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Analyzing Impact of Grass Root ODA Program on Community  
Capacity Development towards Sustainability

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## **APPROVAL**

The thesis attached hereto entitled “Analyzing Impact of Grass Root ODA program on Community Capacity Development towards Sustainability” prepared and submitted by Kurnia Aliyanti in partial fulfillment of the requirements for the degree of Master of Sustainability Science is hereby accepted.

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## **ACRONYMS**

CEP -	Community Empowerment Program
DAC -	Development Assistance Committee
JICA -	Japan International Cooperation Agency
LDP -	Local Development Program
MGD -	Millennium Development Goal
NGO -	Non-Governmental Organization
ODA -	Official development assistance
OECD -	Organization for Economic Cooperation and Development
OEEC -	Organization for European Economic Co-operation
UN -	United Nation
USAID -	United States Agency for International Development

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## ABSTRACT

Capacity development has become a serious concern among donor agencies. It has been considered as the missing link in development, as one of important objective of aid and pre-condition to achieve sustainable development. It has the old and purest objectives of aid; to help developing countries make and carry out their own choices.

The concept of “capacity” has been a goal of international donor communities since 1960s. Renewed interest grew out of the experiences with structural adjustment programs in 1980s when it became clear that many developing countries did not have the management skills and organization resources required to implement complex adjustment programs. What make it worse is that the performance post program was also declining. In many evaluation report this capacity problem were identified as a major constrain to aid effectiveness.

Problems do not stop soon after the donor agencies embraced the concept of capacity development. Donor agencies tend to underestimate recipient countries by assuming that the capacity does not exist so it needs to be built from the scratch. Capacity is transferred directly from donor countries without considering local knowledge and existing capacity. This understanding is proven to be ineffective when it carried out in the development program.

From years of experiences, donor agencies have learnt that development driven or based on communities is the best way to carried out the concept. Focusing on the community wants and needs, making them subjects rather than object where they were figuring out how to use their own resources to achieve their own goal, are proven to be more effective approach rather than putting whole project package that planned by experts without local people consideration.

This research tried to analyze the impact of grass root ODA program in community capacity development towards sustainability. According to theory, such bottom up program should give positive impact in developing community capacity because they focus on developing what community already has to sustain the program result.

The research was accomplished using a qualitative case study approach. The selected case study is one of project under ODA program from Japan to Indonesia called Community Empowerment Program. The selected project under this program is “Community Empowerment Program based on Local Resources and Tacit Knowledge by Co-creating Technical Support”.

The principal data was collected through focus interview using Laverack (1999) nine domains community capacity matrix. The matrix is used as guideline to assess the change in community capacity before and after the project implementation. Additional methods of data collection were also used during data collection. These additional methods are in-depth individual interviews, observations, and document reviews.

The result showed that for both communities, the capacity was increased in some domains. Problem assessment capacities, link with others, and program management are those community capacity domains that increased during the CEP implementation for both communities. For Banyuripan community, aside from those domains, the improvement in community capacity domains were also noticed for organizational structure and resource mobilization domains. The same notion is also applied for Bogem community. Aside from the three domains, the improvement also noticed for others domain. Those domains are community participation and critical thinking domains.

Although the impact of the project to community capacity can be recognized through the change in the assessment, it is not wise to say that CEP project is the only factor that contributed to the community capacity development. From the study, it is safe to say that aside from the external factor (CEP project), the community capacity development also affected by internal factor of the communities. The internal factors that can be identified are the community organizing and the role of local agent.

Keywords: Official Development Assistance, Community Development, Community Capacity, Sustainability

# 1. INTRODUCTION

## 1.1 Research Background

It was like common consensus that world is divided into two major poles, south and north, rich and poor, advance and backward, high income and low income, industrial and agricultural, and the most popular term; developing and developed countries (Adams, 2002). What distinguished them are the one is doing much better than the other in term of wealth, economic measurement, technology, living standard, and many other things<sup>1</sup>. Since one is better than the other, it is only natural that the less one trying to be the better one. This changing process often defined as development<sup>2</sup>.

Many researchers have pointed out that one of the reasons that hamper the development is the lack of capital in the developing countries. As Ruttan (1996) pointed out, in most cases developing areas are lacked the physical and human capital to attract private investment which made foreign aid appeared as one alternative source of capital. The capital transfer or often be called as foreign aid (assistance) could be in form of knowledge, technology, technical assistance, financial, and other support needed by developing countries.

The effectiveness of foreign aid in aiding development has become heated dispute among researcher, politician, economist, and the involved stakeholders. Some insist that aid is a waste of resource and even harmful to aid receiving countries (Dichter, 2005). This group particularly points out African countries as examples and scores of failed projects to conclude that aid has been an outright disaster (Tarp, 2006). In opposition of this group is group that insists aid can help to promote growth. Stotsky and Wolde (1997) argued that aid flows increase the revenue effort of the recipient economy. Another group has been in the middle ground in this dispute, said that aid is not equally effective everywhere, and much remains to be learnt about how aid impact in theory and practice (Tarp, 2000). The focus should therefore be both in way and means to improve the effectiveness of foreign aid.

Many have been researching what can possibly make the aid more effective. Burnside and Dollar (2000) discussed about the role of good macroeconomic policies in aiding the effectiveness of foreign aid. Others point out about democracy, openness, recipient country

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<sup>1</sup> Many have used economic measurement to sort the countries into developing and developed groups. World Bank used gross national income (GNI) per capita criterion to classify the countries into groups (<http://data.worldbank.org/about/country-classifications>).

<sup>2</sup> Taken from Congressional Budget Office (CBO) study (1997); The Role of Foreign Aid in Development.

capability, etc. One concept that has been constantly used and believed that the lack of it does hamper the aid effectiveness and development is the lack human and institutional capacity to implement the development program (Bossuyt, 1994).

Bossuyt (1994) stated that:

“... many developing countries, particularly Africa, did not have the management skills and organizational resources required to implement complex adjustment programs. Worse still, the performance of their central bureaucracies was also declining. Within countries, non-state actors are increasingly participating in development programs, and capacity measures are required to help them assume their new roles. Problems of capacity also arose in the management of external assistance. In many evaluation reports, institutional factors were identified as a major constraint to aid effectiveness. All this led donor agencies to embrace capacity development as a prerequisite to achieving sustainable development impact.

Other studies that point out the importance of capacity development are Goodman et al. (1998), Victurine (2000), and Laverack (2003). They said that community capacity is a necessary condition for development programs. Capacity development has been the missing link the missing link in today's development. It was pre-condition to achieve sustainable development impacts. It also re-emphasizes an old objective of aid that is to help developing countries make and carry out their own choices (Bossuyt, 1994).

Although the donor has already realized and embraced such important concept of capacity development in the recipient countries, the implementation is not as smooth as the theories. The usual implementation by top-down approach such as training without considering the needs and local knowledge has been proven to be not effective. Thus this approach has long ceased to be popular (ECDPM, 2001).

Some study such as Fraser *et al.* (2005) and Chambers (1997) point out that bottom up approach is more effective to carry out capacity development in communities rather than the top down approach. According to Chambers (1997), bottom-up approach matches the wider recognition of the need for active community participation in development projects capable of sustainable environmental management. The active participation means that the community will have the sense of ownership. Thus they will engage in the development even after the program from the donor already completed. This active engagement will lead towards sustainability.

## 1.2 Research Objective and Research Question

The background explained in the section 1.1 has become the basis of this study. This research is aimed to analyze the impact of the grass root official development assistance (ODA) program as the example of bottom up development approach in the community capacity development towards sustainability. To conduct the impact analysis, a case study in Japanese ODA to Indonesia is selected.

The case study is assessed using Laverack's (1999) nine domain approach to measure the community capacity before and after the implementation of the program. This change in the community capacity is used to answer the research questions: "How does Grass-root ODA program affect community capacity development towards sustainability?"

## 1.3 Research Contribution

References to bottom-up participation in neighborhoods are extensive in community development and regeneration literature (Tiesdell and Allmendinger, 2001; Andrews et al., 2006; New Start, 2006a; RENEW Intelligence Report [online], 2006; Yarnitt, 2006). Yet, literature studying the processes, experience and implication of a bottom-up approach remains negligible (Kumar and Nunan, 2002), in part because of the nature of bottom-up processes, frequently characterized as informal and chaotic with learning rarely documented. This research tried to contribute in terms of giving the empirical study regarding to process and implication of bottom-up approach in community development.

The significance of this research also extended to the field study of community capacity development. By connecting the bottom-up approach in implementation of development program with community capacity development this research trying to see the impact and significance of the bottom-up development program in developing the community capacity towards sustainability. From the findings, it is hoped that this research can give contribution to the community capacity development concept and theories.

## 1.4 Literature Reviews

### 1.4.1 Foreign Aid and Development

Freely speaking, foreign aid covers the governmental transfers to poor countries that intended for developmental purpose. The more precise definition is provided by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD). According to DAC, the term of foreign aid or development assistance refers to financial flows that qualify as Official Development Assistance (ODA). ODA is defined as the sum of grants and loans to aid recipients that meet the following requirements; (1) undertaken by the official sector of the donor country; (2) with promotion of economic development and welfare in recipient countries as main objective; (3) at concessional financial terms, where the grant element is equal to at least 25 percents<sup>3</sup>.

Foreign aid and its modern form emerged out of the disruption that followed World War II. The international economic system had collapsed and the Europe faced a critical shortage of capital and acute need for physical reconstruction. The response was the European Recovery Program that commonly known as Marshall Plan. During this time, the U.S view of foreign aid as a foreign policy tool changed dramatically. Before the war, United States only devoted few resources to foreign aid and international institution. After war, U.S emerged as the world's strongest economic power. Thus during the peak years, the U.S transferred 2-3 percent of its national income to help Europe (Tarp, 2006). The motivation behind the generous aid was multifaceted, ranging from selfish to altruistic motives such as containing the communism around the Soviet bloc, trying to secure access to raw materials, gain a leading role in the international world, helped mobilize support from a wide spectrum of political opinion. The success of Marshall Plan that administered by Organization for European Economic Cooperation (OEEC), the predecessor of OECD has fueled the expectation about future effectiveness of aid.

After the success of the Marshal Plan, the attention of the developed countries then shifted to the developing countries which many have become independent around 1960s. During 1950s and 1960s, the key objective of the development is economic growth. In this period, it was widely believed that poverty and inequality would quickly be eliminated through economic

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<sup>3</sup> Conventionally, the market rate of interest rate used to assess a loan is taken as 10 percent. Thus while the grant element is nil for a loan carrying an interest 10 percent, it is 100 percent for a pure grant, and lies between these two limits for a soft loan. In calculating ODA, no adjustment is made to take account of the smaller grant element of loans. The value of grants and the nominal value of loans that qualify are simply added.

growth and modernization. This decade also marked the increasing bilateral flows to the developing nations. The main economic rationale of foreign aid in this decade was to provide the necessary capital resource transfer to allow the developing countries to achieve high enough savings rate to propel them into self-sustained growth (Thorbecke, 2000).

In the 1970s, the multilateralism of aid became somewhat more pronounced when the United Nation, World Bank, and other multilateral agencies expanded their activities quite considerably. In this decade there was increased focus on employment, income distribution, and poverty alleviation as essential objectives of development and foreign aid (Tarp, 2006). The effectiveness of economic growth as sole purpose of development was being questioned so the new strategies referred to basic human needs and redistribution with growth was formulated.

The “golden era” of 1960s and 1970s came to an abrupt end at the beginning of 1980s. Due to second oil shock in 1979, the economic circumstances in the developing countries and the relations between North and South had changed drastically. The crisis made the progress over previous decades ground to halt, inflation got out of control, and the deficit in the balance of finance could not be financed on a sustainable basis. The focus of development strategy and policy shifted to internal domestic policy failure and achieving macroeconomic balance (internally and externally). Subsequent structural adjustment efforts, reliance on market forces, outward orientation, and the role of private sectors, including Non-governmental Organizations (NGOs) were emphasized by the World Bank and others.

Total aid continued to grow steadily in real term until the early 1990s. After 1992, the flows started to decline in absolute term until the turn of millennium. Many reason account for this fall of aggregate flows, including the end of cold war and weakening relationship between developing countries and the former colonial power. Bilateral and multilateral aid institution were subjected to criticism and characterized as instrument of commercial interest in the industrial world or as self-interested, inefficient rent-seeking bureaucracy (Tarp, 2006). Moreover the skepticism about the credibility of aid recipient government fueled the reason for declining aid flow.

The twenty first century marked the revival of foreign aid. OECD countries promised to increase their ODA to developing countries. The international institution such as World Bank and independent academic researchers started digging into the aid-growth relationship using modern analytical technique to find the more efficient way and mean for implementing foreign

aid. The Millennium Summit in September 2000, the largest gathering of world leaders in history, adopted the UN Millennium Declaration, committing their nations to a new global partnership to reduce extreme poverty and setting out a series of time-bound targets, with a deadline of 2015 that have become known as the Millennium Development Goals (MDG)<sup>4</sup>.

Along the decades, various approach have been tried to deal with the challenge of measuring the impact of aid on development. One approach is to compare implicit or explicit targets with actual outcomes. The problem with this approach is that failure or success in reaching target maybe caused by reasons that are related to the provision of foreign aid. Another approach is to rely on before and after comparisons, but this approach also suffers from its inherent ability to attribute change in observed outcomes to foreign aid. In another words, the fact that some aid projects have failed does not in a way proved that aid as a whole is a fiasco. Thus it makes the impact measurement of aid on development became more complex.

Tarp (2006) pointed out that aid has been given for many reasons that have little relation to socio-economic advancement in aid receiving countries. This has undoubtedly constrained the impact the impact of aid on growth and development. The targets for aid have also varied widely from one decade to the next. As result, the conditions under which aid has had to operate have changed dramatically from one decade to the next. Coming up with simple answer about how aid has worked or not worked in promoting development is not an easy task.

Has foreign aid been a success or failure in promoting development? Based on some contributions to foreign aid literature over the past decades, the answer on the question has never been easy. Boone (2006) has reiterated that the history of large aid flows is, to date, major failure, while Burnside and Dollar (2000) found that aid promotes growth but only when policy is good. Tarp (2000) stated that aid is not equally effective everywhere, and much remains to be learnt about how aid impact in theory and practice thus the focus should therefore be both in way and means to improve the effectiveness of foreign aid disbursement and on increasing the total flow of resources.

#### 1.4.2 Bottom-up Community Development

Community development has a long history traced back to the demise of economic system based on colonialism (Wright, 1990). This history has produced range of definition of

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<sup>4</sup> To see more about MGD refers to <http://www.unmillenniumproject.org/goals/index.htm>.

community development. Community development can be broadly defined as a process by which local economic or social problems are defined and acted upon at the local level, with the process of definition and rectification being often as important as final outcomes (McNicholas and Woodward, 1999).

United Nation notes that the term ‘community development’ has come into international usage to connote the process by which the efforts of the people themselves are united with those of governmental authorities to improve the economic, social and cultural conditions of communities, to integrate these communities into the life of the nation, and to enable them to contribute fully to national progress (United Nations, 1959). From the UN definition, power rests primarily with the state.

In a slightly more radical vein, Burnett quotes the Scottish Office as defining community development as the process whereby individuals and groups are invited to identify and to provide solutions to ‘their own problems’ and this is achieved through local ownership of process, participation and control (Burnett, 1998). The definition emphasized on the need for local control over development processes and outcomes. This matter is taken further in Taylor’s definition:

“Community development is concerned with change and growth - with giving people more power over the changes that are taking place around them, the policies that affect them and the services they use. It seeks to enable individuals and communities to grow and change according to their own needs and priorities rather than those dictated by circumstances beyond their boundaries.” (Taylor, 1992)

According to Ledwith (2005), community development demonstrates empowerment through a process of critical education, resulting in collective action for a more just, equal and sustainable world. Labonte (1996) describes community development as an empowering relationship between government institutions and community groups.

From the various definition of the concept of community development, it is noted that community development concept is varied according to the balance of power (actual or desired) between communities and the state. Mansuri and Rao (2003) stated that the cornerstone of community development initiatives is the active involvement of members of a defined community in at least some aspect of project design and implementation. This statement bring the notion of bottom-up community development which defined as the encouragement of participatory decision making at micro level through involvement of local stakeholders (Hecla, 2006). Bottom-up community development also refers to local activity, driven from grassroots,

rooted in response of ingenious community enabled to help themselves (McNicholas and Woodward, 1999).

The importance of participation in community development project was described in Mansuri and Rao' (2003) study. According to them, participation is expected to ensure that projects are better designed, benefits better targeted, project inputs delivered in a more cost effective and timely manner, and that project benefits are distributed more equitably and with smaller leakages due to corruption and other rent-seeking activity. When potential beneficiaries also make key project decisions, participation moves to the level of self-initiated actions, what has come to be known as the exercise of 'voice' and 'choice' or 'empowerment' in community development concept.

Few studies have examined the relationship between community development projects, community participation, and collective action capacity. Finsterbusch and Van Wincklin (1989) in their review of USAID projects claim, without ambiguity, that projects with participatory elements increased the overall effectiveness of projects, particularly in building the capacity for collective action. Rao and Ibanez (2002) found that the participation in social fund had a positive impact on the capacity for collective action although this claim was more prevalent for more educated, better networked members of the community. Gugerty and Kremer (2000) in their study found that the formation and training of village groups increased the entry of wealthier and more educated men and women into leadership positions within the group because of the attractiveness of outside funding. They note, therefore, that bringing in outside assistance may change the composition of beneficiary groups.

Another study tried to link the participation with project sustainability. Khwaja's (2001) study suggests that since community managed projects are better maintained they are also more sustainable than those managed by local governments. Katz and Sara (1997) and Isham and Kahkonen (1999) also find strong associations between participation and sustainability, though they do not establish the causal direction of these findings.

Some interesting work, of a more anthropological nature, has taken an in-depth look at participatory projects to assess their sustainability. Kleemeier (2000) examines the Malawi rural piped water project and finds that half the schemes are performing poorly, and the ones performing well are the newest ones. She argues that poor sustainability is largely because of a

lack of institutional support from external agencies – echoing the conclusions of Katz and Sara (1997) and Newman *et. al.* (2002).

Cleaver (1999) also examines water projects in Sub Saharan Africa and finds that even if communities are initially successful in creating the project, they may lack the material resources and the connections to sustain their efforts. Mosse (1997) comes to similar conclusions in an in-depth examination of tank management in South India. He finds that maintenance of community infrastructure is often crucially dependent upon external agents. Thus the need for a well functioning state apparatus does not seem to disappear with active community involvement. Clearly from various studies explained above, the bottom-up community development projects have the potential to be more sustainable than top-down ones.

#### 1.4.3 Community Capacity Development

In the past decade, the focus on community capacity has gained increased prominence in community development. Goodman *et al.* (1998) stated that community capacity is a necessary condition for the development, implementation, and maintenance of effective, community-based programs. Community members often have extensive knowledge and understanding of their community's history, their people, resources available, and their strengths and weaknesses (Smith *et al.*, 2003). Accordingly, communities themselves are often fully capable of identifying their assets, needs, as well as the specific issues and problems they face (Bopp, GermAnn, Bopp, Baugh Littlejohns, & Smith, 2000; Easterling, Gallagher, Drisko, & Johnson, 1998; Laverack, 2007; Smith, Baugh Littlejohns & Thompson, 2001). In addition, programs that address issues of interest and concern to community members increase the likelihood of citizen participation as well as program sustainability (Gillies, 1998; Minkler, 1990).

The importance of collaborative and capacity building approaches to programming, research, and development can be attributed to the realization that the success and sustainability of such initiatives are largely dependent on the commitment and involvement of community members (Laverack, 2007). As such, community capacity became important issue community development initiatives.

Community capacity has been dubbed as the essence of community development (Smith *et al.*, 2001). The definition of community capacity according to Bopp *et al.* (2000) refers to whether or not the community has the characteristics, skills, and energy to take on the challenges

it will need to face in order to move to greater levels of well-being and prosperity. Importantly, community capacity is dependent on resources opportunities and constrains such as economic, political, and environmental, and the conditions associated with the communities live (Gibbon, Labonte, & Laverack, 2002). In addition, Labonte and Laverack (2001) stated that the community capacity exist in relation to specific groups of people, specific activities or program, and specific issues and concern. In which, enhancing the relationship between these community capacities might be the missing link in the program sustainability achievement (Gibbon, Labonte, & Laverack, 2002).



Figure 1.1 Community Capacity Enhancing Relationship

Figure 1.1 above, illustrated the enhancing relationship between stakeholders in community development program. The capacities that enhance for funding agency are capacity for program delivery and capacity for capacity-building relationship to community members and practitioner. For practitioner, the enhancing capacities are capacity for building program sustainability and capacity for capacity-building relationship to community members. The community group has the advantage from enhancing relationship by both funding agency and practitioner. The enhanced capacities are capacity to sustain program and capacity as generic quality of healthy functioning.

Central to the concept of community capacity is the concept of community itself. Mansuri and Rao (2003) stated that it is common in the literature on development policy to use the term community without much qualification, to denote a culturally and politically homogeneous social system, or one which is, at least implicitly, an internally cohesive and more or less harmonious entity. According to them, this notion of community is problematic at two levels: (1) Defining the boundaries of a community, geographically or conceptually, is not always straightforward.

The use of administrative boundaries can, for example, be quite meaningless where settlement patterns are distinct from such boundaries or where semi-nomadic lives, increasing mobility, or temporary migrations have stretched and transformed community boundaries. In many cases, existing (or newly acquired) factional, ethnic or religious identities may further complicate the picture. (2) An unqualified use of the term often obscures local structures of power, economic and social (including an asymmetry of power in gender relations), which are likely to integrally influence project outcomes. Thus in the later literatures, the discussion about community is not always geographically determined (Bush, Dower, and Mutch, 2002).

Bush, Dower, and Mutch (2002) also discuss that community can be any existing or potential network of individuals, groups, and organizations that share common concerns, interests, and goals. Community is not a single or homogenous entity as communities consist of heterogeneous people collectively acting in order to attain shared, specific goals or interests (Bell and Newby, 1978; Bopp & Bopp, 2004; Israel, Checkoway, Schultz, & Zimmerman, 1994; Laverack, 1999; Ward, 1987). Consequently, community may be defined as a specific group(s) and/or network of groups organizing around specific issues, which are generally but not always spatially bound (Labonte & Laverack, 2001a). Moreover, Laverack (1999) stated that heterogeneous groups can actually become more of a 'community' through the process of program planning, to the extent that program aims and objectives reflect, at least in part, shared interests and needs of heterogeneous members in a given locality. Thus, participation and collective community action, with the aim of effecting change or achieving a desired goal, can develop the capacity of a community (Checkoway, 1997).

Community capacity may be developed or cultivated with individuals, within specific groups or communities, or within an organization or program context (New South Wales Health Department, 2001). The notion of community capacity development is both explicit and pervasive in the rhetoric that describes the missions that guide and, to a greater or lesser extent, the activities that embody these efforts. However, there is little clarity about the meaning of community capacity and capacity development in practice.

Indeed, to date, there have been relatively few and all fairly recent explicit attempts to define community capacity development in the literature. Labonte and Laverack (2001a) define community capacity building (development) as increasing "community groups' abilities to define, evaluate, analyze, and act on health (or any other) concerns of importance to their members.

Community capacity development can also be described as an approach to development work that strengthens the ability of community organizations and groups to build their structures, systems, people, and skills so that they are better able to define their objectives and engage in consultation and planning, manage community projects, and take part in partnerships and community enterprises (Skinner, 1997).

Accordingly, building community capacity can better equip individuals and communities to mobilize and organize for social change (Labonte & Laverack; Schuftan, 1996). Equally important, community capacity building can play a major role in increasing group's and communities' abilities to address issues and barriers that directly affect people's health and quality of life (Hawe, Noort, King, & Jordens, 1997; Labonte, Bell Woodard, Chad, & Laverack, 2002).

### 1.5 Structure of the Thesis

This thesis is organized in 5 sections. Research background, objective, and questions will be explained in the section 1 as the introduction section of this research. Reviews from previous studies that can support the research will also included in this section. The next section, section 2, will explain about the methodology used in the research. The detail explanation about the selected case study will be explained in the section 3 while the result and discussion of the research will be explained in the section 4. Section 5 will conclude the research and give the insight for further study of this topic.

## **2. METHODOLOGY**

This section will describe about the methodology used in this study and the reason why the particular method was chosen. Subsequently, this section also outlines the methods that used to collect the data needed.

### **2.1 Case Study Approach**

Capacity development has been Holy Grail among donor agencies. It is heralded as the missing link in the development, as the primary objective of aid, and a pre-condition to achieve sustainable development impact (Boyssuyt, 1994). Yet, bringing capacity development as forefront of aid has proved to be tougher job than expected. Agencies that have taken capacity development seriously has faced with uncertainty about concepts and how to measure it, a confusing array of process and participatory technique, and wide gap between policy prescriptions and actual practice. In addition, the agencies also have to realize that giving priority to capacity development mean accepting that development does not taking place by throwing money, projects, and expatriates at problems. It requires participatory approaches to program design and implementation, local ownership, decentralized management, flexible instrument and processes, new performance and evaluation criteria, and specialized skill. Thus, these make capacity development a very complex and multidimensional issue.

To understand better the complexity of capacity development's concepts and contexts, this study used qualitative approach as research methodology. As Creswell (2007) stated, qualitative research is the best option to use when a problem or an issue needs to be explained in a complex and detailed understanding or when the study is trying to understand context or setting in which participants in study address a problem or issue. Also according to Crisp, Swerissen and Duckett (2000), given the broad range of strategies and interest in community capacity development of organizations and communities, the use of qualitative approach for evaluation is a necessity.

Since this study is trying to analyze the impact of Official Development Assistance grass-root program in community capacity development towards sustainability it is understandably that case study that bound in time and place will be considered suitable approach to achieve the research purpose. By focusing the research on a case which was bounded by time and place, it is

expected to give in-depth and detail understanding about the issue. Thus case study approach is chosen as methodology in this study.

## 2.2 Participatory Approach

Those who are working in community capacity building often encourage using participatory research method over controlled method when conducting research and evaluation (Bopp et al., 2000). Community capacity building should be a participatory process that builds knowledge, understanding, and commitment within the community, and identifies clear pathways for future action. Hence the model of community capacity evaluation is inherently participatory in nature (Laverack, 2003). Based on that, this study also adopts the participatory approach as one of evaluation method in analyzing the impact of case study project in community capacity development.

Ideally in a participatory research, the community is involved in every stage of research from the design, data collection, and analysis. But due to time constraint and the condition in where the project is already completed during the research such extensive collaboration was not possible. However, specific attention was given to participatory evaluation as well as collaborative interpretation of the result. It is expected that by utilizing the participatory research both the community and the researcher can learned from each other.

## 2.3 Domain Approach in Community Capacity

The heart of this study is the assessment of community capacity development in a community empowerment program. According to Laverack (2003), making the concept of community capacity in community empowerment into an operational context in a program has proven to be difficult. By seeing community capacity as “parallel-track” where it is viewed not as means or ends of program goals or objective but rather is viewed as both, the complex concept of community capacity has been ‘unpack’ into the identification of factors or domains that influence community capacity as a process (Goodman *et al.*, 1998; Gibbon, 199; Laverack, 1990).

This study uses the domain approach developed by Laverack (1999) as one of method to assess community capacity. In developing the domains, Laverack (1999) has included reviews of relevant literature with particular reference to the various field of studies to provide in-depth

understanding. The domains were categorized from analysis of the literatures and the validity of the data was cross-checked by other researcher. Laverack's nine domains (1999) are explained as in table 2.1

Table 2.1 Community Capacity Domains Description

Domain	Description
Participation	Participation is a basic to community empowerment. Only by participating in a small groups or larger organizations can individual community members better define, analyze and act on issues of general concern to the broader community.
Leadership	Participation and leadership are closely connected. Leadership requires a strong participation base just as participation requires the direction and structure of strong leadership. Both play important role in the development of small groups and community organization.
Organizational Structures	Organizational structures in a community include small groups such as committees, religious groups, and youth groups. These are the organizational elements which represent the ways in which people come together in order to socialize and to address their concern and problems. The existence of and the level at which these organizations function is crucial to community empowerment.
Program Assessment	Empowerment presumes that the identification of problems, solution to the problems is carried out by the community. This process assists community to develop a sense of self-determination and capacity.
Resource Mobilization	The ability of the community both to mobilize resources from within and to negotiate resources from beyond itself.
Asking Why	The ability of the community to critically assess the social, political, economic, and other causes if inequalities is a crucial stage towards developing appropriate personal and social change strategy.
Links with Others	Links with people and organizations, including partnerships, coalitions, and voluntary alliances between the community and others, can assist the community in addressing its issue.
Role of outside agent	In program context, outside agents are often an important link between

	community and external resources. Their role is especially important near the beginning of a new program, when the process of building new community momentum may be triggered and nurtured. The outside agents increasingly transform power relationships between him/herself, outside agencies, and the community, such that the community assumes increasing program authority.
Program Management	Program management that empowers the community includes the control by the primary stakeholders over decisions on planning, implementation, evaluation, finance, administration, reporting, and conflict resolution. The first step toward program management by the community is clearly defined the roles, responsibilities, and line management of all the stakeholders.

(Source: Gibbon *et al.* 2002)

Having defined the domains of community capacity, the next step is to evaluate the community capacity using the domains. Gibbon (1999) found that the use of a matrix can facilitate the participant understanding and discussion of the situation, the strength, weakness, and area which need improvement. In this matrix, Gibbon (1999) assigned rank for each indicator from low (1) to high (4) and made the different stakeholders in the same program used the indicators to make comparison of the domains at different times in the life of the program. Laverack (1999) also used the similar rating scale but instead of giving rank to each domain, Laverack providing the participant with five statements that represent an item of the range between the least to the most empowering situation for every domains.

This study followed the assessment by Laverack (1999) using community capacity matrix to assess the community capacity development of CEP project. The matrix then distributed to the different stakeholders in the CEP project in a focus group discussion. The developed matrix could be seen in the appendix 1.

2.4 Participant

2.4.1 Key Stakeholders

Laverack (2005) defined key stakeholders as those people, groups, and organizations who have influence on or interest in the program. In this study, the key stakeholders were people that

directly involve in CEP project from JICA Indonesia, Gadjah Mada University, and local community.

At first the key stakeholders was chosen from JICA Indonesia, the team leader that responsible for Community Empowerment Program based on Local Resources and Tacit Knowledge by Co-creating Technical Support Project. With the help from JICA Indonesia, the key stakeholders from Gadjah Mada University were identified. They are team that handled the project from the proposal making until the follow up support after the project completed. From the Gadjah Mada University team, the key stakeholders from local community were identified. The key stakeholders in Bogem village are the representatives of local farmer groups called Pok Yub. They were chosen as their active role during CEP project and after the completion of the project. In Banyuripan village the key stakeholders are also the representatives of local farmer group called Sumber Makmur. Beside the active actors, in both villages the village officials were also involved as the key stakeholders from local community side.

#### 2.4.2 Key Informant

Apart from involving key community stakeholders this research also involves one key informant. Stake (1995) stated that understanding a case is greatly facilitated by finding an informant who is knowledgeable about the case and is willing to discuss what he or she knows with the researcher. The important point of key informant is that this individual can provide second hand observations during the project since the researcher was not available during that time.

The key informant for this study is Mr. Partisipasi, the local agent from Bogem village that according to Gadjah Mada University, he is one of the reason why they can said the Bogem village is a successful case. He is the active actor during and after the completion of the project and moreover he is the secretary of farmer group that is selected as the key stakeholders for Bogem village.

#### 2.5 Data Collection Method

Data collection within case study is extensive and consists of various source of information. Thus to construct in-depth and holistic description of the case, the case study researchers often employ a wide array of data collection methods (Creswell, 2007). Labonte and

Lavarek (2001) discuss how method in assessing community capacity based on nine domain approach are multiple and may include focus groups, key informant interview, surveys, program plans, and documentation reviews such as project reports, practitioners notes or minutes from meetings. Also according to Gibbon et al. (2002), the additional use of observation and visual representation of community capacity assessment is important to document the changes in community capacity. Thus accordingly, this study is applying extensive methods of data collection such as focus group discussion, individual interviews, observation, and document reviews.

The data was collected via two field trips in Indonesia. The first field trip was held in January 20 to February 10, 2010. The purpose of the first field trip was to collect preliminary data to see whether the selected project is suitable as the case study. The second field trip was held in April 24 to May 15, 2010. The purpose of this trip was to collect necessary data to answer the research question. The data are supposed to cover the development of community capacity before or in earlier stage of the project to after the completion of the project.

### 2.5.1 Interviews

Two principal uses of case study are to obtain the descriptions and interpretation of others. The same case will not be seen the same by everyone and much that we cannot observe has been or is being observed by other. A good qualitative researcher is the one that can take pride in discovering and portraying multiple views of the case and interview is the main road to multiple realities (Stake, 1995).

Holstein and Gubrum (1997) describe interview as an interactional method of collecting information about social world by asking people to discuss their lives, experience, and perception. Interview is important in case study research because it can yield data in multiple views and allow the researcher to understand the meanings of the activities in question hold for people to elicit unique knowledge.

#### 2.5.1.1 Focus Group Discussion of Community Capacity Matrix

A focus group is a group of individuals selected and assembled by researcher to discuss and comment on the topic that is subject of the research from personal experience (Powell and Single, 1996). The main purpose of focus group research is to draw upon respondent's attitudes,

feelings, beliefs, experiences and reaction in context of social gathering and interaction between individuals in the group. Focus groups elicit a multiplicity of views which is important in case study research.

The group is typically composed of 4 persons (small group) to 12 persons (large group) who are familiar with one another and have been selected because they share certain characteristics relevant to the study's question (Marshall and Rossman, 2010). There is no certain limitation on how many times the focus group session should be conducted. The number of focus group sessions depends upon the nature and complexity of the subject under investigation and the use for which the data generated by the focus group are to be employed (Powell and Single, 1996).

In this study, both in first field trip and in second field trip, focus group discussion were used as one of methods to collect data about community. In the first field trip, the first focus group is JICA Indonesia officials that involved in CEP Project in Bayat. The group consisted of 3 personnel discussed about CEP and CEP Bayat in broad outline. The second focus group is Gadjah Mada University personnel. The group consisted of 3 persons to discuss about CEP Bayat in detail. From this focus group discussion, the researcher had a brief idea about the situation in each village before actually visit the villages. In this first field trip, no focus group held for local community stakeholders.

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During the second data collection, the focus group was used as method to collect data about capacity domain based on Laverack's nine domains of community capacity. As basis of the discussion, the community capacity matrix (Appendix 1) is distributed to the different stakeholders of selected CEP project. Those stakeholders are JICA Indonesia and Gadjah Mada University. The initial plan is to make the stakeholders assessed the community capacity of

Bogem and Banyuripan community in the period before or early implementation of the project and in the end of the project. JICA Indonesia and Gadjah Mada University will have to assess both Bogem and Banyuripan. For the local stakeholders, they assess their own community during focus interviews with different questions guideline that can be seen in the Appendix 2.

### 2.5.1.2 In-depth Individual Interview

Morgan (1996) noted that majority of published research articles using focus group combined them with another method with the most frequent pairings were either in-depth individual interviews or surveys. Between these two combinations, the use of focus groups with individual interviews is the most straightforward, since both are qualitative technique. This strategy has the advantage of first identifying a range of experiences and perspectives and then drawing from that adding more depth when needed. Thus this combination serves the needs that a qualitative study has for breadth and depth.

The in-depth interview is a one-to-one research technique in which a respondent answers a researcher's questions (Powell and Single, 1996). In-depth interview pursues respondent's subjective interpretation of a subject following a loosely structured or unstructured interview guide. It also enables researchers to gather detailed attitudinal and experiential information from respondents, and this information is elicited by supplementing the broad, open-ended, exploratory questions with pertinent, gently probing sub questions.

Table 2.2 Comparisons of Focus Group with Individual Interview

Criteria	Individual Interview	Focus Group
Number of Participant	1	4 – 12
Goal	Individual view and experience	Divergent views and experiences
Interactional Quality	No	Yes
Level of Group Influence	N/A	Medium – High
Level of Structure	Low	Low
Depth of Experience	Deep	Medium
Range of Experience	Narrow	Wide
Level of Moderator Involvement	Low	Low

(Source: Powell and Single, 1996)

In this study, in-depth individual interview was conducted in both first and second field trip to get more in-depth information from the key stakeholders. From both trip, more than 25 people were able to be interviewed either in formal or informal situation. The list of people that had been interviewed under formal condition can be seen in table 2.3. The informal interviews usually consist of small talks or conversation between local communities especially the women.

Table 2.3 List of Formal Interviewees

Key Stakeholders	The Interviewees
JICA	CEP Team Coordinator
	CEP Bayat Project Coordinator
	CEP Team Member
Gadjah Mada University	Project Coordinator 1
	Project Coordinator 2
	Assistant Project Coordinator
Local People (Bogem)	Village Secretary (Sekretaris Desa)
	Orchard Chief 1 (Kepala Dusun 1)
	Orchard Chief 2 (Kepala Dusun 2)
	Farmer Assistant Officer for Bogem
	Chairman 1 of Farmer Group Pok Eyub
	Chairman 2 of Farmer Group Pok Eyub
	Chairman 3 of Farmer Group Pok Eyub
	Secretary of Farmer Group Pok Eyub
	Members of Farmer Group Pok Eyub (4 people)
	Secretary of Farmer Group Bhakti Makmur
	Members of Farmer Group Bhakti Makmur
Local People (Banyuripan)	Village Head
	Village Secretary (Sekretaris Desa)
	Orchard Chief (Kepala Dusun)
	Chairman of Farmer Group Sumber Makmur
	Secretary of Farmer Group Sumber Makmur

(Source: Field Trip, 2010)

## 2.5.2 Observation and Field Notes

Marshall and Rossman (2010) stated that observation is a fundamental and highly important method in qualitative inquiry that used to discover complex interactions in natural social settings. Observation adds more elements in interview such as the body language and affect, tone of voice, and other paralinguistic message of the interviewee in addition to his/her words. Stake (1995) also stated that in case study research, observation will be directed by the

issues of the case and should promote a greater overall understanding of the phenomena being studied.

In this study, the observation was conducted in both field trips in February and in April. The purpose was to assess and document the activities and events participant actions and behaviors, and physical aspects of the situation that occurred in the nine domains. This also included the information from informal conversations with key informants and local community.

### 2.5.3 Document Review

In addition to direct observations and interviews, because the project is already completed it is important to review the project's documents to give more detail description about the project. Those project report documents are First Year Implementation Report, Second Year Implementation Report, and Third Year Implementation Report from Gadjah Mada University to JICA Indonesia. Other documents are from the village official such as village profile and farmer group profile.

### 3. CASE STUDY

The selected case study is one of project under Official Development Assistance (ODA) Program from Japan to Indonesia called Community Empowerment Program. The project is called “Community Empowerment Program based on Local Resources and Tacit Knowledge by Co-creating Technical Support” which usually called CEP Bayat.

#### 3.1 Community Empowerment Program (CEP)

Community Empowerment Program (CEP) is part of Japan International Cooperation Agency (JICA) cooperation scheme that targets to directly support the people in the grass root level through collaboration with non government organizations (NGOs) based on the recipient government's endorsement (JICA, 2008).

JICA Indonesia first introduced this program in 1997 as part of emergency crisis support with the name of Local Development Program (LDP) involving local non-governmental organization (NGO) as one of important development actors in Indonesia. The program was focused in giving the “quick impact” to support the community while going through the multidimensional crisis at that time. The programs could be food donation, providing health service, and providing temporary employment. The aim of LDP was to support the communities who are hit severely by the financial crisis so that they can start again their economy and social activity that was stopped due to the crisis.

After 2002, JICA headquarter considered to stop all the emergency crisis support program in Indonesia which meant LDP had come to an end. In response to this, JICA Indonesia had another consideration. JICA Indonesia saw that the program is more effective in bringing direct benefit to the community unlike other program. Thus, JICA Indonesia tried to make this program into complementary program to existing cooperation program between Japan and Indonesia. The effort was recognized and JICA Indonesia to continue the program under the name Community Empowerment Program (CEP).

In its development, the purpose of CEP is not only to address emergency situation but it is also focusing more in community empowerment. The program later covered various aspects in economy, social, and environment that emphasized in supporting sustainable economic growth, poverty reduction, regional development, environmental conservation, post-disaster rehabilitation and reconstruction.

From management of CEP, embracing sustainability principle can be considered as a must because the primary focus of this program is in empowering the community so that they can identify their problem, aware of their potential, and let them to design the solution for their problem in their own way based on their own resource and knowledge. The aim is to help the community to be able to build their own capacity for self-reliance livelihood and welfare improvement for further contribution in increasing local economic and social development as well as reducing poverty and achieving sustainable development. Thus, the activities in CEP are mostly focused on community gathering activities, build capacity of community organization such as independent farmers groups and cooperatives through various training and comparative study to another area that can be used as best practice example which is expected can give inspiration and motivation to grow.

The reason of CEP categorization as grass root ODA program is not only because it targets community directly but also because CEP scheme emphasizes on idea that emerge from grass-root level. Most of CEP project came from project proposals that are sent by local Indonesian NGOs. All eligible NGO are welcome to send their project proposal directly to JICA Indonesia office with a recommendation letter from the related local government institution in accordance with the site and scope of the project proposal. Once the proposal has been categorized as a prospective project, JICA and the representative NGO design the project formulation. The selected project needs to acquire official approval from authorized Indonesian Government institution before the implementation can be carried out. The figure below can give illustration to CEP scheme as explain above.

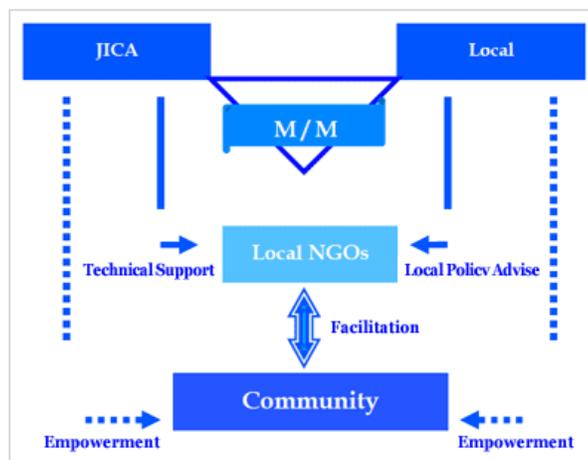


Figure 3.1 Community Empowerment Program Scheme (source: JICA website)

### 3.2 Overview of Selected CEP Project

Since it is impossible to cover all CEP projects as research case study, one project in Community Empowerment Program is selected. The selected project is Community Empowerment Program based on Local Resources and Tacit Knowledge by Co-creating Technical Support in Bayat, Klaten, Central Java. This project is selected based on its trait which is the focus of the project in building community capacity especially in learning process towards community development. The project is collaboration between JICA Indonesia and Gadjah Mada University as concerned NGO.

The project lasted for 34 months, started in June 2006 and finished in March 2009. It is located in five villages within Bayat municipal, Klaten regency, Central Java province, Indonesia. In the implementation, the project was divided into three phases based on time and location. Year one or phase one is held in June 2006 to April 2007 focusing in one village. Year two is in April 2007 to March 2008 focusing in two new villages and one village in year one. Year three is in April 2008 to March 2009 focusing in another two new villages and three previous villages. So in total the project was conducted in three years focusing in five villages<sup>5</sup>.

The idea of the project came as concern in today's development that tends to ignore the local wisdom and local knowledge of the community. This kind of development assumed that local people do not have any capacity and capability to develop themselves. This is when the most of development went wrong because most of the time the local people already have their own knowledge and they might have the capacity to solve their own problem. Bringing new knowledge or solution that the local people unaccustomed of will only slowing down their development<sup>6</sup>.

Gadjah Mada University realized the importance of local wisdom and local knowledge in the community development. Based on Professor Nonaka's knowledge creation, to integrate local knowledge or what they called tacit knowledge into community development, Gadjah Mada University send proposal to JICA Indonesia asked for assistance in creating project that adopted the integration of explicit and tacit knowledge. The proposal is approved for March 2006 as one of CEP project under the name Community Empowerment Program based on Local Resources and Tacit Knowledge by Co-creating Technical Support.

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<sup>5</sup> 1<sup>st</sup> year are Ngerangan Village; 2<sup>nd</sup> year are Jarum, Dukuh, and Ngerangan Village; 3<sup>rd</sup> year are Bogem, Banyuripan, Jarum, Dukuh, and Ngerangan Village.

<sup>6</sup> From interview with Dr. Singgih from Gadjah Mada University.

The goal of the project is to bring local potential into operational by using tacit and explicit knowledge through partnership with university teaching staff. This project aimed to seek and implement appropriate knowledge in local context to bring better prosperity, security, and welfare in better environment quality. The learned experience from the program will be used as an inspiration for similar program in the other regions<sup>7</sup>. They breakdown the purpose into several points which are (1) to seek new knowledge as synthesize of local tacit knowledge and explicit knowledge, (2) to implement the new knowledge to increase the economic value of local input, and (3) to build local learning societies that enable villagers to improve their life quality continuously. It was hoped that by integrating local tacit knowledge and explicit knowledge they can create the learning society that capable of identifying their own problem, analyzing and solving it within their own capacity.

According to Gadjah Mada University, they wanted to start the project in the location where most of the people are not yet aware of their local knowledge potential. They also choose the underdeveloped villages so to give more clear impact about the tacit knowledge approach to community development. After some research and field survey Gadjah Mada University selected Ngerangan Village as the pilot project location. As for the other villages in the next period, they choose it based on experience in the previous village, community initiative as in demand of the villagers, and the possibility to the success of the program.

The activities of the project always start with mini workshop between Gadjah Mada University and the local community. In this mini workshop, Gadjah Mada University first introduced the project to the community and after that they had discussions about project design, planning, implementation, and evaluation. The purpose of this discussion was to involve the local community as early as possible in the project so that they can have the sense of belonging toward the project. This mini workshop also emphasized the role of the community and Gadjah Mada University in the project. Gadjah Mada University always stated in their first project socialization that they will only serve as facilitator whose role only to assist the community. All activities will be carried out by the community themselves.

The mini workshops usually held couples of time depend on the needs of the community. The results of mini workshop are general project design and interest groups that will responsible in implementing the project. These interest groups are the main actors that will carry out the

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<sup>7</sup> Term of Reference of CEP Bayat

detail of project such as identify the problems and potentials, deciding the project activities, implementing the ideas, and making documentation or project reports. Because each village might have different problems and potential, the activities of the projects tend to be different from one to another. But still the expected impacts are all the same for sustainable community development.

### 3.3 Focus Area of Case Study

Due to time and resource restriction, this research cannot cover all five villages as the focus area of research case study. This research will only cover the two villages in the third phase of the project (Bogem village and Banyuuripan village) which giving more weight to Bogem village as the main focus and Banyuripan village as complementary case. The two villages are selected based on several considerations such as key stakeholders' availability and completion time consideration.

During the first field trip, it was noted that not all the local key stakeholders willing to accommodate the research so when the key stakeholder in Bogem village showed no objection in accommodating the research, it was only natural to choose the community. Furthermore, according to the Gadjah Mada University, Bogem and Banyuripan community are considered as quite successful case in their project. The two communities also feasible by the completion time variable. The research wanted to see the change in community capacity before and after the project. Since the project already finished, the data collection will be depended on the memories of the people involved. The longer the completion time, the more bias in the data will occur. So by choosing the latest project phase it was hoped to reduce the bias due to fuzzy memory of the people involved.

### 3.3.1 Bogem Village

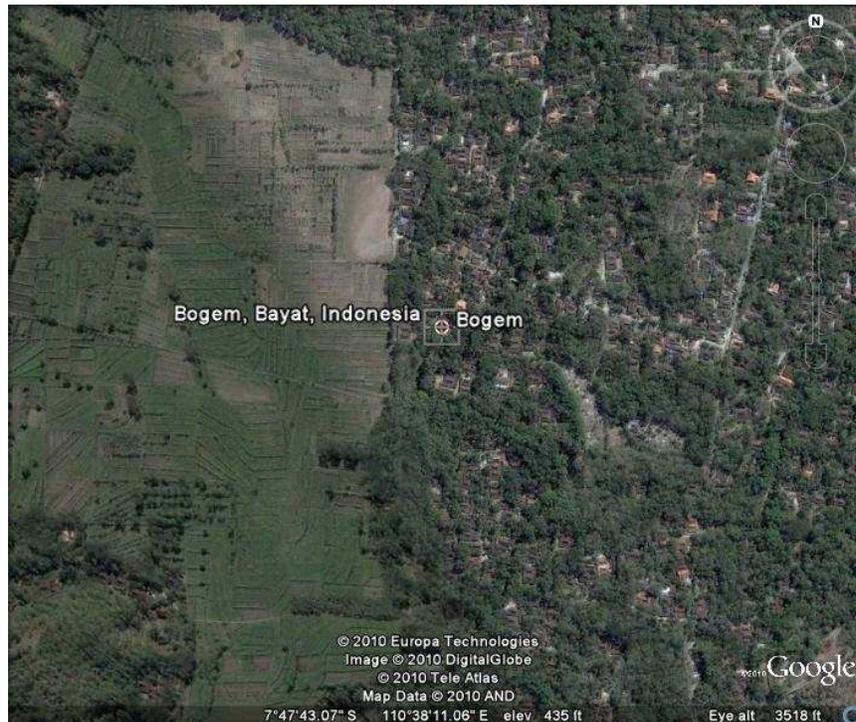


Figure 3.2 Bogem Village

Bogem village is one of village that is under Bayat municipal administration. The village can be reached in approximately half an hour from Bayat municipal and an hour from Klaten city by motor vehicle. Total area of the village is around 80 hectares with 37% of the area used as residential area and around 40% of it serves as farm land. Total population in 2008 is 2158 people, clustered into 521 households. The details in the population can be seen in below figures.

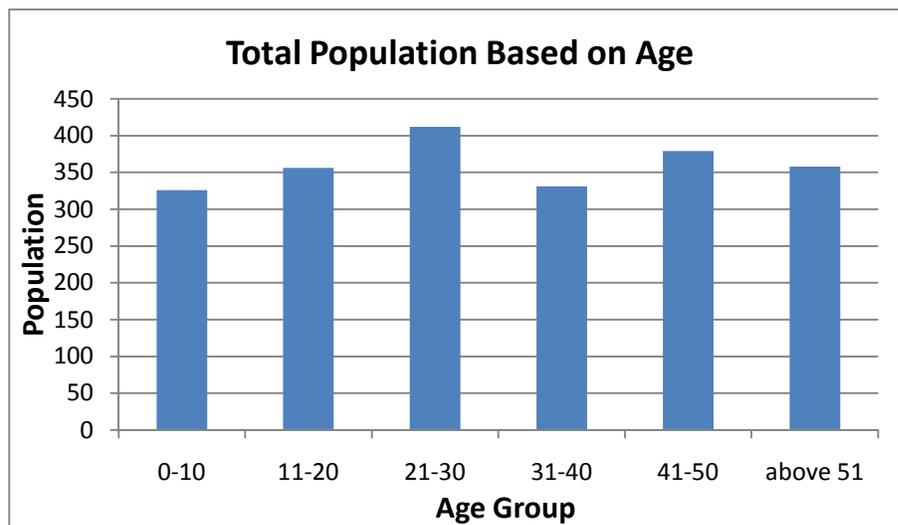


Figure 3.3 Total Population of Bogem Village Based on Age

Figure 3.3 described the total population based on the age in which give information that more than the half population are in productive age. But based on the observation in the field, most of the villagers in group age of twenties to forties are basically not living in the village. This age group usually left for big cities looking for better job opportunity, thus left the children and elderly in the village.

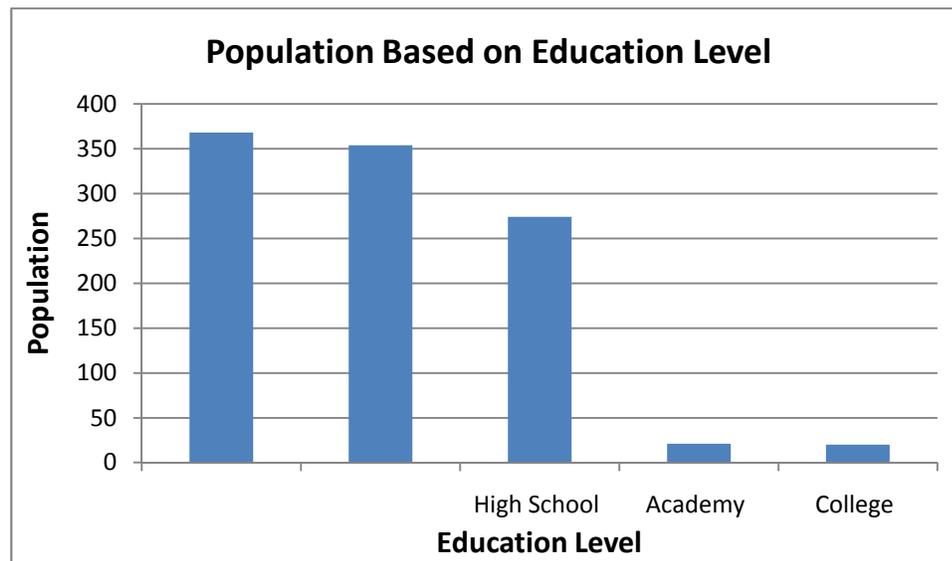


Figure 3.4 Education Levels of Bogem Villagers

According to the data from village official and the observation, most of the villagers are literate. Most of the older generation only graduated from elementary school and junior high school. The recent generation mostly pursued high school and after graduating from high school they left the village for the city to find jobs.

The involvement of Bogem village in CEP is based on their own initiative. They invited the Gadjah Mada University to implement the CEP project in their village because they were interested in the project that already implemented in the neighborhood village. According to the mini-workshop that held in between Gadjah Mada University and the community, the community has listed their problems and potentials. They listed agriculture activities and livestock as their potential and their main concern was the lack of water for irrigating their fields<sup>8</sup>. For irrigation, the villages in the southern part of Bayat municipal such as Bogem, Banyuripan, Dukuh, and Jarum depend on the rain water thus it limited their farming practice. This lack of

<sup>8</sup> During observation, almost all household in the Bogem village have livestock in their house. The livestock usually cow or goat or both. The livestock can be their or they just keep it for other people with profit division (*gadon*).

water for irrigation is due to the geographical condition of these villages which are located in the limestone area.

After few meetings the community agreed that the activities in the CEP project in the village will be revolving around the integrated farming such as hydroponic cultivation, making of rice husk charcoal, tree plantation, making of vermin-compost, river well for irrigation construction, comparative study to other CEP project (Merbabu Area), making of organic fertilizer, and biogas utilization.

To implement the CEP activities, Gadjah Mada University collaborated with local farmer groups in the village. At that time, in the village there are two farmer groups called Pok Eyub and Bhakti Makmur. The farmer groups formed interest group that carried out with the help of Gadjah Mada University team.

### 3.3.2 Banyuripan village

Banyuripan village is very similar to Bogem village whether geographically, economically, or socially. The total population is around 3374 people or 925 households with total area 219 ha and only 37 ha are allocated for farming.

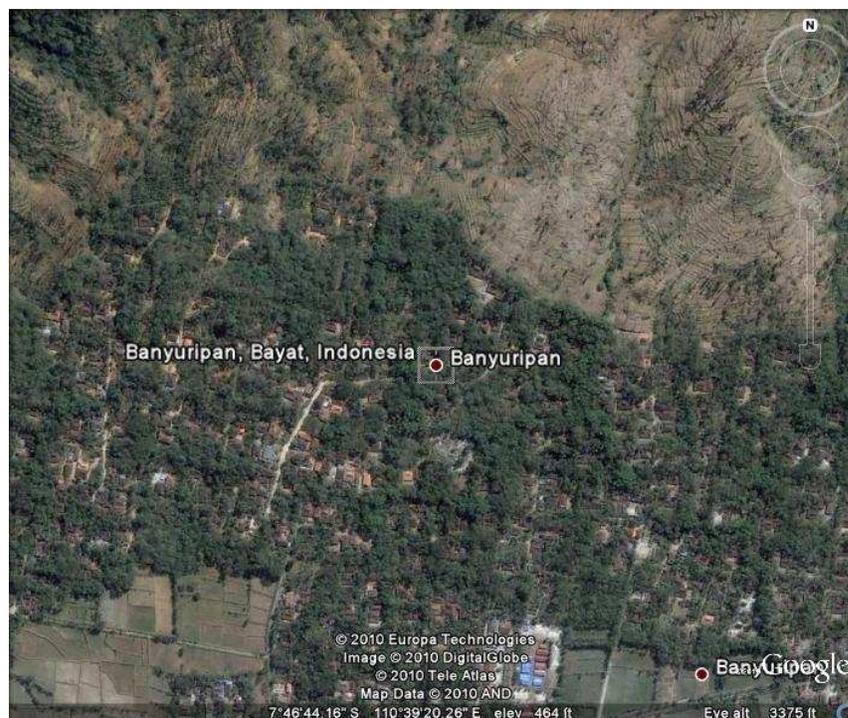


Figure 3.5 Banyuripan Village

Like Bogem village, the education level is mostly graduated from high school and most of the young generations choose to go to the big city looking for job. The rest of the villagers are engaged in farming. As the side activity, they also keep livestock such as cow and/or goat. One household usually only keep one or two livestock as to keep more means more cost for feeding which they cannot afford.

Since agriculture is the main point activities in the Bayuripan village, the CEP project in this village also revolving around integrated farming. The CEP activities in Bayuripan are biogas utilization, inland fishery practice (catfish), organic pest controlling (making of Effective Microorganism-4 or usually called EM-4), making of organic fertilizer, and agricultural product processing home-based. The implementation of CEP activities were carried out by the farmers groups called Sumber Makmur and Mudi Rahayu with assistance of Gadjah Mada University team.

## 4. RESULT AND DISCUSSION

### 4.1 Community Capacity Domain Assessment

The purpose of this study was to understand the impact of Official Development Assistance (ODA) program on community capacity development towards sustainability. This was accomplished using methodology called community capacity domain approach which utilized under Laverack's (1999) nine organizational domains to assess community capacity. The domains were assessed by two stakeholders of the program, JICA and Gadjah Mada University. The key stakeholders selected the statement which corresponded to specific numerical ratings that they thought best represented the situation in each of the nine domains. Key stakeholders also provide qualitative comments explaining the statement selected for each of the domains. In addition individual interviews were carried out to provide more information and uncover their views in relation to the impact of the program in community capacity. Based on the multiple data collection methods, the change in the community capacity before the project and after the project are presented in this section.

The initial plan was to make both JICA and Gadjah Mada University gave the rank for community capacity domains using community capacity matrix as the basis of assessment in this study. Unfortunately in the practice, Gadjah Mada University could not give their assessment in form of community capacity matrix. Thus, the assessment ranks in this section were depended on the assessment from JICA and the deduction done by the researcher from various documents and interviews from the key stakeholders.

#### 4.1.1 Community Participation

Location	Before the project (2008)	After the project (2010)
Banyuripan	4	4
Bogem	4	5

In the beginning of project, JICA and Gadjah Mada University both recognized that Bogem and Banyuripan community were actively participate in the program. The participants thought that statement number 4, "Many people are involved in the CEP program. They are involved in group discussions, making decisions, and planning the future direction of the CEP program" is the best to represent the existing level of capacity at that time. The statement is

supported by the Gadjah Mada University's CEP achievement matrix that described the enthusiasm of the community in forming the interest group (working group). According to Gadjah Mada University, there were five working groups formed in both locations at that time that actively involved in the initial planning and implementation. JICA and the community themselves also give statement that support the assessment.

As stated in the previous section, to carry out the CEP program in the community, JICA and Gadjah Mada University collaborated with the local farmer groups in the community. According to the key informant in the Bogem community, the farmers group in community (Pok Eyub) has made CEP program as part of their internal program. This action encouraged their members to actively participate in the program. From the interviews of both farmer groups in Bogem and Banyuripan village, they considered their members actively participated in all groups program. The attendance records in the groups meetings and activities are usually up to 75% of all members with minimal records usually stands in 50% of all members attending. Looking at the records, it can be said that during the program implementation the attendance of the participant usually range in 50 – 75% of the members who already committed with the program.

Regarding the participation in form of involvement in the group discussion, decision making and planning for the future, JICA and Gadjah Mada University agreed that the communities are actively engaged in these activities. They saw that the communities were really concern in the program that can help them develop their community. The interviews with some members of the farmer groups showed that the members are really concern with the program especially the program that are closely related with their livelihood such as making of organic fertilizer, utilization of livestock manure, and irrigation effort.

In the end of project, the key stakeholders think that statement number 4 is the best representing the current situation for Banyuripan community while for Bogem community the stakeholders think that statement number 5 is the best to represent the current situation. The difference from statement number 4 and number 5 is that in statement number 5 contains the sustainability aspect. Statement number 5 is that many people are involved in the CEP program, continue to participate in group discussions, make program decisions, and plan the future direction of the CEP program and maintained these activities for a sustained period of time.

In the case of Bayuripan community, the results of CEP project were not being maintained, thus the statement cannot improve to number 5. According to the focus group

interviews with the board members of Sumber Makmur farmer group, the CEP project's outputs were no longer being implemented anymore. The biogas utilization which is commended as successful case during the year of implementation was no longer implemented by the community. It was recorded that more than 10 units of biogas digesters were installed as part of biogas utilization project during that time. Unfortunately after using it for a year none of these biogas digesters were still utilized to produce biogas. One of the reason they stopped using it was because of the input preparation is too troublesome compared with the result of biogas produce<sup>9</sup>. Another reason was the biogas digester is prone to accident thus easily damaged. Usually after it was damaged, the community was not repairing it.

The other output of CEP project that used to be implemented during the project implementation time but no longer implemented after the project completion is the use of organic fertilizer. The board members of Sumber Makmur farmer group confessed that they cannot persuade their members to use organic fertilizer to replace the chemical fertilizer. The only people that still practice the making of organic fertilizer and actually using it in their farm are some of the board members of Sumber Makmur farmer groups. Looking at the facts, it was safe to say that the CEP program in the Banyuripan community could not be sustained in the future.

For Bogem community, the participant gave the statement number 5 to rank the current situation. They considered that Bogem community has been succeed in maintaining the result of CEP projects as well as maintaining the activities such as group discussion for planning the community development. According to various interviews with the members of Pok Eyub and Bhakti Makmur farmer groups that engaged with CEP activities, some of them use the organic fertilizer for their farming practice. They also still use the river well for irrigation. The river well was maintained by Pok Eyub farmer group as one of the farmer group asset. The management of the well is very organized which might able to answer the notion of sustainability<sup>10</sup>.

The biogas utilization in the Bogem community was only practiced by one person<sup>11</sup> during the CEP project implementation unlike in the Banyuripan community which practiced by groups of people. Also unlike the practice in the Banyuripan community, the one that practice

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<sup>9</sup> The biogas digester that installed by Gadjah Mada University was considered as simplify and temporary biogas digester. It was made from Polyethylene plastic and PVC pipe. The biogas digester with the size of 4m<sup>3</sup> can produce 1.4m<sup>3</sup> biogas. According to one of the user who own biogas digester with the size of 2 m<sup>3</sup>, the gas produced can only used for making a tea or cooking instant noodle. To use the gas again they must wait for quite a while.

<sup>10</sup> The management include who can use the well, how to use, who and how to maintain the well.

<sup>11</sup> This person is the key informant of this research.

the biogas utilization in Bogem has manage to improve his knowledge and practice for biogas utilization. Just like the practice in the Banyuripan, he implemented the temporary biogas which is made from Polyethylene plastic and PVC pipe. Along with time he improved the biogas digester himself start with expanding the size and make it semi permanent by using cement. The improvement was quite successful in term of gas production. Another improvement was made for better and more efficient biogas by making the biogas digester permanent and changed the shape. The new biogas digester which is currently used had proven to be very successful because the owner no longer needs to buy the gas to cook without any waiting interval.

Aside from the visible maintenance of CEP outputs, the community is considered suitable for number 5 statement because apparently the farmer groups especially Pok Eyub had been taking practice in implementing the community participation capacity in their organization. The members is actively discussing, planning, implementing, and evaluating projects that can improve their welfare and pushing the community towards better development.

#### 4.1.2 Local Leadership

Location	Before the project (2008)	After the project (2010)
Banyuripan	4	4
Bogem	4	4

For both communities, the key stakeholders gave statement number 4, “there is leadership within the CEP program and it is supported but leaders struggle to find adequate resources to take action”, as suitable situation that describe the community capacity during the project implementation. Since the program was handled by the local farmer groups, the leadership was automatically taken by the leaders of the groups. These leaders encouraged their members to actively participate in the programs and give their best effort to ensure the success of the program and the members trust and follow their leaders.

The key stakeholders did not see any changes in local leadership capacity after the completion of the program. The reason is in both Bogem and Banyuripan communities there are not many skilled local leaders who can support all the action needed by the community. The leaders have their skills, opportunity, and support from the community but find it hard to find adequate resource to take action. It was understandable because as underdeveloped villages,

Bogem and Banyuripan do not have many resources that can be use for developing the community.

In the case of Bogem village, the leaders has been struggling with the lack of resource by initiating partnership with outside agent such as inviting NGO for implementing community development program in their village. The CEP program was one of example of such partnership. The Pok Eyub farmer group has unique leadership structure in their organization which allows each leader to concentrate more in their job and their members. Instead of having one absolute leader, Pok Eyub has three leaders with equal footing and different responsibility. The first leader deals with government official and bureaucracy needed. The second leader deals with the practical field experience in farming such as irrigation and planting system. The third leader deals with network and group members' regeneration.

From the interviews and observation, it was apparent that the leaders have vast influence in the group members' action and decision making. According to some of the member, they trust their leader and tend to follow them without question. They said that the leaders must have good reason behind their every decision so as good member they have to follow them. This situation apparently common situation in the rural area where the member tends to follow their leader without any questions thus making the role of the leader became very important in dictating community capacity for development.

The hindrance for the community to improve the situation into statement 5 where “there are many skilled local leaders within the CEP program who reflect the needs of the community and have found the support also opportunities needed to take action”, is that the community does not have many candidate of young leaders. As stated in section 3, most of the young people in the villages tend to go to the big cities as soon as they finish their high school and the one that practicing agriculture mostly in age of forties to sixties. In fact from 45 members in the Pok Eyub, only five people that in age under forty years old and the rest range from forty to seventy years old. This situation makes regeneration process become difficult.

#### 4.1.3 Organizational Structure

Location	Before the project (2008)	After the project (2010)
Banyuripan	3	4
Bogem	5	5

During the implementation, the CEP project was organized by Gadjah Mada University as one of its community empowerment program field practice together with the local farmer groups. The assessment given for this domain is closely linked with the role of the local farmer groups in the CEP project.

For Banyuripan community, the key stakeholders thought that statement number 3 where “there is a formal council/committee/task team but no way to ensure its accountability with all people involved in the CEP program and only somewhat receptive to community needs” as statement that best represented the situation at that time. The formal committee here will be Sumber Makmur farmer groups. The farmer group is formal organization that is recognized by the local government and the ministry of agriculture.

According to the interview with the current board member of Sumber Makmur, Sumber Makmur as a group has been established since long time ago but it has been inactive and only left by name until the new organizational reconstruction in 2008. Since the appointment of new board members in 2008 by the village official, the group has been reactivated and the activities had been resumed. The group started to hold regular group meeting once every thirty five days to discuss about the problem and solution of the farmers. The income of the group came from the membership dues (*iuran anggota*) and fertilizer<sup>12</sup>.

The key stakeholders notice that there is change in community capacity domain after the completion of the CEP project. The current situation is perceived to be suitable with the statement number 4 where a council/committee/task team exists and is somewhat accountable to the CEP community and to community needs. The key stakeholders seemed to see that in the beginning of the project, since the farmer group is quite new it has not showed their accountability towards the community yet but over time it has proven to be accountable to the community especially towards the community needs.

In regards of Bogem community, the key stakeholders thought that statement number 5: “An effective infrastructure or council/committee/task team exists to address and reflects community needs. It is supported and sustained by the community partners and others. There are links with other organizations in the community”, are the suitable statement at the beginning of

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<sup>12</sup> The group sells fertilizer to its member slightly under market price. Another benefit is that the group usually accepts payment in installment and the members can even take the product and pay later.

the CEP project. The farmer group, Pok Eyub, has already well developed and has a strong organizational structure. It even has its own unique trait that differentiates it with the other farmer group in the community. Pok Eyub also had a sustain relationship with outside links not only with government and village official. It has good network with the other farmer group under supervision of local NGO. The organizational structured of this farmer group can be seen in below figure.

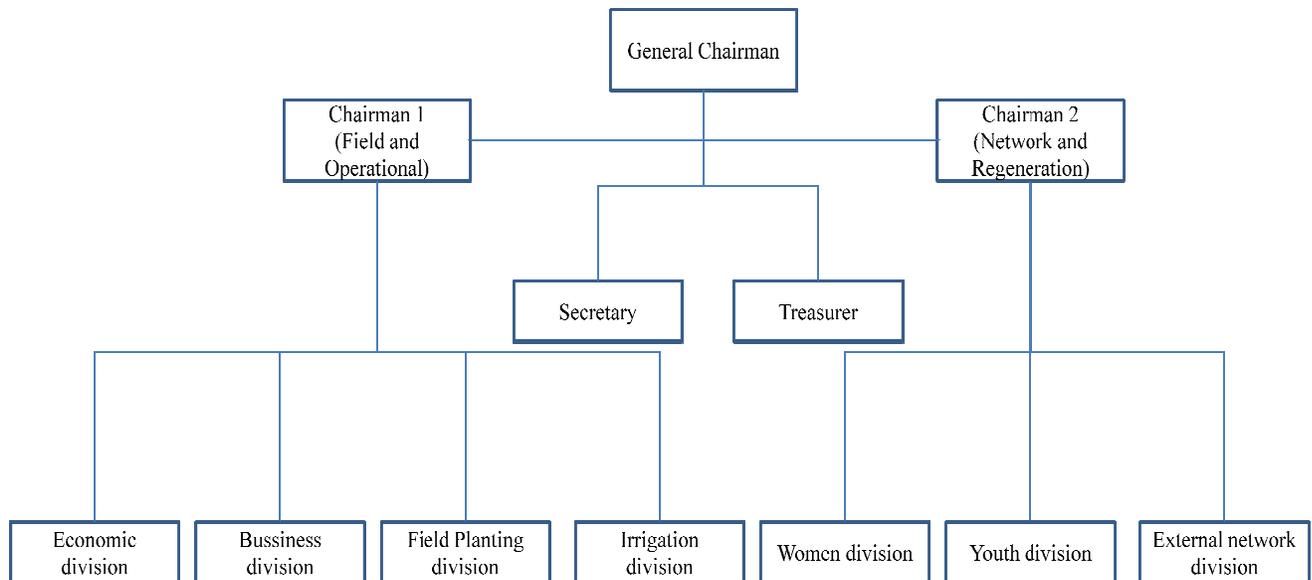


Figure 4.1 Pok Eyub’s Organizational Structure

Like Sumber Makmur in the Banyuripan community, as a farmer group, Pok Eyub has already existsince 1974 but it was in a state of inactive until 2007. In the 2007 with the help of NGO, Pok Eyub started to reform their structure as shown in the figure 4.1 and resume their activity. The members started to have regular meeting, trainings, and generating income for the organization. They also started to keep records and straighten their administration.

According to the key stakeholders, Pok Eyub has unique and well structured organization. The figure 4.1 gives the illustration in the three leaders’ trait that was mentioned in the previous domain, local leadership. Each leader has their own responsibility and supervises some division. Under the field and operational chief, there are economic division and bussiness division that have responsibility in creating income for the organization. The divison of field planting and irrigation have the responsibility to improve the agricultural skills of the members. The network and regeneration chief held responsibility in building networks outside the community whether it is with NGO or with other farmer groups. Under the supervision of this leader there are activities

that intended to women and youth especially for leadership training. This structure gives strength to the organization in various aspects such as regeneration, networking, learning system, economic and financial aspect.

The key stakeholders thinks that the community capacity after the completion of the project still held the best rank (number 5 statement) as Pok Eyub still has very strong community capacity in organization structure domain.

#### 4.1.4 Problem Assessment Capacities

Location	Before the project (2008)	After the project (2010)
Banyuripan	2	4
Bogem	3	4

Key stakeholders gave a low assessment for Banyuripan community in their community capacity in term of problem assessment capacity during the implementation of CEP project in 2008. They thought that the community has already aware of their problem and they also could identify their own problem but they lack the skills and confidence to take any action regarding to their problems.

As mention in the previous section, during the initial mini workshop, the community has been asked to identify their problems and their potential in order to design the CEP activities in their village. Gadjah Mada University helped to improve the community capacity in form of assisting the community to acquire the skill and confidence they need to make action. Gadjah Mada University gave various training and opportunity to learn from other community in regards to take action for solving the community problems. Thus after the completion of the project the key stakeholders thinks that the community capacity has been improved vastly. Now they think that the community is able to identify problems and is beginning to identify solutions and take action to resolve these problems.

During the interviews and observation, it was noted that the community has been thinking about future development and no longer hung up in their lack of resource. Instead of dwelling in their lacking they start to think how to acquire the resource from outside the community. In one of interview, the board member of Sumber Makmur farmer group said that they made proposal to

the local government in order to improve the agricultural activities in their village and right now they are waiting for the result whether their project can be implemented or not.

Bogem community has slightly higher assessment than Banyuripan community in the beginning of project implementation. The key stakeholders think that the community is able to identify problems, and they have some skills and support to take action. One of CEP activities in the Bogem community was initially a program that has already planned by a working group in Pok Eyub farmer organization. The project was to build a well in the river to help providing irrigation water for the farmers. The interview with key informant revealed that if there is no CEP, the project most likely will be implemented but maybe not in the immediate time. The CEP helped the project to be implemented sooner than expected. This proved that the community already has the skill and support they needed to take actions.

After the completion of the CEP project, Bogem community capacity in the domain of problem assessment capacity improve into statement 4 where the community is able to identify problems and is beginning to identify solutions and take action to resolve these problems. The CEP activities were the examples of the community capacity in the identifying solution and implementing it into action as the activities were mostly planned by the community.

Both the communities have shown that they can identify their own problem and by engaging in CEP they learnt to use their skill and support for taking action to solve their problems. But from the observation, most of identified problems are mostly the problem that lies in the surface, problems that are directly connected with daily life and community livelihood. The community did not yet dig further about their problem for example the problem where the young generation tends to go to big city and left the village with elder people and children. This situation might not create problem now and maybe give immediate benefit to them because they will have money from the job in the city but in the future when all the productive age are gone from the village, the village will have to face serious problem with their lack of human resource.

#### 4.1.5 Resource Mobilization

Location	Before the project (2008)	After the project (2010)
Banyuripan	2	3
Bogem	3	3

During the initial implementation of CEP project, Banyuripan community only managed to mobilize the internal resources. The community is unable to negotiate and acquire adequate external resources. Thus it limited the ability of the community in taking any action to solve their problems. By the help of CEP projects, in the current situation, the community has increasingly mobilized resources and also able to and acquire adequate external resources, but there is no collective decision about distribution. Resources that have been mobilized have limited benefits. The community did not have strong network to acquire resource from the outside and there is no solid groups that manage to distribute the resource evenly.

The Bogem community also has increasingly mobilized resources and also able to and acquire adequate external resources, but still there is no collective decision about distribution. Resources that have been mobilized have limited benefits. This situation has not change from the beginning of project implementation until now. Although Bogem community has a better chance than Banyuripan community in acquiring external resources due to the networks with outside agent and NGO, the distribution of the resource itself has not yet adequate. To have collective decision in resource distribution is very hard to do.

While social cooperation is commonly known in the rural community, the economic cooperation is still very hard to achieve. The community can be unselfishly volunteering to clean the village together once in a while, visiting the sick neighbor, and held social gathering once a month but to unselfishly share the economic benefit is not as easy as that. This was proven by several failure cases in livestock revolving<sup>13</sup>. The failure case was mostly because it was common asset, people tends to maximize the benefit without thinking about the other or the future. Thus the asset cannot rotate among the members and they cannot get the benefit from it.

#### 4.1.6 Critical Thinking (Ability to Ask Why)

Location	Before the project (2008)	After the project (2010)
Banyuripan	2	2
Bogem	2	3

<sup>13</sup> Livestock revolving (*Perguliran ternak*) is a case where there is one or few livestock own by a group not individual. The livestock were given to the individual member of the group to taken care until it breeds. This individual has right to keep the breeding and the livestock is given to another members. The benefit from this activity is that the initial capital was shared together.

The community capacity in critical thinking of both Banyuripan and Bogem community assessment are low. In the Banyuripan community the key stakeholders identify that there are small group discussions being held to ‘ask why’ about community issues and challenges the received knowledge in the beginning of the CEP project. The community has tendency to discuss the matter offered by the CEP official and try to suit the matter for community benefit. This was noticed during the mini workshop held by Gadjah Mada University in the beginning of the project. But apparently the key stakeholder was not sure whether this group discussion still existed or not after the completion of the CEP project. From the interview, it was noted that the Sumber Makmur farmer group is often hold discussion that address the community problem. But usually the content of the discussion is only revolving around the agriculture activities. The topic beyond that such as social, political, economic, and other causes if inequalities are not topic of such discussion.

The key stakeholders assessed Bogem community in the same level as Banyuripan community in the beginning of the CEP project. They noticed that in Bogem community there are small groups that discussed about community issues and challenged the new knowledge that given to the group. This small group has already existed even before the CEP project taken place. The key informant in this research is member in this small group along with the board members of Pok Eyub farmer group and few village officers. Their discussion ranged from agricultural activities to the social and economical issues in the community.

In the current situation, key stakeholders feel that the small group has been expanded into much larger group discussion. This was when the discussion was brought to the monthly meeting of Pok Eyub farmer group. Since the farmer group has varied its activities not only limiting themselves in the planting system and irrigation only but branched to the business aspect of agriculture such as rice milling, marketing their own organic fertilizer, and marketing the rice production outside the community, the discussion is expanded to other aspect of community life. Thus the key stakeholders feel that statement number 3: “Large group discussions are being held to ‘ask why’ and to listen about community issues. The group has the ability to reflect on their own problems and why they have these problems. The group is able to challenge received knowledge”, are more suitable to describe the current situation of community capacity.

#### 4.1.7 Link with Others

Location	Before the project (2008)	After the project (2010)
Banyuripan	1	2
Bogem	3	4

For this community capacity domain, the key stakeholders gave low rank to the Banyuripan community. According to them, in the beginning of CEP project, the community has no links with other organizations and NGOs. The community also did not pursue any links and no one is approaching the community to build partnership. The only outside network in the Banyuripan community was the network between community (Sumber Makmur farmer group) and the local government of Klaten regency especially regarding to the agricultural activities.

After the implementation of the CEP project, the community is more open to the outsider. The community make network with the Gadjah Mada University and the other farmer group from outside Banyuripan village which in the same CEP project such as Pok Eyub farmer group. The link was maintained even after the completion of the CEP. Soon after the completion of the project, Gadjah Mada University back to the community with their own program called community empowerment program field practice in the end of 2009. Although the program continued to give support in maintaining the CEP result, the program itself was independent from CEP and JICA Indonesia.

The link with other farmer groups is maintained informally. There was never a formal forum in knowledge exchange. The knowledge transfer was done by visiting each other and tried to learn from others experiences. From interview with the leader of Sumber Makmur farmer group, he once came to Bogem village to learn about implementation of permanent biogas digester. Looking at this, the key stakeholders feel that there is change in the community capacity from the beginning of CEP project implementation to the current condition where the project is already completed. They thinks the community capacity is improve to statement number 2 where the community has informal links with other organizations and people, but these organizations are not involved in collaborating for community activities and development.

For Bogem community, the key stakeholders noticed that the community is more open to the outsider than Banyuripan community. Bogem community has already established network and partnerships with outside links such as NGO and the partner is involved in collaborating for

community activities and development. One of potent collaboration between Bogem community and NGO is the partnership between Pok Eyub farmer group and one of local NGO in 2007. This partnership was the one that enable the Pok Eyub organizational restructuring. The NGO assisted the community to rebuild the farmer group and give support needed such as managerial training and financial backup. After the group was successfully rebuild, the NGO then assists the group with agriculture activities, giving training about farming system, irrigation, and giving opportunity to make network with other farmer groups under their supervision.

Pok Eyub farmer group also has network with other farmer groups in the Klaten regency. This farmer groups collaboration form a forum where they can meet and exchange experience so that they can expand their knowledge. The forum is consisted of nineteen farmer groups that located in the Klaten regency.

Aside from having partnership with the other farmer organizations and NGOs, the Bogem community also has support from the local government. Many of farmer group activities were supported by the local government in term of technical assistance and sometimes financial support. Thus with the experience in having many links with outsiders, Bogem community is easy to welcome the outside agent that want to have collaboration with the community. Such example is the way the Bogem community welcomed Gadjah Mada University and CEP projects. The key stakeholders saw these as the improvement in the community capacity in regard of link with others. They think that statement number 4: “The community has many partnerships and the organization provides a welcoming environment to other agencies. There is recognition of the need to link with other organizations and NGOs for strategic purposes”, are the most suitable statements to describe the current situation.

#### 4.1.8 Role of Outside Agents

Location	Before the project (2008)	After the project (2010)
Banyuripan	4	4
Bogem	4	4

For this domain of community capacity, both communities did not experience change from the early CEP project implementation to the current situation. The key stakeholders think that the statement number 4: “The community makes decisions with support from project

coordinators. Project coordinators facilitate change by training and offering support”, are suitable to identify the community capacity.

During the CEP project, most of the decision was made by the community themselves with the support from CEP project coordinators. The community decided what type of activities they want to engage with. They were the one that identify the problems, seeking for solution, and implementing the action to solve the problem. The project coordinators only facilitate the community by giving training and offering technical support.

#### 4.1.9 Program Management

Location	Before the project (2008)	After the project (2010)
Banyuripan	3	4
Bogem	3	4

The program management in both of Banyuripan and Bogem community was carried out by community members supervised by project coordinators. Decision making methods are agreed upon mutually. To decide the program activities, the community had discussion with the Gadjah Mada University. Together they assess the plan, the resource needed, the support existed, then decide whether the activity feasible or not to be implemented. Thus the key stakeholders selected statement number 3 as the assessment of community capacity in this domain.

After the completion of the project, the program is carried out by the community and Gadjah Mada University only involved when they were asked by the community. Support is still given by the program coordinator but only in the consultation basis. The program coordinators from Gadjah Mada University are still in close contact with the key agents in both communities. They are often discussing about the program and future development of the community. According to the key informant in Bogem community, he often discusses the development of the biogas utilization with the program coordinator. He has the idea to use biogas as source of electricity and he said that the Gadjah Mada University is interested to develop the idea further. Thus the selected statement for the assessment after project completed was deemed appropriate. The selected statement for this domain is statement number 4: “The program management is carried out by community members with limited assistance from project coordinators. The

community is involved in planning, developing policies, and evaluation of the program. Roles and responsibilities of community members are clearly defined.”

## 4.2 Impact of the Community Empowerment Program to the Community Capacity

### 4.2.1 Community Capacity Assessment Framework

The purpose of this study is to analyze the impact of the grass root official development program on community capacity development towards sustainability. To serve its purpose, the study used qualitative case study approach. The selected case is one project in the community empowerment program by JICA Indonesia. Figure 4.2 shows the research framework used to assess community capacity in the selected case study.

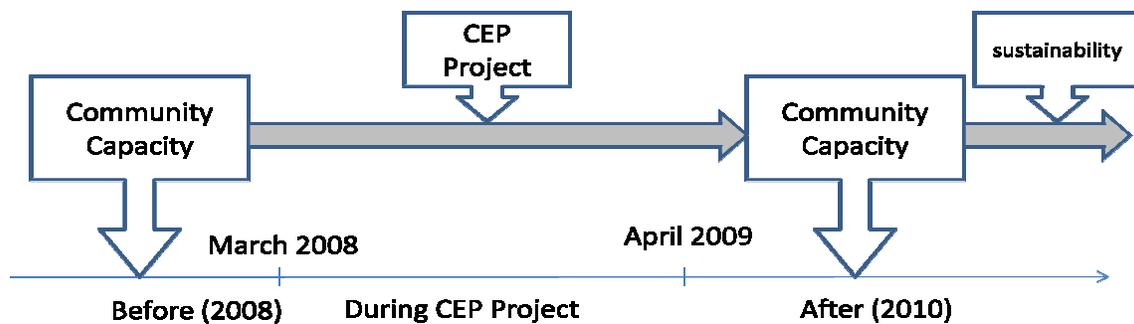


Figure 4.2 Research Framework on Community Capacity Assessment

The community capacity was assessed in two different time frames which are in the early implementation of the project or simply called before the CEP project in 2008 and after the completion of the project or the current situation in 2010. The purpose of this assessment is to see the changes in the community capacity caused by CEP project that took place in March 2008 to April 2009. The changes in the community capacity will be considered as the development of the community capacity, in which it was expected that the community capacity development can be sustainable.

### 4.2.2 Changes in Community Capacity

As explained in the previous section, there are two communities assessed. Since both communities have very similar characteristic in their demographic, geographic, and economic condition, it was interesting to see whether the impact of the project on community capacity will be similar or not. It was expected to get more understanding from this comparison rather than only focusing in one community.

The changes in the community capacity domains of Banyuripan community can be seen in the figure 4.3 below.

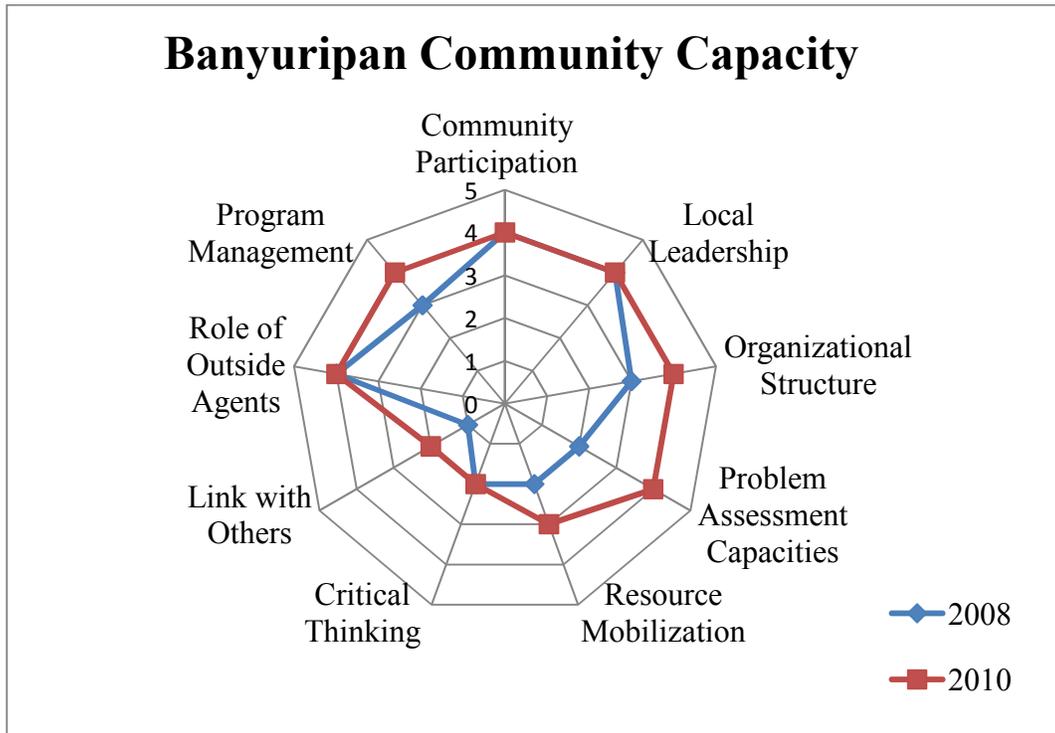


Figure 4.3 Banyuripan Community Capacity Domains

From the assessment by the key stakeholders, Banyuripan community capacities apparently range from the lowest rank statement (1) to the high rank statement (4). The community did not manage to receive the assessment for the highest rank statement (5) for all the domains which leaves the room for improvement in the future.

In the beginning of the CEP project implementation in the 2008, the community capacity was quite low in few domains such as link with others, critical thinking, resource mobilization, and problem assessment capacities. For other domain such as community participation, local leadership, and role of outside agents, the community received high assessment.

As for the community capacity after the completion of the CEP project in 2010, it was noted that the capacity domains are improve at least one notch higher than the previous assessment. But it seems that some capacity domains such as community participation, role of outside agents, local leadership, and critical thinking are not affected because it was not change from 2008 to 2010 assessment.

Community capacity assessment for Bogem community shows that the assessment ranks are in the high level of community capacity. From nine community capacity domains, only critical thinking domain received statement rank under value of 3. The other domains range between statement ranks 3 to 5.

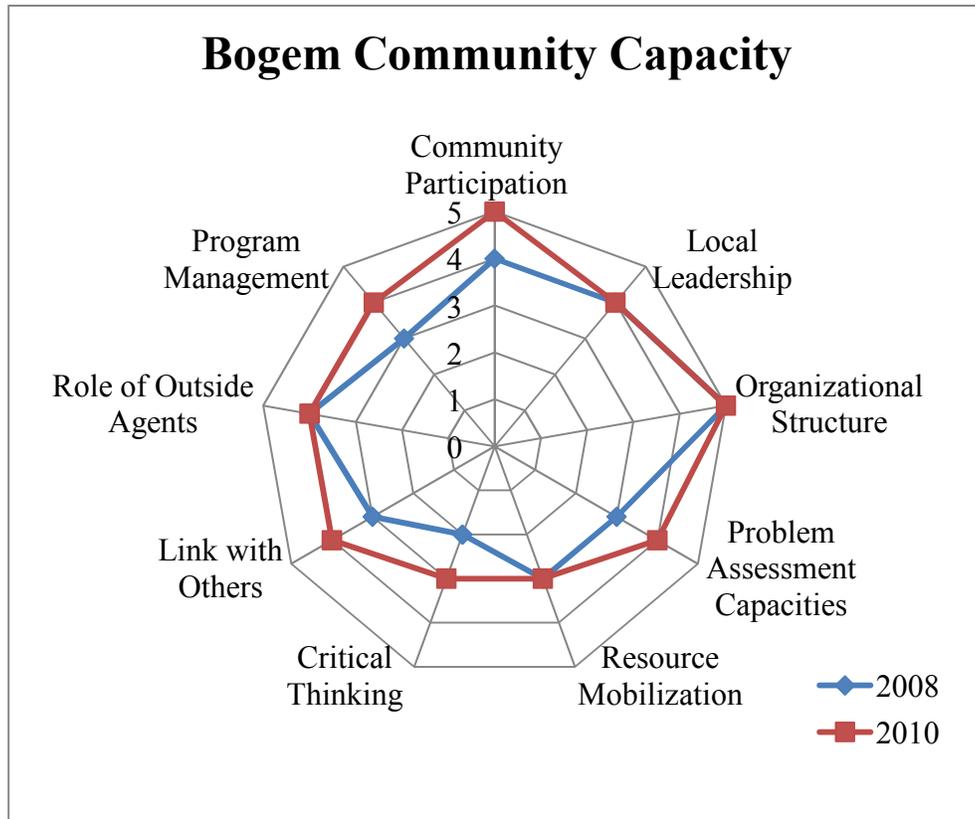


Figure 4.4 Bogem Community Capacity Domains

From the figure above, it is noted that most of community capacity domain in the current time frame has improved one notch higher from the beginning of the CEP project in 2008 such as community participation, problem assessment capacities, critical thinking, link with others, and program management. Few capacity domains that are not change are local leadership, organizational structures, role of outside agents, and resource mobilization.

When the Banyuripan and Bogem community are compared, it was noticed that there are few domains that equally improve and equally not affected. The improved domains both in Banyuripan and Bogem community are problem assessment capacity, link with others, and program management. The not affected domains are local leadership and role of outside agents.

The other domains such as community participation, organizational structure, resource mobilization, and critical thinking are has different treatment. For community capacity domain, it

is improved in the Bogem community but stay the same for Banyuripan community. The same happened for critical thinking domain. Bogem community experienced change while Banyuripan community stayed the same. For both organizational structure and resource mobilization domains, there are changes in the Banyuripan community but no change found in the Bogem community. The changes are improvement in both community capacity domains for Banyuripan community.

Although from the assessment we can see that there are improvements in the community capacity domain before and after completion of CEP project, we cannot easily conclude that the CEP project gives positive impact in the community capacity development. We also cannot easily measure how much the CEP project affects each and every community capacity domain. There are other variables that could affect community capacity. These variables can come within the community themselves or from outside of the community. We can only make careful notes and consideration from the interviews and discussions with the stakeholders, observations, literature and document reviews of the projects so that we might able to see how the project affect the community capacity.

From the interview with local communities, many admitted that the project gives them benefit especially in the knowledge acquirement and learning process. The project has enabled them to learn about their own problem and potential, to discuss about community issues, to act with information and resource that available. With the constant mini-workshop and dialogue with Gadjah Mada University, the communities feel that they have given opportunity to improve their capacity in problem assessment domain. According to the program coordinators it was exactly what they are intended to do by conducted many discussion and mini workshop with the community. They wanted to teach the community to be able to identify their own problem so that in the future they know how to address the community issues without have to depend on assistance from outside agents.

Another benefit that mention by the key stakeholders are the CEP project gave opportunity for the community to open link with outsiders. Banyuripan community improved from community that did not have any link with others to a community that have informal link with others. CEP project open the network for Banyuripan community to establish partnership with other farmer organization and especially with Gadjah Mada University. For Bogem

community, the CEP project added the network that they already have. The partnership with Gadjah Mada University gives value added to the community especially in knowledge transfer.

Due to the collaborative management program, the community have benefited from the CEP project in term of the ability to manage a program. CEP project coordinators always make sure that they include the community in every step of the project including the design, planning, implementation, and evaluation. Thus after the completion of the project, the community are able to manage the program by themselves. Such example is after the completion of the project it was noticed that the community are more active in planning new program for the development of their community.

The CEP project also gives opportunity for the community to implement the community capacity that the community already have. Like the way CEP project become the learning process of the farmer groups thus improve the community capacity in organizational domain in the Banyuripan community. The Sumber Makmur farmer group in Banyuripan community was reestablished in the early 2008 when the CEP project was implemented. The farmer group had learnt their practice in organizing and managing the project when the project coordinators asked the farmer group to collaborate with them. Thus in a way the CEP project has some role in improving community capacity in term of organizational structure domain.

The same notion can also applied in the community capacity in the resource mobilization domain for Banyuripan community. CEP program also open the opportunity for the community to acquire resource from external source and mobilize it for their interest. Because the Banyuripan community did not have links with others it was difficult for them to acquire resources from outside their community. By establishing link with others during CEP, Banyuripan community has also opened the opportunity to acquire resources from outside their community. They received training, technical support, and even financial support from their new links.

Bogem community also received the same benefit like Banyuripan community in the same notion, although it was applied in different community capacity domains. From the interview with key informant in Bogem community, he said that during CEP project, the community has learnt many things in term of community participation and critical thinking. The community has somehow maintained the activities to participate in group discussion, decision

making, and planning the future direction of the community development. They also started to have discussion to address the community issues in many aspects of their live.

#### 4.3 Community Organizing and Community Capacity Development

As mentioned previously, there are many variables that could affect community capacity. These variables can come within the community themselves or from outside of the community. Since we can consider CEP as one of outside factor that can affect the community capacity, it will only fair if we also consider some internal factor from within community that can affect the community capacity directly or indirectly<sup>14</sup>.

CEP project is a project that emphasizes the importance of the community involvement in carrying out the project implementation thus it depends on how well the community can act together in their shared-self interest. The act of mobilizing community is called community organizing. It involved the craft of building an enduring network of people, who identify with common ideals and who can act on the basis of those ideals. Community organizing can refer to the entire process if organizing relationships, identifying issues, mobilizing around those issues, and building an enduring organization (Stall and Stoecker, 1998). When Gadjah Mada University came to both Banyuripan and Bogem community, the communities have already familiar with acting collectively in a structuralized organization. In fact the CEP project coordinators asked the existing organization (farmer groups) to collaborate in implementing the CEP project.

Community organizing has four characteristics that can closely relate to the community capacity development. Those characteristics are human nature and conflict, power, leadership development, and organizing process<sup>15</sup>.

##### 4.3.1 Human Nature and Conflict

Alinsky (1971) stated that modern society is created out of compromise between self-interested individuals operating in the public sphere. Alinsky argued that a career as community organizer had to come before all else even before the family. A community organizer must be willing to sacrifice their self-interest and place the community-interest above all. This statement

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<sup>14</sup> It is safe to say that the community already has the capacity before the CEP program is implemented. This notion can be proved from the community capacity assessment before the project is implemented in 2008.

<sup>15</sup> These characteristic was derived from Alinsky's (1971) model of community organizing also from Stall and Stoecker (1998) model of women-centered community organizing.

was supported by the community organizer in the Bogem community. He mentioned that at the early stage of organizing the Pok Eyub farmer group, he had to focus all of his attention for the group. He said he had to stop working for approximately three months in order to reestablish the farmer group<sup>16</sup>.

The act of getting rid the self-interest in order to fully committed in community organizing had proven to be unappealing for most people. From the interview with the community organizer in Bogem village, he stated that it is very difficult to look for new cadre in community organizing whereas the existence of the new cadres is really needed to ensure the sustainability of community organizing.

From the interview with potential cadre, he said that it was really difficult to place the community-interest above all and follow Alinsky concept where the role as community organizer must had to come before all else. He said that he also cannot act like the previous community organizer who did not work for months in order to reestablish the farmer group. He said that although he understands the importance of the community organizing, he cannot abandon everything else just so he can focus in the group.

It was understandable for people to choose not to follow Alinsky concept. Thus it is important to find another concept that can comply with the situation. Stall and Stoecker (1998) come with concept of connectedness with others and express the common interest in the community. Instead of rely the whole community organizing process in the hand of selected individuals as organizer; it was better to share the responsibility within the community. Such concept will give greater learning experience for the community as well as exercising their skill and capability toward community capacity development.

#### 4.3.2 Power and Empowerment

According to Stall and Stoecker (1998) community organizing concept, power begins in the private sphere of relationships and thus is not conceptualized as zero-sum but as limitless and collective<sup>17</sup>. Co-active power is based on human interdependence and the development of all within the group or the community through collaboration. The goal of the community organizing

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<sup>16</sup> The organizer is a freelancer handyman. He took whatever works available that in line with his skill. If he did not work then he did not have any income.

<sup>17</sup> Power as zero-sum concept was come from Alinsky's community organizing concept where since the power occur in the public sphere the only way to get more power is by taking it from someone else.

is empowerment, a developmental process that includes building skills through repetitive cycle of action and reflection that evoke new skills and understandings, and in turn provoke new and more effective actions (ECCO, 1989; Kieffer, 1984). Empowerment includes developing a more positive self-concept and self-confidence, a more critical worldview, and the cultivation of individual and collective skills and resources for social and political action.

Laverack and Wallerstein (2001) stated that empowerment promotes capacity building of heterogeneous individuals who have shared interest and concern, and strengthen their sense of struggle and community activism through the process of community empowerment. This is reflected in their ability to move toward the small group activities, organizational structures and links with others outside the community, along with an increased awareness of the broader social and political issues.

#### 4.3.3 Leadership Development

Leadership is considered to be central issue in the community organizing and community capacity development. Leadership is defined as the ability of a member(s) to articulate vision, assess needs, encourage and support contributions, and engage in legitimate decision making to produce a high quality valued product and community satisfaction (Laverack, 1999). Leadership also closely related to other community capacity domain especially community participation. Leadership requires a strong participation base and participation requires the direction and structure of strong leadership. Both leadership and participation plays important role in the development of groups and community organization.

Community organizing gives room for leadership development. Community organizing is premised on the belief that all community members have the capacity to be leaders or organizers. In a group centered community organizing where the community mentoring each other as they learn the organizing process is where the premised belief is exercised thus it might help the development of local leaders (Stall and Stoecker, 1998).

#### 4.3.4 The Organizing Process

The focus of community organizing is to build an enduring formal organization that can claim and manage power and resources for the community. The organization is supposed to build from the community's preexisting formalized organization base on common interest in the

community. Such concept has been implemented in the Bogem community when the NGO help to reestablish Pok Eyub farmer group. Pok Eyub farmer group is a formal group that recognize by the government official in Klaten regency and instead of build the organization from the scratch, the organizer rebuilding the old organization into the new Pok Eyub farmer group.

The organization represents the way in which people come together in order to socialize and to address their concern and problem. The existence of and the level at which these organization function is crucial to community capacity development (Laverack, 1999). This notion was proven in the implementation of CEP project in both Banyuripan and Bogem community. As mention in the section 4.1.3, both Banyuripan and Bogem community have strong organizational structure capacity. This capacity was the result of the community organizing process in each community. Banyuripan community has undergone organizing in the 2008 which formed the new organizational structure of Sumber Makmur farmer group. The same situation also happened in Bogem community. In 2007, Pok Eyub farmer group has undergone organizing that formed the current organizational structure. This organizing then proven to aid the implementation of CEP project.

#### 4.4 Agency Approach in Community Capacity Development

Another strength point of the community is that the community had reliable local agents who have big motivation in maintaining and developing the result of the CEP program. For example in the Bogem community, the program coordinators considered that the CEP program is successful due to the impressive development of biogas utilization from one of the agent in the community. They believe that if the agent can successfully implement biogas, the community will see the example and then follow it. Thus if the knowledge and its implementation can be wide spread in the community, it will serve the purpose of the whole program.

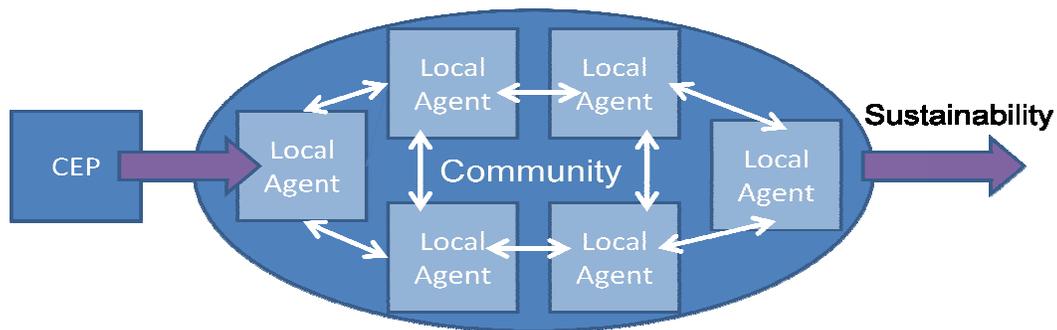


Figure 4.5 CEP Project Framework in Concept

To deliver the project, CEP uses the local agent as the intermediate means to the community. The reason they choose to use indirect way instead of dealing directly with the community is because CEP is a small scale project with very limited resources. It was illogical for them to try dealing with the big scale of treatment since it would be out of their capacity. So instead of dwelling with big scale community, they choose to deal with small scale groups of agent or actors in the community and treat the community as network of people<sup>18</sup>. Such networks are a powerful means of distributing knowledge and can lead to the reconciliation of previously competing information, interests, and agendas (Dale and Onyx, 2005). Thus the CEP relied to the ability of the local agent and the community network for the success of the project.

In reality, the concept was unfortunately proven to be not applicable in the Banyuripan and Bogem community. Although the implementation was quite successful for the local agent, it was not delivered properly to the community. The community still did not follow the step of the successful local agent in implementing the result of CEP project. The figure 4.6 illustrates the disconnection of the concept.

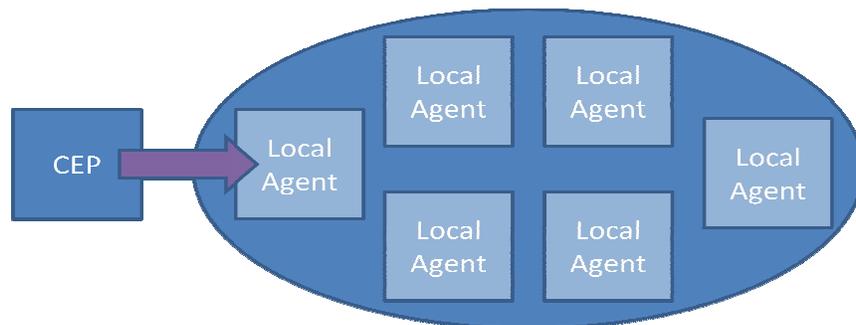


Figure 4.6 CEP Project Framework in Reality

To understand the reason for the disconnected relationship between local agent and the community we better look at one example case in the Bogem community. It is the example of the success case of biogas utilization implementation in the Bogem community.

Biogas utilization project emerged from the idea to utilize the livestock manure given that in the Bayat municipal most of the villagers practice animal husbandry especially cow husbandry. The manure is usually just piled in the open area waiting for natural composting process. Such condition usually caused an environmental disturbance to the community such as causing the unpleasant odors and not to mention the green house gas remittance from this decomposing

<sup>18</sup> According to Borgatti and Foster (2003), community is network composed of actor connected by ties and different ties create different networks.

process. This problem can be solved by the implementation of biogas technology with two advantages. The first advantage is the supply of gas for cooking purpose. It will lessen the need of LPG, kerosene, or firewood that usually used by the villagers to cook. The second advantage is that the residue can be used as organic fertilizer with high nutrients for the farm fields.

The biogas digester was made using cheap and simple material. The main material was PVC pipe and Polyethylene that can be found easily in the area. The installation will have capacity approximately 3.8 m<sup>3</sup> and last for two years. The average cost to make one unit of biogas digester is Rp. 500.000,00 or 55 USD.

In Bogem village, one local agent was implemented the technology. At first he implemented the biogas digester that is made from plastic and PVC pipe but the volume of gas produce was too small for his liking. Along with time he improved the biogas digester himself start with expanding the size and make it semi permanent by using cement. The improvement was quite successful in term of gas production but he met few problems in efficiency and maintenance of the digester. He then made another improvement for better and more efficient biogas by making the biogas digester permanent. The new biogas digester had proven to be very successful. The local agent now does not have to buy LPG for cooking anymore, sometimes he even have to adjust the biogas digester because the gas is overloaded. Due to the excessive amount of gas production, the local agent has idea to use the biogas as the source of electricity. This idea was proposed to Gadjah Mada University to overlook the possibility. Looking at the situation, the community should have convinced that the technology is worth to be applied. But in the reality, none of the community followed the local agent to implement biogas.

JICA and Gadjah Mada University argued that the problem was in the uneven network strength between people in the community. As mentioned before, the CEP in Bogem community is a collaboration works between JICA Indonesia, Gadjah Mada University, and two farmers group called Pok Eyub and Bhakti Makmur. Although in initial implementation the collaboration was with two farmers group, in the process only one farmer group that actively involve which is Pok Eyub farmer group. So during the CEP project implementation the members of Pok Eyub farmer group obtained the benefit of the program.

The situation was not supposed to be problem because it did not matter who is the local agent. The important matter is the existence of the local agent so that the CEP can be delivered to the community. In this case the local agent is Pok Eyub farmer group. According to the CEP

concept framework, Pok Eyub farmer group must delivered the CEP concept to the other groups in the community.

In the reality, most of the CEP output was not properly distributed outside Pok Eyub farmer group. The key stakeholders stated that they feel the links between groups in the community is weak thus they said that the community network is too weak to be able serve the purpose of CEP project.

Dale and Onyx (2005) stated that community network can help the community to address the complex issue. The stronger the networks are the stronger its power to deliver the knowledge information, interest, and agenda. According to Newman and Dale (2005), a strong community network must be a combination of bonding and bridging ties in a network of actors.

Bonding tie refers to social networks that reinforce exclusive identities and homogeneous groups. This tie arises out of repeated and ongoing personal contacts, such as those associated with familial interactions or religious group. The bonding tie was found in the Pok Eyub farmer group. The members of the group are living near each other and they know each other closely and personally.

Bridging tie refers to the tie to the other group that can connect people across diverse social cleavages, solitudes, silos, and stovepipes (Newman and Dale, 2005). This tie is the important tie that missing in the case study community. Without proper combination between bonding and bridging tie the network cannot function successfully thus in the case of CEP project, it hinder the transfer of CEP output to the community.

## 5. CONCLUSION

### 5.1 Research Findings

The research result showed that for both communities, the capacity was increased in some domains. Problem assessment capacities, link with others, and program management are those community capacity domains that increased during the CEP implementation for both communities. In Banyuripan community, aside from those domains, the improvement in community capacity domains were also noticed for organizational structure and resource mobilization domains. The same notion is also applied for Bogem community. Aside from those three domains, the improvement also noticed for others domain. Those domains are community participation and critical thinking domains.

If we only relied on the assessment, it can be said that the CEP project has given positive impact on the community capacity development which can be seen from the improvement in five domains from nine domains assessed for both Banyuripan and bogem community. This idea was also supported by the communities themselves. From various interviews, the community members stated that CEP project had given them various benefits. The program had helped them to acquire new knowledge and to learn how to utilize it. According to them, the program has given opportunity to implement their community capacities that they already have. The CEP project had become the learning process of the community in improving their capacities in community participation, organizational structure, problem assessment, resource mobilization, critical thinking, link with others, and program management domain.

Although the impact can be recognized through the assessment, it is not wise to say that CEP project is the only factor that contributed to the community capacity development. From the study it is safe to say that aside from the external factor (CEP project), the community capacity development also affected by internal factor of the communities. The internal factors that can be identified are the community organizing and the role of local agent.

From both communities, it was noticed that they already aware of community organizing concept. Both communities already well developed and familiar with collective action and organization. This familiarity helped when the CEP official came to their village and proposed the program to them. The communities has already strong foothold for developing their capacities and with the program as catalyst, they can further improve their capacities.

The program coordinators had recognized the importance role of local agent in the program implementation and community capacity development. The program had emphasized that the local agent is the one that should transfer the program's concept to the community. The program had placed so much hope in the community self-diffusion. They believed that if the community saw that the local agent can get many benefits from the project, the community will implement the project themselves thus will create self-reliance and lead to sustainability. Unfortunately in CEP Bayat, the idea was not applicable. The self-diffusion was not happening, thus the notion only stopped in specific agents.

The research pointed out that the diffusion from local agent to the community is closely connected with the concept of community network. In the concept of social network where consisted of bonding and bridging ties between community members, for both communities, Banyuripan and Bogem, it was noticed that the network between different groups inside community (bridging ties) are weak. Thus it hampers the diffusion and limited the latitude of local agent in transferring their knowledge to the community.

Based on the description above, it is important for the ODA program to pay attention in community capacity and their internal factors such as community organizing and social networks before implementing the program. Thus the success of the program in delivering community capacity development might be able to guarantee.

## 5.2 Challenge and Limitation

As with any research, challenges and limitations are also associated with this study. One of important limitation in this study is that the study is taken place after the project is completed. From the research framework, the changes in community capacity before and after the project were used as the indicator of the community capacity development. Ideally, the assessment should be taken during the exact time. "Before" assessment should have been taken before the actual project is implemented and the "After" assessment should be taken after the completion of the project. In this study both before and after assessment were taken after the completion of the project. The before assessment was deducted from the key stakeholders memories and documented reports, thus it hold more bias than it should be. This condition also limited the observation method because the before assessment is not observed by the researcher directly like the after assessment.

Another limitation is the involvement of the key stakeholders in the community capacity matrix assessment. The initial plan was to have all the stakeholders (JICA, Gadjah Mada University, and local community) assess the community capacity based on the matrix developed from Laverack (1999) nine domains approach. In reality, the matrix was delivered to only JICA and Gadjah Mada University<sup>19</sup>. The reason why it is not delivered to the local community was after it was discussed with the key persons in both communities, they said it will be difficult for the local communities to hold such assessment as they are not sure that the communities will understand the content and direction of the matrix. To achieve such understanding, detail explanation and direction are needed. Unfortunately, time was a luxury that this study cannot afford. Thus it was compromised that instead of giving the matrix as the assessment tools, semi-structured interviews that holds the essential information of the matrix were conducted as the assessment tool.

One challenge regarding to the methodology in this study is the used of one-to-five rating system of the specific descriptor statement to assess community capacity domain. This system may lead to the assumption that development in each domain is linear or that achievement if the highest numerical rating is most desirable. For example, such assumption maybe that community capacity in Bogem community is ideal given that the assessment for this domain given highest rank or statement number 5. The better assessment method may be needed to give better judgment and better picture to the community capacity development.

### 5.3 Suggestion for Future Research

Laverack and Labonte (2000) pointed out how community empowerment and community capacity development can be a long, slow process that never actually ends. This study only provide information and analysis in the role ODA program as an external factor that can help to develop community capacity towards sustainability. From the discussion in this study it was noted that the internal factor also hold important role in the community capacity development towards sustainability because the community cannot forever depend on the help from outside agent. Thus it is important to find out how the community can maintain their self-reliance to develop their capacities towards sustainability.

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<sup>19</sup> In which unfortunately, Gadjah Mada University cannot delivered the matrix result to the researcher. Thus researcher took liberty in deduct the assessment from interviews and documented report from Gadjah Mada University as the assessment from Gadjah Mada University.

An additional direction is regarding to the integration of social element in the community capacity model. Laverack (1999) model of community capacity does not take into account the social elements of community capacity such as community cohesion, sense of community, or relationship between community members. Instead, it proposes that the organizational elements act as proxies for such social elements. The social elements were supposed to be important notion to gain more understanding in how the community work and what are their internal limitation and challenges. Thus it might be better to incorporate social element in the methodology in the further study.

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## APPENDIX 1: Community Capacity Matrix

Domains	Assessment	Reason Why	Strategy	Resource Required
community participation	1. People are not aware or engage in the CEP program.			
	2. People are aware of the CEP program but very few are directly involved with the program or program activities.			
	3. Many people are involved in the CEP program, but are not involved in making choices or setting direction of the CEP program.			
	4. Many people are involved in the CEP program. They are involved in group discussions, making decisions, and planning the future direction of the CEP program.			
	5. Many people are involved in the CEP program. They continue to participate in group discussions, make program decisions, and plan the future direction of the CEP program. These activities have been maintained for a sustained period of time.			
Local Leadership	1. No leadership is shown by those involved in the CEP Program.			
	2. There is some leadership emerging but there is conflict and struggles for power.			
	3. There is limited, isolated leadership that emerges in response to CEP program issues. There is a desire to lead but a lack of skills, opportunities, or support.			
	4. There is leadership within the CEP program and it is supported, but leaders struggle to find adequate resources to take action.			
	5. There are many skilled local leaders within the CEP program who reflect the needs of the community. They have found the support and opportunities needed to take action.			
Organizational Structures	1. There is no council/committee/task team to support the CEP community organizing around issues.			
	2. A community council/committee/task team has been formed but it is not active, or is very small or unrepresentative of community needs.			
	3. There is a formal council/committee/task team but no way to ensure its accountability with all people involved in the CEP program. The council/committee/task team is only somewhat receptive to community needs.			
	4. A council/committee/task team exists and is somewhat accountable to the CEP community and to community needs.			
	5. An effective infrastructure or council/committee/task team exists to address and reflects community needs. It is supported and sustained by the community partners and others. There are links with other organizations in the community.			

Problem assessment capacities	1. The community is not aware that any problem exists.			
	2. The community is able to identify problems, but lacks the skills and confidence to take action.			
	3. The community is able to identify problems, and they have some skills and support to take action.			
	4. The community is able to identify problems and is beginning to identify solutions and take action to resolve these problems.			
	5. The community continues to assess problems on a regular basis. The community continues to revise issues, come up with solutions, and take action.			
Resource Mobilization	1. Resources are not being mobilized by the community. There is a lack of resources, and competition for any resources that are present.			
	2. Only internal resources are being mobilized. The community is unable to negotiate and acquire adequate external resources.			
	3. The community has increasingly mobilized resources and also able to and acquire adequate external resources, but there is no collective decision about distribution. Resources that have been mobilized have limited benefits.			
	4. The community is able to mobilize resources necessary for continued programming and decide on how to distribute them.			
	5. The community is able to mobilize considerable resources and decide on how to distribute them. Resources have been fairly and effectively distributed.			
Ability To 'Ask Why' (Critical awareness)	1. No group discussions held to 'ask why' about community issues.			
	2. Small group discussions are being held to 'ask why' about community issues and challenge received knowledge.			
	3. Large group discussions are being held to 'ask why' and to listen about community issues. The group has the ability to reflect on their own problems and why they have these problems. The group is able to challenge received knowledge.			
	4. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has some experience in implementing solutions.			
	5. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has the ability to self analyze and improve its efforts over-time. This is leading toward collective change.			

Links with other	1. The community has no links with other organizations and NGOs. No links are being pursued and no one is approaching the community to build partnerships. The community is non-responsive to building new links.			
	2. The community has informal links with other organizations and people, but these organizations are not involved in collaborating for community activities and development.			
	3. The community has established partnerships and partners are involved in collaborating for community activities and development.			
	4. The community has many partnerships and the organization provides a welcoming environment to other agencies. There is recognition of the need to link with other organizations and NGOs for strategic purposes.			
	5. The community has many partnerships and the organization is continuously seeking opportunities to establish new relationships to meet community needs. The organization is proactive in establishing these partnerships and has the trust and respect of the wider community and other organizations.			
Role of Outside Agent	1. Project coordinators are in control of policy, finances, resources, and evaluation of the program. Major decisions are made with very little community input.			
	2. Project coordinators are in control but discuss with the community. No major decisions are made without community input. Project coordinators act on behalf of community to produce outputs.			
	3. Project coordinators and the community make joint decisions. The role of project coordinators is agreed upon by both the project coordinators and the community.			
	4. The community makes decisions with support from project coordinators. Project coordinators facilitate change by training and offering support.			
	5. Project coordinators facilitate change only at the request of the community. Project coordinators act on behalf of the community to build capacity.			
Program Management	1. Program management is carried out by project coordinators.			
	2. Program management is carried out by project coordinators in discussion with the community.			
	3. Program management is carried out by community members supervised by project coordinators. Decision making methods are agreed upon mutually.			
	4. Program management is carried out by community members with limited assistance from project coordinators. The community is involved in planning, developing policies, and evaluation of the program. Roles and responsibilities of community members are clearly defined.			
	5. Program management is carried out by community members with no assistance from project coordinators. Management is accountable. There is a continuous process of monitoring by the community and it is aware of changes in the community.			

## **APPENDIX 2: Interview Guide for Local Community Members**

### **1. Community Participation**

- 1.1 Are you or is someone in your household a member of any groups, organizations, or associations?
- 1.2 Do you consider yourself/household member to be active in the group, such as by attending meetings or volunteering your time in other ways, or are you relatively inactive? (Before and After CEP program)
- 1.3 Do you know about CEP program held in your village?
- 1.4 Did you participate in any activities held by CEP? (Please state the reason too)
- 1.5 Please list the activities that you have participated in CEP and rate your degree of participation

The degree of participation in CEP Program

1. Only participating in the activities but are not involved in making choices or setting direction of the CEP program.
  2. Participating in the activities as well as in group discussions, decisions making, and planning the future direction of the CEP during the program.
  3. Participating in the activities as well as in group discussions, decisions making, and planning the future direction of the CEP and continue to do these activities even after the completion of the program
- 1.6 Are you still using in any CEP program result? (Biogas, Irrigation wells, etc.)
  - 1.7 If yes please list the activities you are now engaging with and please give the reason why you still

### **2. Local Leader**

- 2.1 How did you see leadership during CEP Program?
  1. No leadership is shown by those involved in the CEP Program
  2. There is some leadership emerging but there is conflict and struggles for power
  3. There is limited, isolated leadership that emerges in response to CEP program issues. There is a desire to lead but a lack of skills, opportunities, or support.
  4. There is leadership within the CEP program and it is supported, but leaders struggle to find adequate resources to take action.

5. There are many skilled local leaders within the CEP program who reflect the needs of the community. They have found the support and opportunities needed to take action.

2.2 How do you see local leader now after CEP program finished? Is the leadership still maintained after the CEP program and even carried out to another program? Is there's any improvement?

### 3 Organizational Structure

3.1 Are you a member of farmer group?

3.2 If yes which farmer group is you belong to? When did you join the group?

3.3 Did you know about the involvement of farmer group in CEP program?

3.4 How representative was the farmer group towards community needs during CEP program?

3.5 How accountable was the group to the community during CEP program?

3.6 What about after CEP program finished? Do you think the farmer group still actively involved in community development? Is it representative towards community needs? Is it accountable to community?

### 4 Problem Assessment Capacities

4.1 Do you think your community has problems before 2008?

4.2 What kind of problem exists in your community at that time (before 2008)?

4.3 Do you know how the community can solve the problem at that time (before 2008)?

4.4 Do you think the community able to solve their own problem at that time (before 2008)?

4.5 What about now, do you think the community has problem?

4.6 What kind of problem exists in your community?

4.7 Do you know how the community can solve the problem?

4.8 What do you need if you want to solve the problem?

4.9 Do you think the community will be able to solve their own problem?

4.10 Do you think CEP program helped to solve community problems? If yes, in what way and if no, why did you think so?

4.11 Do you think there is any difference in community regarding how they address the problem before CEP program and after CEP program?

### 5 Resource Mobilization

5.1 Do you know where is the resource used in CEP program come from?

5.2 Do you use the output from CEP program (Biogas, well, etc.)?

## 6 Ability to Ask Why

6.1 Have you ever discussed the community problems with other community members as in group discussion before CEP program?

6.2 What were the contents of the group discussion?

6.3 Was there any following action after the discussion?

6.4 How about now (after CEP program), have you ever the community problems with other community members as in group discussion?

6.5 What are the contents of the group discussion?

6.6 Is there any following action after the discussion

## 7 Links with Other

7.1 Were there any NGOs or organizations outside this community that have build partnership with the community before the CEP program?

7.2 If yes, please list the link that you know and their activities

7.3 After the CEP program, are there any NGOs or organizations outside this community that have or intend to build partnership with the community?

7.4 If yes, please list the link that you know and their activities

7.5 What do you think of this partnership, especially with people from outside the community?

## 8 Role of Outside Agent

8.1 What do you think of CEP program? Do you think it is helpful for community?

8.2 What do you think about community involvement in the program? Does the program already involve the community and in what sense?

8.3 What do you think the relationship between program coordinator and the community?  
Can the community easily make request to the program coordinators regarding to the program change?

8.4 What do you think is the role of the project coordinator and the community in the CEP program?

## 9 Program Management

9.1 Have you ever asked to discuss about CEP program by the project coordinator? If yes what are the contents of discussion?

9.2 Do you ever been involved in planning, developing, and evaluating the program?

9.3 As far as you know, who carried out the CEP program?

10 Suggestion and comments regarding the CEP program and the future development

Domain	Assessment	Reason why	how to improve	strategy	resource required
community participation	1. People are not aware or engage in the CEP program	When the project started, the community was involved in initial planning and program. Up to this moment some activities are still maintained and sustained, e.g. gas bio, organic fertilizer	The approached for involving community should be improved.	By involving other groups, younger generation and introducing new information of knowledge of activities.	Willingness to share among community; skill and knowledge
	2. People are are aware of the CEP program but very few are directly involved with the program or program activities.				
	3. Many people are involved in the CEP program, but are not involved in making choices or setting direction of the CEP program				
	4. Many people are involved in the CEP program. They are involved in group discussions, making decisions, and planning the future direction of the CEP program.				
	5. Many people are involved in the CEP program. They continue to participate in group discussions, make program decisions, and plan the future direction of the CEP program. These activities have been maintained for a sustained period of time.				
Local Leadership	1. No leadership is shown by those involved in the CEP Program	It depends on the characteristics of each group of people, some groups have less difficult to find adequate resources to take action, but other has difficulties. The main problem is to change the mind set of people.	Try to involve other members by persuasive approach to develop their villages	By sharing knowledge, experience of the more successful group to other groups; involving new young generation members	Willingness to share among community; skill and knowledge; personnel
	2. There is some leadership emerging but there is conflict and struggles for power				
	3. There is limited, isolated leadership that emerges in response to CEP program issues. There is a desire to lead but a lack of skills, opportunities, or support.				
	4. There is leadership within the CEP program and it is supported, but leaders struggle to find adequate resources to take action.				
	5. There are many skilled local leaders within the CEP program who reflect the needs of the community. They have found the support and opportunities needed to take action.				
Organizational Structures	1. There is no council/committee/task team to support the CEP community organizing around issues.	Some groups have links with other organizations, e.g. buyers of the products	Groups need to improve the communication among the community and other partners	By strengthening the cooperation with other groups of community and other partners. E.g. strengthening marketing networking with buyers and strengthening production with other community groups	Links, personnel, communication and marketing skill
	2. A community council/committee/task team has been formed but it is not active, or is very small or unrepresentative of community needs				
	3. There is a formal council/committee/task team but no way to ensure its accountability with all people involved in the CEP program. The council/committee/task team is only somewhat receptive to community needs				
	4. A council/committee/task team exists and is somewhat accountable to the CEP community and to community needs				
	5. An effective infrastructure or council/committee/task team exists to address and reflects community needs. It is supported and sustained by the community partners and others. There are links with other organizations in the community.				
Problem assessment capacities	1. The community is not aware that any problem exists	The community is able to identify problems but they have problem to find solution	The community need to sort the problems they faced, this will help them to find the solution	By discussion with other members and groups, and trying to get opinion from other resources e.g. UGM	Links, personnel, communication and marketing skill
	2. The community is able to identify problems, but lacks the skills and confidence to take action				
	3. The community is able to identify problems, and they have some skills and support to take action.				
	4. The community is able to identify problems and is beginning to identify solutions and take action to resolve these problems				
	5. The community community continues to assess problems on a regular basis. The community continues to revise issues, come up with solutions, and take action.				
Resource Mobilization	1. Resources are not being mobilized by the community. There isa lack of resources, and competition for any resources that are present.	Solid groups to mobilize resources has not established yet	It is necessary to improve the communication and cooperation among members and groups	By improving communication among member and other groups, so that they can mobilize resources	Leadership, personnel
	2. Only internal resources are being mobilized. The community is unable to negotiate and acquire adequate external resources.				
	3. The community has increasingly mobilized resources and also able to and acquire adequate external resources, but there is no collective decision about distribution. Resources that have been mobilized have limited benefits.				
	4. The community is able to mobilize resources necessary for continued programming and decide on how to distribute them.				
	5. The community is able to mobilize considerable resources and decide on how to distribute them. Resources have been fairly and effectively distributed.				

Domain	Assessment	Reason why	how to improve	strategy	resource required
Ability To 'Ask Why' (Critical awareness)	1. No group discussions held to 'ask why' about community issues	Group discussion has been done since the project started and after the project has finished some small group discussion are still maintained. It showed by the activeness of some groups.	It is necessary to improve the communication among members and groups to maintain and strengthen group discussion about community issues	By actively approaching members and groups of community to discuss community issues	Leadership, initiators and facilitators
	2. Small group discussions are being held to 'ask why' about community issues and challenge received knowledge				
	3. Large group discussions are being held to 'ask why' and to listen about community issues. The group has the ability to reflect on their own problems and why they have these problems. The group is able to challenge received knowledge.				
	4. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has some experience in implementing solutions				
	5. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has the ability to self analyze and improve its efforts over-time. This is leading toward collective change.				
Links with other	1. The community has no links with other organizations and NGOs. No links are being pursued and no one is approaching the community to build partnerships. The community is non-responsive to building new links.	Some groups have links with other organizations, e.g. buyers, NGO and UGM	Improving linkages with other organizations	By formalizing the groups of community, so that they can formalize the cooperation with other organizations, e.g. buyers, banks	Initiators and other resources for some supported
	2. The community has informal links with other organizations and people, but these organizations are not involved in collaborating for community activities and development.				
	3. The community has established partnerships and partners are involved in collaborating for community activities and development.				
	4. The community has many partnerships and the organization provides a welcoming environment to other agencies. There is recognition of the need to link with other organizations and NGOs for strategic purposes.				
	5. The community has many partnerships and the organization is continuously seeking opportunities to establish new relationships to meet community needs. The organization is proactive in establishing these partnerships and has the trust and respect of the wider community and other organizations.				
Role of Outside Agent	1. Project coordinators are in control of policy, finances, resources, and evaluation of the program. Major decisions are made with very little community input	There is still support from coordinator	It is necessary to improve communication	By maintaining and improving communication with coordinator, e.g. informal communication	sharing knowledge and opinion
	2. Project coordinators are in control but discuss with the community. No major decisions are made without community input. Project coordinators act on behalf of community to produce outputs.				
	3. Project coordinators and the community make joint decisions. The role of project coordinators is agreed upon by both the project coordinators and the community.				
	4. The community makes decisions with support from project coordinators. Project coordinators facilitate change by training and offering support.				
	5. Project coordinators facilitate change only at the request of the community. Project coordinators act on behalf of the community to build capacity.				
Program Management	1. Program management is carried out by project coordinators	During the on-going project, UGM supported the program management. After the project finished, program management is carried out by community, UGM is involved in consultation basis	It is necessary to maintain communication	By maintaining information communication to get input and advice	sharing knowledge and opinion
	2. Program management is carried out by project coordinators in discussion with the community.				
	3. Program management is carried out by community members supervised by project coordinators. Decision making methods are agreed upon mutually.				
	4. Program management is carried out by community members with limited assistance from project coordinators. The community is involved in planning, developing policies, and evaluation of the program. Roles and responsibilities of community members are clearly defined.				
	5. Program management is carried out by community members with no assistance from project coordinators. Management is accountable. There is a continuous process of monitoring by the community and it is aware of changes in the community.				

Domain	Assessment	Reason why	how to improve	strategy	resource required
community participation	1. People are not aware or engage in the CEP program	When the project started, the community was involved in initial planning and program. Up to this moment some activities are still maintained and sustained, e.g. gas bio, mobile phone reparation -- is still not sure yet, up to now no further/detail information or monitoring has been made after the project finished	The approached for involving community should be maintain and improved.	By involving other groups, younger generation and introducing new information of knowledge of activities.	Willingness to develop their villaged, willingness to share among community; skill and knowledge
	2. People are are aware of the CEP program but very few are directly involved with the program or program activities.				
	3. Many people are involved in the CEP program, but are not involved in making choices or setting direction of the CEP program				
	4. Many people are involved in the CEP program. They are involved in group discussions, making decisions, and planning the future direction of the CEP program.				
	5. Many people are involved in the CEP program. They continue to participate in group discussions, make program decisions, and plan the future direction of the CEP program. These activities have been maintained for a sustained period of time.				
Local Leadership	1. No leadership is shown by those involved in the CEP Program	It depends on the characteristics of each group of people, some groups have less difficult to find adequate resources to take action, but other has difficulties. The main problem is to change the mind set of people.	Try to involve other members by persuasive approach to develop their villages	By sharing knowledge, experience of the more successful group to other groups; involving new young generation members	Willingness to share among community; skill and knowledge; personnel
	2. There is some leadership emerging but there is conflict and struggles for power				
	3. There is limited, isolated leadership that emerges in response to CEP program issues. There is a desire to lead but a lack of skills, opportunities, or support.				
	4. There is leadership within the CEP program and it is supported, but leaders struggle to find adequate resources to take action.				
	5. There are many skilled local leaders within the CEP program who reflect the needs of the community. They have found the support and opportunities needed to take action.				
Organizational Structures	1. There is no council/committee/task team to support the CEP community organizing around issues.	Some groups have links with other organizations, e.g. buyers of the products	Groups need to improve the communication among the community and other partners	By strengthening the cooperation with other groups of community and other partners. E.g. strengthening marketing networking with buyers and strengthening production with other community groups	Links, personnel, communication and marketing skill
	2. A community council/committee/task team has been formed but it is not active, or is very small or unrepresentative of community needs				
	3. There is a formal council/committee/task team but no way to ensure its accountability with all people involved in the CEP program. The council/committee/task team is only somewhat receptive to community needs				
	4. A council/committee/task team exists and is somewhat accountable to the CEP community and to community needs				
	5. An effective infrastructure or council/committee/task team exists to address and reflects community needs. It is supported and sustained by the community partners and others. There are links with other organizations in the community.				
Problem assessment capacities	1. The community is not aware that any problem exists	The community is able to identify problems but they have problem to find solution	The community need to sort the problems they faced, this will help them to find the solution	By discussion with other members and groups, and trying to get opinion from other resources e.g. UGM	Links, personnel, communication and marketing skill
	2. The community is able to identify problems, but lacks the skills and confidence to take action				
	3. The community is able to identify problems, and they have some skills and support to take action.				
	4. The community is able to identify problems and is beginning to identify solutions and take action to resolve these problems				
	5. The community community continues to assess problems on a regular basis. The community continues to revise issues, come up with solutions, and take action.				
Resource Mobilization	1. Resources are not being mobilized by the community. There isa lack of resources, and competition for any resources that are present.	After the project has finished, there is no further information or monitoring has been done to confirm the mobilized resources	It is necessary to improve the communication and cooperation among members and groups	By improving communication among member and other groups, so that they can mobilize resources	Leadership, personnel
	2. Only internal resources are being mobilized. The community is unable to negotiate and acquire adequate external resources.				
	3. The community has increasingly mobilized resources and also able to and acquire adequate external resources, but there is no collective decision about distribution. Resources that have been mobilized have limited benefits.				
	4. The community is able to mobilize resources necessary for continued programming and decide on how to distribute them.				
	5. The community is able to mobilize considerable resources and decide on how to distribute them. Resources have been fairly and effectively distributed.				

Ability To 'Ask Why' (Critical awareness)	<p>1. No group discussions held to 'ask why' about community issues</p> <p>2. Small group discussions are being held to 'ask why' about community issues and challenge received knowledge</p> <p>3. Large group discussions are being held to 'ask why' and to listen about community issues. The group has the ability to reflect on their own problems and why they have these problems. The group is able to challenge received knowledge.</p> <p>4. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has some experience in implementing solutions</p> <p>5. There is dialogue with other community groups to 'ask why', identify solutions, test solutions, and analyze results. The community has the ability to self analyze and improve its efforts over-time. This is leading toward collective change.</p>	After the project has finished, there is no further information or monitoring has been done to ensure whether there is still group discussion done.	It is necessary to develop good the communication among members and groups to maintain and strengthen group discussion about community issues	By actively approaching members and groups of community to discuss community issues	Leadership, initiators and facilitators
Links with other	<p>1. The community has no links with other organizations and NGOs. No links are being pursued and no one is approaching the community to build partnerships. The community is non-responsive to building new links.</p> <p>2. The community has informal links with other organizations and people, but these organizations are not involved in collaborating for community activities and development.</p> <p>3. The community has established partnerships and partners are involved in collaborating for community activities and development.</p> <p>4. The community has many partnerships and the organization provides a welcoming environment to other agencies. There is recognition of the need to link with other organizations and NGOs for strategic purposes.</p> <p>5. The community has many partnerships and the organization is continuously seeking opportunities to establish new relationships to meet community needs. The organization is proactive in establishing these partnerships and has the trust and respect of the wider community and other organizations.</p>	Not sure whether the community has link with other organization out of UGM	Create (if the community doesn't have linkages with other organizations) and improve linkages with other organizations	By sustaining the groups that have been formed by the Project (UGM) and formalizing the groups of community, so that they can formalize the cooperation with other organizations, e.g. buyers, banks	Initiators and other resources for some supports
Role of Outside Agent	<p>1. Project coordinators are in control of policy, finances, resources, and evaluation of the program. Major decisions are made with very little community input</p> <p>2. Project coordinators are in control but discuss with the community. No major decisions are made without community input. Project coordinators act on behalf of community to produce outputs.</p> <p>3. Project coordinators and the community make joint decisions. The role of project coordinators is agreed upon by both the project coordinators and the community.</p> <p>4. The community makes decisions with support from project coordinators. Project coordinators facilitate change by training and offering support.</p> <p>5. Project coordinators facilitate change only at the request of the community. Project coordinators act on behalf of the community to build capacity.</p>	There is still support from coordinator (UGM)	It is necessary to improve communication	By maintaining and improving communication with coordinator, e.g. informal communication	sharing knowledge and opinion
Program Management	<p>1. Program management is carried out by project coordinators</p> <p>2. Program management is carried out by project coordinators in discussion with the community.</p> <p>3. Program management is carried out by community members supervised by project coordinators. Decision making methods are agreed upon mutually.</p> <p>4. Program management is carried out by community members with limited assistance from project coordinators. The community is involved in planning, developing policies, and evaluation of the program. Roles and responsibilities of community members are clearly defined.</p> <p>5. Program management is carried out by community members with no assistance from project coordinators. Management is accountable. There is a continuous process of monitoring by the community and it is aware of changes in the community.</p>	During the on-going project, UGM supported the program management. After the project finished, program management is carried out by community, UGM is involved in consultation basis	It is necessary to maintain communication	By maintaining information communication to get input and advice	sharing knowledge and opinion

Community Empowerment Program Based on Local Resources and Tacit Knowledge by Co-Creating Technical Support in Bayat, Klaten, Central Java (Ph

Goal 1:	Creating new knowledge as synthesize of local tacit knowledge with explicit knowledge brought by teaching staffs.					
Outcome expected:	Mutual understanding among learning participants.					
Target	Baseline evidence	Strategies	Milestones	People/Organization involved	Achievement Evidence	Comments for good practice
A motivated working group of the villagers.	Weakness on village wide collective activities.	Develop motivation for collective initiatives through dialog and miniworkshop.	Jul-06	Village officers, villagers, UGM facilitators.	Two groups of farmers are established.	The presence of UGM facilitators helped to build wider insights on the future village development.
Identified local resources potential.	Strengths and weaknesses are not well identified.	Miniworkshop for gathering information and ideas.	Jul-06	Village officers, villagers, UGM facilitators.	Strengths and weaknesses of Ngerangan Village are identified.	Priorities should be set together with villagers.
Gathered all project ideas and its possibilities.	Low initiative for collective activities. People wait to be instructed.	Miniworkshop for gathering information and ideas.	Jul-06	Village officers, villagers, UGM facilitators.	Willingness to solve weakness of the village.	Sense of belonging of the villagers to the project should be increased.
Gathered market potentials related to project ideas.	Local farmers are not optimistic enough because of limited water sources.	Following up the willingness of farmers to make water sources more available.	Aug-06	Coordinators of local group of farmers, UGM facilitators.	Decission for supporting the availability of water. Higher motivation of the villagers.	Water is the first prerequisite to solve problems in the fields. CEP should follow the real needs of the community.
Two workable project planning and its project implementation plan.	Low number of interested local farmers for such planning because of lack of water sources.	Planning to realize the improvement of the availability of water sources for farming.	Aug-06	Coordinators of local group of farmers, UGM facilitators.	Action plan for implementation is developed.	Focusing on the most demanded action plan.

Goal 2:	2. Application of the new knowledge for the increasing of economic value of local resources					
Outcome expected:	A better prosperity, security, and welfare in a better quality of environment.					
Target	Baseline evidence	Strategies/Analysis	Milestones & monitoring	People/Organization involved	Achievement Evidence	Comments
Availability of all resources needed to implement the	Availability of fields.	To make the needed materials available.	August 2006 - January 2007	UGM facilitators	The needed resources are available.	Local small industries can actually produce good quality of
Well implemented project.	Willingness of farmers should be proved in the real action.	Farmers are responsible for implementation work.	August 2006 - January 2007	Individual farmers	Target groups have been responsible in the construction of well in their field. The groups did not show strong cooperation spirit among each others.	The value of "gotong royong" (cooperation) should be revitalized in the village.
Increased local knowledge, experiences and self-confidence related to the implemented	Low collective efforts.	Discussion and develop regulation on resource sharing among farmers.	Jan-07	Farmers, UGM facilitators	Ideas for collective efforts.	Villagers meeting should be intensified.
Increased access to market.	In dry season the available fields are unproductive. Access to market is not of interest yet.	No market strategies yet, we focused ourselves to make water sources more available.	No milestones for market strategy yet.	No activities related to the access to market.	No evidence related to market strategy.	Social system in the village might be one of the roots of unsolved water problems in the village.
Increased economic value of local resources related to the project	The village has no competitive products and no future picture of the village.	Involved local villagers to think about the future of their village.	Jan-07	UGM facilitators, villagers	Expected future image of the village.	Togetherness of the villagers should be transformed into real actions.

Community Empowerment Program Based on Local Resources and Tacit Knowledge by Co-Creating Technical Support in Bayat, Klaten, Central Java (Ph

Goal 1:	Creating new knowledge as synthesise of local tacit knowledge with explicit knowledge brought by teaching staffs.					
Outcome expected:	Mutual understanding among learning participants.					
Target	Baseline evidence	Strategies	Milestones	People/Organization involved	Achievement Evidence	Comments for good practice
Motivated working groups of the villagers.	Several groups are already established.	Develop new working groups based on product.	Sep-07	UGM facilitators, Village officers, key persons of the villagers.	Five new motivated working groups in Jarum Village are established.	Learning motivation of young generation in the village should be well facilitated.
Identified local resources potential.	Many local potentials are not well developed.	Focus group discussion to identify strengths and weaknesses.	Nov-07	Working groups of villagers, UGM facilitators.	Strengths and weaknesses of Jarum Village are identified by each working groups.	Focus groups discussion can increase the motivation and insight of the members.
Gathered all project ideas and its possibilities.	Project ideas are not yet in a good structure.	Discussing the detail of the project ideas.	Dec-07	Working groups of villagers, UGM facilitators.	Five project ideas are collected and evaluated.	Facilitator should enrich the available information and knowledge of the villagers.
Gathered market potentials related to project ideas.	Project ideas are not based on market potentials yet.	The groups should discuss market potential for their activities.	Jan-08	Working groups of villagers, UGM facilitators.	The groups found the possibility of potential market related to their	Facilitator should become motivator and inspirator for the groups.
Two workable project planning and its project implementation plan.	Project ideas are not well developed yet.	The groups should make calculation of the resources and market potentials.	Feb-08	Working groups of villagers, UGM facilitators.	Three workable projects have been developed and decided.	To accelerate the process, facilitators may support the groups with
Goal 2:	2. Application of the new knowledge for the increasing of economic value of local resources					
Outcome expected:	A better prosperity, security, and welfare in a better quality of environment.					
Target	Baseline evidence	Strategies/Analysis	Milestones & monitorin	People/Organization i	Achievement Evidence	Comments

Availability of all resources needed to implement the project.	The needs of water pumps and young cows in Ngerangan Village.	Shopping to provide the needed resources.	December 2007 - January 2008	Facilitator and groups members.	Resources for project in Ngerangan Village are available (two water pumps, two cows). Seed plantation for Ngerangan and Jarum Village.	Clear mechanism for the sustainability of the activity should be developed before the implementation.
Well implemented project.	Willingness of target groups should be proved in the real work.	Target groups are responsible for implementation work in the local setting.	January 2008 - March 2008	Individual groups.	Not yet measured.	The groups should be assisted intensively in case of difficulties (technically or managerially)
Increased local knowledge, experiences and self-confidence related to the implemented project.	Experiences in team working of the villagers are not sufficient to improve collective local knowledge.	Improve the knowledge of target groups.	Apr-07	UGM facilitators, Ngerangan farmers.	Field trip to cows husbandary in Jogjakarta for Ngerangan farmers.	The target groups should be supported with learning information.
			Feb-08	Target group	Training on mobile phone services for the Jarum target group.	Follow up of the training should be prepared before the beginning of the training.
			Mar-08	Target groups from 3 villages (Ngerangan, Jarum, Dukuh).	One day training on integrated farming	Selection of participant is important to the success of the activities.

Increased access to market.	Jarum Villagers have already indirectly access to potential market, especially for batik handicraft.	Develop new products of the village.	May 2008 - now	Target groups	Not yet measured.	Improving direct access to potential market.
Increased economic value of local resources related to the project	The village Jarum has already some competitive products.	Develop new products of the village based on available local	Jan-07	UGM facilitators, villagers	Not yet measured.	Togetherness of the villagers should be transformed to the real action.
Goal 3:	Local learning society that enable villagers in continually improving quality of life					
Outcome expected:	Experience learned from the program may create a success story that can be used as inspiration for similar approach in other regions					
Target	Baseline evidence	Strategies/Analysis	Milestones & monitoring	People/Organization involved	Achievement Evidence	Comments
Four new motivated working groups from other villages.	Two working groups in Ngerangan.	Establish new working groups in the other village.	September 2007 - December 2007	UGM facilitators, key persons in Jarum Village.	More than four working groups are established.	Effective communication among facilitators and villagers.
Transferred knowledge and experiences from the 1st working group to the other four working groups	No evidence is measured.	Develop dialog and communication among groups.	September 2007 - March 2008	UGM facilitators, key persons in Jarum Village.	Knowledge transfer is difficult to be done, however knowledge creation and development in Jarum Village are going well.	The success spirit of members should be transferred and multiplied among each others.
Four workable projects for four groups	Several unstructured project ideas.	Dialog, focus group discussion, or miniworkshop to develop structured proposals.	Dec-07	UGM facilitators, key persons in Jarum Village.	More than four projects are developed.	Ability to select and order the ideas to get success of implementation.

Appropriate method and mechanism for sharing and transfer knowledge in the sub region.	Knowledge transfer among the villagers goes naturally.	To combine existing methods with systematic approach of knowledge transfer.	April 2007 - March 2008	UGM facilitators, key persons in Jarum Village.	The most suitable method and mechanism for sharing and transfer of knowledge and experiences is still discussed.	The knowledge transfer mechanism should be connected with the sustainability of productive activities.
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Community Empowerment Program Based on Local Resources and Tacit Knowledge by Co-Creating Technical Support in Bayat, Klaten, Central Java (Ph

<b>Goal 1:</b>	<b>Creating new knowledge as synthesize of local tacit knowledge with explicit knowledge brought by teaching staffs.</b>					
<b>Outcome expected:</b>	<b>Mutual understanding among learning participants.</b>					
<b>Target</b>	<b>Baseline evidence</b>	<b>Strategies</b>	<b>Milestones</b>	<b>People/Organization involved</b>	<b>Achievement Evidence</b>	<b>Comments for good practice</b>
Motivated working groups of the villagers.	Motivated working groups are established; Experience on establishing working groups of farmers in Jarum	Develop new working groups in other villages based on the experiences.	April 2008 - March 2009	UGM facilitators, Village officers, key persons of the villagers in Jarum, Bogem.	There are 11 motivated groups; One of the groups in Bogem village has been already able to transfer new knowledge on biogas and organic fertilizer	The willingness to share among the groups is growing up. It should be followed up by the local government.
Identified local resources potential.	Many local potentials in Bogem, Banyuripan and Dukuh are not well developed; Their strenghts and weaknesses are not identified yet	Focus group discussion to identify strenghts and weaknesses in Bogem, Banyuripan and Dukuh.	April 2008 - June 2008	Working groups of villagers, UGM facilitators.	Strenghts and weaknesses of Bogem, Banyuripan and Dukuh are identified by working groups.	Previous success experience in other village inspired the flurently process of focus group discussion
Gathered all project ideas and its possibilities.	Project ideas in Bogem, Banyuripan and Dukuh are not decided yet	Discussing the detail of the project ideas.	June 2008 (Dukuh and Bogem) ; January 2009 (Banyuripan)	Working groups of villagers, UGM facilitators.	More than 5 project ideas are collected and evaluated in each village.	Facilitator should help villagers in priotitizing the project ideas.

Gathered market potentials related to project ideas.	In general the groups were not able to see the possibility of potential market related to some activities.	Discussing market potential and opportunity for improving environment and creating new job.	June 2008 (Dukuh and Bogem) ; January 2009 (Banyuripan)	Working groups of villagers, UGM facilitators.	The groups found the possibilities of potential market related to their activities and the opportunities for creating new job.	Facilitator should help to visualize future vision of villagers related to their local potential.
Six workable project planning and its project implementation plan.	Plan of implementation the project ideas are not developed yet.	The groups should make detail plan of the project ideas related with market potentials and the local resources.	June - July 2008	Working groups of villagers, UGM facilitators.	Six workable projects have been developed and decided.	The previous experience of the other villages should be learned by the working groups.
<b>Goal 2:</b>	<b>2. Application of the new knowledge for the increasing of economic value of local resources</b>					
<b>Outcome expected:</b>	<b>A better prosperity, security, and welfare in a better quality of environment.</b>					
<b>Target</b>	<b>Baseline evidence</b>	<b>Strategies/Analysis</b>	<b>Milestones &amp; monitoring</b>	<b>People/Organization involved</b>	<b>Achievement Evidence</b>	<b>Comments</b>
Availability of all resources needed to implement the project.	The needs of water for irrigation in Bogem Village.	Establishing wells in the mid of river to catch the potential water under the	Jul-08	Facilitator and groups members.	2 wells has been built and utilized; 2 other wells will be built in next dry season.	Rice harvesting increase from once to twice a year.
	Cow manure is not utilized optimally.	Introducing appropriate technology to produce	July 2008 - March 2009	Facilitator and groups members.	15 biogas digesters have been built and utilized	Energy cost for cooking is decrease extrimly

Cost for fertilizer is expensive for the villagers	Introducing appropriate technology to produce organic fertilizer from biomass, cow manure, cow urine and vermes in order to be able to fulfill their local needs by	July -August 2008	Facilitator and groups members.	An established group of organic fertilizer production in Bogem village.	Market demand of the product is very high. The rate of production should be increased by involving the other groups and villages.
Most of house garden are not utilize optimally for annual crop production	Introducing appropriate methods of agriculture intensivication.	July -August 2008	Facilitator and groups members.	The know-how is transferred to the villager.	The implementation of the know-how should be increased
Land utilization at dry season is not optimal.	Facilitating experiment on Melon farming	July -October 2008	Facilitator and groups members.	The field experiment has been done succesfully.	The experiance will become appropriate know-how for the melon farming in next dry season
The aproprate know-how of fish farming is not mastered by the villagers	Transferring appropriate know-how of fish farming by expert from university.	Aug-08	Facilitator, university expert and groups members.	The appropriate know how is transferred to the villager.	the villager are motivated and implemented the know-how with their own budget
Low nutrition contains of cow feed	Introducing appropriate tecnology to produce cow feed with higher nutrient content by	July -August 2008	Facilitator and groups members.	The appropriate know how is transferred to the villager.	The implementation of the know-how should be increased

Well implemented project.	Willingness of target groups should be proved in the real work.	Target groups are responsible for implementation work in the local setting.	July 2008 - March 2009	Individual groups and facilitators	All project have been implemented; and some project will be continued in the next dry season.	The intensive field assistance has increased the possibility to success of the project.
Increased local knowledge, experiences and self-confidence related to the implemented project.	The groups need benchmarking on organization development to the other farmer union	Comparative Study on Farmer Union in Merbabu	Jul-08	UGM facilitators, Group Leaders of villager, Merbabu farmer Union.	Increase know-how on organizing farmer union and its activities.	The comparative study has increase the motivation of participants to develop their groups and activities.
	The groups need benchmarking on integrated farming	Benchmarking to KP4 (integrated farming)	Jul-08	UGM facilitators, Group Leaders of villager, KP4	Increase know-how on integrated farming.	The benchmarking has increase the motivation of participants to implement integrated farming
	The groups need benchmarking on good practice in husbandary	Comparative study on goat husbandary	Jul-08	UGM facilitators, Group Leaders of villager	Increase know-how on good practice in husbandary	The benchmarking has increase the motivation of participants to improve their husbandary
	The willingness of self-learning needs to be maintained and improved	Introducing learning group for youth	July - August 2008	Field Student, youth villagers	Learning facilities for youth is introduced. It has about 400 books from various sponsors.	Self learning motivation can be improved by organizing group learning.

	The effectiveness of Information Technology use in village administration is low	Training on Information Technology operator for village administrator	Aug-08	Field Student, village administrator	Ability of village administrators to utilize IT equipment optimally	The ability will have impact on the quality of daily administrative services in the villages.
	The health awareness of villagers as part of quality of life is low	Training on nutrition and sanitation for women and children.	Aug-08	Field Student, women and children	The children can do handwashing and toothbrushing properly.	The hygiene's ability can improve their health quality.
	In general the awareness on sustainability of the program is low	Introducing the cycle of knowledge creation to the group leaders of villagers (Workshop in University)	Mar-09	Target groups from 5 villages (Ngerangan, Jarum, Dukuh, Bogem, banyuripan), Government Officer, University	Internalization of program sustainability	The workshop encourage the wider view and motivation to collaborate among villagers and government officer
Increased access to market.	The groups found the possibilities of potential market related to their activities and the opportunities for creating new job.	Training for trainers on constructing biogas digesters and its cost and benefit.	Sept 2008 - Januari 2009	Facilitator, university expert and groups members.	One group member is able to generate income by conducting training on biogas digester.	The villagers are interested to manage the benefit of cow manure.
		Training for trainers on producing organic fertilizer and its cost and benefit.	Sept 2008 - Januari 2009	Facilitator, university expert and groups members.	One group member is able to generate income by conducting training on organic fertilizer.	The villagers are interested to manage the benefit of cow manure.

		Initiating new jobs opportunity : some jobless villagers become biogas installation carpenters	Sept 2008 - March 2009	Facilitator, university expert and groups members.	Villagers are able to generate income by providing service on constructing biogas digesters.	The construction time is reduced.
		Selling organic fertilizer ; the side product of biogas process.	Sept 2008 - March 2009	Facilitator and groups members.	Villagers are able to generate income by producing organic fertilizers.	The market demand is still high
Increased economic value of local resources related to the project implementation.		Selling organic fertilizer ; the side product of biogas process.		groups member	The production rate of organic fertilizer has not been fulfilled market demand yet	It is necessary to involve villagers more widely for increasing production rate.
		Increase the utilization of cow manure by constructing biogas	July 2008 - March 2009	Facilitators, Villagers	15 biogas digesters have been built and utilized	The use of LPG can be reduced by 5/6.
<b>Goal 3:</b>	<b>Local learning society that enable villagers in continually improving quality of life</b>					
<b>Outcome expected:</b>	<b>Experience learned from the program may create a success story that can be used as inspiration for similar approach in other reg</b>					
<b>Target</b>	<b>Baseline evidence</b>	<b>Strategies/Analysis</b>	<b>Milestones &amp; monitoring</b>	<b>People/Organization involved</b>	<b>Achievement Evidence</b>	<b>Comments for good practice</b>
Four new motivated working groups from other villages.	There are 5 working groups	Establish new working groups in the other village.	April 2008 - March 2009	UGM facilitators, Village officers, key persons of the villagers in Jarum, Bogem, Banyuripan.	There are 11 motivated groups; One of the groups in Bogem village has been already able to transfer new knowledge on biogas and organic fertilizer	Ability of villagers in knowledge sharing is increased.

Transferred knowledge and experiences from the 1st working group to the other four working groups	No evidence is measured.	Develop dialog and communication among groups.	April 2008 - March 2009	UGM facilitators, key persons in Villages.	Knowledge transfer is difficult to be done, however knowledge creation and development in Jarum Village are going well.	The success spirit of members should be transferred and multiplied among each others.
Four workable projects for four groups	Several unstructured project ideas.	Dialog, focus group discussion, or miniworkshop to develop structured proposals.	April 2008 - August 2008	UGM facilitators, key persons in Villages.	More than six projects are developed.	Ability to select and prioritize the ideas to get success of implementation.
Appropriate method and mechanism for sharing and transfer knowledge in the sub region.	Knowledge transfer among the villagers goes naturally.	To combine existing methods with intensive assistance approach of knowledge transfer.	July - August 2008	UGM facilitators, field students, villagers.	Field student assist villagers to identify potentials and transfer appropriate know-how rapidly	The knowledge transfer mechanism should be connected with the sustainability of productive activities.
		To train other groups with local instructor	Mar-09	Local instructor, UGM facilitator, motivated villagers.	Involving group member of villagers in conducting training.	The self confidence of involved group members are increased.