Final Report

Batu City PERWALI: The Mayor's Regulation on Batu as a Literacy City

May 2019

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LIST OF ACRONYMS

APBD	Regional development budget (*anggaran pembangunan daerah*)
BOSDA	Regional schools operational funds (*Bantuan Operasional Sekolah Daerah*)
DPRD	Regional representative council (*Dewan Perwakilan Rakyat Daerah*)
GTK division	teachers and educational staff division (*Guru dan Tenaga Kependidikan*)
INAP	Indonesia National Assessment Program
INOVASI	Innovation for Indonesia's School Children program
KIM	Community information group (*Kelompok Informasi Masyarakat*)
Kominfo	Ministry of Communication and Information Technology (*Kementerian Komunikasi dan Informatika*)
MERL	Monitoring, evaluation, research and learning
NTB	West Nusa Tenggara (*Nusa Tenggara Barat*)
NTT	East Nusa Tenggara (*Nusa Tenggara Timur*)
PAKEM	Active, creative, effective and fun learning (*Pembelajaran Aktif Kreatif Efektif Menyenangkan*)
PERWALI	(in this report) Mayor's regulation No 93 of 2018 and technical guidelines on Batu as a city of literacy (*Peraturan Walikota tentang Literasi dan Petunjuk Teknis Batu Sebagai Kota Literasi*)
PGRI	Teachers association of Indonesia (*Persatuan Guru Republic Indonesia*)
PRIORITAS	Prioritising reform, innovation and opportunities for reaching Indonesian teachers, administrators and students, USAID education program in Indonesia
SDN	state primary school (*sekolah dasar negara*)
SMP	junior secondary school (*sekolah menengah pertama*)

EXECUTIVE SUMMARY

This outcome harvesting study examines the factors leading up to Batu city issuing a mayor's regulation on Batu as a literacy city, referred to throughout this document as the PERWALI (*Peraturan Wali Kota*). The issuance of the PERWALI is the predetermined single outcome in this project, given that the intervention was at its early stage. This harvesting study was conducted over the period of November 2018 to January 2019 and aimed to: explore and understand the process leading up to the PERWALI; identify the key players and determine their contributions to the process; and explore the factors and detractors in its issuance. The study used in-depth interviews with change agents, users and other relevant stakeholders, and document reviews to collect data. After significant review and substantiation processes, the following findings were confirmed.

1. The PERWALI on Batu as a literacy city is significant because it provides legal and systemic support for the literacy movement and encourages all relevant stakeholders to be involved. For INOVASI, it helps lay the foundation for implementing future literacy programs and engaging the targeted schools.

2. The study identified three layers of players that contributed to the PERWALI initiative. The first layer comprises *the initiators* of the PERWALI. The second layer comprises *the drafters* of the PERWALI and includes players from the first layer. The third layer comprises *the consultants* and includes players from all layers. INOVASI in the second layer played a pivotal role in directing, facilitating and guiding the process of drawing up the regulation.

3. The PERWALI was initiated through informal communications between the existing literacy movements in schools and the education office. Intensive discussions then took place leading to the conclusion that the literacy movement and literacy activities in the district needed legal and systemic support in the form of a regulation.

4. As INOVASI began working in Batu city in August 2018 it was able to advocate and help realise the PERWALI initiative through various activities to develop the regulation. These activities were in addition to the program intervention to boost school leadership skills that was already underway.

5. In November 2018, the mayor of Batu city officially launched the mayor's regulation and technical guidelines No 93 of 2018 on Batu as a city of literacy (the PERWALI) that aims to improve the quality of literacy in schools, families and communities.

6. As well as the optimistic outlook for the future implementation of the regulation, there are also some challenges that could hinder its success:
   – the expanded concept of literacy with the associated complexities in implementation and evaluation;
   – the limited interest in reading among teachers, families and communities; and
   – the new technology that distracts both students and adults and could detract from the literacy drive if it is confined to printed materials.

7. Several lessons can be drawn from the successful process of developing the PERWALI in Batu city:

   – A bottom–up change process is more likely to succeed;
   – Openness from stakeholders and particularly from government encourages transformative participation;
   – Equal partnerships and collaboration lead to successful planning and implementation;
   – Receptiveness to expert assistance (for example from INOVASI) generates an effective process;
   – Key figures are needed who can effectively lead the different players and orchestrate the processes to achieve a successful outcome.

1. INTRODUCTION

This report describes the process that led up to the mayor of Batu city in East Java issuing a regulation and technical guidelines on Batu city as a literacy city (*Peraturan Walikota tentang Literasi dan Petunjuk Teknis Batu Sebagai Kota Literasi* or the PERWALI, the term used for the regulation and guidelines throughout this report). It is based on research conducted over about one month in Batu city using the outcome harvesting approach. While this PERWALI can be partly attributed to the success of INOVASI as a contributing partner or change agent working with the Batu city government, other key players were also instrumental in initiating it and were actively engaged in its making. This report explains the process of developing the regulation from its initiation to issuance, depicting the various stakeholders involved, exploring the driving factors behind it and extracting the lessons for possible application elsewhere.

1.1   BACKGROUND

The Innovation for Indonesia's School Children (INOVASI) program is a partnership between the governments of Australia and Indonesia. Working directly with Indonesia's Ministry of Education and Culture (MoEC), INOVASI seeks to understand how student learning outcomes in literacy and numeracy can be improved in diverse primary schools and districts across Indonesia. INOVASI works in a range of locations across the country, including West Nusa Tenggara (NTB), Sumba Island, East Nusa Tenggara (NTT), North Kalimantan and East Java.

In East Java in August 2018, the Ministry of Education and Culture and the East Java government signed a memorandum of understanding to approve INOVASI's interventions in the province. The memorandum was signed after INOVASI had conducted a series of stocktake activities to explore the various best practices in a number of regular and religious schools (*madrasah*) in the province. The stocktake activities took place over the period August 2017 through to March 2018 and, as a result, INOVASI decided to assist the respective local governments in this province to improve five areas in education: literacy, numeracy, inclusion, leadership and multigrade teaching in five respective districts: Sumenep, Sidoarjo, Pasuruan, Probolinggo and Batu city (INOVASI team, 21–22 November 2018). Initially, INOVASI's intervention in Batu city started in September 2018 and focused on developing school leadership capacities. However, INOVASI also responded positively to the city's concerns about literacy levels. In November 2018, the municipality issued a mayor's regulation and technical guidelines (PERWALI) on Batu as a literacy city to confirm the city's determination and commitment to tackling the issue of literacy levels in the district.

1.2   RESEARCH QUESTIONS

This research aimed to explore and understand the process leading up to the PERWALI, identifying key players, assessing their contributions and examining the factors surrounding its issuance. This research report also describes how INOVASI works politically at the district level.

The research questions devised to address these issues were formulated as follows:

1. Who are the key players that contributed to the making of the PERWALI?
2. What is the significance of the PERWALI to improving early-grade literacy in the municipality?
3. How and why was the PERWALI developed?
4. What lessons can be learned from the case of Batu city for INOVASI programs in other targeted areas?

1.3   THE NATIONAL LITERACY MOVEMENT

The broader national policy context for the development of the PERWALI in Batu city is reflected in the government's National Literacy Movement (*Gerakan Literasi Nasional*). Reliable academic sources for a literature review on this movement, its implementation and its early impacts are not yet available so the brief description included here is derived from the Ministry of Education and Culture website.[1]

In 2016, the government launched the National Literacy Movement that aims to cultivate a culture of literacy in the education ecosystem – family, school and community – and to promote lifelong learning to enhance the quality of people's lives. The movement is regulated by the three principles of continuity, integration and involvement. As a nation-wide movement, the government expected it to begin simultaneously across the country and to involve every layer of society through a socialisation process to foster the love of reading. The movement needs to integrate with programs run by other government offices or by non-governmental organisations to strengthen its impact. The emphasis needs to be on enjoyable and practical activities involving all stakeholders at all levels – from individual households through to large institutions.

There are many ways to approach literacy learning as it is understood from different perspectives. At the basic level, literacy is limited to the ability to read and write. In an expanded meaning, however, literacy is more complex than mere words. Kucer (2014) contends that literacy is not compartmentalised but multidimensional. He argues that the complex nature of literacy must be viewed through multiple lenses focusing on four aspects: linguistic, cognitive, sociocultural and developmental. The linguistic dimension involves communicating and making meaning but this is a multidimensional process that requires integrated cueing systems (semantic, syntactic and graphophonic). The cognitive dimension underlines the mental strategies and processes needed to build meaning while the social dimension highlights the influence of a safe and friendly environment for learning to take place. The developmental dimension refers to the role of assistance and scaffolding to support learning – through guided support and practice we eventually master the skills and strategies.

This paradigm shift in understanding the notion of literacy does not limit it to reading and writing but sees it as a set of skills and knowledge. Thus in the government guidelines on the movement, literacy encompasses the following:

1. text-based literacy (reading and writing)
2. numeric literacy
3. scientific literacy
4. digital literacy
5. financial literacy and
6. cultural and citizenship literacy.

These six types of literacy are implemented in the three contexts of schools, families and communities.

1.4   FOSTERING CHARACTER THROUGH LITERACY

Character has been perceived as the expression of one's inner and outward being as related to adopted beliefs and values that one enacts through practices of caring, respect, compassion and other values that go with the

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[1] Ministry of Education and Culture national guidelines for the literacy movement (site in Bahasa Indonesia) – *Kementerian Pendidikan dan Kebudayaan Panduan Gerakan Literasi Nasional*. Jakarta. http://gln.kemdikbud.go.id/

virtue (O'Sullivan, 2004). In the context of education, character is understood as a way of shaping students' behaviour to make them good citizens in the future by exposing them to certain sets of prescribed behaviour, and training and nurturing them, for example, in critical thinking or responding with maturity in challenging situations (Agboola and Chen Tsai, 2012; Marshall, Caldwell and Foster, 2011). To elaborate this, the US Department of Education (2005) describes character education as an explicit learning process from which students understand, accept and act on ethical values, such as respect for others, justice, civic virtue and citizenship, and responsibility for self and others. The broader interpretation of literacy and its social and cultural implications suggests that the literacy movement also explicitly aims to develop character education across the country.

The current situation where teachers, parents, communities and other organisations are concerned about some students' behaviour has led to calls to integrate character education in students' everyday lives (Stiff-Williams, 2010). However, character education cannot serve as an instant remedy in challenging character maladies since numerous factors contribute to disruptive behaviour, including families, social environments and the wider communities. Thus, it is not enough to simply introduce character education at the school level since its success requires strong commitment from all the stakeholders (Agboola and Chen Tsai, 2012).

One way to bring character education into the curriculum is to make it integral to the literacy program. In reading and language arts this can be done by extracting character lessons from quality children's literature. Subjects like social studies allow teachers to cover multiple aspects of the curriculum, for example: content knowledge, literacy and character education (Holt-Otten, 2002). Research suggests that literature is a powerful teaching tool in character development. The characters that children and young people meet in the pages of a book can have as profound an influence on them as real people they know and meet (Agboola and Chen Tsai, 2014). Encouraging children to read on their own or reading the stories for them and discussing the books with children helps them absorb the values and develop their own strong characters. Good literature with character development themes has the power to develop, shape and reinforce their disposition for core ethical values such as respect, honesty, courage and kindness (Gunning, 2012 in Almerico, 2014).

In the Indonesian education context, teaching values as well as content knowledge is one of the required competencies in the 2013 curriculum together with honesty, discipline, responsibility, confidence, caring, tolerance and patriotism. Although shaping students' characters can be a daunting task, integrating content knowledge, character education and literacy is mandatory in influencing students' good behaviour (Holt-Otten, 2002). The literacy movement reflects the spirit of the 2013 curriculum and also promotes character education.

2. METHODOLOGY

The outcome harvesting method has been used extensively in various evaluation projects and particularly those examining the outcomes that particular projects have generated. It can be used for both formative and summative evaluations in a context where changes are complex. Several development projects demonstrated the usefulness of this tool to 'manage knowledge and learn from complex and difficult to monitor development processes' (World Bank, 2014:5). In short, the outcome harvesting method is used in complex situations where the aim of the evaluation is not to explain activities but to understand outcomes that contribute to changes (Wilson-Grau and Britt, 2012). As this study was conducted during the early stage of the intervention, seeing changes as a direct result of the policy was not possible.

Figure 1: Evaluation design and stages
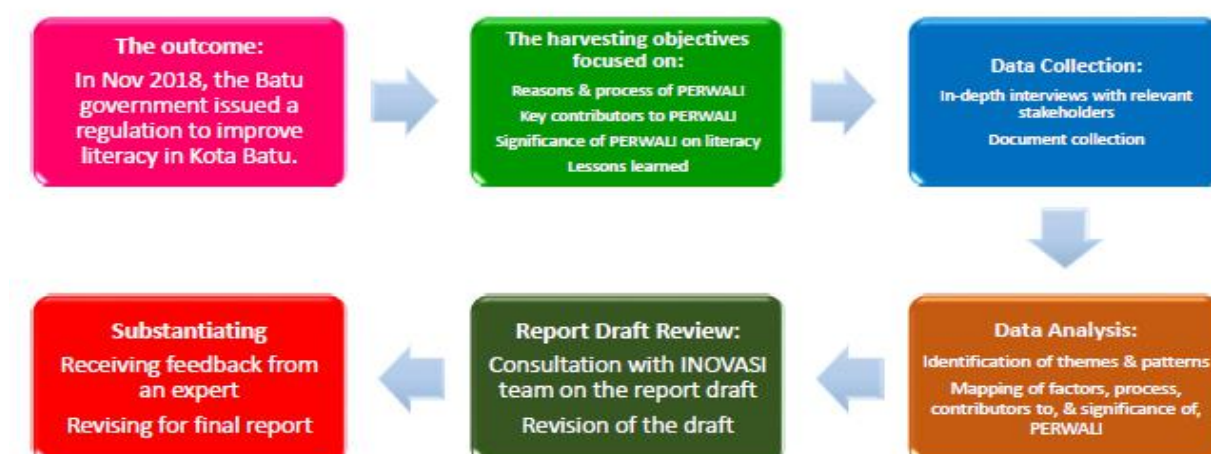
In this study, the outcome was already identified as the issuance of the PERWALI in Batu city. This was confirmed by the INOVASI team in East Java as the change agent during the design phase. The team was surprised by the PERWALI since INOVASI had only just starting implementing its pilot programs in the district and the initial focus in Batu city was on improving school leadership. The INOVASI team and the evaluator (referred to in this report as the 'harvester') agreed that the outcome harvesting process should explore who contributed to the outcome and when, where and how the changes were occurring. The stages of the outcome harvesting study were as follows:

Design stage – the harvester reviewed relevant documents and discussed a range of issues with the INOVASI team as the change agent in East Java (project manager, district facilitators and the policy specialist) before designing the study, developing the instruments and planning the study process.

Data collection stage – the harvester collected data from relevant informants (harvest users) including high officials in the education office, the mayor's office, the education commission in the legislative office and other parties that informants recommended as understanding the issues being investigated (see Table 1 for the full list of informants).

Preliminary report writing and reviewing stage – the harvester compiled a preliminary report on the PERWALI as the outcome and on the process of generating the outcome (who, how and why contributed to the changes identified). INOVASI's East Java team then reviewed the draft report.

Draft revision stage – the harvester revised the reviewed draft, discussing the changes with the INOVASI team in East Java and prepared it for the substantiating stage. The draft followed the structure outlined in the study terms of reference.

Substantiating stage – in consultation with the INOVASI team in East Java the harvester invited an expert to substantiate the revised draft to validate and enhance the credibility of the findings. The expert they decided on was Mr Rais, as the chairperson of the teachers and educational personnel division in the education office in Batu city, and the substantiation took place on 30 January 2019.

Finalisation stage – the harvester finalised the draft report after it was substantiated, taking inputs from the change agents and the substantiator into account.

2.1 RESEARCH SITE AND INFORMANTS

This outcome harvesting study was conducted in Batu city, Malang. It used a snowball sampling method whereby the informants (users and change agent) consulted are based on information provided by earlier sources. However, it also purposively selected particular informants known to understand the topic being investigated. Informants from INOVASI were interviewed during the research design process except for Mr Mikael Adri Budi who we interviewed during the data collection phase. The mayor of Batu city and her deputy were among the targeted informants but both were busy and often out of the office during our two visits in Batu city. However, the data we collected from other informants were sufficient to analyse and draw conclusions.

Table 1: List of informants

No / layer	Informant	Occupation
1/1	Mr Budi Prasetio S.Pd	Chairperson of the education council, Batu city
2/1	Dr Eny Rachyuningsih M.Si	Head of the education office, Batu city
3/1	Mr Abdul Rais M.Si	Chairperson of the teachers and educational personnel division in the Batu city education office
4/1	Mrs Suprapti M.Pd	Principal of state primary school (SDN) 03 Sisir
5/1	Mrs Sri Winarni S.Pd	Principal of SDN Sumber Gondo 2
6/1	Mrs Prihastutik	Principal of SDN 01 Punten
7/2	Mr Mikael Adri Budi	INOVASI policy specialist, East Java
8/2	Mrs Silvana	INOVASI team leader, East Java
9/2	Mr Teguh Kustono S.TP, M.T.	Section chief, communication and partnership, Ministry of Communication and Information Technology, Batu city office
10/2	Mr Ririck M.Si	Chairperson of the Batu library division
6/3	Mr Barokah Santoso M.Ed	Principal of SMPN (junior secondary school) 2 Batu
8/3	Mr Samun S.Pd	Chairperson of PGRI, Batu city
9/3	Mr Didik Machmud	Chairperson of Commission C, DPRD, Batu city
10	Mr Yusron	Chairperson of KIM, Sumber Gondo
14	Mr Luke Pramudita	INOVASI MERL team, East Java
15	Mr Wasis Jatmiko	INOVASI district facilitator, Batu city
16	Mrs Triyana Damayanti	INOVASI district facilitator, Batu city

Notes: S.Pd = Bachelor of Education; M.Si = Master of Science; M.Pd = Master of Education; S.TP = Bachelor of Agricultural Technology; M.T = Master of Technology; SDN = state primary school; SMPN = junior secondary school: PGRI = Indonesian teachers' association; DPRD = Regional representative council; KIM = community information group; MERL = monitoring, evaluation, research and learning

2.2 DATA COLLECTION METHODS

The fieldwork was conducted over two weeks from 3 to 14 December 2018. In this harvesting approach we used two main data collection methods: in-depth interviews and document collection. In-depth interviews were conducted to understand: who contributed to the outcome and its driving factors; and when, where and how the contribution took place. Interviews were also used to examine the significance of the outcome to the INOVASI program in Batu city. Each interview was recorded with permission from the informants and lasted

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on average no more than an hour. Every we accomplished between one and three interviews day (excluding travel days: Mondays and Fridays of both weeks). The other method was collecting and examining relevant documents, including the mayor's regulations and guidelines documents (the PERWALI), background information, records of meetings and other related documents.

It is important to note that conducting interviews with the high officials targeted as informants for this research was challenging since most of them were busy. Also, December is a peak season for all public ministries and offices with full-time activities for the end of the financial year. Interview schedule cancellations were common and as a result we did not manage to interview the mayor and her deputy.

2.3   DATA ANALYSIS

The study data was analysed using the following processes:

1. Continuously reviewing the information as we collected it and following it up in the next data collection exercise;
2. Transcribing the relevant information;
3. Identifying patterns and themes in accordance with the determined research questions; and
4. Deducing and describing the key players, their contributions, the factors and the processes leading to the PERWALI.

Due to time constraints, a transcriber was hired to help with the transcription and the coding process was done manually by highlighting relevant information and attributing codes in the margins. This is a selective process whereby the researchers determine the texts relevant to the purpose of this research and decide on the codes that best correspond to the information. They can then identify the patterns and themes that fall within the framework of the main research questions.

After analysing the findings, we described and mapped out the whole process leading to the issuance of the PERWALI. Lastly, based on this description, we produced the final research report after revisions and consultations with the INOVASI team and with the external substantiator.

3. RESEARCH FINDINGS

This section presents the findings of this study and covers: the description of the outcome (the mayor's regulation or PERWALI); a summary of the PERWALI and its significance; the key players in the initiating and drafting processes; the driving forces behind the PERWALI; and the lessons learned.

Box 1: Outcome description[2]

> In November 2018, the mayor of Batu city officially launched the mayor's regulation and technical guidelines (PERWALI) No 93 of 2018 on Batu as a City of Literacy to improve the quality of literacy in schools, families and communities. There was a strong sense of urgency in issuing the PERWALI and INOVASI played a significant role in directing, facilitating and guiding the process of making the regulation that took less than three months (September to November 2018).

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[2] Despite the official launch of the PERWALI at the literacy festival event held on 8 November 2018 in Batu city, the mayor had not yet signed the PERWALI when the fieldwork for this study took place (3–14 December 2018). According to Mr Rais, the delay was due to the usual heavy workloads at the end of the 2018 financial year. He did not want a long time lag between the issuance and the implementation activities in early 2019. This implied that the PERWALI would be signed in January 2019 but at the time this report was substantiated, it had not yet been signed.

3.1 SUMMARY OF THE PERWALI

The content of the PERWALI was inspired by the Ministry of Education and Culture regulation No 23 of 2015 and the guideline documents on the National Literacy Movement (*Gerakan Literasi Nasional*). In keeping with this national movement, the overarching goals of the PERWALI are to encourage a culture of literacy and enhance character education in both domestic (family) and public (school and community) contexts. The guidelines for the literacy movement in Batu city refer to the Schools Literacy Movement (*Gerakan Literasi Sekolah*), the Family Literacy Movement (*Gerakan Literasi Keluarga*), the Community Literacy Movement (Gerakan Literasi Masyarakat) and the official Government Literacy Movement (Gerakan Literasi Pamong). Similar to the ideas expressed by Kucer (2014) and included in the the outline of the National Literacy Movement, the PERWALI underlines seven types of literacy skills to develop within these various literacy movements – early, basic, numeracy, science, digital, financial, cultural and citizenship literacy skills. In this regulation, the literacy movements are to be continuously implemented involving all the targeted stakeholders of the programs.

The implementation strategies are regulated for each level of the literacy movement. Firstly, at the domestic or family level, reading materials will be provided to reinforce the importance of literacy to family members and encourage literacy activities at home, with each family member acting as a good role model in implementing literacy activities. Secondly, at the school level, the literacy movement will be implemented by integrating curricular, extra-curricular and co-curricular activities. The activities can be conducted in or outside the classroom and be supported by parents, parents' associations, school committees and communities. Thirdly, in the community context, the literacy movement will be enacted by providing different types of reading materials in public settings, reinforcing community literacy facilities, widening the access to learning sources and involving communities in various literacy activities. The literacy movement at village level will be facilitated by the village officials and any villages with literacy initiatives and adequate facilities can declare themselves as literacy villages.

To ensure the accountability of the program, the PERWALI regulates the evaluation and monitoring mechanisms that involve a task force of government officials and volunteers responsible for reporting on the enactment of the literacy movements. Along with this PERWALI, the set of technical guidelines give further details on implementation.

The PERWALI does not explicitly cover issues of gender equality and social inclusion although the technical guidelines mention that the literacy movement also targets children with special needs without elaborating. During the substantiation of this report (on 30 January 2019), Mr Rais explained that the PERWALI does not include these issues because the main intention at this stage is to build a generic foundation to establish a literacy culture in a systemic way. In the future, these issues need to be addressed either as an addition to this regulation or in a separate regulation. Nevertheless, Batu city has been working on specific programs for children with special needs including improving schools for students with special needs and setting up 17 public schools as inclusive schools. The education office has created a partnership with Malang State University whereby 15 graduates from their inclusive education program will be sent to these inclusive schools to assist the homeroom teachers.

3.2 SIGNIFICANCE OF THE PERWALI

The PERWALI provides legal support for the literacy movement in schools. Principals and teachers engaged in activities to improve literacy and encourage others to do the same need systemic support from the authorities. This support is not possible without a regulation that lays the legal foundation for the government to develop and design subsequent supporting policies and programs.

Also, the PERWALI will mean that literacy programs can be more systematic instead of sporadic as in current practices. This also ensures that equal processes and outcomes can be created across different schools. This is in line with the vision of the former mayor of Batu city who did not want any disparities in schools'

performance in different areas. He was against the idea of model or favourite schools as he wanted all schools to be at the same high level.

In addition, the PERWALI promotes literacy in both families and communities with the hope that all relevant sectors will work together in making Batu city a city of education as well as tourism.

The PERWALI is significant for INOVASI because it gives a legal foundation and support for its upcoming programs, especially those relating to school literacy, even though the PERWALI's remit is broader than just early-grade literacy. INOVASI will have the authority and systemic support to ensure that the targeted schools join their programs and that the program interventions are implemented easily and smoothly. The PERWALI is also fundamental for INOVASI as it serves as a foundational activity in the theory of change for INOVASI's pilot on leadership for early grade literacy in Batu city.

3.3   KEY PLAYERS IN INITIATING AND DRAFTING THE PERWALI

This research identified several key players in the making of the PERWALI as shown in Figure 2. The three layers of players are defined by the degree of their influence, with the first layer having the most influence and the third having the least influence. The first layer are *the initiators* consisting of the stakeholders who initiated the ideas and created the urgency for the PERWALI to support literacy in Batu city. This group includes principals and teachers from various literacy communities, and the heads of the education council, the teachers and educational staff division and the Batu education office. The literacy communities and the education council head frequently communicated their urgent need for systemic support. With permission from the education office head, the head of the teachers and educational personnel division responded positively to this 'urgency call' for further informal meetings with this limited group of stakeholders.

> *'Ini kalau tidak salah prosesnya waktu itu ngobrol di antara Dewan Pendidikan, kemudian kepala-kepala sekolah, […] kemudian Mr Rais [Kabid GTK] merespons dengan gagasan PERWALI literasi itu'* (Budi Prasetio, education council chair, 4 December 2018).

> [If I'm not mistaken it was through small talk between the education council, then the principals, [...] then Mr Rais [district head of the teachers and educational staff division] responds with the idea of the PERWALI on literacy] (Mr Budi Prasetio, education council chairperson, 4 December 2018).

> '*Kami, terus sama ada koordinator lah. Kebetulan saya kan koordinator, yang dituakan ya. Kita ke kabid GTK, nah kita omong lalu kita bawa buku terus bagaimana ini. Kebetulan kabidnya yang Pak Rais itu respon, "Iya nanti bisa dianggarkan" gitu'* (Mrs Prihastutik, principal of SDN 01 Punten, 12 December 2018).

> [We did it, with the coordinator. Coincidentally, I am the coordinator, considered as a senior teacher. We went to see the chairperson of the teachers and educational staff division, we talked about it and we showed him the book, then asked what was next. Fortunately Mr Rais responded positively, "Yes, it can be budgeted for later"] (Mrs Prihastutik, principal of SDN 01 Punten, 12 December 2018).

The second layer of players are *the drafters* that include those in the first layer and others who were actively engaged in the drafting process. The education office invited these new players in the second layer to contribute to the drafting process for the PERWALI. This group includes officials from the Batu city library, the communication and information office, external resource people and INOVASI, as the change agent. According to the education office head, INOVASI had arrived at just the right time when her office needed support in producing this regulation. With INOVASI's help the regulation was developed more quickly and effectively.

Figure 2: Three layers of key players
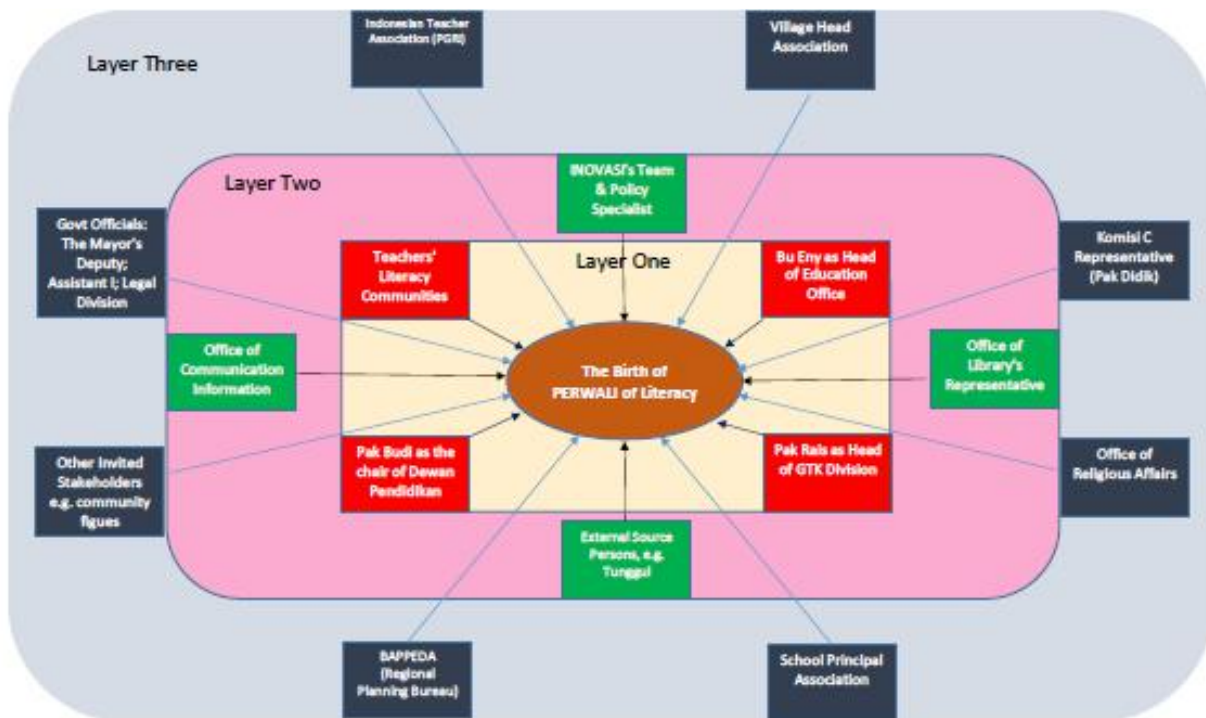
The third layer, *the consultants*, that includes players from both the first and second layers, are those who were invited to attend and contribute to the public consultation summit on 19 October 2018. As many respondents testified and the attendance list confirmed, there were more than fifty partcipants at the summit, including the deputy mayor, the first assistant for government affairs, an official from the legal division, a teachers' association representative, a religious affairs office representative, heads of villages, a representative from the regional representative council in Batu city (chairperson of Commission C, Batu city), school principals and others. Although they fall into the third layer of players, their inputs significantly improved the final PERWALI. According to INOVASI's East Java policy specialist, Mr Budi, the objective of this public consultation, besides seeking inputs from stakeholders, was to agree on its content and ensure the commitment of all stakeholders.

Figure 3: The processes involved in generating the PERWALI
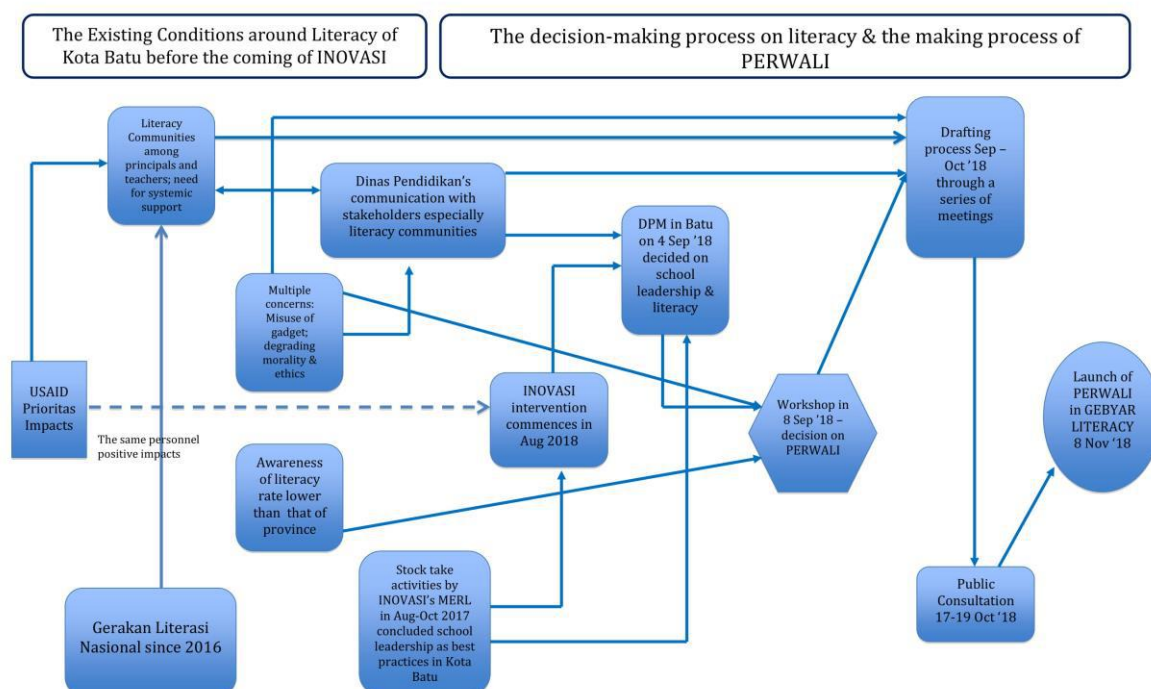
In chronological order, the PERWALI was initiated by informal discussions among the first layer stakeholders in the period of April through to August 2018. The stocktake outcomes were considered in the INOVASI district planning meeting on 4 September 2018 and it was clear that Batu city needed INOVASI's assistance in both school leadership and literacy. Literacy was chosen over numeracy although the numeracy levels of students in Batu city are lower than their literacy levels. This is because INOVASI had not seen any best practices in numeracy teaching in any schools that could be modelled for other schools (Mr Budi, 12 December 2018). On 8 September 2018, the education office held a seminar on literacy that involved the broad stakeholders and invited several resource people including Mr Tunggul Harwanto[3] from Banyuwangi and Mr Budi from INOVASI. The idea of supporting regulation for literacy was crystalised further after this seminar and concrete action was taken in the form of several intensive meetings.

According to Mr Budi, after the seminar, a series of meetings took place from 12 to 14 September 2018 to form a special committee or core team to develop a working document for the PERWALI layout and its contents. Several more meetings and activities discussed the draft PERWALI and its technical guidelines on 27–28 September 2018. The education office also funded the public consultation on the PERWALI on 17–19 October 2019 and its official launch on 8 November 2018. As all the second layer key players explained, both informal and formal meetings and discussions occurred from September to October 2018 even without the presence of INOVASI's policy specialist. These meetings were mainly facilitated by the education office. Mrs Suprapti,

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[3] Mr Tunggul Harwanto is the head of *Rumah Literasi Banyuwangi*, a movement that promotes a literacy and writing culture. The vision is to develop a new generation with knowledge and character that manifests itself in community-based alternative education practices. The movement fosters reading, character building and community participation in its bid to provide quality education for the young generation. Having emerged from the community, the literacy movement in Banyuwangi involves not only schools but also families and the wider community. He was invited to the seminar as a guest speaker on literacy to share his experiences in developing the literacy program with the stakeholders in Batu city.

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principal of SDN 03 Sisir reported that she was invited several times a week to attend continual meetings on developing the regulation.

Based on this depiction of the process of developing the PERWALI and as shown in Figure 3, INOVASI made a significant contribution to this process. This was largely through its policy specialist, Mr Budi, who has good connections in the education department due to his previous involvement with the USAID PRIORITAS program. He played various roles – motivator, facilitator, director and catalyst – to ensure an efficient but measured process in drawing up the regulation. As a result, the PERWALI could be finalised within about three months. Dr Rachyuningsih , the Batu city education office head, and Mr Rais, the Batu city teachers and educational staff division chairperson, acknowledged the central role that INOVASI played in directing the process. When asked what would have happened if INOVASI were not there to help, Mr Rais said that the PERWALI could not have been made within such a short time frame.

Driving factors
This research revealed several factors that led up to the PERWALI, as shown in Figure 3. These include: the sporadic literacy improvement activities as an obvious impact of the previous PRIORITAS intervention; the awareness about Batu city's literacy rate and culture; and concerns about multiple moral issues.

In Batu city, long before the PERWALI initiative, both individuals and groups had made numerous sporadic efforts to improve literacy levels, especially in schools. One notable example is the literacy initiative at SMPN 2 Batu city set up by the principal, Mr Barokah Santoso. He said the initiative came from his understanding of the graduates' competency standards that require students at this level to master certain reading and writing skills. Starting in 2006, Mr Santoso developed various strategies to respond to this requirement, including the following: having 15 minutes reading time before the first morning class; establishing a student literacy community: holding reading and writing competitions; and producing literacy magazines to publish both students and teachers' work. He explained:

> '*Jadi di Batu ini, di sekolah-sekolah (tingkat SMP) sudah banyak gerakan-gerakan (peningkatan) baca tulis. Tapi kami tidak tahu, ternyata kelak ini masuk dalam gerakan yang dipermendibudkan itu (Gerakan Literasi Nasional). Bahkan kita sudah sampai pada bikin bulletin*' (Barokah Santoso, principal of SMPN 2 Batu, 6 December 2018).

> [So in Batu, in schools (junior secondary school level) there have been many (increased) movements in reading and writing. But we did not know, as it turned out, that later this would be included in the movement that was promoted as the National Literacy Movement. In fact we have even succeeded in producing our own literacy bulletins] (Mr Barokah Santoso, principal of SMP 2 Batu, 6 December 2018).

Mr Santoso's initiative has been replicated in other junior secondary schools in Batu city but, as he said, the programs tended to be sporadic as there was no local regulation to legally bind schools to carrying out the activities. The schools followed their own interpretations of the guidelines from the National Literacy Movement.

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Three principals from different primary schools told similar stories. Mrs Suprapti, as a principal of SDN 03 Sisir, (or Mama Prapti, as she was addressed) narrated her story of how she was struggling to improve literacy in particular and education in general at the school. She has written several books and she also encouraged her counterparts to write. In her school, she developed programs like 'around the corner' (*pojok keliling*), 'reading baskets' (*keranjang baca*), 'caterpillar reading' (*ulat baca*), outdoor libraries, reading records (*rapor baca*) and achievement awards. All these programs aim to establish a reading culture among students. To support her efforts, she invited the parents' association to participate in the literacy efforts especially by helping their children in reading. As she proudly explained, this literacy activity improvement has spread to other primary schools in Batu city.

Mrs Prihastutik from SDN 01 Punten also described how she initiated literacy practices in Batu and other informants from INOVASI and government offices testified to this. This started when she won a writing competition at the national level and was awarded the title of 'outstanding teacher' in 2015. She began to run literacy programs and activities at her school and also influenced teachers and principals at other schools to do the same due to her role as the head of the principals' association.

Another principal, Mrs Sri Winarni, reported how she successfully transformed her school from a low performance school into a high achieving school within only a couple of years. The poor conditions at this school and the low achievements of the students were mentioned in the stocktake report before she was appointed as the principal. Part of her success was attributed to the introduction of 'concept classrooms' where every classroom was designed and decorated to reflect the main theme for the class level, for example, an outer space display to reflect the current key lesson in physics for the grade six class.

Figure 5: Reading corner and reading culture at two different primary schools

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What emerged was that these literacy improvement efforts could not be separated from the impact of the previous donor intervention, the USAID PRIORITAS program. Every teacher or principal we interviewed informed us that the current outcomes, including the concept classroom, literacy activities and learning improvement through the active, creative, effective and fun learning approach, known as PAKEM (*pembelajaran aktif kreatif efektif menyenangkan*) can be attributed to the PRIORITAS intervention. When the PRIORITAS program came to an end, INOVASI came in to continue the previous programs with some different approaches. Interestingly, some of the INOVASI team members previously worked for PRIORITAS (as shown in Figure 3 and indicated by dashed lines) so their relationships with schools and education officials had been established for several years and this was a key factor in successfully implementing the current interventions, as discussed later.

However, efforts to improve literacy in schools are not without challenges. Mrs Suprapti identified two main challenges coming from teachers themselves: overly enjoying their own particular comfort zones and having hostile attitudes towards change. In her observation, her peer teachers and principals were generally happy to stay in their comfort zones, working on routine activities with no initiatives for change. They did not want to risk moving beyond their comfort zone boundaries. Consequently, when she initiated a legitimate improvement they often responded with hostility, wanting it to fail. She was upset when she told us how hard it had been to get through the prejudices, accusations and mockery during the early phase of her literacy initiative. Mr Rais also mentioned this mentality as a challenge to the literacy movement in Batu city. Therefore he believed a regulation was needed to support literacy improvement efforts more systematically.

At the community level, literacy improvements can be traced to the activities done by the community information group, KIM (*Kelompok Informasi Masyarakat*), that consists of several (mainly young) people at the village level. According to Mr Teguh Kustono, the Batu city communication and information technology office chief, this group was trained by his office to serve as an information provider for the community. KIM disseminates mainly government information at the village level but it has the potential to support the literacy movement at the community level, as mandated in the PERWALI. According to Mr Yusron, the chairperson of KIM in Sumber Gondo village, his organisation usually shares information with the community through websites and WhatsApp groups that community members can access. Although it is indirect communication, the process of sending information out to community members at the village level could make them information literate which is one aspect of literacy.

On another driving factor, Mr Budi and Mr Rais explained that the literacy rate in Batu city was below the East Java province average. As the Indonesia National Assessment Program (INAP) data shows, the literacy rate in the city was 41.7 compared to the provincial rate of 43.92 in 2018. Although both rates were slightly above the national rate (39.28), aspirations to improve the quality of literacy in Batu city in particular and East Java in general have driven the education stakeholders to launch several programs in Batu city, including the literacy PERWALI. Some informants identified the main factors causing the low rate of literacy in Batu city as: the lack of a reading culture among students, teachers and the community; and limited literacy infrastructure, such as libraries and reading corners.

'*Sebenarnya ada sih pak (pencapaian literasi), cuma masih harus ada yang menggairahkanlah. Terutama untuk gurunya. Jadi minat baca itu masih kurang. Belum ya*' (Dr Rachyuningsih , education office head, Batu city, 4 December 2018).

[Actually there is some (literacy achievement), only there needs to be something more exciting. Especially for the teachers. There's a general lack of interest in reading. So we're not there yet…] (Dr Rachyuningsih , education office head, Batu city, 4 December 2018).

'*[Nanti] pojok perpustakaan itu, kemudian di desa-desa juga ada, di kecamatan juga ada. Yang mana nanti misalnya menunggu surat itu bisa baca-baca. Nah salah satu program*

dinas itu membuat pojok kelas itu. Kita anggarkan nanti' (Mr Didik Machmud, chairperson of Commission C, DPRD, Batu city,10 December 2018).

[(Later, we will have) library corners in villages and in the sub-districts too. While waiting for the official letter, people can read the books provided. One of the current official programs is to have library corners in the classrooms. We will budget for these later] (Mr Didik Machmud, chairperson of Commission C, DPRD, Batu city, 10 December 2018).

Other informants were concerned about conditions degenerating due to advances in information and communication technology (ICT) and particularly children and youth misusing gadgets and smartphones. They felt that the erosion of morality, values and tradition among the young generation was worrying to some degree. Beside the effects of technology, informants also attributed this deterioration to the introduction of Batu as a city of tourism. This side effect of the tourism development in the city was inevitable and the launch of the PERWALI also served as an answer to these concerns. Mr Budi Prasetio and Mr Didik Mahmud, for instance, pointed to the changing habits of young children who were still busy playing with gadgets or 'selling villas' (offering villas to guests for rent) at evening prayer time. The tradition of staying at home during this time to recite the Holy Quran and learn the lessons have been fading. As a senior educator, Mr Budi Prasetio was also concerned by the language sensibility and ethics or manners of the young generation.

'*Karena disini ada puluhan dari guru Bahasa Indonesia yang sangat sulit sekali memperbaiki, bagaimana cara anak-anak berbahasa baik dalam menulis maupun lisan. […] Waktu itu berangkat dari keprihatinan masalah budi pekerti, masalah kebahasaan, masalah ini terus akhirnya mengerucut pada tadi itu, literasi*' (Mr Budi Prasetio, education council chairperson, , 4 December 2018).

[Because we have dozens of Indonesian language teachers here who have encountered difficulties in improving students' abilities in both spoken and written discourse and using language correctly [...] At that time, I started off with the concern about manners and linguistic problems and continued this thought to finally converge on the issue of literacy] (Mr Budi Prasetio, chairperson of the education council, 4 December 2018).

Consequently, the concept of literacy as outlined in the PERWALI was expanded to cover not only reading and writing but also other aspects of cognitive, psychomotor and affective development, following the National Literacy Movement guidelines. As discussed, literacy is conceptualised more broadly to include knowledge and competence in specific areas, such as cultural literacy, digital literacy and so on (Kucer, 2014). However some of the committee members initially raised some debate about this expanded meaning as they were concerned that it would be difficult to implement and supervise any area other than school literacy. Nevertheless this expanded concept of literacy, according to Mr Rais (30 January 2019), squarely responds to the need to boost character education. In other words, literacy would serve as a basis for developing children's characters (O'Sullivan, 2004). This is in line with the main objectives of the National Literacy Movement (MoEC, 2016).

4. FUTURE IMPLEMENTATION: KEYS TO SUCCESS AND CHALLENGES

The issuance of the PERWALI was a remarkable achievement by all stakeholders involved in the process and particularly by Batu city's education office as the leading sector. It also indicates a successful contribution from INOVASI in assisting with the government's literacy improvement program. After the regulation was officially launched in November 2018, the focus for the Batu city government is on implementing this regulation which will start in early 2019. Most informants were optimistic about the future success of its implementation as there are or will be supporting factors in place. Some of these factors contributed significantly to accelerating the process of developing the PERWALI.

The first significant factor was the support provided by the mayor. All informants testified that the current mayor has supported educational programs in Batu city and her strong, unfailing support was evidenced through other missions in Batu city, including the drive to improve and develop the quality and welfare of human resources and achieve a better human development index (HDI) for Batu city (RPJMD of Batu city 2018–2022). She clearly has a mission to improve the quality of education and was therefore unhesitant when presented with the proposal for the PERWALI and responded positively immediately. Under her leadership, the education budget for Batu city has reached 25 per cent of the total budget – 5 per cent more than the national mandate. Several distinctive programs to improve education quality in this city can be cited: the policy of still disbursing the regional schools operational funds (BOSDA) to all levels of primary and secondary school students; the free milk and additional nutrition programs for schools; and the literacy movement (in 2018 it was marked by the literacy festival and the launch of the PERWALI on 8 November). According to informants the mayor's background as a university lecturer in Malang partly explained her particular concern with education.

The mayor's strong commitment to supporting education in Batu city contributed significantly to both the development of the PERWALI and the optimism of many informants about the future of its implementation. This is evident in the following quotes from various informants.

> *'Iya, respon dari pejabatnya maksud saya, pemangku kepentingan terutama walikotanya, eksekutif dan legislatifnya bagus Pak. Juga cara pendekatan kita bagus. Bu Walinya mendorong'* (Mr Rais, teachers and educational staff division chairperson, 5 December 2018).

> [I would say yes, the response from the officials, the stakeholders, especially the mayor, the executive and the legislative were good. Also the way we approached them, that was good. The mayor was very supportive] (Mr Rais, teachers and educational staff division chairperson, 5 December 2018).

> '*Bu Wali Kota ini kemarin menyampaikan bahwa beberapa ide yang dicanangkan beliau. Yang pertama bahwa terlepas anak murid kelas 1, 2, 3 itu (semua harus) bisa baca tulis. Lalu, dimasukkan misalnya budi pekerti, karakter, atau sopan santun'* (Mr Didik Machmud, Chairperson, Commission C DPRD Batu city, 10 December 2018).

> [The mayor yesterday conveyed her ideas. The first was that every grade 1, 2 and 3 student (with no exceptions) must be able to read and write. Also, values, character and manners should be instilled in them through their learning (Mr Didik Machmud, chairperson, Commission C DPRD Batu city, 10 December 2018).

'*Dengan adanya literasi ini kami harap visi misi Ibu Wali itu dapat terayomi dan terlindungi apalagi ditambah dengan PERWALI. Jadi pas, satu lembaganya satu gerakan moralnya*' (Mr Ririck, chairperson, library division, 5 December 2018).

[With this literacy (drive), we hope that the vision and mission of the mayor can be well-regulated and protected, especially coupled with the PERWALI. So I think the process has gone well, the whole institution has the same moral mission (Mr Ririck, chairperson, Batu city library division, 5 December 2018).

Another factor in accelerating the issuance of the PERWALI as well as implementing it successfully in the future is the strong commitment of the Batu city education office under the leadership of Dr Rachyuningsih. In relation to the incoming regulation, every informant mentioned the strong contribution and coordination by Mr Rais as the person in charge of the process who made it possible. However Mr Rais said all his actions were taken in consultation with and were approved by Dr Rachyuningsih , and the PERWALI should be attributed to the whole education office that initiated it and successfully facilitated the processes.

The education office's strong focus and commitment to implementing the PERWALI was demonstrated by a strategic plan for its signing. As mentioned, although the regulation was launched officially in November 2018, it had not yet been signed by the end of January 2019. Mr Rais explained that he deliberately delayed submitting the final draft to the mayor for signature because he did not want any lag between signing and implementation. In the established system, once a regulation is signed, it must be enacted immediately but with the end of the financial year over the November–December period, this would not have been possible. Therefore, he thought it better to delay the signing to the new year.

'*Makanya ini menurut saya bebannya berat pak. Nah, ketika beban berat jangan sampai itu hanya gemuk didokumennya saja, tetapi tidak terlaksana. Ini kan tantangan, makanya kita harus berhitung benar ini. Dan kita baru bisa mikir ini di bulan Januari. Sekarang nggak bisa mikir untuk itu. Itu yang kita pastikan sehingga nanti ini kan penandatanganannya di bulan Desember, Januari itu action. Dan itu kami sudah berhitung harus melibatkan desa-desa. Kami harus mendata ini. Nah ini juga proses pak*' (Mr Rais, chairperson, teachers and educational staff division, 5 December 2018).

[That's why I think it's a heavy burden, sir. Well, we should not be looking at it as just a document, I mean, without thinking about its implementation. This is a challenge that we have to calculate seriously. And we can only think about this in January. In the meantime we don't have the time to think about it. We will try to ensure that the signing of the PERWALI is in December and the action will be in January. And we were also thinking of the involvement of the villages. We need to collect data about this. Well this is also all part of the process … (Mr Rais, chairperson, teachers and educational staff division, 5 December 2018).

In line with this, according to Dr Rachyuningsih , the education office will develop an action plan for the PERWALI with a task force in charge of both implementation and evaluation. This process will not be straightforward because the scope of the PERWALI was expanded to cover three different sectors – schools, families and communities. This implies that key government and non-government stakeholders will need to collaborate.

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The collaboration among stakeholders was another supporting factor in accelerating the issuance of the PERWALI. Various informants agreed that the education office successfully engaged different stakeholders during the drafting process, including teachers, principals, the education council, teachers' association, village head association, legislative members, INOVASI and other relevant offices (see Figure 2). The collaboration generally worked well although the archives and library office did not feel fully involved in the process despite their interest in literacy development and their role as book provider. The informants considered this collaboration a valuable aspect of the PERWALI process that is likely to underpin and sustain the future implementation process. Mr Rais, Mr Budi and Mr Teguh all reported that the village head association was prepared to support the literacy programs by allocating some of the village funds. However, they would need further technical regulations to fulfil this offer.

The existing literacy improvement practices are also believed to be an important factor in the PERWALI's successful implementation in the future. As described earlier, the literacy movement and literacy activities were already taking place in Batu city long before this regulation was issued and these provide the infrastructure that will underpin its implementation. Batu city government will need to coordinate and strengthen the currently sporadic literacy practices, and use the best practices to help all schools participate. The government is likely to make extra efforts to promote literacy within families and communities, as mandated in the PERWALI.

INOVASI is expected to be another source of support in implementing the PERWALI, according to the INOVASI team members. The first phase of the INOVASI program ends in 2019 but with a possible extension to 2020. Just as INOVASI contributed to the process of developing the PERWALI, their contribution is anticipated in successfully implementing the regulation, particularly in the field of school literacy. INOVASI has already started training for trainers to improve both leadership and literacy among school supervisors, principals and teachers. INOVASI has played an important role in assisting Batu city government and its education program and this should continue with an emphasis on empowering local governments and education players and establishing the support system to sustain literacy programs in the future.

Besides these supporting factors a number of factors may challenge the successful implementation of the PERWALI. Firstly, the broad scope of the literacy regulation in terms of both concept and areas of intervention encompasses almost all branches of knowledge rather than being limited to the traditional definition of just reading and writing. This broad concept will affect the kinds of interventions that will need to include the different types of literacy cited in the PERWALI. For instance, science literacy would merit a special intervention distinctive from basic literacy and involve science teachers who would need specific training distinct from training for other subject teachers. Monitoring and evaluating this science literacy intervention would also possibly require different processes. Consequently, implementing the PERWALI will require holistic and meticulous planning to ensure it goes smoothly, as well as a large budget. As Mr Rais and Dr Rachyuningsih reported, there will be a task force to develop action plans for this implementation and guide its process, but at the time of the data collection the action plan was still to be developed.

In terms of literacy areas, the PERWALI stresses that the literacy interventions need to take place not only in schools but also in families and communities and involve government officials from different sectors. The challenge will be how Batu city government monitors the implementation and evaluates the outcomes. Some informants believe that this challenge could be overcome by involving other offices responsible for family and community affairs. In the technical guidelines for the PERWALI, a task force will ensure the regulation is effectively implemented. The Batu communication and information technology office has been working in this area, for example, but much still needs to be proven with regards to literacy and this will be challenging.

Another challenge that some informants mentioned may come from the targets of the literacy interventions – the teachers and community members. As Dr Rachyuningsih and Mr Rais explained, teachers can be resistent to change and often prefer to stay in their comfort zones, using their established practices. Mr Rais explained a problem related to this issue:

> '*Yang lebih bahayanya lagi, ini lebih problemnya lagi, justru kepala sekolah yang punya atraktif tinggi seperti itu, itu dicemburui oleh temannya, diiriin, bahkan dikucilkan. Bisa*

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terjadi seperti itu. Itu kan bahaya sekali. Ini masalah budaya' (Mr Rais, chairperson, teachers and educational staff division, 5 December 2018).

[Even more dangerous and related to this problem is that a principal who is so interested (in literacy practices), was just envied and even excluded by her colleagues. This actually happened. That's very dangerous. This is a cultural problem (Mr Rais, chairperson, teachers and educational staff division, 5 December 2018).

While this might not reflect the attitude of most teachers in Batu city and may be an isolated case, this issue should nevertheless be anticipated and appropriate strategies devised to combat it in implementing the PERWALI.

Some informants suggested that part of the challenge is the lack of a reading and writing culture meaning that people are not interested in reading. This does not necessarily concern community members only but teachers as well, they observed. While informants could not estimate the average time teachers spend reading in a day or a week, Mrs Suprapti tried to estimate the extent of the reading culture in the district:

'*Jadi, budaya baca itu belum. Malah kalau misalnya diukur, ya sekitar 25% lah*' (Mrs Suprapti, principal of SDN 03 Sisir, 6 December 2018).

[So, the reading culture is not yet established. In fact, if for example we tried to measure it, it would be at around 25 per cent] (Mrs Suprapti, principal of SDN 03 Sisir, 6 December 2018).

In terms of the community reading culture, Mr Teguh explained that Batu's people are mostly farmers and encouraging them to read will be a challenge in implementing the PERWALI. As he acknowledged, people in Batu commonly use smartphones now, so promoting reading through printed books may not be the best option in promoting literacy in the community. Nevertheless, as many informants explained, the local government will build reading corners in villages, shops, cafes and other public places to give the community easy access to books, magazines or other reading materials. There is a risk that this effort may not be fully appreciated. Therefore, the challenge is how to use technology to improve the community's interest in and levels of literacy. The problem of technology also arises with students.

5. LESSONS LEARNED

The Batu city regulation on literacy was formulated quickly and only a few months after INOVASI started its interventions. As all informants acknowledged, drafting this regulation within such a short time frame was a real achievement and involved various stakeholders. The regulation was launched in November 2018 and this outcome harvesting study drew the following lessons from this success story.

1. The PERWALI was a bottom–up initiative and this seems to have sped up the process. The existing literacy movement in schools was able to influence the relevant authority and facilitate discussions on schools' needs. This initiated the idea of a policy to provide the legal underpinning for the literacy movement and other literacy interests. The communal rather than individual aspirations and commitment to the cause at the grassroots level gave the idea a momentum and power that the authorities could not resist. This is what was achieved in Batu city when a group of school-based literacy activists voiced their interest in having systemic support from government.

2. Another key lesson to learn from the PERWALI process is the need for openness among those in authority. The bottom–up initiative was met with an open attitude and willingness to listen from the figures in authority, including the mayor, the education office head and Mr Rais as chairperson of one division. In democratic cultures, participative endeavours rely significantly on people being receptive to new ideas and in a patriarchal society like Indonesia this openness from those at the top encourages participation. Mr Rais described how the mayor was open to ideas and initiatives and recalled that she had personally called him to discuss education issues and improvements in Batu city. Equally, he said the current education office head was keen to listen to new ideas and suggestions.

3. Partnerships and collaboration among stakeholders were strongly established during the PERWALI process. These include internal and external partnerships and collaboration. Internal collaboration refers to activities accomplished by government offices and institutions working together. Thus although the PERWALI was the work of the education office, other government offices and staff were involved in the drafting process, including the archives and library division, the communication and information division, school principals and teachers. External collaboration refers to endeavours by the education office involving external stakeholders such as legislative members, the teachers' union, INOVASI and the village association. According to Mr Budi's notes both internal and external stakeholders were highly engaged, particularly in regular meetings and in the public consultation.

4. The whole process of designing and drafting the PERWALI was systematic and participative, according to Mr Rais and Mr Ririck, and distinctive from previous regulation development processes. This emphasis on participative methods should be attributed to INOVASI. INOVASI provided a policy specialist who understands how to formulate a regulation in an effective and participative manner. As many informants explained, the process started with a workshop involving various stakeholders and continued with a series of intensive meetings and then the public consultation before it was launched in November 2018. The meetings were structured to brainstorm the content, layout and language use in the PERWALI. INOVASI also invited another policy specialist for further support. This facilitation process was another significant contribution from INOVASI to the regulation forming process.

5. A number of key players became determining factors in the process of developing the PERWALI, including Mr Rais from the education office and Mr Budi, the policy specialist from INOVASI. This in no way belittles the contribution of all the others since both these figures played leadership roles to ensure the regulation materialised. They worked relentlessly to improve Batu city's literacy – planning, directing, guiding and evaluating the development process.

6. CONCLUSIONS AND RECOMMENDATIONS

The predetermined outcome of this harvesting study was the issuance of the PERWALI – the mayor's regulation on Batu city as a literacy city and its technical guidelines. Three layers of key players contributed to the making of this regulation. The first layer, *the initiators*, the stakeholders who initiated the idea of developing the PERWALI, included principals and teachers from various literacy communities, and the heads of the education council, the teachers and educational staff division and the education office. The second layer players, *the drafters*, included officials from Batu city library, the communication and information office, external resource people and INOVASI, as the change agent. Together with the first layer players, these players were actively engaged in the drafting process. The third layer players, *the consultants*, that included first and second layer players, were invited to attend and contribute to the public consultation summit on 19 October 2018. They included the deputy mayor, the teachers' union representatives, religious affairs representative, village heads, Mr Didik Mahmud from the representative council, school principals and others.

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The PERWALI is significant in legally underpinning the literacy movement and outlining a systematic and holistic approach to literacy. Although the PERWALI concerns literacy at all levels and in various contexts, the INOVASI program can benefit from this regulation and help the district improve early-grade literacy by providing training for relevant teachers, principals and supervisors. As the change agent, INOVASI will be able to base all its programs and activities on this new regulation.

The PERWALI making process started from sporadic literacy movement efforts in schools followed by informal discussions among stakeholders. At the same time, INOVASI arrived to help improve education in Batu city and through a subsequent workshop, it was mooted that a regulation was needed to support literacy in the city. After that the regulation was drafted through a series of meetings and focus group discussions, and launched in November 2018. This regulation was driven by several forces. Besides the urgency of providing a legal underpinning, the bottom–up pressures from sporadic literacy improvement activities in schools and communities drove the authorities to develop the regulation. The need for the regulation was felt more acutely when it emerged that Batu's literacy rate was below the provincial rate. An analysis revealing the lack of a reading culture among students and communities as well as concerns about multiple moral issues added to the urgency to issue a regulation to improve literacy in the broadest sense.

This harvesting study was confined to investigating the process behind the issuance of the PERWALI which was considered an early outcome of the INOVASI intervention. If INOVASI seeks similar success in other targeted areas, the key lessons to derive from the Batu city experience are as follows:

1. Any initiative needs to be bottom–up and led by relevant stakeholders at all levels;
2. Government offices and officials need to be receptive to new ideas;
3. The process requires strong partnerships and close collaboration among stakeholders;
4. Participative methods need to be used to involve all stakeholders in the drafting and decision-making processes; and
5. Key figures are needed to lead the process effectively and democratically.

The PERWALI, as the content indicates, may have implications for the INOVASI program and the local government structure, particularly within the education office. Once this regulation is implemented, future studies can explore various relevant issues:

– How will INOVASI's program be affected by the PERWALI?
– How will INOVASI be involved in assisting the government in implementing the PERWALI?
– Will INOVASI need to extend its work beyond school literacy as it merges with other types of literacy, as cited in the PERWALI?
– Will INOVASI need to restructure and transform to adapt to such challenging conditions?

An analysis of the situation before and after the intervention should explain how changes occurring in the targeted project affect the work of the change agent. In the Batu city context, the following questions would be important:

– How will the local government of Batu city ensure the taskforce is effective in managing, coordinating and monitoring the cross-sector literacy movement?
– How will they ensure the sustainability of the PERWALI-based literacy programs?

It is important to explore how effective the task force could be and how it could affect the relationships among stakeholders even before the task force is formed.

Overall, the effectiveness of the PERWALI merits special attention in future research for a number of reasons: to gain an insight into the whole change process from policy to practice; to assess the success of the intervention; to deduce what makes it work (or not work); and to extract useful lessons for similar development projects.

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ANNEXES

Annex 1: In-depth interview protocols[4]

Instrument A – for the mayor, education authorities, other local government officials and legislative members

Harvesters should introduce themselves, explain the objective of this study and say why the informant needs to be involved. They also ask permission for an interview and for it being recorded.

Questions:

1. What is your name? What is your role and responsibility? (For mayor and deputy mayor this question is unnecessary)
2. How long have you served as ………………………? In your experience, what is good and bad for becoming ……………?
3. Can you tell us about education development here in Batu city? What have been the achievements so far? Can you mention five big achievements? Any evidence?
4. What aspects of education here needs to be improved? Why?
5. What is this city's vision for education? Does it become your personal vision too? Why?
6. We are concerned about the PERWALI on literacy that has recently been issued. What is it about exactly? What does it cover?
7. Can you tell us the history of this PERWALI? Why was it made?
8. Who actually initiated this PERWALI and why?
9. Can you mention stakeholders involved in the PERWALI making process? Which ones are more dominant? Why and how?
10. How would you describe your relationship with INOVASI? In what aspects have you collaborated with them?
11. Are you confident that the PERWALI will improve literacy in Batu city? In what ways?
12. What specific conditions are needed for the PERWALI to be implemented effectively? Would you have support for the implementation? From where or whom?
13. What challenges would hinder the implementation from succeeding? Why? How would you anticipate this?
    Thank you!

Instrument B – for community organisations

Harvesters should introduce themselves names, explain the objective of this study and say why the informant needs to be involved. They also ask permission for an interview and for it being recorded.

Questions:

1. What is your name? What is your job?

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[4] This is a quite generic instrument. More specific instruments for almost every informant are in Bahasa Indonesia and are much longer (more than 30 pages).

2. How long have you worked as ………………………? In your experience, what is good and bad for becoming ……………?
3. Can you tell us about education development here in Batu city? Can you mention five big achievements? Any evidence?
4. What aspects of education here need to be improved? Why?
5. We are concerned about the PERWALI on literacy that has recently been issued. What is it about exactly? What does it cover?
6. Can you tell us the history of this PERWALI? Why was it made?
7. Who actually initiated this PERWALI and why?
8. How would you describe your role in the making of the PERWALI? Can you explain more?
9. Do you know anything about INOVASI? How has INOVASI contributed to the PERWALI and literacy in general?
10. Are you confident that the PERWALI will improve literacy in Batu city? In what ways?
11. What specific conditions are required for the PERWALI to be implemented effectively? Would you have support for the implementation? From where/whom?
12. What challenges would hinder the implementation from succeeding? Why? How would you anticipate this?

Thank you!

Instrument C – for INOVASI team [provincial manager, policy specialist, MERLteam and district facilitators]

Harvesters should introduce themselves, explain the objectives of this study and say why the informant needs to be involved. They also ask permission for an interview and for it being recorded.

Questions:

1. What is INOVASI all about? Are there any documents that can be shared?
2. When did INOVASI start to be implemented? How has the implementation been going?
3. Who is involved in the INOVASI implementation? Who is involved from outside the INOVASI team?
4. What are your jobs and responsibilities?
5. What has the team achieved (outcomes) and what has not yet been achieved?
6. Could you identify supportive factors to INOVASI? Could you identify challenging or impeding factors?
7. How have the local provincial and district governments responded to INOVASI?
8. Can you explain about the PERWALI and its making process? Who actually initiated the idea for issuing PERWALI? How was the idea carried forward? How were stakeholders involved in the process?
9. How would you describe INOVASI's contribution to the making of the PERWALI? How has INOVASI's relationship with Batu city's local government developed?
10. What supports the relationship? And what impedes the relationship, if anything?
11. Are you confident about the PERWALI implementation? How significantly would it facilitate INOVASI's change objectives? In what ways?

Thank you!

Instrument D – List of documents to collect

1. The mayor's regulation and technical guidelines No 93 of 2018 on Batu as a city of literacy (the PERWALI)
2. Statistics on education and literacy in Batu city
3. Relevant policy documents
4. Minutes of meetings on developing the PERWALI
5. Relevant photos

Annex 2: Terms or reference and study design

TERMS OF REFERENCE

STUDY OF CHANGES IN POLICY AND IN POLICY PRACTICE IN EAST SUMBA, BATU, CENTRAL LOMBOK AND DOMPU DISTRICTS, AND THE ROLE OF INOVASI

JANUARY 2016 – OCTOBER 2018

I. Background

The Innovation for Indonesia's School Children (INOVASI) program is a partnership between the governments of Australia and Indonesia. Working directly with Indonesia's Ministry of Education and Culture, INOVASI is seeking to understand how student learning outcomes in literacy and numeracy can be improved in diverse primary schools and districts across Indonesia. INOVASI is working in a range of locations across Indonesia, including West Nusa Tenggara (NTB), Sumba Island, East Nusa Tenggara (NTT), North Kalimantan and East Java.

Aside from trying out various approach through pilots and partnerships, INOVASI also works to improve local policy to support the improvement of student learning outcomes. To date, INOVASI's intervention has contributed to:

- Higher APBD allocation for quality education in East Sumba
- Allocation of village funds (Anggaran Dana Desa) to support education in East Sumba
- Perwali PKB and literacy (Batu municipality)
- Roadmap inclusion (Central Lombok district)
- Roadmap literacy (Dompu district)

While INOVASI has the record on the above results, evidences of INOVASI's contribution and/or attribution to the results are piecemeal, scattered and lack the in-depth information on the context outside INOVASI that may have contributed to the observable changes in policy and in policy practices. Therefore, INOVASI is commissioning this study to understand the significance of INOVASI's contribution and/or attribution to these policy and practice changes.

II. The objectives of the study

The study is aimed to:

- Validate and establish verifiable outcome descriptions through investigation of the processes leading to the observed outcomes to gather corroborating evidence about the outcome and INOVASI's contribution
- Determine the significance of the outcomes in improving early-grade literacy and numeracy in partner districts
- Determine INOVASI's contribution (through INOVASI change agents)
- Determine the contribution of other parties (change agents outside INOVASI)

The documentation will be used by INOVASI to strengthen knowledge management and learning.

III. The scope of the study

The primary question of the study is: *To what extent has INOVASI contributed to policy changes and/or changes in policy practices in the partner district and the significance of these changes in improving early-grade literacy and numeracy in partner districts?*

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The study will particularly focus on the five outcomes below:

- *Roadmap inclusion (Central Lombok district):*

  In 2012, Central Lombok district declared itself as an 'inclusive district', with an ongoing focus on socially inclusive education. Local government continues to support efforts that benefit children with special needs in the classroom, including disabilities and learning difficulties. INOVASI supports Central Lombok with this agenda, including through a pilot that works to improve learning quality for children with disabilities in learning (also known as SETARA) and in the development of the district's inclusive education roadmap. The roadmap completion is planned to coincide with the Central Lombok anniversary on 15 October 2018. The roadmap will provide a blueprint or framework for local stakeholders to improve and strengthen inclusive education.

- *Roadmap literacy (Dompu district):*

  i. ***As a partner district of INOVASI, Dompu has been identified as having particularly low literacy and numeracy skill results compared to other INOVASI partner districts in NTB. Dompu is the first partner district to develop a roadmap for education in areas of literacy and numeracy.*** The process of drafting the education roadmap began with a workshop 'Preparation of Education Service Profile and Education Issues in Dompu', which was held from 28 February to 2 March 2018 at the Dompu Regent hall, NTB. It also aligns with the Dompu district's medium term development plan 2016–2021. The literacy and numeracy roadmap is one of a series of activities implemented by INOVASI since starting work in Dompu in 2016.

- Local annual development budget *in East Sumba:*

  ii. In early 2018, INOVASI conducted an analysis of the local annual development budget (APBD) to analyse the allocation of the APBD to support education quality. The analysis found that the fund allocated to directly improve the quality of education is very small. (In 2018 only 3,8 per cent in Southwest Sumba; 2,6 per cent in West Sumba; 12,2 per cent in Central Sumba; and 4% in East Sumba). The study was then used to advocate for higher allocations to improve the quality of education. As a result, higher allocations of the fund are committed for the 2019 APBD.

- *Allocation of village funds to support education in East Sumba:*

  iii. In Wunga village in East Sumba district, the head of the village, after being approached by INOVASI's participants (School principal and school committee of SD Wunga) in one of the workshops conducted by INOVASI (PMBBBI), decided to allocate some of the village fund to support the education in the village. In this case, the fund was allocated to build a water reservoir at SD Wunga.

- *PERWALI and technical guidelines on Batu as a literacy city (Batu municipality):*

  iv. In September 2018, through support from INOVASI, a draft of the mayor's regulation and technical guidelines on Batu as a literacy city was developed to be discussed through public hearings in October 2018 before being enacted by the mayor of Batu municipality.

- *Practice dissemination in North Kalimantan*

  v. In North Kalimantan, some of the local facilitators recruited for the early-grade literacy pilot have implemented the lessons learned from INOVASI training at their school as well as disseminated it to other schools, including the schools outside the INOVASI cluster. The facilitators movement and scope are beyond the expectations and it is worth exploring how such action is growing in North Kalimantan.

IV.   The approach of the study

The study will primarily be based on outcome harvesting principles (Wilson-Grau and Britt, 2012). To complete the study, the harvester is expected to conduct the following steps:

- Finalise the study design and necessary instruments through a desk review (reviewing relevant reports, minutes of meetings, press releases, internal monitoring data, and so on.) and initial consultation with the MERL team, policy team and provincial managers to identify outcomes and the activities used to achieve them.
- Collect data to seek credible and verifiable evidence about the outcome and the contribution.[5] At this stage, the harvesters are expected to also collect primary data from various sources, including from the social actors who experienced change.
- Draft an initial description (or explanation) of the outcome, the significance of the outcomes, the contribution of INOVASI and the contribution of counterparts, to be discussed and validated by the change agents, and to collect additional information on outcomes and the dimensions considered necessary for a complete description.
- Substantiate the revised draft to enhance the reliability of the result. Independent substantiators will be selected based on their knowledge about the outcome and the change agent's contribution, as well as other dimensions of the outcome description (the significance, INOVASI's contribution and counterparts' contribution). Independent substantiators will be determined based on recommendations from the change agents and relevant stakeholders.
- Finalise the explanation for each outcome to include:
  o Outcome description
  o The significance of the outcomes in improving early-grade literacy and numeracy
  o INOVASI's contribution
  o Counterparts' contribution

V.   Deliverables

The harvester is expected to deliver the outputs below:

- Final design of the study, timeline, and the instruments
- Raw data from primary data collection and copies of secondary data used in the study
- Initial draft of the outcome explanation
- Revised draft of the outcome explanation
- Final explanation for each outcome which includes the narrative of:
  o Outcome description
  o The significance of the outcomes in improving early-grade literacy and numeracy
  o INOVASI's contribution
  o Counterparts' contribution

VI.   Timeline of the study

Activity	November	December

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[5] Outcome: *Who* has the change agent influenced to change *what*, and *when* and *where* was it changed? What is the observable, verifiable change that can be seen in the individual, group, community, organisation or institution? What is being done differently that is significant?; Contribution: *How* did the change agent contribute to this change? Concretely, what did she, he or they do that influenced the change? (Wilson-Grau and Britt, 2012).

	I	II	III	IV	I	II
Desk review	■					
Draft of study design and instrument	■					
Final study design and instrument	■	■				
Field data collection and first draft of outcome description		■	■	■		
Revised draft			■	■	■	
Substantiating the outcome description			■	■	■	
Final outcome descriptions						■