

## Mitigation Task Force for Farmer and Worker in Indonesia: A Collaborative Governance Approach in Tobacco Control Policy

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### *Abstract*

Tobacco control for public health improvement has been mandated as a part of the Indonesian National Medium-Term Development Plan (RPJMN) 2020 – 2024, as Indonesia currently sits among the countries with the highest smoking prevalence. On the other hand, Indonesia's position as one of the largest tobacco producers requires proper mitigation strategies for specific communities directly exposed to the tobacco industry. Hence, solid and adequate intra-sectoral collaboration strategies need to be identified. A formal intra-sectoral collaboration creates a win-win solution for both public health and economic sectors, as witnessed by other countries with appropriate government collaboration formulation. This study aims to identify a suitable collaborative governance model for providing mitigation strategies for tobacco farmers and tobacco industry workers. This research investigates the feasibility and environment scanning through a qualitative approach. The data collection was conducted through four series of semi-structured focused group discussions with key policymakers, complemented with secondary data analysis. The Task Force model is the most suitable mitigation initiative for tobacco farmers and cigarette industry workers. It is also more manageable in terms of regulation since it needs minimum regulatory requirements. The task force model also enables more substantial synergies between the central and local governments. However, strong coordination, between-sectoral sentiments, and the need for strong political will remain challenges for the task force implementation.

**Keywords:** mitigation; tobacco control; collaboration; governance.

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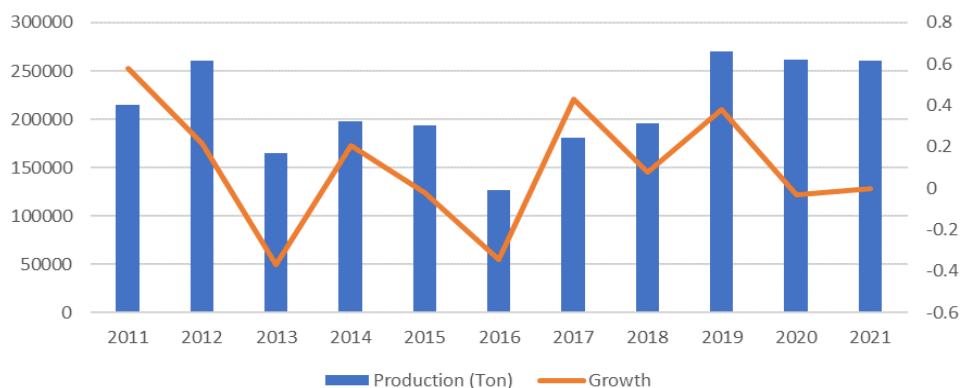
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## I. Introduction

### 1.1. Background

Tobacco control for public health improvement has been mandated as a part of the Indonesian National Medium-Term Development Plan (RPJMN) 2020 – 2024, as Indonesia currently sits among the countries with the highest smoking prevalence. The RPJMN is primarily related to the current tobacco farming and industry workers' livelihoods. On the other hand, Indonesia's position as one of the largest tobacco producers requires proper mitigation strategies for specific communities directly exposed to the tobacco industry, e.g., tobacco farmers and workers. Hence, Indonesia's program of Healthy Lifestyle Movement (GERMAS) in the RPJMN document has also explicitly mandated the mitigation strategy for these sub-groups. Despite Indonesia's position as one of the largest tobacco-producing countries, recent data and research evidenced welfare deterioration among these sub-groups.

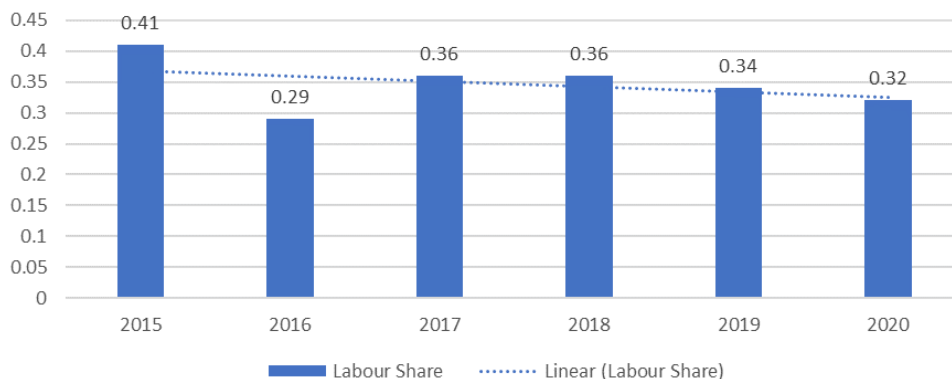
Figure 1 below illustrates the declining trend in the tobacco production volume in Indonesia during the past decade. In 2011, the production growth could reach over 80%. However, this figure declined sharply in the following years, reaching over -36% in 2013. Despite the significant increase during the last three years (relative to 2013 – 2018), the production growths in 2020 and 2021 are far below 2019's growth. In addition, recent research also supported tobacco farmers' welfare deterioration due to market competition (mainly increasing share of tobacco import) and tobacco pricing; hence, tobacco is no longer a profitable farming alternative (Ahsan et al., 2020; Sahadewo et al., 2021).



**Figure 1.** Tobacco Production (Ton) and Production Growth (%) in Indonesia, 2011 – 2021

Source: Ministry of Agriculture, 2021

Besides the farming sector, labour absorption in the tobacco industry has shifted during the past seven years, as illustrated in figure 2 below. Figure 2 shows the decreasing trend in the share of the tobacco industry's labour as the total labour in the industrial manufacturing sector from 0.41% in 2015 to 0.32% in 2020. Furthermore, labour welfare issues such as child labour (Amigó, 2010; Andrina et al., 2021) and labour protections (for many tobacco industry workers are vulnerable informal workers) (Kartika, 2015) remains a concern. Hence, mitigation strategies for tobacco industry workers have become a dispensable part of the tobacco control landscape.



**Figure 2.** Share of Tobacco Industry Workers as Total Industry Manufacture Workers in Indonesia, 2015 – 2020  
**Source:** BPS, 2021

Despite the growing evidence of welfare deterioration among tobacco farmers and tobacco industry workers, the tobacco control landscape in Indonesia has been entirely under public health sector realms due to a lack of intra-sectoral coordination and collaboration. The recent shifts in the tobacco farming and tobacco industry are in line with the policy directions of tobacco control for public health improvement, as controlling for tobacco demand (i.e., public health sectors) needs to be followed by supply control (i.e., farming and industry sectors). Hence, solid and adequate intra-sectoral collaboration strategies need to be identified. A proper intra-sectoral collaboration creates a win-win solution for public health and economic sectors, as witnessed by other countries with appropriate government collaboration formulation.

Tobacco control policies in various countries have implemented a multi-sectoral strategy involving the health, agriculture, industrial and employment sectors. This mitigation strategy can be formulated in various forms, including multi-sectoral collaborative national action plans/frameworks/policies or market/demand-driven mitigation because of excessive supply control regulations.

Multi-sectoral approaches to tobacco control often appear as comprehensive national action plans/frameworks/policies in various countries. For instance, the National Tobacco Control Program in Argentina (led by the Ministry of Health) facilitates the implementation of cross-sectoral and multilevel tobacco control strategies, including enforcing tobacco control policies in the central tobacco-producing provinces (Bonilla-Chacín, 2013). A multisectoral-based approach to tobacco control is also exemplified in various community-based pilot projects involving community organizations (Chatterjee et al., 2021). Stakeholder involvement in policy making and information exchange between agencies will facilitate more robust tobacco control while mitigating potential economic impacts.

In the absence of a multi-sectoral national tobacco control action plan/framework/policy, mitigating the economic impact of tobacco control will ultimately be driven by demand where farmers will switch to alternative crops due to competition and market changes (Fallin & Glantz, 2015). This is especially important in controlling supply. For example, Sri Lanka gradually reduced tobacco production by 15-20% annually. By

working closely with the Ministry of Agriculture, Sri Lanka became a completely tobacco-free country within five years (UNDP, 2019). Another example of demand-driven tobacco farming mitigation is Malaysia. Malaysia removed tariffs on tobacco leaf imports (so that local farmers compete entirely with imported tobacco) and transformed the National Tobacco Council into the National Kenaf and Tobacco Council, resulting in significant changes in regulation and markets for tobacco farmers (Barraclough & Morrow, 2010).

Meanwhile, Vietnam has a tobacco monopoly, imposes a quota on tobacco cultivation, and stipulates that any excess of the tobacco cultivation quota must be exported; thus, cocoa production is minimal (Barraclough & Morrow, 2010). An extreme policy of bridging tobacco control with tobacco farming is also implemented in Bhutan through a comprehensive state ban on tobacco cultivation and sale (Bump & Reich, 2012). All these tobacco supplies control emerge as the state's strategies to eliminate the economic dependence on tobacco and automatically mitigate the tobacco consumption decrease on tobacco demand with minimum government intervention.

Referring to the two mitigation schemes described above, this study then attempts to identify the most suitable mitigation strategy to be implemented in Indonesia. This study considers the importance of a multi-sectoral approach to bridge the gap between tobacco control in the context of public health and strategies to anticipate its impact on respective sub-population. This study aims to examine the collaborative governance model in providing mitigation strategies for tobacco farmers and tobacco industry workers and the deviations between the current situation and the ideal collaborative governance model in Indonesia. As mentioned, Indonesia's position as one of the largest tobacco consumers and producers continued to be a constant debate among policymakers. Indonesia needs to tightly control tobacco consumption while also protecting the tobacco farmers' and tobacco industry workers' interests. Lack of collaboration and the confusing division of authority in Indonesia makes tobacco agriculture and industrial roadmaps inclusive of tobacco control policies which are mainly under the authority of the public health sector. Therefore, this research is essential to fill the gap of evidence in building cross-sectoral collaboration models in tobacco control strategies in Indonesia.

## **1.2 Research Questions**

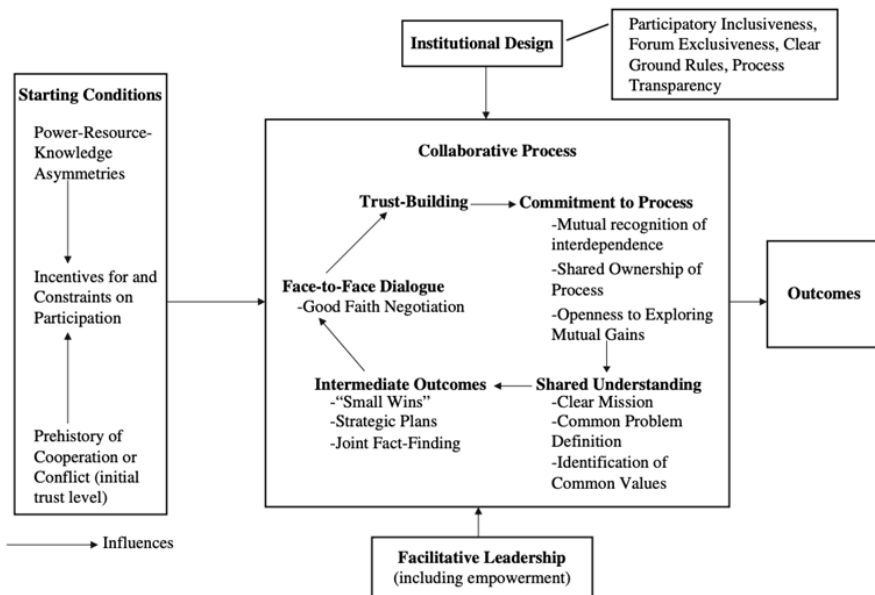
Drawing from the background above, this study aims to:

1. Identify the current institutional role regarding the mitigation strategies for tobacco farmers and industry workers; and
2. Identify the suitable collaborative governance model for tobacco farmers and industry workers' mitigation strategies.

## **1.3 Logical Framework**

Collaboration is an activity that involves more than one person or institution working together (working in association with others, Huxham, 1996; working within agencies to those who cross the boundaries of organized entities (Agranoff, 2012)). The collaboration aims to solve problems (solve problems) (Agranoff & McGuire, 2003) for the public purpose (Emerson, Nabatchi, & Balogh, 2012). Various perspectives have been used to analyze collaboration, and this research focuses on collaborative studies with governance

perspectives, often called collaborative governance. Ansell & Gash (2008) state that collaborative governance is a formal relationship initiated by the government and has a process component that affects the initial conditions, institutional design, facilitative leadership, and collaboration processes that produce outcomes. In contrast to Ansell & Gash (2008), which reviews formal collaborative relationships, Emerson, Nabatchi & Balogh (2012) accommodate formal and informal relationships and involve dimensions of system context, drivers, collaboration dynamics, output from collaboration, collaboration outcome, and adaptation. In the collaborative, dynamic aspect, Emerson, Nabatchi & Balogh (2012) explain that institutional design and leadership are part of carrying out activities.



**Figure 3.** Collaborative Governance Model  
Source: Ansell & Gash, 2008

Collaborative governance, according to Ansell & Gash (2008), is a collaboration initiated by government agencies, and there is the involvement of government and non-governmental actors; mutual involvement in policy making, consensus-based policymaking, and decision-making together. This study examines collaborative policies across sectors to prepare tobacco plantation mitigation strategies by mapping the collaboration processes that need to be built in collaborative governance models. (Ansell & Gash, 2008) or collaborative dynamic (Emerson & Nabatchi, 2012).

Various tobacco control practices and regulations require collaboration between actors. Effective planning and coordination in tobacco control are common obligations under WHO FCTC Article 5.1 (Planning) and Article 5.2a (Coordination). Multi-sectoral planning and coordination are the basis for the implementation of tobacco control and for achieving optimal impact. The involvement of various ministries in resolving every issue in public policy has often been voiced in multiple contexts of the country as a condition of tobacco

control policies (Small, 2021). The synergy between ministries is also an issue that is often challenging in Indonesia's handling of tobacco control (Kramer, Ahsan, Rees, 2021).

**Table 1.** Conceptual Operationalization of Collaborative Governance Model

<b>Starting Condition</b>
Power-resource knowledge asymmetries
Incentives for and constraints on participation
Prehistory of cooperation or conflict (initial trust level)
<b>Institutional Design</b>
Participatory inclusiveness
Forum exclusiveness
Clear ground rules
Process transparency
<b>Collaborative Process</b>
Building trust between stakeholders
Commitment to process
Face-to-face dialogue between stakeholders
A shared understanding of the problem
Intermediate outcomes (Measurable interim results in the short term)
Facilitative leadership (including empowerment)
Outcomes

Source: Ansell & Gash (2008)

## II. Methodology

This research investigates the feasibility and environment scanning through a qualitative approach. The data collection was conducted through focused group discussions and secondary data analysis. The focus group discussion aims to examine preliminary information about the feasibility of collaborative governance models in mitigating tobacco farming. The discussion also identifies the gap between expectations of the ideal collaborative governance model and reality. A feasibility study identifies inputs, processes, institutional design, and facilitative leadership in the joint governance model (Ansell & Gash, 2008). The informants in the interviews include the Ministry of Agriculture, Ministry of

Health, Ministry of Development and Planning, Ministry of Finance, Ministry of Trade, Ministry of Industry, Coordinating Ministry of PMK and Coordinating Ministry of Economic. According to the collaborative governance model, the researcher conducted four focus group discussions on two topics: model feasibility and the gap between actual conditions and expectations.

**Table 2.** List of Focus Group Discussions and Participants

Focus Group Discussion	Topic	Participant
Focus Group Discussion 1	Current role and situation	Ministry of National Development Planning (Bappenas), Coordinating Ministry of Human Development and Cultural Affairs (PMK), Coordinating Ministry of Economic Affairs, Executive Office of the President of Indonesia (KSP), Ministry of Agriculture, Ministry of Manpower and Transmigration, Ministry of Health, Ministry of Home Affairs, Ministry of Finance, experts in tobacco farming, and experts in tobacco industry workers.
Focus Group Discussion 2	Feasibility of collaborative approach in the farming sector	Ministry of Agriculture, Ministry of Finance
Focus Group Discussion 3	Feasibility of collaborative approach in industry worker sector	Ministry of Workforce and Transmigration, Ministry of Industry, Ministry of Trade, Ministry of Finance
Focus Group Discussion 4	Feasibility of collaborative approach in farming and industry sector with coordinating ministries	Bappenas, Coordinating Ministry of PMK, Coordinating Ministry of Economic, KSP

The discussion is semi-structured, where the researchers ask questions based on guidance and are open to exploration. The discussion follows seven main questions as follows:

**Table 3.** Guiding Questions for Focus Group Discussions

Main Topic	Questions
Stakeholders Role ( <i>Starting Condition</i> )	What has been done in efforts to provide mitigation and alternative solutions for the tobacco role and tobacco industry workers?
SWOT Analysis ( <i>Starting Condition</i> )	If a mitigation strategy and multi-sectoral collaborative solutions are to be developed, what are the advantages/weaknesses/opportunities/threats that need to be considered?
Collaborative Model ( <i>Institutional Design</i> )	<p>If a mitigation strategy and multi-sectoral collaborative solutions are to be developed, what kind of governance/structure/division of tasks should be done?</p> <ul style="list-style-type: none"> <li>● Is there a need for a new structure, or is there an existing structure available?</li> <li>● Who will take the leading role if this collaboration is to be implemented?</li> <li>● Who will be responsible for the monitoring and evaluation processes?</li> <li>● What is the local government's position?</li> </ul>
Collaboration Process	If a mitigation strategy and multi-sectoral collaborative solutions are to be developed, what are the models of collaboration that can be done? (Probing: what activities need to be done? What are the values/things that can be an encouragement for this collaborative work? What are the factors that are expected to encourage this collaborative work process? What are the benchmarks that can be used to determine the progress of the results of collaborative work?)
Alternatives for Solutions	What solutions can be offered to mitigate the risks for tobacco farmers and tobacco industry workers?
Regional Conditions (Regional Governments)	Are there conditions in the region that could affect the alternative solutions for tobacco farmers?

### III. Results, Analysis, and Discussions

This section explains the result of focus group discussion and secondary data analysis in four sub-sections, including stakeholder role and current condition analysis, proposed governance model, implementation framework, and stakeholder's perceived feasibility of proposed governance model. Sub-section one examines current government institutions'



role in tobacco industry worker and tobacco farmer issues that corroborate the urgency of a comprehensive governance approach. The second subsection elaborates on the proposed governance model used in the study. The third subsection explains the implementing framework to discuss the regulatory framework and financing options to implement the proposed governance. The last sub-section of the result explores the discussion with stakeholders to determine the feasibility of the proposed governance model.

### **3.1. Stakeholder Role and Current Condition**

The declining cigarette consumption will directly have an impact on the decline in tobacco demand – considering that most of the tobacco demand is from the cigarette industry. Thus, the main sub-population that will be economically affected include tobacco industry workers and tobacco farmers. As a mitigation measure, the government then anticipates the economic impact on the affected sub-population by accommodating various regulations at central and regional levels, involving cross-sectoral policymakers. This is especially stated in Presidential Regulation (Perpres) No. 18 of 2020 concerning the National Medium-Term Development Plan 2020 – 2024. In the Narrative Document of the National Medium-Term Development Plan for 2020 – 2024, this regulation explicitly mandates that GERMAS, as an essential public health program, include a gradual increase in excise on tobacco products by mitigating its impact on tobacco farmers and tobacco industry workers. Thus, this mandate becomes an umbrella regulation for the development of a multi-sectoral strategy in tobacco control and mitigation for tobacco farmers and tobacco industry workers. More specifically, the previous and subsequent regulations, e.g., Government Regulation (PP) No. 109 of 2012 and the Minister of Finance Regulation (PMK) related to the Tobacco Excise Sharing Fund (DBH CHT) (especially the last two PMKs, i.e., PMK No. 206/2020 and PMK No. 215/2021), mentioned about each institutional role in this strategy.

Following the mandate of PP No. 109/2012, in addition to the Ministry of Health, agencies that are also responsible for implementing this PP include the Ministry of Industry, Ministry of Trade, Ministry of Finance, and Provincial and City/Municipality Governments. In terms of mitigating the impact of decreasing cigarette consumption, Article 7 paragraph (2) of this PP mandates that the government and local governments need to encourage the implementation of diversification of tobacco products to prevent harmful use of tobacco products.

Other regulations related to the government's mitigation strategy for tobacco farmers and tobacco industry workers are regulations on the use of the DBH CHT. The last two regulations are related to the use, monitoring, and evaluation of DBH CHT, namely PMK No. 206/2020 and PMK No. 215/2021, described in detail related to the programs and sectors entitled to the DBH CHT funding. These programs and sectors involve various cross-sectoral institutions and governmental agencies at various levels.

Based on the latest PMK on DBH CHT, i.e., PMK No. 215 of 2021, DBH CHT could be used to fund five programs, including improving the quality of raw materials (public welfare), industrial development (public welfare), social and environmental development (public welfare and health), socialization of excise regulations (law enforcement), and eradicating illegal excisable goods (law enforcement). Activities directly related to the mitigation strategy for tobacco farmers and tobacco industry workers are activities under

the social and environmental development program, namely improving work skills, including job skills training, business capital assistance, and assistance for farming diversification.

The two regulations – PP No. 109/2012 and PMK DBH CHT No. 215/2021 – indicate that there are two mitigation strategies for tobacco farmers, tobacco farm workers, and cigarette industry workers, namely: (i) exiting the industry by switching to other industries/plantation; (ii) remaining in the tobacco industry/plants by optimizing their use for harmless tobacco products. Thus, the institutional role and strategies should be formulated to protect the tobacco farmers and tobacco industry workers who wish to remain in the industry and, on the other hand, to encourage these sub-populations to exit the industry.

PMK No. 215/2021 is the basis for the institutional role of the two strategies mentioned earlier. Although DBH CHT specifically only mentions several agencies/institutions such as the Ministry of Industry, Ministry of Agriculture, Ministry of Health, and Local Government, the involvement of other agencies/institutions in the use of DBH CHT for the mitigation strategies needs to be carefully mapped. Without a proper justification for the institutional role and function in central government regulations – and their derivations in local government regulations – the use of DBH CHT for mitigation strategies might be sub-optimal because of the lack of cross-institutional collaboration.

The first mitigation strategy should be directed toward the groups who wish to remain in the tobacco industry. Referring to PMK No. 215/2021, this is a part of the social environment development program in the community welfare sector. This activity includes direct cash assistance (BLT) and/or assistance in paying the contribution for tobacco agricultural insurance. Therefore, this activity will be part of the Ministry of Agriculture and the Ministry of Social Affairs authority with the autonomy's delegation to the respective Regional Institutions – bearing in mind that the utilization of DBH CHT is entirely at the discretion of the local government. Moreover, the two ministries also need to coordinate with their Coordinating Ministries, namely the Coordinating Ministry for Economic Affairs (Kemenko Ekonomi) and the Coordinating Ministry for Human Development and Cultural Affairs (Kemenko PMK). At the same time, the Regional Governments need to be coordinated by the Ministry of Home Affairs.

In its practical exercise, BLT from DBH CHT for tobacco industry workers has been given to the workers affected by Termination of Work (PHK). The tobacco industry workers are further encouraged to switch to other industries since there is currently no alternative for other tobacco products other than cigarettes or Heated Tobacco Technology (HTT), which are equally harmful. Hence, there is no DBH CHT allocation for BLT for tobacco industry workers who remain in the industry.

*“For the community welfare sector, there is social assistance for tobacco farmers and tobacco industry workers. To date, BLT has been given to tobacco industry workers who have been laid off.”* – (FGD participant, Directorate General of Fiscal Balance – Ministry of Finance).

As for BLT for tobacco farmers – which is very important for farmers who wish to remain in tobacco farming – it has not been distributed to the tobacco farmers properly. It is not distributed partly because there are local government restrictions in some of the main

tobacco-producing areas. Local governments have a growing consensus that social assistance from DBH CHT is only eligible for farmers who have not received social assistance elsewhere. While this is not true, a lack of collaboration and institutional role mapping results in the local government's confusion. Hence, with a proper collaboration scheme for DBH CHT utilization, the local government technical regulation for DBH CHT regulation is expected to be unvaried.

In addition to aiding, activities funded by DBH CHT, which are also part of the mitigation strategy for farmers who wish to remain in tobacco farming, are the activities under the improvement of the quality of raw materials. With the mandate of PP No. 109/2012 concerning the diversification of tobacco products, this activity can be directed to the development of alternative tobacco products. This will be an important mitigation strategy for reducing tobacco consumption, considering that many farmers are still willing to stay in tobacco farming. Hence, it is necessary to develop alternative products for these farmers.

*"The tobacco farmers have passed down their expertise only on tobacco farming—especially those who plant them on dry land. Tobacco characters can live on marginal land so that by only relying on rainwater, they can already produce selling value. Hence, without strong sociological arguments and studies, there might be strong potential rejection from the farmers themselves to switch to other plantations."* – (FGD participant, tobacco farming expert).

The second mitigation strategy concerns the tobacco farmers and tobacco industry workers who wish to exit the industry. This strategy involves the Ministry of Agriculture and the Ministry of Manpower and Local Government as the primary authorities. The two ministries will need to coordinate with the Coordinating Ministry of Economic Affairs – bearing in mind that the implementation of DBH CHT requires cross-sectoral collaboration. Likewise, local governments will require instructions from the Ministry of Home Affairs to standardize the technical regulations for the utilization of DBH CHT.

Although mitigation for cigarette industry workers will be closely related to the employment sector, the main functions of the Ministry of Manpower and the Department of Manpower in tobacco-producing areas in the utilization of DBH CHT for industrial workers are not specific. Therefore, mitigation programs for this group are ineffective. One of the programs designed as a mitigation strategy for industrial workers is job training. These job training will require mapping of alternative industries that can absorb e-cigarette industry workers – especially in key areas of the tobacco industry. However, because of the lack of role specification for manpower authorities in this initiative, the use of DBH CHT for this activity is sub-optimal. This is mainly because there is no exceptional separation in the design for the workers in the cigarette industry from other industries. As a result, the training is ineffective since it is irrelevant to the participants' needs.

*"We look at the descriptions of training carried out in industry across all sectors, and there is no separation regarding the cigarette and tobacco industries. However, there have been discussions for this study and mapping with the local government and the Department of Manpower in the East Java region as the largest tobacco producers."* – (FGD participant, Centre of Manpower Planning, Ministry of Manpower 1)

*"Not all training was successful, and there are also factors of willingness and demand. A need assessment study to determine the type of training and its suitability is urgently needed."* – (FGD participant, Centre of Manpower Planning, Ministry of Manpower 2)

In addition to job skills training, tobacco farmers and tobacco industry workers are also encouraged to become entrepreneurs as DBH CHT provides aid for business capital. However, given that the mandate to use DBH CHT as venture capital assistance is relatively new (it has been only stipulated within the last two years) and will require identification and evaluation of the roles of other sectors to be involved (such as the Manpower Agency and the Cooperatives and MSMEs Agency). Currently, the use of DBH CHT for business assistance capital for tobacco farmers and tobacco industry workers is still minimal.

Lastly, the activity that is part of skills improvement is assistance for tobacco crop diversification. However, since PMK No. 206/2020 – which also mandates diversification – the main tobacco-producing regions still have not allocated DBH CHT for this purpose. Tobacco diversification is still largely a farmers' initiative and independent of the government. This is mainly assessed because of the lack of technical regulations from the central government that can justify cross-sectoral collaboration for local governments in utilizing DBH CHT. Most regions consider that previous regulation still focused on the allocation of DBH CHT for health while the technical regulations for other sectors were still minimal.

*"PMK No. 206 of 2020 does not have detailed regulations such as technical instructions for the use of DBH CHT. Hence, each regional government makes their regulations, such as circular letters. Therefore, its use for agriculture or other sectors become unstandardized."* – (FGD participant, Regional Development Planning Agency in Jember)

Apart from the regulatory mandate regarding the role of each sector in this mitigation strategy, the use of DBH CHT as a means for mitigation strategy is still lacking in coordination with the absence of common goals agreed upon by cross-sectoral institutions. This is crucial because local governments are highly dependent on technical regulations, while there is no horizontal cross-ministerial/institutional collaboration among the central governments. Thus, the formulation of a collaborative model for this mitigation strategy is indispensable in the context of tobacco control in Indonesia today.

*"The role of the government is to mitigate the risk if there is a decrease in tobacco consumption due to tobacco excise policies. This is clearly mandated in Presidential Regulation No. 18/2020 concerning the RPJMN, so it has become a mandate for all of us. However, in relation to this, we do not have any coordinated policy for each sector, and there is still no direction toward that policy. For this reason, there needs to be a mapping of programs and main functions so that programs could be synergized and the use of existing budgets for programs could be integrated."* – (FGD participant, Coordinating Ministry of Economic Affairs)

*"The regional government is very dependent on the central government for technical instructions for the use of DBH CHT"* – (FGD participant, tobacco economics expert)

### **3.2. Proposed Governance Model**

The discussion of the urgency to provide a comprehensive approach to tobacco control policy that considers the affirmative policy for tobacco farmers and tobacco industry

workers highlights the need for more collaborative governance. More collaborative governance means governance or government and non-government arrangement to provide appropriate authority and link different government functions to promote tobacco control policies while mitigating all the policy risks. The tobacco industry and farming are influenced by multidimensional aspects that are difficult to control; therefore, the government arrangement to ensure that the government provides enough support to these groups while still prioritizing tobacco control policies is especially important.

The discussion of government structure and governance arrangement is increasingly evolving, resulting in various types of governance. Arguments that arise and encourage a more integrative, holistic, and collaborative approach assess that governments must take this more holistic approach to respond to increasingly complex problems that cannot be solved by traditional bureaucratic structures (Keast, Mandell, Brown, & Woolcock, 2004). Sullivan & Skelcher (2002) identify the forms of collaboration and governance rules such as network, partnership, federation, and integration that increase the degree of formality or structure. The network is a loose relationship without shared values and trust, or each institution is self-government. The second type is a partnership as a stakeholder's arrangement with limited agreement to share information and change governance rules from self-government to external government. A Federation is a structure where participating institutions devolve their autonomy to a federal form. The last type of collaboration is integration or a single organization hierarchy compiled from stakeholder mergers. This division of collaboration types shows that the collaboration model can arise from the absence of a clear structure until there is a structure to work together at a higher level of autonomy (federation) and increase the degree until there is the establishment of a new institution (integration).

In practice, the government does various variations in partnership. Mandell & Steelman (2003) propose a classification of inter-organizational innovation that give an overview of chance and government practices in doing partnership that range from a loose structure and individual problem orientation (intermittent coordination) to a more collaboration partnership such as a temporary task force, permanent and or regular coordination, coalition, and network structure. The network structure is the most collaborative model, which invites representatives of many diverse entities to work on a horizontal partnership and each partner is equal in power.

This study conducts secondary data searching to find empirical practices of these forms of collaboration or inter-organizational innovations in the Government of Indonesia to determine the inter-organizational model that the Government of Indonesia commonly adopts. Intermittent coordination is a common activity between ministries in Indonesia that sometimes involve non-government actors. However, this type is limited in power to encourage common goals achievement because each institution has a different commitment to goals and problems. The partnership model that the Indonesian government often carries out is the temporary task force and permanent or regular coordination. Two partnership models that are difficult to find in Indonesia are coalition and network structure. The Indonesian government recognizes the term coalition, but the term coalition usually appears to describe political support for an executive that often lacks a definition of a problem and an identifiable common goal.

**Table 4.** Proposed Governance Model to Implement Mitigation Policy for Tobacco Farmer and Tobacco Industry Worker

	<b>Task Force</b>	<b>Permanent Coordination / Secretariat</b>	<b>Fund Management Body</b>
Leading Sector	Ministry of Manpower and Transmigration for Tobacco Industry Worker Mitigation and Ministry of Agriculture for Tobacco Farmer Mitigation	Potential leading sectors include the Ministry of National Development Planning for all mitigation or the Coordinating Ministry for Economic Affairs.	A new institution manages a specific fund for implementing mitigation strategies for both issues.
Implementer	Cross-ministerial task force to carry out duties according to the agreed action plan	Each institution is based on the current authority division in mitigation strategies and follows an agreed action plan. The leading sector collects, monitors, and controls the implementation of each institution's action plan.	Each institution achieves specific action plans in mitigation strategies according to job division or authority division at the ministerial, provincial, and local levels.
Funding Options	State budget (APBN), revenue sharing fund of tobacco products excise (DBHCHT), or local cigarette tax		

This study reflects the literature review of governance and intergovernmental innovation and considers the common governance model in the case study location, which supports that temporary task force and permanent coordination have high feasibility. This research also adopts Sullivan & Skelcher's (2002) model that the governance network can promote a new institution that can accommodate the common goals of various stakeholders. Therefore, this research uses these three governance models as a trigger for focus group discussion and invites stakeholders to reflect and argue about the model's feasibility and other possible governance options to enhance tobacco control policy and its mitigation strategy in various aspects. Therefore, this research uses these three types of governance models as a trigger for focus group discussion and invites stakeholders to reflect and argue about the model's feasibility and other possible governance options (such as network structure and coalition) to enhance tobacco control policy and its mitigation strategy in various aspects.

### 3.2.1. Task Force

Temporary task forces are usually formed temporarily or until the team reaches the expected target. This task force model is like intermittent coordination but has a specific focus and tasks and is developed over a period to address a specific problem (Mandell &

Steelman, 2003). Therefore, information sharing in this model is still limited, so this force is still considered the status quo and still limited in capacity to solve problems together. Mandell & Steelman (2003) states that in the task force model, the orientation of the problem is still within each institution so that the commitment to achieve the goal can arise separately (in their respective agencies) or the same (common) between institutions. Interdependence between institutions on the task force can arise from a weak to a high degree with a breadth of effort considered still limited. The breadth of effort refers to who is involved and the impact of their involvement (Alter & Hage, 1993).

The Indonesian government has often established task forces to carry out government functions. Examples of task force practices in Indonesia include the National Bureaucratic Reform Committee (Presidential Decree 8/2021). The National Bureaucratic Reform Committee is responsible to the president and chaired by the Vice President, with the Minister of State Apparatus and Bureaucratic Reform as the secretary. Ministers in several ministries are members of this committee, among others Minister of Coordinating Ministry for Political, Legal, and Security Affairs, Minister of Coordinating Ministry for Economics, Minister of Coordinating Ministry for Human Development and Cultural Affairs, Minister of the Coordinating Ministry for Maritime and Investment Affairs, Minister of Home Affairs, and the Executive Office of the President of the Republic of Indonesia. The National Bureaucratic Reform Committee is supported by the National Bureaucratic Reform Team and the Executive Secretariat of the National Reform Steering Committee. The National Bureaucratic Reform Team is responsible for the committee. The executive secretary of the national reform steering committee oversees the executive secretariat and is assisted by experts. Another example of a task force in the Indonesian government is establishing a task force to accelerate the handling of COVID-19.

The task force implementing mitigation strategies for tobacco farmers and cigarette industry workers can consist of two task forces. The first task force with the Ministry of Agriculture can be a leading sector and has the task of mitigating risks to tobacco farmers groups. The Ministry of Manpower and Transmigration leads the second task force to mitigate risks to cigarette industry workers' groups. Ministries and other institutions get tasks and functions following their fields per the action plan. This model has the advantages of focusing on one goal (common issue/problem), having one directed coordinator direction, and having specific requirements. The task force can encourage the institutions involved to allocate human resources as representatives, and these representatives can coordinate with the origin agencies. However, there are weaknesses that there is a possibility of differences in issues between the task force and the original institution because the orientation of the problem is still individual, not shared/shared issues, and there is a potential difference in direction between the leadership in the task force and the institution of origin and the limitations of human resources and complicated bureaucratic procedures if the human resources sent do not get discretion.

### **3.2.2. Permanent Coordination/Secretariat**

Permanent coordination is coordinating two or more organizations through a formal framework for achieving goals. This form requires a process that is more than information sharing but also involves common goals (Mandell & Steelman, 2003). Membership of this

permanent coordination has been determined so that coordination can run stably and sharing resources can appear both in the form of sharing time, staff, facilities, and others. However, it can still be very minimal. The concept of coordinator or secretariat has been implemented in Indonesia, for example, in the form of secretariat SDGs (Presidential Regulation No. 59 of 2017). The Ministry of National Development Planning leads the SDGs Secretariat in Indonesia and has the task of integrating the SDGs target into the national development plan. The coordination role includes supervision and evaluation, reporting on the development of the achievement of SDGs targets and indicators, and encouraging the availability of budgets from state and non-state sources. The SDGs National Coordination Team is tasked with strengthening the strong commitment from the national level to the region and the synergy of work from various Ministries / Institutions and stakeholders to implement and achieve SDGs in Indonesia. The SDGs National Coordination Team consists of the Steering Board and the Minister of Development and Planning as the Implementation Coordinator, Implementation Team, Expert Team, Secretariat and Working Group for the four pillars of Social, Economic, Environmental and Governance development. The establishment of the organizational structure of the SDGs at the regional level follows the structure of the SDGs National Coordination Team. The advantage of the coordinator is that it does not require the allocation of human resources in one new institution but is attached to the original institution. The weakness of the coordinator/secretariat is that it does not have the strength to push common issues/problems/plans—challenges in collecting reporting from many agencies and ministries. With the many structures and hierarchies, the control range becomes weaker.

Permanent coordination to implement mitigation strategies for tobacco farmers and tobacco industry workers can be enforced by the Ministry of Planning and Development or the Coordinating Ministry for Economic Affairs. These two institutions have the authority to facilitate performance across ministries. The implementation and function of mitigation strategies for both issues can be implemented by relevant ministries such as the Ministry of Agriculture for tobacco farmers' issues and the Ministry of Manpower and Transmigration for the issue of tobacco industry workers. Other ministries may be included in permanent coordination to perform supporting functions.

### **3.2.3. New Institution - Fund Managing Body**

The new institution in this model is inspired by the network structure model (Mandel & Steelman, 2003) or integration (Sullivan & Skelcher, 2002), a collaboration model with the involvement of various stakeholders to achieve specific goals in a higher cooperation climate. A network structure comprises representatives of many diverse entities, including government representatives, businesses, the voluntary sector, and community members (Keast et al., 2004). Any institution or representative of elements of various stakeholders must actively work to achieve the same goals (Agranoff 1992, 1997; Agranoff and McGuire 1997; Feyerherm 1995; Mandell 1988, 1994). The network structure is a picture of collaborative work that exceeds informal linkages, cooperation, coordination, task force action or coalitional activity. (Mandell & Steelman, 2003).

The Thai Health Foundation can be an example of an institution representing various stakeholder elements to manage funds with specific objectives on tobacco control and affirmation policies in influencing sub-sectors, including tobacco farmers' mitigation



strategies and tobacco industry workers.<sup>1</sup> The difference between the Thai Health Foundation and the structured network, in theory, is in the equality between representatives and the absence of top-down authority and horizontal partnership. While in practice, the Thai Health Foundation, in addition to having elements of cross-stakeholder representation, also has a bureaucratic aspect that is a top-down authority to implement its strategy. This model has an advantage because it has a specific source of financing and planning of organizing, and leadership can hold the needs of the needed resources more flexibly (human resources, infrastructure, etc.). This model also allows institutions to structure their vision and mission according to targets as one independent institution. The disadvantage of this model is that it adds new institutions, so it requires the process of preparation and justification. The existence of new institutions that are not ministries and institutions can bring up new dynamics when coordinating with ministries/institutions. Weaknesses also arise when equalizing goals because of the different objectives of each institution from each of these new representatives and institutions (Mandell 1994).

### **3.3. Implementation Framework**

This study explores the implementation framework to inform the program logic, particularly in establishing the regulatory framework and financing alternatives for the collaborative governance in this proposed project. In the regulatory aspect, the Government of Indonesia follows Law No 12/2011 to determine the hierarchy of regulation that places Constitution Law as the highest order in the regulation followed by Resolutions of the People's Consultative Assembly, Law/Government Regulation in lieu of Law, government regulation, presidential regulation, provincial regulation, and local government regulation.

This study conducts secondary data analysis to examine the regulatory framework for each model. The Government of Indonesia develops presidential decisions or presidential regulations to establish a task force. For example, the government of Indonesia established the COVID-19 task force through Presidential regulation, which was strengthened by presidential regulation. The establishment of permanent coordination can also use the presidential regulation carried out in forming the secretariat of the SDGs in Indonesia. The establishment of new institutions in Indonesia requires a stronger legal basis, as implemented in the formation of The Indonesian Palm Oil Plantation Fund Management Agency, which requires legislation to establish a fund management body.

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<sup>1</sup> Thai Health Foundation [https://en.thaihealth.or.th/WHO\\_WE\\_ARE/THAIHEALTH\\_INTRO/](https://en.thaihealth.or.th/WHO_WE_ARE/THAIHEALTH_INTRO/)

**Table 5.** Regulatory Framework in Proposed Governance Model

Proposed Governance Model	Regulatory Framework	Reference examples
Task Force	Presidential Decree  Presidential Regulation	Presidential Decree No 8/2021 about the National Bureaucratic Reform Committee  Presidential Decree No 7 of 2020 about the Task Force for the Acceleration of Handling of Coronavirus Disease 2019 (COVID-19) Mitigation which was replaced by Presidential Decree No. 09 of 2020 and revoked with Presidential Regulation No. 82 of 2020 concerning the Committee for Handling Coronavirus Disease 2019 (COVID-19) and National Economic Recovery
Coordinator / Secretariat	Presidential Regulation	Presidential Regulation No 59/2017 about Implementation of Sustainable Development Goals
New Institution - Fund Managing Body	Law	Law No 39 about plantations became the basis for the establishment of the Indonesian Palm Oil Plantation Fund Management Agency.

There are several financing options to implement various proposed governance such as state budget, Revenue Sharing Fund of Tobacco Products Excise, local cigarette tax, and additional cigarette levies. Allocation of funds from the State Budget following the duties and functions of each Ministry / Institution. Law No 39/2017 and the Ministry of Finance Regulation No. 215 /PMK.07/2021 justify the fund allocation from the Revenue Sharing Fund of Tobacco Products Excise to the proposed governance model. This option requires the involvement of the provincial and municipal governments at the target location to collaborate on funding. In addition, the current regulation allows for the allocation of the Revenue Sharing Fund of Tobacco Products Excise for community welfare programs, approximately 30% of the revenue. Also, the local cigarette tax is potential as a source of funding. The local cigarette tax is 10% of the excise tax for tobacco products distributed to local governments based on the population. The regulation on local cigarette tax states that the local government can allocate 50% for health and law enforcement and the other 50% for different needs from the tax revenue. The government can define the other needs for the mitigation strategies. In addition, this study proposes a new type of funding as an additional levy option with the amount estimated between Rp 1-5 and is managed by the Ministry of Finance and allocated to the selected structure or approved program. All these financing resource options are the subject of discussion, and researchers ask for views from stakeholders in FGD to provide their feasibility views.

**Table 6.** Funding Opportunities

	State Budget	Revenue Sharing Fund of Tobacco Products Excise	Local Cigarette Tax	Additional Levy
Budget Manager	Central Government	Recipient of the revenue sharing fund of tobacco products excise at the local government (Provincial/Regency / City)	Recipient of the local cigarette tax at the local government (Provincial/Regency/)	The Ministry of Finance collects the levy and distributes the fund to related ministries.
Regulatory Justification	<p>Presidential Regulation No 45/ 2015 (Task and Function of the Ministry of Agriculture)</p> <p>Presidential Regulation No 95/2020 (Task and Function of the Ministry of Manpower and Transmigration)</p>	Law No 39/2017 about Excise, Ministry of Finance Regulation No 215/PMK.07/2021	Law No 28/2009 about Local Tax and Regional Levy	Law No 39/2017 about excise and a new law to justify additional levy

### 3.4. Stakeholder's Perceived Feasibility of Governance Model

Based on the Focus Group Discussion (FGD), there are several different opinions regarding which collaborative model is the most appropriate. The Director of Seeds at the Ministry of Agriculture said that each model has its advantages and disadvantages, but according to him, the task force model is the most appropriate choice because the division of tasks must be proportional. In addition, the Director of Processing and Marketing of Plantation Products at the Ministry of Agriculture also said that if we want to use the model by establishing a task force, it must ensure the benefits and distribution of DBHCHT funds are distributed correctly because, according to him, some of the funds have not been received directly by tobacco farmers.

Representatives from the Head of the Center for Foreign Trade Studies at the Ministry of Trade said that the Task Force and Coordinator/Secretariat model was the most feasible model. If the target is short-term, then the Task Force model is more feasible to implement because its members are more focused on achieving its goals, and the structure is not too large. However, if the target is long-term and has a broad scope, it is more feasible to implement the Coordinator/Secretariat or national committee model because there is a coordinating leader.

In conclusion, most FGD participants agreed with the Task Force model as a mitigation initiative for tobacco farmers and cigarette industry workers if summarized from various opinions. In terms of regulation, creating a Task Force is easier because the basis for its formation only requires a Presidential Decree (Keppres) compared to the Coordinator/Secretariat model, fund management agency, and additional cigarette levies for workers (labour tax). The Task Force model is considered better because collaboration requires a strong synergy between the centre and the regions.

In terms of experience, several previous Task Force models were considered successful, including the Mental Revolution Task Force and the Covid-19 Task Force. The Coordinating Ministry for Human Development and Cultural Affairs (PMK) of the Republic of Indonesia (RI) also has experience forming a Task Force to carry out specific tasks and functions. The Head of the Center for Employment Planning at the Ministry of Manpower also conveyed a good experience in the form of a Task Force on gender responsiveness in which each representative in the Task Force brought a message to be gender-responsive in programs in their respective ministries.

*"...If you take the Task Force and secretariat schemes, I see this Task Force because I see it is strong. This Task Force can ask regions that have plantations and agriculture also to create a Task Force..."* (Assistant Deputy in Coordinating Ministry for Human Development and Cultural Affairs)

The establishment of the Task Force needs to include relevant ministries at the central level and relevant work units at the regional level. The Task Force can make the Ministry of Manpower the leading sector at the central level. The Ministry of Manpower has prepared a national workforce plan involving another relevant ministry. The formation of the Task Force will align with the plans drawn up by the Ministry of Manpower, one of which is related to the welfare of tobacco farmers and cigarette industry workers. The Ministry of Manpower has also compiled the needs and projections of the workforce in each sector. Apart from the Ministry of Manpower as the leading sector, other ministries involved are the Coordinating Ministry for the Economic Affairs; Coordinating Ministry for Human Development and Cultural Affairs; Ministry of Agriculture; Ministry of Village, Development of Disadvantaged Regions and Transmigration; Ministry of Home Affairs; Ministry of Trade; Ministry of Finance; Ministry of Health; and the Ministry of National Development Planning/National Development Planning Agency (PPN/Bappenas). A Task Force can be formed at the regional level in areas with tobacco plantations with the Regional Secretary (Sekda) as the leading sector involving relevant work units.

Several resource persons also mentioned alternatives to prepare mitigation for tobacco farmers and tobacco industry workers, namely improving tobacco quality, import restrictions, and production restrictions. In addition, representatives from the Directorate of Seasonal Crops and Spices at the Ministry of Agriculture also explained that they had drafted Ministerial Regulation number 23, which stated that companies wishing to import had to buy their crops from tobacco farmers themselves; 20% of activities were for improving the quality of raw materials. Besides, farmers are also being given seed or fertilizer assistance.

Four challenges will be faced in the collaboration model in the form of a Task Force if implemented, among others:

1. Coordination and communication must be strong and intense because each sector may have various obstacles in program implementation.
2. Obstacles link Task Force collaboration and community involvement in using the collected funds later distributed to tobacco farmers and cigarette industry workers.
3. There is still sensitivity between sectors to collaborate due to differences in direction and views from the original institution.
4. There is a need for commitment or political will from policymakers at the ministerial level and echelon 1 level officials in implementing the collaboration model, both in the form of joint decisions and continuous supervision.

In addition to the four challenges, representatives of the Ministry of Home Affairs revealed that there are three essential management pillars so that the Task Force model can be implemented namely.

1. There is a legal basis,
2. Availability of resources to implement the program, and
3. Availability of facilities and infrastructure to run the program.

*"...Yes, maybe the obstacle is that we have to coordinate, the integration must be strong..."*  
(Assistant Deputy in Coordinating Ministry for the Economic Affairs)

#### **IV. Conclusion and Recommendation**

The results of this study reinforce previous research that states that holistic and integrative approaches to solving complex problems require the collaboration of various stakeholders. Tobacco control is a dynamic problem and requires an integrative approach to suppress cigarette consumption which has negative externalities for the country and society. Moreover, tobacco control policies also need to integrate all sectors to prepare policy options that apply nationally and internationally. Mitigation efforts in tobacco agriculture and the tobacco industry are necessary since the direction of government policies in all countries encourages partisanship towards public health and mitigates risks in all sectors to achieve sustainable development.

This study shows that all stakeholders recognize that tobacco control policies are an absolute must-do policy, and regulatory mandates to develop mitigation efforts in various sectors, including the tobacco agriculture and tobacco industry sectors, need to be implemented immediately. This study shows that the stakeholder perceives that the task force is the most feasible model for the short term. This finding indicates that the stakeholder prefers the 'business as usual' model to a more structured network. Even though the current discussion prefers the task force model, Indonesia requires a more collaborative network to link different stakeholders to achieve the target of the tobacco control policy. The findings suggest that future research adopts a participatory action research approach to assess and advocate for the relevant ministries to discuss the necessary implementing framework.

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