

Model of Housing Delivery System based on Community-based Housing Development in Surakarta City, Indonesia

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Abstract

Slums and squatter settlements have become obstacles for the growing city development where urbanization level is increasing. Most of urban poor live in slums and squatter settlements that are characterized as high building density, semi-permanent housing, and inadequate infrastructure and services. In Indonesia, there are two regular types of housing supply, namely direct government provided—stated as formal housing, and community based housing—labeled as informal housing. Community-based Housing Development (CBHD) is a government housing initiative, which encourages community empowerment through Community-based Organization (CBO). The CBHD model has believed to be an instrument for poverty alleviation since it encourages community inclusion, empowerment and security. The CBO organized the community to carry out tasks related to problems of poverty in their settlements and to communicate their problems to the city government. The Government of Surakarta, a middle-size city in Central Java, Indonesia, has initiated the CBHD through several programs, such as Improvement of Substandard Houses (RTLH) and Relocation Program. This research aimed to identify the characteristics and model of CBHD in Surakarta. Qualitative research has been conducted through in-depth interview to key informants in the government's institutions as well as in the CBO. It is found that the program is initiated mostly by the government with the aim of increasing achievement of development indicators such as poverty indicators and slum clearance indicators. The City Government through the Mayor Regulation consequently initiates development of the CBO in the form of POKJA and SUB-POKJA. The involvement of community is seen only as an instrument for achieving government development goal, rather than the goals of achieving the empowerment, improved quality of life and social cohesion of community. Therefore, the model of CBHD in these case study areas can be classified as instrumental model.

Keywords: Community-based, Housing, Development, Slums, Indonesia

1. Introduction

Slums and squatter settlements has become one of the indicators of urban poverty as the fact that most of urban poor lives in slums area. Those difficulties in escaping poverty are partly caused by community institutions in the slum area that do not give opportunities for

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community inclusion, empowerment and security (The World Bank, 2002). These three elements of community capacity are somehow important to promote urban have-nots' self esteem and establish their way out of poverty.

In Indonesia, the informal delivery system based on community empowerment has been contributed to almost 90% of housing delivery system in Indonesia (Silas, 2005). According to Turner (1987) in Astuti (2012), three fourth of housing for the poor is provided by the poor itself due to their limited access to the formal delivery system with their local knowledge and resources. If the communities have opportunities and access for housing provision, they may have the capacity to build five times more than the capacity of government or the private sector, according to their capacity and levels of amenity. Community-based Organization as an important element in community-based development has 2 important and strategic roles as follows (Turner (1987) in Astuti (2012)): (1) **to help people to organize**, which is generally done for helping community to articulate their needs and generating access to their own resources; (2) **to act as mediators**, which is to act as a intermediary between community and/or community-based organization in negotiation with other public agency as well as the government as a resources for settlement development efforts.

In community-based development, participation is one of the instruments to enhance community empowerment in community-based planning project. There are at least four intensity in participation (Bamberger and Shams, 1989) as follows: (1) *Information sharing*, where the project designers and managers or even government may share information with beneficiaries to facilitate collective or individual action in order to enable target groups to understand their project tasks better; (2) *Consultation*, when beneficiaries are consulted at key issues at some or all stages in a project cycle; (3) *Decision making*, when the beneficiaries have a decision-making role in matters of project design and implementation; and (4) *Initiating action*, when beneficiaries are able to take initiative in terms of actions or decisions of the project. According to Kruks, (1983) in Mikkelsen (2001) there are two kinds of objectives of development project related to community participation. Firstly, **transformational participation**, in which participation is seen as instrument or facilities for achieving higher goals or self-fulfillment and sustainability and secondly, **instrumental participation**, where participation only placed as methods for achieving specified target, generally government target for the donor projects.

2. Surakarta as a Study Area

2.1. Characteristics of Surakarta

In Surakarta the popularity of the CBHD system has been increasing under the era of Mr. Joko Widodo, widely recognized as Jokowi, Mayor of Surakarta for 2005-2015. Slums and squatter settlements have become strategic issues of Surakarta. Several strategies, which have been developed to overcome these issues, are mostly based on the Community-based Housing Development (CBHD) towards Surakarta without Slums 2015. In the policy level, CBHD combines strategies stated in *RPJMD (Rencana Pembangunan Jangka Menengah Daerah; Medium-terms Regional Development Plan)* of Surakarta 2010-2015 with the Poverty Alleviation Strategies through the support and cooperation of related Government

Working Units and all parties of development under the coordination of TKPKD ((*Tim Penanggulangan Kemiskinan Kota / Daerah*; Coordination Team of Urban Poverty Alleviation).

Surakarta is a municipal city located in the core of SUBOSUKA region, Central Java, Indonesia. It is surrounded by three regencies, i.e. Boyolali, Sukoharjo and Karanganyar. With the area of 44.04 square-km, it is dominated by developed areas with the population of approximately 600.000 people. The levels of poverty were as high as 22% covering 125,600 urban poor people (TKPKD, 2011). The Government of Surakarta stated that in 2006, there were 6612 substandard houses spread in 5 districts of Surakarta. Of these numbers of household, 1571 of them live in squatter settlements along the government land and illegal land such as rail land and riverbank area.



Figure 1. Maps of Surakarta, Central Java, Indonesia

2.2. Housing and Human Settlements Policy based on CBHD in Surakarta

In order to overcome the problems of slums and squatter settlements, the government of Surakarta has developed housing delivery system through CBHD. Basically, there are two policies; firstly, **Improvement of Slums Area**, which includes rehabilitation and renovation of substandard houses constructed on a land with certified property right; quality improvement of substandard houses and their neighborhood and rehabilitation and renovation of substandard houses constructed on a group parcel of illegal land. Secondly; **Resettlement (relocation) of Settlements** located along riverbank areas to legal and certified land and standard housing construction (see Figure 2)

Community-based housing development is initiated through establishment of the Mayor Act, which imply the development of Community-based Organization in form of POKJA (*Kelompok Kerja*; Community Working Groups) whose role is to be the mediator between the government and the communities in the implementation of the program.

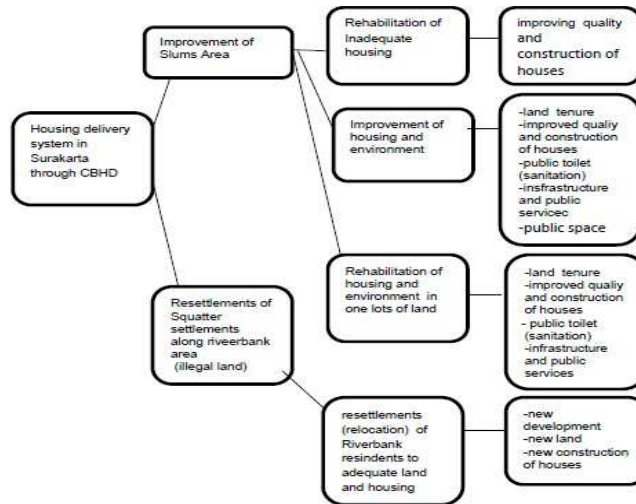


Figure 2. Housing Delivery System based on CBHD in Surakarta City

Sources : Analysis from the result of interview survey with several government units and POKJA. 2012

3. Research Methodology

The research was conducted in qualitative method and inductive approach. In-depth interviews were addressed to several government institutions related to CBHD whose involved in the lesson-learned of CBHD in Surakarta as follows: Planning and Development Board of Surakarta City (BAPPEDA); Board of Community Empowerment, Woman empowerment and family Planning (BAPERMAS PP and KB); Board of Public Services “*Griya Layak Huni*”; Consortium of NGOs; and Department of Public Works.

Whereas representations of Community-based Organizations interviewed in this research were POKJA RELOKASI in *Kelurahan Pucangsawit* and POKJA RTLH in *Kelurahan Kratonan*. Analysis of Model of CBHD was analysis from the variable of firstly, **transformational participation**, with indicators of empowerment; community capacity in planning and decision making; sustainability. Secondly **instrumental participation**, with the indicators of; top down procees; output program is for the government goals; domination role of the government

4. Results and Discussion

4.1. Characteristics and Model of CBHD Implemented in Surakarta

Model of CBHD in Surakarta is positioning CBO in the form of POKJA as the center of development. This study determines two case studies of implementation of Rehabilitation/renovation of Substandard Houses (RTLH program) in *Kelurahan Kratonan* and Relocation Program of Settlements along Riverbank Areas in *Kelurahan Pucangsawit* to Mojosongo.

In the case study of RTLH Program, POKJA RTLH is a Working Group in the community level, which was formulated by the Head of *Kelurahan*. This has roles for communication and intermediary role between community as the beneficiary and the local government in the

Kelurahan levels as well as in the City Levels. In order for conducting communication role, there are three development committees were developed. (1), Development Committee in the city level; (2) Development Team in the *Kelurahan* level; and (3) POKJA RTLH for distributing the Aids in the Community Level.

POKJA RTLH has organization structure of Head of POKJA, Secretary and Treasury. There are three main tasks of POKJA RTLH. Firstly, POKJA has to conduct community need assessment and propose the community development planning to the City Government through the Development Team of RTLH Program in the *Kelurahan* level. Secondly, POKJA needs to coordinate, consult and report the implementation of RTLH program periodically to the City Government (Government Unit of DKRPPKB) through the Development Team of RTLH Program in the *Kelurahan* Level. In the implementation of program, POKJA RTLH also has to give consultation to people related to housing construction and any neighborhood development problems (based on interview with the head of POJKA RTLH Kratonan, 2012).

Whereas in the Relocation Program, POKJA RELOKASI was formulated based on the Mayor Act 2007, which states that there are two levels of POKJA RELOKASI. The first is POKJA INDUK (the Main POKJA), which is based on *Kelurahan* and was established by the Mayor. The second is Sub-POKJA, which is based on RW (*Rukun Warga*; Community Unit) level. Sub POKJA was established by Decision Letter from Government Unit of DKRPPKB (*Dinas Kesejahteraan Rakyat, Pemberdayaan Perempuan dan Keluarga Berencana; Board of Community Empowerment, Woman Empowerment and Family Planning*). Organization structure of POKJA as well as Sub POKJA consists of Head, Secretary, Treasury and members.

In implementation of program, Sub-Pokja in the RW level has to coordinate to POKJA in *kelurahan* Level; the Government Unit of DKRPPKB (changing name to BAPERMAS, PP and KB since 2011); and the Ministry of Community Welfare in a National level through the Mayor of Surakarta. Organization of the Relocation program is therefore systematic, simple and unbureocratic in order to transfer community need assessment to the relevant actor and interest. Pokja's role of intermediary and communication had been conducted well during the implementation. This can be seen trough the transfer of community demand to the interest group. Below are the explanations of the two programs in this research i.e. RTLH Program and Relocation Program

4.1.1. Rehabilitation/renovation of Substandard Houses (RTLH Program) in *Kelurahan* Kratonan

Rehabilitation/ renovation of substandard houses (RTLH) is a part of program towards Surakarta Slums Clearance in 2015. This program was based on the government report, that in 2006, there were 6612 substandard houses spread in 5 districts of Surakarta. Until 2011, renovation of 4.986 houses has been carried out and and there were 1250 houses left to be targeted next in 2012.

Targeted area for RTLH Program in *Kelurahan* Kratonan was located in RT (*Neighbourhood Unit*) 01, RW (*Community unit*) 06. In 2007, after establishment of The Mayor Act no 13/

2007 regarding Mechanism for Obtaining Aids for Housing Renovation, the process and mechanisms of CBHD applied in this area was as follows: (a) **Formation of POKJA**, which has been stated in The Mayor Act 2007 as the requirement for obtaining Aids for housing rehabilitation/ renovation (RTLH Program). This was followed by the formation of Village committee and POKJA committee to run the program; (b) **Preparation of Site Plan and Project Proposal**, which was conducted by POKJA through community forum. The proposal was therefore submitted to the City Government through DKRPPKB with approval of *Kelurahan*; (c) **Approval of Aids for Housing Rehabilitation and Renovation**, as the data of the targeted beneficiaries verified, DKRPPKB agreed to distribute the aids for housing rehabilitation and renovation of a two-million-rupiah grant for each house and a 7.5-million-rupiah micro finance loan for each household from BUKOPIN Bank through BLUD (Local Service Unit of Houses). The grant was originated from UN Habitat fund. All financial budgets was then centrally managed and administered by POKJA. The Mayor, Mr. Jokowi later gave visit to the location with several Government Working Units delegations such as Department of Public Works (DPU), The National Agrarian Bureau (BPN), City Planning Board (DTRK), Park Planning Office (DKP), and other parties. This visit led to the agreement to support the program by synergizing internal programs of those government working units; (d) **Implementation Stage**, where the development was carried out under the coordination of community and POKJA. There were two construction works which were conducted in parallel. Firstly, the construction of houses and secondly, legalization of land tenure, provision of infrastructure and services supported by related Government Working Units (SKPD). Furthermore, there were aids for economic development or improvement of home-based industrial development. And finally, (d).**Preparation of Accountability Report**, where reporting all activities in every stages, as an obligation of POKJA, after the construction carried out and other form of aids distributed .(see Figure 3)

Community-based Housing Development is usually resulted in development of housing and environment quality as well as community development. The results of RTLH program in Kelurahan Kratonan, which can be accepted by the beneficiaries are as follows. **(1). Improvement of housing quality.** By the Government's grant of Rp 2 Million for each house, people's houses have a little improvement. For people who need to have more improvement, they can borrow the housing mortgage loan from BUKOPIN Bank for Rp 7.5. million along 5 years repayment. **(2). Improvement of the neighborhood environment,** which has also been conducted by Integrated Management of Slum Improvement's Program by support of several government units as follows: BPN, which has conducted certification and land security of tenure to people's land as an ownership land, which previously was the government's state land; DTRK which has developed Detailed Engineering Design of houses and issued the Building Permit; DPU, which has constructed drainage and pedestrian corn block; PDAM (Local Corporate of Clean Water; *Perusahaan Daerah Air Minum*) which has distributed clean water supply and public toilet; PLN (National Power; *Perusahaan Listrik Negara*) which has improved electricity supply system to the neighborhood; and DKP, which has provided neighbourhood community park and Street Electricity. By the housing and neighborhood development, the area of Kratonan is right now well prepared facing the flood. **(3). Economics enhancement,** as the people received the economic development from the Government Unit of Economic Affairs through the program of Small and Medium Business development, capacity building of business management

and Aids for some units of Street Vendor's Vehicles .Results of the RTLH Program in Kelurahan Kratonan can be seen in Figure 4.

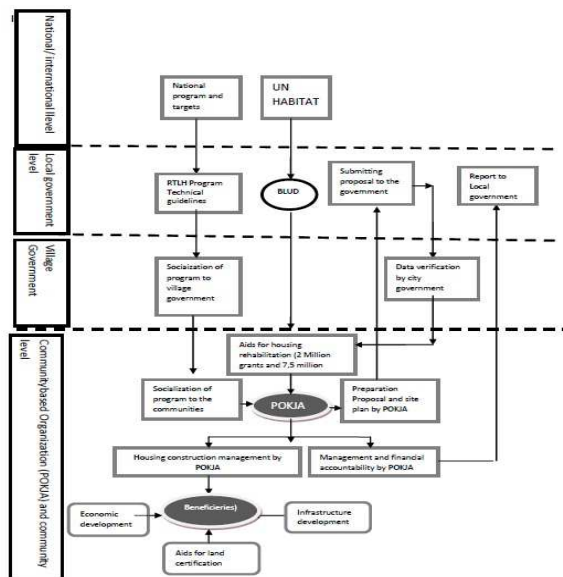


Figure 3. Process and Mechanisms of RTLH Program

Source: Analysis based on interview survey, 2012



Figure 4. Program of RTLH is resulted in security of tenure; improvement of housing construction quality; improvement of environment and economic development

Sources : Field survey, 2012

4.1.2. Relocation Program

Relocation program were developed due to the fast growing number of illegal houses along the riverbank area, where this area is restricted as residential and therefore should be relocated to the area for residential uses according to the Master Plan. The riverbank area is classified as a disaster-prone area, which is periodically facing flood due to overflow of Bengawan Solo River in rainy season. This disaster, the great one happened in 2007 flooded approximately 6.368 houses spread in 12 Kelurahan and 3 districts of Surakarta, 1.571 houses were located on the riverbank area of Bengawan Solo River .

Pucangsawit is one *Kelurahan* in Surakarta, where Relocation Program for 268 houses of the riverbank area were implemented (Bapermas, 2012). Most of people was relocated and resettled in Kelurahan Mojosongo distributed in 6 spots of residential area in Ngemplak Sutan (112 houses), Solo Elok (89 houses), Donohudan (36 houses), Mipitan (8 houses), Kedung Tungkul (18 houses), and Sabrang Lor (5 houses).

Table. 1. Number of Victim of flooding disaster as a target for Relocation Program in Surakarta

No	Name of Village (<i>kelurahan</i>)	Location of Victim		Total Number of Flooding Victim
		Riverbank area	Outside Riverbank area	

1	Pucang Sawit	300	624	924
2	Sewu	363	222	585
3	Sangkrah	294	248	542
4	Semanggi	339	194	533
5	Joyosuran	57	897	954
6	Jebres	218	257	475
7	Gandekan	0	20	20
8	Jagalan	0	991	991
9	Sudiroprajan	0	75	75
10	Ps. Kliwon	0	7	7
11	Kedung Lumbu	0	133	133
12	Joyontakan	0	1129	1129
	TOTAL	1571	4797	6368

Sources : BAPERMAS, 2012

Figure 5 shows the mechanism for Relocation of Pucangsawit *kelurahan's* community to *Kelurahan* Mojosongo, as follows (Astuti, 2012): **(a) Socialization to the targeted community**, which was conducted by The Mayor of Surakarta. This action was aimed to give general overview and to build up community knowledge upon high risk living on the riverbank area; **(b) Formation of POKJA and Sub-POKJA of Relocation**, which were formed as a response to the establishment of The Mayor Act 2007 .The role of POKJA was preparing proposal, coordinating sub-POKJA and community in the implementation of program and maintaining communication link with the local government. Whereas Sub-POKJA was directly coordinate with community in distribution of grants; **(c) Data Identification of Grant Beneficiaries** was conducted by POKJA and Sub-POKJA followed by collected administration requirements for receiving aids for relocation. The Relocation grants included grants for obtaining land for Rp 12 million; grants for new housing construction for Rp 8.5 million and grants for public infrastructure for Rp 1.8 million. **(d). Inquiry of Destination Land for Resettlement** was done by sub-POKJA together with the beneficiaries in order to look for land which was suitable for residential development in affordable price. As a requirement for having grants for land purchase, the land should have land title from the National Agrarian Bureau (BPN). **(e) Proposal Preparation for Relocation Grants** was therefore **prepared by** POKJA and Sub-POKJA to the City Government through DKRPPKB for obtaining construction grants of Rp 8.5 million for each house. **(f) Building Destruction and Removal**, was therefore conducted to free the riverbank area from any residential development. Some people was recycling some building materials to be reused in the construction of new houses in the destination area of relocation. And finally, **(g) Self-help Housing Construction** of houses on the destination area of resettlement land. The Government Working Unit provided urban infrastructure such as local street, sanitation system, electricity power, water supply. Social programs were in the form of assistance of environment awareness to the local community towards sustainable management of the area.

Results of Relocation program are as follows: **(1) This program has increasing access of land security of tenure for residential development.** By the grants of Rp 12 Million for each people in obtaining parcel of land suitable for residential development, beneficiaries are no longer stay on the hazardous area of flooding along riverbank area with insecure residential status. Therefore, they are very happy and antusias in obtaining the grants from the government and in overall process of program implementation. By land security of tenure, the people have a right to effective protection by the state against forces evictions. **(2), The program has increased the access of adequate houses in an affordable price.** By Grants of Rp 8.5 million for construction of new houses in the new area of relocation, they have their houses be more durable and adequate enough as standard houses than their previous houses constructed along the riverbank area. It means that this is a part of poverty alleviation in terms of increasing access to land secure tenure and adequate houses in an affordable prices. **(3). The program has improved the infrastructure in the neighborhood area.** Beneficiaries also has received Grants of Rp 1.8 million from the City Government for development of infrastructure in the neighborhood area, by Integrated Management facilitated by the City Government. In fact, Relocation Program has been succeed to invite and generate inter-organizational networks and integrated works among the Government Units; private sector, community and NGS's cooperative works for increasing neighborhood quality. BPN of Surakarta was issuing land certificate for land secure tenure in a new area; The Bureau of Local Public Services (BLUD) *Griya Layak Huni* helped facilitate warranty for people in obtaining housing mortgage loan from the Bank for housing construction; PDAM helped in distributing clean water supply services; PLN have distributed electricity services; DPU provided infrastructure development; and DKP provided local community park in the new area (see Figure 6)

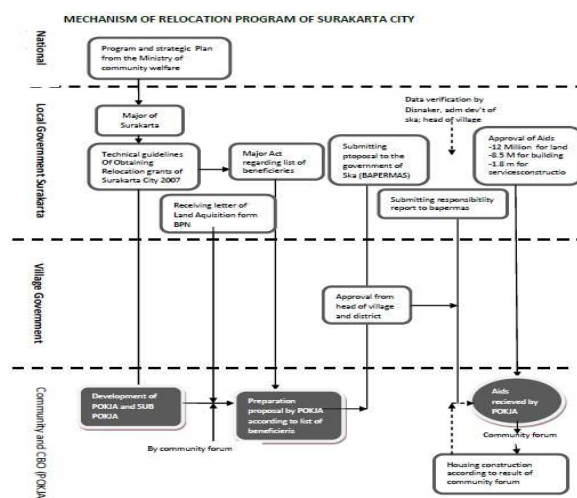


Figure 5. process and Mechanisms CBHD in Relocation Program

Source : Technical Guidelines of Relocation 2007 and Interview with POKJA RELOKASI, 2012

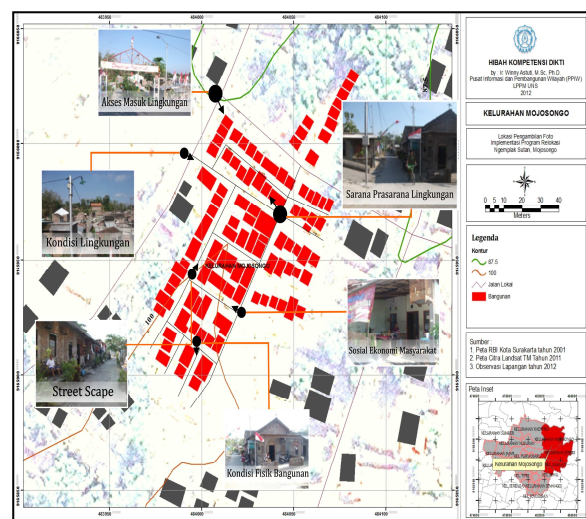


Figure 6. Location of relocation program in Kelurahan Mojosongo

Source : Field survey, 2012

4.2. Model of Housing Delivery System based on Community-based Development

Table 2. Model of Housing Delivery System based on Community-based development in Surakarta

Components of CBHD	Community-based Housing Development Sub-market	
	Renovation of substandar Houses (RTLH program)- KRATONAN	Relocation Program - MOJOSONGO
National Policy	- Ministry of Public Housing gives conducive circumstances for development of CBHD and allocates National Financial Budget (APBN) for housing renovation	- Ministry of Community welfare gives conducive circumstances for development of CBHD and allocates National financial budget (APBN) for relocation
Function of Local Government	<ul style="list-style-type: none"> - As a part of the City government target of "Surakarta slums clearance 2015" - Set up the mechanisms for people participation in project management through the Mayor Act - Through the Mayor Act, Local government <u>shared information</u> with beneficiaries in order to facilitate collective action - Planning and overall management are conducted by the local government 	<ul style="list-style-type: none"> - As a part of government target for solving problems of squatter settlements along riverbank area stated in Medium Terms Development Plan - Set up the mechanisms for people participation in project management through the Mayor Regulation - Through the Mayor Act, Local government <u>shared information</u> with beneficiaries in order to facilitate collective action
Function of Community-based organization	- CBO (POKJA) Involves in <u>planning (proposal), implementation, maintenance, distribution</u> of budget but not in overall management and utilization of project	- CBO (POKJA) Involves in <u>planning (proposal), implementation, maintenance, distribution</u> of budget but not in overall management and utilization of project
Function of Kelurahan and District Government	<i>Kelurahan</i> and district government only gave approvals	<i>kelurahan</i> and district government only gave approvals
Intensity of participation of community	<ul style="list-style-type: none"> - The community received <u>shared information</u> from the local government to have collective action - All lists of beneficiaries have been stated in the Mayor act, therefore no initiative 	<ul style="list-style-type: none"> - The community organization received <u>shared information</u> from the local government as well as encouraged <u>consultation</u> related to the targeted location for relocation land destination
Extent of participation	- <u>All households beneficiaries were</u> involved in the project especially in the building construction stage	- Community involved through the community forum, but all of the project management was done <u>by CBO (POKJA)</u>
Community Empowerment	<ul style="list-style-type: none"> - Increased capacity of community in managing housing construction - Community involved in implementation, maintenance, and utilization of result of the project, but planning and overall management were conducted by the local government 	<ul style="list-style-type: none"> - Community capacity was not directly increased since they were only involved in the community forum. Empowerment were only done for the CBO (POKJA) related to its function in preparation of proposal, financial management and reporting accountability report
Results of Program	<ul style="list-style-type: none"> - Improved land tenure - Improved housing construction - Better provision of infrastructure - Developed economic for small and medium home-based industries 	<ul style="list-style-type: none"> - Land security of tenure in the new area - New construction of houses - Infrastructure development

Sources: Analysis of Researcher according to interview results and other sources, 2012

Table 2 shows that in 2 case studies, it was found that the programs had been set by the local government in order to achieve the development goals and achievement as stated in the Medium Terms Development Plan of Surakarta as "Surakarta Slums Clearance 2015"

and Squatter Clearance. Establishment of Mayor Act and Technical Guidelines in the Renovation Program (RTLH) as well as Relocation program indicated that the government tried to elaborate the collective action from the community through CBO (POKJA), which was formed to run the program. In terms of the extent of participation, the RTLH program demonstrated higher participation because it generated participation of overall households since the aids for housing construction were directly distributed to the households. Whereas in the Relocation Program, all the management related to implementation, maintenance, monitoring and report for responsibility report was conducted by the POKJA. The beneficiaries people had only been involved in utilization of program, apparently there was no direct empowerment developed in this program.

In these two case studies of community-based housing delivery system sub markets above, it was found that these programs **did not generate transformational participation** and empowerment yet, since the participation was only seen as an instrument for achieving government development goals, rather than the goals of empowering and increasing the quality of life and the cohesion of the community.

5. Conclusion

Community-based Housing Development (CBHD) as development based on empowerment of community is believed as one of the strategies in poverty alleviation. Therefore, this becomes instrument for achieving government's goals in poverty alleviation in slum's settlement. In the case of Surakarta, the program based on CBHD required the government to form the Community-based Organization (CBO) in the form of POKJA, whose function was clearly stated in the Mayor Act of Technical Guidelines for implementation of the project. The POKJA has roles for generating communication internally with the communities of targeted beneficiaries and externally for mediation of communities with the government and other parties involved in development project.

Related to the two case studies, in the RTLH Program), community was empowered through involvement of communities in implementation, maintenance, and utilization of the project results even though planning and overall management were conducted by the local government. Whereas in the Relocation Program, the capacities of communities were not directly increased for they had only been involved in the community forum. Empowerment had only been affected to the CBO (POKJA) for its function in preparation of proposal, financial management, and reporting accountability report. Therefore, in the two case studies, these include in the instrumental model. These did not generate transformational participation, where empowered community; increased quality of life and enhanced cohesiveness of community. Community participation was only seen as instrument for achieving government mission and goal for Solo Slum Clearance 2015 and Poverty Alleviation Goals.

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