

## An Implementation of Self-Management Type III: A New Era of Collaborative Governance, CSOs, and the Local Government of Surakarta

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### *Abstract*

The article describes the implementation of self-management type III in Surakarta. Based on Presidential Decree 16/2018 Article 18 paragraph (6) letter c, type III is a self-management that is planned and supervised by the Ministry/Institution/Regional Apparatus responsible for the budget and implemented by the Mass Organization. Backdropped by hesitant among local governments to implement it, this research formulates a research question, are there any significant barriers that can cause of local government of Surakarta not to implement Self-Management Type III? Research is conducted through Qualitative Thematic Analysis that includes data collecting, coding, description, and thematic reflection. Three thematic areas to be observed are policy content, procedure, and practice. Data are collected mainly from interviews, documents, researchers' participation in Usaid-funded Madani programs in Surakarta 2021-2023, and further participation in Bakesbangpol - National and Political Unity Agency in Surakarta's self-management type III implementation in 2023. Data are also collected from contemporary articles on CSOs and self-management-related issues. The research finds that there are no significant barriers to implementing self-management type III in Surakarta city unless both the local government unit and implementing CSO need to learn and adapt to procedures of implementation and reporting. On specific CSOs' side, they need to improve their legitimacy and specify services.

**Keywords:** self-management type III; collaborative governance; policy practice; CSO Empowerment.

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## I. Introduction

Self-Management Type III is an inclusion policy issued by the National Government of Indonesia to enable mass organizations to become development implementation partners. Even though national regulation through the Presidential Decree has been issued since 2018, there are still a few cities that have started implementing this scheme. Madani Usaid, for example, identified that until mid-2023, only two cities would have implemented this scheme in Central Java, namely: Brebes and Surakarta. Compared to 35 cities in the region, there has only 5% of the cities implemented this innovative policy. There is no such data at the national level, but it seems that government partnerships with Civil Society Organizations have not been widely utilized by regional governments.

In Indonesia, the existence of CSOs is regulated in National Regulation/ Undang Undang No. 17 year 2013 on Citizenry Organization. Due to the widespread focused issues, program activities, level of advocacy, and strategies for changes, CSOs cannot be defined in a single phrase. At a most common definition, CSOs are non-state, not-for-profit, voluntary entities formed by people in the social sphere that are separate from the State and the market. CSOs represent a wide range of interests and ties. They can include community-based organizations as well as non-governmental organizations (NGOs). In the context of the UN Guiding Principles Reporting Framework, CSOs do not include business or for-profit associations. (United Nations 2017)

As United Nations (2017) elaborates Civil Society Organizations (CSOs) are non-state voluntary institutions that operate on a not-for-profit basis. They are formed and led by citizens to fight for collective interests or common interests as well as the interests of members, certain target groups, or the general public. Governance arrangements and interventions carried out by CSOs are determined by leaders, members, or target constituents without significant participation or representation controlled by the government. The primary focus of CSOs is often service delivery, particularly access, quality, and accountability. They play an integral role in the successful functioning of democratic governance systems and are active stakeholders in social, economic, and cultural activities. CSOs have various goals, governance structures, and sizes, and have important functions in society. For example, CSOs can be community-based organizations, environmental groups, women's rights groups, and more. In short, CSOs are independent development actors that work together with governments and development agencies to achieve specific development goals and strengthen civil society. These services often complement, but do not replace, government provision of services.

The government's partnership with CSOs has been long-standing, albeit in a limited scheme. In the past, partnerships occurred with individuals who were members of CSOs contracted for specific jobs by government units. In other partnership formats, the government hired private entities related to CSOs to do their programs. So, the difference between previous and current self-management type III partnerships is located at the legal entity that is hired by the government's units. Self-management type III is a new partnership model allowing CSOs as legal entity be partners of government units. In the past, CSOs were generally not placed as professional partners of the government. If there were, they were placed as charitable social entities. Consequently, in the eyes of the government, some CSOs were positioned as entities that require 'assistance' from the

government. Whereas the work of CSOs encompasses not only charitable activities. Thus, self-management type III can be seen as an era of CSOs' professionalism. (Mellquist, J. 2022)

CSOs work in various fields. It has been widely known that CSOs/ NGOs in developing countries work to strengthen Civil Society and Democratic Development. OWA EGBARA OWA (2017) for instance says: It often covers the loopholes created by partial service delivery of the government in developing countries. NGOs have also been involved in civil society and democratic development, as evident in the politics of development across the developing world, expertise in development software, and grassroots representation bringing legitimacy and community mobilization to programs and projects. The strengthen the state system through their participation in improving the efficacy of government services, acting as strategic partners for reform-oriented ministries, filling the gaps in service provision, and helping the government to forge ties with the grassroots. (91) Eeva Luhtakallio, Tuomas Ylä-Anttila & Anu Lounela (2022) studied how civil society organizations influence climate change politics. Their study covers India, Indonesia, and Finland case. There are many more issues and fields CSOs are working on.

At local Surakarta city, the KOMPIP Foundation as funded by USAID IUWASH (project year 2014) empowered Water Supplier Unit's (PDAM) customer forum to improve units' services. In the past, KOMPIP supported by various donors such as Care International Indonesia, Samdhana Foundation, GTZ, and YCAP-AUSAID provided humanitarian assistance advocating the earthquake in Yogyakarta and Merapi eruption in Magelang. Supported by the Ford Foundation, KOMPIP promoted democracy and pro-poor governance. Lately, in the year 2020 to 2023, KOMPIP supported by Madani-Usaid promoted village budget transparency and accountability in Surakarta. Those activities exhibit examples of a wide range of services provided by a CSO.

Bakesbangpol Surakarta records there are around 170 CSOs or Citizenry Organizations in Surakarta. Like at many other places at the national level and the world, CSOs in Surakarta work to advocate various issues. Below are the examples.

**Table 1.** Several CSOs in the Madani-Surakarta learning forum (KOMBES) and their focused issues

CSOs	Focused Issues
LPTP	Rural Technology and Social Transformation
KOMPIP	Democracy and Rights of The Marginalized People
Spekham	Women and human rights
Sari	Migrant workers
Kakak	Children
Seroja	Small scale entrepreneurship
Interaksi	Disability
PPRBM	Disability
Kampungnesia	Urban community study
Inres	Research and community empowerment
Pattiro	Regional Study

Lijfering, et. All (2021) described how many civil society organizations (CSOs) have started to invest in research in the context of their program. The reason for this is to bring their organization to have evidence-based work. CSOs in Surakarta also develop research units and provide various consulting services. Those units and services of course require competent skills and knowledge. At unique axis, CSOs often engage in advocacy activities. CSOs as independent development actors often work with governments to share goals.

Self-management type III improves relations between government and civil society organizations to achieve shared development goals. This type of management allows CSOs to be positioned as professional partners by both central and regional governments. At its essentials, self-management type III as regulated in Government Regulation Number 16 of 2018 was released to provide legal certainty to units in government that they can employ CSOs to achieve their specific goals. At this point, the units' challenges are, however, how they can meet appropriate CSOs that are competent to be their shared goal partners. And, on CSOs' side, they need to improve their competencies and level of standards of services.

Why do Government units need to utilize CSOs' services? It is as stated in the President Regulation no 16/2018 that CSOs can give special services as they have the capabilities to handle 'difficult tasks'. Sometimes CSOs are indeed working as a special task force. In addition to developing resources that enable CSOs to do professional work, some CSOs also have the will and skills to do work that professionals rarely want to do. Works that arise as a result of various social, economic, or environmental crises are generally not to be handed to professionals. CSOs as social institutions that have humanitarian missions, for instance, can go the extra mile and times, sometimes even facing risks that exceed the ability of professional institutions to handle.

Self-management type III has been regulated since 2018, but it looks like there were hesitant from government units all over the country to implement the scheme. Backdropped by hesitant among local governments to implement it, this research formulates a research question, are there any significant barriers that can cause of local government of Surakarta not to implement Self-Management Type III?

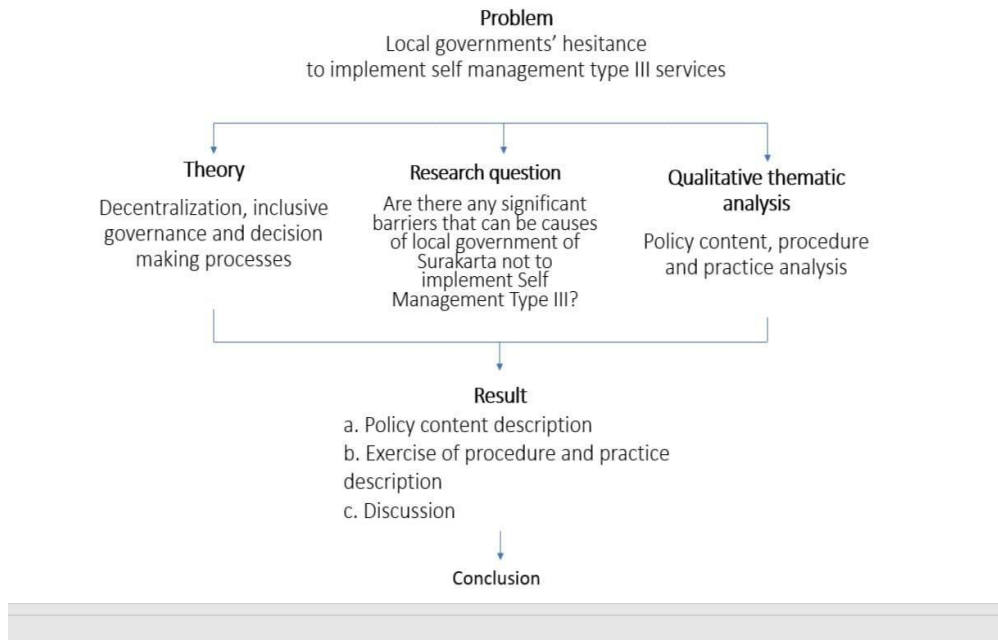
## II. Methods

This research employs Qualitative Thematic Analysis as introduced by Boyatzis (1998). QTA has been employed in social change research (Kogen, 2024). Researchers do four steps in this QTA processing research. There are four steps social researchers often take. They are data collection, coding, description, and thematic reflection.

Data in this research was collected through interviews, observation, and document studies. It was through observation that parts of the researchers were key personnel in the Madani Surakarta project 2021-2023. Within the Madani project, they designed a space for discussions on self-management type III. They were conducting an assessment on problems of why units in the local government of Surakarta looked hesitant to implement the scheme. The researchers wrote and reviewed policy briefs for the Madani project. They also got involved in dialogs and discussions on related issues with the local government of Surakarta. Part of the five researchers were also key persons who on behalf of the KOMPIP Foundation entered a contractual agreement with Bakesbangpol Surakarta to implement self-management type III contractual services

In short, observations were conducted by researchers during their participation in the Madani Usaid-funded project and implementation of Bakesbangpol self-management type III. As most of the researchers were implementors of the two projects, they had access to documents and documentation of the two project activities. To enrich data, researchers also collected data from contemporary articles on CSOs and Self-management-related issues. Some of the data were utilized to enrich discussions on expanding the roles of CSOs as social agencies. Such data were also helpful in connecting national and local initiatives that are not excluded from innovations in the global citizenry.

Data was then coded according to necessity aspects to answer the research question. Furthermore, coded data were presented in elaborated descriptions. When the description has been considered sufficient, the researcher continued with discussion in a prepared sub-chapter. In this part, the researchers contextualized their findings with contemporary dynamics of relations among CSOs and other parties, especially the local government of Surakarta, and compared them with various CSOs' efforts in several corners of the world. Such discussion the researcher considered important as the world has been now globalized. Comparative learning from different developing countries would make evidence that many innovations had been initiated to advance partnerships among parties especially government(s) and CSOs. Below the authors present a logical framework of their journey of learning.



**Figure 1.** Development of Regional Tax Ratio in 2011 and 2019 (in percentage)

### III. Result and Discussion

#### 3.1. Self-Management Type III National Policy

The Indonesian government through the National Development Planning Agency (Bappenas) initiated the involvement of Civil Society Organizations (CSOs) in the development process programmed by the government. This innovative initiative is regulated in Presidential Regulation Number 16 of 2018 concerning Procurement of Goods and Services which has been refined through Presidential Decree Number 12 of 2021.

As a follow-up of the President Regulation, The Government Goods/Services Procurement Policy Institute (LKPP) then issued LKPP Regulation no. 8/2018 later revised with no 3/2021 concerning Self-Management Guidelines. The guidelines explain in more detail the requirements for the typical self-management. The guideline also identifies activities that can be carried out through Type III Self-Management. They are to include research, studies, education, community empowerment, and mentoring.

What is the importance of the President Regulation No 16-year 2018 to CSOs or Citizenry Organizations? The release of the regulations is important as it explains the Indonesian Government's launch of a new era of collaborative governance, emphasizing its intention to materialize good governance. The involvement of mass organizations and CSOs through the national regulation of self-management type III is an explicit effort to the importance of these groups being involved in development processes. According to Efendi, R et. all (2019) there are main objectives of Self-Management Type III Implementation. They are:

- Assist the Government in improving the quality and range of services
- Increasing community participation in the development process
- Increase effectiveness and efficiency performance of mass organizations; And
- Improving human resource technical capabilities

The release of President Regulation on Self-Management Type III can also be read as supposedly the government's initiative to build a good ecosystem for CSO as Kumi, E, Bandyopadhyay, K.K & Collada, P (2021) recommended that there is a need for donors to think about how to strengthen the capacity of the CSO ecosystem rather than focusing on strengthening the capacities of individual organizations. This would require donors to support the establishment and nurturing of networks of, regional, resource organizations that focus exclusively on strengthening the capacities of CSOs.

The City Government of Surakarta has become one of few cities pioneering collaborative governance by implementing activities based on this self-management type III partnerships. It was Bakesbangpol a unit that has been vanguard to implement that means to promote the implementation of the innovative scheme.

Attending the process of the implementation of a self-management type III partnership with Kesbangpol, researchers witnessed that the City of Surakarta has been supported with the necessary regulations to secure the implementation of the typical partnership. There are already regulations that support collaboration between the City Government and CSOs, with the enactment of Surakarta City Regional Regulation No. 8/2018 concerning cooperation, Mayor regulation/ Perwali no. 33 of 2020 on guidelines for the procurement of goods and services. Under the regulations collaborative initiatives

through self-management type III any cooperation are workable. The problem lies in the awkwardness of implementation by units. Both regional government and CSO units are not yet fully ready to immediately put it into practice. As a new vehicle, it seems that mainstreaming is still needed so that Regional Units - SKPD and CSOs begin to work together to practice Collaborative Governance.

### 3.2. Bakesbangpol Surakarta Implemented Self-Management Type III in 2023

On August 1, 2023, Bakesbangpol Surakarta contracted KOMPIP Foundation as the implementor of the partnership of self-management type III. KOMPIP entered the contract under the agreement on a request to implement technical mentorship provision of Organizational Performance Index for Citizenry Organization with contract agreement No BL.03.03/1904/VIII/2023.

It is not all citizenry organizations can enter into a partnership agreement. However, most citizenry organizations can enter a partnership agreement. KOMPIP Foundation as a CSO signed the contract as the foundation has been considered to fulfil all requirements to enter contractual services. KOMPIP's performance as a service provider convinced Bakesbangpol Surakarta to let it enter the contract. Below is the standard checklist that applies to KOMPIP Foundations and other Civil Society Organizations that are interested in entering partnership type III service provisions.

There are at least 8 requirements that are necessarily provided by a CSO to enter a self-management type III contractual service. KOMPIP complied with all eight requirements as follows:

**Table 2.** Requirements for CSOs to attend contractual services Type III

Requirements for Citizenry Organizations to partner with Government Units in Type III Self-Management projects.	Compliance
Legally incorporated as a foundation or association and registered with the Ministry of Law and Human Rights	✓
Have an NPWP (national taxpayer ID) and fulfill obligations for the latest year	✓
Have organizational apparatus (Administration, AD - Fundamental Rules, ART- Operational Rules)	✓
Has a field of activity related to the goods/services provided	✓
Has a field of activity related to the goods/services provided	✓
Have a financial balance sheet for the last three years	✓
Own or control an office with the correct address, whether owned or rented.	✓
Enter into a partnership agreement.	✓

Source: LKPP regulation 3-year 2023

### 3.3. Self-Management Type III Practice

Aforementioned contractual service of Self-Management Type III from Bakesbangpol to KOMPIP means that Bakesbangpol had been happily employing KOMPIP



to deliver Organizational Performance Index (OPI/IKO) technical assistance to citizenry organizations in Surakarta city. What is the Organizational Performance Index – IKO? IKO is a tool introduced by USAID MADANI. IKO can help citizenry organizations increase their capacity to make them effective, efficient, sustainable, and resilient. Bakesbangpol - National and Political Unity Agency in Surakarta aims to strengthen Citizenry Organizations through assistance with IKO measurements with the hope that through mastering IKO, mass organizations can design pathways to raise their performance levels. If performance gets improved, it is expected that the role and participation in development will also improve.

Of the 170 mass organizations in Surakarta, 20 mass organizations were selected to take part in the IKO Measurement Technical Guidance. The participants in the IKO Technical Guidance by Bakesbangpol 2023 include PGPI-P, Kota Kita Surakarta Foundation, Relindo Kota Surakarta, Diwa Foundation, Fatayat NU, PPRBM Surakarta, SPEK-HAM, Smart Medika Foundation, Insan Mulia Foundation, GP ANSOR, Surakarta Bersimfoni, Surakarta Kita Sejahtera Association / UMKM Surakarta Kita Sejahtera, HKTI Farmer Youth, Jarpuk, Komcab Surakarta Catholic Youth, Surakarta Muslimah Bakti Foundation, Mentari Sehat Indonesia, Solusi Kita Foundation, Social Care Youth Association (P3S), Surakarta Medicare.

The general objective of this IKO measurement technical guidance is to equip Citizenry Organizations' administrators with the skills to enable them to quantitatively and qualitatively assess their organization's performance based on domains and sub-domains of effectiveness, efficiency, relevance, sustainability, and resilience. Through this measurement, administrators can see a picture of the extent of the organization's performance and strength based on the level or levels that have been implemented. Knowledge of the position or level of this organization will be useful for strengthening organizational capacity.

IKO technical assistance activities were implemented during August-September 2023 and were attended by 20 citizenry organizations in Surakarta City. Activities included pre-technical and technical activities. Technical activities were divided into two parts: IKO measurement training and mentoring which aimed to strengthen IKO measurement skills.

Pre-technical activities were carried out before the technical guidance activity for IKO Measurement (Organization Performance Index) as a first step to check the readiness of prospective participants. Activities were held on Wednesday-Thursday, 09 -10 August 2023. Pre-technical activities were carried out online via Zoom meetings and were attended by 20 representatives from the invited mass organizations.

IKO technical trainings were carried out over two days, namely Wednesday - Thursday, 09 - 10 August 2023. The first day of activities was opened by the Secretary of Bakesbangpol on behalf of the Head of Bakesbangpol Surakarta.

Mentoring activities (coaching clinics) were carried out in groups/clusters, each group consisting of 3 mass organizations. The activities were carried out in one of the CSO clusters with a period of 6-25 September 2023. The outcomes were:

- Participants had the Understanding and Ability to measure organizational performance with the IKO (Organizational Performance Index)
- Mapping the status/level of the Mass Organizations
- Internal strengthening by knowing organizational priorities in structuring the

organization for the next year.

- Strengthening synergy among mass organizations, also between mass organizations and the Surakarta City Government.

With intense communication between Bakesbangpol and KOMPIP, labor delivery through contractual services of self-management type III, program activity implementation, and reporting ran relatively smoothly. There are no significant issues during program implementation and reporting. With the absence of significant issues during implementation and reporting by KOMPIP, it is presumable that there are no causes and reasons for any units in local governments to be hesitant to implement this type three contractual services.

### **3.4. Discussions**

Since the implementation of decentralization nearly 25 years ago, there has been an increased openness among local governments to working with CSOs, and more opportunities for CSOs to work on sector programs. (USAID 2018, P.2) At various corners of the globe, decision-making and practice spaces become more inclusive for CSOs. ((Alidemaj, H. A. & Maxhiu, S. (2021); Ugwuanyi et.al (2021); Gao, X & Teets, J. (2020)). There in Kosovo, CSOs have been taking part in decision-making processes. In Nigeria, CSOs persuade regulation guarantee that CSOs can work together more with government units on development practices. In China, CSOs navigate the local government for more inclusive environmental governance.

Self-management type III is typically a more advanced of that is being persuaded in for instance in Nigeria. Self-management type III is regulated to guarantee legal partnerships between government units to CSOs. Self-Management type III however needs to be read as a direction and option to government units that in turn give opportunity to CSOs or citizenry organizations to take benefit of. Rather than it is politically an award for CSOs or citizenry organizations to have their rights to access resources to the public budget. What is the essence of a contractual agreement?

The occurrence of acts or acts of cooperation between the government and other (private) parties which are instrumented through contracts, are unilateral by the government. So, the contract is not the basis for determining government action in cooperation in the procurement of goods/services but is only one part of the process of cooperation. The contract is merely a binding legal instrument between the government and the private sector as providers of goods/services. The government procures goods/services that are possible in collaboration with other parties, always based on the authority of the government's duties and functions as the organizer of state affairs which takes care of the needs of its people. Thus, contracts that arise are merely instruments in the cooperation process and do not become a legal basis for the government to take any action or deed. (Rahmadani and Raodah P, 2023 p.46)

The release of partnership type III contractual services has been however government's progressive decision as it gives a more inclusive environment to CSOs getting involved as development program implementors. In comparison to other countries, CSOs in Nigeria (Ugwuanyi et. all. 2022) have now been persuading typically similar regulations to type III regulations. Meanwhile, CSOs in Tanzania still at the lower struggle to persuade their existence legitimacy. (Kontinen, T. & Nguyahambi, M.A 2023)

What is the benefit of self-management type III implementation for the Government of Surakarta? Type III self-management as a pillar of collaborative governance in Surakarta has the potential to successfully achieve development goals in the region. Type III self-management provides space for the government to utilize knowledge, skills, expertise, skilled, diligent, and experienced human resources spread across mass organizations and CSO-Civil Society Organizations. The knowledge and skills resources owned by mass organizations and CSOs can be used by local government units for new energy, strengthening the implementation of collaborative governance in the region. Self-management type III has the potential to be a marker and reinforcement for the achievement of the development vision in the region and the Local Development Goals for the City of Surakarta for 2021-2026, namely: "Shaping Surakarta as a modern, resilient, agile, creative, and prosperous city."

What CSOs benefit from the self-management type III? On the organizational front, common challenges that CSOs in Surakarta face like most CSOs in Indonesia include limited funding, inefficient organizational management, lack of technical expertise, dependence on individual charismatic leaders, low accountability, and weak financial management. (USAID 2018 p.2) Self-management type III provides an opportunity for CSOs to improve their technical expertise and organizational management which later leads them to have opportunities to access project funding.

Why local government of Surakarta need to work with CSOs and citizenry organizations? The overall perceptions of CSOs from governments, the private sector, the media and the public show that CSOs are strong in advocating on issues and mobilizing communities. Many CSOs in Surakarta have good management and technical skills. As Usaid (2018 p.3) has validated CSOs in Surakarta authors are also viewed as available to work around the clock and as having deep penetration at the grassroots level. (see also Muwonge, N.M, Denis, W.; Sophie, N.; Alex, O. (2023)

Do government units' hesitant to invite mass and citizenry organizations attend Type III partnerships make sense? Herdiansah, AG & Randi (2016) found that with the power of collectivity, abilities, and organization the masses, citizenry organizations and CSOs oversee and participate in the policies or development programs in the public interest. Also, citizenry organizations and CSOs have the function of maintaining political and social stability. They mediate the various benefits that occur among groups of people to minimize the potential for social conflicts. Benchmarking the one that Usaid (2018) found that government stakeholders had been concerned that CSOs had their agendas and often bypassed bureaucratic procedures and created confusion in the field. (p.3) This research found no such issues prevailing during dialogs among CSOs and local government units. There were no outspokenly mentioned typical concerns at both Madani spaces as well as at Bakesbangpol type III implementation meetings. One explicit barrier was mentioned by one of the representatives from the local government unit: "Most units are not yet knowledgeable with procedures of partnership type III. We continue to enjoy other types of partnerships. So, most of us consider it is not yet in our need to be in a hurry to implement self-management type III." (Sekda – City Secretary meeting, 9 Oct 2023)

The statement of the officer reconfirmed Madani Surakarta's findings and recommendations regarding the readiness of both Surakarta government units and CSOs in Surakarta to implement Swakelola Type III, as follows:

- Dissemination of information about the Type III Self-Management policy to government elements as well as CSOs and mass organizations is inadequate.
- There is a problem of readiness in government while a map (catalog) of expertise among CSOs and CSOs is also not yet available.
- Ideas, innovations, and development creativity that could be translated into collaborative development activities by the government and CSOs have not been widely explored. (policy Madani Surakarta's policy briefs, 2022)

The above Madani Surakarta's recommendations remind macro recommendations to donors as the Ford Foundation, for instance, had an echo that "Donors need to think about strengthening the capacity of the CSO ecosystem rather than focusing on individual CSOs. This requires the establishment of resource organizations that focus exclusively on strengthening capacities of CSOs at the country and regional levels." (Kumi, E, Bandyopadhyay, K.K & Collada, P 2021)

#### IV. Conclusion and Recommendation

The spirit of the national regulations on type III has ushered in a new era of collaborative governance, where parties can easily work together towards shared goals. With eight requirements for CSOs to comply with contractual services Type III, many CSOs in Surakarta city will have no obstacles to overcome. KOMPIP's experience in implementing Type III contractual services with Bakesbangpol Surakarta has shown that there are no significant issues that would prevent its implementation.

Assessment of readiness to implement collaborative governance through Swakelola Type III in Surakarta City reveals that both the government and CSOs/Ormas need to strengthen their preparedness. Promotive activities and mainstreaming of collaborative governance through self-management type III are not only necessary but also urgent. These activities can be carried out by disseminating regulatory information, preparing organizations, and campaigning the need for collaborative activities between the government and CSOs - Mass Organizations. On the specific side of CSOs, they need to enhance their legitimacy and specify their services. Their presence in local and regional development spaces needs to be well disseminated, along with their improved capacity for both administrative procedures and services.

For the Surakarta Government and wider local governments in Indonesia, the partnership activities between Bakesbangpol and KOMPIP can serve as a role model to initiate a new era of collaboration between parties. As expected more units and cities in Indonesia implement self-management type III enthusiastically without any difficulties, and this model can be a guiding example for collaborations.

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