB), organizing and conducting workshops with related ministries and other partners, particularly the implementation of OWSO;
- The District Support Team (DST) will be established by the General Department of Local Administration (GDLA) and consist of officials from various departments of GDLA. The DST is permanently in charge of managing, supporting and harmonizing all projects at national, provincial, municipal, district and Khan levels;
- The existing Program Support Team (PST) of NCDDS will support and coordinate the operational components of the project such as implementing of the procurement plan, supervision and monitoring of contract implementation, fund transfer, facilitation of administrative matters, reviewing of ExCom progress and

financial reports, preparing financial and operational progress reports to NCDDS.

*At Provincial Level:*

- The existing structures of NCDDS at provincial level. i.e. ExCom/ PRDC is being used to facilitate the operational implementation of the OWSO project;
- The Administrative and Finance Assistant in each province is recruited to work in ExCom to assist and facilitate the administrative and financial matters.

*At Municipal/District Level:*

- At municipal/district, the OWSO is directly managed by the governor with the assistance of the deputy governor;
- OWSO officers, including the chief, vice-chief, and front and back office staff directly deliver services to the citizens.

## **2.2 Legal Framework**

There are some basic legal regulations for implementing the pilot project for public service delivery through OWSO:

- Royal Government Policy on Public Service Delivery;
- Decision No. 12, dated 30 June 2008 on the Establishment of OWSO and DO in municipalities/districts;
- Prakas No. 928, dated 13 June 2009 on the Establishment and Functioning of the One Window Service Office;
- Prakas No. 927, dated 13 June 2009 on the Establishment and Functioning of the Ombudsman Office;
- Prakas and Guideline on the Functions and Duties Delegation to target municipalities and districts of the ministries and institutions;
- Guideline on the procedure of the election of the Ombudsman.

## **2.3 Project Evaluation**

In 2007, there was the final stage of the project, supported by Asia Urbs III, on the implementation of pilot for administration reform of public service delivery through OWSO in two model districts. It was also an important stage for preparing the draft law on the administrative management of capital, provinces, municipalities, districts and Khans which is the fundamental law of decentralization and deconcentration reforms. Therefore, at that time the Ministry of Interior established one working group to review and evaluate the effectiveness of and compile

experiences on the implementation of the pilot project, and to prepare a new project proposal to continue implementing a pilot OWSO/DO for submission to the World Bank and other development partners that focus on strengthening the roles of municipal and district levels.

The evaluation took place over a period of for six days, from 22-27 April 2007, in discussion with the provincial governor and his deputies, the district governor and his deputies, relevant line departments, civil society organisations, OWSO/DO officers, district council, district line offices, district officers, representative of the project implementation office and a number of citizens who had received services from districts of Siem Reap and Battambang provinces. After the field study, the working group presented the result of the evaluation and submitted it to a review meeting; discussions and consultation with relevant officers and development partners' representatives then consolidated and prepared a final evaluation report which indicated strengths and weaknesses of the key project components. In the following the results of the evaluation are presented.

### **2.3.1 Composition, Mission and Role of Municipal Council**

#### **Strengths**

The composition of the municipal council was remarkable, since it managed to bring together representatives of the majority of the people and of all political parties currently having seats in the commune councils. In addition, the municipal council is playing an important role in monitoring the implementation of the administration and giving advice to the governor on the development works. It also has clear internal rules and working procedures as well as regular meetings.

#### **Weaknesses**

In spite of the positive points such as the composition and role of the council, it was noticeable that there were no representatives of small groups such as communities, NGOs, and the private sector. There was no funding for the operational costs and a lack of encouragement of the council members and the council committee during the meetings and other missions. On the contrary, they took on the additional workload without any additional remuneration. Another important point is that the council had the competency to make decisions and advise the administration, but those were only recommendations and not necessarily guidelines for implementation. If the governor does not pay attention to those recommendations, the participation and effort of the council will be diminished.



### **2.3.2 Budget Management**

#### **Strengths**

Budget, budget management systems and salary incentives are key components for successful project implementation. The positive aspect of the budget management for operational costs in Battambang and Siem Reap municipalities is that there is an additional budget earmarked for the activities which is part of Sala Khet's budget. Moreover, the municipality has its own account and has the rights to sign the payment voucher. The municipality has its own budget plan which is prepared and approved by the council. The staff had received salary incentives through Priority Mission Group (PMG) which had encouraged them to work actively, effectively and transparently.

#### **Weaknesses**

Even when there is a budget management system which gives spending rights to the municipal administrative, problems can occur. The amount allocated was not always sufficient to cover all operational expenditure and the salary incentives were sometimes implemented at such a late stage that staff felt disappointed and discouraged. Additionally, the administration was not involved in the development of the projects implemented at the provincial level (in Battambang Province).

### **2.3.3 Ombudsman Office**

#### **Strengths**

As mentioned above, the establishment of the Ombudsman office is one of the main strengths of this new structure since it has created a mechanism to strengthen transparency, to curb corruption and to build up citizens' trust in the administration. Furthermore, there are many good points of this office such as a clearly defined role, duties and working procedure. The Ombudsman has also been effective in building trust amongst the citizens, ensuring the transparency and effectiveness of the OWSO staff and reducing negative behaviour of the staff – these are effective mechanisms which have been recognized by relevant stakeholders. It was noticeable that many citizens have contacted the Ombudsman office for advice on the service delivery of OWSO. As independent representative of the citizens, the DO has encouraged people to raise any issues related to unsatisfactory service delivery by OWSO or the administration. Moreover, the DO has a good relationship with the commune/Sangkat and also regularly participated in the meetings of the municipality.

## Weaknesses

Alongside the strengths mentioned above, the evaluation team also found some negative points that needs to be taken into consideration for improvement such as low salary incentives for DO, the lack of additional staff for the running of the office, no operational budget and no appropriate office. The DO Office of Battambang municipality, for instance, was located in the office of the municipal administration, which was not a neutral place for citizens to come with their complaints. The complain boxes were located in the OWSO or in the municipal compound which were not appropriate places.

Additionally weaknesses include the citizens' lack of understanding of the role and duties of this office, due to lack of information about it. Also, the DO had no right to raise any issues that affected people's interest in the council meeting and did not receive information about the budget management to disseminate to the citizens.

### 2.3.4 Function of OWSO in Service Delivery

#### Strengths

The establishment of OWSO in Battambang municipality was a new model intended to promote the principle of good governance and administrative system reform with extension of the services provided by a municipality through the combination of all services in the municipal jurisdiction and delivery to the customers at one single place. According to the evaluation of the performance of the OWSOs, the positive aspects included that the rules and duties were clearly defined and in accordance with the Prakas of MoI and the principle of delegation power from the ministries and institutions concerned. The staff had performed, worked disciplined, respecting the working hours and had shown themselves transparent in service delivery (the fees and the processing time for the various services are transparent and are publicly displayed for all to see in the OWSO). Offices were available for staff and a waiting room for the citizens, materials and equipment had been purchased and capable staff selected according to clearly defined criteria. The relationship and cooperation between front and back offices were good, and there was a high degree of appreciation from citizens and other stakeholders for the service delivery through OWSO.

## **Weaknesses**

To be able to deliver good services, the department in charge of the service delivery has to both have good staff and be able to have full responsibility for their services and decision-making powers. The evaluation found that some of the line departments had assigned incapable staff to the OWSO. Some of the tasks which were delegated were also not suitable for OWSO, such as the responsibility for handicraft business of up to 10.000.000 Riels as well as for 5-seat taxis in the tourist sector. These types of service are not actually available in Battambang municipality. On the other hand, some ministries and institutions concerned did not delegate any powers to the municipality yet. There is also a lack of funding for materials and equipment, as well as for transportation for the staff to work in the field.

### **2.3.5 The View of the OWSO Consumers**

The objective of the administrative reform in Battambang municipality is the establishment of a municipal administration which will deliver the public services to the citizens efficiently, transparently and timely. The interviews with some of the citizens who used the services in OWSO, showed that they were very satisfied with the service delivery mechanism. They noticed that the period for processing documents was short and suited them, usually taking only three to four days, with the exception of matters related to construction. They found that they were saving time and money because of services delivered in only one place; they appreciated the clear and understandable information prior to the completion of the application forms. It was felt that the staff performed their work attentively and that the procedures of service delivery were accessible, simple, reliable and cheap.

However, even some of the customers that were satisfied with the services of the OWSO seemed not to know about the concept behind the OWSO and role of DO, while some others had heard about the municipal council, but were not aware of their role. Some customers thought that some of the fees were a bit expensive.

## **2.4 Evaluation and Project Monitoring**

### **2.4.1 Design of the M&E System and Survey Tools and Instruments**

In cooperation with DFfGG M&E advisor and a national Technical Assistance (TA) advisor from the DST, the MoI has made the design of the M&E system for the OWSO and DO during the start of the Asia Urbs Successor, DfGG project. This included the design of the various survey tools and instruments that are used for monitoring performance. The

OWSO and DO M&E system and procedures are also integrated with the overall M&E framework of NCDD.

In close cooperation with PCSU, the design of the M&E and Learning Framework are participative and involve not only members of the Inter-Ministerial Technical Advisory Group (TAG), but also officers and staff of the existing M&E unit of the NCDD.

#### **2.4.2 Selection of a Reputable NGO/Company to Design and Conduct Baseline Assessment**

An external agency was hired by the NCDD to conduct the baseline assessment for the selected target districts with the assistance of the M&E and learning adviser of the DFGG. In assessment, the external agency not only gathered baseline indicators on the field using quantitative techniques, but also learned from the communities, specifically those that have benefited from OWSO and DO in Battambang and Siem Reap. In addition, the assessment also included those who have not experienced OWSO and DO services.

#### **2.4.3 Implementation of Internal Performance Monitoring Activities**

With the assistance of the TA from the DFGG project coordination unit, routine M&E activities are carried out by the officers and staff of the OWSOs, the DST and M&E Unit of the NCDD/PST based on the final M&E and learning system that is designed. See Section 10 for a list of performance indicators to be covered, responsibilities for collecting information, and the reporting system and schedule.

#### **2.4.4 Implementation of External Regular Evaluation Tools**

A number of more evaluative and learning-oriented studies are conducted by local civil society or non-government organisations (CSOs or NGOs) in each of the targeted districts. The methods and tools have been developed and tested in conjunction with PST M&E Unit staff. Support are provided by the DFGG M&E and Learning Adviser.

These activities covered all services provided by OWSO and DO, and methodologies include the following:

- A voluntary client scorecard on the performance of the OWSO - these are collected in a box in each OWSO and can be completed by any OWSO customer. They are periodically analyzed and reported in the status reports of the office;

- An annual exit survey of OWSO customers, an independent audit of OWSO efficiency and effectiveness and a review of DO actions – in this the CSO are undertaken by independent evaluators/ enumerators to conduct randomized exit interviews and do a quick audit of OWSO and DO records. One of these is expected every year in all target districts;
- A qualitative survey consisting of focus group discussions (FGD) and key informant/beneficiary interviews – this is an annual survey carried out in only a sample of say five districts to provide more qualitative and analytical data on the performance of the OWSO, the DO and people's participation measures and how these can be improved;
- A series of exit interviews and working group discussions – these are held as part of the citizen's forums and other people's participation events to obtain community perceptions on the performance of the district administration in general, and the new reforms (like OWSO and DO) in particular.

These learning and evaluation activities were planned for all years of the project in a process of formative or real time evaluation. The resulting recommendations and lessons form the basis for improving the implementation of OWSO and DO during the four years of the project, and have justify the funding for further expansion. Results on outcome indicators for these studies are included in the internal annual reporting that will be done by the DST.

The different forms of external monitoring and evaluation are contracted out to local NGOs or made into a single large contract based on the feedback received in the CSO consultations that undertake prior to the project appraisal.

#### **2.4.5. Conducting Learning Activities**

To support the cross/peer-learning across the target districts, periodic learning events such as study trips and internships are undertaken (as also mentioned in activity 3 of component 1). These become particularly relevant in year 3 and 4 when all the new OWSOs and DO offices become operational. The provincial ExCom and DST teams manage this cross-learning and it also gets support from the DFGG project coordination unit.

#### **2.4.6 Mid-Term Evaluation**

The mid-term evaluation is undertaken at the end of the second year or the beginning of the third year of the project implementation period. It has been contracted out to a reputed NGO or research firm (the possibility of the same firm undertaking the baseline, mid-term, and end

evaluations is also being considered so long as it meets procurement requirements).

The mid-term evaluation targets the districts launched in the first year of project implementation and the two existing pilots as these would have had sufficient operating time to produce some meaningful results. The format of the survey is the same as the one used during the baseline assessment and it informs the project on the progress in meeting the agreed outcome indicators in the results framework. The mid-term assessment is used to decide upon some critical aspects of project design and implementation – e.g. should one continue with the DO (or what enhancements are required), what further improvements to the OWSO are needed, what could be the model for the rural pilot, could there be a re-allocation of budget to cover an OWSO model in Phnom Penh Capital, etc.

#### **2.4.7 End of Project Evaluation**

This evaluation is conducted at the end of the project by an independent agency (possibly the one that undertook the baseline and mid-term assessments) to enable the RGC, WB and other development partners to evaluate end of project outcomes and impacts; assess efficiency, effectiveness and sustainability of OWSO and DO services; and consider further expansion and continuation of the project.

#### **2.4.8 Monitoring and Evaluation**

The progress and outputs of the project performance is regularly monitored and evaluated. The monitoring is done to determine weaknesses and negative points in the first stage for resolving and making adjustment to the objectives of the project as necessary. Taking this as a starting point, there are three key tasks that will be regularly monitored including 1) the activities of the units responsible for project implementation, 2) work performance of OWSO and DO and 3) staff training.

- *Municipality/District Monthly Report:*

Each month, the OWSO and DO report basic performance information to the PRDC/ExCom. This includes the number of customers in the OWSO, the associated income generated at the OWSO, and the number of complaints registered with the Ombudsman (including any complaints on corruption at the OWSO).



- *Quarterly Progress Report:*

The purpose of the quarterly report is to provide concise and factual information on progress and performance against plans and budgets, and present provisional results of the key indicators. Divergences from the action plan must be highlighted and briefly explained, and actions must be recommended to address any associated problems in implementation. The performance indicators and milestones described above are compiled and summarized. The report also provides a summary of project expenditure in the quarter and cumulative expenditure to date (against budget). Quarterly reports are compiled by the DST with contributions from the PST related to finance, procurement and contract administration. Project quarterly reports are approved by the NCDD secretariat before forwarding to the DFGG Project Coordinator.

- *Annual Progress Report*

Following the end of each project year, an annual report is prepared. It collates and summarizes the information from all district annual reports covering all performance indicators and milestones listed above. The annual report also provides information on the outcome indicators described in the results framework and findings from evaluation studies described below. Progress of key activities against plan is presented, including associated issues and problems, as well as actions and recommendations. A summary of annual expenditure against budget and the progress of procurement against the procurement plan is included. The risk assessment matrix is reviewed and changes to the communications and partnerships strategies described. The action plan for the upcoming year should be attached to the annual report. The annual report is compiled by the DST with contributions from the PST.

### **3. Dissemination Strategy, Civil Society and Community Involvement**

#### **3.1 Information and Participation Strategy**

It has been crucial for the entire project that people have access to information: know where they can get information and are fully aware of the mechanisms to voice their opinions, complaints or concerns. In order to facilitate this, an information/participation strategy and materials have been developed and prepared for implementation at national and sub-national level. Both strategy and dissemination materials were developed in a participatory way including OWSO/ DO, Province and national level.

The national level provided technical support to the provinces and districts OWSO/DO to implement the information campaigns and participation strategies.

Referring to activity 5 in component 3, the information strategy was implemented in close cooperation with other project components such as Radia National Kampuchea (RNK), The Ministry of National Assembly, Senate Relations and Inspection (MONASRI) etc.

### **3.2 New Forms of Citizens Participation**

Consultation and participation are critical and necessary elements of democratic development. There are various methods and forms of consultation and participation, organized by state and non-state institutions both at national and sub-national levels, such as the Good Governance Forum, Annual Citizen's Forum, Semi Annual Forum, and Monthly Citizen's Hour etc. In every municipality/district where the OWSO and DO were established, new forms of participation were introduced for implementation. They helped in improving the relationship between citizens and the administration and offered the citizens' possibilities to voice their problems, criticisms and concerns. This allowed not only for a more transparent administration and encouraged good governance in OWSO and DO, but has also been positive for the public administrative reform.

### **3.3 Conduct of Annual Good Governance Forum at National Level**

The stakeholders of OWSO and DO participated and presented the experiences and lessons learned on good governance in implementation of OWSO and DO to the good governance forum at national level. The DFGG project coordination unit was responsible for organizing this good governance forum. This forum included a broad range of all stakeholders and reflected on the governance aspects of all components of the DFGG project.

### **3.4 Conduct of Annual Citizen's Forum in Each Target District**

In all the districts where the OWSO was opened, an annual citizen's forum has been organised. This forum was open to all citizens and covered issues related to the OWSO and DO offices and how these can be further improved, as well as other issues related to governance at the district level. The forum was chaired by the district governor. The organization of the forum were contracted out by the district governors to a local NGO as mentioned above.

A pilot test of these citizen's forums has been made before the expansion of the model beyond the two districts/municipalities of Siem Reap and Battambang to evaluate and improve the effectiveness of these events.

### **3.5 Conduct of Semi-Annual Forum in Each Target District**

In order to get more sustained and targeted feedback, a quarterly meeting with business and citizen's representatives was set up at a more informal level. These quarterly meetings with business and citizen's representatives were organized by the district governor, OWSO chief and DO to get periodic and frequent feedback on their operation as well as suggestions for improvement. They became the basis for further work and research needed on issues such as management systems, licensing procedures, service fees, and extension of competencies at the OWSO, which have fed back to the DST for discussion with the TAG and NCDD.

### **3.6 Setting up of Monthly Citizen's Hour (or Citizen's Consultation) with the District Governor in each Target District**

An additional mechanism to increase participation and awareness, as well as reduce the barriers between the administration and the citizens was the citizen's hour of the district governor. In Battambang, these citizen's hours now take place once a month, and when the district governor is busy, one of his deputies addresses this responsibility. During these sessions, citizens have the opportunity to consult, ask questions, get clarification or express concern to the governor on any issue related to the OWSO, DO or district administration at large. This opportunity is used by citizens on a regular basis. Over the course of the project, this mechanism has been applied in all target districts.

### **3.7 Conduct of Periodic Information Campaigns on OWSO and DO**

Directly after the opening of the OWSO, a week long information campaign has been executed to inform the citizens about the new institution. For this task, the districts were provided with corresponding flyers, posters and stickers. At the same time, in cooperation with RNK and other broadcasting stations, Talk Back programs run on the radio in which the district governor and the head of the OWSO made themselves available for questions from citizens. This information campaign was conducted at least once per year/district, including schools, C/S councils and other local institutions.

Wherever possible, the information campaigns for the OWSO were used to make the DO more widely known. In addition, there were, however, additional necessary efforts, such as Talk Back programs on the radio with the DO, a visit of the DO to all local NGOs, poster advertising with a short description of the responsibilities of the Ombudsman and stickers with a telephone number.

### **3.8 Participation and Partnership Plan**

Cooperation with all of the social groups and other development organizations that are active in Cambodia was an important requirement for the success of the project. Representatives of the NGOs, the business sector and other stakeholders were in touch with the problems of the people, and knew which services the people most desperately needed in order to ease their day-to-day lives. It was therefore necessary to include the people representatives into the discussions about the delegation of further competencies to the OWSOs, so that their suggestions could be considered and where possible been implemented. Since the representatives of NGOs, business and other stakeholders were at the same time customers of the OWSO, they were also an important source of information. Their feedback about the services of the OWSO was therefore particularly important and has been collected regularly.

#### *Participation Strategy*

- With the new approaches and strategies that were adopted in the OWSO/DO Project, the Ministry of Interior needed to expand its staff competences. The capacity building and training plan being developed for the OWSO/DO key staff had to address these needs. Consultation with relevant government agencies and non-government organizations (CSOs) was undertaken to review and further develop its capacity building and training plan, both in preparatory and implementation phases. In these consultations, views on the design of training programs and manuals, selection of trainers, implementation of Training of Trainers and organization of study tours, internships and on-the-job training, as well as the time table for the activities in the plan were discussed. This process ensured that the capacity development plan was effective in developing and/or strengthening the capacity of the staff of the OWSO and DO.

- DST tried hard and worked for a meaningful participation where the key stakeholders were present and fully involved in key decision making processes (dialogues, meetings, workshops). Participatory tools and methods were used to generate a meaningful participation from key stakeholders. An orientation on participatory methods and tools was included in the capacity development plan for key project implementers from the OWSO/DO. Part of the capacity building of the OWSO/DO project staff was the collaboration with NGOs.
- The participatory activities outlined here were further tested, refined and institutionalized in the project to promote genuine participation from key stakeholders and thereby promote good governance. These are explained in point 3.7 above.

### *Partnership Planning*

This section deals with potential partners such as CSOs/NGOs and other DFGG State Institutions. The OWSO and DO component of MoI has collaborated with them in order to integrate and/or complement their respective activities and make these sustainable.

The following partnership strategies and proposed actions were undertaken:

1. The DO office was linked with the proposed law dissemination function being piloted under the MONASRI component in the DFGG project. The DO became an “advisor” for citizens on various laws and made information on government programs and policies available at their office.
2. There has been links among state agencies and non-state actors of the DFGG project as they can carry out complementary activities related to (a) grievance redress and law dissemination, (b) dissemination of information on district policies and feedback on performance and (c) monitoring of the OWSO and DO offices.

The following table shows collaboration activities. It also presents the requirements and actions needed to further develop the partnership plan and formalize agreements between DST, other DFGG state institutions and CSOs.

## Potential Collaboration Activities with Other State Institutions and with Civil Society Organizations (CSOs):

A.	COLLABORATION ACTIVITIES WITH OTHER STATE INSTITUTIONS	PARTNERSHIP REQUIREMENTS/ ACTIONS PRIOR TO PROJECT IMPLEMENTATION
1	<p>RNK</p> <ul style="list-style-type: none"> <li>a. RNK to help disseminate the OWSO and DO project activities through its Talk Back Program (TBP), Features and News programs</li> <li>b. RNK will help explain the OWSO services through its TBP and Features RNK to help clarify the role and functions of the DO through its TBP and Features</li> <li>c. OWSO to help disseminate RNK's programs in its Citizens' Forum</li> <li>d. OWSO will provide space in its offices for RNK's posters, leaflets and brochures to advertise RNK's program schedules and other activities</li> </ul>	<ul style="list-style-type: none"> <li>a. RNK and OWSO will nominate contact person/focal point</li> <li>b. DST will provide RNK with information on its plans and programs for dissemination specific to each of RNK's programs: TBP; News; and for consideration and incorporation in its final draft project proposal. Further negotiation meetings between RNK and OWSO/DO through MoI will be done to formulate MOU that will formalize collaboration between the 2 State Institutions prior to project implementation</li> <li>c. RNK will come-up with posters, leaflets/ brochures for distribution (e.g. at OWSO offices)</li> <li>d. Both will establish regular coordination meetings to discuss progress, issues and plans</li> </ul>
2	<p>MoNASRI</p> <ul style="list-style-type: none"> <li>a. MoNASRI to help disseminate the Prakas on OWSO and DO roles and functions and services through its planned dissemination activities e.g public forum</li> <li>b. MoNASRI will forward complaints received which are specifically related to OWSO. DO will also send relevant complaints received to MoNASRI</li> <li>c. MoNASRI to help disseminate accomplishments of OWSO and DO during its dissemination activities</li> <li>d. DO can help MoNASRI to disseminate the mechanisms, systems and procedures for complaints reception and schedules of DFGG activities of MoNASRI for law dissemination</li> <li>e. DO can help distribute MoNASRI's brochures or leaflets explaining land laws and complaints reception and handling mechanisms at OWSO district offices</li> </ul>	<ul style="list-style-type: none"> <li>a. MoNASRI and DST will nominate contact person/focal point</li> <li>b. Both will establish regular coordination meetings (monthly basis) to discuss progress, issues and plans</li> <li>c. DST will provide MoNASRI the legal documents (Prakas/circulars) concerning OWSO/DO mandate, roles and functions and services and vice versa</li> <li>d. MoNASRI will formulate brochures and leaflets or posters to be given to OWSO/ DO</li> </ul>



A.	COLLABORATION ACTIVITIES WITH OTHER STATE INSTITUTIONS	PARTNERSHIP REQUIREMENTS/ ACTIONS PRIOR TO PROJECT IMPLEMENTATION
	COLLABORATION ACTIVITIES WITH OTHER STATE INSTITUTIONS	PARTNERSHIP REQUIREMENTS/ACTIONS PRIOR TO PROJECT IMPLEMENTATION
3	a. AC to help disseminate the Prakas on OWSO and DO roles and functions and services through its planned dissemination activities b. AC to help disseminate accomplishments of OWSO and DO during its dissemination activities and vice versa c. OWSO/DO can help AC to disseminate its arbitration mechanisms, systems and procedures d. DO can help distribute AC's brochures and other dissemination materials	a. AC and DST will nominate contact person/focal point b. Both will establish regular coordination meetings (monthly basis) to discuss progress, issues and plans c. DST will provide AC the legal documents (Prakas/circulars) concerning OWSO/DO mandate, roles and functions and services and vice versa d. AC will provide dissemination materials to OWSO/DO
B.	COLLABORATION ACTIVITIES WITH CIVIL SOCIETY ORGANIZATIONS	PARTNERSHIP REQUIREMENTS/ ACTIONS PRIOR TO PROJECT IMPLEMENTATION
1	CSOs can provide assistance in the further development and conduct of OWSO/DO's Capacity Building and Training Plan	OWSO/DO project will initiate consultation meetings/workshop to present Capacity Building and Training Plan to relevant and/or interested CSOs and identify potential collaboration
2	CSO/s can help OWSO/DO undertake preparatory activities for conducting the Citizen's Forum and actual conduct of the Citizen's Forum	DST to conduct further consultation sessions with potential CSOs/NGOs to establish and firm up the specific partnership arrangements on this during project pre-effectiveness period
3	CSOs can be involved in the monitoring and evaluation of the project	-ditto-

Qualified and trained staff was designated by the project to follow up on the further development of the partnership plan leading to its implementation. Specifically, the designated staff pursued the implementation of the partnership requirements and actions needed as indicated in the above tables. The following two key actions were pursued by the project related to the participation and partnership plan during the preparation phase:

- DST organized a follow-up workshop with CSOs and other DFGG state institutions to present its participation and partnership plan and strengthen activities for collaboration and joint activities. Representatives from the Program to Enhance Capacity for Social Accountability (PESCA) and The Asia Foundation (TAF) were invited to this workshop. One of the program goals of PESCA was to enhance the capacity of CSOs in building partnerships to do social accountability. The TAF on the other hand, has been designated to manage the non-state window component of DFGG; and
- DST also followed up with CSOs and line ministries to review and finalize its capacity building and training plan. Representatives from PESCA and TAF were invited to participate in this workshop.

## 4. Types of Implementation Activities

The One Window Service Office (OWSO) consists of two important sections: front office and back office.

### 4.1 Front Office

The front office is the place where its officers communicate directly with the people who ask for their services. There are three teams in the front office:

- Team 1: receiving applications, delivering documents and providing information. This team is responsible for receiving applications, delivering documents and providing information related to public service delivery and other information required by the people.
- Team 2: responsible for legalization. This team is responsible for checking the documents that are requested for certification from the administration on its copies in accordance with determined competencies and giving comments to the administration on relevant legalizations.
- Team 3: responsible as cashier. This team is responsible for receiving service fees paid by customers in according with determined competencies, maintaining lists of collected service fees, and other related documents.

In principle, the front office can send customer to the back office if necessary, so that the customer can have an opportunity to make his case. If the customer does not require specialized advice, the front office does not need to send him elsewhere. After receiving documents, team 1 shall send all documents to the relevant specialized area within four hours. A duty manager shall ensure that all services are performed to a high standard.

## 4.2 Back Office

The back office is the place with responsibility for complicated services and complex administrative procedures that need some time to be completed or which need a cooperation between OWSO and line offices in the municipal/district administration. All line offices in the pilot municipalities/districts have to send a specialist to the back office. All ministries concerned need to cooperate with MoI and relevant institutions to assign one or more appropriate and qualified specialists to the back office as needed. These specialists are responsible for checking applications or other documents that were sent directly by the front office or occasionally from the administration coordination team. These specialist officers are directly supervised by the head of OWSO.

The director of the relevant department can change the officer who works in OWSO as necessary by consulting with the municipal or district governor.

## 4.3 Administrative Coordination Team:

The Administrative Coordination Team consisted of:

- Deputy governor of municipality/district who is in charge of OWSO
- Head of OWSO
- Head of relevant line offices in target municipality/district

The municipal/district governor can add more members to the administrative coordination team as necessary. The administrative coordination team is established by the decision of the governor.

## 4.4 Functions and Duties

The administrative coordination team is responsible for:

- Receiving people's applications or documents which might be complicated and related to many sectors and where it is difficult to decide which department should be dealing with them;
- Ensuring that those complicated applications/documents are given to the right competent officer.

Remark: In case the applications/documents are so complicated and related to so many sectors that the head of the OWSO has difficulty in forwarding them to the right person in the back office, he/she shall send them to the meeting of the administrative coordination team for consideration and resolution.

## 4.5 Location of OWSO

The One Window Service Office (OWSO) is located at a place where the public can communicate easily in a good environment and with proper facilities for the customers.

#### 4.6 Role and Duties of OWSO

- Provide services to the customers, people, enterprises and NGOs that are working in the municipality/district;
- Provide general and detailed information to the people and customers at the provincial, municipal/district, and commune levels;
- Provide information on the administrative procedures which are the competences of the national level, and on service fees related to economic, land, land use planning, health prevention, education, culture as well as social issues.

#### 4.7 Working Procedure

##### *Management:*

- The OWSO is led and coordinated by a deputy municipal/district governor;
- The OWSO has one head and one deputy head;
- All civil servants/staff in both front office and back office are supervised and managed by the head of OWSO.

##### *Role of the Head of OWSO:*

- Lead, supervise and coordinate all daily work at OWSO;
- Ensure all OWSO civil servants and staff respect time, perform their work in accordance with the law and legal regulations as well as the working procedure;
- Train and instruct staff, assign duties to the staff in accordance with working procedure of the OWSO;
- Resolve and facilitate people's suggestions;
- Lead and organize the compilation and the regular update of the list of services in each sector;
- Disseminate information and make announcements through media and other means;
- Give guidance to the administrative coordination team on the applications/documents that are complicated and complex;
- Communicate and cooperate with relevant institutions such as customs and line ministries concerned which have delegated competences to OWSO;
- Prepare the work plan, monitor the strength and weaknesses of the project implementation and provide comments to the management for consideration and approval;
- Prepare weekly, monthly, quarterly, six monthly and annual reports;

- Review all kinds of reports and pass them on to relevant sectors;
- Perform other duties that have been assigned by the governor and/or deputy governor.

*Role of Deputy Governor in Charge:*

- Promote and coordinate the OWSO pilot project implementation for providing public administration services regularly to the citizens and enterprises with timeliness, appropriate service fees, transparency, quick sample procedure, accessibility, quality and effectiveness;
- Take the lead in providing services which were delegated by the ministries/institutions concerned to the citizens such as public work and transport; culture and fine arts; tourism; industry, mining and energy; commerce; land management, urban planning and construction, education, health, agriculture, legalization services and other delegated sectors;
- Encourage the staff to collect and update the lists of services in each sector;
- Increase the dissemination of information related to OWSO and DO in order to promote people's participation in the municipality/district;
- Lead the administrative coordination team to discuss and consider complicated and complex applications/documents which are related to many sectors and then assign them to the appropriate officer.

## **4.8 Administrative Procedure, Application Forms and Service Fee**

### **4.8.1 Administrative Procedure**

At the beginning of the process, customers (citizens, businesspeople) have to approach the responsible officer at the front office of the OWSO and ask for information and application forms relevant to the specialized service they require.

The officer in charge clearly and accurately explains to the customers how to complete the application forms and what issues they need to pay attention to. He has to avoid giving unclear information which would cause customers to go back and forth again and again, losing time.

When customers submit their application forms, the officer in charge in the front office must check them and ensure that all information and related documents attached are accurate, complete and clear. Once all documents are in order, they can be "received" and a receipt issued to the customers.

The time and date of receiving the application forms as well as the target time and date for the customers to receive the final result must be clearly written on the receipt. After receiving the application forms, team 1 of the front office has to complete the administrative work (such as record letter-in in the notebook and prepare the documents orderly) and submit it to the head of the OWSO, then send the application forms to the appropriate officer in the back office within four hours.

The back office checks on the documents and then provides comments to the municipal/district governor for consideration and approval within a specified time through the head of OWSO and the deputy governor in charge. After the approval of the governor the officer responsible prepares the licenses as the final result and sends them to the cashier in the front office for handing out to the customers. If the application has not been approved by the governor for any reason, the officer responsible and the head of the OWSO have to prepare a letter explaining the customer why this is the case.

Remark: the time period for finishing the process and handing out the licenses is different from one to another sector.

#### **4.8.2 Application Forms**

In principle, the OWSO is a place where people come to receive services with simple procedures and application forms. Most of the sectors have a similar application form, differing only in the supporting documents required.

The application forms as well as other responsive letters are prepared to be simple, short, clear and understandable. All application forms are approved by the governor in discussion with relevant line departments.

#### **4.8.3 Service Fee Payment**

A service fee payment is the final stage of the application (final result). The fee is paid by the customers at the cashier in the front office. The service fees information must be shown at the counter. This information is also posted in the OWSO office and announced publicly through displaying it prominently at a central or publication in newsletters of the municipality/district.

After receiving the cash, the cashier gives a receipt for the payment to the customer. This receipt shall be signed and dated. The receipts are made out in three copies, one for the customer, one for the cashier and another one for the relevant specialized area at the back office.



## 4.9 Ombudsman Office (DO)

In order to promote good governance in the target municipalities/districts that established the OWSOs, the RGC has also set up “the Ombudsman Office” or DO, which has authority to receive complaints and to provide information to the citizens, business people, service providers, small enterprises and NGOs in the event that there is any irregularity or mistake made by the officers/staff who perform their work in the municipal/district administration.

The DO is a neutral office for receiving complaints of the citizens about the administration. It has the duty to look into all complaints, to monitor the concern of the citizens and to establish a good relationship with business people, civil society and the administration.

The main purpose of establishing the DO in the municipal/district level is as follows:

- Making the administration more efficient, transparent, accountable and satisfactory to the citizens, while also reducing corruption;
- Increase the participation of and give a chance to citizen to have their voices heard in the administration;
- Giving citizens a neutral mediator who helps them to resolve complaints and conflicts with the administration.

### 4.9.1 Role, Duties and Authority of the DO

#### *Role*

The DO is a neutral office for receiving complaints by the citizens about the administration with a responsibility to look into all complaints. Complaints can be raised in any of the following cases:

- Any unlawful decision or action;
- Rejection of an application form or hesitation to receive it;
- Non-delivery of the final result or not providing an appropriate resolution in the original timeframe;
- Unprofessional behaviour by staff such as frightening or threatening citizens or business people.

#### *Function*

- To ensure that the problems have been resolved by municipal/district staff in accordance with the law and legal regulations without excessive administrative procedures and delays;
- To defend citizens and enterprises and establishing a good relationship with the municipal/district administration;
- To fight against corruption of the municipal/district civil servants.

### *Authority*

The Ombudsman has a duty to receive all complaints from citizens, business people, companies and other enterprises in the municipality/district. The Ombudsman can also receive other information from relevant stakeholders in the forms of complaints, reports, suggestions or feedbacks.

The Ombudsman can receive complaints, reports, suggestions or feedback by mail, through the forms at the complaints box or any other means of communication such as verbal complaints/reports, telephone or e-mail.

The people have the right to remain anonymous. The complaint form can be dropped into the complaint box or be sent directly to the Ombudsman or his/her assistant.

When the DO receives a complaint, the Ombudsman or his/her assistant has to record the essence of the complaint and write it down clearly in the complaints record book, signing and dating it. The name of the persons who have complained can only be written down in the complaint record book with their agreement.

#### **4.9.2 The Mediation of Complaints**

The DO is a neutral office for receiving complaints of the citizens about OWSO and the administration with a duty to investigate all complaints. In order to perform this role better, the DO shall cooperate with the municipal/district officers and staff as well as other related stakeholders to look into all complaints, contacting the relevant units and institutions and asking them for response to the complaint.

There are six steps for mediation and complaint resolution:

- Step 1: Screening
- Step 2: Evaluation
- Step 3: Preparation of investigation plan
- Step 4: Investigation
- Step 5: Finding a solution to the complaint and follow up
- Step 6: Feed back

#### 4.9.2.1 Screening

The Ombudsman checks each complaint carefully, examining the meaning of the complaint, recording the facts and making sure that the following information is available:

- What is the complaint about?
- Who is complainant?
- Who is defendant?
- When and where did the case happen?
- What and who is affected?

After this checking process, it will be decided whether this is a case that can be resolved or whether the information provided is insufficient to proceed or the DO is not the right institution to deal with the case.

- a) Complaints can be resolved: all cases are under the authority of the DO.
- b) Complaints cannot be resolved by the DO, since it is not under his jurisdiction:
  - The information is related to a crime, civil action or other legal cases between different people;
  - The complaints relate to legal issues or regulations which need to be resolved by specific institutions or authorities. In this case the Ombudsman must send those complaints to these institutions or authorities for resolution and follow up on the result.

Once the screening process is finished, cases have to be dealt with immediately. The Ombudsman investigates without delay and shall draw up a completion of screening report.

#### 4.9.2.2 Evaluation

Based on the result of the screening the Ombudsman evaluates complaints as below:

- Preview each case and decide which law or legal regulation is applicable; then
- Consider and decide:
  - which cases can be resolved immediately;
  - which cases must be further investigated; and
  - which cases can be dismissed (in the event that the preliminary check found that there was no case).

Cases that can be resolved immediately are those cases which are related to service delivery, performance of functions and duties of the OWSO's officers and staff, including unprofessional attitude and behaviour such as frightening or threatening people.

To solve those cases, the Ombudsman has the authority to invite the civil servant/staff concerned and his/her supervisor to come to his office for clarification and to find a solution. In the event that they have necessary duties and can not come to the DO office immediately as invited, they have three days time to respond to the Ombudsman.

Likewise, the DO has the right to request explanations and clarification from the civil servant/staff concerned and his/her supervisor. They have seven days time to give their view of the situation in writing. The Ombudsman shall send this letter of explanation to the complainant and other relevant persons.

The Ombudsman has to inform to citizens, business people, companies, other enterprises and related stakeholders about the outcome.

In the event that the complaints cannot be solved, the Ombudsman shall send on the case, attaching his recommendation to the municipal/district governor, council chairperson or the relevant line department for resolution.

Cases that require investigation are the ones that are related to wrong decisions having been made by the officer responsible, as well as the ones that involve corruption or neglect of duty by the officers/staff of the OWSO and other relevant units at level of the administration.

The cases that require investigation (including complaints about the municipal/district governor) will be dealt with in the following way:

#### **4.9.2.3 Preparation of Investigation Plan**

- Based on the results of screening and evaluation of complaints, the Ombudsman will closely study the details of the complaint;
- Based on the evaluation forms, the Ombudsman must look again at which regulations were violated;
- Evidence for any violation needs to be sought and ways of establishing this evidence need to be determined;
- Each activity of the investigation process needs to be scheduled; and
- The investigation plan prepared.

#### 4.9.2.4 Investigation

The investigation is the process of seeking evidences for clarifying the facts of the complaint.

The Ombudsman has the following duties in this process:

- Study and find out the evidence related to the facts;
- Seek information such as documents, clarifications and other related information as evidence, then proceed to find out:
  - What do they complain about?
  - Who is complainant or is it an anonymous complainant?
  - Who is defendant?
  - When and where did the case happen?
  - What and who is affected?
  - Other relevant information.

When the collection of evidence is finished, the investigator has to prepare the investigation report with recommendation for the civil servant/staff responsible or his/her supervisor.

The Ombudsman has no right to recommend a penalty or any kind of disciplinary action for the civil servant/staff responsible, because a decision on sanctions is the prerogative of the head of department in accordance with staff management procedure.

The investigation report must clearly describe the evidence and draw a conclusion from it.

#### 4.9.2.5 Seeking Solutions for Complaints and Follow-Up

All cases should be resolved after an investigation and the results of this investigation should be implemented.

In case the results of the investigation shows that the complaint was valid, the Ombudsman has to resolve the problem as follows:

1. Deal with the officer/staff responsible through his/her supervisor in order to take appropriate measures for resolution. In case he/she or his/her supervisor does not cooperate, the Ombudsman will inform the district/municipal governor or relevant department director with the attachment of the investigation report and its recommendation. The municipal/district governor or department director has to take measures to resolve these complaints. Possible measures are instruction, oral warning, penalty, issuing letter to the officer/staff

concerned based on the real case of each complaint. Particularly, the supervisor concerned has to take appropriate and immediate measures to clarify or inform, such as writing a letter of explanation, asking for apology, staff transfer, issuing a decision or paying back the money to the complainants. Each measure shall be carried out within five working days after approval.

2. In case the complaint is related to the municipal/district governor, the Ombudsman must send the investigation report and its suggestion (in case the complaint is valid) to the municipal/district council chairperson. The council chairperson shall take all appropriate measures to resolve the conflict. In the event that the case cannot be resolved, the council chairperson has to report to the minister at the MoI or other ministries/institutions concerned with the case and give recommendations.
3. The Ombudsman follows up the decisions on the complaint, and then prepares a monitoring report on the implementation of those measures and decisions.

#### **4.9.2.6 Feedback**

In order to provide feedback to citizens, business people, companies, enterprises and relevant stakeholders on the result of the complaints procedure, the Ombudsman shall:

- Prepare the announcement letter and inform the complainant of the result, especially the measures taken to remedy the situation, such as instruction, warning, penalty or punishment. The announcement will be done within seven days after the complaint has been resolved;
- Copy the announcement letter to relevant stakeholders.

#### **4.9.3 The Selection of the Ombudsman**

The Ombudsman is a neutral representative of the people. He/she has to be well liked and respected in the community, be well known and show integrity, and not hold a leadership position in any political party. He has to be well educated with experience and a judicious mind.

The Ombudsman is elected by a local election committee consisting of:

- Municipal/district chairperson;
- All members of the municipal/district council;
- Three representatives of the business community;
- Three representatives of NGOs and Civil Society;
- The secretariat of the municipal/district administration office.



This committee is established by Deika (bylaw) of the municipal/district council.

The municipal/district council shall facilitate the meeting with the business community and NGOs for electing their three representatives. The election must be done in secret based on the majority of business people and NGOs in the municipality/district. This meeting is organized separately, led and facilitated by the municipal/district council chairperson.

The local election committee is chaired by the municipal/district council chairperson. The municipal/district administration is a secretariat of this committee.

#### **4.9.4 The Selection of Representatives of the Business Community**

##### **4.9.4.1 Information on Selection Process**

In the selection process, the council chairperson will invite the representatives of the business community by type of businesses in the municipality/district for participating in the information meeting on the selection of the Ombudsman in the municipality/district of OWSO. The council chairperson has to calculate the appropriate number from 20 to 40 persons for invitation to participate in that meeting.

In case less than 20 representatives of the business community are able to attend, the council chairperson shall organize another meeting.

The agenda of the meeting includes:

- Summary presentation on the establishment of OWSO and DO, including roles of these two offices;
- The establishment of a local election committee for the selection of the Ombudsman, the composition and the key role of the committee;
- The election procedure for the selection of representatives of the business community and NGOs as the members of the election committee;
- The formal procedure to elect the Ombudsman.

In addition, the municipal/district council has to agree with the attendees the date for the election of their representatives.

##### **4.9.4.2 The Election process for the Representatives of the Business Community**

In this process, the municipal/district council chairperson has to invite the representatives which were invited to the information meeting, to participate in the election of their representatives in the local election committee as scheduled.

As mention above, three representatives will be elected to become the members of the committee. For selecting the three representatives, the council chairperson shall determine the candidates in any of the following ways:

*a. First Option*

The council shall discuss with and encourage all business people who participated in the election meeting to volunteer as candidate (minimum of six candidates), and then write down the candidate name and the type of businesses. The method of voluntary candidacy can be done through self-nominating, brainstorming, and/or asking members to identify who should be the candidate, or any other suitable method.

*b. Second Option*

All representatives who participated in the election meeting are the candidates for the election.

The election meeting is led and facilitated by the council chairperson who ensures that the necessary materials for the election such as ballot box, ballot paper, flip-chart are present. He is also responsible for keeping order during the election process.

The key activities during the election process include:

- The facilitator has to write the name of the candidates who stand for election on the flip-chart or whiteboard so that all the participants can easily see the names;
- Before starting the election the facilitator has to remind the group of the election procedure;
- The facilitator then invites each of participants to take a ballot paper and to vote at a secluded location, organized for ensuring the secret of ballots. Each voter shall vote by marking on the ballot paper the candidates who he/she prefers, then put the paper into the ballot box, and go back to his/her seat waiting for the result of the election. The ballot papers are white with a municipal/district stamp on them.
- The facilitator has to consolidate the result of the election immediately by counting the votes one by one in front of all participants and add up the number of votes each candidate had received, and then declaring the three candidates with most votes the representatives in the local election committee. In event the numbers of votes are equal, the principle below shall be followed:
  - In the event that one or more candidates are men and another one is a woman has equal votes, the woman will be an elected candidate in the committee automatically.

- In the event that the one or more than one candidates are men and women have equal votes, the council chairperson must organize the second election immediately among those woman candidates;
- In the event that the candidates are only men or only women have equal votes, the council chairperson must organize the following second or third election immediately among those candidates by using the same procedure as in the first election;
- At the end of the election, the council chairperson must consolidate the election result and announce the elected candidates in the local election committee. The council chairperson ensures that minutes of the election result are accurately and clearly prepared.

#### **4.9.5 The Selection of Non-governmental Organization's Representatives**

##### **4.9.5.1 Information on the Selection**

In this process, the council chairperson has to invite all NGOs operating in its municipality/district to an information meeting about the election of the Ombudsman in the target municipality/district of OWSO.

The agenda of the meeting includes:

- Summary presentation on the establishment of OWSO and DO, including roles of these two offices;
- The establishment of a local election committee for the selection of the Ombudsman, the composition and the key role of the committee;
- The election procedure for the selection of representatives of the business community and NGOs as the members of the election committee;
- The formal procedure to elect the Ombudsman.

In addition, the municipal/district council has to agree with the attendees the date for the election of their representatives.

##### **4.9.5.2 The Election Process of the NGO Representatives**

In this process, the municipal/district council chairperson has to invite the representatives which were invited to the information meeting, to participate in the election of their representatives in the local election committee as scheduled.

As mention above, three representatives of NGOs and civil society organizations will be elected to become the members of the committee and each organization has an equal right to stand as a candidate for the election.

The election meeting is led and facilitated by the council chairperson who ensures that the necessary materials for the election such as ballot box, ballot paper, flip-chart are present. He is also responsible for keeping order during the election process.

The key activities during the election process include:

- The facilitator has to write the name of the candidates who stand for election on the flip-chart or whiteboard so that all the participants can easily see the names;
- Before starting the election the facilitator has to remind the group of the election procedure;
- The facilitator then invites each of participants to take a ballot paper and to vote at a secluded location, organized for ensuring the secret of ballots. Each voter shall vote by marking on the ballot paper the candidates who he/she prefers, then put the paper into the ballot box, and go back to his/her seat waiting for the result of the election. The ballot papers are white with a municipal/district stamp on them.
- The facilitator has to consolidate the result of the election immediately by counting the votes one by one in front of all participants and add up the number of votes each candidate had received, and then declaring the three candidates with most votes the representatives in the local election committee. In event the numbers of votes are equal, the principle below shall be followed:
  1. In the event that one or more candidates are men and another one is a woman has equal votes, the woman will be an elected candidate in the committee automatically.
  2. In the event that the one or more than one candidates are men and women have equal votes, the council chairperson must organize the second election immediately among those woman candidates;
  3. In the event that the candidates are only men or only women have equal votes, the council chairperson must organize the following second or third election immediately among those candidates by using the same procedure as in the first election;
- At the end of the election, the council chairperson must consolidate the election result and announce the elected candidates in the local election committee. The council chairperson ensures that minutes of the election result are accurately and clearly prepared.

After the representatives of the business community and NGOs are selected, the municipal/district council must prepare a bylaw (Deika) on the Establishment of the local election committee for the Ombudsman election.

#### **4.9.5.3 Change of membership of the local election committee**

In the event that any member among the three of the trader or NGO representatives in the committee resigns or passes away during his/her mandate, he/she shall be automatically replaced by the candidate who is next in line on the list of candidates. In such an event the municipal/district council shall issue a Deika to acknowledge this new composition.

#### **4.9.6 Role and Duties of the Local Election Committee**

The local election committee has the following duties:

- To organize meetings for the election of the Ombudsman;
- To prepares ballot papers for the election of the Ombudsman;
- To announces the result of the election;
- To give comments on the election to the council for consideration and to formally recognize the elected candidate as the Ombudsman;
- To check and monitor the work performance of the Ombudsman.

The local election committee can organize its meeting as necessary, following the request of the committee chairperson and municipal/district council, as long as at least one-third of the total members of the committee are present. The administration officer shall assist the committee chairperson in organizing all the meetings.

The local election committee shall elect the Ombudsman according to the following procedure:

- Organize meeting of the local election committee;
- Propose the candidates to stand for election;
- Review the proposed candidates and prepare the ballot papers;
- Election process;
- Deika (bylaw) on the appointment of the Ombudsman.

The local election committee shall organize a meeting within a seven-day period after its establishment in order to:

- Announce the composition of the local election committee;
- Disseminate the Guideline on the Election Procedure of the Ombudsman;
- Introduce the procedure of the proposition for a candidate to stand for the election;
- Determine the date for election of the Ombudsman.

All members of the local election committee have the right to propose at most two candidates to stand for election of the Ombudsman.

The candidates shall fulfill the following qualifications:

- Having Khmer citizenship since birth;
- Being between 35 to 60 years old;
- Having permanent residence in the municipal/district where he/she wishes to stand for election;
- At least five years experience in public administration, civil society or the private sector;
- At least secondary education or other equivalent diploma;
- The candidate shall not hold a political office or be a party member.

Not eligible are:

- Civil servants, court officials, Royal Cambodian Armed Forces members and serving officers of the national police;
- Members of the capital, provincial, municipal, district, Khan and Commune/Sangkat councils;
- Monks and priests;
- Persons with a criminal conviction.

All members of the committee shall submit a letter proposing a candidate, together with a short biography of the candidate to the committee chairperson. At least one woman shall be proposed as candidate.

The local election committee shall announce a time period during which candidates can be proposed. The starting date will be the day after the meeting and the period will last 14 days. The municipal/district administration office shall assist the council chairperson in checking the proposed candidates, verifying the candidates' qualifications according to the criteria described above, then submit the list of candidates to the council chairperson for consideration and approval.

In the event that any of the proposed candidates does not fulfill the eligibility criteria, the council chairperson shall send a letter to the committee member who proposed the candidate in question.

If, after the deadline has expired, less than three candidates have been proposed, the council chairperson shall request the members to submit additional candidates.

After considering and approving of the proposed candidates, the council chairperson shall ask the administration office to prepare the ballot papers in accordance with the total number of the local election committee members.



## Election Procedures

- *Before the Election*

The election committee chairperson shall check the number of members present (the election is only valid if more than 50% of the committee members are present) and outline the following key facts to the members gathered:

- The election procedure;
- Present and explain the format of the ballot paper;
- How to mark the ballot;
- Read out the candidates' names to the meeting.

- *Election Method:*

- Only the members of the local election committee have the right to elect the Ombudsman;
- Each of all members present shall get one ballot paper;
- Each voter shall mark " ✓ " on the right column next to a candidates' name in the ballot to select one person and then put the paper into the ballot box;
- The secretariat of the council assists the council chairperson in preparing the election meeting, counting the votes and taking minutes of the meeting;
- The council chairperson shall announce the result of the election immediately.

- *Counting of the Votes*

The secretariat of the committee shall open the ballot box for ballot counting and check that the number of ballots corresponds to the number of committee members present. The ballots are then opened one by one to check and the number of votes each candidate received is recorded on the whiteboard.

- **Valid Votes:**

The ballots that are recognized as valid votes shall have the following:

- Original format of the ballot papers;
- Mark " ✓ " on the right column next to a candidate's name.

➤ **Invalid Votes:**

- Not original format of ballot papers;
- No stamp on the ballot paper;
- Marking many candidates;
- No marking;
- Having a sign which identifies the voter
- Ripped or damaged;
- Markings that don't show clearly which candidate is chosen.

▪ *The Result of the Election*

After finishing the counting of the ballots, the secretariat of the local election committee reports the result of the election to the meeting. The chairperson of the committee then announces the result. The candidate who has the majority of votes is elected as Ombudsman.

In the event that the numbers of votes are equal for two candidates, the committee must prepare a second round of elections immediately, following the same procedure as for the first round. If the numbers of votes are equal in the second election, the vote of the committee chairperson shall be considered as decisive.

#### **4.9.7 Appointment of the Ombudsman**

After the announcement of the election result, the committee chairperson shall request the council chairperson to issue the appointment of the Ombudsman and draw up a contract. The request for the appointment of the Ombudsman requires the attachment of the minutes of the meeting. The director of the municipal/district administration shall assist the council in the preparation of a draft for a bylaw on the appointment of the Ombudsman and submit it to the council for consideration and approval.

The Ombudsman shall have a mandate of five years. After the end of its mandate, the Ombudsman has the right to stand for re-election. The Ombudsman's term of office will be terminated in the following situations:

- He/she has acquired a criminal record;
- One-third of all members express their dissatisfaction with the Ombudsman and submit a letter to the municipal/district council chairperson. In this case, a meeting must be organized.

The invitation letter for the meeting shall be signed by the committee chairperson and sent to all members at least a week before the planned meeting. If more than half of the total members of the committee find the performance of the Ombudsman unsatisfactory, his/her term of office shall be terminated. In the event that this happens, the new Ombudsman shall be elected within a two-month period for a new five years mandate.

The Ombudsman shall not be given any instruction by the municipal/district governor and shall not be required to report or provide any information to the municipal/district governor.

The Ombudsman shall report two times per year to the election committee.

The Ombudsman shall perform the work for 40 hours per week. During this period of time, he/she has to be present:

- 12 hours which is divided in two mornings and one afternoon at a special desk in the OWSO;
- 28 hours at the DO office and other offices of the municipality/district administration.

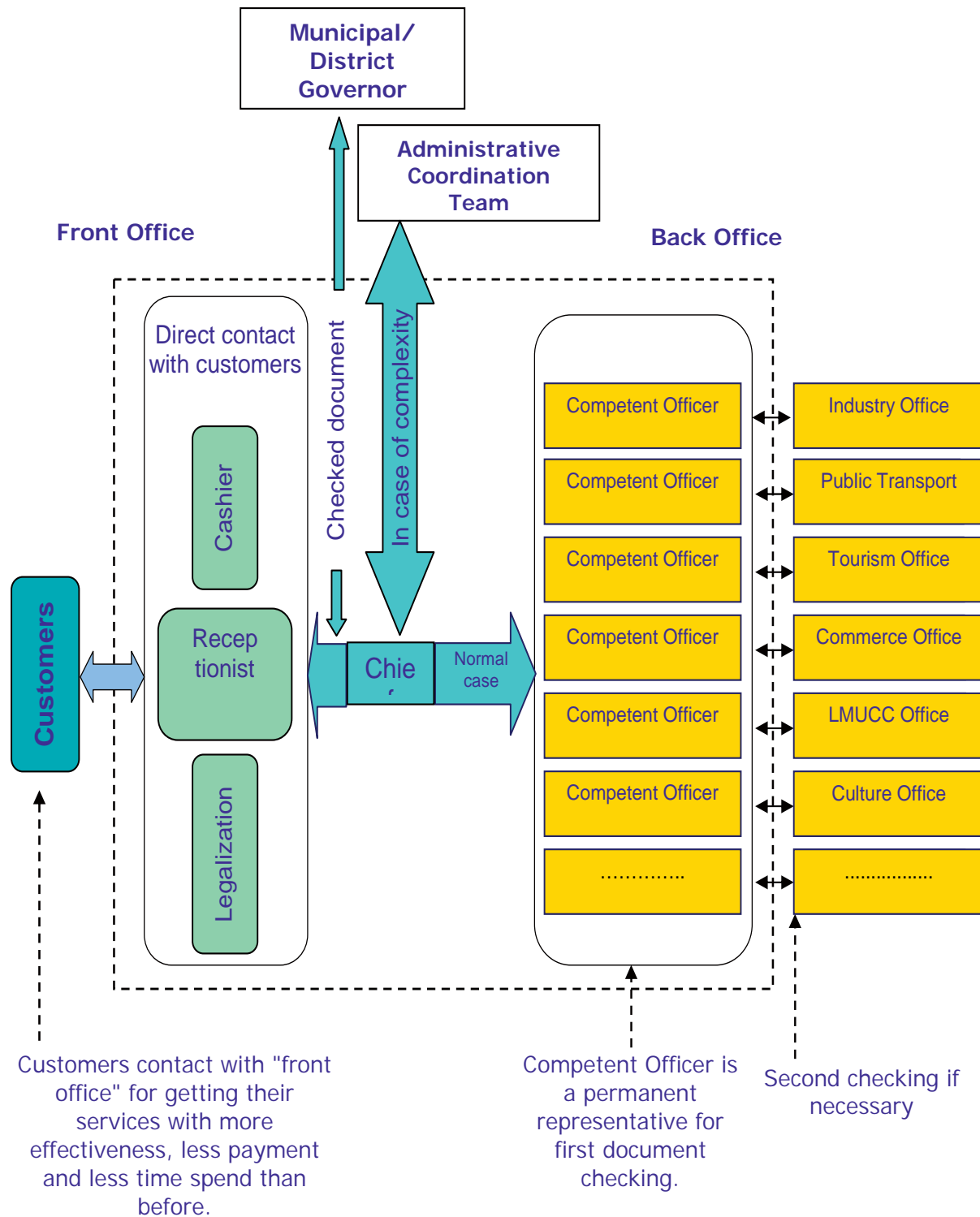
During those 28 hours, the Ombudsman shall explain and clarify the cases and complaints of the people, resolving any arguments.

In the office the Ombudsman shall closely cooperate with the municipal/district deputy governor in charge of OWSO or units or authorities that are responsible for investigating these complaints.

The Ombudsman shall have one assistant. The DO assistant is a civil servant of the MoI and is working under the municipality/district. He/she is proposed by the Ombudsman and approved by the municipal/district governor. The DO assistant shall perform his/her work under the management of the Ombudsman.

## 5. Steering Body and Coordination Mechanism

### *Structure of One Window Service Office (OWSO)*



## Section C. Evaluation of the Best Practice Model

### 1. Sustainability of Battambang's Best Practice

Despite that OWSO in Battambang has been assessed as BP and to be replicated in other municipalities and districts in the country, financial sustainability has still been of great concerns. In this regard, to ensure the sustainability of the project after the end of funding support from the development partners, the following measures and resolutions will have to be in place:

- The MoI reaches an agreement with the MoEF stating that the OWSO's proceeds will be placed at the disposal of the district administration, so that there will be enough funds for continuing the initiative, i.e. pay for salaries and cover operational costs;
- The number of employees, in particular in the back office must be evaluated and, if possible, reduced;
- The competences delegated (size, type of services and other sectors) to the OWSO must be extended to increase the revenue generated by the OWSO.

If these three conditions are met, the OWSO can be continued without additional financial support from the government. A financial sustainability analysis is still to be carried out which will be presented to the MoI as a basis for negotiation. Separately, the back office staff of the OWSO will be retained on a part-time basis and if the system for providing incentives to them is approved, then the office remains financially viable.

Revenue collection is also strengthened when more revenue-related functions are delegated to the districts and municipalities. As of now only about 50 small functions have been delegated. Further work on delegating additional competencies to the OWSO shall be pushed through the TAG and NCDD throughout the life of the project and communications and outreach campaigns will be conducted, targeting both the ministries already involved and potential ones. This will ensure that more functions are given to the OWSO, so that it can become an even more useful resource for its customers:

- Random inspections of the OWSOs at least four times a year by DST and random visits by the Ombudsman;
- Regular checks of cash balance and receipts to ensure proceeds are properly accounted for;
- Survey of customers for their feedback on the quality of services and signs of corruption;
- Feedback from citizen forums and public forums on the service quality and areas for improvement;
- Cooperation with the Provincial Accountability Working Group to improve oversight of the project activities;

- OWSO to use the project period to build a track record and demonstrate to the RGC the demand for its services. It could use this track record to secure RGC's commitment to support the OWSOs after the DFGG project cycle;
- Seek funding from international agencies interested in supporting local governance reforms;
- A confidential customer complaint procedure through the voluntary client scorecard forms is prominently displayed in all OWSO offices and business premises;
- A plan on human resources/staff will be developed for each office providing details relating to:
  1. Selection and placement of staff;
  2. Performance Appraisal requirements;
  3. Staff training and development; and
  4. Incentive and rewards to be provided.

## 2. Major Success Factors of Best Practice

The OWSO, the DO and new ways of people's participation supported vision, goals and objectives of the government and parliament of making Cambodia's administration more efficient, citizen-friendly and transparent. In other words, the core of the Rectangle Strategy, the implementation of policy on Public Service Delivery, was supported by this project.

Another positive factor is the fact that this project has provided experiences and lessons learnt for preparing a draft of the Organic Law; in particular, this project has initiated the transfer and delegation of the competencies from ministries and institutions at the national level to the sub-national administration in accordance with the decentralization and deconcentration policy.

The Organic Law required the ministries/institutions at the national level to transfer and or delegate suitable functions to sub-national administrations, giving them the responsibility to supervise and implement those functions usefully. This pilot project was therefore a necessary foundation for this task. Likewise, this Law is a very important condition to ensure the project's sustainability.

This pilot project is not only the administrative model for other municipalities, districts and Khans with regard to public service delivery to the, it has also provided experiences and lessons learnt to other sub-national administrations for the preparation and implementation of forms of people's participation in decision making, feedback, criticism and raising any concerns and real needs.



The district Ombudsman (DO) was another independent and neutral institution that has played a crucial role in dealing with complaints and conflicts of the citizens regarding the municipal/district administration. This is one of the mechanisms for dispute resolution outside of the court system which makes the citizens feel that they can rely on the service delivery by municipal/district administration, and also helps to develop a good relationship between the citizens and the administration.

### 3. Major Challenges and Obstacles of Best Practice

- *Function Delegation to Target Municipality/District*

Based on the experiences of the OWSO project, this is a “key issue” or serious risk in the expansion of the project under DFEG. The core objective of the OWSO as a pilot is the delegation of public service functions from the line ministries to the sub-national levels. So far, six ministries have delegated functions to the OWSO, i.e. the Ministry of Land Management, Urban planning and Construction, Ministry of Public Work and Transportation, Ministry of Culture and Fine Art, Ministry of Commerce, Ministry of Industry, Mining and Energy, and Ministry of Tourism.

In addition, three more ministries (agriculture, health, and education) have been preparing the new Prakas on function delegation to the target municipality/district. Experience from the pilots in Siem Reap and Battambang suggests that some ministries are concerned about “turf” issues and are reluctant to delegate functions to OWSO. Ministries sometimes delegate peripheral or superfluous functions to the district-level OWSOs, such as the processing of licenses for very small guest houses and restaurants, services that have practically no public demand at the districts. Those delegated functions and staff members assigned to the OWSOs may not have support from the Ministries in terms of resources and managerial attention.

- *Staff Capacity*

The officers and personnel who selected and appointed to perform their work in OWSO usually have no suitable professional skills to match the functions they have been assigned to. The more capable and skilled staff are reluctant to work in OWSO because of low and irregular salary incentives.

At the same time, the ministries, institutions, departments and units concerned have not provided enough capacity building, i.e. training, to the staff they appoint to work in the back office of the OWSO.

In principle, the OWSO must provide public services to the people in a professional, i.e. polite and friendly manner. That is why it is important to take care during the implementation that this office is designed in a customer-friendly fashion, they it is easily reached and that customers

are treated friendly and politely. That is why not only technical know-how (procedures of service delivery) must be delivered, but also a new etiquette of courteous, responsive and professional behaviour by officers and personnel developed.

Incentives for the OWSO and DO staff in addition to their basic salary will motivate them to do their work effectively. Since the cancellation of Merit-Based Pay Initiative (MBPI) and Priority Mission Group (PMG) which have been the major salary supplementary/incentive scheme from January 2010 both staff at the national and the sub-national levels, especially staff who are working at the OWSO, have had no any incentive.

If there are no budget provisions for the MBPI at sub-national levels for the following years, i.e. if the government would not be able to provide funds to sustain the scheme, then the OWSO staff will suffer a substantial pay cut, resulting in a loss of motivation and reduction of quality of work. This increases the risk that corruption finds its way also into the OWSO.

- *Sustainability of the OWSO Operations*

It is a concern that the expanded OWSO activities may have to be rolled back once funding under the DFGG Project ceases. Public demand for services will be unmet and the expectations raised during the project implementation time cannot be satisfied.

- *Corruption in the OWSO*

Due to the systems in place in the BTB and SRP OWSO, barely any corruption was reported and observed. These systems ensured a high level of transparency through having taken the following actions:

- Published fees of all service costs at the OWSO;
- Announced timeframe for delivery of services;
- Elected Ombudsman available for the citizens;
- Established public forums;
- Displayed the complaints procedure prominently in client waiting areas;
- Organized information campaigns, including on fees, timeframes, roles, responsibilities, available services etc.

- *Lack of Financial Resources*

In principle, the Royal Government of Cambodia has agreed to contribute financial resources to support the project implementation as follows:

- For 2010-2012 the RGC will cover the costs for construction and/repair of a total of 15 OWSO buildings;
- The RGC will cover the recurrent costs of the OWSOs: 50% in 2011-2012 and 100% beyond that.

Nonetheless, as long as the RGC cannot guarantee the financial support for the buildings of the OWSOs, for the recurrent costs, and for the incentives, the sustainability of the OWSOs is not guaranteed yet.

#### **4. Measures and Resolutions to Overcome Challenges and Obstacles**

- The NCDD has to have political coordination at the highest level with ministries and institutions to ensure that functions and duties are delegated properly and that technical support, resources and capacity building exists in a suitable way for municipal/district administrations. At the same time, the TAG has to study and determine functions and duties in accordance with each sector and submit a proposal to ministries and institutions concerned for examination and approval. Likewise, the existing functions and duties which had already been delegated should be reviewed in accordance with the real needs at local level as well as capacity and resources available in the municipalities/districts.
- The District Support Team (DST) of the MoI should closely cooperate with TAG in order to provide training and to strengthen the capacity of staff in OWSO and DO regularly on the concept of good governance; Royal government policy on public service delivery; legal regulations related to public service delivery; administrative and financial procedures; procedure the complaints' resolution; roles, duties and working procedure of offices, units and staff; and new forms of people's participation.
- After the selection of the staff for OSWO and the first training sessions, it must be determined how much training is needed on a continuing basis to upgrade the skills and refresh the attitudes and ethos of the officers and personnel.
- Performance management is critical to managing service delivery. Procedures for selection and induction of staff, evaluating staff performance, providing appropriate incentives and rewards (under the MBPI) and for follow-up training to build staff capacity on an ongoing basis must be put in place.

#### **5. Why This Model Is Viewed as Best Practice**

The pilots on OWSO and DO are not only instrumental for deeper and wider D&D reforms, but have been part of the government's efforts to improve the quality of service delivery and bring those services closer to the people. It promotes several good governance principles such as transparency, accountability, efficiency as well as putting mechanisms in place to fight corruption and abuse of power. Key evaluations on the pilots that lead to sustainability could be summarised as following:

- The establishment of One Window Service Office Support Structure gives Battambang municipality the legal authority to cooperate with concerned sectors in the delivery of public services and carrying out its functions delegated by ministries;
- The establishment of the Ombudsman office (or called citizen office in Khmer language) is very helpful. It not only acts as an arbitration mechanism to solve conflicts between citizen and municipal administration, it can also help to improve quality, transparency and accountability, and promote people participation, as well make citizen believe in the service delivery provided by the municipality;
- The establishment of OWSO provides citizens with access to the public services from their municipal administration with much better effectiveness and efficiency and transparency;
- Having the municipal council approve the annual budget plan and monitor the implementation of the budget is an effective mechanism for safeguarding and check/balance of public resource utilization;
- Through OWSO, Battambang municipality was able to increase its revenue by almost eight fold in 2009, from 27 million riels in 2005 to over 205 million (or about 50,000 USD) in 2009 while the government's target for the office was only 87 million riels. This achievement on own source revenues has been clear evidence for the national government to pursue further reform on D&D.

Based on the positive results of this model, the government of Cambodia has decided to scale up this model to 22 district town/municipalities in 2009-2012. The extension of this model is being implemented by the National Committee for Sub-National Democratic Development (NCDD) under the leadership of the Ministry of Interior (MoI) with financial support of the World Bank's DfGG project.

This OWSO pilot program is very instrumental for Cambodia where centralization has been embedded deeply and where urbanization of the country has rapidly taken place in the recent history. It gives assurance and enough confidence to central ministries to gradually transfer specific functions of service delivery to lower tiers of government. More importantly, and in addition to getting better, cheaper and faster services, the citizens of the above two municipalities are now aware of their rights and roles to participate in and contribute to the improvement of local governance processes.

The rapid urbanization and D&D phenomena have been seen in most of the ASEAN countries. Therefore, this OWSO pilot program should be a good cross-country learning BP.

## ANNEX

### Reference: Service Fee for Tourism Sector

Descriptions	Service fee (KHM Riel)			Total Payment (KHM Riel)	Others
	Annual	Form	Stamp		
Guest house up to 5 rooms	40.000	1.000	1.000	42.000	The license is valid for 1 year
Moveable folded beds	40.000	1.000	1.000	42.000	
Restaurant up to 50 seats	50.000	1.000	1.000	52.000	
Canteens	50.000	1.000	1.000	52.000	
Canteen at resort sites	10.000	1.000	1.000	12.000	
Food stores, cafes and soup shop	50.000	1.000	1.000	52.000	
Massage up to 5 beds	50.000	1.000	1.000	52.000	
5-seat taxi	80.000	1.000	1.000	82.000	
Motor-taxi	10.000	1.000	1.000	12.000	
Motor-cart	20.000	1.000	1.000	22.000	

### Service Fee for Handicraft, Electricity of the Industry, Mine and Energy Sector

Descriptions	Service fee (KHM Riel)				Total Payment (KHM Riel)
	Form, receipt, license	Stamp	Commune interest	Operation Service	
1. Handicraft Business					
- Cloth, leather, rubber, plastic	3.000	2.000	5.000	30.000	40.000
- Zinc, aluminum, steel, glass	3.000	2.000	5.000	30.000	40.000
- Jewel, gold, platinum, silver, gem	3.000	2.000	5.000	40.000	50.000
- Making water jar, culvert, concrete base column, concrete post, tile floor, air brick	3.000	2.000	5.000	30.000	40.000
- Making candle, incense stick	3.000	2.000	5.000	20.000	30.000
2. Energy					
- Electricity with capacity less than 75 KVA	3.00	2.000	5.000	60.000	70.000
- Battery recharge	3.000	2.000	5.000	20.000	30.000
3. Service					
- Hair dressing, haircut, massage, wedding decoration, beauty salon	3.000	2.000	5.000	40.000	50.000

- Hair dressing, hair cut, massage	3.000	2.000	5.000	30.000	40.000
- Hair dressing, hair cut	3.000	2.000	5.000	20.000	30.000
- Hair cut	3.000	2.000	5.000	10.000	20.000
- Tire patching, air filling, motorcycle repair, tape player and TV repair	3.000	2.000	5.000	10.000	20.000
- Electronic and electric equipment repair	3.000	2.000	5.000	20.000	30.000
- Mix repair	3.000	2.000	5.000	50.000	60.000
- Car repair only	3.000	2.000	5.000	30.000	40.000
- Motorcycle washing	3.000	2.000	5.000	10.000	20.000
- Car and motorcycle washing	3.000	2.000	5.000	20.000	30.000

### Service Fee for Culture and Fine Arts Sector

Descriptions	Type of Delegation	Service Fee (KHM Riel)					Total Payment (Riel)
		Stamp	Form	Receipt	Operation service	License	
<b>1. Scenery Show</b>	(exploitation)						
Public concert	other performing programs (informal)	1.000	500	500	5.000	-	7.000
Dramas performing show by selling tickets		1.000	500	500	5.000	-	7.000
Other performing programs for exploitation		1.000	500	500	5.000	-	7.000
Cassette selling shop		7.000	600	500	10.000	1.900	20.000
<b>2. Movie and culture campaign</b>	moveable movie/ video show						
Movie/video show at the public for advertisement		1.000	500	500	5.000	-	7.000
Movie/ video show for other ceremonies		1.000	500	500	5.000	-	7.000
Movie/video show at the restaurants and coffee shop		7.000	600	500	10.000	1.900	20.000



Video produce and photography	Movable video producers & photoraphers (exploitation)	7.000	600	500	10.000	1.900	20.000
Photography in public place		7.000	600	500	10.000	1.900	20.000
Sell & hire cassette shop in the markets	Hire and sell of cassette, movie/ video products	7.000	600	500	10.000	1.900	20.000
<b>3. Culture Development</b>							
All shop signs	Signs of other exploitation of no more than 02 meters square (except banner of advertisement)	7.000	600	500	10.000	1.900	20.000
Banners		1.000	500	500	5.000	-	7.000
Posters & other logos		7.000	600	500	40.000	1.900	50.000
Posters for advertisement		1.000	500	500	5.000	-	7.000
Exploitation of microphone and generator	Exploitation concerning the microphone	7.000	600	500	10.000	1.900	20.000
<b>4. Book and reading</b>							
Book store in the markets & public places	Exploitation of book selling	7.000	600	500	10.000	1.900	20.000
<b>5. Size of shop signs</b>							
up to 2 m <sup>2</sup>	Provincial Hall of Battambang delegated to Battambang municipality	1.000	1.000	500	14.500	3.000	20.000
2 m <sup>2</sup> - 4 m <sup>2</sup>		1.000	1.000	500	34.500	3.000	40.000
more than 4 m <sup>2</sup>		1.000	1.000	500	54.500	3.000	60.000
<b>6. Other exploitation signs</b>							
smaller than 2 m <sup>2</sup>		1.000	1.000	500	44.500	3.000	50.000
more than 2 m <sup>2</sup>		1.000	1.000	500	74.500	3.000	80.000

<b>7. Sculpture and handi-craft</b>							
Exploitation of small size sculptural arts	Family sculpture	7.000	600	500	10.000	1.900	20.000
	Sculptural products selling shop, size is smaller than 4 m <sup>2</sup>	7.000	600	500	10.000	1.900	20.000
Note: the license is valid only 2 years period for signs, posters and other logos.							

### Service Fee for Motorcycle Registration

Descriptions	Service Fee						Total Payment	
	Form	Reg-istration	Stamp	License plate	Registration Card	Operation Service	KHM Riel	US Dollar
New motorcycle registration	200 Riel	1.000 Riel	3.500 Riel	5.72 USD	6.149 USD	10.000 Riel	14.700	11.869
Change of motorcycle registration card	200 Riel	1.000 Riel	3.500 Riel	5.72 USD	6.149 USD	5.000 Riel	9.700	11.869
Change color or engine of motorcycle	200 Riel	1.000 Riel	3.000 Riel	5.72 USD	6.149 USD	5.000 Riel	9.200	11.869
Motorcycle ownership transfer	200 Riel	1.000 Riel	3.000 Riel	5.72 USD	6.149 USD	5.000 Riel	9.200	11.869

### Service Fee for Commerce

Description	Service Fee (KHM Riel)				Total Payment (KHM Riel)	Others
	Form	Stamp	Re-ceipt	Fee		
Issuing the business and services permissions to businessmen and service-suppliers that are not bound to pay income taxes and make the profit from 1 Riel to 6 million Riels.	800	200	500	3.500	5.000	The license is valid for 1 year period

## Service Fee for Construction

### House Construction

Villa: construction up to 500 m <sup>2</sup> and maximal 2 floors		Total Payment (KHM Riel)
a	villa construction license	120.000 - 200.000
b	villa expansion, pulling down and repair letter	80.000 - 150.000
c	villa construction site opening letter	20.000 - 40.000
d	villa construction site closing letter or certificate of acceptance	25.000 - 45.000
<b>Flat</b>		
a	flat construction license	80.000 - 160.000
b	flat expansion, pulling down and repair letter	40.000 - 120.000
c	flat construction site opening letter	10.000 - 30.000
d	flat construction site closing letter or certificate of acceptance	15.000 - 35.000
<b>Mix-building (brick and wooden)</b>		
a	mix-building construction license	40.000 - 120.000
b	mix-building expansion, pulling down and repair letter	20.000 - 100.000
c	mix-building construction site opening letter	5.000 - 25.000
d	mix-building construction site closing letter or certificate of acceptance	10.000 - 30.000

### Fence construction

Type of certificate (length)		
a	fence construction and repair	20.000 - 150.000
b	fence construction/repair site opening letter	5.000 - 30.000
c	fence construction/repair site closing letter	10.000 - 60.000

## Service Fee for Legalizations

No.	Descriptions	Service Fee (KHM Riel)			
		Stamp Fee	Fee	Total	Page
1	Scoring bulletin or examined bulletin of high school diploma	300	400	700	1 page
2	Secondary diploma and high school certificate	300	400	700	1 page
3	Patents, certificates or licenses for exploitations or services	500	700	1.200	1page
4	Other certificates	300	400	700	1 page
5	ID Card, Residential Book, Family Book	300	400	700	1 page
6	Construction drawing, property possession certificate	500	1.000	1.500	1 page
7	Other letters issued by Communes	300	400	700	1 page
8	Certificate or other licenses issued by line of line departments	300	400	700	1 page
9	Registration Card	300	700	1.000	1 page

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