

# LEARNING REVIEW FOR TRANSPARENCY INTERNATIONAL INDONESIA'S LINIDA PROJECT

## FINAL REPORT

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#### CONTRACT DETAILS

Learning Review for Transparency International Indonesia's LINIDA Project

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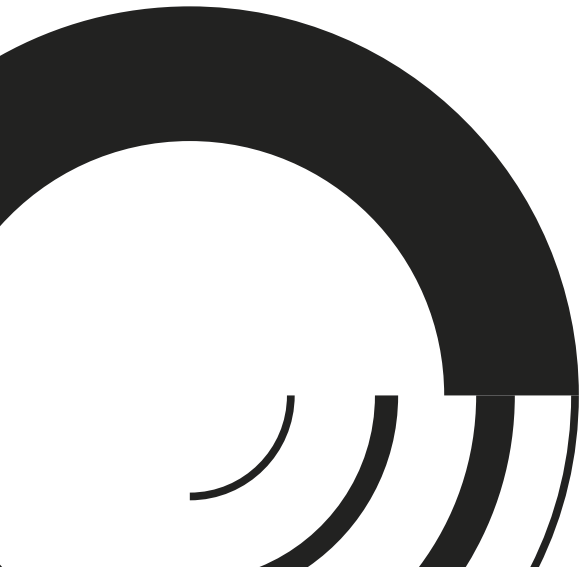
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# 1. Introduction

## 1.1 Objectives of the learning review

The “Learning Review for Transparency International Indonesia’s LINIDA Project” has four (interrelated) aims:

- To document the LINIDA approach, including its underlying theory of change;
- To assess the relevance, overall performance, and impact of the LINIDA initiative thus far;
- To identify and analyse the contextual factors that have affected LINIDA’s implementation and achieved results; and
- To extract clear lessons learned from the LINIDA approach, which can inform TI Indonesia’s (TI-I) future social accountability activities, as well as the development and implementation of social accountability initiatives by the TI-Secretariat (TI-S) and the broader TI movement.

## 1.2 Methodology

This Learning Review is, as the name indicates, focused on learning. Therefore, a participatory and inclusive review process was implemented to strengthen the scope for learning during the process of the review itself, as well as ownership of the process and its results. The OECD-DAC evaluation criteria relevance, efficiency, effectiveness, and sustainability were used to review the LINIDA approach. Review questions for each of these criteria were presented in the Terms of Reference and used to guide and structure the research.

The Learning Review was undertaken in three phases: the inception phase, main research phase, and synthesis & dissemination phase.

### The inception phase

The inception phase started, mid-March, with Skype kick-off meetings with TI-S and TI-I to obtain a broad overview of the LINIDA approach and to discuss the specific objectives of this Learning Review, TI-S’s and TI-I’s expectations and key information needs, and the proposed methodology. In addition, available documents about the LINIDA approach and the Open Governance Project were analysed and the field research was prepared.

During this inception phase, it became clear that the LINIDA approach is not well-documented, existing monitoring information is limited, and that most of the information about LINIDA was, therefore, to be collected during the field research in Indonesia. As a consequence, the Inception Phase, during which the Theory of Change (ToC) was also to be constructed and the methodology was to be finalised, partly overlapped with the main research phase.

On the 7<sup>th</sup> and 8<sup>th</sup> of April, a follow up of the Skype kick-off meetings took place at TI-I’s office in Jakarta. As an input for these meetings, a brief questionnaire was sent to TI-I to collect further information about the LINIDA approach. On the 11<sup>th</sup> of April, a progress note was submitted to TI-S presenting a brief description of the LINIDA project, a draft version of the Theory of Change, which included LINIDA’s underlying assumptions to be tested during the field research, and topic/interview guides.

### The main research phase

During the main research phase, relevant data was collected, analysed, triangulated and validated. More specifically, the following key-activities were undertaken:

- Document review;
- Semi-structured interviews & Focus Group Discussions; and
- Validation and sense making/learning workshops.

#### *Document review*

Relevant documentation on the LINIDA approach, the Open Government Project, other local social accountability initiatives in Indonesia, and general literature about social accountability approaches was collected and analysed.

#### *Semi-structured interviews & Focus Group Discussions*

Interviews and Focus Group Discussions (FGDs) took place in Jakarta and Batang Regency, which is the district where the LINIDA project is being implemented. In Jakarta, follow-up kick-off meetings took place with the two LINIDA programme managers and the Secretary General of TI-I. In addition, a focus group discussion was held

with three Jakarta-based anti-corruption NGOs to collect relevant contextual information about social accountability initiatives in Indonesia.

Field research took place in Batang Regency from 10-15 April. Interviews and FGDs were conducted with the following stakeholders:

- the local partner NGO Laskar Batang;
- government officials of the local Planning Bureau (Bappeda);
- government officials of the Public Service for Quality Improvement Unit (UPKP2);
- the regent Yoyok Riyo Sudibyo; and
- the NGO PC Lakpesdam NU Batang.

In addition, in six selected LINIDA pilot villages focus group discussions were held with:

- The village government officials (including the village head);
- The facilitators; and
- Representatives of the community.

Please see the Annex for the list of interviewees.

Rich data was collected by using story-telling techniques and asking participants/interviewees to describe the most significant changes that have occurred in terms of changes in local government's transparency, accountability and responsiveness, and citizens' participation in planning, budgeting and monitoring processes.

To ensure that interviewees / FGD participants would feel comfortable to speak openly about the project and local governance issues, we emphasised that the inputs provided would be anonymized, separated the FGDs to ensure that responses were not influenced by, for example, the presence of village government officials or LINIDA actors, and used hypothetical cases to collect information on sensitive issues, like on how community members would act if they would come across a case of corruption. Furthermore, efforts were made to ensure that both men and women would be well-represented as well as various community stakeholders and representatives. This, however, proved to be difficult in practice as the local partner appeared not to be able to mobilize the wider community well nor to mobilize sufficient women to ensure gender-representativeness.

The selection of the six villages was made by TI-I and the local partner, following our request to select two high performing, two low performing and two middle-of the road performing villages. This criterion was used to allow for comparison with the aim to identify relevant internal and external factors that could explain any variation in the results achieved. In addition, pragmatic considerations were taken into account like travel distance, the scope for learning, and the availability of interviewees/key resource persons.

#### *Validation and sense making/learning workshops*

The field research was concluded with 1) a sensemaking workshop on the 15<sup>th</sup> of April with facilitators, the programme managers of TI-I and the local partner, 2) a validation & learning meeting on the 15<sup>th</sup> of April with key staff from the local partner and the two TI-I LINIDA programme managers, and 3) a validation & learning meeting on the 18<sup>th</sup> of April at TI-I with the two programme managers and the project director. During the sensemaking meeting with the facilitators, facilitators were asked to 1) present the two most significant changes (MSCs) realised in their village and explain how they had contributed to these, 2) to select from all presented MSCs the top two MSCs and to explain why these are most important, 3) to discuss and present the key obstacles/barriers faced in their quest to improve village government's accountability, transparency and responsiveness and possible solutions to address these. The validation & learning meetings with the local partner and TI-I focused on discussing the draft findings and recommendations.

#### *Synthesis & dissemination phase*

During the synthesis and dissemination phase, the (draft) final report was written and presented and discussed with TI-S. The draft final report was revised based on the feedback received and the final report was submitted on the 14<sup>th</sup> of June.

### **1.3 Review challenges**

A number of challenges have affected this learning review. First of all, the LINIDA project is still a very young project –its implementation started only at the end of 2014. This has limited the scope to identify clear results as social accountability processes are long-term processes with often only limited short-term results being visible. In

addition, very limited documentation and monitoring information about LINIDA was available. Next, the local partner did not succeed in mobilizing different community stakeholders and women well, which has affected the ability to assess in detail the impact of the LINIDA project on the wider community. The first two challenges were known from the start. Therefore, the approach was followed to collect rich data, from a wide range of stakeholders, to obtain as much information as possible and to distil main findings, lessons learned and recommendations that can inform LINIDA and other social accountability initiatives.

## 2. The LINIDA project

### 2.1 Description and Theory of Change of LINIDA

The “Lumbung Informasi dan Inovasi Daerah” (LINIDA), or “Community Centre on Information and Innovation”, project, aims to contribute to well-governed and prosperous villages in Batang regency, Central-Java, Indonesia. LINIDA is a ‘home-grown’ initiative and was designed by the local NGO Laskar Batang, in close cooperation with TI-I, the district regent, and other local NGOs. Its conception followed from an existing partnership between the district government, TI-I, and local NGOs in Batang, focused on improving governance and stimulating economic development in Batang regency. This partnership developed into, and was formalized as, a Local Open Government Partnership.

LINIDA is implemented -as a pilot project- in 10 villages, in 5 sub-districts of Batang regency. The main funder of the project is TI-I, who implements this project as part of the Open Government Project, for which it receives funding from TI-S. LINIDA is, furthermore, supported by the district government, other civil society organisations and the local university in Batang. It started at the end of 2014 and TI funding is available till September 2016.

LINIDA has both an economic component (focused on fostering village welfare) and a governance component (focused on strengthening village government transparency, accountability, and responsiveness). TI-I is mainly concerned with the governance component and does not bear any responsibility for the purely economic parts<sup>1</sup>, which are supported by the district government, local NGOs and the local University. A distinction can thus be made between TI-I’s LINIDA project that mainly consists of the governance component and the broader LINIDA initiative that also includes purely economic activities, which fall outside the scope of TI-I’s LINIDA project.

TI-I is responsible for the overall management of the TI-I LINIDA project, monitors its implementation, and provides technical expertise. Laskar Batang is mainly responsible for the day-to-day implementation of the LINIDA project and the broader LINIDA initiative, including for the coordination with the district local planning agency, the regent and other local stakeholders. It works with 30 voluntary facilitators in the 10 villages (3 per village), who are in turn responsible for conducting most of the LINIDA activities at the village level.

The villages were chosen based on a combination of pragmatic and substantive reasons. Criteria used were that 1) Laskar Batang needed to have prior contacts in the village with the village administration and/or potential facilitators, 2) the villages needed to have economic development potential, and 3) the villages selected would need to cover five of the fifteen sub-districts (2 villages per sub-district) and would need to represent the highlands, lowlands and beach area. For the selection of facilitators the criterion used was that they needed to be young villagers who wanted to contribute to the welfare and governance of their village. Three of the thirty facilitators selected are women.

In order to achieve LINIDA’s overall objective the following main activities have been planned:

- *Raising awareness:*

- Raising awareness about local planning and budgeting processes and about the Public Service for Quality Improvement Unit (UPKP2), which is an autonomous district body for complaint handling.
- Raising awareness about the need for, and advantages of, increasing citizen engagement in local planning and budgeting processes amongst village and district government officials.

Awareness raising activities included conducting meetings with district government officials, village heads and the wider village community to promote LINIDA and to discuss local planning and budgeting processes, promoting LINIDA during the open budget festival in Batang (2016), and the publication and dissemination of an infographic about the district budget.

- *Building capacity:*

- Training the 30 facilitators in facilitation techniques, participatory planning, budget literacy, access to information, and social auditing.

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<sup>1</sup> The economic and governance components partly overlap. Some activities are of a mixed nature, in the sense that they are directly relevant for both the economic and governance part of the project, such as the development of a village information system. These activities are supported by TI-I. The purely economic activities like livelihoods trainings are, however, not financed or managed by TI-I.

- *Creating/strengthening spaces for dialogue and inclusive policy influencing processes:*
  - Organising and/or facilitating village and sub-village meetings - with representatives of the community, the village head, and village government officials- to discuss the needs and assets of villages, and to prioritize development proposals.
- *Increasing access to information:*
  - Developing a semi-open online village information database system with spatial and household data (e.g. number of village inhabitants, level of education, family size etc.) at the village level, which can inform village development planning processes.
  - Stimulating facilitators to request access to government information (especially the medium-term village development plan and the budget) at the village level and to share this information with the wider community.
- *Monitoring planning and budget implementation processes:*
  - Reviewing the medium-term village development plans (RPJMDes).
  - Stimulating citizens during meetings with the facilitators to submit complaints to UPKP2 in case they experience problems of corruption, abuse of power, and/or (other) problems related to public service delivery.

In addition to the above mentioned activities, socialisation activities have been planned to promote LINIDA. Livelihoods/economic empowerment trainings (e.g. on how to prepare and market cassava chips, how to make fertilizer, how to promote the village as a tourist destination etc.) have, furthermore, been provided to villagers as part of the broader LINIDA initiative. These trainings are financed by the district government and fall outside the scope of TI-I's LINIDA project.

Furthermore, in the context of LINIDA and within the broader framework of the Local Open Government Partnership, cooperation relationships were to be further strengthened between TI-I, the local NGOs, UPKP2, the district planning bureau, and the regent.

The LINIDA activities focus on various stages of the policy making and implementation process, like policy formulation (e.g. the village information system and village meetings) and monitoring (e.g. reviewing the RPJMDes).

The identified activities are assumed to lead to the following short-term outcomes:

- Increased access to information by citizens, government officials and other relevant stakeholders;
- Strengthened citizen participation in local planning and budgeting processes;
- Strengthened citizen oversight of public service provision and public expenditures;
- (And for the broader LINIDA initiative also: Increased citizen capacity to pursue positive livelihoods and contribute to the economic development of the village (e.g. by increasing their capacity to generate income etc.); and
- Strengthened partnerships with district accountability stakeholders (e.g. UPKP2, the district regent, and the district planning bureau) aimed at increasing government's transparency, accountability and responsiveness.

These short-term outcomes are in turn assumed to contribute to the following medium-term outcomes:

- Increased transparency of the local government;
- Increased accountability of the local government;
- Increased responsiveness of the local government to citizens' needs;
- (And for the broader LINIDA initiative also: Improved economic development policies & activities at the village level.)

The figure below presents a summary visualisation of LINIDA's Theory of Change (ToC). The rectangular boxes in blue represent the ToC underlying the LINIDA project as supported and financed by TI-I. The ellipses in red show the purely economic components that are part of the wider LINIDA initiative but fall outside the scope of TI-I's LINIDA project, and thus also outside TI-I's ToC of the LINIDA project. The boxes in white represent the cooperation between the various key stakeholders within the context of the broader Local Open Government process. The boxes that combine both rectangular and ellipse shapes represent the combined governance and economic components.



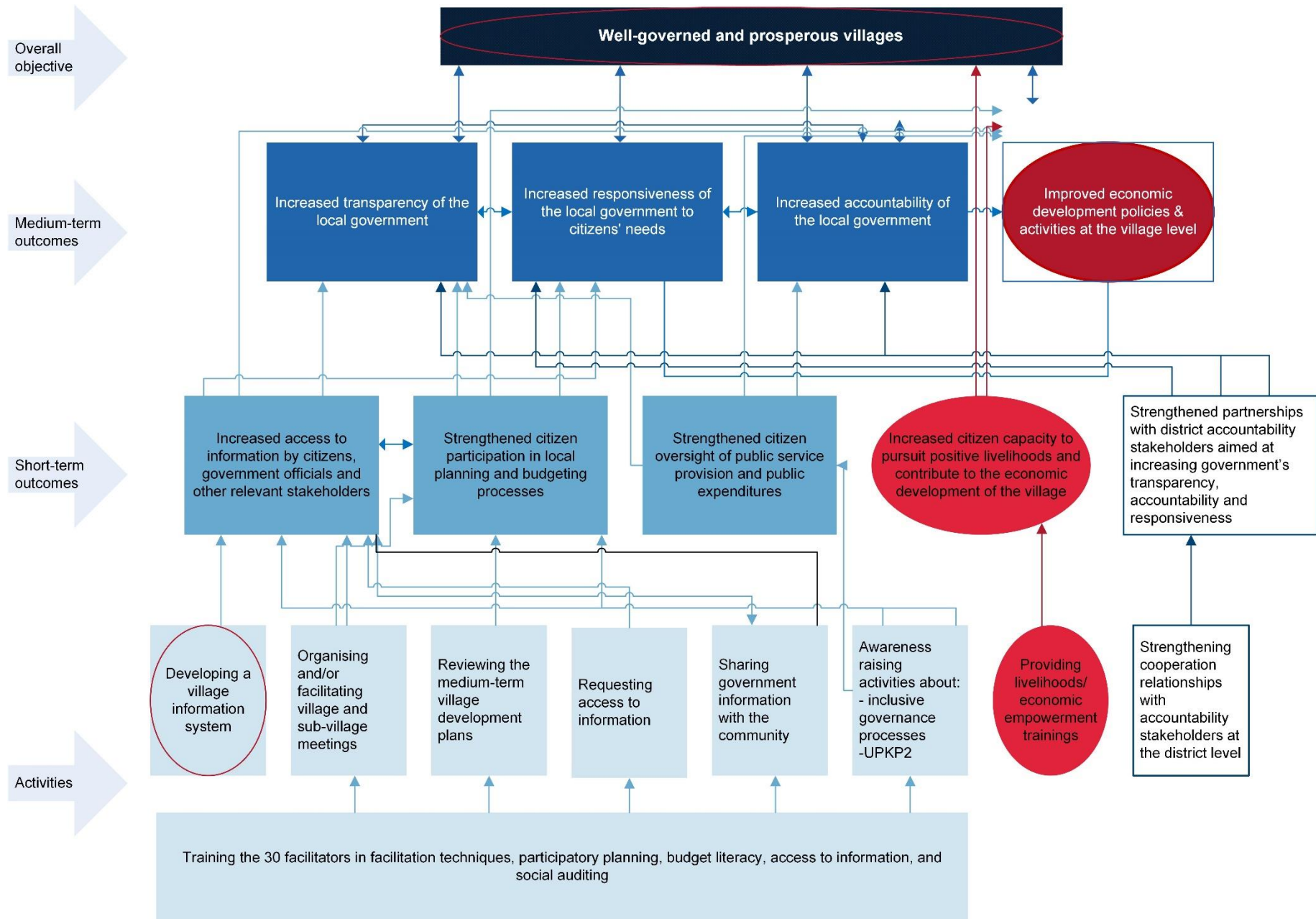


Figure 1 Theory of Change of the LINIDA initiative, with the blue boxes representing the ToC of TI-I's LINIDA project

The various activities and outcomes are strongly interconnected as the ToC shows. The capacity building of facilitators activity influences several of the activities that the facilitators undertake, like the facilitation of village meetings. Furthermore, various different activities contribute to similar outcomes and several outcomes affect each other. For example, by building facilitators' knowledge on the right to access information, stimulating them subsequently to request information from the village government (e.g. the annual budget), and by informing government officials about their duty to share the requested information, facilitators' access to government information may be increased. Facilitators can, subsequently, share the obtained government information with other citizens during, for example, village meetings to also increase their access to information. Furthermore, by building facilitators' capacity in facilitation techniques, facilitators may be able to strengthen citizen participation during formal village meetings, by supporting villagers with articulating and prioritizing their needs during these meetings. Strengthened citizen participation in local planning processes may in turn increase government's responsiveness, especially if government's accountability is also strengthened. This can in turn be fostered by strengthening the ability of citizens to engage effectively in oversight activities, which activity in turn is supported by improved government transparency.

There are several assumptions underlying TI-I's ToC (see the boxes in blue) of the LINIDA project. The main ones are:

- *Access to information, government transparency & responsiveness:*
  - There is a lack of up-to-date household and spatial data, which gap the development of a village information system is assumed to fill;
  - Facilitators' capacity is assumed to be effectively built concerning citizens' right to access information and they are assumed to be motivated to request for government information, share this information with the wider community, and stimulate other citizens to do the same;
  - It is assumed that once citizens' awareness about their rights, and about the procedure to access information, is increased, citizens will demand more access to government information;
  - Government officials are assumed to understand citizens' right to access information and willing to share information upon request;
  - An increase in citizens' demand for information is assumed to make the government more transparent overtime, sharing necessary information pro-actively; and
  - Village governments are assumed to have the capacity to effectively analyse and use the village information system to inform their planning and budgeting processes, which in turn is assumed to increase government responsiveness.
  
- *Citizen participation & government responsiveness:*
  - Facilitators are assumed to be capable and willing to facilitate and participate in local public planning and budgeting processes, which in turn assumes that their capacity is effectively built in topics like local governance planning processes and facilitation techniques;
  - It is assumed that other citizens, of diverse backgrounds, can effectively be stimulated/are willing to participate in local public planning and budgeting processes;
  - Local government officials are assumed to allow space for citizens to participate -in an inclusive way- in local public planning and budgeting processes; and
  - Increased citizen participation in local planning processes is assumed to lead to increased government responsiveness, which in turn assumes that village governments have the willingness, power and financial resources to respond to citizens' needs.
  
- *Citizen oversight & government accountability:*
  - Facilitators are assumed to be willing and capable to monitor public service provision and public expenditures, which in turn assumes that facilitators' capacity is effectively built in topics like social auditing;
  - It is assumed that other citizens can be effectively stimulated to monitor public service provision and expenditures and to submit complaints to UPKP2;
  - Access to government information is assumed to be sufficient to allow effective oversight of public service provision and expenditures; and
  - Horizontal and vertical accountability mechanisms are assumed to be effective.

Finally, it is assumed, from the outcome to the impact/overall objective level that increased government transparency, accountability and responsiveness, will lead to well-governed and more prosperous villages. The

villages are assumed to get more prosperous, as better governance is assumed to lead to better development policies, more efficient and effective public service delivery and less waste and corruption.<sup>2</sup>

### 2.2 Budget

The funding for LINIDA provided through the Open Government Project will end in September 2016. For the two-years of project implementation, TI-I has allocated in total around €35.000. Most of the budget (30%) is used to finance the work done by Laskar Batang, see the pie chart below. This is followed by expenditures to foster citizen engagement (27% of the budget), which include the facilitation of village meetings, the development of a village information system for the ten villages, and the review of the medium-term village development plan. 23% of the budget is used for building the capacity of the thirty facilitators in topics like facilitation techniques, participatory planning, budget literacy, access to information, and social auditing. Finally, a fifth of the budget is used to promote LINIDA amongst key stakeholders and during events like e.g. the Open Budget Festival in Batang.

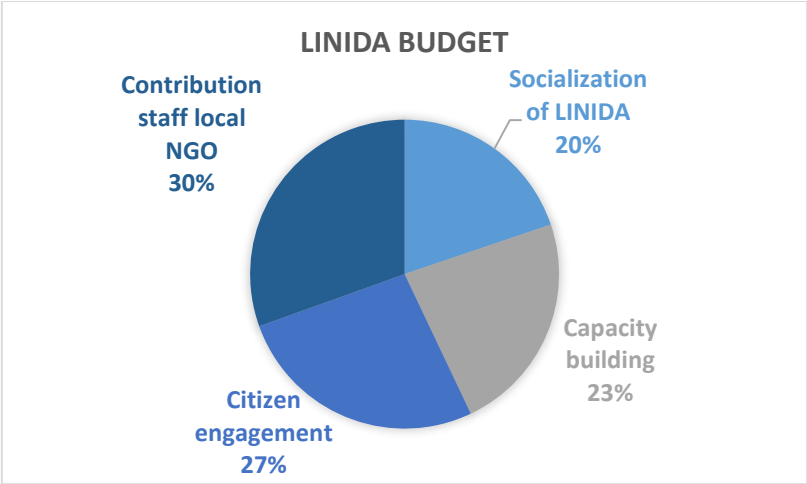


Figure 2 LINIDA Budget Breakdown (Source: Based on the financial data provided by TI-I)

Next to TI-I’s contribution, the LINIDA project has also benefited from in-kind contributions from other stakeholders. The main contributions relate to the development of the village information system. While TI-I finances the development of the online village information database system, the local University and the district government have contributed to the data collection exercise by providing students who helped with the collection of household data and laptops and GPS equipment respectively.

Finally, as stated earlier, the wider LINIDA initiative also includes economic activities, like the livelihoods trainings, which have been financed and supported by the district government and local NGOs.

<sup>2</sup> In addition, the broader LINIDA initiative is, furthermore, assumed to contribute to more prosperous villages through the economic component, which is assumed to strengthen economic development policies and activities through the development of the village information system, identifying village “assets and potential”, and providing livelihoods/economic empowerment trainings.

### 3. LINIDA's relevance

This chapter discusses the relevance of the LINIDA approach. The following review questions of the ToR will be answered:

- How relevant is the LINIDA approach to direct and indirect beneficiaries, their experience of corruption and willingness to engage and act on it?
- How relevant is the LINIDA approach in the wider context of the fight against corruption? To what extent does the LINIDA approach add value or innovate?

In addition, the level of ownership of LINIDA and the relevance of LINIDA's design and approach for achieving its envisaged objectives will be discussed.

#### 3.1 Beneficiaries' needs and relevance & ownership of LINIDA

LINIDA is strongly owned by the district regent, the district planning agency, Laskar Batang, and other local stakeholders like the NGO PC Lakpesdam NU Batang. Representatives of the district government and Laskar Batang refer to 'their project' and view TI-I's role as an important supporter of the project but not as the project owner. This strong ownership can be explained by the fact that LINIDA is truly a home-grown initiative.

LINIDA's focus on the village level is highly relevant given 1) the new Village Law (No 6/2014) and 2) the limited citizen engagement in village planning and budgeting processes.

##### The new Village Law

In comparison to the old Village Law, the new Village Law gives more authority to villages in terms of budgeting and policy making, which makes increased citizen engagement at the village level more important. According to the old Village Law (32/2004), villages had only very limited power in budget and policy making processes. The new law recognises the villages as independent actors and regulates that villages have the autonomy to design and implement village development policies. Villages now receive in total 10% of the state budget earmarked for regional administration. The amount of funds an individual village receives depends on its population size, village size, poverty rate, and the degree of the village's geographic isolation. The village government receives the funding directly from the central government after having submitted village planning and budgeting documents to the district government.

##### Limited citizen engagement

According to the new Village Law, village planning and budgeting meetings must involve community representatives including women groups, farmers, religious leaders and marginalized people. Community participation, via Development Planning Forum (Musrenbang) meetings at the village, sub-district and district level, has already been part of Indonesia's governance processes since the 1980s. Nevertheless, the level of citizen engagement in these local development planning and budgeting processes has often been low. According to Anggriani (2016)<sup>3</sup>, for example, "in most village development meetings, it's often only the village elites who come – women and the poor rarely attended the meeting, and if they did, their voices were rarely heard. While villagers could submit a list of concerns in the meetings, village budgets were limited and their priorities fell to the bottom of the list". Dixon and Hakim (2009)<sup>4</sup> found that various barriers exist that prevent citizens from participating in public policy development and planning through these formal planning processes, like limited access to information due to a bureaucratic preference for secrecy. Moreover, the results of these participatory planning processes are often disconnected to actual budget allocations in Indonesia. "Plans developed during Development Planning Forum (Musrenbang) meetings are not always taken into full account-instead, the local councils and executive budget teams often use their own figures based on the previous year's allocations"<sup>5</sup>.

The data obtained from the field research confirms this assessment. Meaningful (as opposed to only formalistic) citizen engagement in local governance processes was by various interviewees (including government officials, representatives of various NGOs and villagers) confirmed to be often low due to:

- formalistic local governance processes that often exclude ordinary villagers and lack transparency, which can be explained by the fact that local government officials are often more oriented towards higher levels

<sup>3</sup> Anggriani, N. (2016), "Indonesia's Village Law: A Step Toward Inclusive Governance", <http://asiafoundation.org/in-asia/2016/02/17/indonesias-village-law-a-step-toward-inclusive-governance/>

<sup>4</sup> Dixon, G. and Hakim, D. (2009), "Making Indonesia's budget decentralization work: The challenge of linking planning and budgeting at the local level", *International Public Management Review*, Volume 10, Issue 1.

<sup>5</sup> Antlöv, H. & Wetterberg, A. (2011), *Citizen Engagement, Deliberative Spaces and the Consolidation of a Post-Authoritarian Democracy: The Case of Indonesia*, Working Paper No 8, ICLD.

of authority rather than to input from citizens whom they often see as mere end-users and not as stakeholders in the governance process (see also Antlöv & Wetterberg (2011));

- limited access to government information that prevents meaningful participation of villagers in local governance processes; and
- villagers' limited awareness and understanding of local governance processes and citizens' rights.

LINIDA's focus on strengthening citizen engagement in village planning processes was assessed to be relevant by all facilitators and village members interviewed during the field research, and by a significant share of the village government officials. Interviewees, furthermore, indicated that apart from LINIDA no other support was provided to the six villages to strengthen citizens' engagement in local governance processes. With respect to the specific LINIDA activities, most were considered to be relevant by the interviewees -albeit to different degrees. An overwhelming majority of the interviewees, indicated that the development of a village information system was the most relevant activity given villagers' needs. The development of the village information system was considered to be relevant as villages do not have access to up-to-date, accurate, household and spatial data. This data is needed to inform village development policies and to attract resources from the centre (e.g. the number of poor people needs to be known to be able to attract specific central funds focused on supporting poor people).

*"Village governments often develop plans without using valid data. They often do not know the real condition and potential of their village and also the community has often no idea. Therefore, the LINIDA project is useful as it helps villages to collect data, which can be used for planning and developing our village." (Source: representative of the district planning office)*

*"The most useful activity is the collection of household data. We do not have the resources to collect our own data, while the data collected by the central bureau of statistics is often not accurate and only based on sampling. We, however, need data for the whole village, and not just for a couple of sub-villages, to inform our policies and to attract the right level of central funding" (Source: village head)*

The second most relevant activity are the livelihoods trainings, according to the villagers, which were provided as part of the wider LINIDA initiative but which are not part of TI-I's LINIDA project. Furthermore, the activities that focus on facilitating the village meetings were also assessed to be relevant by several interviewees. Various village government officials indicated to lack the capacity to facilitate these meetings effectively and, therefore, value the assistance provided by LINIDA facilitators.

There were no marked differences in the assessment of the relevance of the various activities between actors (i.e. government officials, facilitators, community members) or villages.

Finally, the capacity building support provided to the facilitators was also assessed as relevant by the facilitators as most of them had only very limited understanding of local governance processes and good governance issues at the start of the project.

### **3.2 The relevance of LINIDA in the wider context of the fight against corruption**

The LINIDA project is embedded in a wider framework of cooperation between TI-I, the district government, and local NGOs in Batang. A clear window of opportunity to improve governance in Batang arose when the regent of Batang, Yoyok Riyo Sudibyo, got elected. After winning the election, the regent invited local NGOs and TI-I to cooperate with him to fulfil his mission to improve governance, reduce corruption and increase the welfare of Batang regency. TI-I, in partnership with the local NGOs, subsequently seized this opportunity and supported the Local Open Government Partnership. Since 2012, TI-I has supported the district government with improving public procurement, with the establishment of UPKP2, and with LINIDA.

The LINIDA project is of added-value in the wider context of improving governance and fighting corruption in Batang regency due to the fact that this is the only project that focuses on increasing citizen engagement at the village level. It is complementary to the other projects that have focused on supporting the district government with strengthening accountability through UPKP2 and preventing corruption in procurement.

On a more strategic level, LINIDA is also relevant as with this approach, a new model for the Local Open Government Partnership is pursued that is based on an inclusive partnership between the key stakeholders in society, including the citizens. This approach differs from how the Local Open Government Partnership is implemented in the other pilot areas in Indonesia, where it tends to be very much elite-driven.<sup>6</sup> TI-I uses its Open

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<sup>6</sup> Source: Interviews with representatives from TI-I and NGOs from Batang.

Government Partnership network at the national level to share the experiences with LINIDA and the Local Open Government Partnership in Batang, with the aim to promote more inclusive Local Open Government Partnerships and increased citizen engagement in Indonesia.

### 3.3 The relevance of LINIDA's design & approach for achieving its envisaged objectives

As described in Chapter 2, the LINIDA project consists out of five main groups of activities:

- Building the capacity of 30 facilitators;
- Awareness raising activities focused on promoting citizen engagement and the role of UPKP2;
- Facilitating village meetings to increase citizen engagement in local planning processes;
- Increasing access to information by developing a village information system and stimulating the facilitators to request for village government information;
- Monitoring planning and budget implementation processes by reviewing the medium-term village development plans (RPJMDes), stimulating citizens to submit complaints to UPKP2 and building facilitators' capacity in social auditing.

In addition, the wider LINIDA initiative also includes the provision of livelihoods trainings to villagers. With the five groups of the LINIDA project activities, LINIDA aims to improve government transparency, accountability, and responsiveness. All of these activities have the potential to contribute to these objectives and the results chains from activities to short-term outcomes, medium-term outcomes, and overall aim (see chapter 2) are logic and sound.

A strong feature of the LINIDA approach is that its design focuses on improving the various stages of the policy making and implementation process (i.e. agenda setting, policy formulation, budgeting, policy implementation and monitoring). This is being done by strengthening access to information, citizens' participation *and* oversight. It is a comprehensive approach that deploys multiple tactics (from increasing access to information, facilitating citizen participation in local planning processes, to increasing citizen oversight) to change the power relations and incentives that affect local governance processes. This comprehensive approach is very relevant as research has shown that such approach and the focus on multiple tactics is often more effective than when one addresses only one issue. For example, increasing transparency is a necessary but not a sufficient condition to increase government's accountability and responsiveness and effective citizen participation and oversight requires access to information. Furthermore, promoting UPKP2 is a relevant activity to activate horizontal accountability mechanisms, which have the potential to increase the effectiveness of citizens' monitoring of village government actions.<sup>7</sup>

What is not sufficiently addressed in the approach is, however, support provided to village governments to increase their capacity to become more transparent, accountable and responsive. Key assumptions underlying LINIDA's ToC, as identified in chapter 2, are that village governments understand citizens' right to access information, their right to participate in planning processes and that the village governments have the capacity to effectively analyse and use collected data, plan and implement development policies. These assumptions have proven not to be realistic. Lack of village government capacity was frequently cited by various interviewees (district government officials, NGO representatives, facilitators and other village members) as a significant obstacle to better governance.

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<sup>7</sup> Sources: Marin, J.M. (2016), U4 Expert Answer: Evidence of citizen engagement impact in promoting good governance and anti-corruption efforts; Fox, J. (2014), "A Social Accountability: What does the evidence really say?", GPSA Working Paper, No.1 September 2014; Antlöv, H. & Wetterberg, A. (2011), "Citizen Engagement, Deliberative Spaces and the Consolidation of a Post-Authoritarian Democracy: The Case of Indonesia", Working Paper No 8, ICLD.

## 4. LINIDA's effectiveness & sustainability

In this chapter, LINIDA's effectiveness and sustainability are analysed. The following review questions of the ToR will be answered:

- How effective has the approach been in achieving results, and which ones? What are the indications of impact in the medium and longer-term?
- How has the project interacted with citizens and other local actors?
- What main factors (internal and external) have played a role in the achievement or non-achievement of impact/ results?
- How sustainable is the approach post-current funding – financially and conceptually?
- Are the current partnerships in place effective in collectively enabling future impact?
- What concrete steps were/ are being taken to enhance the sustainability of the approach?

The first section of this chapter presents the evidence collected on the results achieved, analyses LINIDA's (likely) contribution to its short- and medium-term outcomes, and discusses the validity of the assumptions underlying the LINIDA approach that affect its effectiveness. It also provides insight in how LINIDA has interacted with and affected citizens and other local stakeholders. Next, we present a broader analysis of the main internal and external factors that have influenced LINIDA's effectiveness and that can (at least partially) explain variations in LINIDA's effectiveness per village. Finally, we discuss LINIDA's sustainability.

### 4.1 LINIDA's results

#### **LINIDA activities > increased access to information > increased government transparency and responsiveness**

The ToC of TI-I's LINIDA project can be divided -for analytical purposes- in three main results chains. The first results chain focuses on the various activities that contribute to the short-term outcome of increased access to information, which in turn is to contribute to increased government transparency and responsiveness, see the figure below. The figure present key underlying assumptions as well as various intermediate results.

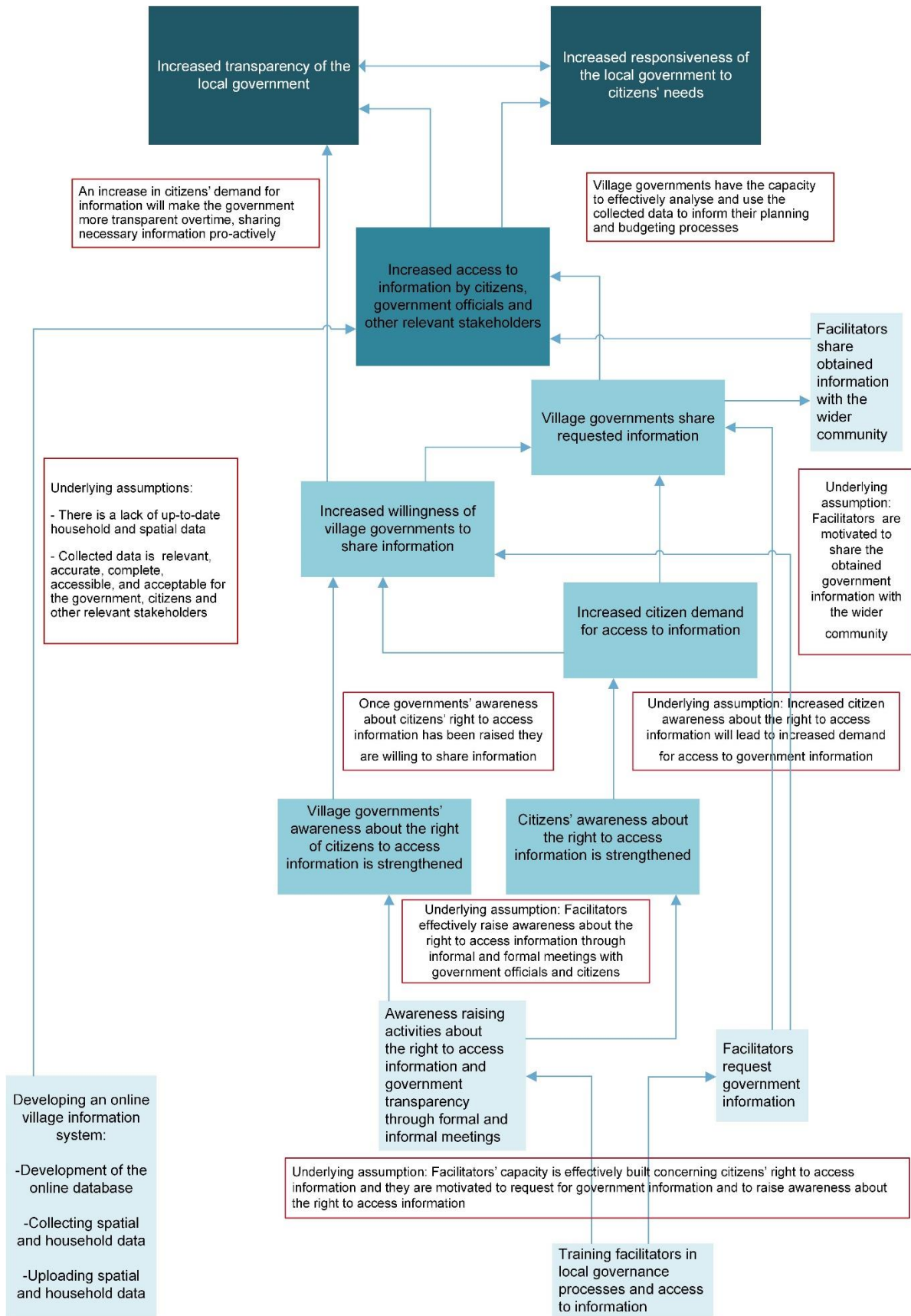


Figure 3 Results chain LINIDA activities > increased access to information > increased government transparency and responsiveness



The main activities that have been implemented to strengthen access to information are the development of a village information system and facilitators' requests for government information combined with limited awareness raising activities concerning citizens' right to access information.

#### *Village information system*

The development of a village information system has significantly contributed to increased access to information, albeit to very different degrees in the various villages. An online database has been developed in which spatial and household data at the village level can be stored (<http://apidesa.linida.org/>). In nine out of the ten villages, facilitators have collected data, on e.g. the size of the village, the level of villagers' income, health, educational achievements etc., with the support of the local University and other community members. The data is currently in the process of being uploaded and stored in the online village information system database. The general public can access summary data by visiting the public part of the website, while more detailed statistics can be accessed by facilitators, village government officials and the district government through accessing the private part of the website<sup>8</sup>. This data can then be used to inform the policy making process. For some of the villages, data is already available through the system and one of the villages has even published the data in a book to make it better accessible for community stakeholders.

The overwhelming majority of village government officials and facilitators interviewed were positive about the results that have -so far- been achieved with the village information system. The collected data is considered to be relevant and useful to inform future policy making and village development activities, see for some examples the box text below.

#### **Examples illustrating the relevance of the collected data**

In one village, for example, the village government discovered, based on the data collected, that the size of the village was twice as large as what they had known it to be. It appeared that a large area -a tea plantation- that was managed by a State Owned Enterprise, actually belonged to their village. This means that the village is entitled to a larger share of the central government resources than what they had expected. In addition, with this new information, the village-head went to the State Owned Enterprise to discuss how the enterprise could invest in the development of the village in return for using its land. The State Owned Enterprise and the village-head have now agreed to invest in the development of a camping site for tourists on the tea plantation.

In a couple of other villages the example was provided that based on the data collected, the village government had now a better overview of the number of poor people living in the village, which information could help them with attracting the necessary (central government) funding for supporting the poor and with tailoring their policies to help them.

The village information system has the potential to contribute to better policy making and increased responsiveness of the village government to villagers' needs. This because it provides the village government with detailed information about the characteristics of the village and the welfare of the villagers. By analysing the data, village governments can obtain a better understanding of the needs of the villagers, design more fact-based and responsive policies, and attract more resources (e.g. central state resources for supporting the poor) to address villagers' needs.

Several weaknesses in the design and implementation of the activity have, however, limited this potential and the identified underlying assumptions (see figure 3) appear to be at least partially invalid. First of all, for several villages the data in the database is not (yet) complete. The main problem is that insufficient resources are available for implementing this activity in the ten villages. In three of the six villages visited, facilitators mentioned, for example, that the uploaded data was incomplete as only a few sub-villages had been covered due to insufficient human resources to cover the whole village and/or not all collected data had (yet) been uploaded in the system because of limited internet access and/or time to upload the data. In these villages, the facilitators were not certain that the database would be completed in the near future.

Secondly, while the collected data has the potential to inform future development policies, in not one of the six villages visited have the village government officials and facilitators interviewed clear ideas about how the data will be used to inform future policy making processes. An important problem is the low capacity of the village governments to analyse the data. Laskar Batang also admitted to have not yet given enough consideration to the question of how the data can effectively be analysed and used.

"I don't know yet how we can use the data, there is so much interesting data" (Source: village-head)

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<sup>8</sup> Not all data is made accessible for the general public in order to protect the privacy of the survey respondents.

*"We do not have the expertise to analyse the data and would require support from other people to help us with this; but we have no budget for this..." (Source: village-head)*

Finally, in most of the villages visited, the village government officials have hardly been involved in the data collection exercise. The data has mainly been collected by facilitators, local university students<sup>9</sup>, and sometimes also members of the wider community. The fact that village government officials have not more extensively been involved in the data collection exercise is a missed opportunity given the weak capacity of the village government to undertake (and update) these type of exercises themselves, which limits the potential for the system's future use.

#### *Requesting access to information*

The second activity was requesting access to village government information. Facilitators went to the village government to ask for government information, most often being the annual budget and the medium-term development plan, and to inform the government officials about citizens' right to access information. The information requested was to be used for reviewing the medium-term development plan and as an input for facilitating the village meetings. As can be seen in the figure above, the activity was assumed to contribute to increased access to information through various channels, namely 1) through the sharing of the requested information, by facilitators, with other community members, 2) by improving village governments' willingness to share information (also pro-actively) through a) educating them about their obligation to share information and b) increasing citizens' demand for information following awareness raising activities to educate citizens about their rights, and 3) by pressurizing governments to share information following increased requests from citizens.

In general, it can be concluded that the activity has contributed to some degree to increased citizen access to government information. The achieved results do, however, significantly differ per village. The activity's potential has, furthermore, not yet been fully exploited as, overall, only limited efforts have been undertaken in practice to request access to information, raise awareness, and share the information with the wider community. Most of the facilitators interviewed stated that they had only once or twice asked the village government for information and only very limited attention has been paid to informing citizens about their right to access information.

More specifically, in most villages, the village governments have shared the requested information with the facilitators. In one of the six visited villages, however, the facilitators mentioned that the government had refused to provide them with the requested information. This problem was discussed with Laskar Batang, but no further action was undertaken.

*"There is no transparency of the budget, we cannot get access to the budget. We have asked for more transparency but the government doesn't listen to us. The problem is that they don't trust us. They think that LINIDA is here to monitor them." (Source: facilitator)*

In three of the six villages visited, the facilitators shared the requested information with the wider community, which has strengthened citizens' access to information about the annual budget and the medium-term development plan. In these villages, facilitators also raised awareness amongst their fellow citizens about citizens' right to access information during village meetings and informal conversations. As the figure of the results chain shows, increased citizen demand for information and increased awareness of citizens' right to access information could contribute to governments' increased willingness to share information and improved government transparency. This turned out to be the case in two of these villages. For these villages, both the facilitators and village government officials stated that the village government has become more transparent and has started to pro-actively share information about the budget and public expenditures during village meetings. This while in those villages, the village government had appeared to be reluctant at first to share this type of information. Facilitators mentioned that by raising awareness amongst village government officials and citizens about the obligation of the government to share information, the village governments have become more transparent over time. There is no evidence, however, that facilitators' activities have resulted in increased demands for information from other citizens.

*"A significant difference between now and the period before LINIDA supported the village is that we now know more about the funding that is available for our village, the government has become more transparent." (Source: community member)*

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<sup>9</sup> The local university STAIN supported the data collection exercise by providing students who helped with the collection of data as part of their on-the-job training.

"LINIDA has actively promoted transparency of budgeting processes. Now anytime I hold a meeting with the community, I share with them how much budget we get from the central and district government. Sharing this information is useful as the community needs also to be realistic about the available funding and need to prioritize." (Source: village-head)

"The village government was very responsive and gave us all the information needed as they want to oblige the law. In addition, by increasing transparency they can reduce any suspicion of the community." (Source: facilitator)

"It is easier for me now to get informed, since I can simply ask the LINIDA facilitators about development projects and expenditures. I prefer asking LINIDA facilitators as I'm reluctant to ask a government official. (...) It is not in our culture to directly go to the village-head, he is a man of authority." (Source: community member)

In the other three villages, facilitators have not actively shared the collected information amongst the wider community nor have they actively raised awareness about citizens' right to access information. In these villages, no evidence was found suggesting that the government has become more transparent, nor that citizens have increasingly demanded access to information. Village government officials of these villages indicated that citizens hardly ever request government information and no signs of increased citizen demand for information were seen by these officials. The facilitators of these villages confirmed these statements and indicated that the village governments do not seem to see the need to become more transparent. During the sense making meeting with seven facilitators it was also argued that many village administrations are not yet aware of their obligations to share information.

"Nobody comes here to request information. People only come here to ask for identity cards" (Source: village government official)

"The government is open to us facilitators, they share all data, even the annual budget, but we don't know whether the wider community has also access to this information" (Source: facilitator)

### Underlying assumptions

The assumptions that are underlying the results chains, see figure 3, were tested during the field research. Table 1 provides a summary of the findings.

Table 1 Validity of the underlying assumptions: access to information, government transparency & responsiveness

Assumptions (related outcome)	Valid/Invalid	Explanation
There is a lack of up-to-date household and spatial data (increasing access to data)	Valid	All of the six village governments claimed to have no access - before the LINIDA project- to accurate, complete and up-to-date household and spatial data.
Collected data needs to be relevant, accurate, complete, accessible, and acceptable for the government, citizens and other relevant stakeholders (increasing access to data)	Partially valid	Relevant data has been collected in various villages, however in several villages the data is incomplete and/or not yet uploaded (and thus not accessible). The village government officials interviewed claimed that the collected data would be accepted by the district local government and other government agencies.
Village governments have the capacity to effectively analyse and use the collected data to inform their planning and budgeting processes (increasing government responsiveness)	(At least partially) invalid	None of the six village governments knew at this stage how they would use the data. Several village government officials indicated that their capacity is too limited to analyze the data.
Facilitators request government information, share this information with the wider community, and stimulate other citizens to do the same (increasing access to data)	Partially valid	While facilitators have requested government information in all villages, only in half of the villages visited was this information shared with the wider community and were community members informed about their right to information.
Once citizens' awareness about their rights, and about the procedure to access information, is increased, citizens will demand more access to government information (increasing access to data)	Unknown	It has appeared that citizens' awareness has hardly been raised and, therefore, this assumption could not be tested.
Government officials are aware about citizens' right to access information and willing to share information upon request (increasing access to data and government transparency)	Partially valid	In all but one of the six visited villages was the government willing to share information with the LINIDA facilitators.
An increase in citizens' demand for information will make the	Partially valid	In two of the six villages, the government has clearly become more transparent, following information demands from

<p>government more transparent overtime, sharing necessary information pro-actively (increasing government transparency)</p>		<p>facilitators and awareness raising activities amongst village government officials and citizens about citizens' right to access information. For the other villages it is not clear whether an increased demand for information would result in more transparency as citizens' requests for information hardly increased. For three of these villages it was noted that at this point in time the village administrations do not seem to see the need to become more transparent. During the sensemaking meeting with seven facilitators, from seven different villages, several argued that many village administrations are not yet aware of their obligations to share information.</p>
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**LINIDA activities > strengthened citizen participation > increased responsiveness**

The second results chain focuses on the LINIDA activities that contribute to the short-term outcome of strengthened citizen participation in local planning and budgeting processes, which in turn is to contribute to increased government responsiveness, see the figure below. The main activity that has been undertaken to contribute to strengthened citizen participation in local planning and budgeting processes is the facilitation of village meetings, sometimes complemented with the organisation of sub-village meetings. These village meetings are part of the formal local planning processes and have existed for a long time already in Indonesia. The LINIDA activities were to focus on improving the quality and inclusiveness of these meetings by inviting community members to come to these meetings and by facilitating these meetings to improve their structure and to allow citizens to effectively articulate and prioritize their needs. In addition, facilitators were to raise awareness about the importance of participatory local planning processes during meetings with the village governments, with the aim to improve the scope offered by these governments for genuine citizen participation during the formal planning process.

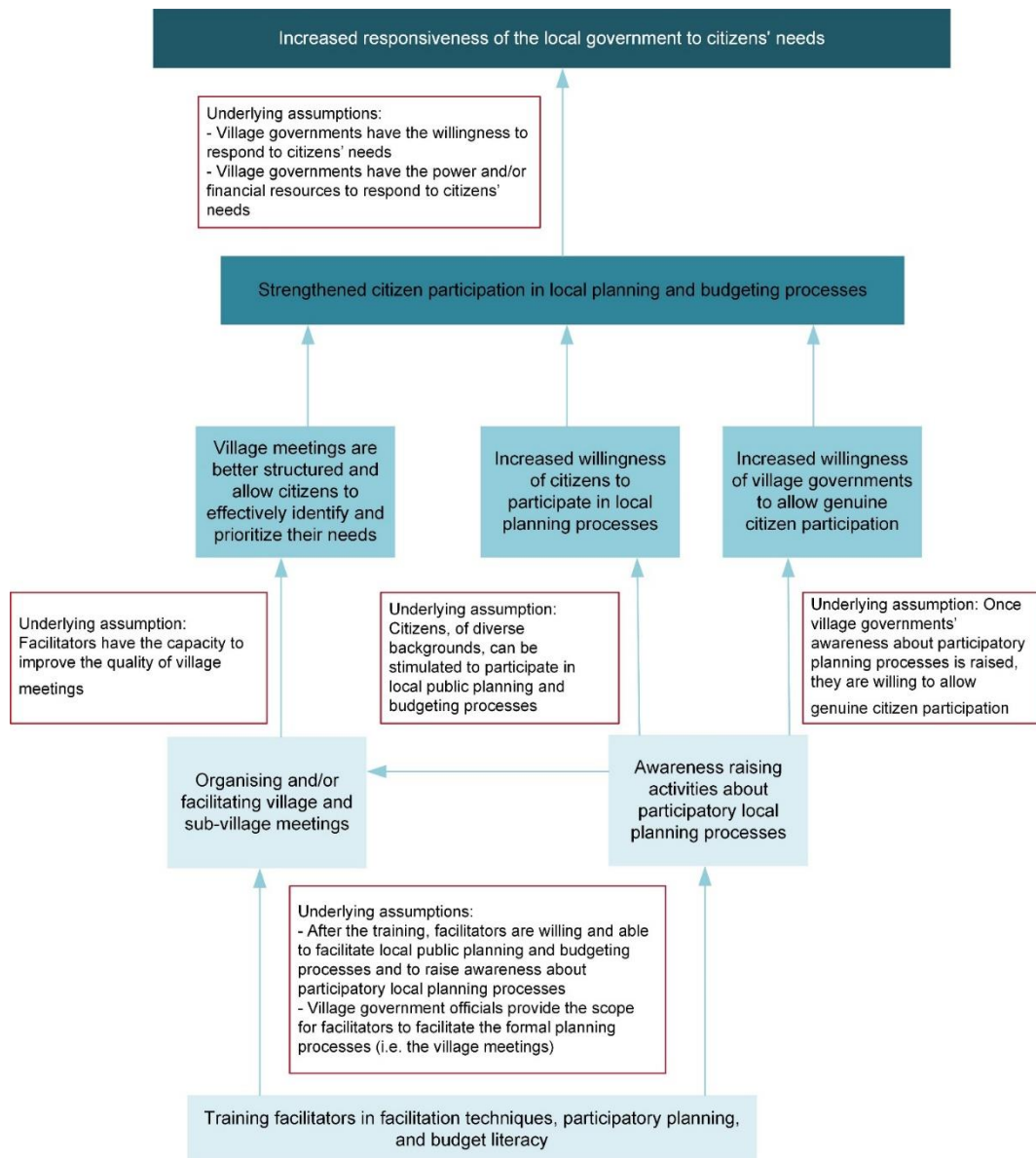


Figure 4 Results chain LINIDA activities > strengthened citizen participation > increased responsiveness

LINIDA has positively contributed to strengthened citizen participation in only some of the pilot villages. In two of the six visited villages, citizen engagement in formal planning processes has been strengthened due to LINIDA's support to the village meetings, according to the village government officials, facilitators, and community members interviewed. Facilitators have stimulated citizens to come to the meetings and have facilitated the meetings. As a consequence, the formal planning processes in these villages have become more inclusive and better structured.

"There is a great difference in how the community is involved in the planning process nowadays, compared to how it was before the LINIDA project. LINIDA facilitators go door-to-door to invite people for preparatory meetings at the sub-village level and RT level (level of 50 households). They make minutes of these meetings and submit these to us. This is very beneficial to us as we don't have the capacity to conduct these meetings ourselves. We had similar meetings in the past but they were not well organised and no notes were taken. Our main problem is lack of time and resources, we cannot work full-time as our salaries are too low." (Source: village government official)

"LINIDA has mobilised various community stakeholders like religious leaders and representatives from the youth, women, health care providers, farmers, labourers etc. Together we have discussed our needs, problems and possible solutions to address these problems and increase our welfare." (Source: community member)

Whether the government has become more responsive to citizens' needs is unclear. No data exists about the share of agreed community proposals that gets funded and implemented. Various interviewees claimed that a large share of agreed proposals was funded and that the district government almost always accepts the proposals

submitted. Village government officials, facilitators and community members were not able to tell whether any change is visible in terms of the share of proposed and agreed proposals that gets implemented. Interviewees did, however, stress that as a consequence of the increased community participation, the community as a whole has taken more responsibility and ownership for the development of the village. Social cohesion has increased, community members understand and respect each other's priorities more, and problems are jointly addressed.

*"We had a problem with the rubbish management in the village. The community discussed this problem and then we jointly cleaned the rubbish and burned the plastics." (Source: village-head)*

*"Because we now jointly discuss the proposals and prioritize these, we better understand each other's needs and understand the need to prioritize proposals given the limited budget. Most of the proposals we agree at the village level are implemented in the end, since if there is not enough funding for all proposals we fund them from our own private resources." (Source: community member)*

In three other villages, no significant improvement in citizen participation has been realised. Village government officials of these villages claimed that the extent to which villagers participate has been similar to how it was before LINIDA started. The facilitators of these villages confirmed this. The lack of results achieved can be explained by the fact that the LINIDA facilitators have in practice played no role in in facilitating the village and sub-village meetings in these villages. They only have attended the meetings to listen to the community proposals and/or to present the LINIDA project.

*"There is no difference in terms of the level of participation of villagers in the planning process. The only difference is that we now have more budget to develop the village because of the revised village law." (Source: village government official)*

*"We do not play a role in the sub-village and village meeting. We were only invited to the village meeting to present the LINIDA project." (Source: facilitator)*

In one of these villages, facilitators have not managed to play a more substantial role in the planning process because the village government clearly did not want to cooperate with the facilitators. This problem was not sufficiently addressed by Laskar Batang as hardly any attempts had been undertaken to build the necessary trust of this village government.

*"Involvement of the citizens here is only a formality, a show, there is no real involvement. (...) the village government doesn't trust us as they are afraid that we will interfere with their business" (Source: facilitator)*

In the other villages, the facilitators stated to have simply not been pro-active enough and to have been satisfied with only being invited to the village meeting to listen to communities' proposals and/or to present the LINIDA project. Laskar Batang has not actively stimulated these facilitators to become more pro-active, according to the facilitators.

In the sixth village, LINIDA facilitators have facilitated the meetings but more as administrators -"they took notes"- and no evidence of strengthened citizen engagement has (yet) been found for this village.

*Underlying assumptions*

Table 2 provides a summary of the assessment of the validity of the assumptions that are underlying the results chains (see figure 4).

*Table 2 Validity of the underlying assumptions: citizen participation & government responsiveness*

<b>Assumptions (related outcome)</b>	<b>Valid/Invalid</b>	<b>Explanation</b>
Facilitators are willing and able to facilitate and participate effectively in local public planning and budgeting processes. (strengthening citizen participation)	Partially valid	In two of the six visited villages, facilitators have been able to effectively facilitate local planning processes. In one other village, facilitators have played a more "administrative role". In the other three villages, facilitators have played no significant role.
Other citizens, of diverse backgrounds, can be stimulated and are willing to participate in local public planning and budgeting processes. (strengthening citizen participation)	(At least) partially valid	In two of the six villages, facilitators have been able to stimulate inclusive participation by promoting village meetings (e.g. through door-to-door visits and informal meetings) and by facilitating the meetings. Based on the focus group discussions with community members of the other villages, it became clear that overall (representatives of) community members seem willing to participate, although half of the interviewed women indicated not to be very interested to participate and to prefer to leave this up to

		their husbands and/or community representatives like religious leaders.
Local government officials allow space for citizens to participate -in an inclusive way- in local public planning and budgeting processes. (strengthening citizen participation)	Partially valid	In two of the six villages the local government has been clearly supportive of meaningful citizen participation. In one of the six villages the local government has been clearly opposing genuine citizen participation. In three of the six villages the government has claimed to involve citizens but it is unclear to what degree this involvement has been inclusive and meaningful.
Village governments have the power and/or financial resources to respond to citizens' needs (strengthening government responsiveness)	Partially valid	From the interviews, focus group discussions and sensemaking meeting it has become clear that while in general village government resources and capacity are limited, most of the prioritized community proposals do get funded and implemented. The district government often largely agrees with the annual plans and budgets submitted (indications from interviewed government officials ranged from 80-100%) and allocated resources are received from both the district and central government.
Village governments have the willingness to respond to citizens' needs (strengthening government responsiveness)	Partially valid	Considerable differences exist between villages. In some villages, the village government is clearly willing to respond to villagers' needs. In other villages, however, the government is claimed to "feel entitled to the budget as if it is their own" and the overall level of responsiveness was considered to be lower. The latter can at least partially be explained by the important role money plays in local election processes. Votes are bought and financial supporters get "rewarded" for their support once the supported village head gets elected. In some of the villages in Batang, "no-money politics" campaigns are implemented to prevent this practice, which may decrease the incentives (and need) of village governments to use the budget as "if it is their own". Nevertheless, despite the differences in governments' willingness to respond to citizens' needs, in all but one village, facilitators and community members agreed that most of the priorities of the community members do get implemented.

### **LINIDA activities > strengthened citizen oversight of public service provision and expenditures > increased accountability**

The third results chain focuses on the LINIDA activities that contribute to the short-term outcome of strengthened citizen oversight of public service provision and expenditures, which in turn is to contribute to increased government accountability, see the figure below.

Very limited activities have so far been undertaken to contribute to this envisaged short-term outcome and the project has, therefore, not yet had any significant impact on citizens' oversight of public service provision and public expenditures. The main relevant activities that have been undertaken include the training of facilitators in social auditing and the review of the medium-term village development plans.

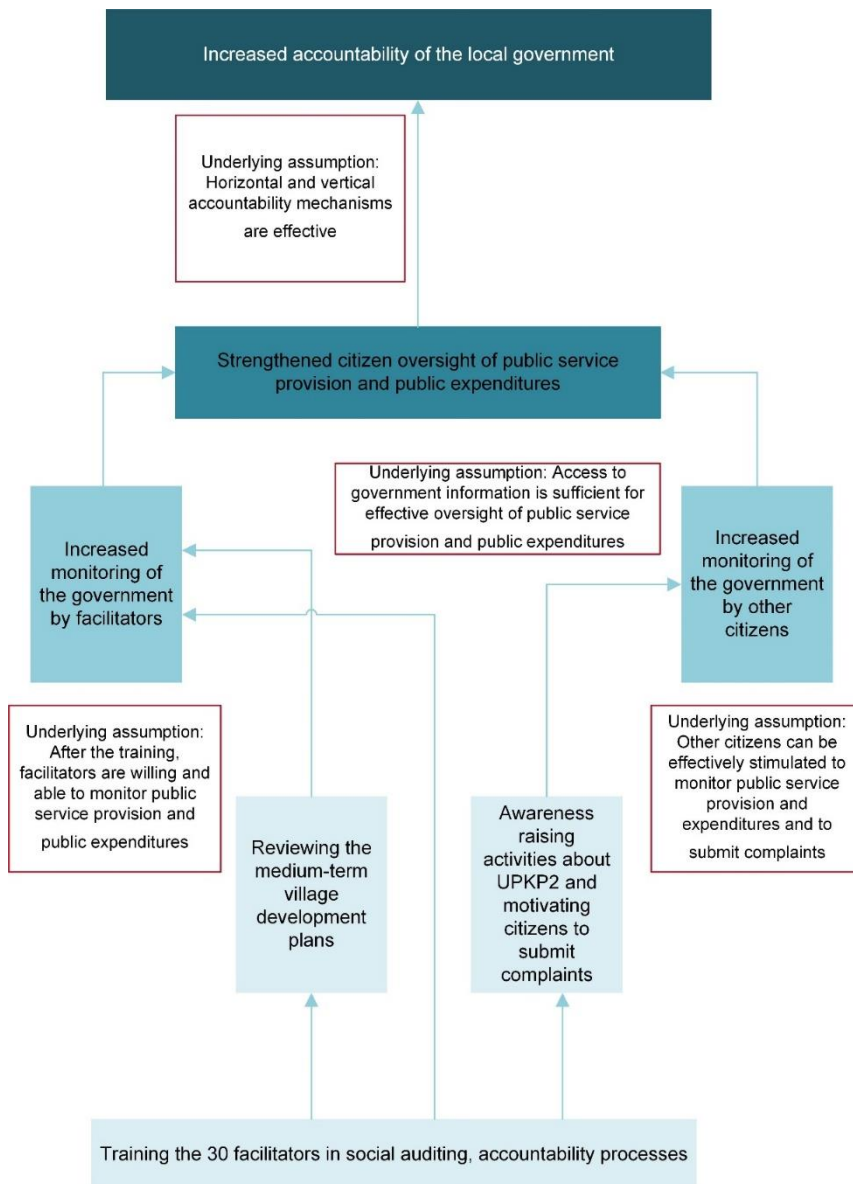


Figure 5 Results chain LINIDA activities > strengthened citizen oversight> increased accountability

The training of the facilitators has not yet led to any significant results as none of the facilitators interviewed have used these skills in practice. Several facilitators indicated, in fact, to be unwilling to monitor the village government.

*"I'm not in the position to monitor the village government, that is not what LINIDA should do" (Source: facilitator)*

The only monitoring activity that the facilitators have undertaken is the review of the medium-term village development plan (RPJMDes) to check whether the planning document is still in line with the needs of the village community and whether the annual budget corresponds with the RPJMDes. This exercise was, according to TI-I, undertaken in five of the ten villages. Based on the interviews and focus group discussions held in the six visited villages, it has become clear that this process has not led to any changes in the accountability or responsiveness of the village governments in the visited villages. The main reason for this limited result seems to be the fact that facilitators have not actively shared and discussed the findings of the reviews with the village governments and wider community.

Another planned activity that was supposed to contribute to strengthened oversight is raising awareness about the Public Service for Quality Improvement Unit (UPKP2) and motivating citizens to submit complaints to this unit in case they experience problems of corruption, abuse of power, and/or (other) problems related to public service



delivery. This activity has not been implemented in practice. While most of the interviewed facilitators are aware of the existence and role of UPKP2, none of them have shared this knowledge with other community members and promoted UPKP2.

Furthermore, when we asked facilitators about what they would do when they would come across a possible case of corruption, all indicated to either try to address this personally with the help of respected people within the community (e.g. religious leaders) or to bring the case in front of a court; none mentioned to inform UPKP2. In one village, facilitators, did however, mention that community members had come across a case of corruption, and that a facilitator had forwarded this case to UPKP2 in December 2015. However, they had not received any response yet from UPKP2 and, therefore, did not want to promote UPKP2 to other community members as they had doubts about its effectiveness. The community, therefore, asked support from the CSO Indonesia Corruption Watch and are currently collecting the necessary documentation to bring the case to court.

“If there is an indication of misuse of the budget then we will ask for a discussion with relevant community members and discuss how we can solve this problem without accusing anybody. We prefer this “soft approach” over using formal complaint mechanisms” (Source: facilitator)

“If there is a clear misuse of the budget then communities do not report it to us but to the police instead.” (Source: representative of UPKP2)

**Underlying assumptions**

Table 3 provides a summary of the assessment of the validity of the assumptions that are underlying the results chain (see figure 5).

Table 3 Validity of the underlying assumptions: citizen oversight, government transparency & responsiveness

Assumptions (related outcome)	Valid/Invalid	Explanation
Facilitators are willing and able to monitor public service provision and public expenditures (strengthening citizens oversight)	(At least) partially invalid	In several villages, facilitators expressed to be unwilling to monitor the village government. In addition, based on the discussions we had with the facilitators many of them did also not seem to have the capacity to, for example, conduct a social audit. The limited capacity of facilitators to effectively monitor the village government was also acknowledged by Laskar Batang.
Other citizens can be effectively stimulated to monitor public service provision and public expenditures and to submit complaints (strengthening citizens oversight)	Unknown	No activities have been undertaken to stimulate other citizens to get involved in citizen oversight and this hypothesis can, therefore, not be tested. From the interviews and focus group discussions it has, however, become clear that many community members would not feel comfortable to monitor the government as it is incorrect to “monitor the government and disclose somebody’s badness”.
Access to government information is sufficient for effective oversight of public service provision and public expenditures (strengthening citizens oversight)	Unknown	Whether this assumption holds or not could also not be tested during the field research as no activities to monitor public service provision and public expenditures have yet been undertaken as part of the LINIDA project.
Horizontal and vertical accountability mechanisms are effective (strengthening accountability)	(At least) partially invalid	Limited information is available about the effectiveness of horizontal and vertical accountability mechanisms. From the interviews with representatives of UPKP2, Laskar Batang and facilitators it has, however, become clear that UPKP2 is not yet very effective in holding government officials to account. It is a young organization, with limited capacity and powers. In addition, only a few examples could be provided during the interviews and focus group discussions about villagers being successful in pressurizing government officials to correct their wrongdoings. Various facilitators and community members, furthermore, expressed to be powerless when it comes to addressing issues of corruption.

**4.2 Main internal and external factors that have influenced LINIDA’s effectiveness**

Several internal and external factors have been identified that either have positively or negatively affected LINIDA’s effectiveness and can (at least partially) explain the variations in the results achieved in the pilot villages.

The following four factors have positively affected LINIDA’s effectiveness:

- Using a combination of top-down pressure and economic incentives to attract the necessary buy-in for the LINIDA project;
- Willingness of the village government to cooperate;
- Well-connected facilitators; and
- A high level of LINIDA ownership and strong partnerships between Laskar Batang, the regent, the district planning bureau, other local CSOs, the local university (STAIN), and TI-I.

### **Attracting the necessary support and buy-in**

One of the key factors that often affect the effectiveness of a project focused on improving governance is the willingness of key stakeholders to cooperate. Therefore, power structures and incentives that can positively and/or negatively affect the level of support provided to a project need to be taken into account when designing and implementing a project. Two features of the LINIDA approach have proven to contribute positively to attracting the necessary buy-in and support, namely: 1) providing clear incentives -“carrots”- to cooperate and 2) using top-down pressure.

#### *Offering a carrot*

As described in chapter 2, LINIDA has both a governance and an economic component. The economic component was included to get the necessary support from government officials and villagers for the project. According to various interviewees, governance projects are often difficult to sell to government officials and communities as people want to see concrete, economic, benefits from a project. By marketing LINIDA as a project that could contribute to more prosperous villages (by increasing access to data through the village information system and by offering livelihoods/economic empowerment trainings), support from various stakeholders has been secured.

#### *Top-down pressure*

The second strategy to attract support for the project was to use top-down pressure. As described in chapter 2, local government officials in Indonesia are very much oriented towards higher levels of authority (see also Antlöv & Wetterberg 2011). LINIDA has, therefore, used one of its key assets, namely the buy-in and ownership of the district regent and planning bureau. The regent and district planning bureau have actively promoted LINIDA. In addition, the regent has officially endorsed LINIDA facilitators and instructed village-heads to cooperate with LINIDA. This top-down pressure has proven to be quite effective to generate the necessary buy-in for the project at the level of the village governments.

Various officials interviewed during the field research claimed that they were sceptical when the project was for the first time introduced to them. They mentioned that there are many NGOs in Indonesia that ask for resources instead of providing support and they feared that LINIDA would “burden them” without offering any concrete benefits. However, the facts that 1) the regent had officially endorsed the LINIDA facilitators and had requested their cooperation and 2) LINIDA had the potential to contribute to the welfare of their village had convinced them to cooperate.

In total, eight out of the ten village governments have been willing to cooperate, albeit to various degrees (see for more information the paragraphs below).<sup>10</sup>

### **Willingness of the village government to cooperate**

Considerable differences in village governments’ interest in LINIDA and their level of engagement has been found to exist for the six visited villages. In two of the six villages, the village-head is very interested in the governance activities, cooperative and engaged with the LINIDA project. In these two villages, facilitators have been able to play an active role in the village meetings and citizen engagement and government transparency have improved. In three other villages, the village government is moderately cooperative and mainly interested in LINIDA’s potential to contribute to the welfare of the village. Citizen engagement has hardly been strengthened in these villages and the main results achieved relate to the data collection for the village information system and the livelihoods trainings. In the sixth village, the village government proved to be uncooperative concerning the governance component of LINIDA and no results have been achieved in terms of improving governance.

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<sup>10</sup> Source: representatives of Laskar Batang

### Well-connected facilitators

The degree to which facilitators are connected to the wider community also influences LINIDA's overall effectiveness. Since the selected facilitators are all young villagers, with limited "status" within the village hierarchy, connections with respected villagers and other representatives of the various community stakeholders is important to obtain the necessary cloud to mobilize the community effectively and in an inclusive way. In two of the six visited villages, the facilitators have good relationships with a variety of community stakeholders, like religious leaders, youth organizations, women groups, farmers etc. This has allowed them to mobilize the community, raise awareness about the LINIDA project, and involve the wider community in the LINIDA activities. For example, one of the two villages has completed a very comprehensive data collection process, which has partly been possible due to the extensive involvement of various community representatives. The data collection process in this village was described as a "village undertaking", while in the other villages it was mainly the LINIDA facilitators facilitated by students from STAIN who had to do all the work. In addition, compared to the other villages, these villages have been most effective in facilitating village meetings and strengthening citizen engagement. Facilitators of one of these villages stated during the focus group discussion that their ability to mobilize the broader community, including key authoritative community members, has been one of the two most important factors that has helped them to achieve the results realized. The second factor has been the willingness of the village-head to cooperate.

### Strong partnerships

The last factor that has positively contributed to LINIDA's effectiveness is the strong partnership that exists between key stakeholders like Laskar Batang, the district regent, the district planning bureau, and the local university. These partnerships have allowed the LINIDA project to realize significant outputs with very limited resources. As mentioned in chapter 2, the funding provided to LINIDA by TI-I is only €35.000 for two years. Given the scope of the project -both in terms of the number of villages covered and the nature of planned activities- the available resources have been very limited. Through in-kind and financial support of the other partners involved, Laskar Batang has, however, managed to implement various activities. For example, the collection of data for the village information system is very resource intensive and Laskar Batang had doubts about whether they could implement this activity given the limited resources available. By partnering with the local University STAIN they managed to go ahead with the activity as STAIN offered to support the process by providing students that would help with collecting the data as part of their "on-the-job training". Another example is the "carrot" provided by the district government in the form of a financial contribution to finance the livelihoods trainings.

The following six key factors have negatively influenced LINIDA's effectiveness:

- Mismatch between available resources and level of ambition & high reliance on voluntary facilitators;
- Limited time, motivation, capacity, and status/power of the facilitators;
- Prioritization of economic development;
- Activity-driven implementation instead of a results-oriented implementation of the project;
- Limited willingness of village government administrations to cooperate; and
- Limited capacity of the village government administrations.

### Mismatch between resources & ambition & high reliance on voluntary facilitators

As was described in chapter 2, the LINIDA project is implemented in ten villages, in five different sub-districts, and focuses on a range of activities, like the development of a village information system, facilitating village meetings, and the review of the medium-term village development plan. For these activities, less than a third of the total budget of €35,000 is available for the two year implementation period of LINIDA<sup>11</sup>. This is less than €500,- per village per year. Budgetary resources have thus been spread thinly over relatively many villages and activities. When discussing this issue with Laskar Batang, representatives stated that they had realized that the budget is too limited given their ambition, and that it might have been better to focus on less villages and ensure the work could be properly done. However, they, nevertheless, prefer being ambitious and trying to be creative to get the work done. To get the work done, the project has relied to a large extent on voluntary facilitators. As a consequence, its effectiveness has significantly depended on facilitators' capacity, motivation and availability to undertake the planned activities, which has, however, proven to be problematic (see the next paragraph).

In practice, various planned activities have not (yet) been undertaken or not completely. The data collection process, for example, is in various villages only partly completed due to, among other things, lack of facilitators'

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<sup>11</sup> Next to the 35,000 Euros from TI-I there are also the in-kind contributions and financial support of the district government and local university, but these are also limited and mainly focused on the livelihoods trainings and the data collection process.

time to collect and upload the data. In addition, in two of the six visited villages, the facilitators have not facilitated village meetings and mentioned to have not been pro-active enough to raise awareness about the project amongst the village government officials and to offer their support to the village planning process.

The extent to which Laskar Batang has been able to support facilitators “on-the-job” and has been able to monitor activities and adjust programming when necessary, has also been of significant importance given the high reliance on voluntary facilitators. The budget available for Laskar Batang, however, has also been very modest and very limited support has been provided to the thirty facilitators. While the level of contact between the facilitators and Laskar Batang has differed per village –in some villages contacts are claimed to be good and frequent while in other villages facilitators mentioned to feel “left alone” or not well informed-, the majority of facilitators in the six visited villages stated that the substantive/technical support provided by Laskar Batang has been very limited.

To conclude, the mismatch of activities and the level of ambition and the high reliance on voluntary facilitators who received limited support from Laskar Batang has negatively affected the implementation of various LINIDA activities and its overall effectiveness.

#### **Limited time, motivation, capacity, and status/power of the facilitators**

Overall, the capacity, status/power, and available time and motivation of the facilitators to implement the planned activities have proven to be insufficient, although differences do exist per village. During the focus group discussions and sense making meeting it became clear that many facilitators have only limited understanding of local governance and budgeting processes. These findings were confirmed by representatives of Laskar Batang and TI-I. A couple of trainings have been offered to the facilitators, but these have proven to be insufficient to effectively build their capacity to an adequate level. Follow-up activities like on-the-job support and mentoring have been very limited and, according to several facilitators, there was no guidance offered in how the acquired knowledge could be effectively used in practice. For example, while attention had been paid to social auditing during one of the trainings, facilitators were not stimulated, or supported, to implement the knowledge and skills acquired in practice.

The young facilitators have, furthermore, limited status/power in their respective village, while social hierarchy counts. Various facilitators described feeling powerless or not having enough clout to stimulate other community members to increase their engagement in government processes or village government officials to improve their performance.

Finally, facilitators indicated that since they work for LINIDA on a voluntary basis they sometimes cannot give the activities the required attention as they have to prioritize other activities that allow them to earn a living. The impact of this constraint is most clearly visible for the data collection exercise, which is very time consuming and has not been implemented completely due to lack of time, as was mentioned in section 4.1.

#### **Prioritization of economic development**

LINIDA has both an economic and governance component. As was described above, the economic component has been instrumental for obtaining the necessary buy-in from stakeholders. However, given the significant interest of the regent, district planning bureau and village governments in contributing to the economic welfare of the villages, this component has not only been used as “a carrot” but has received most attention in practice, which has come at the expense of the governance activities. Most of the attention has namely been paid to the village information system (which is both relevant for the governance and economic component), discussions on how to improve villages’ prosperity and the livelihood trainings. Hardly any attention has been paid to the important governance activity of increasing monitoring and oversight of the government.

The finding that the project has prioritized its economic development component is most clearly illustrated by the results from the sensemaking meeting and the responses of various stakeholders to the question what the most significant result is that LINIDA has achieved. During the sensemaking meeting, for example, all seven participating facilitators rated the village information system and the livelihoods trainings as the most important results achieved. The reason provided for why these two results mattered most was that these activities contribute to the economic development of the villages. Focus group discussions and interviews with facilitators, other community members, and village government officials in the six villages also had similar outcomes. While the governance aspects were also often considered to be important, LINIDA is mostly valued because of its potential to contribute to villages’ welfare.

I'm most proud of the fact that because of LINIDA the community is now more aware of the economic potential of the village and can earn more income because of the training received on how to prepare and package cassava. (Source: *facilitator*)

LINIDA is important to us as it support the economic development of the village. LINIDA facilitators try to promote the village as a tourist destination and trainings are provided to villagers to increase their income by e.g. growing & selling vegetables. (Source: *village government official*)

The most significant activity of LINIDA is the development of the village information system to map the potential of the villages. This helps the villages with stimulating economic development. We support this process by providing trainings on how to handle coffee after harvesting, how to make cassava chips, how to market the village as a tourist destination etc." (Source: *representative of the district planning bureau*)

### Activity-driven implementation

Another factor that most likely has negatively influenced LINIDA's effectiveness is the fact that its implementation has been very much activity-oriented instead of results-oriented. For example, a wealth of data has been collected for the village information system while very limited attention has been paid to the question how this data can be effectively analyzed and used by the village government officials in the policy making process. In fact, as mentioned in section 4.1, it is for various villages questionable whether village government officials will be able to use the data effectively. Another example is the review of the medium term village-development plan. While various villages have implemented this activity, not one of the facilitators interviewed was able to explain how this activity has/could help(ed) them with improving local governance processes. Furthermore, while in some villages positive results have been achieved with supporting village meetings in terms of their inclusiveness and quality, insufficient attention has (yet) been paid to the question how these results can be translated in actually ensuring improved government responsiveness. This might, for example, require follow-up activities like monitoring and influencing the planning processes at sub-district and district level and monitoring the implementation of the agreed annual plan.

### Limited willingness of village government administrations to cooperate

In two of the ten villages, the approach of top-down pressure and providing economic incentives has not been sufficient to attract the necessary buy-in. In these villages, the village-heads resisted the LINIDA project and, as a consequence, hardly any results have been realized, according to Laskar Batang. These two villages were not included in the selection of the six villages that were visited during the field research.

### Limited capacity of the village government administrations

A major constraint that all ten village governments struggle with is the limited capacity to properly fulfil their functions. The level of education of most village government officials is low and many spend a considerable part of their time on other activities, like farming, to complement their income. This constraint was confirmed by village government officials, facilitators, representatives of the district government and Laskar Batang. A representative of the district government agency mentioned lack of capacity, next to lack of willingness, the key constraint to higher quality, more inclusive, and more responsive village government planning and budgeting processes: "*the quality of village government employees is very low, some cannot even talk in front of the community. Their knowledge of the responsibilities and tasks of the village government is also very limited*". More in general, the limited capacity of village government administrations is a key challenge constraining the potential success of the new Village Law. Lewis (2015), for example, noted with respect to the increase in village funding due to the new Village Law that "*Village public financial management (PFM) systems are inadequately prepared to handle the large increases in funding*" and "*mechanisms to control village spending are severely underdeveloped*".<sup>12</sup>

## 4.3 Sustainability

Various elements of the LINIDA approach have the potential to contribute to sustainable results. First of all, LINIDA is strongly owned by local stakeholders in Batang and can build on the strong partnership that has

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<sup>12</sup> This is a common problem in Indonesia and not only a problem that occurs at the village level, but also at higher levels of government. In a study of the World Bank it was, for example, found that there are "*a number of areas in which local government is particularly weak, including planning and budgeting, accounting and reporting, undertaking external audits, regulation, and the management of public debts and investment ... this is a challenge across Indonesia where decentralization has meant local government employees are no longer only responsible for the implementation of central government policies but also for designing and implementing locally appropriate policies. This requires the ability to allocate funds equitably across districts; to identify short-, medium- and long-term development priorities and translate these into strategic plans; to understand and tackle poverty; as well as to identify and rectify sectoral and geographical gaps. These technical skills do not currently exist and are unlikely to manifest simply through responsibilities being devolved.*" (Source: Dixon, G. and Hakim, D. (2009), "Making Indonesia's budget decentralization work: The challenge of linking planning and budgeting at the local level", International Public Management Review, Volume 10, Issue 1.)

developed overtime between these actors and TI-I. In addition, by giving young villagers -the facilitators- a prominent role in this project and by raising awareness amongst village government officials and the wider community, LINIDA has supported increased capacity within the villages -albeit yet in a modest way- to further improve governance processes in the future. Next, the approach to not pay the facilitators for their work, has had disadvantages like the too limited availability of facilitators to implement activities properly, but also has as advantage that if the funding stops, various facilitators are likely to continue with contributing to the governance processes and economic development of their village given their intrinsic motivation that made them interested in the project from its inception.

Nevertheless, there are two risks that threaten the sustainability of LINIDA. The first risk is the lack of funding. The funding for LINIDA through the Open Government Project ends in September 2016. Both Laskar Batang and TI-I are committed to secure future funding because of the clear need to increase citizen engagement at the village level, the strong government and NGO partnerships realized in Batang, and LINIDA's potential.

Laskar Batang and TI-I have ongoing discussions with the district government about whether it can support the continuation of LINIDA. While the regent and district planning bureau are clearly supportive of the LINIDA, they seem mostly interested in the village information system and other aspects of the economic development component of LINIDA. It is, therefore, questionable whether the district government will allocate sufficient resources in the future to support LINIDA's governance activities.

TI-I will also explore whether it can attract the necessary funding from donors like Hivos or the Ford foundation. While TI-I has not yet started with this, it is quite optimistic about its ability to attract the necessary funding as the project does not require a very large budget.

The second risk is a decrease in district government support. One of the key strengths of LINIDA is that it is supported by the regent of Batang. In 2017, however, the term of the regent Yoyok Riyo Sudibyo will end and it is not sure whether a new regent will also be willing to actively support LINIDA and provide the necessary top-down pressure. Representatives of UPKP2 expressed to be deeply concerned about the future of their office as they depend completely on the will of a future regent to support them and they also expressed to fear for LINIDA's future.<sup>13</sup>

*“when the regent steps down it is questionable whether we will survive, that's why we are thinking of becoming an NGO. (...) The local parliament also tries to fight us. This year we couldn't do any socialisation activities as the local parliament cut our budget, including our salaries. LINIDA will also be affected if a regent gets elected that is less strong on good governance” (Source: Representative of UPKP2)*

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<sup>13</sup> UPKP2 is at risk as the office is established based on a regent decree and not by the district local parliament, which means that it is not firmly institutionalised within the district government and the office can be easily closed by the newly elected regent. In addition, the local parliament is not supportive of UPKP2.

## 5. LINIDA's efficiency

In this chapter, the efficiency of the LINIDA project is analysed. The following review questions of the ToR will be answered:

- Is progress being achieved at reasonable costs?
- Is the actual timeline of development and implementation realistic?
- Are effective governance, management oversight and administration systems in place?
- Is the current organisational structure (of the Chapter, of the partnerships, Chapter/ TI-S dynamic) suitable for and conducive of positive progress? How much has TI Secretariat conceptual and operational support been important in the development and/or success of the LINIDA approach, and contributed to its increased/ decreased effectiveness in achieving impact/ results?

Overall, we can conclude that with very limited resources, already important first results have been achieved. Especially the output results realised with the collection of spatial and household data are laudable given the very limited resources that were available. These results could have been realised due to the contribution of various local partners, like the district government and the University STAIN. Strong partnerships between local stakeholders in Batang have positively contributed to LINIDA's efficiency. Furthermore, voluntary facilitators have played a key role in the implementation of the project, which also has made LINIDA relatively cost-efficient.

Nevertheless, the cheapest implementation approaches are not always the most effective and the project's effectiveness has suffered from the limited resources that were available, as was discussed in chapter 4. The level of ambition has proven to be unrealistic given the limited time and budget available.

In addition, both the organisational structure and the governance, management, and monitoring systems have not been fully conducive to an efficient and effective implementation of the project. A duplication of reporting and management activities within the organisational chain exists, while the monitoring of project activities and results have been too weak.

Both TI-S and TI-I perform a management and oversight role, while the project is actually mostly implemented by Laskar Batang and the facilitators. TI-S is responsible for managing the Open Government Project, distributes the funding for the LINIDA project to TI-I, and approves and keeps oversight of the project implementation. Quarterly reports are submitted by TI-I to TI-S to inform TI-S about the implementation of the activities and the results achieved. TI-I and TI-S have, furthermore, monthly calls to discuss the progress of the project. TI-I performs a very similar role as TI-S, but with respect to Laskar Batang. It discusses the planning of activities, requests quarterly reports to track progress, and has regular contact with Laskar Batang to discuss the project in more detail. It, furthermore, engages in some implementation activities by, for example, supplying experts for capacity building activities and by joining meetings with key stakeholders.

For a project with a small budget of only €35.000 for two years, a lot of energy is invested, and trust is put, in formal reporting procedures. Both Laskar Batang and TI-I write quarterly reports, TI-I and TI-S check the reports (submitted by Laskar Batang and TI-I respectively), and then the reports are revised. In spite of all the energy invested in these reporting processes, it has not provided TI-I and TI-S with good monitoring information that gives insight into the actual activities implemented and results realised, see the box text for more information.

### **Insufficient quality of monitoring information reported**

The quality of the reports submitted to TI-I has, in general, not been sufficient and these -complemented with additional information obtained from phone calls- formed the basis for reporting to TI-S. The reporting to TI-S was also of insufficient quality to obtain a good overview of the project. For example, according to the OGP narrative report covering the period September-November 2015, an activity has taken place to raise awareness about UPKP2 with the outcomes claimed that "citizen know and understand about UPKP2 and together to participate reporting about public service in their villages." and "LINIDA facilitators be a bridge between citizen and UPKP2", while these claimed outcomes could have been the aim of the activity, based on the field research it is known that limited activities have yet been undertaken to promote UPKP2 and that LINIDA facilitators do not perform a bridge function. Another example relates to the facilitation of local planning processes. According to the OGP narrative report of December 2014 – March 2015, village forums were established in the 10 villages and facilitators provided "community facilitation" in 7 villages, as a result "citizens are able to exercise their right to participate in developing village planning" and "team of facilitators are responsive and take part in facilitating or monitoring musreimbang process from village to district level". Again from the field research it has become clear that only in two of the six visited villages, which did not include two very poor performing villages, the facilitators played an active role in facilitating these (already existing) village meetings and contributed to strengthened citizen engagement.

All information generated, shared and analysed came from Laskar Batang, who has not been strong in monitoring and documenting the results of the project. Laskar Batang has, as explained in chapter 4, been mainly focused on implementing the agreed activities and has paid limited attention to monitoring results achieved and steering for results. Laskar Batang is a strong partner in terms of its network at the village level, with the district government and other stakeholders in Batang. It is, however, not a strong organisation in terms of project management and, as confirmed during the validation meeting with TI-I, needs support to ensure that monitoring information is collected, documented, analysed, and used to steer for results. This support has not (yet) been provided by TI-I. The contribution of TI-S to LINIDA has, overall, also been limited. Without knowing the context and having to rely on the quarterly reports and information shared during the monthly skype-calls, TI-S has not had a good overview of the project and has, therefore, also not been able to provide any substantial advice on how to strengthen LINIDA's effectiveness. TI-S's role has mainly been to share knowledge about other relevant initiatives and to ask questions to TI-I, based on the information shared, to stimulate reflection about the relevance and effectiveness of LINIDA. While TI-I has valued the relationship with TI-S, referring to it as a "partnership", it also has indicated to prefer to have more frequent contact and to focus discussions more on technical issues. Both TI-I and TI-S have acknowledged that the potential for joint knowledge sharing and learning can be better exploited.



## 6. Conclusions, Lessons Learned and Recommendations

### 6.1 General conclusions

LINIDA offers a relevant approach to foster citizen engagement at the local level. While still being a very young project, and with only limited resources, LINIDA has already made some contributions to strengthening access to information and citizen participation in local planning processes. No significant results have, however, been realised in terms of strengthening citizen oversight. Hardly any activities have been undertaken that could contribute to this short-term outcome. While some evidence is available suggesting that LINIDA has contributed to improved government transparency in some of the villages, no evidence has yet been found pointing to any change in village government responsiveness and accountability.

Based on the experience with the first one-and-a-half years of implementation, it can be concluded that while modest results have been achieved so far, LINIDA does seem to have the potential to effectively contribute to its envisaged aims. To fulfil its potential, however, significant adjustments need to be made to the way it is being implemented and to its focus. The table below summarises the most urgent recommendations and indicates the responsible actors. These recommendations are further discussed and explained in the sections below. In addition, more general recommendations are also provided, which can inform other social accountability initiatives.

Recommendation	Responsible actor(s)
1. TI-I should play a stronger role in project management. It should support Laskar Batang with results-based management, including monitoring and reporting.	TI-I
2. A) Focus the remaining resources on the key governance activities that are essential for strengthening citizen engagement, like facilitating village meetings and increasing citizen oversight (e.g. monitoring the execution of the annual budget or conducting social audits of specific projects in the village (e.g. construction works)). B) Village information system: prioritize resources by focusing only on those villages for which complete datasets have been collected and ensure that all this data will be uploaded in the system. Support the village governments in these villages with analysing the data and work on examples that demonstrate how the data can be effectively used to inform planning processes.	Laskar Batang (and TI-I)
3. Explore alternative sources of funding, e.g. from donors like Hivos or the Ford foundation, to secure LINIDA's future.	TI-I
4. Strengthen the promotion of LINIDA's governance component amongst the facilitators, village government officials, and district government actors and broaden LINIDA's ownership-base.	Laskar Batang (with support provided by TI-I when necessary)
5. Provide more on-the-job support and mentoring to the facilitators and actively support facilitators with building relationships with other community representatives and with creating community-wide ownership of LINIDA.	Laskar Batang
6. Strengthen TI-I's results-orientation by jointly analysing outcomes achieved (including the evidence base), change processes identified and project's strategy (including its realism) on a regular basis. Support TI-I with introducing the Impact Monitoring Approach if requested.	TI-S

### 6.2 LINIDA's ownership & partnerships

#### Conclusions and lessons learned

The LINIDA project is a 'home-grown' initiative that provides a good example of how a broad coalition of civil society organisations and other key stakeholders can effectively cooperate with reform-minded, anti-corruption oriented, government officials. In this case, TI-I and local NGOs in Batang have managed to exploit a window of opportunity that arose when the district regent Yoyok Riyo Sudibyo got elected, whose mission it is to improve governance, reduce corruption and increase the prosperity of the villages in Batang.

The strong ownership of LINIDA and the partnerships between key local stakeholders like the district government and local NGO's have positively influenced LINIDA's effectiveness and has allowed the implementation of a variety of activities with only very limited resources. The sustainability of LINIDA depends (at least) partially on the sustainability of these partnerships. There is the risk that if a new regent gets elected, district government support

for LINIDA may decrease and less scope may exist for LINIDA to effectively foster transparency, responsiveness and accountability at the village level.

#### **Project specific recommendations for TI-I and Laskar Batang:**

- Try to broaden the ownership-base for LINIDA by fostering support for the project from other district stakeholders, like members of the district council and other relevant district government institutions. A broader basis of support may decrease LINIDA's dependence on the support of the regent and may strengthen its sustainability. The results achieved in the good performing villages, e.g. Tombo, can be actively promoted to foster interest and support for LINIDA.
- TI-I: Continue with promoting LINIDA, and the partnership approach followed in Batang, at the national level as a model for inclusive and effective Local Open Government Partnership. Scope for replication may exist in other districts where regents and/or other powerful government institutions are reform-minded and committed to improve local governance processes.

#### **General recommendation for social accountability initiatives:**

- Ensure that the initiative is owned by a broad coalition of supportive government actors (at various levels in the government hierarchy), NGOs and other local stakeholders and invest in partnerships between these actors to foster their commitment to, and engagement with, the project. This can strengthen the initiative's effectiveness and sustainability.

### **6.3 Relevance LINIDA's focus & design**

#### **Conclusions and lessons learned**

LINIDA's focus on improving citizen engagement at the village level is very relevant given the village decentralisation process in Indonesia. More power and resources are allocated to villages while meaningful citizen engagement in local governance processes is often low. This is due to formalistic, elite-driven, processes that exclude ordinary villagers, limited access to government information, and limited awareness and understanding amongst citizens and village government officials of local governance processes and citizens' rights.

A strong feature of the LINIDA approach is that its design is comprehensive and focuses on improving the various stages of the policy making and implementation process (i.e. agenda setting, policy formulation, budgeting, policy implementation and monitoring). In practice, however, this comprehensive approach has not been fully implemented yet as attention has been skewed towards the development of the village information system and hardly any attention has been paid to strengthening citizen oversight of public service provision and expenditures. In addition, a weak feature of the design of LINIDA is that limited attention has been paid to the supply-side, i.e. to strengthening the capacity of village governments to govern well and become more transparent, accountable and responsive. This while the limited capacity of village governments is a key constraint that negatively affects the quality of local governance processes.

#### **Project specific recommendations for TI-I and Laskar Batang:**

- Pay more attention to strengthening citizen oversight and citizen participation.
- Invest in building the capacity of village governments. Focus on addressing those capacity constraints that significantly hinder the potential effectiveness of LINIDA. For example, the overall effectiveness of the village information system will be limited if village governments are not supported with analysing and interpreting the data to inform the policymaking process.
- Continue with supporting UPKP2 and strengthen other horizontal accountability mechanisms.

#### **General recommendations for social accountability initiatives:**

- Use a comprehensive approach to strengthen social accountability. Research (see section 3.3.) has shown that a comprehensive approach and the focus on multiple tactics is often more effective than when one addresses only one issue. Such a comprehensive approach is, however, also complex and requires sufficient resources and a realistic time-frame to implement the multiple tactics and strengthen the various stages of the policy making and implementation process. In addition, it requires a well-balanced allocation of resources towards the various interventions. In the case of LINIDA, the resources and time-frame were clearly not sufficient to implement such comprehensive approach in all ten pilot

villages, and resource allocation was skewed towards the development of the village information system, which have limited the overall effectiveness of the approach.

- Do not only focus on the demand-side but be also aware of key constraints in the capacity of relevant supply-side actors, which may limit initiative's effectiveness if unaddressed. Various evaluations of citizen engagement and social accountability initiatives have demonstrated the importance of addressing supply-side constraints.<sup>14</sup>

## 6.4 LINIDA's approach & effectiveness

### Conclusions and lessons learned

The degree to which LINIDA has been effective in generating results differs considerably per village. In two of the ten pilot villages, hardly any results have been achieved due to the unwillingness of the village government to cooperate. For six other pilot villages -the villages that were visited as part of the field research- it was found that in two villages good results have been achieved in terms of increasing access to information and transparency, one village has achieved moderate results, and the results achieved in the three other villages have been very limited. In the good performing villages, the village-head cooperates well with LINIDA and the facilitators are well-connected to other stakeholders in the community and actively share information and facilitate local planning processes. In the one moderately performing village and in two of the three poor performing villages, the village governments have been moderately cooperative and mainly interested in the economic component of LINIDA, and facilitators have not actively tried to involve the wider community in local governance processes. In the third poor performing village, the village government was uncooperative concerning the governance component of LINIDA, leaving no space for facilitators to support local planning processes and increase citizen engagement.

The differences in LINIDA's effectiveness show that LINIDA has the potential to contribute to improved local governance processes but that certain conditions need to be in place. Based on the field research the most prominent factors appeared to be the willingness of the village government to cooperate and the ability of the facilitators to mobilize and engage with the wider community. Both of these conditions are not static and can be influenced.

#### *Strengthening government's willingness to cooperate*

Offering incentives -"a carrot"- for cooperation and using top-down pressure has proven to be quite effective in increasing village governments' willingness to cooperate. In addition, raising awareness amongst village government officials and citizens about rights and responsibilities can also be an effective instrument to increase village governments' willingness to cooperate. Village governments' capacity is often low and many government officials do not know what their tasks and responsibilities are, which makes awareness raising activities relevant. Facilitators of the two good performing villages mentioned that while the village government had been reluctant to share information at the beginning of the project, this changed when facilitators raised awareness amongst village government officials and citizens about the right to access information.

The above described tactics to increase village governments' cooperation are no magic bullets that will guarantee success. It might be very difficult to mobilize sufficient top-down and/or bottom-up pressure to change governments' attitudes and some might strongly oppose "citizens' interference" in local planning processes as they want to keep full control over the budget and use it to foster their own (private) interests.

Nevertheless, the experience with LINIDA, but also with other social accountability initiatives, suggests that scope can exist to strengthen government's willingness to cooperate and that the various described tactics can be effectively used to achieve this.

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<sup>14</sup> For example, in the U4 expert answer "The impact of strengthening citizen demand for anti-corruption reform" it is noted that "there is growing recognition that maximising the impact of" strengthening demand-side accountability "also implies strengthening the supply side, as citizen demands need to be met by governments that have both the will and capacity to respond."; see also e.g. the 2007 ODI briefing paper "Voice for accountability: Citizens, the state and realistic governance" for a similar conclusion. Another example is the UNDP (2013) report "Reflections On Social Accountability" in which it is concluded that "Another important insight is that initiatives that work simultaneously on building capability and responsiveness in government and on building capacities for collective action within civil society stand a better chance of achieving improved accountability".

#### **Project specific recommendation for TI-I and Laskar Batang:**

- Focus on further strengthening village governments' willingness to cooperate. Pay specific attention to increasing the support for the governance component. This can be done by investing more resources in raising awareness about local governance processes and citizens' rights amongst both village governments and villagers. Assess whether the village heads and facilitators of the good performing villages can become "ambassadors" of the LINIDA project and can promote and support the implementation of the project in the other pilot villages.

#### **General recommendation for social accountability initiatives:**

- Take power structures and incentives that can positively and/or negatively affect the level of government support provided to a project into account when designing and implementing a project and deploy multiple strategies to strengthen the willingness of key government stakeholders to cooperate. Tactics that can be used include the provision of clear incentives/tangible benefits to cooperate (the carrots), using top-down pressure by cooperating with higher government levels, using bottom-up pressure by raising awareness amongst citizens about their rights and by mobilizing them to claim their rights, and by increasing government actors' awareness about their tasks and responsibilities.

#### *Mobilizing and engaging the wider community*

The facilitators of the two well-performing villages have actively sought the support of "powerful" community stakeholders like the religious leaders and have been able to mobilize the wider community. This has been one of the key factors that has positively influenced LINIDA's effectiveness in these villages. The ability of facilitators to mobilize the wider community depends on their connections within the community and their capacity to engage and motivate other community members.

#### **Project specific recommendation for TI-I and Laskar Batang:**

- Extend the pool of facilitators with other community representatives and supportive authoritative villagers and/or actively support facilitators with building relationships with other community representatives and with creating community-wide ownership of LINIDA.

#### **General recommendations for social accountability initiatives:**

- Ensure that the project activities target various community stakeholders, that key authoritative persons support the project, and that community-wide ownership of the project is fostered.
- When working with facilitators in e.g. villages, ensure that these facilitators represent the community well (so do not, for example, only select young facilitators but include other community representatives as well).

#### *Reliance on facilitators*

Apart from village governments' willingness to cooperate and the engagement of the wider-community in the project, another factor that has influenced LINIDA's effectiveness has been the approach followed to rely extensively on voluntary facilitators. The reliance on voluntary facilitators has contributed to LINIDA's sustainability as many of them have proven to be intrinsically motivated to contribute to improving governance processes and economic development in their village and have acquired increased capacity to do so because of the LINIDA project. However, the extensive reliance on these facilitators has also negatively influenced LINIDA's effectiveness, as they appeared to have insufficient capacity, power, and time available to effectively implement all planned activities. Too limited attention has been paid to building the capacity of facilitators through trainings and on-the-job support. In addition, by not compensating facilitators for their work facilitators had sometimes to prioritize other activities to earn a living.

#### **Project specific recommendations for TI-I and Laskar Batang:**

- Continue with building the capacity of facilitators and pay more attention to on-the-job support and mentoring.
- Link formal trainings to concrete activities in the villages that allow the facilitators to use the knowledge and skills learned in practice.

#### *Economic development versus good governance*

A final factor that has influenced LINIDA's effectiveness is the fact that the economic development component of the broader LINIDA initiative has been prioritized in practice, which has come at the expense of the governance component. Most of the attention has been paid to the village information system, discussions on how to improve

villages' prosperity and the livelihood trainings. Hardly any attention has been paid to the important governance activity of increasing monitoring and oversight of the government.

#### **Project specific recommendations for TI-I and Laskar Batang:**

- Increase the focus on governance activities and results, like strengthening citizen oversight. Support facilitators with using the acquired social auditing skills in practice, with strengthening their role in the village planning process (especially in those villages where facilitators have not yet managed to effectively facilitate (sub-) village meetings), and stimulate facilitators' and the village governments' sharing of budgetary and planning information with the wider community (e.g. by fostering the use of public notice boards, promoting the sharing of information during village meetings etc.).
- Actively promote LINIDA's governance objectives amongst the facilitators, village government officials, and district government actors.

### **6.5 LINIDA's resources, ambition & financial sustainability**

#### **Conclusions and lessons learned**

While LINIDA's ambitions have been high, only limited resources have been available for its implementation. Due to the contributions of various partners, it has, nevertheless, been possible to implement a variety of activities. Overall, however, budgetary resources have been spread too thinly over too many villages and activities. Various activities have not been implemented well due to limited resources and insufficient support having been provided to the facilitators, like the data collection process and the facilitation of village meetings. The mismatch between the level of ambition and the availability of resources has negatively affected LINIDA's effectiveness.

The financial sustainability of LINIDA is, furthermore, threatened by the fact that the funding for LINIDA through the Open Government Project ends in September 2016. No alternative source of funding has yet been secured.

#### **Project specific recommendations for TI-I and Laskar Batang:**

- For the remainder of the project, focus resources on the key governance activities that are essential for strengthening citizen engagement, like facilitating village meetings and increasing citizen oversight (see also section 6.4). With respect to the village information system: Prioritize resources by focusing only on those villages for which complete data has been collected and ensure that all this data will get uploaded in the system. Support village governments in these villages with analysing the data and work on examples that demonstrate how the data can be used to inform planning processes.
- Start with exploring alternative sources of funding, e.g. from donors like Hivos or the Ford foundation, to secure LINIDA's future.

#### **General recommendation for TI:**

- When financially supporting or implementing a social accountability initiative, ensure that the (partner's) level of ambition is in line with the available resources. Especially when implementing comprehensive approaches to foster citizen engagement and social accountability, realism is required in terms of e.g. the number of villages that can effectively be supported as these approaches are often relatively complex and resource intensive.

### **6.6 LINIDA's organisation, monitoring & steering for results**

The implementation of LINIDA has been very much activity-driven, instead of results-oriented. Limited attention has been paid on the ground to monitor the results achieved and use this information to adapt future programming to realize the envisaged results. A lot of emphasis was put on formal reporting procedures, while the reports have proven to be of insufficient quality to obtain a good overview of project's implementation and the results achieved.

A duplication of management and oversight functions, furthermore, exists, while insufficient attention has been paid to building the capacity of the local partner Laskar Batang, who has proven to have too limited capacity in terms of results-based management, monitoring and reporting.

All these factors have negatively influenced LINIDA's efficiency and effectiveness.

#### Project specific recommendations for TI-I and TI-S:

- TI-I: Trust less on formal reporting procedures and play a stronger role in project management. Support Laskar Batang with results-based management, including monitoring and reporting. Conduct joint monitoring missions to obtain better insight in project's implementation, results achieved and change processes. The monitoring information obtained can then be jointly analysed to foster learning and to inform strategic discussions about future programming. The TI Impact Monitoring Approach (or another well-tailored outcome mapping/harvesting approach), complemented with the use of monitoring journals by facilitators to systematically track changes in institutional processes and the behaviour of key stakeholders at the village level (e.g. village head, other village government officials, village council members, religious leaders, other community representatives etc.), could be considered to be implemented to foster the results-orientation of LINIDA and improve monitoring and learning on the ground.
- TI-S: Strengthen TI-I's results-orientation by jointly analysing outcomes achieved (including the evidence base), change processes identified and project's strategy on a regular basis. Introduce, for example, quarterly sense making meetings following the quarterly reports submitted. Support TI-I with introducing the Impact Monitoring Approach if necessary.

#### General recommendation for TI:

- Social accountability initiatives are often very complex as envisaged change processes are rarely linear, often highly iterative, and uneven.<sup>15</sup> There is a growing consensus that these complex interventions require adaptive planning, implementation, monitoring and evaluation processes instead of approaches based on detailed pre-determined intervention designs.<sup>16</sup> TI is, therefore, advised to adopt these adaptive processes when implementing social accountability initiatives. This entails that emphasis is being put on testing implementation approaches (trial and error); actively monitoring change processes, results and context; conducting regular learning loops; and adapting approaches based on the lessons learned and knowledge generated.

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<sup>15</sup> See e.g. Gaventa, J. and Barret. G. (2010), "So What Difference Does it Make? Mapping the Outcomes of Citizen Engagement", IDS Working Paper 347.

<sup>16</sup> See e.g. DFID (2016), "Moving Targets, Widening Nets: Monitoring incremental and adaptive change in an Empowerment and Accountability programme; The experience of the State Accountability and Voice Initiative in Nigeria".

## Annex - List of persons interviewed / FGD participants

1. ██████████, Village Facilitator Pandansari
2. ██████████, LAKPESDAM NU
3. ██████████ Village Facilitator Magelang
4. ██████████, Programme officer, TI Indonesia
5. ██████████, Head of Village Kepuh
6. ██████████ Community member Kepuh
7. ██████████, Head of Village Kemiri Barat
8. ██████████, Pemuda Desa Tombo
9. ██████████ Laskar Batang
10. ██████████, Head of Village Magelang
11. ██████████, Village Facilitator Pacet
12. ██████████, Secretary-General TI Indonesia
13. ██████████, Village Facilitator Kepuh
14. ██████████, Community member Tombo
15. ██████████ Member of BPD Desa Kemiri Barat
16. ██████████, Village Facilitator Kemiri Barat
17. ██████████, UPKP2
18. ██████████, Litbang Bappeda Kab. Batang
19. ██████████, Village Facilitator Kemiri Barat
20. ██████████, Program director, TI Indonesia
21. ██████████, Village Facilitator Karang Tengah
22. ██████████ Village Facilitator Kepuh
23. ██████████, Public Sector Integrity Programme Coordinator, TI Secretariat
24. ██████████, Village Facilitator Brokoh
25. ██████████, Village Facilitator Tombo
26. ██████████ Village Facilitator Kemiri Barat
27. ██████████, Village Facilitator Kemiri Barat
28. ██████████, Community member Magelang
29. ██████████, Laskar Batang
30. ██████████ UPKP2
31. ██████████, Community member Magelang
32. ██████████ Community member Pandansari
33. ██████████, Village Facilitator Magelang
34. ██████████, Village Facilitator Pandansari
35. ██████████ LAKPESDAM NU
36. ██████████, Village Facilitator Pandansari
37. ██████████, Head of Village Tombo
38. ██████████, Member of BPD Desa Kemiri Barat
39. ██████████, Head of sub - Village Desa Pandansari
40. ██████████ Programme officer, TI Indonesia
41. Representative, IPC Indonesia Parliamentary Center
42. Representative, Media Link, Indonesia
43. ██████████, Village Facilitator Kepuh
44. ██████████, Head of Village Karang Tengah
45. ██████████, Community member Karang Tengah
46. ██████████, Village Facilitator Magelang
47. ██████████ Community member Kepuh
48. ██████████, Head of sub - Village Desa Magelang
49. ██████████, Community member Kemiri Barat
50. ██████████ Head of Village Pandansari
51. ██████████ Perangkat, Desa Karang Tengah
52. ██████████, Village Facilitator Karang Tengah
53. ██████████, Community member Magelang
54. ██████████, Village Facilitator Tombo
55. ██████████, Regent Batang Regency



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