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Community Participation and Development Planning in Local Government Level: A Study on the Formulation of Batu City Medium-Term Development Plan

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Abstract. The aim of this study is to assess the community participation process in the formulation of City Development Planning. This study develops participatory planning model to improve the effectiveness of community participation in formulation of the planning by using Soft System Methodology. Data was collected through observation, focus group discussions, and semi-structured interviews at Batu City in 2018. This study shows that City Government needs to improve the effectiveness of public consultation forum and development planning deliberation as an instrument for community participation. This study proposes a new participatory planning model to enhance the community participation quality in the formulation of City Development Planning. The quality of planning results in an effective and representative plan.

Keywords: Community Participation, City Development Planning, Soft-System Methodology, Local Government

INTRODUCTION

Expectations about the effectiveness of participation are often different from the reality of the participation process itself. Community involvement in the planning process is expected to improve the plan's quality, but it is often not followed by an adequate participation process. This process results in a low level of participation which in turn, reduces the level of representativeness of the resulting plan. Mohammadi et.al (2018) stated that community participation in local policy issues is the heart of local governance. Dubravka & Suncana (2018) argued that community participation ensures that community needs are met so that local autonomy should provide opportunities for the community to be involved in local government. However, there is a problem that participation as practice remains weak (Kalandides, 2018). For this reason, local government should begin to change the focus of community participation into prioritizing quality over quantity of participation. The quality of participation is determined by the level of democracy (representation) and the legitimacy of the community (Medero & Albaladejo, 2018). Sutcliffe & Cipkar (2017) revealed that community representation is very important and beneficial to the community and local authority. The quality of participation in planning means listening directly to people’s aspirations by accommodating diverse community backgrounds to produce inclusive and responsive plans (Kim, et.al., 2018). Therefore, it takes diverse forms and stages of participation according to the conditions of its stakeholders, as well as appropriate communication channels (Damurski, Pluta & Andersen, 2019).

Indonesian Law number 25 Year 2004 concerning the National Development Planning System in Indonesia states about the importance of community participation in development planning. This regulation has two reasons why community participation is an important aspect in development planning. First, the Government needs to know what people need and listen to what they want. Second, the Government needs to gather all the will and abilities of the community in carrying out development. In other words, the government needs people as subjects of development, not only as objects of development.

Community participation is considered as one of the most important steps in the process of City Medium-term Development Planning (Rencana Pembangunan Jangka Menengah Daerah, RPJMD). Community participation was carried out in two forums, namely the Public Consultation Forum (Forum Konsultasi Publik, FKP) and the Deliberation for Development Planning (Musyawarah Perencanaan Pembangunan, Musrenbang). It is expected that community participation will provide reliable and relevant information on their problems, needs, and potential.
However, the problem that often arises when formulating the RPJMD is at the level of participation. There are two main reasons as to why people do not actively participate in FKP and Musrenbang. First, the lack of understanding of the objectives of the RPJMD context. Second, there were limited time in conducting FKP and Musrenbang (RPJMD, 2018). Therefore, the purpose of this study is to assess the process of community participation in formulating the RPJMD in Batu City, Indonesia. This study produced a participatory planning model to improve the effectiveness of community participation in formulating the RPJMD.

Community Participation and Development Planning

Public participation in planning defines public involvement in the planning process to better understand the needs, perceptions, and desires of the community to incorporate local knowledge in the policy making planning process (Berman, 2017). The quality of participation determines the planning’s product. The issue of involvement is at the participation levels and methods. The ladder of community participation (1969) addresses the degree of power distribution in terms of a typology of community participation that includes eight rungs (manipulation, therapy, informing, consultation, placation, partnership, delegated power, and citizen control). These are further categorized into 3 (three) levels, namely: non-participation, degree of tokenism, and citizen control. This ladder inspired another participation ladder such as the empowerment ladder from Burns, Hambleton, and Hogget (1994) and the new public participation ladder in Indonesia from Muluk (2007).

Soetrisno (Rirituningsia, 2017) stated that community participation is public participation-oriented development which contains a view that regards community as a subject, not as the object of development. As a subject, the community is encouraged to become actively involved in the development process from planning, implementation, to development maintenance and outcomes. Berman (2017) classified two main methods of public participation in planning, namely: unilateral and collaborative procedures. The first is a representative top-down approach that results in ongoing and collaborative dialogue between various local communities. Participation is a tool for extracting local knowledge and incorporating this knowledge in development planning and policy making processes to achieve the quality of planning.

Planning can be a limitation as predicted in the formulation and implementation of programs and policies. The classical theory from Faludi (1973) defined the theory of planning and the theory in planning. The first refers to theory about planning and procedural theory and the second refers to substantive problems in planning. The next development of planning theory was explained by Hudson (1979). There are five types of planning theory, namely: synoptic, incremental, transactive, advocacy, and radical planning. This represents the development of procedural theory of planning. The current development of planning theory is constructed by Archibugi (2008). Diagonal Planology explains the integration between theory of planning and theory in planning. Within the horizontal line, there are many fields of planning theory, namely: physical, macroeconomic, social environment, development, and operational planning. Within the vertical line, there are many approaches in planning theory, namely: blue print vs processual planology, functional vs normative planology, rational comprehensive vs disjoint-incrementalist planology, and strategic planology. Diagonal means all fields and all approaches are inter-connected/integrated.

Another aspect from Archibugi’s (2008) that described the current theory of planning is balancing between a rational approach and a communication or collaboration approach. Other approaches must not be abandoned because of their complementary functions to achieve other effective planning products. Collaboration means the involvement of participants from many stakeholders in making decisions or implementing plans. Fainstein & DeFilippis (2016) explained an opportunity for community participation in planning. Participation will combine effectiveness and fairness because it can lead to more justice in the future. Participation increases the representation of planning products because it provides opportunities for input from marginal stakeholders. In addition, Saputra (2017) stated that planning theory is a very important process of implementing programs and involves community efforts to bring community needs to the framework of decision making in planning.

RESEARCH METHODS

This study used Soft System Methodology (SSM) proposed by Peter Checkland (1999). SSM had seven stages in the study, namely: (1) identifying the consideration situation of the problem; (2) the problem situation stated through ‘rich figure’; (3) the root cause of the relevant system; (4) system conceptual model; (5) comparison of conceptual models and real problems; (6) the desired model; and (7) actions. This study used the first to six stages in SSM to build a model.

Semi-structured interviews, focus group discussions (FGD) and observations were used to obtain data. Semi-structured interviews were conducted by using key informants from local government offices, especially from urban planning, Bappeda (City Development Planning Agency) and representatives from the community who attend public consultation forum and deliberation for development planning. Interviews were conducted with the head of Bappeda and the head of the analysis, control, and report division from Bappeda and other informants as the key actors in conducting FKP and Musrenbang. The FGD obtained systematic data and information about the design of community participation. Based on semi-structured interviews and FGD, this study also conducted direct observations of the FKP conducted on February 5, 2018 and the Musrenbang conducted on May 16, 2018.

RESULT AND DISCUSSION

Identification of situation to consider the problems: the effectiveness of community participation.

The participatory planning model in Batu City involved the community in local development planning in two forums, namely the Public Consultation Forum and the Deliberation for Development Planning. The government invited the selected stakeholders/communities to attend
both forums. The first forum, the Public Consultation Forum was attended by 275 participants and was held not in the right schedule as mentioned earlier. The forum only featured official presentations and expertise without opportunity to provide feedback. While the Deliberation for Development Planning was attended by 240 participants at the Anggrek Hotel in Batu City. The forum did not comply with the regulations in the Ministry of Home Affairs as mentioned earlier. Before the forum, City Development Planning Agency staff distributed resume of RPJMD documents and suggestion sheets.

The problem situation during the study was seen from the development planning process namely FKP and Musrenbang conducted by Bappeda of Batu City. In this case, it was assumed that people had a tendency to participate but they had no opportunity, as stated by Coordinator of USAID APIK, Ms. Lina:

"...if asked about our role or contribution in the process of preparing the RPJMD, I would say that I did not contribute much. We are present at the public consultation forum, but only as listeners listening to Bappeda's presentation. We actually have prepared special funds if necessary for our involvement in the process of preparing the RPJMD."

This is certainly the response expected by the government when talking about community participation in the development planning process. She also revealed that active participation from community in the process of preparing the RPJMD was really needed, however, because of limited access, there was not much that could be done. This can be seen from the figure below:

**Figure 1. Identification of Situation**

From this figure, Bappeda has formulated the initial concept of the RPJMD. The draft of RPJMD was consulted in the first forum, namely in the Public Consultation Forum. FKP was attended by participants and was held not in the right schedule as mentioned before. Forums only featured official presentations and expertise without space to provide feedback. After FKP involved the participants, it received a revised draft of RPJMD. In the next deliberation agenda, the City Musrenbang was carried out, in which several forums needed to be carried out such as the Village Musrenbang and the District Musrenbang to carry out the City Musrenbang. After receiving input from participants from the Village, District and City levels, Bappeda could process it into the final draft of RPJMD.

The situation above is actually similar to the statement of Kalandides (2018) who argued that participation as practice is indeed still weak. Public participation should bring people together with local government officials and listen to the voice of the community so that their aspirations are included in the policy process and agenda (Kim, et.al., 2018), however, what happens in the field is totally different, it turns out that the people are the ones who listen to the voice of local authorities. In this situation, community participation is in the ladder of information and is at the level of non participation. This situation does not support the achievement of effective community participation so as to reduce the achievement of development plans that are inclusive and responsive to community needs.

**ProblemSituation was stated**

In SSM, the framework was started by defining the root of the problem to build a conceptual model based on the root definition which structuring the problem resulted in a relevant viewpoint. The condition of community participation according to the results of the study showed that there was passive participation in the process of formulating the RPJMD. This made a low level of community participation. This level can be illustrated at the informing ladder where the process involving the community only conveyed one-way communication without the opportunity for the people directly involved to provide suggestions or criticism in the forum. Another problem that occurred was that people were not actively involved in the development planning forum both in the FKP and Musrenbang because they did not follow the rules set. According to the Arnstein framework (1969), there were many problems causing Batu City at a low level of community participation, as stated by a participant who also received an email from an NGO in Batu City:

"We received the document on the day of implementation with a very small font size, how can I respond? This event also ended without a question and answer/interaction session ... There was no participation I felt in the forum. Suggestions and feedback can be given via email but I'm not sure if anyone's interested to do that…"

The Process of deliberation for Development Planning needs synergy between the community and the government. Synergy between the local government and the community is needed to create an activity that involves both to create a balance of authority between Batu City Government and the people who focus on Musrenbang activities. Community participation is very important in the whole development process. Community participation in development planning must cover the whole process from beginning to end. In fact, the community has not been fully involved in the policy development process. The role of the community is only as a complement to ceremonial activities, because the community only listens to official speeches and presentations.

**Root Definition of Relevant System**

The root definition in this study was stated by CATWOE (Costumer, Actor, Transformation, Worldview, Owner and
Environmental Constraint analysis. Based on the issues raised, the root definition associated with community participation in the formulation of the RPJMD was to provide opportunity for the public/stakeholders openly and systematically to be actively involved in the process through FKP and Musrenbang.

According to CATWOE, transformation is an important aspect because it can make changes from the previous conditions for the better. Transformation will improve the problem situation that is expressed, so that the problem does not recur in the future. The transformation of this problem is done to provide space for stakeholders to increase the level of community participation in the preparation of the RPJMD. After the transformation, the next step is to determine who will be the actor, the customer, the owner and also the environmental concern for the problem being expressed. The customers of this study are stakeholders of Batu City (community, NGOs and the private sector), the actors are the Local Development Planning Agency (Bappeda), the Local Leaders, as well as City Councillors, while the owners are the Mayor and the City Council (DPRD).

There were some environmental constraints in the process of community participation in Batu City, making forums and deliberations not functioning properly. Forum time was limited and there was no room to provide feedback because there were too many presentations from very few officials. Participation was also not running optimally because there was a political volition that must be done in the document that made feedback from the public unimportant. Environmental constraints also came from the people of Batu City who had no desire to participate more in the formulation of the RPJMD. Some of them were satisfied just by attending the forum but there were also some of them who really wanted to participate but the opportunity was not available. The complicated problem of community participation must be understood by all parties involved in the local development planning process because the problem did not only come from the government. There must be cooperation to solve the problem and improve conditions. It would be better if environmental constraints would be corrected in the next development planning agenda and other forums that involved the community to participate.

**Conceptual System Model**

A derivation of conceptual model was a method of analyzing activities that need to be carried out to clearly define what actors need to do to achieve transformation. The conceptual model is an ideal condition of participatory planning that must be implemented in order to provide an opportunity for the community to participate properly. Conceptual models are developed according to the problem expressed.

**Table 1. CATWOE Analysis on community participation in formulating the RPJMD**

<table>
<thead>
<tr>
<th>No.</th>
<th>CATWOE</th>
<th>Result Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Customer</td>
<td>Stakeholders (Community, NGO and Private sector)</td>
</tr>
<tr>
<td>2</td>
<td>Actors</td>
<td>Bappeda officials</td>
</tr>
</tbody>
</table>
| 3   | Transformation | - Bappeda officials conducts FKP and Musrenbang in order to give the stakeholders opportunity to participate in formulating (proposing activities and programs) RPJMD  
- Bappeda is accommodating community voice, choice, and knowledge for improving final draft of RPJMD |
| 4   | Worldview | - Community participation increase the representativeness of planning and improve the quality of planning |
| 5   | Owner    | Mayor, City Council (DPRD) |
| 6   | Environmental | - Tight schedule in formulation of RPJMD  
- Constraint | Law No 25/2004 on Indonesian National development planning System  
- The implementing Government Regulations |

Source: Processed by the author
understand the documents and what will be done in the next five years and also help the government to keep the community informed. Thematic group discussion is important to make the document better because of information from the community conveyed in the discussion.

The conceptual model of participatory planning is intended to increase community participation in Batu City and increase the level of community participation. Starting from Bappeda who formulated the initial draft of RPJMD. The next step is public choice, voice, and knowledge. This is conducted through FKP and Musrenbang, a sphere for participation by community stakeholders. This results in a representative and effective draft of RPJMD, which can be discussed between the Mayor and the Representatives. When the discussion results in an agreement between the Mayor and the Representatives, then the next step is the planning steps of the Provincial and National Governments. After provincial government accomplish provincial deliberation for development planning, central government will conduct national deliberation for development planning. The result of this national deliberation is the legalization of development plan (Mohammadi, et.al., 2018). Participatory planning starts gradually from the lowest level of government. The results are then brought into participatory planning in the next levels of government up to the national level. In this way, it is expected that development planning at all levels of government will remain representative and legitimate.

Comparing Conceptual Model and Real-World Situation

The fifth stage of SSM is the comparison of conceptual model and real-world situation. The purpose of this activity is to provide solid priority recommendations for what changes need to be made to the existing activity system. The participatory planning model in Batu City is still categorized as the old style of participation where people are invited only to attend the forum and do not contribute to the forum and development planning. Comparison is done by making an activity diagram as follows.

The community participation model in the formulation of RPJMD was applied in FKP and Musrenbang. The government invited selected stakeholders to attend both forums. Compared with the conceptual model which involves several stages and points in the implementation of FKP and Musrenbang; the participants in the real model only attended the forum physically, got the material provided, and listened to the presentation. One of the participants involved was Mr. Heri Purwanto, Coordinator of National Slum Upgrading Program. He stated that his involvement in the public consultation forum and the development planning deliberation had been going on for a long time and he was familiar with the forum. He argued: “I have been very involved in public consultation forums and Musrenbang, so I feel very involved in development planning in Batu City”.

The similar thing was stated by Rianto and Deyisnil who were interviewed at the same time. They revealed that they often worked with the Government of Batu City regarding to village community empowerment. They said:

“We have been very involved in public consultation forum and Musrenbang, it seems that everyone has never been missed either at the village, district or city level. We have frequent role in village community empowerment. If any of us have suggestions, the suggestions are usually sent directly to Bappeda or the local bureaucracy related”

The development planning forum only contained presentations from officials. The community left after listening to all the presentations and collecting the suggestion sheets but until the RPJMD document was passed, the suggestion sheets were not accommodated by the government. The government paid more attention to the suggestions made by officials such as the Mayor, the Speaker of the City Council and the Provincial Government Officers. Ministry of Home Affairs already regulates how the forum should be carried out, but the government of Batu City does not do it according to the law. The participatory approach is one of the approaches mentioned in the Ministry of Home Affairs and must be implemented properly. In order to improve participatory models, community planning is made. The expectation, of course, is that a participatory
planning model will be applied in the future and increase the level of community participation in Batu City.

**Desired Model**

The next stage of the SSM approach or the sixth stage is to analyze the changes that are feasible and desirable. The purpose of this stage is to get some input from the organization’s stakeholders, people who will be affected by changes in the existing system and people who will be involved in implementing the changes. This cannot be achieved only by communicating with customers but also the agents of transformation, which in this case are the local government in Batu City.

Conceptual models need control and monitoring functions that must be carried out continuously. The manual/guide for controlling and monitoring is the performance appraisal that must meet the 3E’s requirements as shown in the table. Efficacy is related to the conceptual model’s goal of accommodating the Participatory Planning approach in the process of formulating Local Development Plans, Efficiency relates to the use of human resources and time, in which the process should be carried out using Human Resources (community and stakeholders) optimally and implementing appropriate forums at the same time in accordance with the Regulation of the Minister of Home Affairs. On the other hand, Effectiveness associates with real involvement or community participation (bottom up approach) and increasing the degree of community participation in the process of formulating the City Development Plans.

The use of the 3E’s model in local development planning is actually intended to improve the quality of participatory planning. This is to avoid planning that merely considers aspect of quantity, specifically by counting the number of participants who attend the meeting or deliberation planning model will be applied in the future and increase the level of community participation in Batu City.

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Figure 4. Comparing Conceptual Model and Real World

![Figure 4. Comparing Conceptual Model and Real World](source: Processed by the author)

**Figure 4. Comparing Conceptual Model and Real World**

1. Thematic discussion related to strategic and development issues
2. Thematic discussion related to the mission, goals, and targets
3. Thematic discussions related to strategic direction and policy
4. Thematic discussion related to priority programs

The reason for choosing the theme is because the four themes above are the most vital part of the document to be formulated into the draft of RPJMD. Therefore, the community can be involved to make it better. The strategic and development issues that are placed are the most important part of the RPJMD document because they form the main basis for the formulation of the vision and mission. The subsequent three themes were chosen because it would be...
A topic of discussion in the Musrenbang which actually had limited time, so it had to be clear before the forum was held. If thematic discussions are carried out, development planning will become more systematic and sustainable because of community involvement. Thus, there are 2 results from the desired model above. The result is Representative and Effective RPJMD Design. Representation is something that can represent the local voice, local choice, and local knowledge of the community. Effectiveness is a solution to the problems faced by community.

The strength of this study is that it seeks to understand the process of community participation in the formulation of medium-term development planning. Various constraints in achieving ideal community participation are found at every level of the planning process. This study confirms the process of balancing between rational approach and collaboration approach as described by Archibugi (2008). The draft of the plan is prepared based on a rational approach, and then proceed through a collaborative approach by involving the community in the planning process in stages. This study also confirms Berman’s (2017) opinion that to produce good planning, it is necessary to incorporate local knowledge in the planning process. It emphasizes the need for collaborative planning.

This study modifies Fainstein & DeFilippis’s (2016) opinion that good planning is a plan that combines fairness and effectiveness. The concept of fairness is changed to representativeness. The concept of Fairness basically also provides various choice opportunities from diverse stakeholders to be represented in planning products. Meanwhile, Representativeness includes similar meaning as Fairness but emphasizes more on the representation of stakeholders and the representation of interests in planning products. Representativeness includes all elements of local choice, local voice, and local knowledge in planning products.

The novelty in this study is the planning effort to realize an effective and representatives plan at the same time. An effective plan means that the plan is able to achieve the desired goals. The plan is able to solve the problem at hand while meeting the priorities established in accordance with the conditions of available resources. A representative plan is a plan that represents the priorities and interests of diverse communities as well as the inclusion of resources based on local voice, local choice, and local knowledge.

Three alternatives are proposed. First, these efforts can be made by drafting a plan through a rational plan by the planning agency, then discussing it in stages through a collaborative approach starting from the lowest to the highest levels of government. Second, the effort starts from drafting a plan by collecting information through collaborative planning in stages starting from the lowest to the highest levels of government, then drafting a technocratic plan through rational planning. Third, these efforts are conducted in an integrated manner through the combination of rational and collaborative approaches in deliberations involving stakeholders. These efforts are achieved through a collaborative and thematic approach. These efforts are an alternative to the discussion in stages as is usually done so far. The combination of a thematic collaborative approach in stages becomes the novelty of this study. This combination embodies good quality planning. The quality of planning is achieved if the planning produces an effective and representative plan.

### Table 2. 3E's Toward Conceptual Model of Participatory Planning

<table>
<thead>
<tr>
<th>No</th>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Efficiency</td>
<td>Participatory planning approach in the process of local development plan formulation</td>
</tr>
<tr>
<td>2</td>
<td>Efficiency</td>
<td>Using human resources (community and stakeholder) and Time optimally and conducting the forum in the right time</td>
</tr>
<tr>
<td>3</td>
<td>Effectiveness</td>
<td>The real involvement participation of community (participatory approach) and the increasing of community participation degree in process of City Development Plan Formulation</td>
</tr>
</tbody>
</table>

Source: Processed by the author

### CONCLUSION

The novelty of this study is the understanding of efforts in producing good quality participatory planning. Quality participatory planning will form an effective and representative development plan. The quality of participation is pointed out by the level of direct and deep involvement of stakeholders so that it is in a high level of participation. The quality of participation requires a participatory process that is characterized by two-way communication between the community and local authorities. The quality of participation is indicated by the inclusion of local voice, local choice, and local knowledge in the planning agenda. This makes the resulting plan to be effective and representative. Effective means the resulting plan is able to solve the problems faced by the communities. Representative means the resulting plan represents the needs according to the priorities and interests of diverse communities. Effective also means that the resulting plan is able to unite the supra structures of local government priorities and local public interest. To increase effectiveness, participatory planning must consider 3E’s, namely efficacy, efficiency, and effectiveness. To improve the quality of participation, adequate participation sphere must be provided both in terms of method and time so that two-way communication is
established between the community and local authorities. To produce effectiveness and representativeness in participatory planning, inclusive thematic discussions involving a variety of stakeholders in stages in accordance with the strategic topic are needed.

City Government arranges a thematic discussion with stakeholders. This discussion will enhance the quality of planning document because information from the community delivered in the discussion will increase the quality of information. The reason for choosing the theme is that the four themes are the most vital part of the document to be formulated into the draft of RPJMD. Therefore, the community can be involved to make it better. With the implementation of the new model community (thematic group discussion) it is expected that the city development plan will be more understood in more detail and provide input or suggestions to the planning document and finally, it can improve the quality of community participatory planning.

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RPJMD Batu City 2018


