

# Construction of Collaborative Governance-based on Social Capital in Disaster Management Studies

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**Abstract.** This research aims to find out and identify the main importance element between the theory of collaborative governance, social model and disaster management comprehensively. Collaborative governance and social capital theoretically have the similar basis theory that is how the relationship between all the components involved. The main element consists of the agreed value, the element of stakeholder involved and the process that occurs in governance. This article is how to construct and map key elements of collaborative governance and social capital comprehensively so that disaster management can be more effective and efficient which expected to minimize adverse effects of catastrophe to affected communities. This article is the study of the library by utilizing a previous paper or research that analyzes the problem of disaster by observing the concept of collaborative governance and social capital as a form management of Disaster concept. The study also observes trends in research developments related to current disaster management. Collaborative governance based on social capital is important so that disaster victims positioned not only as objects (victims) but also as subjects (part of the solution) in response to disaster.

**Keywords:** Collaborative Governance, Social Capital, Disaster Management.

## 1 Introduction

Collaborative governance and social capital have become the scientific research material of many disciplines especially social sciences. Both concepts have been viewed in line with the democratic concept that develops in the midst of today's society. Various governmental and non-governmental programs use this concept to facilitate the transfer of knowledge and mutual relations in achieving common objectives.

Empirical research shows that collaborative governance and social capital are found to be an effective concept in taking and making decisions together, giving rise to the cooperative attitude of all stakeholders. Despite the importance of collaborative governance and social capital, this concept is also not detached from its complexity. Its use in various disciplines with a variety of meanings spawned a challenge better to understand it.

This paper discusses the conceptualization of collaborative governance and social capital in the study of disaster management by analyzing the previously existing literature.

## 2 Research Methods

To construct collaborative governance theory with a social capital base in the framework of disaster management studies, it is implemented with several stages. The first is done by collecting literature theory of collaborative governance, social capital theory and theory about disaster management from various databases. Second, it is conducting literature analysis. In addition, it is implementing the Classification of concepts, definitions and key elements of each theory. Third, after analysis of the data is found and the main element of the entire theory is further classification on the findings of these theories.

## 3 Theoretical Framework

### 3.1 Collaborative Governance

The concept of collaborative governance can be traced by studying the development of public administration starting from the “administration dichotomy” era until the “governance” era until finally the concept of “collaborative governance”.

The concept of “governance” is not only among government and among country, but also various roles of actor outside government and country. In order the involving parties also very broader. Governance is a mechanism management resource both of economy and social that is involving the influence of country and non-governmental sectors into a collective activity [1].

The term “governance” is used to describe the fundamental process of modern governance that differs from traditional governance. The political process is seen more broadly, where citizens and community groups are involved in making important public policy [2].

Governance requires other sectors (financially beneficial and or not) to provide services, while governments only regulate and direct. Overall, “governance” requires the delivery of services (decentralization/division of power and function) to the network of non-profit organizations, private companies and to other levels of government [3].

Basically, “governance” involves a partnership in carrying out governmental functions. These partnerships include involving local residents, community organizations, public and private sectors [4].

Five Principles of “*governance*” paradigms [5] are as follows:

- a) Institution network and actors both of inside and outside the government.
- b) Blurring the boundaries and responsibilities to address social and economic problems.
- c) Dependence of power between institutions involved in collective action.
- d) Network of self-governing autonomous actors.
- e) Capacity to accomplish something that does not depend on the power of the government but uses its own authority.

Apart from the general understanding of the governance concepts above, some use of the term governance is applied practically more detailed studies, such as good governance, network governance and collaborative governance.

### **3.2 Social Capital**

The concept of social capital emerged first from the thought of Hanifan [6] found that community members could not individually address the various problems encountered. Here is a need for togetherness and cooperation from all members of the community who are interested in addressing problems together [7]. Hanifan stated that social capital is not a capital in the sense of wealth or money, but it contains figurative meaning, but this capital is a real asset or capital that is important in community life. This capital includes good will, a sense of friendliness, mutual sympathy, social relations, close cooperation between individuals and families that constitute a social group.

After seven decades later, Bourdieu [8] again examined the concept of social capital and Coleman [9]. Which later became the beginning of the development of one scholarly study which was extensively researched in many disciplines.

Bourdieu said that to be able to understand the structure and way of functioning of the social world needs to be discussed capital in all its forms, not enough just discuss the capital as it is known in economic theory. Bourdieu defined social capital as an overall source of both actual and potential resources relating to the constant ownership of the institutional relations network by being based on mutual knowledge and mutual recognition. In other words, being a member of a group of people will have the support of a capital that is collectively owned. Next he said that the magnitude of the social capital owned by a member of a group depends on how far the quantity and quality of the network of relationships that can be created, as well as how large the volume of economic capital, culture and Owned by anyone in the network of relationships [8].

Coleman argued that the sense of social capital is determined by its function. While there are actually many social capital functions but Coleman said that, they have two of the same elements: first, (1) social capital covers a number of aspects of social structure; and (2) social capital gives the convenience for people to implement something in the framework of the social structure. It gives emphasis on two aspects of social structure, which is very important in making it easier to create and grow social capital in various forms [9].

According to these three concept definitions expressed by Hanifan [6], Bourdieu [8] and Coleman [9], the understanding and definition of social capital continued to evolve according to the field of research studied including in the field of public policy studies.

### **3.3 Key Elements of Collaborative Governance, Social Capital and Disaster Management**

#### **3.3.1 Collaborative Governance**

Collaborative governance involves governments, communities as well as the private sector. Communicate with each other and work together to achieve more than one sector that can achieve it yourself [6]. Collaborative governance includes informal and formal relationships in problem solving and decision-making. The conventional government of policy process can be implanted in a broader policy process by facilitating collaboration between the public, private and community sectors [7].

Collaborative governance requires three things: support; Leadership and a forum. Support identifies policy issues that should be corrected. Leadership gathers sectors into a forum. Then, Forum members collaborate to develop policies, solutions and answers [8].

Support and leadership become a value element that exists in collaborative governance. The form is abstract and can only be felt by stakeholders, but it is indispensable. It takes a forum to be a process element in collaborative activity. This Forum is required as a form of reciprocal communication from stakeholders. Public, private and public sector involvement is an element of the stakeholder engagement that is affected by the program.

### 3.3.2 Social Capital

According to the various understanding of social capital expressed by experts, social capital consists of five things, namely: (1) mutual trust; (2) Norms; (3) network; (4) Reciprocal relationship; and (5) to achieve a common goal.

- a) Trusting; Trusting or a state of trust each other is an important component in a community environment. People whose individual does not have mutual trust; it will be easy occurring chaos or misunderstanding. Mutual trust can be seen from mutual respect to each other and to be honest. This will be appearing to a deal of prohibition of lying, insulting prohibitions, demeaning others, berating or reacting. If this component is already in the community then it will surely be born feelings of mutual trust [10].
- b) Norma (norms); the prevailing social norms or social rule has a function; (a) The guidelines behave for among individuals and what should be made; (b). Norms become a tool for the integrity of community existence; and (c). Norms become social control tools in community members [10].
- c) Network; Networking between members is a model of relationship among individuals of society or social organization. The principle of man cannot live alone; it always will need each other in fulfilling their life's necessity. In the context of society, networking is needed to fulfill the wishes and necessities of life for easy, comfortable and effective and optimal [10].
- d) Reciprocal relationship (reciprocity); Reciprocity or reciprocal relationship is a common act demonstrated by mutual response. Reciprocal relationship can be divided into two namely direct reciprocity (direct reciprocal) and continuum reciprocity (reciprocally threaded) [11].
- e) Achieving common objectives, the output of all components of social capital is to achieve a common goal, community, group or social organization. Community is a creature whose aim, all his actions, both personal and collective is for some reason. Thus, in the context of society, there must be common objectives to be achieved by them. A set of common goals is the reason why communities must trust each other (building trusts), even if they create mutually agreed rules (norms) and create social network schemes which usually are informal, and there are Reciprocal relationship (reciprocity).

Trust and norm are the value element. This value cannot be measured but the stakeholders can perceive it but it is a very influential element. Network and reciprocity are involvement of stakeholders in the network. This element becomes a representation that the relationship of all stakeholders is an important thing that is certainly based on

the value element (trust and Norm). Achieving a common goal is an element in social capital that demonstrates the processes that exist in the program.

### 3.3.3 Disaster Management

Disaster management is one of integrating process. It integrates onto a process of decision making continuity refers to determent, response and lignification from a disaster condition [12]. It also can be understood as a process of how the creating coordination that is able joint at existence structure, while there remains flexibility to adjust to each other is rapidly changing condition [13].

Disaster management is also needed a precise of system approach. The approach of this system will help to start from the mitigation process until after the disaster; can run well, because it is implemented in an integrated and synergistic between all stakeholders both from the institution and community component.

### 3.3.4 Collaborative Governance based on Social Capital in Disaster Management Studies

Social capital and collaborative governance are two concepts that cannot be separated. Social capital is a theory that emphasizes the relationship between individuals and groups and the resources that individuals and groups have, while collaborative governance is how the involvement of all stakeholders (individuals, groups Organization) in solving a problem. These two concepts are social capital and collaborative governance is managing the network and the relationship of stakeholders in solving a problem [14].

Social capital plays an important role in all phases of the disaster and as a resource embedded in every individual and in every community [15]. Disaster management activities, especially preparedness aims to improve the ability to cope and increase response activities to disasters, thus obtaining social capital together helps in strengthening the bond of the network [16].

Social capital is an important resource for disaster management [17] and the study of social capital in disaster management in the form of community relations [18]. In other studies it mentions that social capital can be influenced by disasters and while the impact of disasters can be reduced by maximizing the existing social capital [19].

The statement from various experts above [14][15][16][17][18][19], can be analyze concluded that the close relationship/main shiny element in theory between collaborative governance, social capital and disaster management is a joint management (disaster) conducted by all stakeholders without exception in all phases of disaster management. It can also be understood that the essence of theoretical equality between *collaborative governance*, *social capital* and *disaster management* is in the management of stakeholders including the disaster victims themselves.

Disaster management stages include five general stages include [20][21][22] as follows: (1) Predictions; (2) Warnings; (3) Emergency Assistance; (4) Rehabilitation; and (5) Reconstruction.

- a) The first stage is a prediction activity. This stage includes mitigation and preparedness activities. Stage predictions include structural and nonstructural measures taken to limit the adverse effects of natural disasters, environmental degradation and technological hazards. Includes timely and effective early are

- warning and temporary evacuation of communities and properties of disaster-threatened locations.
- b) The second stage is warning. This stage refers to providing effective and timely information through identified institutions. Through these institutions, individuals are possible to face dangers by taking action to avoid or mitigate the risks they face and prepare effective responses.
  - c) The third stage is emergency assistance that refers to the provision of relief or intervention during or after the disaster. This is a safety aid and fulfills the basic needs of disaster-affected. It can be done shortly for a short period of time or long duration.
  - d) The fourth stage is rehabilitation. This stage includes the decisions and actions taken after the disaster to restore or restore the living conditions of the affected community as the condition before the disaster occurs. In addition, it is also recompressed and facilitated with all the adjustments needed to reduce disaster risk.
  - e) The fifth stage is reconstruction. This phase refers to the rebuilding of the living conditions of the people who have been damaged by disasters with long-term sustainable development objectives.

All stages of disaster management are the stages of involvement of all stakeholders without exception. This relationship has a value element, a trace element that occurs and elements of interaction from all stakeholders. Disaster management is the concept of a cycle of interconnected stakeholders. This concept is the same as the concept of collaborative governance and social capital concept.

The main elements of collaborative governance, social capital and disaster management can be described as in the table 1.

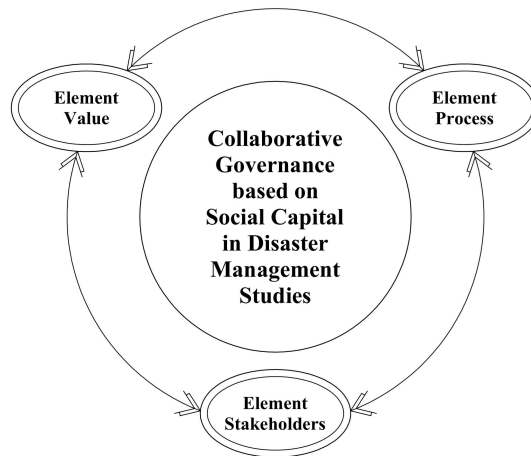
**Table 1.** Main Elements of Collaborative Governance, Social Capital and Disaster Management

Key Elements		
Collaborative Governance	Social Capital	Disaster Management
Supporting Leadership	Trusting	Prediction
Forum Group	Norms	Warning
Public	Networks	Service
Private	Reciprocity	Emergency
Community	Achieving	Rehabilitation
	common goal	Reconstruction

Source: Analysis Result of Researcher Literature.

## 4 Discussion

The main element of the concept of collaborative governance, social capital and disaster management is that the whole element is related only to the points that are elements of the process of activities, the value elements of the given and stakeholder involvement.



**Fig. 1.** Collaborative governance-based on Social Capital in Disaster Management  
Source: Analysis Result of Researcher Literature

The Element process of activity is drawing from the appearing of a forum to achieve a common goal. The element of value is drawing from the support of leadership, mutual trust, the existence of the norm agreed together.

Elements of stakeholder involvement are drawing from engagement jointly and formed networks between the public, the private sector, the community giving birth to reciprocal relations. In the context of disaster management, the three elements above if applied in the disaster management cycle from the predictive stage, warning, emergency assistance, rehabilitation and reconstruction will create comprehensive disaster management.

Generally, the perspective of natural and disaster management of human action, the concept of theory can be applied. However, it needs to be tested in actual circumstances, whether it is able to apply it. Remembering sometimes the theory is ideal but difficult to application. Examples are due to differences in political, policy, and cultural characteristics and other areas of disaster.

## 5 Conclusion

A key element of collaborative governance, social capital and disaster management is to build a relationship between all the stakeholders involved either directly or indirectly. Collaborative governance based on social capital in disaster management is very important, because disaster victims positioned not only as objects (victims) but also as a subject (part of the solution) in response to disaster.

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