

Explaining Factors Influencing the Emergence of Social Innovation Projects in Surabaya during
the Corona Crisis in 2020

By

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Abstract

The research for this thesis focuses on finding factors that influence the emergence of social innovation in Surabaya during the Corona crisis. The main research question is: *Which factors explain the emergence of social innovation projects in Surabaya during the corona crisis, more in particular how did different actors (government and citizens) react toward the observed project?*

This thesis aims to comprehend the factors that generate the emergence and implementation of a social innovation project. The research will employ a case study of social innovation projects in Surabaya during the Corona crisis within the timeframe from March up until October 2020. In this thesis, the primary data collected through empirical observation of the news articles and semi-structured interviews. The primary data of empirical observation analyzed using a discourse analysis method in a qualitative research software program called Atlas.ti. Meanwhile, the primary data of semi-structured interviews analyzed using Coleman's boat (macro-micro-macro model) theoretical framework. Next, the secondary data collected through desk research from existing academic literature. The results positively validate the factors found in the prior literature. For example, at the macro-level factor, individual social-connectedness influences internal efficacy, external efficacy, and trust at the micro-level. Also, there is a new indicator of socioeconomic factors found in the semi-structured interview results. The indicator of socioeconomic factors may include individual experience in voluntary activities. Finally, this thesis research topic is scientifically relevant since social innovation subject marginally studies from social entrepreneurship, technology, public management, urban development, and community development.

Keywords: *social innovation, public management, corona crisis.*

Acknowledgement

The story behind my thesis topic is originally from a random talk with my boyfriend about response of Surabaya to the COVID-19 pandemic. As I observed on online news, I found that it is an interesting issue to research why such voluntary activities have emerged during the COVID-19 pandemic. With the help of my supervisors Prof. Dr. René Torenvlied and Dr. Veronica Junjan, I started by learning the new concept of “*social innovation*” to understand those voluntary activities

I have learned so much during this research process, not only academically but particularly about growing my faith. I learned that faith does not make things easy but it makes them possible. I would say it has been a great experience writing a thesis on the COVID-19 pandemic while living far from home. I could not achieve this without the help from everyone involved. First of all, I would express my gratitude to my savior Jesus Christ for His guidance to complete this thesis. Second, I would thank my beloved parents for moral and financial support throughout my study in the Netherlands. They are the only reason why I am so eager to finish my thesis on time. Third, I would like to thank my supervisors Prof. Dr. René Torenvlied and Dr. Veronica for their help and commitment to review my research. I am grateful to have such thoughtful supervisors like them. Fourth, I would like to thank my boyfriend Edgar for his unconditional patience in listening to my concerns and being the editor of my thesis. Fifth, I would like to thank all my friends especially to my day-one bestie at UT Dirkje and my Calslaan roommate Thuy for their support throughout my study in the Netherlands. I believe my journey in the Netherlands would not be so special without them. Sixth, I would thank all my respondents for their time to help me conduct my research. Lastly, to everyone who read my thesis, I hope you enjoy reading it as much as I enjoyed writing it.

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1. Introduction

The problem of COVID-19: The significant public health risk caused by the Corona virus better known as COVID-19 has been declared a public emergency of international concern to coordinate the response to the disease (WHO, 2020). Various countries implemented different responses to halt the spread of COVID-19, such as going into lockdown and applying social distancing policy. Although different responses are taken by different countries, every response impacts morbidity which makes people unable to work for a period of time. Amidst this impact, the slowing down of people's productivity will disturb the world economy with interruption to the production of goods and services. The International Monetary Fund (IMF) claimed that this pandemic, is the worst economic downturns since the Great Depression in 1929 (Gopinath, 2020). This present thesis study COVID-19 crisis response in the city of Surabaya, Indonesia from the perspective of social innovations.

The problem of COVID-19 in Indonesia: In Indonesia, Corona virus has brought a significant impact on economic growth and unemployment rates. The government estimates that up to 3.78 Indonesian will fall into poverty and 5.2 million lose their jobs during the Corona crisis (The Jakarta Post, 2020). According to the Center of Reform on Economic (CORE) (2020), the higher risk of unemployment will have a direct impact on those who are working in the informal sector. The International Labor Organization defines an informal worker as a worker who does not register, regulated, or protected by existing or legal regulatory, do not have an employment contract and worker benefit or social protection (ILO, 2020a). For example, in Indonesia, those who are working as ride-hailing drivers whose work depends on people commuting will become vulnerable toward unemployment due to social distancing policy. This results in social problems as the informal workers do not receive any unemployment assistance.

COVID-19 Response activities in Surabaya: As a new means to address this social problem, a trend of activities has emerged in Surabaya since the beginning of March 2020. These are activities that have emerged outside the realms of government. Many stakeholders including the individuals and non-governmental organizations are taking initiative to engage in different types of activities to address the consequences of COVID-19 pandemic. There are two examples of COVID-19 response activities has been observed in Surabaya. First, “one million free mouth caps movement”

an activity carried out by a *Bonek* community (supporter of Surabaya soccer club). This project is about distributing free mouth caps to citizens in need in Surabaya (Skor.id, 2020). Second, “*Wani Jogo Kampung*” an activity carried out by 1009 neighborhood communities in the 31 Surabaya districts (Radar Surabaya, 2020b). The activity was initiated by the municipality of Surabaya (Radar Surabaya, 2020b). The activity aims to educate citizens in a particular neighborhood to comply with the health protocol such as wearing mouth caps, washing hands, and implementing physical distancing (Radar Surabaya, 2020b).

The real challenge: However, understanding why such activities emerged in Surabaya can be challenging, because these activities are subjected to debate and their content, aims, and objectives often remain unclear. It is not well understood why these specific activities have emerged, and why they are sometimes successful and sometimes fail.

Toward scientific understanding: These activities appear to be kind of social innovations. Social innovations are defined as a long-term outcome that aims to solving social problem by involving different stakeholders from different organizations by open access for participation, exchange, and collaboration (Voorberg, Bekkers, and Tummers, 2015). Voorberg et al., (2015) add that the involvement of different stakeholders in the social innovation process is refer as co-production. The characteristics of social innovation activities are not generating a profit, aiming to solve social problems, and build sustainable, inclusive, and cohesive society (Cajaiba-Santana, 2018; do-Adro and Fernandes, 2020).

The Surabaya COVID-19 response activities as social innovation: The present master thesis aims to provide (1) deeper understanding of the emergence of COVID-19 response activities in Surabaya as specific forms of social innovations, and (2) identify the factors that determine their emergence.

With regard to the first aim, explaining the emergence of COVID-19 social innovation in Surabaya, it is important to take into account the specific context of Surabaya and Indonesia. The capacity, or a lack of capacity, is important in this context of social innovation emergence. Often, both national and local level government in Indonesia does not have the capacity to address social

issues. At the local level, Surabaya is well-known for its achievement at both the national and international levels. For example, in 2018, Surabaya received an award as “*Top 99 Public Service Innovation*” from the Ministry of Administrative and Bureaucratic Reform (Kompas, 2018b). Surabaya might have better planning to address social issues when compared to other cities in Indonesia. Nevertheless, Surabaya is the second most populated city in Indonesia with a total of around three million populations in 2019. This implies that many of the social challenges also happened in Surabaya. Moreover, the current implementation of national social assistance programs received a lot of public criticism, which supports the argument that both national and local governments facing lack capacity to address social issues.

The capacity problems in Indonesia extend beyond the local level. Generally, there are many challenges in Indonesia at large, to develop social innovations. For instance, in response to the unemployment issue, the national government recently developed a project called “*Pre-employment Card*”. This project aims to provide online training and cash benefits for those who are above 18 years old, currently looking for employment, and not enrolled in any education institution (Kartu Prakerja, 2020). However, this project has become controversial, since it may lead to inequality issues rather than addressing unemployment (Sarah, 2020). The program of “*Pre-employment Card*” requires people to register online, while a survey of the Indonesian Internet Service Provider Association (IISPA) in 2017 revealed that only 21,72% of total low economic households in Indonesia have access to the internet (Sarah, 2020). This means that the program is only applicable to the unemployed who have access to the internet. As the characteristics of social innovation are not only addressing social issues but also building a cohesive and inclusive society (Cajaiba-Santana, 2018; do-Adro and Fernandes, 2020), this will lead to the further need for government re-evaluation toward the existing project and, therefore, within the re-evaluation context other social innovation projects may emerge.

With regard to the second aim, identifying the factors that influence the emergence of social innovation projects in Surabaya, it is important to take into account the engagement of individual actors. Their reasons to engage in social innovation can be explained in various ways as different scholarly groups employed different perspectives. In public management research, social innovation are often conceptualized as forms of co-production. For example, Van Eijk and Steen

(2016), identify eight factors to understand citizens engagement in co-production. This includes trust, external efficacy, internal efficacy, social connectedness, socio-economy, self-interest, community-centered motivation, and salience. Meanwhile, Voorberg et al., (2015) proposed several factors that influence the government willingness to engage in co-production include, organization structure, cultures, government officials' attitude, and incentives. These lead to questions on which factors explain the emergence of the social project observed in Surabaya during the corona crisis and how did the different actors react toward the observed project.

1.1. Research Questions

In order to investigate this, the main attention will be on answering the questions:

Which factors explain the emergence of social innovation projects in Surabaya during the corona crisis, more in particular how did different actors react toward the observed project?

The main research question consists of descriptive-explanatory questions. The first question aims to explain the factors that influence the emergence of social innovation projects. The unit of analysis is each social innovation project. The unit of observation might vary that include the documents and citizens. The independent variable is the factors that explain the emergence and the dependent is the emergence of social innovation. The second question aims to observe and analyze different actors' perceptions as a means for the public and government to validate these expected factors and to evaluate their influence on the emergence of social innovation projects in Surabaya. The unit of analysis is individuals. The unit of observation will be the public which refers to the representatives of non-governmental organizations and government refers to the representatives of the local parliament in Surabaya. The variables are the reaction of the public and government. The setting of time and place will be a corona crisis, between March 2020 to October 2020, in the municipality of Surabaya. More specifically this answer will be analyzed to responding to the following research sub-questions below:

1. What factors drive the emergence and perception as we know from the research literature?

This theoretical question will be answered through reviewing the literature review in the theory chapter and aim to identify the factors that drive the emergence of social innovation and perception. This sub-question focuses specifically on the emerging of social innovation and therefore contributes to answering the main research questions.

2. What social innovation projects emerged in Surabaya during the period? What were the characteristics?

This descriptive question will be answered using an empirical observation of electronic media to identify social innovation projects emerging in Surabaya during the corona crisis and their attributed characteristics.

3. How were the projects defined and perceived by different actors (government and citizen)?

The identified projects will then be further analyzed by observing how different actors define and perceive each of these projects. This explanatory sub-question will be answered using semi-structured interviews.

4. What are the factors that explain the emergence of the observed social innovation projects in Surabaya?

This sub-question is an empirical question and explanatory research question. This sub-question question will be answered by conducting a semi-structured interview. This sub-question aims to answer the main research questions, as it focuses on finding the factors that explain the observed social innovation projects in Surabaya.

1.2. Scientific and Societal Relevance

The research topic is of scientific relevance as the field study of social innovation marginally studied from the combination of multidisciplinary perspectives such as social entrepreneurship, technology, public management, urban and community development, therefore it will contribute toward the existing literature. In addition, the present thesis also aims to cover several research gaps and shortcomings in the scientific literature.

At the theoretical level: First, there is an insufficient foundation in conceptualizing the term of social innovation, which Cajaiba-Santana (2013); Brandsen et al., (2016); Milley et al., (2018); has been discovered. The present thesis will cover the gap by making an inventory study investigating the differences of social innovation terms in multidisciplinary fields. Second, this thesis is for partial fulfilment of the degree of Master of Science in program Public administration. It is important to focus on the public management perspective to understand the concept and individual engagement in the social innovation project. Individual engagement is placed as a fundamental factor in the emergence of social innovation. In the study of public management, individual engagement is related to *public service motivation* (PSM). PSM is refer as individual(s) commitment to participating, volunteering, or self-organizing to delivering public services (Van Eijk and Steen, 2016). This will influence individuals to create and implement socially creative activities to address social problems. However, there is still a lack of study understanding individual PSM in social innovation. Moreover, recent research following the “*dark side*” or negative side of social innovation calling further attention to assessing individuals PSM in social innovation. This is because the failure of social innovation lies in individuals as they have a misconception about social innovation, misunderstood in perceiving their roles, and had controversial interests (Brandsen, Cattacin, Evers, and Zimmer, 2016). Despite this, PSM is one of the public management topics that are very dynamic and changeable depending on the different contexts (Brewer, 2012). This present research addresses selected contributions on PSM in the social innovation subject.

At an empirical level: This study will provide data about Surabaya during the corona crisis. This is different compared to previous research since it will include special circumstances of the crisis caused by the coronavirus that never happened in the past and also focus on the social innovation project in the municipality of Surabaya.

Societal relevance: Despite its scientific relevance, this master thesis also contributes to societal relevance. The result of this research aims to encourage many municipalities in Indonesia to have better social innovation projects in the future crisis and generate profound knowledge for the society about this topic.

Guidance for reading: The present thesis is structured as follows. First, the theory chapter addressed the concept of social innovation from a multidisciplinary perspective, followed by understanding different actors' roles. From the discussion of the literature background, the predefined conceptual and analytical framework was discussed. The analytical framework subscribed to Coleman's boat model to explain the factors that influence the emergence of social innovation, and this section provided answers to the first sub-questions. Second, the methodology chapter addressed the methods and data that were used in this research. Third, the result chapter answered the second, third, and fourth sub-questions. Fourth, the conclusion chapter discussed the main research question and the implication of the study.

2. Theory

In the following subchapter, the academic literature concerning social innovation projects and different actors' roles, and analytical framework will be discussed.

2.1 Literature Review

(1) Social Innovation

The growing interest in social innovation as a new means to address social problems and improve social services (Cajaiban-Santana, 2013) has called scholars from different disciplines to research the following topic. Over time, extensive literature has developed on understanding social innovation. The existing literature shows that the concept of social innovation has only recently entered the social sciences and remains to date underdeveloped (Cajaiban-Santana, 2013). Milley et al., (2018) found that since the beginning of the social innovation study began to emerge, the concept related to social innovation is still unclear. This is because many of the research regarding social innovation is still largely based on irrelevant evidence and case studies, which result in a lack of explaining social innovation concepts in the different fields (Cajaiban-Santana, 2013). In addition, most of the case studies regarding social innovation failed to seek conceptual clarity on defining social innovation constitutes, how social innovation processes unfold, and explain the significance of factors determining social innovation emergence in certain circumstances (Milley et al., 2018). Thus, in this subchapter academic literature concerning social innovation projects

will be divided into three different sections which include definitions, the context of social innovation emergence, characteristics, and categorizations of social innovation.

The definitions of social innovation: Defining social innovation might become a challenge for scholars. Previous studies have shown that there is no correct or incorrect definition and there is no agreed definition of social innovation (Pol and Ville,2009). This is because the term social innovation has developed within several overlapping meanings involving concepts such as institutional change, social purpose, and public goods (Pol and Ville,2009). First, Mumford (2002), in the creativity study perspective social innovation defines as the generation and implementation of new ideas for people and their interaction in the social system. Mumford (2002) focuses on the impact of the new ideas derived from individuals and how it influences social organizations, or social relationships or people's day-to-day lives. Second, Luvding et al. (2018), define social innovation as a response to social challenges that involve the commitment of civil society actors. Luvding et al. (2018) emphasize how civil society actors that are also known as non-state actors find new ways to address social issues and fulfill the gaps that cannot be fulfilled by the state or market. Luvding et al. (2018) research aims to highlight community efforts and social practice of social innovation in forest management as well as identify the success factors.

Third, Mulgan (2006), focuses on the study of innovation, she defines social innovation as innovative activities and services that are motivated by the goal of achieving social needs and predominantly spread around into organizational culture whose purpose is primarily social. Mulgan (2006) focuses on the process of implementing innovative activities and how it diffused throughout the organizations. Fourth, in public management study, Voorberg et al., (2015), define social innovation as a long-term outcome that aims to address social problems by involving different stakeholders from different organizations, through open access for participation, exchange, and collaboration. Voorberg et al., (2015) argue the participation of different stakeholders in the social innovation process is also understood as co-production. In addition, Brandsen et al., (2016) explain that social innovation allows individuals to co-product their innovative strategies in their local context. Thus, the concept of co-production is a substitute in the definition of social innovation, where the co-production refers to the process and social innovation is the outcome.

Within the scope of this thesis, the author refer to social innovation as the long-term outcome aims to address social problems by involving different stakeholders from different organizations, through open access for participation, collaboration, and exchange (Voorberg et al., 2015). This definition is relevant as a foundation for explaining the analytical framework as well as fitting a public management perspective.

The contexts of social innovation emergence: Besides explaining the diverse definitions of social innovation, it is also important to understand the context of emergence. The emergence of social innovation projects can be understood in various contexts. First, social innovation emerged because there are social problems that are individually and intersubjectively defined, and need to be addressed through socially creative strategies (Pue, Vandergeest, and Breznitz, 2016). The socially creative strategies refer to the reconfiguration of the social practice (e.g. rearrange the rules, roles of routine) toward the goal of creating social benefits, it created by an individual(s) or organization(s) and may result in the new intervention such as new service delivery (Pue et al., 2016). Second, social innovation emergence can be specifically understood as the condition where the government and the market cannot provide adequate welfare and fail to satisfy the demand for economic benefits (Mulgan, 2006; do-Adro and Fernandes, 2020). Third, Elle and Avellino (2017) add that the emergence of social innovation explained in the context of a counter-hegemonic reaction toward the top-down policy or planning failure that lacked access to resources fulfilling basic human needs. Fourth, Steen, Brandsen, and Verschuere (2018) argue that the emergence of innovation is explained in the context where governments are facing resource scarcity, and thus allow citizens to co-produce to enhance better public service delivery.

These four contexts show that social innovation emerged because the government facing resources scarcity in which lack of capacity in delivering public services. This result in the judgment from social actors that previous patterns of public service delivery are no longer effective to address social problems, and, therefore, needs to create reconfiguration through socially creative strategies.

The characteristics of social innovation: Social innovation project characteristics and categorization should be distinguished from other types of innovation. Social innovation is different compared to business innovation and technical innovation. The difference between social

innovation and other innovation characterized is reflected in its purpose and result. For instance, technical innovation comes to the fore as a technological artifact (Cajaiba-Santana, 2018), while business innovation is intended to generate a profit and improve the performance of the firm and is often protected by intellectual property rights (Poll and Ville, 2009). Social innovations are not aimed at generating profit, but to solve social problems, and build a new social practice for a more sustainable inclusive, and cohesive society (Voorberg et al., 2015; Brandsen et al., 2016; Cajaiba-Santana, 2018; do-Adro and Fernandes, 2020). Meanwhile, the categorization of social innovation projects will be based on the various social problems faced by society. For instance, social innovation projects addressing health care problems include neighborhood nursery, online self-help health group (Mulgan, 2006). Social innovation projects addressing education problems can be seen in the development of Wikipedia and open universities (Mulgan, 2006).

To claim a project as social innovation, all the necessary characteristics have to be met, it must follow as to not generate a profit, solve social problems, and build a more sustainable, inclusive, and cohesive society (Cajaiba-Santana, 2018; do-Adro and Fernandes, 2020).

(2) Different Actors Roles in Social Innovation: Government vs. Public

In the case of this thesis, the perception of different actors will be evaluated based on their roles. Further, their perception will be used as a channel to explore whether the explained or expected factors found in the literature about the emergence of social innovation is correct.

The meaning of different actor roles in innovation study: Social innovation concept involve broad and vague definitions of the actors roles. For instance in the in innovation study, different actors are known as social entrepreneurs, which are defined as the prime mover in the process of social innovation and implement socially creative strategies to solve the social problem (Pue et al., 2016). Social entrepreneurs may include everyone such as politicians, bureaucrats, intellectuals, business people, non-government organizations, activists (Mulgan, 2006). Although the research regarding social entrepreneurs is considered too simplistic, the concept of social entrepreneurs has direct relevance toward the study of social innovations (Pue et al., 2016). First, social entrepreneurs as the unit analysis who connect on the studies of creativity in the social innovation process (Pue et al., 2016). Second, social entrepreneurs emphasize the importance of the role of the agent throughout the social innovation project (Pue et al., 2016).

The meaning of different actor roles in public management study: In comparison to innovation study, public management study have more specific approach to define the social innovation actors roles. In public management study, social innovation actors are the government which refers to the public officials, while the public refers as a group of citizens or non-profit organization (Voorberg et al., 2014; Brandsen et al., 2016). The roles of government and citizens in social innovation are derived from the concept of co-production. Co-production define as the involvement different actors from different organizations to contribute their input to enhance the quality of goods and services productions (Van Eijk and Steen, 2016; Steen and Tuurnas, 2018). Their roles are understood using principal-agent relationships (Alford and Freijser, 2018; Steen and Tuurnas, 2018).

First, the government as the principal are doing extra-roles compared to the ordinary citizens (Brewer, 2012). Their roles include initiators (Van Eijk and Gascó, 2018), coordinators, and facilitators (Steen and Tuurnas, 2018). Their roles entail develop trust by inviting and giving citizen chance to engage in co-production (Van Eijk and Steen, 2018). They also responsible to collect information regarding citizens performance in co-production and analyze what can be done to improve (Alford and Freijser, 2018). Further, they must acknowledge what the citizens need and providing the resources that citizens need for co-production (Van Eijk and Gascó, 2018; Steen and Tuurnas, 2018). For example, giving citizens training and booklets to enhance their knowledge about co-production processes (Van Eijk and Gascó, 2018). Second, citizens as the agent of co-production have two roles. Citizens roles are giving input toward the design of the public services (Van Eijk and Gascó, 2018) and committing to engage in co-production (Van Eijk and Steen, 2018). Citizens roles is important because citizens most likely users of the service itself and their input will the government a better insight for improvement (Alford and Freijser, 2018).

The meaning of different actor roles in Indonesian context: The concept of public roles in welfare project implementation is justified in the 2009 constitution of the Republic of Indonesia number 11, chapter seven (Constitution of the Republic of Indonesia, 2009). The public has a role in the implementation of welfare projects in which they help the government by creating coordination within the society in the form of non-government organizations. This coordination

aims to develop the welfare service, become a mediator as means creating communication and consultation between government and citizens, and advocate for a welfare project budget. Meanwhile, the government roles in welfare project implementation are explained in the constitution of the Republic of Indonesia number 11 in 2009, chapter 25 (Constitution of the Republic of Indonesia, 2009). The government has the responsibility to create a policy or program, provide access for the public, giving assistance, and facilitate the public to be involved in the welfare project (Constitution of Republic of Indonesia, 2009).

In this thesis, the nature of these two actors' partnerships are understood as joint responsibilities of the government (local parliament representatives) and public (representatives of non-government organization) to deliver public services. The government responsible as the initiator of the projects, coordinator, and facilitator for the citizens to involve in the projects. Meanwhile, the public responsible to give input and implement the projects.

2.2. Analytical framework: addressing the first sub-question

In this chapter the first sub-question will be addressed.

Sub-question 1: What factors drive the emergence and perception as we know from the research literature?

Defining social mechanism: To explain the factors that influence the emergence of social innovation and answer the first sub-question, it is important to understand the key role of social mechanisms. Social mechanism is a useful concept to describe and explain why particular phenomena are occurring (De Graaf and Wiertz, 2019). In this thesis, we follow the explanatory approach of social mechanism that focus on the individual-level behaviors and interaction that give rise to the society-level phenomenon (De Graaf and Wiertz, 2019).

Social mechanism framework: The *macro-micro-macro model* or also known as *Coleman's boat model* as the analytical framework, to give a comprehensive explanation of social mechanisms. The model includes three-step of analysis, which are (1) situational mechanism on how certain phenomena at the macro-level influence individual behavior, (2) action-forming mechanism refer how individuals interact with one another at the micro-level, and (3) transforming mechanism refer

on how the behavior of many individuals turns into certain macro-level outcomes (De Graaf and Wiertz, 2019). The outcome is a social innovation project.

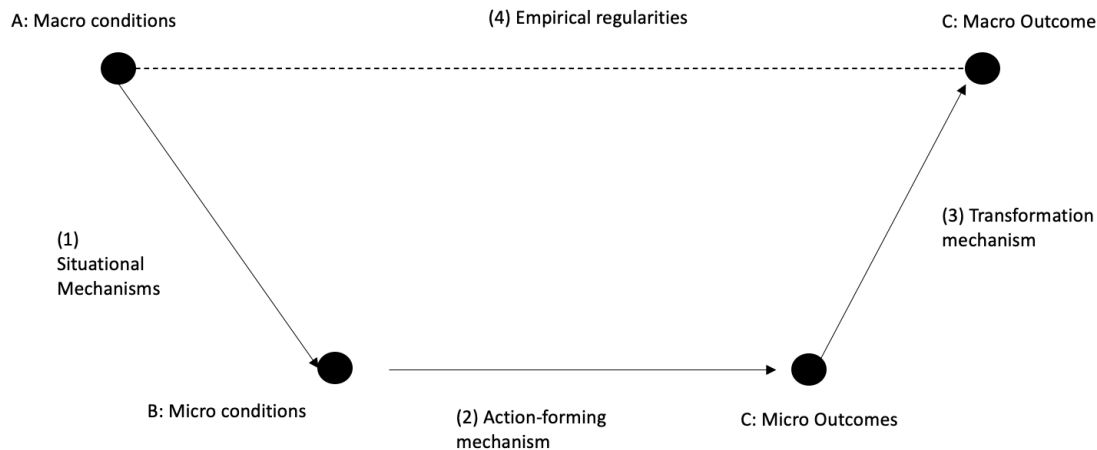


Figure 2.2. Social mechanisms and the macro-micro-macro model.

(1) Situational mechanisms: the macro-to-micro link

The concept of social mechanisms: The situational mechanisms explained about the individual actors who are embedded in the macro-level situation and how these situations influence their behavior at the micro-level (De Graaf and Wiertz, 2019). This situational mechanism includes the belief formation mechanism which includes the social context that shapes individuals' belief in the consequences of their actions, such as what socially deemed as good and influenced by other behavior (De Graaf and Wiertz, 2019). The examples of belief formation mechanisms are self-fulfilling prophecies (Robert Merton), threshold behavior (Mark Granovetter), and network diffusion (James Coleman) (Hedström and Swedberg, 1996).

First, self-fulfilling prophecies were founded by a sociologist named Robert Marton. The idea of self-fulfilling prophecies is to understand how an early false conception of a particular issue immerses in individual beliefs that eventually lead the false conception to become true (De Graaf and Wiertz, 2019). A common example of this theory is provided by Thomas Schelling “*if people expect coffee shortage, there will be a coffee shortage*” (De Graaf and Wiertz, 2019). Second,

threshold behavior also known as collective behavior which refers to an individual's decision depends on how many people are to do so (Hedström and Swedberg, 1996). This is because individuals have confidence in the judgment of others than their own (De Graaf and Wiertz, 2019). For instance, an example of trying a new restaurant, when no one is inside the restaurant, one would probably try another place (Hedström and Swedberg, 1996). Third, network diffusion is important because the information about innovations will influence and allow individuals to engage or adopt certain actions (Hedström and Swedberg, 1996).

Situational factors that influence individual engagement: Using a similar basis of the three theories mentioned above, Van Eijk and Steen (2016) and Voorberg et al., (2015) found situational factors at macro-level that influence citizens' and governments preference at micro-level to engage in co-production. To clarify, co-production is the process whereas social innovation is the outcome. The citizens factors include social connectedness, socio-economic which influence internal efficacy, external efficacy, and trust at the micro-level. Meanwhile the government factors include conservative organization cultures, compatibility with public organization structures and procedures that influence the attitude of government officials at the micro-level. The factors mentioned are overlapping and interconnected, the expected relations can be seen on Figure 2.3.

- **Citizen factors**

(1) ***Social connectedness*** refers to the environment that one is living in and the network that they are engaging (Van Eijk and Steen, 2016). For instance, prior research found that the membership of certain organizations, church attendance is found to influence individuals' preferences (Van Eijk and Steen, 2016).

(2) ***Socio-economic*** refers to the level of income and education (Van Eijk and Steen, 2016). Former research shows that citizens in the socioeconomic homogeneous neighborhood are more likely to be less active to engage in co-production in comparison to heterogeneous neighborhoods (Van Eijk and Steen, 2016). In addition, Voorberg et al., (2015) add that citizens who have higher education were able to understand their own competency which they possess the administrative skills to participate and be more aware of what the societies need. Furthermore, these two factors will be embedded in individuals' beliefs which affect their perception of internal efficacy, external efficacy, and trust (Van Eijk and Steen, 2016) at the micro-level.

- (3) ***Internal efficacy*** refers to citizen feelings on personal competency to understand and actively participate in the service delivery process (Van Eijk and Steen, 2016).
- (4) ***External efficacy*** refers to the perception of whether the government gives opportunity toward their interaction or whether their interactions are matters to improve public service delivery (Van Eijk and Steen, 2016).
- (5) ***Trust*** refers to the judgment of the quality of bureaucracy in which to the extent that the government is considered responsive or accommodating during the process of co-production (Van Eijk and Steen, 2016).

- **Government factors**

- (1) ***Conservative organizational culture*** explains to the extent that organization willing to take risk by involving citizens in co-production (Voorberg et al., 2015). Often citizens are considered as the receiver of the services rather than the associate partner in public service delivery (Voorberg et al., 2015). This implies that there is no “*institutional space*” to consider citizens as equal partner (Voorberg et al., 2015).
- (2) ***Compatibility with public organization structures and procedures*** refer to the extent that the current organization structures and procedures have decent infrastructure to communicate with the citizens (Voorberg et al., 2015). As a result, these two factors will influence the government official attitude at the micro level.
- (3) ***The government official attitude*** explaining how the government perceived citizens competency as eligible partner in delivering public services (Voorberg et al., 2015). Voorberg et al., (2015) add that most likely governments consider co-production as not reliable because they have to deal with the uncertain pattern of citizens behavior. This result in the governments unwillingness to support the co-production and resisting to lose its status and control over the citizens (Voorberg et al., 2015).

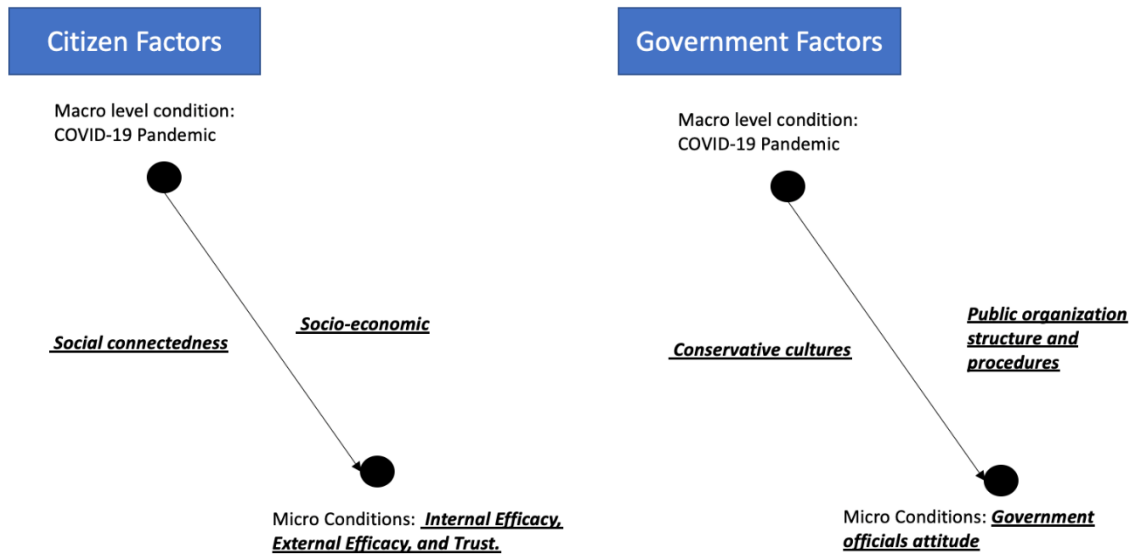


Figure 2.3. The expected relation of situational mechanisms factors (macro-to-micro model).

(2) Action-forming mechanism: micro-to-micro link

The concept of action-forming mechanisms: The action-forming mechanism explains how individuals reach and arrive at a certain decision and interaction (De Graaf and Wiertz, 2019). These mechanisms show how specific combinations of individuals' beliefs, opportunities, and desire generate specific actions (Hedström and Swedberg, 1996). One of the underlying theories explaining this mechanism is cognitive dissonance, which argues that individuals' decisions are based on various views which are often conflicting with one another (De Graaf and Wiertz, 2019). The views in the context can be interpreted broadly as it comprises belief, attitude, feelings (De Graaf and Wiertz, 2019). For example, rich people might have the feeling to help the poor, but they might refuse to do it because they do not want to give up their wealth (De Graaf and Wiertz, 2019).

Action-forming mechanism factors that influence individual engagement: Within this context, Van Eijk and Steen (2016) proposed three factors that influence citizen decision to engage in co-production that includes community-centered motivations and self-interest. Meanwhile, factors

that influencing government decision to engage in co-production are the present of incentives (Voorberg et al., 2015) and *public service motivation* (PSM) (Brewer, 2012). Those factors will result in the *salience* of micro-level outcome, in which individual perceive the issue to be important to consider their engagement and calculating the benefits and investment of efforts (Van Eijk and Steen, 2016). The factors mentioned are overlapping and interconnected, the expected relations can be seen on Figure 2.4.

- **Citizen factors affecting co-production**

(1) ***Community-centered motivations*** was developed from the concept of *public service motivation* (PSM). PSM refers to citizens commitment to participating, volunteering, or self-organizing to contributing to the common goods and services (Van Eijk and Steen, 2016). PSM may arise as individuals knowing that they have the responsibility to serve the community, and thus individuals with higher PSM increase the likelihood to engage in co-production (Van Eijk and Steen, 2016).

(2) ***Self-interest*** refers to the material incentives (e.g. money, goods, services), solidarity incentives (feeling belonging to one's group), expressive incentives (having the sense of satisfaction by doing goods), intrinsic reward (improving own competency), and avoiding punishment (Van Eijk and Steen, 2016). Van Eijk and Steen (2016) argue that self-centered motivation should not be perceived as negative, because their engagement is not only limited to their direct beneficiaries rather than collective beneficiary that includes family, neighborhood, friends (Van Eijk and Steen, 2016). However, Alford and Freijser (2018) argue that involving extrinsic monetary incentives will displace the initial moral basis to engage in co-production. Alford and Freijser (2018) found that public professionals have shown the tendency to involve extrinsic rewards such as monetary rewards to elicit the willingness of groups of citizens to engage in co-production and improve performance in delivering public service. The reason is that the co-production process involves many different types of citizens which are often not subject to hierarchical command and, thus, cannot be forced to co-produce without involving reward (Alford and Freijser, 2018). Further, such an issue will induce the negative outcome of social innovation, where people are initially motivated to do pro-social concerns but are confused by the monetary rewards.

This needs further investigation to the extent monetary reward influences an individual's decision in co-production.

- **Government factors affecting co-production**

(1) ***Clear incentives*** refer to what extent citizens' involvement in co-production can improve the public service delivery (Voorberg et al., 2015). This also related on how the public budgetary can benefits and increase the satisfaction of citizens as customers (Voorberg et al., 2015).

(2) ***Public service motivation (PSM)*** refers to the commitment to place the public interest and common good ahead of one's self-interest, it involves self-sacrifice and loyalty to duty (Brewer, 2012). To involve citizens in co-production means that public organization has to deal with a risk-averse because the citizen as a partner do not have enough resources (Voorberg et al., 2015). Thus, PSM is consider as one of the important elements in how public officials perceive their roles in co-production.

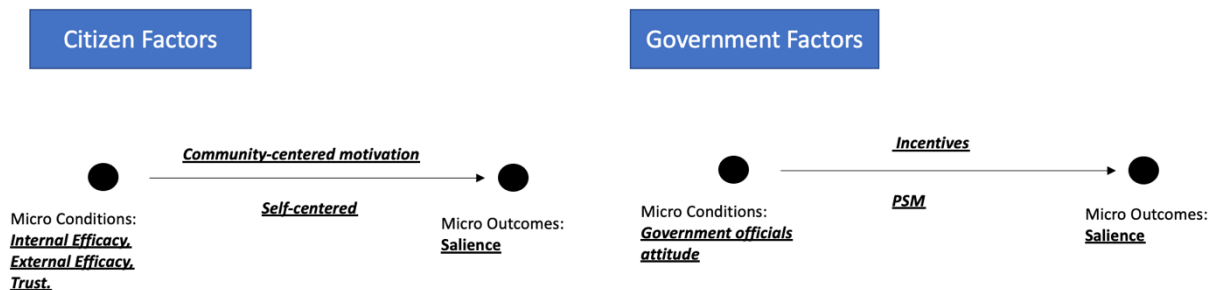


Figure 2.4. The expected relation of action-forming mechanisms factors (micro-to-micro model).

(3) Transformation mechanism: micro-to-macro link

The concept of transformation mechanisms: The transformation mechanism describes how the individual action at the micro-level transforms into the collective outcome and sometimes is not expected (Hedström and Swedberg, 1996). One of the theories explains this mechanism called the critical mass model (De Graaf and Wiertz, 2019). This model has been explained widely to explain

the success and failure of social movements (De Graaf and Wiertz 2019). Using the example of academic seminar attendance, Thomas Schelling explains that individuals only want to attend if they are sure that most of their colleagues are doing so because they believe that the seminar will become interesting where there is a sufficient number of people attending (De Graaf and Wiertz, 2019). The factors that determine this outcome is expectation and behavior, where low expectation may decrease the attendance rates and eventually result in the seminar to fail (De Graaf and Wiertz, 2019). Meanwhile, high expectations show that the seminar will succeed (De Graaf and Wiertz, 2019). Supposed that the initial expectation is 40 attendees, with this expectation participants will hesitate to attend the seminar or not (De Graaf and Wiertz, 2019). As a result, only 25 people attended the seminar, and this number will decrease annually for the upcoming seminar (De Graaf and Wiertz, 2019). In contrast, if the initial expectation is 50 attendees, there might be possibilities that 75 people are attending the seminar, and no one will be disappointed (De Graaf and Wiertz, 2019). However, problems may arise as the number of attendees is more than the available seat, and thus when no more seats are left the number of attendees also decrease gradually (De Graaf and Wiertz, 2019).

Transformation mechanism factor that influence individual engagement: Using this preposition of theory, the emergence of social innovation could be explained as the success of co-production. The relations can be seen in Figure 2.5. It must follow these two conditions: (1) social innovation may emerge successfully if the government as the principal opens the opportunity and support for citizens to co-produce and (2) a sufficient number of citizens decide to engage in the co-production process. However, problems might occur when there is a lack of responsiveness or support from the government. For instance, Van Eijk and Steen (2016) through their research indicated that citizens are demanding feedback from the public officials whether they perform any impact. As the number of public officials in comparison to citizens are different, they may not have enough capacity to give feedback regularly. This has been criticized by scholar group where the government perceived as burden their responsibilities to the citizens through the co-production process (Brandsen et al., 2018), and thus will eventually discourage citizens to participate. Meanwhile, Van Eijk and Steen (2016) also found that citizens are more likely to withdraw from co-production when the service is no longer beneficial for themselves. This will have negative implications for social innovation outcomes.

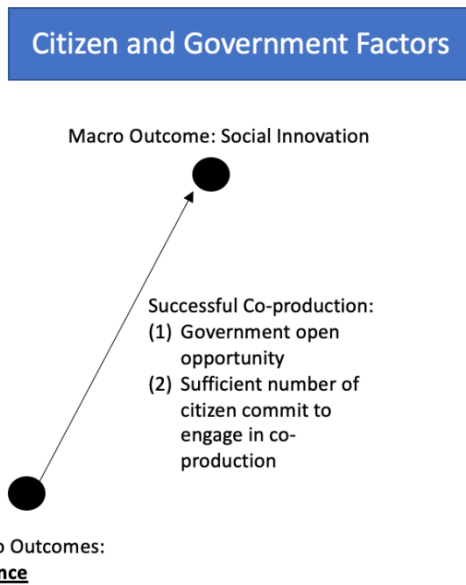


Figure 2.5. The Co-production expected of successful transforming mechanisms (micro-to-macro model)

Conclusion: The factors that influence the emergence of social innovation are explained through three different social mechanisms. First, situational mechanisms refer to actors embedded in the macro-level situation and how this situation influences their behavior at the micro-level. There are two situational factors that influence citizens preferences to engage in co-production, which are social-connectedness and socioeconomic background. These two factors will influence citizens' external efficacy, internal efficacy, and trust at the micro-level. Meanwhile, there are two situational factors that influence government preferences to engage in co-production, which are the extent of conservative organizational cultures and the compatibility of public organization structures and procedures in co-production. These will influence the government's attitude at the micro-level. Second, action-forming mechanisms explain how individuals arrive at certain decisions. The factors that drive citizens toward micro-level outcome include community-centered motivation and self-interest (material incentives, intrinsic motives, expressive incentives, and avoiding punishment). Further, the factors that influence government toward micro-level outcome are the present of incentives and PSM. Those factors will result in saliency in which citizens and

governments perceive certain issues as important and they consider to actively participate and calculate their effort. Third, transforming mechanisms on how individual actions at micro-level transform into macro-level outcomes. To arrive at the macro-level outcome there is a need to understand and assess all the factors mentioned.

3. Methodology

This chapter will explain the methodological steps that are necessary to conduct the master thesis research. It will conclude the description of research strategy and design, sample and sampling, operationalization, data collection method, data analysis as well as the ethical issues of such research.

3.1. Research Design

The research question and sub-questions are a combination of theoretical and empirical questions. The aforementioned research question and sub-questions require an intensive case study of social innovation projects emerging in Surabaya during the corona crisis. This research will comprise a period from the start of the corona crisis in March up until October 2020, to research the recent development in the past month. To effectively answer these questions, the author of this present study will employ qualitative techniques.

First, to answer theoretical questions, related literature reviews will be reviewed as the secondary data. Second, to answer the second sub-questions, empirical observation of media electronics such as newspapers will be conducted. Third, to answer the third and fourth sub-questions, semi-interviews will be employed. The semi-interviews will be conducted with several non-government organizations representatives in Surabaya and public officials. Discourse analysis will be used during the empirical observation and semi-structured interview. Discourse analysis is a qualitative research method that is useful to evaluate the written or spoken language and its relation to the social context (Johnstone, 2018). It is useful to answer questions about different stakeholder perspectives and social roles on particular social phenomena (Johnstone, 2018). Such a combination of three methods aims to provide a more comprehensive picture of current phenomena. Furthermore, it enables a comparison between secondary data from the literature and primary data from the observations and semi-structured interviews.

3.2. Sample and Sampling

Sampling method: There are two logics of sampling which are non-probability and probability (Babbie, 2006). In this thesis, the non-probability sampling methods will be used to answer the fourth sub-questions. Non-probability sampling is often being conducted in a situation where the use of probability sampling is not permitted in large-scale social surveys (Babbie, 2006). The advantage of using non-probability sampling is not only time effective but also to give useful information about the population that is difficult to locate, such as the homeless, migrant workers, or illegal immigrants (Babbie, 2006). Meanwhile, the disadvantage of non-probability sampling is difficult to know how well the variety of individuals is represented in the populations (Babbie, 2006). This sampling method includes convenience sampling, which will be used in this thesis. The idea of convenience sampling is taking the sample from the groups that are conveniently to contact or to reach. In this thesis, both representatives of local parliaments and non-governmental organizations in Surabaya were chosen as the convenience sampling. The reasons because (1) Surabaya is the second biggest city in Indonesia which consider as a good representative of Indonesia, (2) Surabaya is the author's hometown where she has developed many networks there.

Selection criteria of the sample: The numbers of selection criteria of the sample will be based on numbers of the division of territory across the municipality of Surabaya. As seen in figure 3.2 there are five divisions of territory. In this thesis, the number of divisions of territory will be useful to determine the number of public and government official samples. (Total N=10; five local parliament representatives and five representatives of non-government organizations)



Figure 3.2 Map of territory distribution of Surabaya (KPU Surabaya, 2015).

Furthermore, the research is only applicable to limited samples of different actors' perceptions, which are the public and the government. This thesis will refer to the public as the representative of non-governmental organizations that are Surabaya citizens including those who hold a Surabaya residence card, live, and work in Surabaya. Whereas, the government as the organization refers to people who work in the public sector and are employed by the government agency. In order to enhance the quality of this thesis, the government officials were only limited to the members of the local parliament in Surabaya. Particularly noteworthy is that some people might have a residence card but not live in Surabaya, whereas others live and work in Surabaya but not hold a Surabaya residence card. As a matter of fact, both conditions must be met for one participant to be considered as the representative of a non-governmental organization and members of local parliament in Surabaya.

3.3. Data Collection Method

In order to systematically answer the research questions, this present study employed qualitative methods to get a more comprehensive insight and analyze the differences or similarities in the result. The secondary data were extracted from the literature review and the primary data will be generated from the empirical observation of media electronic and semi-structured interviews. Therefore, this section describes data collection methods for literature review, empirical observation of media electronic, and semi-structured interviews.

The secondary data collection method: The secondary data of the literature review will be collected through desk research or also known as secondary research. Desk research aims to gather information from reviewing what other people have done in a particular field of research. Moreover, this method of data collection is deemed as the most efficient, especially in terms of time and money, to understand the basic idea of particular phenomena. This also will enhance the feasibility of conducting research during this present time of the Corona crisis. The secondary data needed in this research are scientific articles and books. For this thesis, there are three selection criteria for collecting information from scientific articles. First, choosing scientific articles from google scholars with the keywords of “*social innovation*”, “*social innovation in public administration*”, “*the process of social innovation*”, “*social innovation theory*”, and “*social innovation and co-production*”. Then this will be further selected based on the headings, publishing year, and amount of citation. Second, identify the relevancy of each scientific article abstract. This is because not all the scientific articles found have direct relevance toward the concept of social innovation and rather it most likely focuses on the case study of social innovation. Third, identify from one’s references to connect with other related sources. Furthermore, there are several book chapters used respectively in this thesis include *Social Innovation in the Urban Context* (Brandsen et al., 2016), *Co-production and Co-creation: Engaging Citizens in Public Services* (Brandsen et al., 2018), *Societal Problem as Public Bads* (De Graaf and Wiertz, 2019), and *Public and Organizational Structure and Public Service Performance* (Brewer in Walker et al., 2012).

The primary data collection method: The primary data collected through empirical observation of the news articles and semi-structured interviews. For this thesis, both empirical observation and semi-structured interviews aim to generate qualitative data. The qualitative data collection method will follow the procedure of discourse analysis. Discourse analysis is useful to study the meaning of particular things that changed over time with an interesting implication (Philips and Hardy, 2002). This thesis aims to observe the social innovation projects such as its characteristics, as well as the meaning of different actors' perceptions based on their role in generating and implementing social innovation projects. This will further lead to the subscription of a functional approach in discourse analysis based on pragmatics studies. To obtain a better overview of the discourse analysis in pragmatic studies used in this research (see figure3.3.). The discourse analysis will be conducted based on the selection criteria of news article and the results of semi-structured interviews. For instance, identifying characteristics of social innovation projects from local news company networks. This is analyzed using software called Atlas.ti.

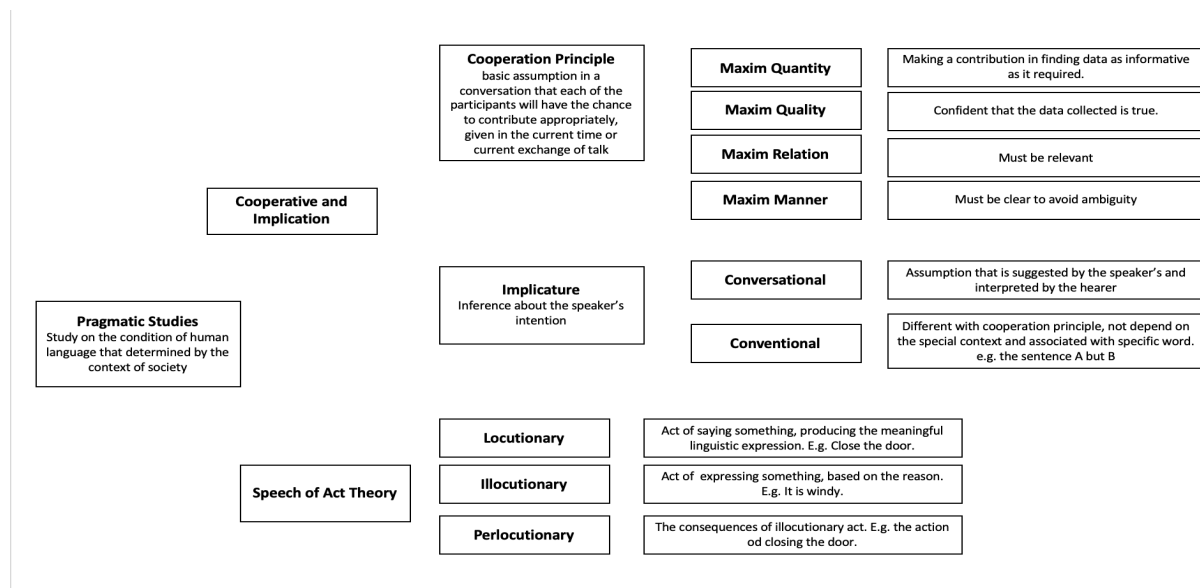


Figure 3.3. Cutting's Pragmatic Framework Analysis (Cutting, 2005).

Meanwhile, the semi-interviews process requires some considerations such as, for example, different types of questions, wording choices to be used in the questions, the format of questions as well as the content that should be covered in the questions. For these reasons, the semi-structured interviews will be conducted after the approval of the Behavioral, Management, and Social Science

(BMS) ethics committee. The semi-structured interview in the form of a phone interview will start from early December 2020 toward numbers of local parliament representatives and non-governmental organizations representatives in Surabaya.

3.4. Operationalization

The following section discussed how the explained factors of social innovation projects and different actor perceptions are measured. The first sub-question is a theoretical question and therefore not necessarily to be operationalized. The second sub-question focus on describing the social innovation projects in Surabaya and its characteristics. This will be answered using empirical observation of the media electronic. The third sub-question measure different actors' perceptions of the observed projects. The fourth sub-questions measure the identified factors of social innovation emergence in Surabaya context. Both third and fourth sub-questions will be answered using semi-structured interview.

For the empirical observation of news articles: The operationalization of qualitative data that are obtained from empirical observation of the news articles will follow specific procedures. First, using google to find the project in the form of news articles that cover social innovation in Surabaya during the Corona pandemic. The keywords use in Google are *aksi sosial COVID Surabaya* (COVID social action in Surabaya), *aksi sosial lawan COVID Surabaya* (social action against COVID in Surabaya), and *komunitas aksi sosial COVID Surabaya* (COVID response communities in Surabaya). Second, applying discourse analysis to find the explicit statement in the news article whether the project aligns with the social innovation characteristic. In order to claim a project as social innovation, it must be (1) not-generating profit, (2) solving social problems, and (3) building a more sustainable, inclusive, and cohesive society. Despite this, the additional inclusion criterion will be based on the social innovation projects carried by an non-governmental actors and should be distinguished from *corporate social responsibilities* (CSR). Fourth, developing a coding scheme based on the type of activities and distribution strategies.

For semi-structured interviews: The qualitative data analysis will be operationalized in Table 3.4. by highlighting the most important concept found in the theory section as well as its respective

variables. An interview guide was structured and organized to make sure the respondents receive the same questions (see Appendix A). To evaluate different actors' perceptions the question that addressing government factors will be asked to the local parliament as government representatives, and the question regarding citizens factors will be asked to the non-governmental organization representatives.

Sub-questions	Variables	Interview Question
How were the projects defined and perceived by different actors (government and citizen)?	Roles of citizen and government	<ul style="list-style-type: none"> How do you describe the meaning of a social innovation project in Surabaya? How do you respond to the observed social innovation project? To what extent does the government reflect as initiator, coordinator, and facilitate citizens to engage in the social innovation process? (<i>*question for non-government representatives</i>) To what extent do you think that citizens are willing to implement and give input to the government program? (<i>*question for local parliament representatives</i>)
What are factors that explain the emergence of the observed social innovation project in Surabaya? (<i>*Citizen factors</i>)	Social connectedness	<ul style="list-style-type: none"> Do you belong to any other organizations? And how about your colleague?
	Socioeconomic	<ul style="list-style-type: none"> What is the average highest degree or level of education that you and your colleague are completed? Can you range your current income? And how about your colleague? (<i>*range see Appendix B.</i>) Can you describe your neighbourhood situations that you are currently living in? And how about your colleague?
	Internal Efficacy	<ul style="list-style-type: none"> Do you feel that you and your colleague have enough competency or knowledge on how to deliver public services effectively?
	External Efficacy	<ul style="list-style-type: none"> Do you feel that the government give your organization rooms for interaction or whether their interactions matter to improve public service delivery?
	Trust	<ul style="list-style-type: none"> Do you consider that the government are responsive in accommodating you with certain feedback toward current public service that you are currently engage in?
	Community-centered motivation	<ul style="list-style-type: none"> What motivates you and your colleague to engage in social innovation project?
	Self-centered motivation	<ul style="list-style-type: none"> Do you receive any material incentives through engaging in social innovation? And how about your colleague? Do you feel the sense of solidarity through engaging in

		<p>social innovation? Why? And how about your colleague?</p> <ul style="list-style-type: none"> • Do you think by engaging in social innovation will improve your knowledge? If so, what kind of knowledge or competency do you learn. And how about your colleague? • Do you get any punishment by not engaging in social innovation projects? And how about your colleague?
	Salience	<ul style="list-style-type: none"> • To what extent do you think it is important to engage in social innovation projects? And how about your colleague?
What are factors that explain the emergence of the observed social innovation project in Surabaya? <i>(*Government factors)</i>	Conservative organizational cultures	<ul style="list-style-type: none"> • To what extent do you consider citizen as a partner rather than just an ordinary service receiver?
	Public organization structure and procedure	<ul style="list-style-type: none"> • To what extent do you consider that the organization structure and procedure have enough infrastructure to accommodate or communicate with citizens?
	Government officials' attitude	<ul style="list-style-type: none"> • How do you think that citizens have enough competency or knowledge to engage in public service delivery?
	Public Service Motivation (PSM)	<ul style="list-style-type: none"> • What motivates you to engage or encourage social innovation project?
	Incentives	<ul style="list-style-type: none"> • Can you mention what kind of benefits that will the government receive through engaging in social innovation project? • Do you think by involving citizens will increase the public service delivery performance? • How about the citizens satisfaction and public budgetary benefits?
	Salience	<ul style="list-style-type: none"> • To what extent do you think it is important to engage in social innovation projects?

Table 3.4. Semi-structured interviews questions.

Another aspect of research is the validity and reliability of the measurement. To address validity, the measurement used in this research covered a range of meanings within the concept, variables, and dimensions. This means that this research aims to measure what is desired to address the main questions. Reliability refers to the same method and measurement that should be applied again and must be acquired with the same result. Meanwhile, to address reliability, the coding scheme will be used for both empirical observation and semi-structured interviews. To make the semi-structured interviews reliable, all steps taken will be informed and shared as well considering the sufficient number of respondents.

3.5. Data Analysis

This research aims to test the theoretical framework through the analysis of the results of the semi-structured interviews. To clarify, the first sub-question is a theoretical question that is answered using a relevant literature review. The second sub-question is answered using an empirical observation of the news articles, whereas the third and fourth sub-questions are answered using semi-structured interviews. The data gathered from empirical observation and semi-structured interviews are translated from Bahasa Indonesia to English. Then, it was analyzed using a qualitative research software called Atlas. ti.

For the empirical observation of news articles (second sub-question) coding scheme was created to classify the characteristics of social innovation projects found in the news articles. The coding scheme includes types of activities and distribution strategies. Second, for the semi-structured interview (third sub-question), a coding scheme was created to demonstrate different actors' perceptions toward the observed social innovation project. The coding scheme based on the concept of different actors' roles includes their perceptions on meaning and reaction of social innovation project observed. For the semi-structured interview (fourth sub-question), a coding scheme was created to evaluate the expected factors of social innovation emergence found in the literature. The coding scheme based on the theoretical framework that includes eight citizens' factors (social connectedness, socioeconomic, internal efficacy, external efficacy, trust, community-centered motivations, self-interest, and salience) and six government's factors (conservative organizational cultures, public organization structure and procedure, government officials' attitude, PSM, incentives, and salience).

3.6. Ethical Issue

Since this research involve human participants during the semi-structured interviews, the interview question will be firstly sent to the BMS ethics committee. This to ensure that the survey question is an ethically responsible research practice. The approval (request number: 201353) of the BMS ethics committee includes a consent form to inform the participant about the objective of the research, the confidentiality to keep their identity anonymously, and the data storage (see Appendix B.). To address the right of participants, the participants were free to withdraw from the

interview and had the right to check the result of the interviews. Furthermore, the results obtained from the interview will be treated and processed truthfully to avoid any deception.

4. Results

4.1. Addressing second sub-question

Sub-question 2: What social innovation projects emerged in Surabaya during the period? What were the characteristics?

All the projects observed between March to October 2020 reflects the characteristics of social innovation. Firstly, the projects observed are voluntary activities that distribute goods and services to citizens of Surabaya who are affected by the COVID-19 pandemic. This means that all the project is not aiming to generate profit. Secondly, all observed projects aim to solve social problems caused by the COVID-19 pandemic including the economic and discrimination issues. Thirdly, the projects focus on building a sustainable society by aiding mainly vulnerable populations. Based on the three conditions mentioned it is reasonable to categorize all of the projects observed as social innovation.

To have a comprehensive explanation of the social innovation project in Surabaya, it is important to understand (1) the period of the emergence and the list of individual(s) and non-governmental organizations who are engaged in the social innovation projects, (2) types of the social innovation projects, (3) the distribution strategies, and (4) further explanation of the selected three samples of social innovation projects and its characteristics in Surabaya between March to October 2020.

(1) Social innovation projects emerged in Surabaya from March to October 2020.

Based on empirical observation of news articles, until 20-November-2020, there were 26 social innovation projects carried out by different individual(s) and non-governmental organizations in Surabaya during the period of March to October 2020. Table 4.1.a shows that most of the social innovation projects observed in Surabaya were implemented in May 2020, with a total number of

nine projects being carried out by different type of individual(s) and non-government organizations.

News date release	Individual(s) and non-governmental organization in charge
March	<ol style="list-style-type: none"> 1. Kicau Mania West Surabaya (community of bird enthusiast) 2. Komunitas Rumah Bhinneka (<i>House of Bhineka community</i>) 3. Buddhist Community Surabaya
April	<ol style="list-style-type: none"> 1. Lely Yuana, a Journalist from online national media <i>Time Indonesia</i> 2. Bold Rider Community Surabaya (a motorcycle community) 3. Jaringan Arek Ksatria Airlangga (<i>Alumni and students of Airlangga University Surabaya</i>) and Gerakan Mahasiswa Nasional Indonesia (<i>Indonesian National Student Movement</i>) 4. Tolong Menolong Community (KTM) and Online Driver Community (PDOI) 5. Gading Indah Regency neighborhoods association Surabaya 6. Community of physical education teacher in Surabaya that is part of the Musyawarah Guru Mata Pelajaran (MGMP) PJOK National Junior High School Surabaya
May	<ol style="list-style-type: none"> 1. Eagle Driver Team “Gojek” Surabaya 2. Komunitas Tionghoa Surabaya (<i>Chinese descent community in Surabaya</i>) 3. Citizens of Kampung Medokan Ayu Utara Surabaya 4. Bikers FKPPi Community Surabaya 5. Yayasan Peduli Bangsa (<i>The foundation of Caring for Nation</i>) 6. Ikatan Sarjana Ekonomi Indonesia (<i>Indonesian Economic Scholars Association</i>) Surabaya chapter 7. Komunitas pecinta alam in Surabaya (<i>Nature lover community</i>) 8. Turun Tangan Community Surabaya 9. <i>COVID-19 Entrepreneur vs. Corona Community</i>
June	<ol style="list-style-type: none"> 1. JCI Community East Java Surabaya 2. Neighborhoods communities in Surabaya “<i>Wani Jogo Kampung</i>”
July	Bonek Community (Supporter of Surabaya soccer club Persebaya) “ <i>1000 mouth caps movement</i> ”
August	The heart of Patricia Mayoree foundation
September	<ol style="list-style-type: none"> 1. Braver chapter Surabaya (Community of the owners of Honda BRV Surabaya) 2. Surabaya automotif community- Melvin Tenggara and friends
October	<ol style="list-style-type: none"> 1. Uci Flowdea an entrepreneur and Christian songs singer from Surabaya 2. Alumni Penyintas Covid-19 East Java

Table 4.1.a. Period of the emergence and the list of individual(s) and non-governmental organizations engaged in the social innovation projects in Surabaya from March to October 2020.

(2) The types of Social innovation projects emerged in Surabaya from March to October 2020 .

Although the social innovation projects were carried out by different individual(s) and non-governmental organizations, the types of projects are quite similar to each other. All the social innovation projects observed were voluntary activities that aimed to solve social problems caused by COVID-19 by donating goods and services (as seen in Figure 4.1.b). Figure 4.1.b. shows that most of the projects observed are donating goods such as daily necessities food which includes

rice, instant noodles, eggs, and cooking oil. Furthermore, other goods such as mouth caps, hand sanitizer, cash, *personal protective equipment* (PPE), vitamins, and hand soap are also being donated. A few of the non-governmental organizations such as Rumah Bhinneka and Arek Ksatria Airlangga community also offer COVID fogging service to disinfect certain locations in Surabaya (Editor, 2020; Suara Publik, 2020). Meanwhile, Alumni Penyintas voluntarily engage in educational services to increase citizens' awareness of the COVID-19 pandemic, such as educating the citizens about the importance of wearing mouth caps (Liputan 4, 2020).

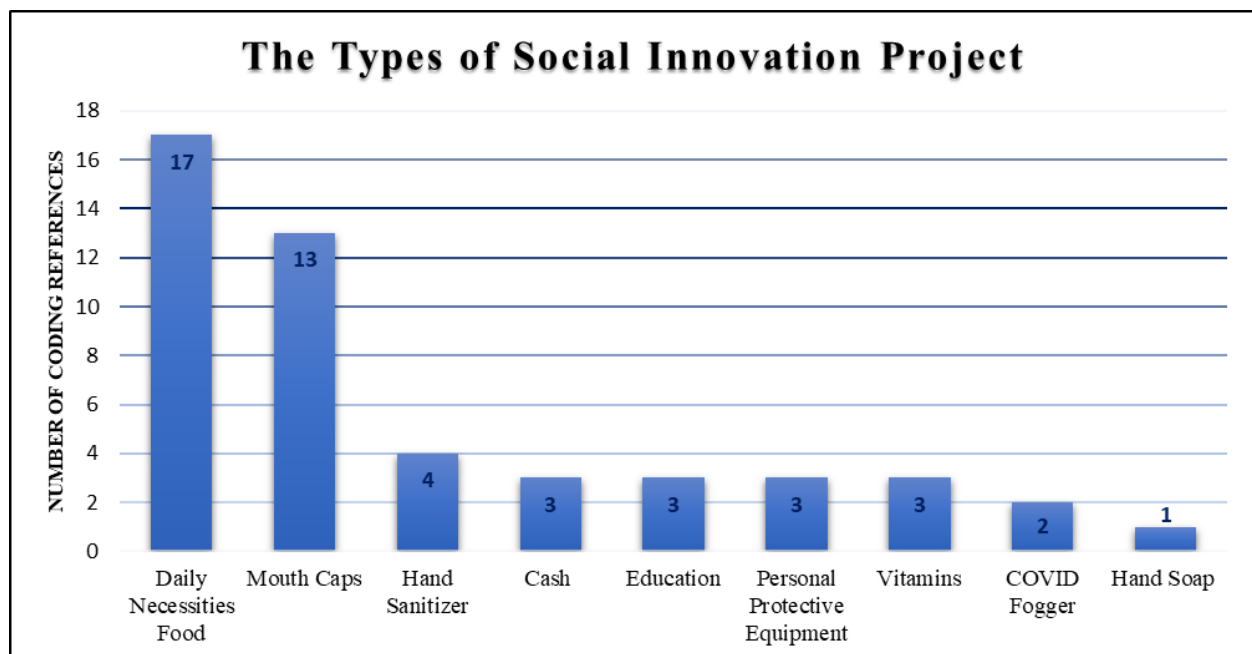


Figure 4.1.b. The types of social innovation projects.

(3) The social innovation projects distribution strategies

There are three categories of social innovation projects distribution strategies that are observed between March to October 2020 in Surabaya (see Figure 4.1.c). First, most of the social innovation projects employed a direct distribution strategy to the targeted population. The idea of the targeted population strategy is distributing goods and services directly to a particular group in several areas. The majority of targeted populations includes the disadvantaged economic groups (e.g. street vendors, ride-hailing drivers, garbage collectors, and street sweepers). Meanwhile, some non-government organizations such as *Braver Chapter* and *Komunitas Pecinta Alam* distribute goods to several orphanages in Surabaya, and the *Buddhist Community* distributes PPE to several

hospitals in Surabaya. Second, some non-governmental organizations often build distribution center to distribute goods and services. The idea of a distribution center is to distribute goods and services from the warehouse to everyone who is affected by the COVID-19 pandemic. For instance, a social innovations project was carried out by Citizens of *Kampung Medokan Ayu Utara* Surabaya. This organization built a distribution center in their neighbourhood which is *Kampung Medokan Ayu Utara* (Kompas, 2020a). Their social innovation project is to give away daily necessities food to everyone, mainly *Kampung Medokan Ayu Utara* citizens who are “feeling” affected by the COVID-19 pandemic (Kompas, 2020a). Third, there are three social innovation projects employing the distribution strategy to the municipality or district office. The idea of distributing the goods to the municipality is because the non-governmental organizations believe that the municipality or district office has better data of the population in need of assistance. Those social innovation projects are carried out by the *Automotive Community* (Melvin Tenggara and friends), *Yayasan Peduli Bangsa Surabaya*, and *Komunitas Tionghoa Surabaya*.

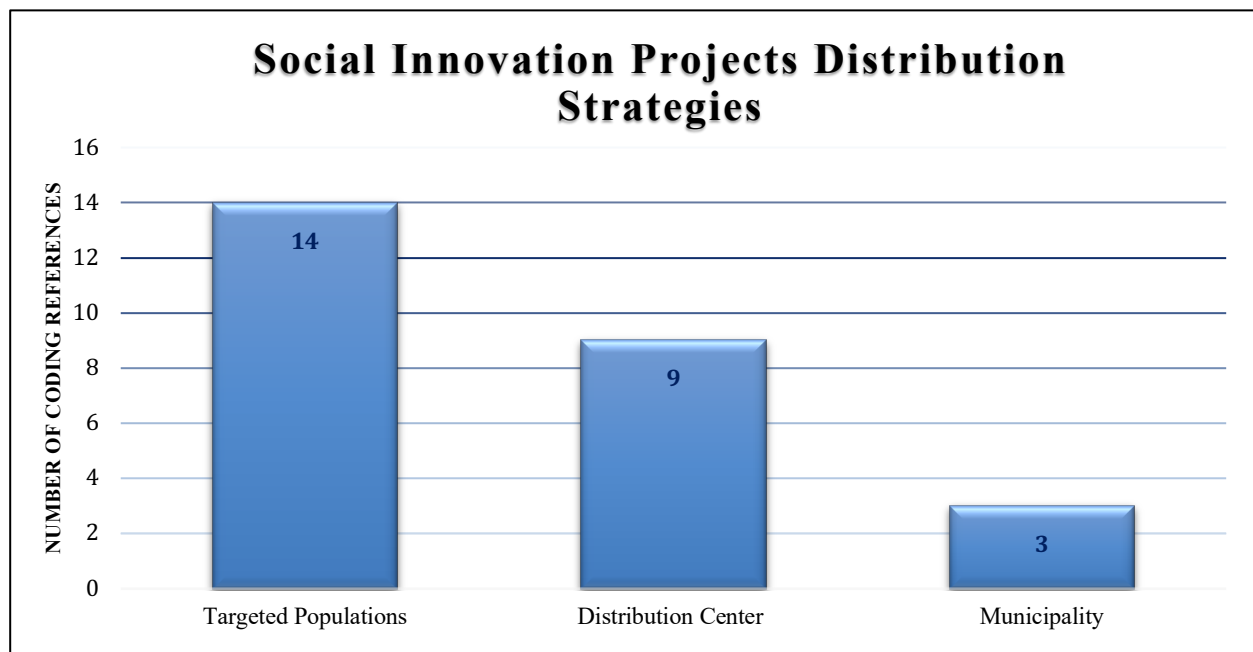


Figure 4.1.c. Social innovation projects distribution strategies.

(4) Three examples of social innovation projects emerged in Surabaya between March to October 2020 and its characteristics

First, a social innovation project carried out by 1009 neighborhood communities in the 31 Surabaya districts (Radar Surabaya, 2020b). The name of the project is “*Wani Jogo Kampung* ” (preventing and handling the spread of the coronavirus in neighborhoods). The project was initiated by the municipality of Surabaya (Radar Surabaya, 2020b). The project is about educating citizens in a particular neighborhood to comply with the health protocol such as wearing mouth caps, washing hands, and implementing physical distancing (Radar Surabaya, 2020b). Based on the information provided by the neighborhood communities, the government officials in charge of monitoring the people who got affected by the COVID including fulfil their daily necessities food (Humas Surabaya, 2020). This project reflects the joint responsibility between the government and the citizens, but the implementation of this project emphasizes on the participation of a group of citizens as the neighborhood community (Radar Surabaya, 2020b). The neighborhood community acts as the agent of the government to bridge the communication between the government and the citizens (Radar Surabaya, 2020b). Thus, a strong commitment is needed from the neighborhood community to implement this project.

Second, a social innovation project carried out by Alumni Penyintas COVID-19 East Java (former COVID patient community). This non-governmental organization consists of former COVID patients that aim to help the government to increase citizens' awareness toward former COVID patients through education as well as distributing free mouth caps (Liputan 4, 2020). The project is distributed to all citizens including pedestrians, bikers, and street vendors crossing by Taman Surabaya area (*Surabaya Park*) (Liputan 4, 2020). The leader of this organization added that it is important to educate citizens because many former COVID patients are facing discrimination from the society such as not being allowed to enter work and being rejected in their neighborhoods (Liputan 4, 2020).

Third, a social innovation project was carried out by Yayasan Peduli Bangsa Surabaya. This non-governmental organization consists of 80 entrepreneurs who empathizes for the Surabayan citizens who are economically affected by the COVID-19 pandemic (Jurnalmojo, 2020). The project is about distributing 5600 packages of daily necessities to the Tambaksari district office

Surabaya (Jurnalmojo, 2020). From the Tambaksari district office, the packages will be distributed to the eight sub-districts (Jurnalmojo, 2020). The representatives of *Yayasan Peduli Bangsa* argues that Tambakasari is one of the district highly impacted by COVID-19 in Surabaya, and thus they focus mainly to distribute donations to this particular district (Jurnalmojo, 2020). Furthermore, according to the news article, this non-governmental organization plans to continue distributing goods to other districts in Surabaya in the future (Jurnalmojo, 2020).

4.2. Addressing Third sub-question

Sub-question 3: How were the projects defined and perceived by different actors (government and citizen)?

Different actors' social innovation definition: Based on the result of the semi-structured interviews, both the representatives of local parliament and non-governmental organizations refer to the definition of social innovation project observed in Surabaya as the joint responsibilities and collective awareness of the government and citizens to solve problems caused by the COVID-19. The term joint responsibilities and collective awareness are associated with each other, however, different respondents (both the representatives of local parliament and non-governmental organizations) are using different approaches to define the social innovation project observed in Surabaya. For instance, some respondents emphasize the collective awareness where it results in the joint responsibilities to solve the problem caused by COVID-19 together. Meanwhile, other respondents argue that imposing joint responsibilities will result in collective awareness. Thus, this section will explain and compare different actors' definitions of social innovation projects.

Representatives of the local parliament: (1) The figure 4.2.a showed that three local parliament representatives define the emergence of social innovation projects in Surabaya starting with the presence of collective awareness where the groups of citizens decide to take actions to solve the problems caused by the COVID-19. The sources of collective awareness are the culture of “*Gotong Royong*” (Respondent 3 and Respondent 4) and the lack of government capacity (Respondent 2). The culture of “*Gotong Royong*” has been developed since the colonial era, which embraced the importance of helping each other during tough times. Meanwhile, the fact that the government is

facing a lack of resources such as a limited public budget makes the citizens aware that they need to take action by themselves. This collective awareness will result in the joint responsibilities where the citizens based on their roles together with the government solve the COVID-19 problem.

(2) Figure 4.2.a. showed that two local parliament representatives define the emergence of social innovation projects in Surabaya starting with joint responsibilities between the government and citizens to solve problems caused by COVID-19. Both respondents 1 and 5 emphasize the roles of government as the initiator and facilitator of the social innovation project, while citizens as the implementers. The government initiated the project such as “*Wani Jogo Kampung*” and facilitated access to the hospital for those who were affected by the COVID-19. These aim to increase the citizens' awareness that they need to solve the COVID-19 problem together with the government by engaging in the social innovation project.

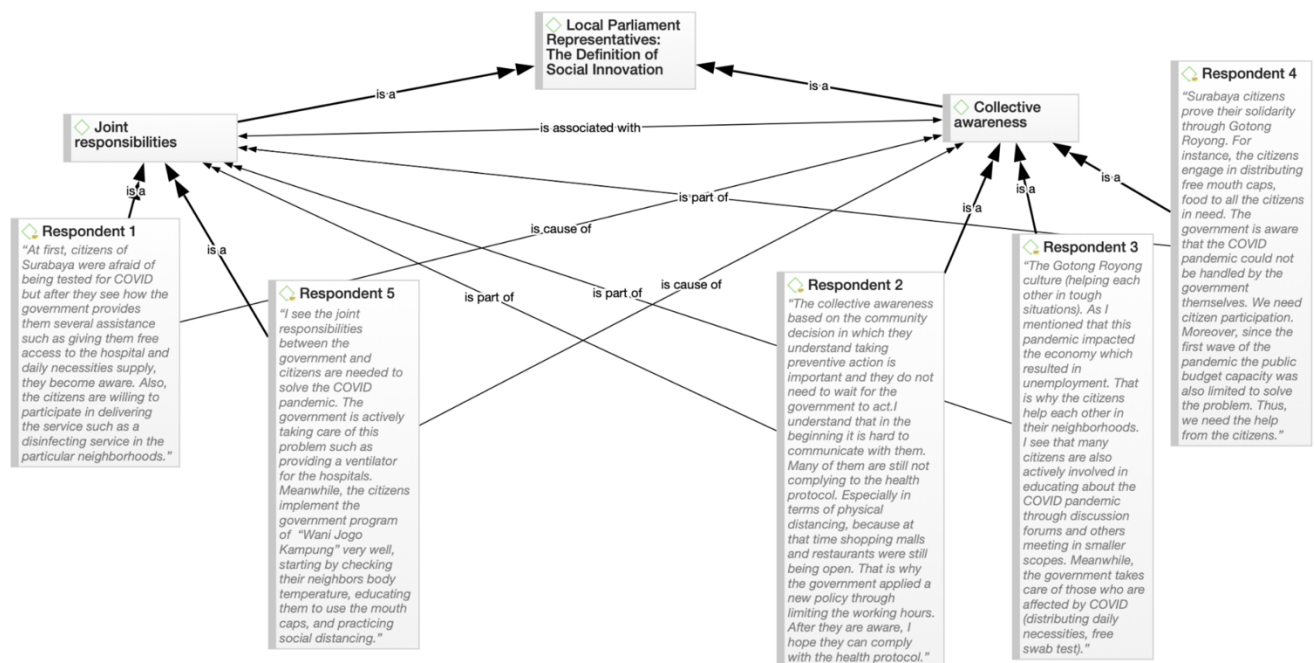


Figure 4.2.a. Local Parliament Representatives: The Definition of Social Innovation

Representatives of the non-governmental organizations: (1) Figure 4.2.b. showed that four of the non-governmental organizations' representatives define the emergence of social innovation projects in Surabaya starting with the presence of collective awareness. According to the respondent 1, 2, 4, and 5, the source of collective awareness is the lack of government capacity in solving the problems caused by COVID-19. For example, respondent 5 argues that governments

lack the capacity to distribute social assistance for those who got affected by the COVID-19. In addition, some respondents argue that the government response toward the COVID-19 problem is late in which the policy decisions are time (respondent 1 and 5) and budget (respondent 1 and 4) consuming. This makes them aware that they need to take action in order to tackle problems caused by COVID-19 and further results in the joint responsibilities to solve the problem together. (2) The figure 4.2.b. showed that one of the non-governmental organizations' representatives define the emergence of social innovation projects in Surabaya starting with joint responsibility between the government and citizens. Respondent 3 emphasizes the government's roles as the initiator and facilitator of social innovation projects in which they are working together with the police as the government body in educating the citizens about COVID-19 health protocol. Respondent 3 adds that through engaging in these projects, he understood that the government aims to increase awareness of citizens to help each other to solve the COVID-19 problems.

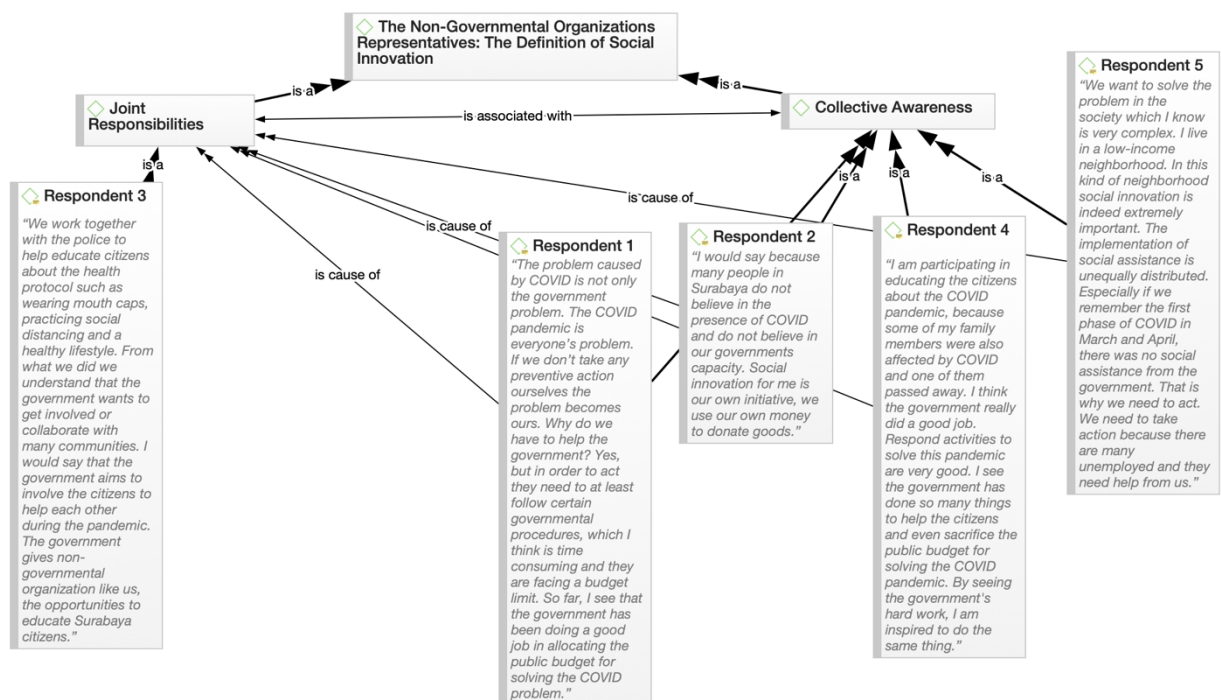


Figure 4.2.b. Non-Governmental Organizations Representatives: The Definition of Social Innovation.

To conclude, the majority of both representatives of the local parliament and non-governmental organizations define that the emergence of social innovation in Surabaya started with the presence of collective awareness. One local parliament representative and four non-governmental organizations representatives argue that the source of citizens' collective awareness is the lack of government capacity in solving the problems caused by the COVID-19. Thus, it resulted in the joint responsibilities where citizens commit themselves to engaging in social innovation projects to solve the problems caused by COVID-19 together with the government.

Different actors' reactions: In this thesis, the different actors will be analyzed based on their roles in the process of social innovation. Table 4.2.c shows that all the local parliament representatives respond to the observed social innovation projects positively. This means that the citizens in Surabaya have adequately reflected their roles to implement social innovation projects. For instance, two of the local parliament representatives (respondents 1 and 3) mentioned that the number of cases of COVID-19 has been decreasing, meaning that citizens very active in solving the COVID-19 problems. Despite this, table 4.2.c. also shows that four of the non-governmental organizations' representatives respond positively to the observed social innovation project in Surabaya. The positive response reflects that they are aware that they need to take action together with the government to solve the problems caused by COVID-19. Meanwhile, there is one non-governmental organizations' representative (respondent 5) that has a neutral reaction toward the observed social innovation project in Surabaya. This is because he was expecting that the government could do better to solve the problem caused by COVID-19.

Local Parliament Representatives	Reaction	Non-governmental Organizations Representatives	Reaction
Respondent 1	"The results are positive . The data provided by the hospital shows that the number of the COVID cases has been decreasing."	Respondent 1	"I would say that when people commit to doing social projects it is indeed a good sign."
Respondent 2	"We are very supportive . I see them providing a wash hand stand in a particular neighborhood using their own money."	Respondent 2	"I would say it is indeed a positive thing because we do share the same vision and mission to achieve normal life as before the COVID pandemic."
Respondent 3	"I respond very well . These kinds of activities would increase the sense of belonging of the citizens toward their own city. I also checked the data that shows nowadays citizens become more aware of wearing masks."	Respondent 3	"I would say it is very positive . Everyone is willing to be involved to solve the problem."
Respondent 4	"The government is aware that the COVID pandemic could be handled by the government themselves. We need citizen participation. Moreover, at the first wave of pandemic the public budget capacity was also limited to solve the problem. Thus, we need the help from the citizens ."	Respondent 4	Positive . "Because there is no other way rather than just small actions. Because we do not see the virus but it affects people around us. So, we need to save and care for each other ."
Respondent 5	"I really appreciate what the citizens did to solve this problem. I see that they reflect the feeling of nationalism through combating the COVID together."	Respondent 5	Neutral . "Yes, the government is taking care of the COVID problem. But not covering all aspects. And the distribution scheme also does not include everyone. I heard many complaints from my neighbors because sometimes the social assistance given to wrong targeted populations. We were doing social action using our money."

Table 4.2.c. Local Parliament and Non-Governmental Organizations Representatives Reaction toward Observed Social Innovation Project in Surabaya.

Discussion: The result reflects the concept of social innovation in the theory section (1) addressing social problems through open access for participation, collaboration, and exchange from different stakeholders (Voorberg et al., 2015). The result shows that the government encourages citizens' participation to solve the problems caused by the COVID-19 such as opening the collaboration to educate other citizens about the COVID-19 pandemic. (2) The context of social innovation emerged because of the government facing resource scarcity. The result shows the fact that the government facing resource scarcity increases citizens' awareness to engage in social innovation projects. (3) Different actors' roles perform the joint responsibilities between the government and

the citizens. The result shows, both the local parliament representatives and non-governmental organizations representatives responded positively to the observed social innovation project in Surabaya. This means that different actors perceive their roles positively which results in the joint responsibilities to solve the problem caused by the COVID-19. However, it has been observed that one of the non-governmental representatives responded to the observed social innovation project as neutral. This is because he was expecting that the government could be doing better to solve the problem caused by COVID-19.

4.3. Addressing fourth sub-question

Sub-question 4: What are the factors that explain the emergence of the observed social innovation projects in Surabaya?

Based on the constructed theoretical framework, the factors that explain the emergence of the observed social innovation project in Surabaya will be analyzed.

(1) Situational mechanism

Macro condition: The macro conditions in this thesis is the COVID-19 pandemic. All the respondents (both representatives from non-governmental organizations and local parliament) are aware of the societal problems that arise during the COVID-19 pandemic. The result of the semi-structured interview shows that most of them agree that COVID-19 affects not only the health aspect but also the economic aspect and public activities such as education. However, only understanding the macro conditions will not sufficiently shape an individual decision on whether or not to engage in social innovation projects. There are macro factors that influence the citizens' preference at the micro-level which are social connectedness and socioeconomic conditions. Meanwhile, for the government, conservative organizations' culture and compatibility with public organization structure and procedure are the factors that influence the government's preference at the micro-level.

The citizen factors: First, social connectedness refers to the network they belong to (Van Eijk and Steen, 2016). Table 4.3.a shows that most of the non-governmental organizations' representatives either belong to several communities or belong to one well-known organization. However, for the case of respondent 5, he belongs to a new non-governmental organization that was established around a year ago and has not been certified by the government.

Second, the socioeconomic conditions refer to the level of education, income, and neighborhood situation (Van Eijk and Steen, 2016). The results (see table 4.3.a) shows that socioeconomic does not always refer to the education degree that they are completing or obtained, rather it includes the experiences they have earned. For instance, respondents 1 and 4 not mentioned their degree rather than emphasize their experiences such as being humanitarian activists. In addition, two respondents inform their current job instead of mentioning their salary. For instance, respondent 4, apart from being an activist, runs a small business. Furthermore, the respondents live in different types of neighborhood situations. Respondents 1 and 2 clearly describe their neighborhoods' situation that consists of a heterogeneous society in terms of income level and education. Meanwhile, respondents 3, 4, and 5 live in relatively homogeneous neighborhoods which emphasizes the problems that are being faced by the majority. For instance, respondent 3 living in neighborhoods that are not aware of the COVID-19, respondent 4 living in neighborhoods where the citizens have problems in accessing the social assistance program, and respondent 5 living in neighborhoods consist of freelancers that are currently unemployed due to the COVID-19 pandemic. This result challenges Van Eijk and Steen's (2016) argument that individual(s) living in homogeneous neighborhoods are less active to engage in co-production in comparison to heterogeneous neighborhoods. The fact that three respondents live in relatively homogenous neighborhoods actively engaging in co-production shows that that the heterogeneous neighborhood's situation is not a significant variable determining socioeconomic factors. It is necessary to also consider individual education or experience level. This accordance with Voorberg et al., (2015) argument that citizens who have higher education understand their competency and to be more aware of what the societies need.

Non-governmental organizations representatives	<i>Social Connectedness</i>	<i>Socioeconomic</i>
Respondent 1	Belong to several communities	Humanitarian activist, entrepreneur, researcher, salary above IDR 20 million, living in heterogeneous neighborhoods.
Respondent 2	Belong to several communities.	Bachelor, salary below IDR 10 million, living in heterogeneous neighborhoods.
Respondent 3	Belong to one organization (The student organizations across universities in Surabaya).	Bachelor candidate (final semester), freelancer, salary below IDR 5 million, living in neighborhoods where citizens are not fully aware of the COVID-19.
Respondent 4	The leader of an NGO (The organization spread throughout Indonesia and has been certified by the government).	Humanitarian activists (has been sent to several countries for doing voluntary activities), run small businesses, living in neighborhoods where citizens have problems accessing social assistance programs related to COVID-19.
Respondent 5	The head of the secretary of a new NGO in Surabaya (established around one year and has not been certified by the government).	Bachelor candidate, living in neighborhoods consists of freelancers (street vendors, ride hailings) which are facing economic problems during the COVID pandemic.

Table 4.3.a. Non-Governmental Organizations Representatives assessment on macro factors.

The macro factors of social connectedness and socioeconomic influence individual micro-level conditions. The macro-level conditions consist of internal efficacy, external efficacy, and trust. The result shows (table 4.3.b) that internal efficacy was influenced by social connectedness and socioeconomic factors. All the respondents perceive their internal efficacy. They believe in their competency to participate in the delivery process because they possess a high level of education or experience as well as they are bound in organizations that consist of many people with diverse backgrounds. Furthermore, external efficacy and trust seem associated with social connectedness.

This is because respondent 5 who belongs to newly established organizations that have not been certified by the government has a neutral perception of external efficacy and trust. Respondent 5 mentioned that currently, they have difficulties interacting with the government. Respondent 5 adds that once his organization is certified, the government will be more responsive and give them more opportunities for interaction.

Non-governmental organizations representatives	<i>Internal efficacy</i>	<i>External efficacy</i>	<i>Trust</i>
Respondent 1	Yes	Yes	Yes
Respondent 2	Yes	Yes	Yes
Respondent 3	Yes	Yes	Yes
Respondent 4	Yes	Yes	Yes
Respondent 5	Yes	Neutral	Neutral

Table 4.3.b. Non-Governmental Organizations Representatives assessment on micro conditions.

Discussion: For the citizens' macro-level factors, the social connectedness and socioeconomic factors influence micro-level conditions. Especially the social connectedness, where it has been observed that it has a direct association with internal efficacy, external efficacy, and trust. For example, respondent 1 who bound in a multiple communities has indicate his internal efficacy by explaining "*I have a lot of communities in which I believe that many people from different backgrounds carry unique competencies.*" For external efficacy, respondent 1 explain "*I think we have a good room for interaction in Indonesia, everyone can express their opinion about the government*". For trust, respondent 1 explain "*I think the government is very responsive*". From the example above, it is sufficient to conclude that when individuals are bound in large or multiple communities, they are more likely to possess internal efficacy, external efficacy, and trust. This aligned with Van Eijk and Steen's (2016) argument in which individuals that bound in certain organizations influence their preference to engage in co-production.

Meanwhile, the result of the socioeconomic factor is not conclusive yet. It does influence the internal efficacy at the micro-level conditions as predicted by Voorberg et al., (2015). The results show that not only citizens who have higher education level (Voorberg et al., 2015) but also those who have experiences in volunteering activities were confident about their competency to participate in the co-production process. However, there is a need for further explanation to what extent it influences external efficacy and trust.

The Government factors: First, the conservative organizational culture which explains to the extent that the government is willing to involve citizens as a partner in the public service delivery (Voorberg et al., 2015). The results show (see table 4.3.c) that all local parliament representatives perceived citizens as a partner to solve the problems caused by COVID-19 through co-production. Respondent 2 adds that the fact the government lacks capacity in providing adequate assistance to solve the COVID-19 problems makes them see the citizens as a partner rather than ordinary service users. In addition, respondents 1,3,4, and 5 encourage citizens' participation to solve the problem caused by the COVID-19 together with the government. This is because they are aware that the problems caused by COVID-19 could not be solved by the government alone. Second, compatibility with public organization structure and procedure refer to the extent current organization procedure have a decent infrastructure to communicate with the citizen (Voorberg et al., 2015). The results show (see table 4.3.c) that all local parliament representatives believe that the government organization structure provides an adequate infrastructure to communicate with citizens. Some of them explain about the online system that they currently use during the pandemic. For example, the local government official website that allows citizens to check the development of the COVID-19 cases and call center for the citizens to express their concerns. Meanwhile, some of them also explain the organization of structural networks such as non-government organizations, neighborhood associations, district, and sub-district offices where they provide information and access for the citizens to communicate with the government.

Local Parliament Representatives	<i>Conservative organizational culture (Citizen as a partner)</i>	<i>Compatibility with public organization structures and procedure</i>
Respondent 1	Yes	Yes. Online service.
Respondent 2	Yes	Yes. Structural networks.
Respondent 3	Yes	Yes. Structural networks; Online service.
Respondent 4	Yes	Yes. Structural network.
Respondent 5	Yes	Yes. Online service.

Table 4.3.c. Local Parliament Representatives assessment on macro-level factors.

The two macro factors which are conservative organization culture and compatibility with public organization structures and procedure, determine the government official attitude at the micro-level. The government official attitude explains how the government perceived citizens' competence as eligible partners in delivering public services (Voorberg et al., 2015). The results show (see table 4.3.d) that all local parliament representatives perceived citizens' competency as positive. This is because they believe that the government already educates the citizens and provides sufficient information regarding the COVID-19 through social networks.

Local Parliament Representatives	<i>The government official attitude</i>
Respondent 1	Positive. "The government needs to educate citizens beforehand, especially delivering service using technology."
Respondent 2	Positive. "The citizens can solve their problem and help the government. In the COVID-19 context, it is very different because the citizens are helping the government. If the citizens rely on the government, their problem will not be solved quickly".
Respondent 3	Positive. "Surabaya's citizens are very well educated. All the government programs are also well informed in every district office."
Respondent 4	Positive. "At first, citizens are not well informed about the COVID-19 but after news spreads throughout the social media they start to understand."
Respondent 5	Positive. "The government sufficiently educates citizens about COVID-19."

Table 4.3.d. Local Parliament Representatives assessment on micro-level condition.

Discussion: For the government macro-level factors, conservative organizational culture, and compatibility with public organization structure and procedure influence government official attitude at the micro-level. The results aligned with Voorberg et al., (2015) in which government officials sees the citizen as a partner and confident toward the public organization communication infrastructure are more likely to perceive citizens' competency as positive. This is because in the COVID-19 context in Indonesia there is no "*institutional space*" observed between citizens and the government. Also, the governments' officials encourage citizens' participation in co-production by providing sufficient communication service to educate or interact with citizens.

(2) Action forming mechanism

Micro condition: First, the micro-level condition for non-governmental organizations' representatives are internal efficacy, external efficacy, and trust. To reach the micro-level outcome those three conditions need to be supported by two other factors which are community-centered and self-centered motivation. Second, the micro-level condition for local parliament representatives is the government official attitude. To reach the micro-level outcome the government official attitude needs to be supported by two other factors which are public service motivation (PSM) and incentives. Thus, the results of the semi-structured interview will be useful to validate to what extent the micro-level factors influence the micro-level outcome.

The citizen factors: First, community-centered motivation was developed in the concept of public service motivation (PSM) that refers to the commitment to participate and contribute to the common goods and service (Van Eijk and Steen, 2016). The results (see table 4.3.e) shows that all non-governmental organizations' representatives show their community-centered motivation. When looking closely to all respondents' answers, the foundation of their community-centered motivation was based on empathy, sympathy, and compassion. For example, respondent 2 expressed his concern because he saw many people around him being unemployed due to the COVID-19. Meanwhile, respondent 4 expresses his empathy towards society especially for those disadvantaged groups who do not have access to social assistance. This aligned with one of the Perry and Wise (1990); Rainey's (1982) potential bases of PSM concept which is affective motives (Brewer, 2012). The affective motives are constructed from human emotion which characterized by willingness to help others (Brewer, 2012).

Second, self-centered motivation refers to the presence of material incentives, solidarity, expressive incentives, intrinsic rewards, and avoiding punishment (Van Eijk and Steen, 2016). For material incentives in this thesis is not only focused on receiving money but also receiving goods and services. However, in the semi-structured interview results, all the respondents explain that they are not receiving material incentives in terms of money. There is no further explanation about receiving goods and services. For solidarity, three respondents express their feeling of solidarity such as they can share the same vision and mission in their community. For intrinsic rewards, all the respondents agree that by engaging in the co-production process they improve their knowledge. For instance, respondent 1 explained that he will receive useful information to learn and to help each other. For avoiding punishment, all the respondents explained that their commitment is not based on the presence of punishment. For the expressive incentives, all the respondents seem satisfied to be able to help others. These expressive incentives are analyzed based on their community-centered motivation. Lastly, two respondents (respondents 3 and 4) show the tendency of extrinsic rewards which is recognition from the citizens and government. Respondent 3 adds that by engaging in co-production they hope that the citizens will be able to recognize their organizations. Meanwhile, respondent 4 explains that by engaging in co-production they hope that the government will be able to notice what his organization does.

Non-governmental organizations representatives	<i>Community-centered motivation</i>	<i>Self-centered motivation</i>
Respondent 1	Yes. "I was meant to serve the community."	No material incentives; Responsibility; Improve knowledge; No punishment.
Respondent 2	Yes. "I believe that by doing this activity, we would be able to help everyone get back into normal life."	No material incentives; Solidarity; Improve knowledge; No punishment.
Respondent 3	Yes. "Our organization wants to give a contribution to the society"	No material incentives; Recognition from the citizen; Solidarity; Improve knowledge; No punishment.
Respondent 4	Yes. "I feel sad looking at our society facing these problems... I see that the government is also facing a lack of capacity to deliver assistance."	No material incentives; Recognition from the government; Improve knowledge; No punishment.
Respondent 5	Yes. "I am meant to help the community. I care about them."	No material incentives; Solidarity; Improve knowledge; No punishment.

Table 4.3.e. Non-Governmental Organizations Representatives assessment on micro-level factors.

The two micro-level factors of community-centered motivation and self-centered motivation influence the micro-level outcome which is salience. According to Van Eijk and Steen (2016), when individuals perceive the issue to be important to consider their engagement and calculating the benefits, and efforts they are more likely to judge the salience of co-production. The results (see table 4.3.f) shows that all the respondents perceive co-production as important. This is because all the respondents have indicated their community-centered and self-centered motivations.

Non-governmental organizations representatives	<i>Salience</i>
Respondent 1	Yes. “Depending on each individual, some people are meant to serve the community.”
Respondent 2	Yes. “Depending on each individual, but for me, it is important as I want to get back to normal life.”
Respondent 3	Yes. “Our organization is to help society and by doing this activity we want to show our contribution to society.”
Respondent 4	Yes. “Everyone needs to solve COVID-19 together. I am meant to solve this.”
Respondent 5	Yes. “We need social innovation to create new strategies to solve the COVID-19 problem.”

Table 4.3.f. Non-Governmental Organizations Representatives assessment on the micro-level outcome.

Discussion: For the citizens’ micro-level factors, the community-centered and self-centered influence micro-level outcome which is salience. The results show that community-centered motivation is an important micro factor for individuals to perceive the salience of co-production. This aligned with Van Eijk and Steen’s (2016) argument in which individuals with higher community-centered increase the likelihood to engage in co-production. On the other hand, perceiving the salience of co-production also needs the presence of self-centered motivation. This is because when individuals show their community-centered motivation as well as calculating the benefits or effort that reflect as self-centered motivation, they are more likely to perceive co-production as salience (Van Eijk and Steen, 2016). The results show that some elements of self-centered motivations in the present literature does not always fit into the context of COVID-19 in Indonesia. This thesis supposed the term of material incentives as part of the self-centered motivation not only limited to money but also services and good (Van Eijk and Steen, 2016). However, when respondents were asked about material incentives they explained they did not receive money. This implies that citizens doing co-production is not solely because of the presence of monetary rewards, and thus Alfrod and Freijser (2018) argument regarding eliciting behavior through monetary rewards does not fit into this context. Further, self-centered motivation may also include the extrinsic reward which has not been captured in the literature. The extrinsic reward

relates to recognition from the citizens and the government. Although some self-centered motivations have been indicated, to what extent those self-centered motivations influence the salience has not been conclusive yet. This is because the fact that involving the context of the Corona crisis seems that all the respondent emphasize their community-centered motivation rather than self-centered motivations.

The Government factors: First, public service motivations (PSM), the results are aligned with Brewer's (2012) PSM concept (see table 4.3.g). All the local parliament representatives show their commitment to the public interest and common goods through involving the term of self-sacrifice and loyalty to the duty. For example, respondents 3 and 5 emphasize their duty as the local parliament who represents the citizens. Respondents 1,2, and 4 express their awareness that the COVID-19 pandemic has to be solved by everyone. Second, the presence of clear incentives. All the local parliament representatives mention the incentives by engaging in co-production. The incentives include the effectiveness of public service delivery, citizens' satisfaction, self-satisfaction, and public budget. All respondents agree that involving citizens will increase the effectiveness of public service delivery service. Next, four respondents added that co-production also increases citizens' satisfaction. For example, respondents 3 and 5 mentioned the current data regarding citizens' satisfaction toward the COVID-19 response is high (respondent 3: "*above 80%*"). Then, three respondents express their self-satisfaction such as they are happy that the citizens willing to implement their programs. Lastly, two respondents indicated the public budget benefits by involving the citizens. For example, respondent 2 explained in the context of COVID-19 when the government can make the citizens aware of the problems caused by the COVID-19, he believed that the government do not need to waste more public budget such as providing more hospital accommodation. Moreover, he also adds that when more citizens engage in co-production and using their resources (time and money), it will help the public budget as well.

Local Parliament Representatives	<i>Public Service Motivation (PSM)</i>	<i>Incentives</i>
Respondent 1	Yes. "Social innovation is good for the citizens themselves."	Self-satisfaction; Effectiveness of public service delivery; Citizen satisfaction; Public budget.
Respondent 2	Yes. "We need to involve citizens because they know the best solution for their problem."	Public budget; Effectiveness of public service delivery; Citizen satisfaction.
Respondent 3	Yes. "It is my job as the citizens' representatives, as Surabaya citizens I care about Surabaya's people."	Self-satisfaction; Effectiveness of public service delivery; Citizen satisfaction.
Respondent 4	Yes. "I am aware that this pandemic impacts everyone, thus I need to work with everyone to solve the problem."	Self-satisfaction; Effectiveness of public service delivery.
Respondent 5	Yes. "I am the local parliament. My job is to help the citizens."	Effectiveness of public service delivery; Citizen satisfaction.

Table 4.3.g. Local Parliament Representatives assessment on micro-level factors.

The two micro-level factors of public service motivation (PSM) and incentives influence the micro-level outcome which is salience. Table 4.3.h shows that all the local parliament representatives perceived co-production as important. This means that when the local parliament representatives state their public service motivation (PSM) and incentives clearly, they are more likely to perceive co-production salience.

Local Parliament Representatives	<i>Saliency</i>
Respondent 1	Yes. “The government cannot solve problems by themselves, we need the citizens because they are the actual leader of this country.”
Respondent 2	Yes. “Since the impact of COVID-19 is very huge in our society, we support citizens to do social innovation activities.”
Respondent 3	Yes. “I think it is important if the citizens and government can work together to solve the COVID-19 problem. Because without citizens participation the government would not be able to solve the problem by themselves.”
Respondent 4	Yes. “It is important for everyone to do something for the society. We also do our job to serve the society through distributing goods during the COVID-19 pandemic.”
Respondent 5	Yes. “I give all my salary to help the government solve the COVID-19 problem. I am aware that we need the citizens to participate to solve the COVID-19 together.”

Table 4.3.h. Local Parliament Representatives assessment on the micro-level outcome.

Discussion: For the government micro-level factors, public service motivation (PSM) and the presence of clear incentives influence the micro-level outcome. The results also aligned with Van Eijk and Steen’s (2016) argument regarding saliency. It shows when the local parliament representatives show their public service motivation (PSM) and indicate clear incentives they are more likely to perceive co-production as important.

(3) Transformation mechanism

In this thesis, the emergence of social innovation depends on the success of the transformation mechanism of co-production. The transformation mechanism must follow these two conditions which are (1) the government opens the opportunity and support for citizens to co-produce and (2) a sufficient number of citizens decide to engage in the co-production process. The overall results show that these two conditions have been fulfilled.

The government: The government open opportunity and support the citizens to co-produce, this could be analyzed based on the factors found at the macro-level and micro-level. First, all the local parliament representatives open the opportunity for the citizens to co-produce because they are aware that the COVID-19 pandemic could not be solved by the government themselves, and thus they need citizens' participation (*as a partner*) to solve the problem together. Second, all the local parliament representatives believe that they accommodate citizens with adequate communication infrastructure to educate the citizens. This empowers the citizens by acknowledging their competency in delivering a public service. Third, all the local parliament representatives have shown their public service motivation (PSM) in which they are willing to support and help the citizens in the co-production process. Fourth, all the local parliament representatives are also able to mention the incentives they will receive through engaging citizens in the co-production. Those all four factors define the success of co-production which results in the emergence of social innovation.

The citizens: To obtain a sufficient number of citizens who decide to engage in the co-production process, the factors at the macro-level and micro-level need to be assessed. First, all the non-governmental organizations' representatives have indicated the importance of social connectedness to influence their micro-level conditions of internal efficacy, external efficacy, and trust. The results show that individuals who are bound in several communities or one big organization are more likely to perceive their internal efficacy, external efficacy, and trust. Second, the results of socioeconomic conditions are not conclusive yet. It is argued that individual education has internal efficacy (Voorberg, et al., 2015; Van Eijk and Steen, 2016). However, in this case, education is not only the factor that influences the internal efficacy rather all the non-governmental organizations' representatives emphasize the presence of social connectedness. This means socioeconomic factors in terms of internal efficacy seems not to be significant when taking into account the social connectedness. Third, all the non-governmental organizations' representatives have shown their community-centered motivation. Fourth, all the non-governmental organizations' representatives explain self-centered motivation. Two of the respondents also mentioned the external reward that they want to receive by engaging in co-production. However, some of the self-centered motivations have not been clearly explained which is not sufficient to claim its significance. When citizens can positively validate the factors, they are more likely to engage in

co-production. This condition indicates successful co-production and later results in the emergence of social innovation.

Discussion: There are problems in the transformation mechanism of co-production from the literature that might be fit or not be fit with the present results. First, regarding the government responsiveness (Van Eijk and Steen, 2016). The result implies that in terms of external efficacy, the majority of non-governmental organizations representatives' perceive that the government as responsive to solve the COVID-19 problem. The external efficacy is related to the individuals' social-connectedness which individuals who are bound in several organizations or a well-known organization tend to perceive their external efficacy or the government is responsive. However, the results also show that one non-governmental organization representative who belongs to newly established organization tend to perceive their external efficacy negatively or the government not being responsive. This might discourage individuals' preference whether or not to engage in social innovation. Furthermore, to the extent government is responsive to solve the COVID-19 pandemic is also being justified by the local parliament representatives. All the local parliament representatives argue that they have adequate communication infrastructure to communicate with the citizens. It means that in the context of COVID-19 in Indonesia it seems there is no problem regarding the government responsiveness.

Second, concerning the benefit of the service for the citizens (Van Eijk and Steen, 2016). The result shows there is a tendency that citizens are more likely to withdraw from the co-production process when they do not receive the benefit anymore. For instance, two non-governmental organizations' representatives mentioned the external rewards of recognition. This means when they do not get the recognition it might discourage them to follow the co-production process. Third, the "*dark side*" of social innovation is often associated with its short life span (Brandsen et al., 2018). The social innovation during COVID-19 seems to have a short lifespan. This is because in December 2020, the COVID-19 vaccine has been found and perhaps the problems of COVID-19 will also decrease gradually. Despite this, a short lifespan of social innovation affects the thesis's general findings for its reliability and validity. A short lifespan of social innovation implies the inconsistency of the project. It later influence the validity of the findings when replicate similar study in a different context.

4. Conclusion

5.1. Answer the main question

This thesis aims to answer the question of “*Which factors explain the emergence of social innovation projects in Surabaya during the corona crisis, more in particular how did different actors react toward the observed project.*” All the factors found in the literature were addressed through the semi-structured interviews. However, the results show that not all the factors provide conclusive explanations to the extent that it influences or contributes to the emergence of social innovation in the context of Surabaya during the corona crisis. This subsection will conclude the semi-structured interview results of (1) factors explaining the emergence of social innovation projects in Surabaya during the corona crisis and (2) different actors' reactions toward the observed project.

5.1.1. Factors explaining the emergence of social innovation in Surabaya during the corona crisis

In this thesis, there are two different sets of factors explaining the emergence of social innovation which are citizens factors and government factors. This is because the emergence of social innovation involves the interaction between citizens and the government. For the citizens' factors, (see figure 5.1) data were gathered from five non-governmental organizations' representatives. Meanwhile, for the government factors (see figure 5.2) data were gathered from five local parliament representatives.

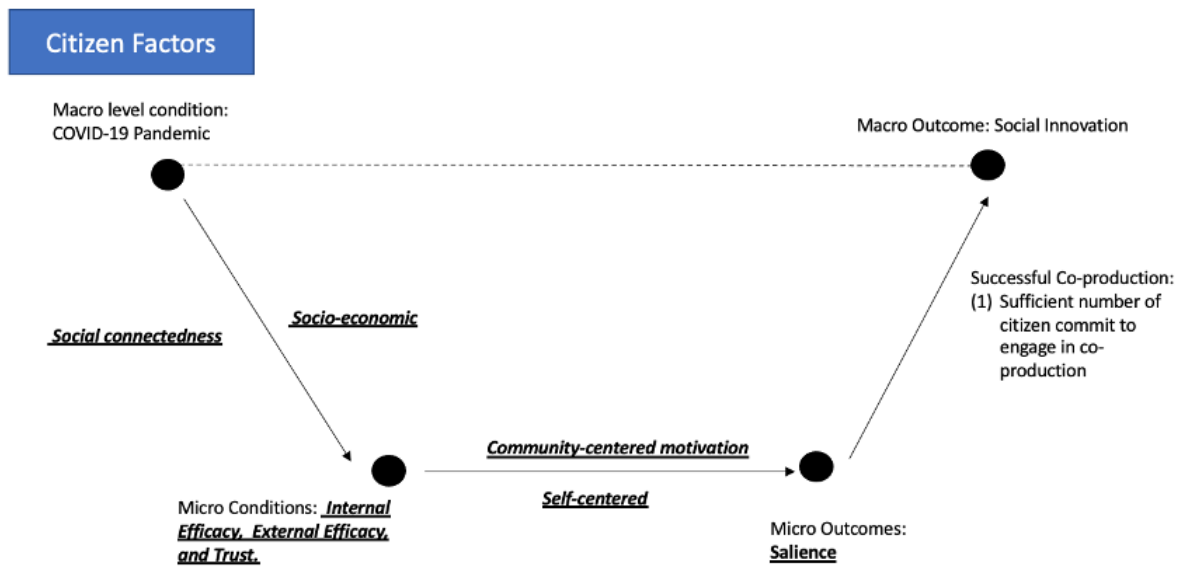


Figure 5.1. The macro-micro-macro model of citizen factors.

Citizens factors: First, situational mechanisms connect the macro-level condition into micro-level conditions. The macro-level condition in this thesis is the COVID-19 pandemic in Indonesia that leads to certain societal problems such as health and economic issues. To arrive at the micro-level condition, the macro condition must be supported by two factors which are social connectedness and socio-economic conditions.

- **Social Connectedness:** The results show there is a significant relationship between social connectedness and the micro-level condition of internal efficacy, external efficacy, and trust. It is sufficient to conclude that individual(s) who are bound in several communities or well-known organizations are more likely to perceive their internal efficacy, external efficacy, and trust. This aligned with Van Eijk and Steen's (2016) argument in which individuals that bound in certain organizations influence their preference to engage in co-production.
- **Socio-economic:** The results show that socio-economic factors also include the dimension of experience that individuals have. This dimension of experience has not been captured in the present literature and thus might be useful for future research consideration. However,

the overall results of socio-economic factors are not conclusive yet. For example, the results only support Voorberg et al., (2015) argument that individuals with higher levels of education and experiences are more likely to perceive their internal efficacy (competency). Meanwhile, the results for other socio-economic factors such as level of income and neighborhood conditions do not show any evidence to the extent of its influence on the micro-conditions. Thus, it is difficult to draw concurrent conclusions on the relationship between socio-economic factors and micro-level conditions.

Second, action forming mechanisms connect the micro-level condition into micro-level outcomes. The micro-level conditions are internal efficacy, external efficacy, and trust. To arrive at the micro-level outcome these conditions must be influenced by two factors which are community-centered motivation and self-centered motivation. This is because individuals will perceive the salience of engaging in co-production when they can explain the meaning of engagement which is based on the community-centered motivation and calculating the benefits of their efforts which is expressed through their self-centered motivation (Van Eijk and Steen, 2016).

- **Community-centered Motivation:** The results imply Van Eijk and Steen's (2016) argument in which all respondents have shown higher community-centered motivation results in the likelihood to engage in co-production. All respondents' community-centered motivation was based on affective motives (Brewer, 2012) which encompassed the feeling of empathy, sympathy, and compassion. This is because of the context of this thesis involving the Corona crisis which impacted everyone's life.
- **Self-centered Motivations:** All respondents addressed their self-centered motivations. All respondents' self-centered motivations did not include the presence of material incentives in terms of money. This implies that citizens are taking part in co-production, not because monetary rewards, and thus Alfrod and Freijser's (2018) argument regarding eliciting behavior through monetary rewards does not fit into this context. Furthermore, the results show that self-centered motivation may also include the new element of extrinsic rewards such as recognition from the government and citizens. This element has been indicated by two of the respondents and has not been captured in the present literature. Meanwhile, the most common variables of self-centered motivation that have been observed in the semi-

structured interview results are knowledge and solidarity. Despite this, the results also show the relationship between the overlapping factors of community-centered motivation and self-centered motivations. The relationships could be understood as when an individual(s) emphasizes community-centered motivation they are more likely to include a sense of solidarity and neglect the presence of material incentives in terms of receiving money.

Third, transformation mechanisms connect the micro-level outcome to the macro-level outcome. In this thesis, the transformation mechanism is understood as the successful co-production in which a sufficient number of citizens commits to engaging in the co-production process and thus resulting in social innovation. The results allow us to validate the factors that influence citizens' engagement. It is sufficient to conclude that when individuals can positively explain all the indicated factors from the literature, they have a higher chance to engage and contribute to the success of co-production.

However, some citizen factors might discourage the emergence of social innovation found in the previous literature that is being justified in semi-structured results. For example, concerning the government responsiveness which often individuals perceive the government as not being responsive during the social innovation process (Van Eijk and Steen, 2016). This is related to the “*dark side*” of social innovation in which not responsiveness makes the government seen as “*dumping*” their responsibilities to the citizen (Brandsen et al., 2016). The results show that individuals' perception of government responsiveness (external efficacy) is related to their social connectedness. When individuals do not belong to several organizations or one well-known organization they have the tendency to perceive external efficacy negatively or the government not being responsive. This will influence individuals' preference whether or not to engage in co-production. Another example is concerning extrinsic rewards. The extrinsic reward might justify Brandsen et al., (2016) in which related to individuals controversial interests. The results of the semi-structured interview show that two of the non-governmental organizations' representatives have indicated their extrinsic rewards in terms of recognition. This means perhaps if they do not receive the recognition it might discourage them to engage in co-production.

Government Factors

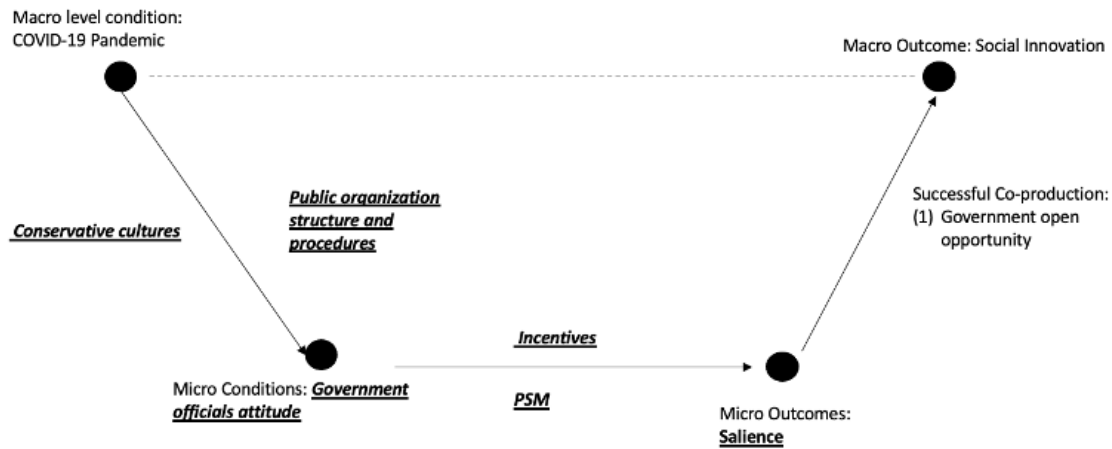


Figure 5.2 The macro-micro-macro model of government factors.

Government factors: First, situational mechanisms connect the macro-level conditions of the COVID-19 pandemic into micro-level conditions. To arrive at the micro-level condition of government official attitude, the macro condition must be supported by two factors which are conservative culture and public organization structure and procedures.

- **Conservative culture:** The results show that all local parliament representatives see the citizens as a partner rather than just ordinary service users. This is because, in the context of the COVID-19 pandemic, the local parliament representatives are aware that problems could not be solved by the government themselves. This leads them to encourage citizens to participate in solving COVID-19 together. Thus, the result sufficiently supports the argument in which when the government officials see the citizens as a partner rather than just ordinary service users (Voorberg et al., 2015), they are more likely to have a positive attitude to see the citizens competency.
- **Public organization structure and procedures:** The results show that all the local parliament representatives argue that they already have adequate public organization structure and

procedure to educate and communicate with the citizens. This will shapes their attitude at the micro-level in which they positively believe in the citizens' competency. The relationship can be seen as the presence of adequate organizational structure and procedure to educate and communicate with the citizens, which will improve citizens' competency. In addition, the results also imply that Voorberg et al., (2015) argument regarding the governments' unwillingness to support the co-production because they perceive unreliable citizens' competency in delivering public service, does not fit into this context.

Second, action forming mechanisms connect the micro-level condition into micro-level outcomes. The micro-level condition is government officials' attitude that refers to the extent the government officials believe in the citizens' competency. To arrive at the micro-level outcome these conditions must be influenced by two factors which are public service motivation (PSM) and incentives. When the government officials can state their public service motivation (PSM) and incentives clearly, they more likely perceive the salience of co-production.

- **Public Service Motivation (PSM):** All local parliament representatives explain their commitment to public interest and common goods. Their commitment involves the term of self-sacrifice and loyalty to the duty to serve the citizens which is reflected in the Brewer's (2012) concept of PSM.
- **Incentives:** All the local parliament representatives mention clear incentives through engaging in co-production. The new variable of incentives that have been observed through the semi-structured interview results is self-satisfaction. This self-satisfaction encompasses the term of intrinsic reward in the public service motivation (PSM) concept, in which the local parliament representative feels good that their program is being carried or implemented by the citizens. However, since only two out of five representatives stated about self-satisfaction, it is still not sufficient to conclude that their PSM is founded based on the intrinsic rewards. Other incentives that is indicated by Voorberg et al., (2015) including the effectiveness of public service delivery, citizens' satisfaction, and public budget beneficiary also has been observed.

Third, transformation mechanisms connect the micro-level outcome to the macro-level outcome. In this thesis, the transformation mechanism is understood as the successful co-production in which the government opens the opportunity for the citizens to engage in co-production and resulting in social innovations. The semi-structured interview results imply that all the local parliament representatives can indicate the factors found in the literature in a positive way. This means increasing the chance for co-production to be successful and thus in the long-term result in the emergence of social innovation.

Nevertheless, the social innovation problem is often criticized because of the short life span of the project (Brandsen et al., 2018). In this thesis, the short life span of social innovation projects can be understood as it involves the situation of the COVID-19 crisis. As per December 2020, the COVID-19 vaccine has been found and perhaps the problems of COVID-19 will also decrease gradually and thus the social innovation will disappear. Also, a short lifespan reduces the reliability and validity of this thesis. A short lifespan implies the inconsistency of social innovation project. It will later influences the validity of the thesis's when replicates a similar study in a different context.

5.1.2. Different actors' reaction

The semi-structured results show that the majority (*nine out of ten*) of respondents both local parliament representatives and non-governmental organizations representatives react to the observed social innovation project positively. First, all the local parliament representatives respond to the observed social innovation projects positively. This is because they have observed citizens' effort to participate in the social innovation project to solve the COVID-19 problem together with the government. Second, four of the non-governmental organizations' representatives respond positively to the observed social innovation project in Surabaya. The positive response in this context means that they are aware that the COVID-19 could not be solved by the governments themselves and thus they need to take action together to solve the problems caused by COVID-19. Meanwhile, there is one non-governmental organizations' representative that has a neutral reaction. He was expecting that the government could be more responsible because they have more capacity to solve the problem caused by the COVID-19.

5.2. Limitations of the study and future research suggestion

There are some limitations and future research suggestions found in this present thesis. First, the concept of social innovation developed in the western setting. Furthermore, the concept still being subject to debate in which involving many perspectives from different fields of study. These will be challenged for other researchers to apply the social innovation concept to countries outside the western world and obtain a similar understanding. For example, this present thesis is intensively employed the social innovation concept from a public administrative perspective and applied it in the Indonesian setting during the Corona crisis. These will be a future research suggestion to validate whether the same answers will be derived when using social innovation concepts from different perspectives and settings.

Second, the explanation of social innovation emergence is only limited to the factors developed in the western setting literature. Some indicators or elements of the factors might have a different meaning when applying in Indonesian settings. For example, when asking about the presence of material incentives as the indicator of the self-interest factor. The results show that all the non-governmental organizations' representatives refer to material incentives as monetary rewards. However, in prior literature material incentives are not only limited to monetary rewards but also include the terms of receiving goods and services. Another example is when asking about the level of education as an indicator of the socio-economic factor. Two of the non-governmental organizations' representatives refer to education as volunteer experiences, because they are more confident about their volunteer experiences rather than their level of education. This shows that there is a new indicator of socio-economic factors that need further investigating. For example, to the extent volunteer experience influences individual preference to engage in social innovation. This can also be useful for future research in similar settings of crisis or countries that have a similar development level as Indonesia.

Third, there is a need for better research methodology. In this thesis, the qualitative methods of the semi-structured interview have two limitations. (1) It limits the development of other new possible factors and indicators of a factor. The reason for choosing this method is to limit the scope of the study, as it only focused on the questions that want to be addressed. However, it hinders the researcher from finding out other new possible factors and indicators of a factor. For example, the

results show that individual volunteer experience is a new indicator of the socioeconomic factor. Perhaps the level of experience is more relevant in explaining the socioeconomic factors in the context of Surabaya rather than other socioeconomic indicators found in prior literature. (2) The significant relationship between factors would be better to explain using statistical analysis. For example, in the transformation mechanism of citizens factor. Social innovation may emerge when there is a significant number of citizens commits to engage in co-production. By using the qualitative method, it is difficult to determine the significant number of citizens. For future research suggestions, the author proposed a mixed-method of focus group discussion and survey. The reason why choosing a focus group discussion is that it allows the researcher to explore new other possible factors. Meanwhile, the survey method allows the researcher to validate the relationship between factors using statistical analysis.

Fourth, the small number of local parliament and non-governmental organizations samples. Interviewing only five representatives from each group might not be sufficient enough to represent them and expect variations of the answers. This is because three local parliament representatives were from the same political party which makes their answers similar to each other. Fifth, practical implications of the external environment such as cultural factors and crises. It has been observed that four local parliament representatives mentioned the culture of “*gotong royong*” which emphasizes the importance of helping each other in difficult situations. This makes it difficult to measure the initial factors because the cultural value may imply individuals' reason to engage in co-production. Besides, involving the COVID-19 crisis results in higher public service motivation (PSM) which includes feelings of empathy, sympathy, and compassion. These practical implications might be useful for future research consideration when replicating this study in another context.

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Appendices

Appendix A. Interview questions

Introduction

**Informing the purpose of the study and the consent*

- In two to three sentences, can you please explain the impact of the corona pandemic on our societies?
- Have you ever heard about the term social innovation? (*If the answer is “yes”, directly move to the next question. If the answer is “no”, the interviewers will explain the meaning of social innovation)

Block 1- addressing third sub-question

- How do you describe the meaning of social innovation in Surabaya?
- How do you respond or react to the observed social innovation project?
- To what extent do you think that the government reflects as initiator, coordinator, and facilitator in the social innovation process? (**question for the non-governmental organization representatives*)
- To what extent do you think that citizens are willing to implement and give input to the government program? (**question for the government representatives*)

Block 2- addressing the fourth sub-question

Citizen factors (question only for the non-governmental organizations representatives)*

1. Do you belong to any other organizations? If so, can you describe it? And how about your colleague?
2. What is the highest degree or level of education that you have completed? And how about your colleague?
3. Can you range your current level of income? (*includes choices: ≤5 million IDR, ≤10 million IDR, ≤20 million IDR, and ≥ 20 million IDR)
4. Can you describe the current neighborhoods situations that you are currently living in? (e.g. describe the socio-economic situations) And how about your colleague?
5. Do you feel that you and your colleague have enough competency or knowledge on how to deliver public services effectively?
6. Do you feel that the government give your organization enough room for interaction or whether the interaction matters to improve public service delivery?
7. Do you consider that the government is responsive in accommodating you with certain feedback toward current public service that you are engage in?
8. In two or three sentences, what motivates to engage in social innovation?

9. Do you receive any material incentives by engaging in social innovation? (e.g. monetary, goods, services) And how about your colleague?
10. Do you feel a sense of solidarity through engaging in the social innovation process? If so, could you describe in what way? And how about your colleague?
11. Do you think that engaging in social innovation will improve your competency and knowledge? If so, could you describe in what way? And how about your colleague?
12. Do you get any punishments for not engaging in the social innovation process? And how about your colleague?
13. To what extent do you think it is important to engage in social innovation projects? And how about your colleague?

Government factors (* question only for the local parliament representatives)

1. To what extent do you consider citizen as a partner rather than just an ordinary service receiver?
2. To what extent do you consider that the organization structure and procedure have enough infrastructure to accommodate or communicate with citizens?
3. How do you think that citizens have enough competency or knowledge to engage in public service delivery?
4. In two or three sentences, what motivates you to engage or encourage social innovation project?
5. Can you mention what kind of benefits that will the government receive through engaging in social innovation project?
6. Do you think by involving citizens will increase the public service delivery performance?
7. How about the citizens satisfaction and public budgetary benefits?
8. To what extent do you think it is important to engage in social innovation projects?

Appendix B. Consent form

Procedures of the study:

- (1) For being able to participate in this study you must be either one of the representatives of non-governmental organizations and a member of local parliament in Surabaya. Also, holding Surabaya citizenship that includes working and living in Surabaya.
- (2) The results of the interview will be useful to validate the factors of the emergence of COVID-19 response activities and provide an evaluation for the municipality of Surabaya and many other municipalities in Indonesia to encourage better COVID-19 response activities.
- (3) The phone interview will only take place about 30 to 40 minutes. There will be 18 questions to answer for each representative of non-governmental organizations and 13 questions to answer for each member of the local parliament. All the answers will be recorded.
- (4) You have the right to skip the questions or withdraw from the interview. However, I really hope that you will be able to answer the question until the end of the interview.
- (5) After the interview, each participant will have the opportunity to give any comments or feedback about the process of interview. Also, have the right to review their interview result in the form of voice recording or transcript. All the data obtained from the interview will only be used for scientific purposes and your data will be handled confidentially.
- (6) Please do not hesitate to contact me on email or Whatsapp if you have any further questions. Email: yohannataliasimanjaya@student.utwente.nl ; Whatsapp: +31644029550

Consent form:

****Please read this carefully and if you agree to participate in the interview, you have to reply to this email by saying “yes”.***

- (1) I have read and understood the study information and procedures that will be followed in this interview. I have been able to ask questions about the study and my questions have been answered to my satisfaction
- (2) I consent voluntarily to be a participant in this study and understand that I can refuse to answer questions and I can withdraw from the study at any time, without giving any reason.
- (3) I understand that information I provide will be used for scientific research proposed and will be kept confidential.
- (4) I understand that personal information collected about me that can identify me such as my name or where I live, will not be shared beyond the study team.
- (5) I agree that my answers can be quoted in research outputs.

Note: If you have questions about your rights as a research participant, or wish to obtain information, ask questions, or discuss any concerns about this study with someone other than the researcher, please contact the Secretary of the Ethics Committee of the Faculty of Behavioural, Management and Social Sciences at the University of Twente by ethicscommittee-bms@utwente.nl

Appendix C. Summary of the semi-structured interview

Local parliament representatives	Conservative organizational cultures	Public organization structure and procedure	Government officials' attitude
Respondent 1	In the context of Covid pandemic citizens were seen as a partner and perhaps like a family. This has been stated in our ideology of Pancasila which reflected in our gotong royong culture.	Communicate by the online system. Online appointment to the hospital. Online system is good for physical distance.	At first, they don't have enough competency, especially delivering new types of services (technology related). As the time goes by, they will become aware to deliver the public service effectively. Also, with the help of civil servants they will have the competency needed.
Respondent 2	The fact that the government could not fully control the situation. Due to the lack of capacity of government, the citizens become independent to solve the national problem of Covid. The decreasing number of Covid cases in Surabaya is because the citizens are aware that they need to take certain action. All the activities carried out by the citizens are using their own budget, that is why the government sees them as partners rather than just ordinary service receivers.	I would say we have good structure in communicating with the citizens. We also have the RT/RW (community association within neighborhoods) system and many communities (e.g. karang taruna).	I believe that the citizens can solve their own problem and help the government. So the Covid context is very different because the citizens are helping the government. Because if they rely on the government their problem would not be solved quickly.
Respondent 3	We encourage the importance of citizens participation. We do have a program that allows them to express their opinion in regards to the new policy for the upcoming year. We use the top-down and bottom-up approach in accommodating the citizens' opinion.	I think many non-governmental organizations have their social media. Also, the government has provided access for communication for the citizens to express their opinions. We also have special call center 112 for the citizens to express their concerns. I think our structure and procedure is also transparent.	I think Surabaya citizens are educated enough. Every public service is always massively communicating to everyone. Also, some programs or activities are very well informed in every district office
Respondent 4	The key success to combat Covid is the joint responsibilities between the citizens and the government. In Surabaya, I see a lot of " <i>kampung tangguh</i> " programs have been implemented very well. Nowadays the citizens become more aware of the Covid, they wash their hands, wearing mouth caps.	We have very good infrastructure to communicate with citizens. We have the networks at every level to be able to communicate with the citizens (district, sub-district, RT, RW, non-governmental organizations).	I would say at first they are not qualified (around March). Around May, they start to understand as many of the Covid relate information (e.g. preventive action) being spread out through social media.
Respondent 5	Many neighborhoods still implement the "Wani Jogo Kampung" program. I see that they provide services such as building the wash hand stand in every	We provide many services for communicating with the citizens such as the call center, website page, whatsapp, they	I think we as the government officials already give enough education to the citizens on how to prevent and handle

	neighborhood so that whoever passes by can wash their hand before entering their neighborhoods and check the temperature of everyone coming into the neighborhoods. They really help the local government.	can also communicate with the leader of the neighborhood community. I think our communication infrastructure is good enough.	the Covid. We help each other (the government and citizens) to tackle Covid.
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Table a. Local parliament representative: Conservative organizational cultures; Public organization structure and procedures; Government officials' attitude. (Block 2-Government's factors, Q1-3).

Non-governmental organizations representatives	Internal Efficacy	External Efficacy	Trust
Respondent 1	I have a lot of communities in which I believe that many people from different backgrounds carry unique competencies.	I think we have a good room for interaction in Indonesia, everyone can express their opinion about the government.	I think the government is very responsive.
Respondent 2	Regarding the Covid information itself we don't know in detail, but we follow the instruction from the government to help the community in wearing mouth caps (educating using mouth cap).	I think it is very important to have room for interaction because the government will not be able to solve the problem without our help. I think our government is sufficiently interact with us	The local government very responsive
Respondent 3	We come from many backgrounds (faculties), social politics, health, economic, law. We collaborate very well with each other.	I would say the room of interaction is good.	The government response is positive. Yesterday, we were given the information about the logistic of medical equipment to several hospitals
Respondent 4	I think yes, because my organization members are very diverse and some are having good socioeconomic backgrounds.	Yes, because we have been certified by the government. I believe that when we do something for society the government will notice us immediately.	I know some civil servants very well. They are very responsive to help our organization.
Respondent 5	Yes, our organization is focused on doing good for the society and we are willing to help the society. The willingness to help the society was developed based on our roles as good citizens.	We have the room of interaction. But it does not mean we can easily get government assistance, they need verification that needs time. We don't have any government assistance until today	Yes. They think our organization is not being certified yet so in the future I believe they can be more responsive to us. We just started one year, so I think it is a new organization.

Table b. Non-governmental organizations representatives: Internal efficacy; External efficacy; Trust. (Block 2-Citizen's factors, Q5-7).

Non-governmental organizations representatives	Community-centered motivation	Local parliament representatives	Public service motivation (PSM)
Respondent 1	I believe there are some people that meant to serve the community. I believe that I was born to serve the community to help the people. Since I was young I have actively participated in volunteer activities.	Respondent 1	Social innovation is a good idea for the citizens themselves because it is good for the welfare of the citizens.
Respondent 2	Because we were disappointed by the economic conditions so we want our life to be normalized as soon as possible and by educating and distributing goods we can at least help to normalize the conditions.	Respondent 2	We encourage citizens' roles and I think that is a good idea. So when the citizens are able to solve their own problem our work becomes easier. Therefore, the government can focus on doing other stuff that the ordinary citizens are not able to do such as safety issues.
Respondent 3	We want to give a contribution to the citizens. So that the citizens may recognize our organization. We want to educate citizens about health protocols. Also fulfilling the lack of capacity of government in educating its citizens	Respondent 3	(1) it's part of my roles as the local parliament (representatives of citizens) (2) as the Surabaya citizens who love my city (sense of belonging) (3) feeling of caring
Respondent 4	I feel sad to see our society facing this kind problem. I always told my friends that they are our family and Indonesia is our nation. We should do something. I see that the government does not have the capacity to take care of the disadvantage group. In fact, many disadvantaged groups still do not have access to government assistance.	Respondent 4	I am aware that this pandemic impacts everyone. Me and my social network, and all the citizens in Surabaya try to solve the COVID problem together. We distribute food, mouth caps, hand sanitizer.
Respondent 5	Because I am meant to be here to help the society, feeling care to others, and sacrifice myself to serve the community	Respondent 5	As the local parliament, I should help the citizens to solve the COVID problem. I actively engage in disinfecting several public places, distributing around 5000 packages daily necessities, food, mouth caps, hand wash, and hand sanitizer to the citizens who are affected by the COVID. I also educate low-middle enterprises to survive during the COVID pandemic.

Table c. Non-governmental organizations and local parliament representatives: Community-centered and public service motivation (PSM) (Block 2-Citizen's factors, Q8; Block 2-Government's factors, Q4).

Non-governmental organizations representatives	Self-centered	Local parliament representatives	Incentives
Respondent 1	I don't get any incentives; I would say in this context it is not about solidarity but more like our responsibility together to solve the problem; of course, because we get a lot of useful information and we learn and help from each other; no punishment.	Respondent 1	The government is feeling satisfied because the program is being adopted by the citizen. Also, citizens participation makes the public service delivery being more effective. Citizens are also satisfied because the government provides the service that they need. Social innovation that is being carried in Surabaya is very beneficial for the public budget because if the government only relies on the public budget is not enough to solve the COVID. The citizens' voluntarily helping each other to solve the impact of COVID-19 is very good. What they did is very helpful for the government and we also provide the transparent system so that they can check and control whoever donate.
Respondent 2	no material incentives and we don't even ask for any material incentives (money); Yes, I feel solidarity. Because we have many friends across the community with similar vision and mission in life.; I hope I can increase my competency through engaging in related service.; no punishment, it is more like I have to do it.	Respondent 2	I think the government no longer enforces a significant amount of budget because the citizens use their own budget. I think the government ran out of the budget. In fact, citizen awareness benefits the government. So the government needs to make the citizens aware through education. In the COVID context the government needs to understand that the citizens are able to solve their own problems. I have not checked surveys regarding citizens satisfaction. I observed that they seem to enjoy doing this activity "gotong royong", and this became the model that we adopted for solving problems.
Respondent 3	no material incentives; Feeling solidarity, we can meet and help each other.; We understand so much information from the news, literature and through the interaction with the citizens. I believe we can improve our hard and soft skills; no punishment, our initiative.	Respondent 3	Awareness from the citizens that they start to have a healthy lifestyle and when the number of COVID affected people decrease further action will not necessarily be needed. Yes, during the COVID pandemic period we will do anything to help the society. We also allocate the public budget for the health sector for the citizens. Citizens satisfaction in Surabaya is very high above 80%. I think for the public budget we managed very well, everything was allocated to several important sectors. I know that to be involved in these activities is part of the citizens' initiative, but the government also has allocated a huge public budget to solve the COVID problem.
Respondent 4	no, I never work based on the incentives. I work based on my own empathy to solve the problem; we have a certified organization and the government knows what we do for the society; Yes, I think we can exchange information with people	Respondent 4	I think the government will benefit from these activities. We need the citizens to participate to solve the coronavirus. We see that joint responsibilities between the government and citizens is very good, Surabaya nowadays turns into a green zone (the COVID case decreasing). I see some people not really satisfied, especially those who don't get the

	from different backgrounds; No punishment.		access to the government assistance. But we want to educate them to be aware that the government has limited resources. Because we have a public budget limitation. I believe that the government alone could not solve this problem.
Respondent 5	No, we don't have, we do our work not depend on incentives; yes (feeling solidarity), because we share the same vision and mission in our organization; we will receive more competency. Also, increase network and friends, and explore new opportunities while serving the society; no punishment.	Respondent 5	I think it is very important for citizens to actively engage in solving the COVID problem. When they are not willing to solve the COVID problem (Not comply with the health protocol), the problems are becoming complicated. However, when the citizens are aware, they start to help the government to solve the COVID problem. Without the help of citizens we cannot do anything. The fact that we have limited resources for medical workers, we need citizens to cooperate with the situations. After the citizens are aware, they start to support the government. Until today the survey regarding citizens satisfaction toward the government response during COVID is very high. This shows that our government's actions to solve the COVID problem are good. Regarding the public budget, all the budget currently being allocated to solve the COVID problem.

Table d. Non-governmental organizations and local parliament representatives: Self-centered and incentives. (Block 2-Citizen's factors, Q9-12; Block 2-Government's factors, Q5-7).

Non-governmental organizations representatives	Salience	Local parliament representatives	Salience
Respondent 1	I would say it depends on each person. First, some people are meant to serve the community. If they do not have this they will not be willing to help others. Second, is whether you are well-known or not. Even though they really want to, they do not have access to the government or community.	Respondent 1	The government could not govern their own countries. Every problem faced in a country should be solved together. In fact, the leaders of this country are the citizens.
Respondent 2	Depend on each person. I think it is important because I want to have a normal life as before the COVID pandemic.	Respondent 2	Not only in terms of COVID , but I always support citizens to do innovation especially in this digital era. Because I observed many people still not being aware of the use of technology. Maybe through Whatsapp they can engage in educating each other. I think innovation is very important because the impact of the COVID pandemic is very huge, such as in economic aspects.
Respondent 3	We don't want to just meet each other (in organization) but we want to contribute something for the society. I hope when the COVID gone, what we did can still be remembered by Surabaya citizens.	Respondent 3	I think it is very important we work together with the citizens. Their participation is really important for us to solve the COVID problem. Everyone has to be "gotong royong". We have to understand our roles and responsibilities as the government and citizen. I would say without the public participation we would not be able to solve the COVID problem.
Respondent 4	I think during this pandemic everyone has to solve the social problem together. We need to put our thoughts together to find the solutions. Because if this pandemic continues, every aspect of our life impacted, such as economic, education, health. I know that the disadvantaged group somehow neglect the health protocol because they need money for living. I think social innovation is really important. I personally feel that I was meant to do this.	Respondent 4	Very important, because rather than just stay at their house and do nothing, everyone better to do something to solve the COVID pandemic.
Respondent 5	Very important, I emphasize on the term of innovation which means to create new strategies and the social is for the society. Also, inclusiveness is also the important point of social innovation.	Respondent 5	Very important, I give all my salary (including take home pay) to help to solve the COVID problem. We also donate using our money to support the low-middle enterprises and distributing daily necessities food. I am aware that this pandemic should be solved together with the citizens.

Table e. Non-governmental organizations and local parliament representatives: Salience (Block 2-Citizen's factors, Q13; Block 2-Government's factors, Q8).