

Original Article

Collaborative Governance on Slum Upgrading in Cultural Heritage Area: A Case Study of Pulau Penyengat, Indonesia

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Abstract: The role of cultural heritage has proven beneficial for the development of cities. The management of cultural heritage areas to improve and restore the city's identity is widely recognized as solid coordination with the upgrading and prevention of slums in effective planning interventions. However, as a country with many heritage cities, Indonesia is concerned with the erosion of cultural heritage due to the uncontrolled rapid development of slums in the cultural heritage area, leading to socio-economic and cultural changes. These conditions required changing the planning and governance systems and mediating new relationships and configurations between different actors through collaborative governance. Yet, guidance on designing collaborative governance for implementing the upgrading slum in a cultural heritage area is limited. This study aims to describe the process of collaborative governance related to upgrading slums in the cultural heritage area for the target location in Pulau Penyengat as a National Cultural Heritage. A qualitative descriptive approach is applied through in-depth interviews and a literature study. The data is collected from purposive and snowball sampling of key informants and analyzed by interactive analysis with three components: data reduction, data presentation, and conclusion. The results highlighted the involvement of stakeholders from academicians, business, community, government, and media to implement the upgrading slum in the cultural heritage area of Pulau Penyengat. The development applies the Pentahelix concept, classified into primary and secondary stakeholders and modified into key stakeholders.

Keywords: collaborative governance; cultural heritage; Pentahelix; slum upgrading; stakeholder characterization.



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1. Introduction

Slums are one of the main challenges in urban areas today. According to the World Cities Report (2020), 54 percent (4 billion) of the world's population lived in urban areas in 2015. By the end of the 20 years covering the New Urban Agenda in 2036, 62 percent (5.4 billion) of the global population is expected to reside in cities. More than 90 percent of this urban growth is in developing countries. Currently, 1.6 billion people, or 20 percent of the world's population, live in inadequate housing, of which one billion reside in slums and informal settlements. Slum upgrading is the comprehensive and holistic approach to overcoming this issue by improving the slum residents' living quality

(citiesalliance.org, 2021). It is considered an effective solution for several reasons, such as minimizing the possibility of a problem in slum dwellers' reaction, reducing the economic costs of disconnecting slum residents from their jobs, and preventing the disruption of the social or ethnic support structure (Werlin, 1999). In addition, the UN-Habitat has mandated "the cities without slums" with a time-limited target for sustainable development and implement the New Urban Agenda. As a result, there is an increasing interest in slum upgrading, government and stakeholders change their policy direction on slum improvement and prevention and acknowledge the significant growth issue of the slum that must be managed by unified policy and intervention of worldwide, regional and urban level.

The importance of governance is now increasingly recognized as the most crucial aspect for successfully managing slums. The rapid urbanization and increasing number of slums and squatter settlements are defined as serious spatial fragmentation and economic inequalities. It called for comprehensible and cooperative action from various stakeholders. Furthermore, making the slum upgrading program successful requires strong political will from the government and a strong sense of partnership among stakeholders to build robust governance. (Milbert, 2006) stated that any attempt to overcome slums would require the involvement of multilevel stakeholders.

As a developing country with a long history of slums, Indonesia has practised the slum upgrading program for more than six decades. The experience showed that the implementation of planning theory has resulted in deficient results. The technical rationale of the government as a dominant actor in slum management proved ineffective, and it drove the physical planning to be replaced with advocacy planning. However, this approach appeared to be a weakness of advocacy because of limited community involvement in the slum upgrading process. In the future, policymakers in Indonesia began to shift to a community-based development approach to manage the slums. Yet, it required strong support and cooperation from the government to be self-resilient. Thus, the process of slum upgrading needed to be approached with a collaborative planning theory that has broader inclusiveness related to local contexts and issues. Following previous research on stakeholder collaboration in slum upgrading programs, their references also indicated that stakeholder collaboration is the key factor to the successful implementation. Therefore, this paper aims to examine the empirical study on collaborative governance for slum upgrading in Indonesia. In general, the stakeholder's collaboration model elaborated in those studies was triple-helix (government, communities, NGOs) and quadruple-helix (government, communities, NGOs, and private sectors). This paper uses an adapted Penta-helix collaboration model which involves government, business/private sector, community, academician, and media. The consideration in applying the Penta-helix model is because this research uses a single case study of a slum upgrading project in Pulau Penyengat in the context of tourism development. The slum area arrangement program can touch on physical development. Therefore, it must also improve the local economy by developing tourism areas.

Pulau Penyengat is one of the areas in Indonesia that has slum issues. Tanjungpinang Mayor Decree Number 594 the Year 2019 has Amendment to Mayor's Decree Number 377 the Year 2014 concerning the determination of Slum Housings and Settlements Locations in Tanjungpinang City. The slum area of 239.22 Hectare in Tanjungpinang is spread over 14 Villages, one of which is slum area of 25.98 Hectare in Pulau Penyengat. Pulau Penyengat is an island in the Kepulauan Riau archipelago, which is rich in tangible and intangible Malay cultural heritage, located in Penyengat Village Tanjungpinang City Sub District, Tanjungpinang City, Kepulauan Riau Province. Pulau Penyengat has a cultural heritage of buildings, structures, and cultural landscapes that are very rare and unique in design. It is the only island with a complete cultural heritage that describes the government capital system. The cultural heritage of Pulau Penyengat is a form of national unity and integrity because it is evidence of the Indonesian struggle against Dutch colonialism and the centre for the development of the Malay language and literature (Modern Malay) in the 19th century the standard of Indonesian. As one of the Malay cultural centre areas in Indonesia, Pulau Penyengat has been designated as National Cultural Heritage Area in 2018, based on the Minister Decree of Education and Culture Number 112/M/2018 concerning Cultural Heritage of Pulau Penyengat a National Cultural Heritage Area, with heritage area of 91.15 Hectare and has 46 buildings/structures of cultural heritage.

Slums settlement in Pulau Penyengat is a particular concern for the government because of its location in a cultural heritage area which has challenges in eradicating the slums without eliminating the tangible and intangible heritage of Pulau Penyengat. Most slum spots in Pulau Penyengat are caused or stimulated by the deterioration of its environment, lacking quality of road infrastructures, irregular buildings on the water, inadequate solid waste and wastewater management, and inadequate fire safety infrastructure. Therefore, the government initiated the slum upgrading program in Pulau Penyengat, aiming to develop and arrange its heritage tourism potential and protect the historic heritage area through the KOTAKU ("Cities Without Slums") program. One of the strategic efforts of the Directorate General of Human Settlements, Ministry of Public Works and Public Housing, is to accelerate the handling of slums in urban areas and to support the realization of the "100-0-100" action, namely 100 percent universal access to drinking water, 0 percent slum areas, and 100 percent access to adequate sanitation, to support the realization of livable, productive, and sustainable urban settlements. This plan is a collaboration program between the central government, provincial government, cities/districts, communities, and other stakeholders by increasing the role of local government and community participation. The funding sources of this program are from the central government, provincial government, district/city government, non-governmental organizations, and other stakeholders, as well as

from the development partners such as Islamic Development Bank. This study aims to describe the process of collaborative governance related to upgrading slums in the cultural heritage area for the target location in Pulau Penyengat as a National Cultural Heritage.

2. Materials and Methods

The research approach applied in this study is a descriptive qualitative approach, and the data and information are specified into two categories: primary and secondary data. Primary data was collected by in-depth interviews of key informants selected using purposive and snowball sampling. The key informants are five types of stakeholders (government, business or private sector, community, academic, media) who are assumed to be involved and have first-hand knowledge of the upgrading slum in Pulau Penyengat. Meanwhile, the secondary data is obtained by literature study from books, journals, reports, statistical data, and documents of policies and regulations related to the research topic. These data were then analyzed using interactive analysis with three components: data reduction, presentation, and conclusion. The research was started with a complete mapping of the stakeholders involved in the slum upgrading program. The second stage is to collect official documents and documents related to the slum upgrading program in Pulau Penyengat. The third phase is conducted in-depth interviews with stakeholders who understand and are directly involved in slum upgrading. And the last step of this research is to conclude the research findings.

3. Results and Discussion

Collaborative governance is an arrangement in which one or more public institutions directly engage with non-governmental actors. A collective policy-making process is formal, consensus-oriented, and consultative to make or implement public policies, managing public programs or assets (Ansell & Gash, 2008), (Jung et al., 2009) define collaborative governance as a process of forming, driving, facilitating, operationalizing, and monitoring the management of cross-sectoral organizations in solving public policy problems that cannot be solved by only one organization or the public itself. Collaborative governance is also referred to as stakeholder's collaboration which can be considered a form of the cooperative relationship between the government as a regulator and the private sector as an implementer (Donahue et al., 2012). According to Hardi, (2020), collaboration is an organizational response to changes or shifts in the policy environment. On the other hand, the collaborative governance suggested by Emerson (Emerson et al., 2012) has a broader analytical concept and does not limit collaborative governance to state-initiated policies and engagement between the government and non-government sectors, but may include collaboration between government at different levels and hybrid partnerships initiated by the private or community sectors. Meanwhile, (Purnomo et al., 2018) explained that collaborative governance is a concept in the administration of the government as a process of facilitation and implementation by various stakeholders, both government, community, and NGOs, which aim to solve the collective problems that cannot be solved only by one government institution.

Collaborative governance is a new paradigm in governance. The multi-stakeholders, such as the public agencies, business or private sectors, civil society organizations, NGOs, communities, and other stakeholders, are involved and working together in the decision-making process, policy implementation, and governance in general. The purpose of this involvement is an effort to build trust in government, resolve societal challenges, assure economic prosperity and development, and bring institutional transformation, which cannot be implemented by one party alone. Still, it requires cooperation from various parties so that the orientation is the success of the policy following common goals.

The collaborative governance in this study is by adopting the Penta-helix model to explain the engagement of stakeholders in the collaboration program of slum upgrading in the cultural heritage area. It is suitable for problems involving multi-stakeholders representing various interests in a place or problem (Amrial et al., 2017); (Muhyi et al., 2017). This model is an innovation model to increase the economy level in a country or region, which implicates five types of stakeholders: public administration, business or private sector or capital, residents, the knowledge sector, or academic and media. The five parties have their respective roles and fairly large influences, and when combined in collaboration with a specific goal, they can achieve maximum results.

Pentahelix has an important role in supporting shared innovation goals and contributing to the region's socio-economic progress (Soemaryani, 2016). The application of the Penta helix model in the slum upgrading program is intended to synergize all relevant and interested parties to obtain creative solutions in improving people's welfare and increasing economic benefit in Heritage Area, Pulau Penyengat.

3.1 The Identification of Stakeholders

Every policy cannot be separated from the roles of various actors. Policy actors can be defined as individuals or groups that are involved in certain conditions as a policy subsystem. According to Wu et al., (2015), policy actors consist of five categories, as follows:

- a. Elected officials, such as executive and legislative;

- b. Appointed officials, as assistants to bureaucrats, are usually the basic key and central figure in the policy process or policy subsystem;
- c. Interest groups. Government and politicians often need information provided by interest groups for effective policy-making or to attack their opposition;
- d. Research organizations that are universities, expert groups, or policy consultants;
- e. Mass media, as a network of crucial relationships between the State and society in the form of socialization and communication media to report problems, combined with the role of reporters and the role of active analysts as solutions advocacy.

These actors interact to approve (pro) or disapproval (con) of a policy. The policy actors consist of the government and public groups interested in public affairs and who have opinion leaders, and the mass media, which is the trigger for the strength and weakness of public pressure on the government so that a public affair (issue) becomes a policy output (Cobb & Elder, 1972) in (Parsons, 1997).

Based on the results of this study, it is recognized that the stakeholders involved in the slum upgrading program in Pulau Penyengat consist of 5 (five) elements. The first element is the government which includes the Central Government, namely the Ministry of Public Works and Housing; the Center for Regional Settlement Infrastructure of Kepulauan Riau Province; and the City Coordinator of KOTAKU (City Without Slum Program); Provincial Government such as Regional Planning, Research, and Development Agency of Kepulauan Riau Province; Kepulauan Riau Provincial Public Housing and Settlement Agency; Kepulauan Riau Provincial Public Works and Spatial Planning Agency; and Kepulauan Riau Provincial Environment Agency; City Government that is Tanjungpinang Regional Planning, Research and Development Agency, Public Housing and Settlement Agency of Tanjungpinang City; Public Works and Spatial Planning Agency of Tanjungpinang City; Environment Agency of Tanjungpinang City; Tanjungpinang Transportation Agency; Tanjungpinang City Culture and Tourism Agency; Tanjungpinang Fire and Rescue Agency; and Penyengat Urban Village Office. The second element is academics such as UMRAH university and STISIPOL Raja Haji. The third element is the business or private sector, including Islamic Development Bank; and Tanjungpinang City Business Entity. The fourth element is the community, such as the local community and Tourism Awareness Group (Pokdarwis). The fifth element is media which includes Newspapers (Tanjungpinang Pos, Batam Pos, Tribun Batam); Radio namely RRI Tanjungpinang; Television Media such as Kepri TV and TV Tanjungpinang.

3.2 Stakeholders Mapping

Mapping aims to see each stakeholder's position based on their interests and influences or powers on the slum upgrading program to develop cultural heritage areas in Pulau Penyengat. The stakeholder's interest and power level are divided into four quadrants where each stakeholder has different management characteristics. Stakeholders with high interest and high power manage the entire program, and the low stakeholder is in charge of compiling programs. High-interest and high-power stakeholder groups are usually found in the key stakeholder category. The first stakeholders with the highest interest and highest power are the Central Government, such as the Ministry of Public Works and Housing. They initiated the collaborative program for handling slums, namely KOTAKU (City Without Slum). The program provides the funding. The Center for Regional Settlement Infrastructure of Kepulauan Riau Province, as an extension of the Ministry of Public Works and Housing at the provincial level, is responsible for preparing technical plans, programs, and budgets, implementing, monitoring, and evaluating the program, as well as in collaboration with KOTAKU coordinator providing technical guidance and assistance for local government and community in the implementation of slum upgrading program.

Other stakeholders with the highest interest and highest power are the provincial government and city government, which is in charge of providing budgets for the slum upgrading program and planning, implementing, monitoring, and evaluating the program and its activities. Tanjungpinang Regional Planning, Research and Development Agency is the leading actor in the KOTAKU Program in Tanjungpinang City and is mandated as the Head of POKJA PKP (the Working Group of Housing) Settlement Areas Development) plays an essential role in coordinating planning and development activities to achieve maximum goals. According to Milbert, (2006), the government must be strong and have the resources to implement its policies, create stable employment for the population, and make an explicit political choice regarding slum improvement. It will have a positive and long-lasting impact on the lives of the urban poor.

Stakeholders who also have a high interest and high power in the slum upgrading program in Pulau Penyengat are individuals or people living around the cultural heritage area that must be considered in making programs and as recipients for the results of development. In addition, community cooperation is useful to address problems related to ownership, mutual assistance, relocation, compensation, type or quality of service, retribution, taxes or fees collection, and enforcement of requirements (Werlin, 1999).

The business or private sector has a high interest in the urban development project, which aims to improve the welfare of people in urban areas through the improvement and prevention of slum settlements by implementing

community-based development and local government participation. It is supported by the significant influence and power that IsDB has in funding development projects. In addition, (Aina & Mabawonku, 1997) emphasizes that the private sector should be involved in the slum upgrading projects to reduce urban expenditure.

The stakeholders who have a high level of interest and low level of power have expectations and aspirations but do not receive the potential benefits directly from the realization of the policy. They also have limited authority in making policies, facilitating policy implementation, and influencing other parties in making policies. On the other hand, academics have low influence or power because there is still a lack of information from the results of their research that can be implemented in the field. However, academics have a high interest in contributing indirectly through research in slum improvement, management of slums, or the development and prevention of slums. In particular, the slum upgrading program in Pulau Penyengat requires special handling so that the program does not negatively affect the preservation of cultural heritage. These researches from academics can be an alternative consideration for planned development.

Tourism Awareness Group (Pokdarwis), as a community-based group, has a high interest in slum upgrading programs because it could improve the quality of the environment and develop tourism in Pulau Penyengat. Yet, Pokdarwis has a low influence on the slum upgrading program because their role is more focused on tourism activities and as a government partner to realize and develop tourism awareness in Pulau Penyengat. By reporting the news, the media has a strong influence or power to help introduce the government policies and promote Pulau Penyengat tourism for many people. Therefore, it has a strong impact and influence on the current development. The media also functions as a shaper of public opinion, and a communication media between government and society has a monitoring function and carries out socialization for public education. Conversely, the media has low interest in the success of the slum upgrading program because all organizations of production are directed only at one goal, namely, profit-oriented.

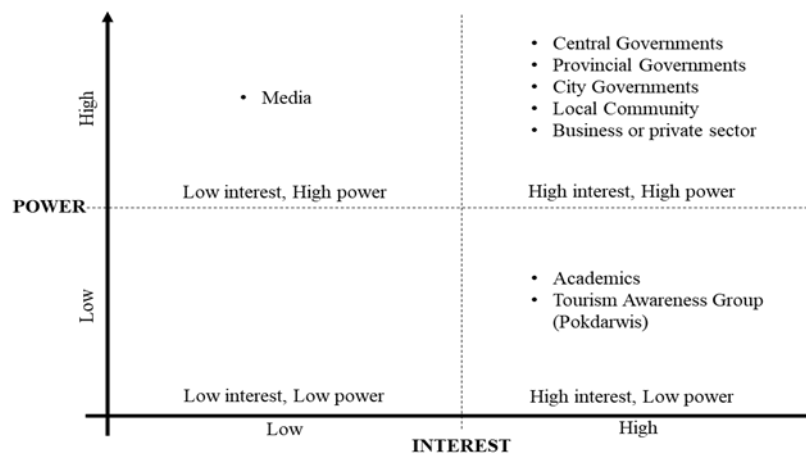


Figure 1. Power – Interest Matrix of Stakeholders

3.3 The Roles and Functions of Stakeholders

The role of stakeholders in the slum upgrading program in the cultural heritage area of Pulau Penyengat is synergy with each other. Figure 2 displays the Pentahelix Model of Stakeholders. The first is academics, who act as a conceptual development. According to local conditions, academics contribute knowledge through concepts, renewable and relevant theories. These concepts and theories can be used as input in regional planning and monitoring the performance of activities that all parties have conducted. The second is the private sector or business people who operate as enablers. Enablers play a role in helping achieve goals. In the slum upgrading program, the private sector is donor agencies such as Islamic Development Bank and Tanjungpinang City Business Entity, whose mission is to provide support in social welfare or service activities and social development.

The third stakeholders are the local community and public figures and the Tourism Awareness Group (Pokdarwis). These actors' role as an accelerator in the slum upgrading program in Pulau Penyengat. The local community is people who have the same and relevant interests in the potential of development. Therefore, perform as an intermediary or become a liaison between stakeholders to assist the local community in developing slum improvement programs and streamlining its process. In addition, the community also has a role in promoting the success of the program in developing tourism in Pulau Penyengat. The fourth party consists of the central government, provincial government, and city government. The government acts as both a regulator and controller, involved in all activities such as planning, implementation, and monitoring. The fifth party is the media which operates as an expander. The media promotes,

publishes, and creates an image of the area to be introduced to people and tourists. They are interested in Pulau Penyengat as a tourism area without slums.

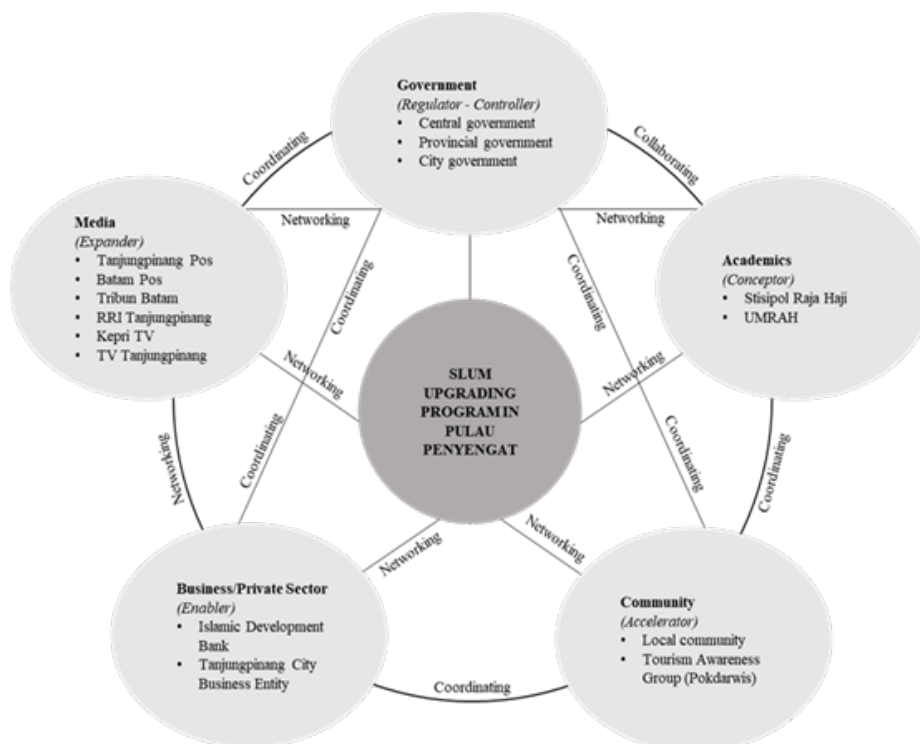


Figure 2. Pentahelix Model of Stakeholders

Academics have networking relationships with the business or private sector in exchanging information for program development. Academics and the community have a coordinating relationship because even though it is not frequent, they still have a resource-sharing relationship. Academics have a cooperative relationship with the government. Academics are conceptual stakeholders who must collaborate with the government to create the latest development concepts or ideas. The relationship between academics and media is networking. Academics and media do not require an intensive relationship but are interconnected in publication. Businesses or the private sector and community have a collaborating relationship. The private sector provides opportunities for communities to increase their knowledge and skills through technical guidance, coaching, and training in supporting the handling of slums. The private sector also has a collaborating relationship with the government. The government opens up opportunities to emerge new programs or activities that can be developed as a form of community services to foster socio-economic development.

The private sector and media have network relationships through the media, providing public support for the successful implementation of the program. Community and government collaborate by sharing the responsibilities and risks of implementing the slum upgrading program. The government did the planning by considering the community's interest in Pulau Penyengat, while the community provided the inputs needed for the successful slum upgrading in the cultural heritage area. The community and media relations are networking. The media needs information from the community for publication regarding the benefit of the government, and the community needs information to follow development progress conducted by the government. Meanwhile, the relationship between government and media is coordinated when the media publishes the government's performance as information for the public and functions for monitoring the government's activities so that it becomes feedback for the government in improving and innovating for the implementation of other slum upgrading programs or activities.

4. Conclusion

The success of handling slums in Pulau Penyengat depends on effective development management planning. It matters because the starting point of planning carries out the stages of implementing a program. This planning is important because it underlies the next step, where all indicators are planned to implement sustainable development. The most important thing in implementing this stage is stakeholder involvement in dealing with slum settlements. The slum upgrading program is developed for cultural heritage tourism in Pulau Penyengat. The program uses the Penta helix concept with five elements: academics, government, community, business or private sector, and media. It is

classified on the level of stakeholder's interest and primary stakeholders such as central government, provincial government, city government, and local community; secondary stakeholders that is academics, Tourism Awareness Group (Pokdarwis), and media, as well as can be modified into key stakeholders regarding their highest level of interest and influence or power.

The key stakeholders of the slum upgrading program in Pulau Penyengat are the Center for Regional Settlement Infrastructure of Kepulauan Riau Province, Regional Planning, Research, and Development Agency of Kepulauan Riau Province, and Tanjungpinang Regional Planning, Research and Development Agency, where the collaboration was marked with the drafting of Memorandum of Understanding (MoU) between the three key stakeholders representing each government institution. Each stakeholder has its level of influence and interest. The key stakeholders act as regulators and controllers to function as the leader in the planning, implementation, and monitoring of activities. The local community is an accelerator, business, or private sector. It performs as an enabler to support the program through the funding, academics play the role of conception by contributing concepts and ideas for development through research, and media acts as an expanded by promoting, publishing, and creating an image of Pulau Penyengat as an island rich in cultural heritage. The roles of stakeholders do not identify and form a collaborative relationship in the Penta Helix concept following their respective roles in the slum upgrading program. However, relationships among the stakeholders such as coordinating, networking, and collaborating could avert conflicts of interest and make it easier to determine who should be involved in the development or who needs improvement so that the program's implementation will run fluently.

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