論 文 の 内 容 の 要 旨

論文題目　　AN INSTITUTIONAL ANALYSIS ON THE DYNAMICS OF
COLLABORATIVE METROPOLITAN GOVERNANCE IN THE PROCESS OF DECENTRALIZATION:
A CASE OF INDONESIA
（地方分権下における大都市ガバナンス間協働のダイナミズムに関する制度分析
インドネシアを事例として）

氏　　名　　オキタサリ　マヘスティ

In recent years, the concept of regionalism has been frequently used as the theoretical underpinning for governance studies focusing on urban service provision (e.g. Wheeler, 2002; Feiock, 2004). With the fragmented governance movement rapidly occurring, fuelled through decentralization, attention towards the organization of local government has been escalating quickly as well. Between the increasing campaign for regionalism and the light of a fragmented local political environment where local governments likely have to sacrifice their autonomy for collective objectives, research on interlinkages between these two subjects are surprisingly low in developing countries. This urgency to address cross-boundary urban issues and the path to new regionalism in a fast growing developing country posts as one of the reasons why research concerning collaborative governance is needed. Beside this issue, this dissertation is also built upon the criticality to understand collaborative governance in the process of decentralization which received less attention as precedent research set more focus on collaborative cases in the established decentralized system.

The importance of study at local government institutions in the process of decentralization is emphasized by the notion that it offers different institutional characterisation due to various adaptations that have been made by institutions. These adaptations are particularly pursued to adjust to the new realities as higher levels of government's power to local government is reduced. The influence comes through the cost of assessing and exerting power, including public policy decision, providing and managing services, and the capacity of local agencies to collectively mitigating

cross-jurisdictional problems. The external factors affecting collaborative governance in the process of decentralization also differ in terms of organisational and institutional challenges, transaction costs due to socio-cultural and political settings.

In order to understand the working of collaborative metropolitan governance in the process of decentralization, this study took cases on Indonesian metropolitan regions focusing on cases of collaboration to provide urban infrastructure. The idea behind the importance of understanding the collaborative urban infrastructure is a presumption that by doing so, it is possible for this study to identify better characterisation of collaborative metropolitan governance. As collaborative activities in the urban infrastructure provision is one of the main agendas of metropolitan regions, understanding its process will generate findings that can be generalised for the working of collaborative governance in the metropolitan region. Infrastructure provides a field where collaboration is inevitable due to its interconnected and interdependent nature. The complexity of collaborative infrastructure provision due to possibilities of actors' involvement from a multitude of background is seen as beneficial to mimic the intricate system of governing metropolitan collaboration.

Referring to the urgency of its study, this dissertation raised three main objectives. First, it aims to analyse the pattern and structure of Indonesian collaborative metropolitan governance. By doing so, it subsequently targets a study to identify the factors structuring the collaborative governance system, including the institutional implication of the decentralized governmental system, and the governance network and actor interaction by using institutional analysis approach. Second, it aspires to examine why and how collaborative governance emerges in Indonesian metropolitan regions. Lastly, it proposes to recommend how collaborative metropolitan governance should be constructed and to suggest in which ways collaborative metropolitan governance can be promoted and improved.

This dissertation sets its first hypothesis stating the state of Indonesian collaborative metropolitan governance is closely related to the extent of the institutional structure of central-provincial-local government interaction, external and internal factors influencing the collaborative governance at the local level. Consequently, the assumption is that the typology of governance network and actor interaction is institutionally and geographically bounded and that collaborative metropolitan governance is closely related to specific collaborative-supportive policy approaches. The second hypothesis proposes that in the decentralization process, selective external environmental settings at the regional level lead to higher possibilities of local governments to pursue collaboration. The third hypothesis argues that the construction and promotion of collaborative governance should be based on the assessment of the factors influencing the local and regional governing system as well as the architecture of the institutional structure established between multilevel of governments and the institutional network at the local level.

To test these hypotheses, this dissertation focuses on contours of local governance exercising their collective objectives among decentralized governmental units, public and private organizations. As this study focuses on institutions and how their internalities and externalities influence governance, for analysis this study mostly utilises the idea of institutional approaches brought by rational choice and sociological institutionalism. This dissertation touches the vertical and horizontal interaction between cities and their involved counterpart for collaboration, and interlinkages between these connections towards the overall effectiveness of collaborative metropolitan governance. As a consequence, this dissertation examines how deep decentralized governance is practiced, how far it affects regional and local collective action, and how it can be projected to the metropolitan governance.

Using Indonesian cases, the framework will be used to advance our understanding of local and regional governance in the process of decentralization. The number of cases examined in this dissertation represents its aspiration to post as the first comprehensive research on Indonesian collaborative metropolitan governance. The structured survey methods are chosen with a purpose to produce both qualitative and quantitative data. Data were collected from 33 cities across Indonesia by survey in which 29 out of them is purposefully selected cities through site visits and extensive interviews. The survey targeted chief officers from local government (municipality/regency level) who are primarily responsible for collaborative activities.

This research is generally empirical and partly theoretical. Its theoretical part is showcased in the theoretical exploration, used to construct the analytical framework for analysis. To connect the theoretical and empirical part, this study is mainly takes interest to build a body of empirical evidence pertaining to the collaborative governance and developing theoretical construction to describe and explain the phenomena. Quantitatively, this study is interested in determining which characteristics and variables are operationalisable and how the framework derived from the theoretical review can be used to generate testable hypotheses. Five quantitative analyses are done to identify the characteristics of collaborative metropolitan governance, its emergence, local institutional environment influencing collaboration, internal institutional design, and actors' interaction. Qualitatively through in depth case studies, this study looks to see how aspects of the same framework used to test quantitatively can be used to code narratives and explain observable governance phenomena.

The first analysis, the analysis on the institutional structure, is directed to explain the structural dimension of institutions based on collaborative activity arrangements. Findings show that the institutional structure varies across cities and regions. There is wide variation of the use of collaborative activities between regions, including variation of frequency ratio of activity and their preference in undertaking the collaborative activity with certain partner. There is no strong empirical

evidence of correlation between local-higher level of governments and the collaborative governance at the local level, yet cities with stronger local-provincial interaction exhibit better intergovernmental relations. The local-central interaction is held in competitive based relation among local actors in which special status of a region does not guarantee it holds higher relation. On the other hand, spatial structure of a city is a significant determinant for the complexity of institutional structure.

The second analysis is to examine external factors for the emergence of collaborative metropolitan governance and by inflicting them upon the structure of institutions, this dissertation draws factors that are considered beneficial for local governments to pursue collaboration. Dimensions for analysis are socioeconomic, financial, physical, and political capacity. Our findings indicate that in Indonesian metropolitan regions, declining regional disparity socioeconomic and financial measures positively influence collaborative governance. On the other hand, collaborative governance has not only emerged strongly in regions with low regional disparity on physical measures or regions with strong political capacity but also in the regions with opposite characteristics. The variation implies that the regional institutional environment should be observed as a whole package rather than based on each dimension as one or another provide interconnected situational condition characterising the regional platform for local efforts to promote collaborative metropolitan governance.

The third analysis examines empirically the quantity and quality of factors that affect the local structure of collaborative metropolitan governance, especially focusing on economic and social-political situation. There are three main analyses related to the institutionalisation of collaborative governance; fiscal decentralization analysis to describe the general fiscal structures; financial resource analysis to clarify the financial sharing capacity of local governments for collaboration; and culture and political review elaborate the social political situation. Further analyses on the correlation between the economy, socio-cultural, and political aspects, and the institutional structure is presented in order to extract important factors affecting the process of Indonesian collaborative metropolitan governance. From this analysis this dissertation found that, economically, Indonesian collaborative metropolitan governance relates to the local-central and intergovernmental interactions as it is greatly influenced by the level of local government autonomy. Socio-cultural and political characteristics of a city influence its collaborative metropolitan governance differently between the intergovernmental and cross-sectoral collaboration.

The fourth analysis provides an empirical analysis of the internal factor of collaborative metropolitan governance. Through the examination of policy instruments, this study found that the variation of policy selection is quite large among cities and across regions, which can be segregated according to several variables such as the collaborative strategy and fiscal orientation, level of coherence, type of city, and level of advocacy. The result points out that the internal institutional design through the

delivery of collaboration-supportive policy instrument greatly affects the state of the intergovernmental collaboration in a city. The cross-sectoral collaboration, on the other hand, is affected in a lesser degree.

Further analysis on the actors' interaction provides an examination based on the interest on the interplay between policy instruments and the actor behaviour. According to the results, this study identified that the status of policy instruments influences the behaviour of local governments in different ways according to the counterparts. The findings indicate that the joint policymaking between cities does not require strong regional policy coherence yet it performs better when cities actively advocate collaboration and orientate their collaborative policy toward a region-wide approach. Resource exchange on the other hand need strong policy coherence, advocacy, and region-wide orientation, thus conceding that fiscal institutional situation holds critical influence towards local actors' behaviour.

Our conclusion suggests that collaborative metropolitan governance in the process of decentralization is characterised according to its institutional structure and institutional environment. Central-local interaction is largely influenced by central fiscal dependency, while provincial, local interaction is affected by political heterogeneity and provincial civic capital. Intergovernmental interaction is the most susceptible to internal and external factors such as, regional institutional symmetry, financial structure, policy instruments, political situation, and civic capital. Cross-sectoral interaction is affected mostly by fiscal autonomy, policy instrument on public-private relations, and political situation. On the emergence of collaborative governance issue, this study concludes that declining regional economic disparity, high political capacity, and less political heterogeneity are compelling in the building of collaboration. Thus, to construct and to promote collaboration there are factors to be considered and to be set; local institutional isomorphism, lesser asymmetrical institutions, better access to financial autonomy, broader political homogeneity, strong policy coherence, active advocacy on collaboration, and wide collaborative orientation.

This dissertation recommends that at the national level, acknowledging step by step collaborative governance through sectoral collaboration and promoting more fiscal autonomy are necessary. On a provincial basis, the repositioning of the provincial government as the regional mediator is pivotal for collaborative metropolitan governance to succeed. At the local level, local governments need to intensify collaborative interaction to lessen asymmetrical institutional situation, promoting policy coherence, building political stability and easing political heterogeneity through the civic capital, and to improve the pre-existing structure through better management.

Keywords: metropolitan governance, collaboration, institutional analysis, decentralization.