Chapter 2  Case studies and methodology

In order to achieve its objectives, the study mainly adopts case study research. This research approach explains causal links, namely to answer the question ‘how’, in a situation that is too complex for survey as well as experimental research approaches (Yin, 1994). According to Yin (1994, p. 13), ‘a case study is an empirical inquiry that investigates a contemporary phenomenon within its real life context, especially when boundaries between phenomenon and context are not clearly evident’. Accordingly, this is a powerful methodological approach for researching urbanisation phenomena and planning intervention in an open and complex society such as Indonesia.

2.1  Cases selection

The most crucial step in case study research is, certainly, selecting cases. Following Yin (1994), the cases for the current study are selected on the basis of the possibility for analytical/procedural replication rather than statistical/result generalisation. For this purpose, the selection process is oriented towards acquiring the richest possible – rather than the representativeness – of information for the researched phenomenon (Flyvbjerg, 1998).

The study follows a multi-level case selection process including international, nation-state, functional peri-urban, regional, and local levels (see Figure 2.1). The main cases used for answering the first group of research questions (the contexts) can be found at the international and nation-state levels. Meanwhile, in answering the second group of research questions (planning approaches/strategies and institutional capacity), the case study analyses focus on a functional peri-urban area where urban development and environmental planning practices frequently emerge. Urban and environmental conflict management is used as the focus for the analyses as it has become one of the most pressing challenges for peri-urban planning (Douglass, et al., 1991; Firman, 1996; Firman & Dharmapatni, 1994; Goldblum & Wong, 2000; Leaf, 1996). Furthermore, around a selected
functional peri-urban case, embedded cases at the regional and local levels are more closely analysed.

### Figure 2.1 Overall methodological procedure

#### 2.1.1 East Asia and Indonesia

In order to understand the wider context of peri-urbanisation and planning practice, East Asia was selected as the case at the international level. What we mean by East Asia might better refer to what so called ‘Greater East Asia’, an economic sub-region consisting of countries in eastern and south-eastern part of Asia (Figure 2.2). This study focuses on four countries with fast-growing urbanisation and increasing linkages with global economy: Indonesia, China, Thailand and the Philippines.
The reason for up-scaling into the case of East Asia is because there are commonalities of stage and complexity of urbanisation and planning practice among the countries in this economic sub-region. In the first place, the
urbanisation in this region is typified by rapid transformation around big cities, particularly impacted by structural adjustment (neo-liberalisation) and decentralisation policies. As a major outcome, in the next two decades, it has been predicted that around 200 million or 40 percent of East Asian metropolitan residents will live in peri-urban areas (Webster, 2002). In addition, the four countries mentioned also share some common governance and political cultural practices characterised by pragmatism and clientelism. By comparing different countries with similar institutional features, richer and more valid results can be obtained.

Meanwhile, in order to study domestic planning system, institutions and culture, the national case of Indonesia was selected. The nation-state is considered the most relevant level since major policy systems, formal institutional arrangements and political cultures are reproduced at this level. For historical reasons, Indonesia can be used to evaluate the significance of the transition towards democratic and neo-liberal economy on urban development and planning.

First, during the peak of Soeharto’s New Order Era, the political economy was shifted from state-controlled towards market-oriented economic development policy. A significant change in urban development trends was triggered by a series of deregulation and debureaucratisation measures of the 1980s. This market-oriented policy was aimed at accelerating economic growth by promoting domestic and foreign private participation in finance and industries. The policy has boosted the real estate industry as well as FDI in manufacturing, leading towards an uncontrolled growth of large-scale land development around major cities such as Jakarta and Bandung (Firman, 2000).

It has been argued that such uncontrolled land development and global investments in manufacturing triggered the economic crisis of the 1997 that badly affected major Asian developing countries, including Indonesia (Winarso & Firman, 2002). In Indonesia, the economic crisis (krismon) was not the end of this difficult period since it further brought the country into a deeper socio-political turmoil, which unavoidably forced Soeharto’s paternalistic, authoritarian and militaristic regime to end its 32 years’ leadership. Out of this chaos, with the outbreak of the Reform Era in the late 1990s, the country attempted to completely make a new beginning. The new era endorsed a holistic reformation in major aspects of governance including democratisation, decentralisation and rule of law. The socio-political reformation happened so quickly, which soon after Indonesia became the third biggest democratic country in the world. The current study explains the impact of these fundamental changes on the planning system,
which to a large extent can be represented by the formulation of new spatial planning laws and other principal regulatory frameworks affecting urban development and planning practice.

2.1.2 North Bandung Area (NBA)

The empirical exploration of the approaches to institutional capacity building requires a utilisation of an extreme case, referring to a deviant, unique case where the problems being examined and the connections between them can be recognised very clearly. Such a case potentially contains rich information, which in turn can provide a powerful lesson learned and insight for replication (Yin, 1994). An extreme case is also helpful for analysing problematic questions (Flyvbjerg, 1998). For these reasons, Kawasan Bandung Utara (KBU) or North Bandung Area (NBA) was selected for study at the functional peri-urban level.

NBA refers to the main upland area located in the northern part of Bandung Metropolitan Area (BMA) – currently the third largest metropolitan region in Indonesia with more than seven million inhabitants and around three percent annual population growth. With a total area 38,548.33 hectares, the peri-urban area mainly consists of plateaus and hills surrounded by mountains and delimited by the contour of 750 meters altitude. Since the early 1980s, the upland area has been popular among the middle- and upper-income groups because of its beautiful landscape, good local climate, fresh air and proximity to Bandung City as the core of BMA. These features have increasingly fostered the development of settlements and recreational functions, as will be explained in the following.

NBA is effectively governed by at least four autonomous local governments: West Bandung District, Bandung District, Bandung Municipality and Cimahi Municipality (Figure 2.3). Following decentralisation policies triggered by Law No. 22 of 1999 – later replaced by Law No. 32 of 2004 – on regional administration, the local governments have the authority to manage urban and regional sectors, including spatial planning, within their own jurisdictions (Law No. 22 on Regional Administration, 1999; Law No. 32 on Regional Administration, 2004). Meanwhile, with the non-existence of metropolitan institutions, West Java Province by law has been the only tier expected to be able to coordinate inter-local planning issues such as groundwater, the environment and regional transportation in NBA as well as BMA as a whole. However, since Indonesia’s decentralisation has emphasised the role of local governments, provincial governments have been criticised for the lack of power and
resources and, thus, their role in managing these inter-local affairs has been very weak.

Figure 2.3 Map of North Bandung Area (NBA)

NBA has unique ecological functions due to its topographic and geological characteristics. Although NBA covers only 11 percent of the metropolitan area, it is claimed that, due to its soil and rock types and formation, it provides at least 60 percent of the region’s groundwater need (Penataan Kawasan Punclut, 2004). However, the decrease in vegetation caused by peri-urbanisation has been argued to increase the magnitude and occurrence of floods during the rainy season, especially around the city and lower parts of the region. Moreover, it has contributed to the deepening of the groundwater level in the region.
In common with other Indonesian major metropolitan regions, peri-urbanisation in NBA has been largely triggered by Soeharto's market-led development policies in the 1980s and early 1990s. The most fundamental one was the 1993 Deregulation Measures Package (Pakto 1993), which stated that the issuance of development permits (ijin lokasi) would be no longer be the sole responsibility of the province but that the local governments and the National Land Administration Board would be responsible. The package in fact triggered the first Indonesian property boom period (1993-1997).

A series of governor’s decrees has resulted in NBA as the region’s main water catchment and conservation area (see also Appendix A Regulations and Plans Concerning North Bandung Area 1982-2004). First, NBA was named after Governor’s Decree of West Java Province No. 181.1/Sk.1624-Bapp/1982 on the Conservation of the Northern Part of Bandung Metropolitan Area. As the main regulatory foundation, the governor’s decree aimed to preserve 25 percent of NBA as protected forests and only allow 15 percent of NBA to be converted into cultivation areas – most likely new settlements. The governor’s decrees were later reinforced by presidential decrees and a number of provincial and national land use plans. Some of
those plans were also renewed and adapted to the changing regional administrative structure impacted by the decentralisation policies.

The enactment of such regulations and plans, however, could not significantly restrain the issuance of land development and building permits as well as the physical development by private developers. The development and planning practice in such peri-urban areas has been characterised largely by discretionary, clientelist and corrupt practices with a strong influence of the markets and private sector (Server, 1996; Winarso & Firman, 2002). In the case of NBA, it was the property developers who initiated urban transformation in the form of exclusive residential and recreational estates, complete with road networks. Meanwhile, the provincial and municipal plans were often forced to adapt to these fragmented private initiatives.

As a result, during the boom period, in the district’s part of NBA, the land reserved by private developers increased dramatically from 586 hectares in 1992 to 2832 hectares in 1996 (Natalivan, 2004). For a while, the economic crisis in 1997–98 suddenly restrained the physical development as well as the issuance of new development permits. However, since the economy has recovered, development continues to grow again. In fact, most of the development projects are deemed to violate local and regional land use plans because they have transformed designated protected forests into settlements and recreational functions (Harris, 2008).

In addition, DPKLTS has reported massive physical changes in NBA in the period 1994-2001 (Grahadyarini, 2005). The total area of secondary forest in NBA, which was 39,349.3 hectares in 1994, has been reduced by 5,541.9 hectares in 2001. In contrast, the total area of settlement in NBA has expanded from 29,914.9 hectares to 33,025.1 hectares. A considerable increase was also evident in the total area occupied by industries from 2,356.2 to 2,478.8 hectares.

2.1.3 Dago-Lembang and Punclut projects

Planning’s institutional capacity may be tested and evaluated when episodes of debate between urban growth coalition and environmental advocates emerge. An episode of debate can be defined as a series of interconnected discussion, conflict and strategy and decision making between participants that embody capacity building potentials and are situated in particular socio-political contexts. There are two episodes of debate selected as the embedded cases within NBA: (1) Dago-Lembang road development proposal and (2) the integrated development planning of Punclut. These cases have been utilised by major planning communities,
especially environmental NGOs, political leaders, planners and academicians, as moments of opportunity for improving peri-urban environmental planning and governance in NBA (see Appendix B Chronology of the Dago-Lembang project proposal 2004 and Appendix C Chronology of the Punclut project 2004-2005). Therefore, it is interesting to compare how making opportunities have been practised in both cases. Both cases are further analysed in more detail in the other two approaches explained in the following paragraphs.

First, the Dago-Lembang road development proposal was a crucial episode of debate on planning the corridor between Bandung City and the tourist town of Lembang. It also symbolised the lengthy debate between provincial elites and private developers on the one hand and environmental NGOs, political leaders, planners and academicians on the other about the protection of the ecological functions of NBA at the regional level in the face of increasing tension due to peri-urbanisation. In addition to exploring the practice of creating opportunities, with a considerable mobilisation of relational resources in fuelling the debate, it is useful to analyse how policy network strategy was used at the regional level by the environmental NGOs, political leaders, planners/academicians and journalists to counter the project proposal and to improve regional governance consciousness of the state of NBA’s environment.

Meanwhile, the integrated development planning of Punclut marked the climax of the debate between private developers and municipal elites on the one hand and environmental NGOs, political leaders, planners and academicians on the other. The issue was about how to improve the environmental quality of Punclut, an urban fringe on the northern edge of Bandung City, in the face of limited local financial and institutional resources capacity. The environmental change on the Punclut fringe area has become an emblem of peri-urban planning performance at the local/municipal level. With a significant mobilisation of knowledge resources in fostering the debate, it seems to be valuable to analyse how discourse formation was used by both sides to strengthen their argument and influence a wider audience. Particular attention is given to the practice in forming environmental planning discourse by the environmental NGOs, political leaders, planners and academicians in order to illustrate how such practice might contribute to the improvement of local governance consciousness of the environmental condition of the urban fringe.
2.2 Data collection and analytical methods

Following the case study research tradition, data collection and analyses for this study utilise mixed qualitative methods. The data collection methods consist of past studies, formal documents, archives, interviews, and observations. The analytical methods include qualitative content analysis, institutional analysis and standard qualitative techniques (coding-interpretation-conclusion). The first group of research questions is answered through desk studies in the cases of East Asia and Indonesia. Meanwhile, the empirical study in the cases of NBA, Dago-Lembang Corridor, and Punclut fringe area attempt to answer the second group of research questions.

2.2.1 Desk study

In answering the first research question, qualitative content analyses on past studies, formal documents and archives were conducted. In the East Asian case, selected information and results from separate past studies, combined with relevant formal documents, were used as the main input for a comparative analysis between the four countries, focusing on spatial features, institutional changes and planning and governance. In the Indonesian case, various laws, formal documents, news articles and related studies were analysed to explain how global and domestic institutional and cultural arrangements have shaped the recent transition in the planning system.

The qualitative content analyses aim at reducing unnecessary elements of the textual materials. Following Flick (2006, p. 313), the techniques included in the analyses are:
1) Summarising: abstracting and reducing overlapping statements;
2) Explicating: clarifying ‘diffuse, ambiguous, and contradictory passages by involving context material in the analysis’;
3) Structuring: looking for types or formal structures and connections in the materials.

2.2.2 Empirical study

In answering the second group of research questions, institutional analysis is used to examine the dynamics of governance processes in the two embedded cases of NBA and to understand their transformative potential. Institutional analysis identifies the formation of governance as an
interaction between agency and structure and between power and institutions.

It is argued that the formation of governance follows several ‘degrees of structuration’ (Giddens, 1986) and several ‘dimensions of power’ (Lukes, 2005). Based on number of dimensions involved, Lukes (2005) and Dyrberg (1997) identify three different views of power:

1) The one-dimensional view of power focuses on the influence of individuals/groups on the behaviour of others in observable conflicts of decisionmaking.

2) In addition to the attention on the observable conflicts, the two-dimensional view of power concerns the ‘mobilisation of bias’, which is the ways values, beliefs, rituals and institutional procedures force or prevent political agendas from being included in the decisionmaking.

3) As an extension to the previous views, the three-dimensional view of power explains how the ‘constitution of identity’ such as paradigm, social structure, cultural pattern and form of organisation dominates the exclusion or inclusion of agendas in the decisionmaking.

Healey (2007a) transforms this multidimensional analysis of power into different levels of institutional analysis:

1) Level of specific episodes or policy process. This is the surface analytical level in which actors are positioned and interact with each other ‘in specific institutional sites or arenas where ideas are expressed, strategies played out, decisions made and power games fought out’ (Healey, 2007a, p. 10). These include interactive strategies of communicative action, participation, partnerships, and community-based initiatives.

2) Level of mobilisation of bias or governance process. Major parts of institutional analysis start from this deeper level, which consists of underpinning structures that frame debates, conflicts, interests, and strategies. These include the building of contextual, knowledge and relational capacity through the exploration of opportunity, discourse formation and policy network/coalition.

3) Level of cultural determinants or long-term historical process. This level penetrates deeper into embedded assumptions and habits, including path dependence, national culture, modes of governance, and social capital.

It is argued that an enduring governance transformation occurs when all those levels move towards a similar direction (Coaffee & Healey, 2003).

This study is interested in analysing the interactive dimensions of governance practice, i.e. understanding how actors actively (re-)construct opportunities, networks and discourses. Therefore, the analyses focus on the mobilisation level where open and often conflicting contextual, knowledge
and relational resources play a significant role in fostering the capacity building process. The main task of the institutional analysis in the current study is to track the process of making opportunities and mobilising networks and discourses and to explain their potential contribution to the building of institutional capacity for managing peri-urban environmental change in NBA.

The analysis at the mobilisation level is then illustrated by day-to-day strategy and decision making, relational dynamics and conflicts among participating actors. This illustration takes place at the specific episodes, as represented in both embedded cases of Dago-Lembang and Punchut projects. Furthermore, the case study is then situated and contextualised by connecting the analysis at these levels of mobilisation of bias and specific episode with key issues operating the levels of cultural determinants and external process, for example, governance culture, national political system, and global neo-liberalisation.

In institutional analysis, narratives\(^1\) are essential material for situating and constructing empirical accounts (Healey, 2007a). Narratives are required to reveal complexities and contradictions within the cases investigated (Flyvbjerg, 1998). Narratives are more than just stories. They are sequences of connected events and the relations between events and their consequences (Wiles, et al., 2005). As input material for institutional analysis, narratives provide insights into the experience and meanings of a range of place-based issues (Wiles, et al., 2005). After constructing such narratives, interpretation and conclusion were generated by using standard coding techniques.

To gather such narratives, semi-structured interviews were conducted with key informants in both episodes of debate, comprising government officials, politicians, NGOs, experts and planners (see Appendix D List of interviews). All categories of interviewees represent two conflicting sides, which are the proponent of environmental protection – thus, opposing the projects – and the proponent of the peri-urban development projects (see Table 2.1). Each interview normally lasted for approximately sixty minutes. For some respondents, there were also clarification steps and/or follow-up interviews.

During the fieldwork, the researchers were not just passive interviewers but also close observers of each episode for around half year by following

\(^1\) Narratives, as the main material for institutional analysis, can be distinguished from narrative analysis. The latter deals with not only the content but the hidden (linguistic) structure of narratives in order to uncover deep motivation for telling a subjective story and to reveal its embedded, contextual meanings (Wiles, Rosenberg, & Kearns, 2005).
relevant discussions and meetings arranged by experts and the activists/NGOs objecting the projects. It was difficult to directly follow the discussions arranged by the actors supporting the projects. This difficulty might be due to non-transparent and clientelist decisionmaking process and corruption practices – or, at least, hidden agendas – between the government and the private sector.

Table 2.1 Interviewees by category

<table>
<thead>
<tr>
<th>Category</th>
<th>Projects opposition</th>
<th>Projects proponent</th>
<th>Unclear position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government</td>
<td>3</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Expert</td>
<td>4</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Politician</td>
<td>4</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>NGO/CBO</td>
<td>6</td>
<td>1</td>
<td></td>
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</tbody>
</table>

Following Flick (2006), the interviews aimed to acquire historical data and to uncover subjective experiences of the key informants who followed and/or were involved in the debate on Dago-Lembang and/or Punchut projects. Emphasis was given to the extent to which network, discourse and opportunity were important for the informants in creating governance that is more responsive to the issues of environmental protection and regional sustainability. Furthermore, the interviews explored how the informants constructed network, discourse and opportunity in both episodes of the planning debate. Further explanation of the interview protocol is provided in Appendix E Interview protocol.

The information resulting from the interviews was analysed using standard coding techniques and compared with other supporting data such as field observation, official documents, minutes of meetings and articles in recognised regional newspapers.

It should be made clear that in the empirical case study of NBA we do not aim to conduct an in-depth and purely inductive analysis. Instead, we use the cases as instruments for illustrating how the proposed network, discourse, and opportunity frameworks work in an extreme situation. Consequently, the narratives presented in the analyses are restricted to certain time periods when the episodes of debate were escalating and at their peak. The stories uncovered by this study might be not enough to describe comprehensively the complexity of real situation on the ground. Nevertheless, hopefully, at least they can provide a helpful illustration from which we can apply the conceptual frameworks thus can be understood, enhanced and replicated in other cases.