

Community Capacity and Rural Development:

Reading Material for JICA Training Programs



First Edition, March 2012

Edited By
Koichi Miyoshi
Yumiko Okabe
Cindy Lyn Banyai

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**Kyushu International Center,
Japan International Cooperation Agency
and
Ritsumeikan Asia Pacific University**

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List of Abbreviations

A	Activity	MBC	<i>Minami nihon</i> Broadcasting CO., Ltd.
A-A-A	Attributes-Agents-Actions	MCDC	Miyakonojo Community Development Corporation
AAGS	Asia Association for Global Studies	MDGs	Millennium Development Goals
AC	Agricultural Cooperative	METI	Ministry of Economy, Trade and Industry
ACAP	Atlantic Coastal Action Program	ML	Mailing List
AIM	Asian Institute of Management	MOFA	Ministry of Foreign Affairs
APU	Ritsumeikan Asia Pacific University	MoLG	Ministry of Local Government
ASEAN	Association of Southeast Asian Nations	MoYS	Ministry of Youth and Sports
ASP	Application Service Provider	MRT	Miyazaki Radio and Television
CBO	Community Based Organization	NDI	National Democratic Institute
CCA	Community Oriented Collective Activities	NGO	Non-Governmental Organization
CCD	Community Capacity Development	NHK	<i>Nippon Housou Kyoukai</i>
CD	Community Development	NHS	National institute for Health and clinical Excellence
CDD	Community Development Department	NPCI	New Plum and Chestnut
CDI	Development of Indigenous Peoples	NPCI II	Neo Personality Combination
CUNY	City University of New York	NPCI III	New Paradise Community
DAC	Development Assistance Committee	NPO	Non-Profit Organization
DHO	Decentralized Hands-On	ODA	Official Development Assistance
EC	Executive Committee	ODI	Overseas Development Institute
EO	End Outcome	ODOP	One District One Product
GAO	General Accounting Office	OECD	Organization for Economic Co-operation and Development
GDP	Gross Domestic Product	OP	Output
HPCC	Himeshima Prawn Cultivation Corporation	OTOP	One Tambon One Product
IFAD	International Fund for Agricultural Development	OVC	OTOP Village Champion
IHC	Institute for Himalayan Conservation	OVOP	One Village One Product
IIHOE	International Institute for Human, Organization and the Earth	OYHK	<i>Oyama Yusen Housou</i>
IIMB	Indian Institute of Management Bangalore	OYT	<i>Oyama Yusen</i> Television
INAH	Instituto Nacional de Antropología e Historia	PAE	Participatory Action Research
IO	Implementing Organization	PAN	Partido Acción Nacional
IOC	Intermediate Outcome	POPME	Program of Productive Organization for Indigenous Women
IOPA	International OVOP Policy Association	PROFODECI	Program for Fostering and Promoting Indigenous Culture
IP	Input	PS	Policy Structure
JA	Japan Agriculture	PTM	Program Theory Matrix
JDS	Japanese grant aid for human resource Development Scholarship	RAPID	Research And Policy In Development
JES	Japan Evaluation Society	RDPCCD	Rural Development Project through Community Capacity Development
JFY	Japanese Fiscal Year	RDCCD	Rural Development Project by Community Capacity
JICA	Japan International Cooperation Agency	PRI	Institutional Revolutionary Party
JR	Japan Railway company	RPRLSP	Rural Poverty Reduction and Local government Support Programme
JTB	Japan Travel Bureau	SDC	Swiss agency for Development and Cooperation
KBO	Knowledge-Based OTOP	SWAP	Sector Wide Approach
KCC	Kenya Co-operative Creameries Ltd.	TCA	Traditional Collective Activities
KYUSHG	Kimahuri Youth United Self-Help Group	UMK	UHF Miyazaki KK
LGU	Local Government Unit	UNDP	United Nations Development Programme
MAFF	Ministry of Agriculture, Forestry and Fisheries		

Foreword

With the rapid progress of globalization, the disparities between urban and rural and the gap between rich and poor have become pressing issues around the world. Even in Japan those issues are often addressed and various countermeasures have been conducted for rural development. Kyushu which is the southeast part of Japan is full of good practices of community based rural development such as “One Village One Product Movement (OVOP) in Oita”, “Onpaku in Beppu” and “Saruku in Nagasaki”. The common characteristic of these activities is to have a perspective of rural communities toward the development.

Kyushu International Center of Japan International Cooperation Agency (JICA Kyushu) has focused on the rural development and implemented a great number of training courses for the participants from developing countries since 2002. The number of participants has reached approximately 600 from over 50 countries so far.

OVOP is one of the most well-known community development movements started in Oita Prefecture and has expanded worldwide these days. The aim of OVOP is to develop human resources in rural communities through community’s collective activities such as creating leadership or higher value-added products. Besides, the Onpaku approach also helps human and local resources development and encourages human relations with the spirit of the cooperation in the community.

This reading material is published by JICA in cooperation with Ritsumeikan Asia Pacific University (APU) in order to provide knowledge accumulated at APU for JICA training participants and to deepen their understanding for further studies. Learning theoretical background and some case studies enable training participants to understand the concept and practice of rural development and to apply these methods to their home countries.

I am very much thankful to APU for sharing the knowledge and sincerely hope this material is useful for rural development all over the world.

Keiichi Muraoka
Director General,
JICA Kyushu

March 2012

Preface

The urban-rural disparities and the decline of rural areas have become major issues today. Rural development is often mentioned as the countermeasure for such issues. However, much of the discussions regarding rural development projects are conducted from an urban perspective; rural perspectives are often not explored. This book, however, focuses on development from the perspective of rural residents and the communities they have created with the aim of helping them create more fulfilling lives.

Integrating concept with practice is essential in rural development. The concept of rural development is necessary to figure out the rural development best suited for one's own area as well as for other areas. Using the concept as a filter helps clarify the similarities and differences between developments of various areas. It also allows practical approaches to take place. However, it must be noted that the concept sought must be one that leads us to practical, operational and experiential activities that are functional.

Development itself, however, is not something that can be completely explained by some concept: it is the everyday lives of the people. At the actual development, a development promoter is essential. Development is also a practical process with aspects of both arts and crafts. We feel that more appropriate development can be achieved by creating as close a connection as possible between concept and practice.

The aim of publishing these training materials is to provide an accumulated knowledge for JICA participants in order for trainings to be more understandable and usable for future implementation of the development plan after they go back to their homes. I hope this material is useful, usable and adaptable, and it contributes to the real development in the field.

Koichi Miyoshi
Professor,
Ritsumeikan
Asia Pacific University

March 2012

Contributors

Ana Khristina S. Puatu is the Program Manager at the Asian Institute of Management's Washington SyCip Graduate School of Business. She received her MSc in International Cooperation Policy from Ritsumeikan Asia Pacific University (2009) and her BA in Communications from Ateneo de Manila University (2003). While in graduate school, Ms. Puatu's research interest focused on describing the contributions of local government leadership to community capacity development. She also helped in facilitating JICA Rural Development trainings and worked on several business case studies.

Cindy Lyn Banyai is the Executive Director of the Refocus Institute, a participatory evaluation consultancy. Dr. Banyai received her PhD in Asia Pacific Studies from Ritsumeikan Asia Pacific University (2010). She also has an MSc in International Cooperation Policy from Ritsumeikan Asia Pacific University (2007) and a BA in International Relations and Psychology from Michigan State University (2002). She was involved with JICA trainings for rural development from 2006 to 2009. Dr. Banyai published "Community Leadership: Development and the evolution of leadership in Himeshima" in *Rural Society*, October 2009, "Community Capacity Building Strategies: An example from Pagudpud, Philippines" in *Asia Pacific World*, November 2010, and the book *Community Capacity and Development – New Approaches to Governance and Evaluation*, LAP, 2011.

Hisano Ishimaru is a PhD candidate in the Graduate School of Asia Pacific Studies at Ritsumeikan Asia Pacific University. Ms. Ishimaru also graduated from Ritsumeikan Asia Pacific University both with an MSc in International Cooperation Policy (2008) and a BA in Asia Pacific Studies (2010). Additionally, she studied at Thammasat University in Thailand as an exchange student during her undergraduate studies. She was in charge of organizing trainings for the NPO Hatto Onpaku from 2008 to 2011 and a secretary of Non-Profit Cooperative Organization Japan Onpaku in 2011, conducting action research while she was there.

Koichi Miyoshi is a Professor in the Graduate School of Asia Pacific Studies at Ritsumeikan Asia Pacific University. He graduated from the School of Political Science and Economics at Waseda University in 1971 and received his Doctor's Degree of Human Sciences from Osaka University (2005). Prior to his current position, Dr. Miyoshi worked for the Japan International Cooperation Agency for more than 25 years. His research fields cover community capacity and rural development, policy and program evaluation and international cooperation policy. He has written numerous articles and books and organized various training programs in these fields. Dr. Miyoshi is also a Vice President of the Japan Evaluation Society and Editor in Chief of the *Japanese Journal of Evaluation Studies*, and President of the Institute for Community Design, a community capacity development organization.

Naomi Stenning is a PhD candidate at Ritsumeikan Asia Pacific University. She also holds a Master of Science in International Cooperation Policy from the same institution and a Bachelor Degree in International Business and Japanese from the University of the Sunshine Coast, Australia. Ms. Stenning is employed as a senior policy officer within the Australian Government's Department of Families, Housing, Community Services and Indigenous Affairs and is currently working in the area of Indigenous economic development policy including implementation and monitoring of the Indigenous Economic Development Strategy. All views expressed are her own and do not in any way represent the position of the Department or the Australian Government.

Olga Barreda is a Masters student in the Graduate School of Asia Pacific Studies at Ritsumeikan Asia Pacific University. She has a BA in International Trade from Tecnológico de Monterrey University. She became involved in community development when she started her graduate studies researching an indigenous community in Mexico. Ms. Barreda has participated in training programs as a facilitator and interpreter to develop policies at the national level for Latin American, African and Asian countries.

Yasuo Nogami is the president of Beppu Nogami Honkan Inn, head of management of NPO Hatto Onpaku, Chief of Bureau both in NPO Beppu Hatto Trust and Non-Profit Cooperative Organization Japan Onpaku and also a member of Beppu City Council. He graduated from the Department of Science and Engineering at Waseda University (1987). He worked for a trading company for 8 years before coming back to Beppu to succeed in his family hotel business. He became involved with community development activities in 1999.

Yumiko Okabe is the Executive Director of the Institute for Community Design, a community capacity development organization. Ms. Okabe graduated from Ritsumeikan Asia Pacific University with an MSc in International Cooperation Policy (2011) and a BA in Asia Pacific Studies (2009). She worked for a development project in Malawi during her undergraduate studies and conducted research in Kenya for her Masters. Ms. Okabe currently works in various trainings and is a member of the Beppu Administrative and Economic Reform Committee as an evaluator for municipal policies.

1

Introduction

 Koichi Miyoshi, Yumiko Okabe and Cindy Lyn Banyai

We have been conducting training programs on community capacity and rural development at Ritsumeikan Asia Pacific University (APU) since 2006. Japan International Cooperation Agency (JICA) entrusts us with trainees who are engaging in development issues in their countries, focusing on government officials, provincial governors, municipal mayors and representatives of associations. There have been 32 programs including participants from 45 countries thus far. Our training programs begin with an introduction of the concept of community capacity and rural development highlighting community-based One Village One Product (OVOP) and Decentralized Hands-on (DHO) exhibition approaches. Participants visit the field to listen to the real voices of people engaging in rural development, helps them better understanding the concepts. Participants are encouraged to examine the cases and discuss how to interpret the information and experiences gained in the context of community capacity development and higher value-added social, economic and political activities. These activities are a review process, allowing program participants to see concepts in practice and conceptualize their experiences in a more practical way. The program concludes with participants' preparation of action plans for rural development in their countries. (Training program contents are explained in Chapter 2.)

To supplement these training there is a need for reading materials on community and rural development, as well as evaluation and planning. However, there are no appropriate traditional development-related reading materials that match our training concept. The lack of such materials means that participants are not able to study these aspects in-depth. Under these circumstances, we gather together all of the available reading materials related to our training concept. This book provides sufficient materials for our participants to gain the knowledge for community and rural development and take in the lessons from their training program.

This book is a compilation of literatures edited for our trainings, selected existing articles, and revised papers translated into English, as necessary. Some content newly added in order to provide reading materials that coordinate with our trainings. This is, therefore, an accumulation of our knowledge on rural development and community capacity, focusing on mainly Japanese cases. Our goal with our trainings and this book is to create an environment where rural development takes place through connecting concept and practice.

This book is split into seven parts and divided into chapters as follows:

Part I: Trainings for Rural Development introduces our training programs and their relationship to rural development (Chapter 2). Chapter 3 introduces the roundtable discussions for rural development conducted for graduate students at APU. Chapter 4 discusses our approach to participatory evaluation and how it can be practically implemented through group activities.

Part II: Community Capacity and Rural Development discusses the concepts of community capacity and rural development, along with our intention of the research to provide the perspective of the community in our theories. Chapter 5 explains why it is necessary to take the perspective of the community to build community capacity for rural development. Chapter 6 demonstrates an alternative approach to rural development through the community capacity development/policy structure model.

Part III: Evaluation and Planning for Rural Development emphasizes participatory evaluation rather than a traditional evaluation approach. Chapter 7 provides basic evaluation philosophy and use. Chapter 8 continues with the use of evaluation in planning for rural development. Chapter 9 addresses the interrelations of a policy structure and its evaluation and the characteristics of each level of evaluation, focusing on the framework and constituent elements of the policy structure to be evaluated. Chapter 10 presents the case of use of participatory evaluation for rural development. Chapter 11 describes how to design and conduct theory-driven participatory evaluations. Chapter 12 illustrates an operational framework for evaluating the impact of training courses.

Part IV: Community-Based One Village One Product Movement in Japan discusses the OVOP Movement in Oita prefecture, Japan, especially Oyama-machi, which is an archetype of the Oita OVOP movement, and Himeshima, an isolated island that created comfortable living environment with significant community capacity. Chapter 13 is written by an influential person in Oyama-machi, Mr. Hideo Ogata. Mr. Ogata explains the history of Oyama-machi and its development, as well as the current economic and business activities there. Chapter 14 provides an alternative development approach focusing on community capacity development that benefits rural communities with the case of Oyama-machi. Chapter 15 continues with the Oyama-machi case focusing on knowledge and networking strategies for community capacity development, which is one of the essential elements of development. Chapter 16 describes the evolution of community capacity and community leadership in Himeshima.

Part V: Decentralized Hands-on Exhibition Approach introduces this approach, which was initiated in Beppu, Oita Prefecture, as Onpaku. This approach focuses on using and nurturing local resources by conducting the experience-based programs. The Onpaku approach spread into nine parts of Japan, gradually increasing the number of municipalities that adopted it. Bompaku is introduced as the case of adopting this approach. Chapter 17 explains what Onpaku is and its contribution to the development of Beppu. Chapter 18 is written by the management director of Onpaku, Mr. Yasuo Nogami, and explains the background of Onpaku. One of the adopted cases of Onpaku, Bompaku in Miyakonojo is introduced in Chapter 19.

Part VI: Initiatives for Rural Development looks at other cases of community capacity development from other countries. Chapter 20 details how a local policy structure is identified and categorized according to community capacity building strategies using a case from Pagudpud in the Philippines. Chapter 21 also looks at a case from the Philippines, this time in Naga City. This chapter focuses on the necessary components of leadership and their relationship to community capacity. Chapter 22 presents a Kenyan case of networking and knowledge sharing for community capacity. Chapter 23 details the collective activities of an indigenous community in Mexico.

Part VII Project Proposals for Community Capacity and Rural Development presents Thai and Filipino project proposals using the concept and approaches outlines in this book. Chapter 24 describes the proposal and planning process for a project in Surin province, Thailand that focuses on the implementation of the DHO Approach. Chapter 25 looks at a new project proposal for rural development by community capacity building in the Philippines.

Each chapter has an independent purpose, so interested readers can gather information according to their own needs and interests to better understand the contents of community and rural development trainings. As a result of this format the contents of some chapters involve the same theory or framework, causing some overlap. The papers in this book are going to be improved continuously even after publishing the book and will be revised. Furthermore, the contents itself broaden through organizing them by participants or stakeholders of the trainings.

Discussions in each chapter explore the integration of concept and practice in order to achieve rural development. The operationability of rural development is emphasized with the aim of finding more strategic and specific activities. This book only scratches the surface; however, it is our utmost honor if readers find it useful in the field of development. We encourage you to incorporate this knowledge into practice and hope you find success in the future of development.

**PART I:
TRAININGS FOR
RURAL DEVELOPMENT**

2

Organizing Training Programs for Community Capacity and Rural Development

-A Case Study of the JICA Group Training Programs-

Koichi Miyoshi

Ritsumeikan Asia Pacific University

1. Introduction

A lack of development and persistently low levels of quality of life are characteristics of rural communities throughout the developing world. The valuable historical lessons of successful community development initiatives in communities like Oyama-machi and the know-how of those who have been involved in these initiatives are extremely valuable resources that should be harnessed in the effort to assist rural communities around the world that are still struggling to better themselves. It is with this intention that we conduct group training programs in community capacity and rural development in cooperation with the Japan International Cooperation Agency at Ritsumeikan Asia Pacific University (APU) (Table 1).

The purpose of this chapter is to describe the structure and nature of the group training program and our experiences in conducting these programs, and to discuss the implications for further promotion of rural development in developing countries.

Table 1: List of Training Program Course (Country/Region), (As of 2011)

	Course Name	Year	Country/Region	Number of Participants
1	Training Course in Seminar for Municipal Mayors of Clustered LGUS: One Village One Product Movement	2006, 2007, 2008, 2009	Country: Philippines	38
2	The Country focused Training Program on the "One Village One Product" Movement in Tunisia	2006, 2007	Country: Tunisia	28
3	Training Course in Enforcement of Region Administrative Function for Local Industrial Promotion	2008, 2009, 2010	Country: Chile	28
4	Training Course in Seminar on One Village, One Product Movement in Savannakhet and Saravanh	2008, 2009	Country: Laos	8
5	Training Course in Promotion of Local Industries for GUATEMALA	2010, 2011	Country: Guatemala	30
6	Training Course of Promotion of One Village One Product Movement in COLOMBIA	2010, 2011	Country: Colombia	34
7	Training Course in NEPAL One Village One Product Promotion	2011	Country: Nepal	15
8	Training Course in Region Development Promotion for ASEAN Countries - One Village One Product	2007, 2008, 2009	Region: ASEAN	31
9	Training Course in Development and Promotion OF Region Industries Utilizing Local Resources for ASIA	2009	Region: Asia	7
10	Training Course in Development and Promotion of Region Industries Utilizing Local Resources for INDOCHINA and PACIFIC Regions	2009	Region: Indochina & Pacific	13
11	Training Course on Community Capacity and Rural Development Promotion for ASIAN Countries – One Village One Product	2010, 2011	Region: Asian	31
12	Training Course in Community Capacity and Rural Development - Focusing on One Village One Product – for AFRICAN Countries	2008, 2009, 2010, 2011	Region: Africa	94
13	Training Course in ANDEAN Region One Village One Product Promotion	2009, 2010, 2011	Region: Andean	35
	Total : 32 Courses and 45 Countries			392

2. A Training Framework for Rural Development

The training programs consist of a combination of lectures and discussions at APU and study tours with on-the-spot lectures by community members outside of the campus. In the training sessions, we place emphasis on deepening understanding of the concepts of community capacity development and rural promotion based on observations from the study tours and interpretation of the concepts in light of observations. Moreover, we provide program participants with opportunities to practice forming specific plans for rural development through group discussions based on their new found understanding (Figure 1).

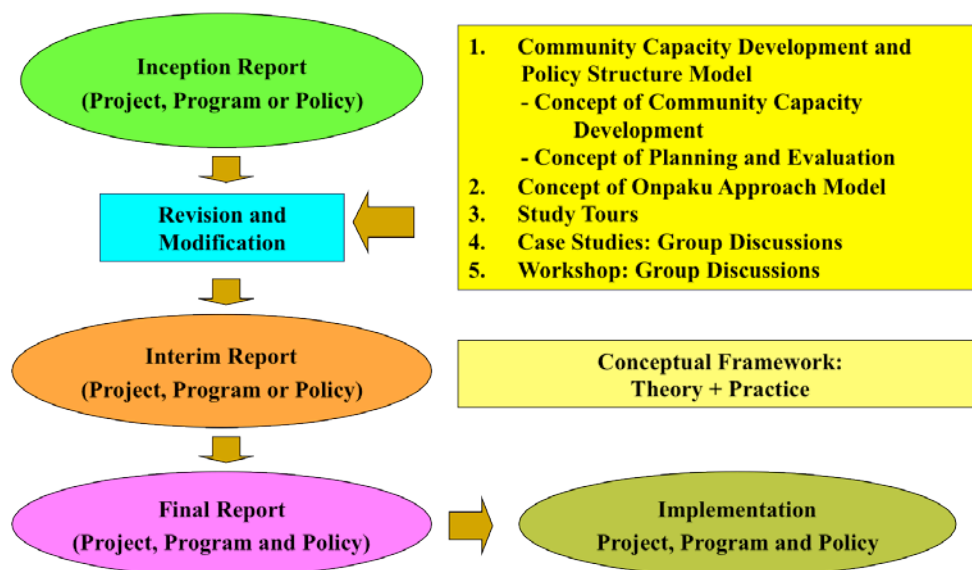
Table 2 is an example of a training program schedule. Program participants must be administrative officials of either a national or local government who are in the position to plan, implement and evaluate rural development. The requirement is reasonable because program participants exhibit awareness of the issues in their own countries and actively present on them in discussions. In recent programs, we accepted more participants from NPOs and other associations, industries and community leaders to broaden the perspective of the dialogue and to make discussions more practical and effective. We also accept governors and mayors who are interested in making their approach to development more effective and efficient.

The crux of the programs is how to embody ideas for rural development in practice. We design the programs to offer practical knowledge by reciprocally linking ideas and practice throughout the duration of the program. We place emphasis on repeating discussions to facilitate program participants' understanding of the community development concepts and planning and evaluation methods by connecting them to practices undertaken by the rural communities studied. This enables participants to use this knowledge for planning, implementing and evaluating their own policies, programs and projects (Miyoshi and Stenning 2008c; Stenning and Miyoshi 2009).

3. Conceptual Discussion for Community Capacity and Rural Development

We take an alternative development approach based on our accumulated knowledge through execution of our training programs for developing countries from 2006, as well as our research on experience of rural development in Oita prefecture and the surrounding areas. In the training program we employ the following model and approach:

Figure 1: Concept of Training for Community Capacity in Rural Development



Source: The author

**Table 2: Community Capacity and Rural Development for African Countries
-Focusing on One Village One Product- (A)
May16-27, 2011 at Ritsumeikan Asia Pacific University (APU)**

M	D	Time	Topic and Destination for Visit		
5	16	M	9:30-10:00 10:00-12:30	Orientation/ Briefing Inception Report Presentation	1
			13:30-15:00 15:00-16:30	Inception Report Presentation Community Capacity Development (Lecture + Discussion)	
	17	T	9:30-12:30	Planning and Evaluation of Project (Lecture + Discussion)	2
			13:00-14:30 14:30-15:30 16:00-17:30	Onpaku experience «Beppu/Yanagi area» *E: Dango-broth making, lunch *L: Yanagi Tea House “Kirara” 【Ms. Nagai, Owner】 *L: Onpaku 【Mr. Nogami, Trustee】	
			10:00-12:00 12:00-13:00 13:30-15:00 15:30-17:00	«Hita City, Oyama Town» *L: Hibikinosato 【Mr. Ogata, Director and General Manager】 *Lunch (Hibiki no sato) *L: Marukin Farm 【Mr. Kawanobe, Owner】 *L: Ogirihata Green Tourism 【Mr. Kouda】	
	19	T	9:30-10:45 11:00-12:30 12:30-13:00 13:00-14:00 14:15-15:45	«Hita City, Oyama Town» *L:Hita City Oyama Promotion Bureau 【Mr.Kawazu, Chief of Bureau】 *O: Mizubenosato Oyama 【Mr. Yamauchi, Director】 *O: Sato no eki “Konohana Garten” 【Prof. Miyoshi】 *Lunch (Sato no eki “Konohana Garten”) *L: Marukin Farm 【Mr.Kurokawa】 Transfer : Oyama→Fukuoka→Okayama	4
			9:00-9:50 10:00-11:30 11:30-12:10 13:00-15:30 16:00-17:30 20:00-21:00	«Kurashiki City» *L: Michikusa komichi program 【Ms.Kato】 *L: Okayama Pref. Bichu Regional Bureau 【Mr.Kuroda and Ms.Miyake】 *Lunch (Okayama Pref. Bichu Regional Bureau) Transfer:Kurashiki→Soja «Soja City» *E: Silk stole making with tree bark dyeing 【Ms. Itami, Proprietor, Gallery Studio “Asobo”】 *E: Soja City Hall 【Mr. Nishikawa & Mr. Fujiwara】 «Suntopia Okayama Soja» *E: Japanese drum workshop 【Mr. Shiojiri, “Ura daiko”】	
	21	S	9:00-9:30 9:30-12:00 12:00-13:00 13:00-14:00	«Soja City» *E: Michikusa Komichi “Stroll with Kume-map” 【Ms. Yamada, NPO Kibino Kobo Chimichi】 *E: Stroll with Kume-map 【Ms. Yamada, NPO Kibino Kobo Chimichi】 *Lunch (Lunch Box, Kume Public Hall) *E: Michikusa komichi program 【Okayama Nordic Walk Assoc. Mr. Sumikura, Walking Life Master】 Transfer:Soja→Kokura→Beppu	6
			22	S	
	23	M	9:30-12:30	Group Discussion (case study; Oyama)	8
			13:30-16:30	Group Discussion (case study; ONPAKU & Michikusa Komichi)	
	24	T	9:30-12:30	Group Discussion (based on inception report)	9
15:00-16:00 16:30-17:00			«Oita City» *L:Oita Pref. Shiitake-mushroom Agricultural Cooperative Association 【Mr. Kugumiya, Counselor】 *O:TOKIWA Wasada Town (Konohana Garten Antenna Shop)		
25	W	9:30-12:30	Group Discussion (based on inception report)	10	
		15:00-17:00	«Oita City» *Oita OVOP International Exchange Promotion Committee 【Board of Trustee, Dr. Hiramatsu】		
26	T	9:30-12:30	Interim Report Preparation	11	
		13:30-16:30	Interim Report Presentation and Discussion (1)		
27	F	9:30-12:30	Interim Report Presentation and Discussion (2)	12	
		14:00-15:00	Evaluation Meeting		
		15:30-16:30	Closing Ceremony		
		17:00-19:00	Closing Party		

- (1) Community Capacity Development and Policy Structure Model,
- (2) Decentralized Hands-on Exhibition (Onpaku/ DHO Exhibition) Approach, and
- (3) Community-Based One Village, One Product (OVOP) Approach.

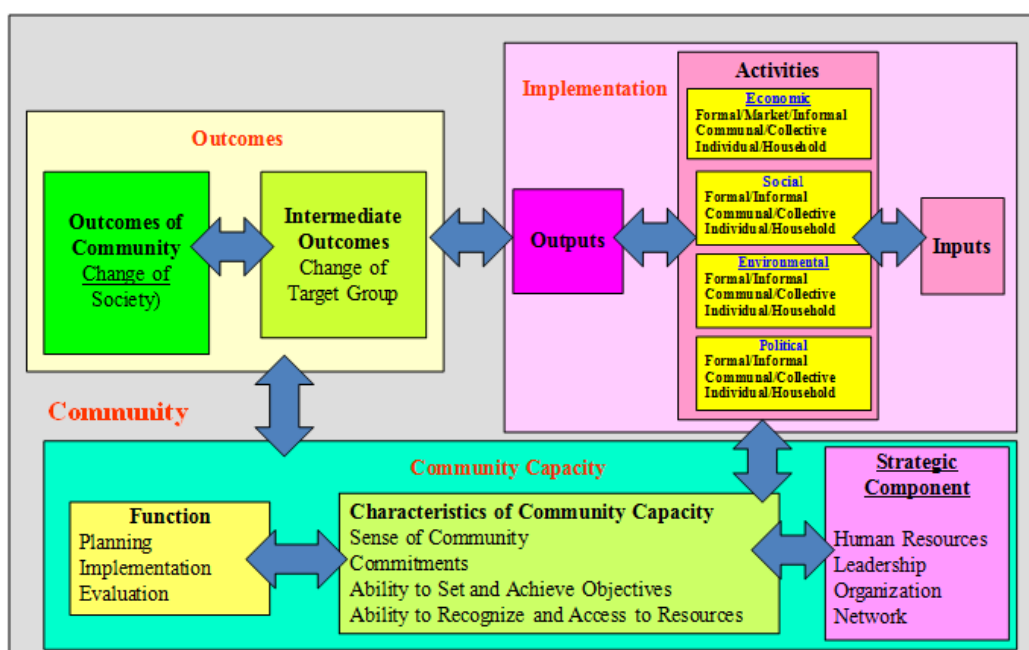
The intention of these approaches and models is not to theorize on rural development phenomena, but to conceptualize a rural development approach for practical use and to clarify the practical, operational concepts through examination, discussion and analysis of real life experiences and operations. Real life is not simple and cannot be interpreted through simple theories of causality. There are various options for development. We frame an alternative rural development approach to provide practitioners and researchers with a map for rural development. The contents of these models and approaches and their nature are elaborated briefly below.

3.1 Community Capacity Development and Community Policy Structure Model

The Community Capacity Development and Community Policy Structure Model in Figure 2 illustrates how a community uses its capacity to plan, implement and evaluate community policy structures. This framework allows for the identification, examination, conceptualization and clarification of community processes through the inclusion of community policy structure, whilst simultaneously providing a basis for the analysis of community capacity. This model is a dual function model aiming at developing community capacity and implementing a higher value added and better well-being community policy structure, which consists of economic, social, environmental and political activities to change the life of the community's population. In this context community capacity is defined as the ability of a community, organizations and individuals, to produce outcomes resulting from their collective activities using available resources, such as human, physical, social, political and organizational resources.

This model depicts the relationship between community capacity development and the change in community policy structure consisting of social, economic, environmental and political activities. Community capacity consists of the strategic components (actors/agents), characteristics and functions of

Figure 2: The Community Capacity Development and Community Policy Structure Model



Source: Miyoshi 2010; Miyoshi and Stenning 2008a, 2008b

each community. The level of community capacity can be raised by enhancing these components and their mutual interactions, which eventually leads to changes in community policy structures in rural communities. Improved rural community capacity enables communities to create more complex and advanced community policy structures.

The community policy structure section depicts the relationships between economic, social, environmental and political activities in communities, such as agricultural production and development initiatives specifying collective activities. These consist of end outcomes (effects represented as social changes), intermediate outcomes (effects represented as changes in target groups including individuals and organizations), outputs (products and services produced by activities), activities (series of actions for producing outputs using inputs) and inputs (human resources, machinery, equipment, facilities, wages, expertise, time, etc.)

However, these relationships are not linear; rather they are interactive and continuously changeable. Human lives and experiences are not static; they are temporal and dynamic, affected by their previous experiences.

In this connection it would be advisable to clarify the definition of community here. This chapter treats a community as a social constructed by people and consisting of individuals, groups and organizations that share a common and general sense of belonging in a particular area segmented by administrative boundaries. Area and common life are important factors for community. Yet, there are no significant problems in considering community in a broader sense, for example by expanding its definition to include villages, towns, cities, prefectures, provinces, nations and even international societies. Doing so makes it possible for the analysis to include not only rural residents, but also administrative bodies, civil groups, NGOs, NPOs, private enterprises and educational institutions as constituents of communities and to focus on collective activities that they create. Widening the range of subjects of analyses also benefits policy-oriented debates (Miyoshi 2010; Miyoshi and Stenning 2008a, 2008b).

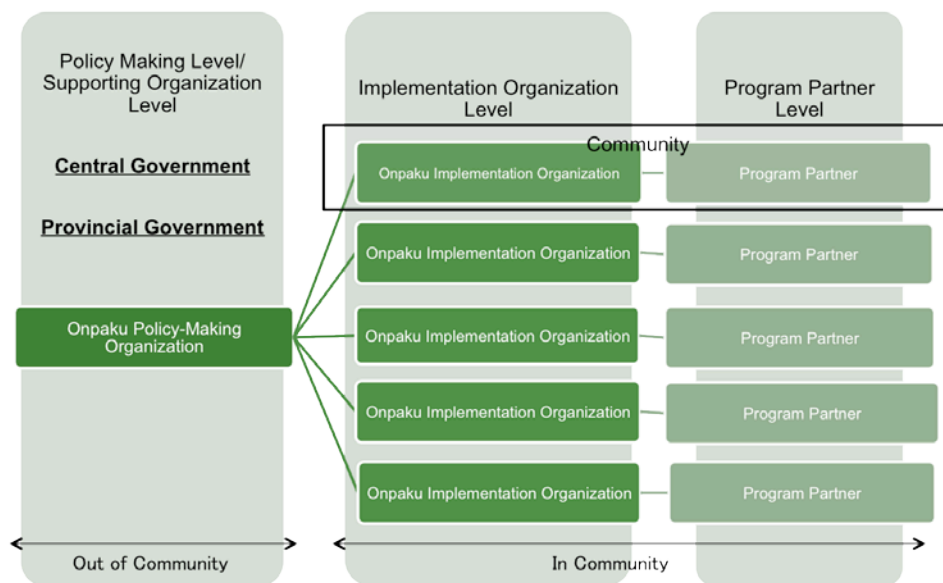
3.2 Decentralized Hands-on Exhibition (Onpaku/DHO Exhibition) Approach

The DHO Exhibition Approach is a specific type of community capacity development and community policy structure model. We created the DHO Exhibition Approach based on the observation and analysis of the Onpaku events, including Onpaku in Beppu, Michikusa-Komichi in Soja and Bonpaku in Miyakonjo. By introducing the concept of the DHO Exhibition we can broaden, modify and elaborate the scope of Onpaku into a more effective rural development approach. The DHO Exhibition's policy structure is divided into three parts: 1) community-based activities and resources, 2) partners' participation, creation and implementation of the DHO Exhibition programs, and 3) the collective activities of the DHO Exhibition implementation organization.

The introduction and implementation of the DHO Exhibition Approach as policy is easy to understand in terms of three distinct levels: 1) the policy formulation organization level/ the supporting organization level, 2) the implementation organization level and 3) the program partner level. The approach also clarifies the distinction between of the situation in the community and outside of it as shown in Figure 3.

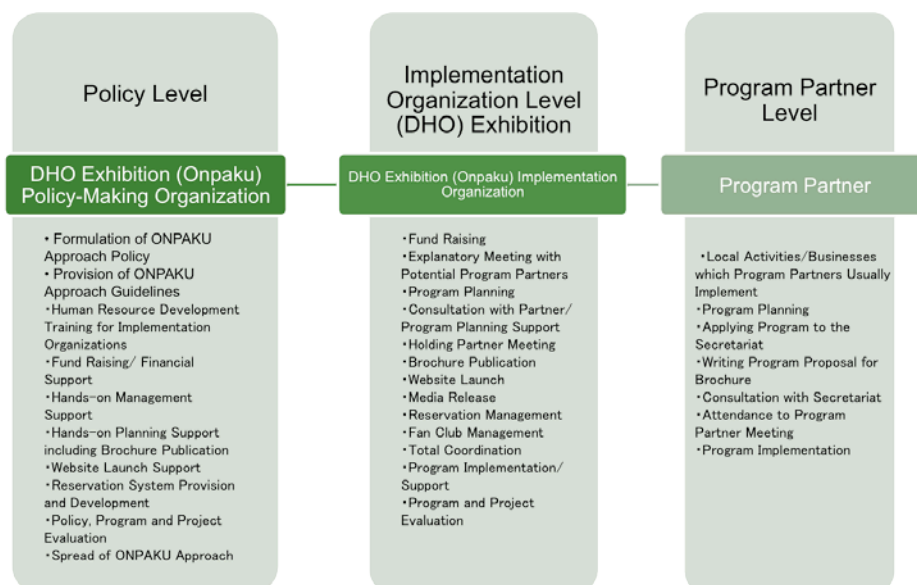
The organizations responsible for each level implement their respective roles when implementing the DHO Exhibition programs in local communities (Figure 4). The role of the DHO Exhibition policy formulation organization consists of selecting and supporting the DHO Exhibition implementation organization in each community. The DHO Exhibition implementation organization in each community builds the DHO Exhibition framework and supports the program partners' planning and implementation. The implementation organizations are key players and work as community development agents in the community. At the program partner level, the program partners plan and implement their own programs. A

Figure 3: DHO Exhibition (Onpaku) Approach: Community Responsibility



Source: The author

Figure 4: DHO Exhibition (Onpaku) Approach: Activities



Source: The author

vital point here is that each support mode can be standardized and as a result a DHO Exhibition can be implemented within relatively short period (Miyoshi and Ishimaru 2010; Ishimaru and Miyoshi 2010).

3.3 Community-Based One Village, One Product (OVOP) Approach

The Community-Based One Village, One Product (OVOP) Approach is a specific type of community capacity development and community policy structure model as well. Our conceptualization of the Community-based OVOP Approach heavily depends on the rural development experience of Oyama in Oita prefecture in Japan. Before the introduction of the OVOP Movement in Oita prefecture, Oyama

already achieved high levels of community capacity development, which is one of the reasons the town became a source of inspiration for former Governor Hiramatsu when he first formulated the OVOP Movement. We formulated the framework of the Community-based OVOP Approach based on the rural development experience of the Oyama.

The implementation of the OVOP Approach as policy has a similar context to the DHO Exhibition Approach. It includes 1) the policy formulation organization level, 2) the implementation organization level, and 3) the producer and service provider level.

The organizations responsible for each level fulfill their respective roles when implementing the OVOP Approach in local communities (Figure 5). The role of the OVOP policy formulation organization consists of selecting and supporting the OVOP implementation organizations. The OVOP Approach implementation organization builds the OVOP framework and supports the farmers, small producers and service providers' planning and implementation. At the program producers and service provider level, the higher value added activities are planned and implemented (Figure 6).

A vital point here is the definition of the community for the OVOP Movement and the role of the OVOP implementation organizations as observed in the Oyama NPC Movement. In the actual OVOP Movement in Oita prefecture the definition and role of the OVOP implementation organizations is not outlined or conceptualized clearly. Direct intervention by the Oita prefecture government leads to a distinction between the original model of OVOP Movement in Oyama and the OVOP Movement as introduced by former Governor Hiramatsu (Miyoshi 2010; Miyoshi and Stenning 2008a, 2008b).

The training program begins with lectures on the conceptual framework so that program participants gain a practical understanding. Group discussions are also held to facilitate their understanding. For example, lectures particularly emphasize the importance of the role that capacity development in the municipalities plays in the successful examples during the early stages of the movement, including those of Oyama-machi, Yufuin and Himeshima, the pioneers of the movement. Meanwhile, discussions deal with specific cases from the program participants and focus on the characteristics of community capacity (sense of community, commitment, ability to set and achieve objectives, recognition of and access to resources) and the strategic elements that influence them (human resources, leadership, organizations, networks).

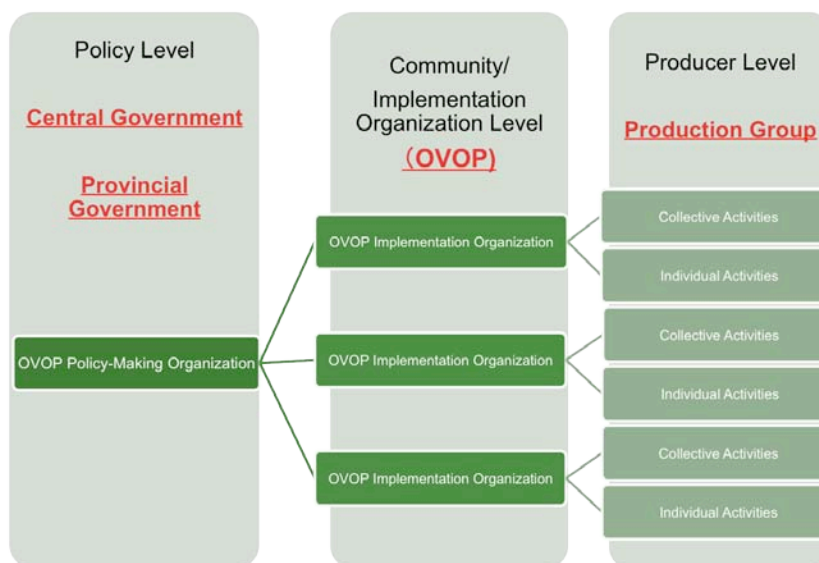
Taking the issue of leadership as an example, selected topics for discussions included styles of leadership found and desired in each program participant's area of responsibility and what it would take to nurture such leadership qualities. The discussions helped program participants to define questions to which they were supposed to find answers during the course of the training.

Program participants are encouraged to enhance their ability to plan, implement and evaluate programs through discussions on the concepts. This enables them to add value to the economic, social and political activities they are involved in. The point of this process is to develop the understanding that community activities or interventions can be adjusted and upgraded by first conceptualizing actual activities. With this goal in mind, program participants discuss actual policies, programs and projects through the development of program theories.

Rural development is most likely to be addressed from the standpoint of governments, particularly central governments that focus their interventions on rural societies, rather than from the standpoint of rural communities. To redress such imbalance in arguments on planning and evaluating, the training program covers topics like the localization of policy structure, rural communities' policy structure and government interventions, program versus project based approach, aid coordination, and model projects and their dissemination. Also, activities are discussed within the framework of existing administration systems, treating planning as modifications, changeovers or improvements of existing policy structure for the future.

Evaluation is strategically positioned as an important tool in this management cycle. For evaluation, the

Figure 5: OVOP Approach: Community Responsibility



Source: The author

Figure 6: Community-based OVOP Approach: Activities



Source: The author

roles of policy evaluation, program evaluation, and project evaluation are distinguished and practical approaches for these are discussed (Miyoshi 2010; Miyoshi and Stenning 2008a, 2008b).

4. Study Tours

The purpose of study tours is to listen to the voices of people who are engaged in rural development. The narratives are interesting representations of people’s experiences in rural development. The experiences of participants in the places we visit are very important in the trainings (see Figure 7 - 12).

We visit many communities for study tour purposes. Places we visit include: Oyama-machi - Local Commercial Exchange Center Hibikinosato, the Oyama Agricultural Cooperative, Marukin Farm, Ogirihata Green Tourism; Himeshima - Village Office, Himeshima Island Women’s Society, Himeshima Kuruma Shrimp Culture Company; Beppu-City - NPO Hatto Onpaku, Yanagi Tea House Kirara; Soja city

Figure 7: Local commercial complex
“Hibikinosato”
in Oyama Machi, Hita City
(Photo by Koichi Miyoshi)



Figure 8: Direct sales shop, Konohana
Garten, Oyama-machi, Hita City
(Photo by Koichi Miyoshi)



Figure 9: Production Facility,
Marukin Farm
in Oyama Machi, Hita City
(Photo by Koichi Miyoshi)



Figure 10: Group Photo
At the Oyama Development Promotion
Bureau in Oyama-machi, Hita City
(Photo by Koichi Miyoshi)



Figure 11: Kurokawa Onsen
Minami Oguni Machi
(Photo by Koichi Miyoshi)



Figure 12: Hands on Program
(Onpaku Program),
Yanagi Area, Beppu City
(Photo by Koichi Miyoshi)



- NPO Kibino kobo Chimichi, Soja City Hall, Okayama Nordic Walk Assoc. Kiyone furusato kobo, Okayama Prefectural Government; and Oita City - Oita OVOP Movement International Exchange Promotion Association, Oita Prefecture Shiitake Mushroom Agricultural Cooperative Association.

The study tour schedule is carefully arranged so that participants understand the role of the various players in rural development, balancing between the implementation organization level and the program partner level in the DHO Exhibition Approach and the implementation organization level and the producer and service provider level in the Community-based OVOP Approach. The focus is on the collective activities that the community creates. The following is our depiction of Beppu Onpaku and Oyama-machi to provide understanding of the foundation of the study tour arrangements.

4.1 Beppu Onpaku

Onpaku was established in 2001 in Beppu City of Oita Prefecture by local residents and businesses for the purpose of revitalizing the rural area. For approximately one month Onpaku provides over 150 types of programs utilizing local resources, local residents or local businesses, commonly referred to as partners. This type of program identifies local resources and conveys the charm of the rural area to the general public. It also provides a chance for new products or services to enter the market, promoting the development of products and services.

Onpaku provides an effective methodology that takes into account the use of local resources. In actual Onpaku, all partners either revise or improve their existing community-based activities or establish new ventures, and are responsible for the formulation and implementation of those programs. Onpaku attracted attention as a rural development strategy because of its small-scale programs that are short and repetitive. A typical program has no more than 20 to 30 participants and many programs are packed into a month period. The Onpaku programs are held once or twice a year, allowing partners to take risks on various business activities. The brochure of programs provides a list of potential products and services focusing on local resource use. An increasing number of programs makes the Onpaku event more attractive and useful to the public and attracts the media. Program development is a result of the participatory feasibility study by local people.

While the consequences of failure are small, a successful Onpaku experience substantially elevates motivation. Through program repetition a support and cooperation network is developed. Core organizations for development are built in the rural area, community development networks are created and community capacity is developed. This triggers ongoing success for the programs. The repeated implementation of individual programs provides opportunities for partners to test market services and goods to create business models that foster customer acquisition. Onpaku increases motivation in small and medium enterprises and small-scale agricultural producers.

Onpaku places emphasis on small-scale programs, but it effectively uses local resources and provides many opportunities for cooperation between small and medium sized and new enterprises, as well as small-scale and new agricultural producers. By creating an increased capacity for community development, Onpaku also expands community networks for support and cooperation. Onpaku is able to achieve rapid results in community and rural development because each program is planned and developed principally based on the pre-existing activities in the community and rural area (Miyoshi and Ishimaru 2010; Ishimaru and Miyoshi 2010).

4.2 Oyama-machi

In rural areas, people aim to expand their businesses, creating winners and losers. As a result, some farmers and families who lost confidence in their ability to manage agricultural businesses would, out of financial

need, move to urban areas to seek jobs. With the decline of residents and farmhouses in the rural community, social functions of offices and branches of administrative institutions, elementary and middle schools, clinics, hospitals and healthcare centers, post office branches, financial institutions, retail stores and restaurants diminish.

Oyama has taken a different approach. The number of farmhouses is almost same as it was 50 years ago even though the population has decreased. In order to avoid losers, Oyama pursued multi-dimensional agriculture production, promoting not only primary agricultural production, but also the processing and marketing their products. They promoted high value added economic activities on their limited farm land by introducing various collective activities that increased the productivity of each farmhouse.

The Oyama community was established by the administrative zoning, and within this zone, the members of Oyama recognized their commonality and their belonging through their daily shared topics of conversation, awareness of the area and lives within the area. The main actors of the community were the town government, the agricultural cooperatives and their related organizations, with the farmers engaging in agricultural production and processing.

Community capacity development and rural development in Oyama was initiated and led by the town government and the agricultural cooperative. These two organizations acted as the implementation organizations of community capacity and rural development as described in the town's development history, the NPC Movement. The community is an operationable body, placing it at the core of the development approach. Oyama is relatively well known for a series of successful endogenous development initiatives since 1960s, the innovative New Plum and Chestnut (NPC I) Movement and the catchy slogan "*Ume, kuri wo uete, Hawaii ni ikou!* (Let's plant plums and chestnuts and go to Hawaii!)." Through drastic agricultural reform, whereby rice paddies were turned into orchards remaining fields only for self consumption, rearing livestock was banned and farmers were encouraged to work less and play and learn more. The town went from having "tired thatched roofs, humble earth walls, no money and an unusually strong level of social jealousy" to being a wealthy, culturally rich, harmonious and content farming village. The story of this success in itself is inspirational to any person striving for development in disadvantaged rural communities.

Following the NPC I Movement, Oyama-machi initiated two other movements, namely the NPC II and the NPC III. The Neo Personality Combination campaign (NPC II) was added simultaneously to the existing NPC I. NPC II focused on "*manabu* (learning)." Under this program the Oyama administration established a learning program of community center activities called *Seikatsu Gakkou* whereby local residents ran cultural learning classes such as tea ceremonies, martial arts or kimono wearing. Prominent professionals were also invited to give lectures. Events, such as classical music concerts, were also planned for residents to participate and cooperate together in order to "refine their personalities." Furthermore, residents were encouraged to take tours around Japan and networks were consolidated for exchange activities overseas to study agricultural and community development techniques. Elementary and secondary students went to the United States and Korea. Farming youth went to learn about *kibbutz* in Israel and adults went to China. Scholarships were provided for young people who expected to become involved in agriculture in the community.

The New Paradise Community (NPC III) focused on *aishiau* (love) and aims for a more enjoyable and affluent living environment for the residents of Oyama-machi. The campaign sought to construct the perfect environment for living in order to retain residents, particularly young people, who were moving away due to lack of entertainment, amusement and cultural facilities. Under this campaign program, Oyama-machi was divided into eight cultural zones with one cultural center in each.

The turning point for members in the community was in 1949 when the Oyama Agricultural

Cooperative was established and became a core member of the community. Oyama community activities became increasingly sophisticated when the agricultural cooperative established organizations such as the agricultural processing center, enoki mushroom mycelium center for enoki mushroom branch plant and Konohana Garden direct sales shop and organic restaurant. These organizations became important actors in the community for conducting multi-dimensional activities. Also, the local administration established Oyama Cable Broadcasting, Oyama Cable TV and the Oyama Lifestyle Consulate in Fukuoka. This expanded community activities with these organizations becoming community actors including events such as National Umebshi Competition as well. The town administration led the establishment of private organizations such as the Bungo/Oyama Hibikinosato and the Roadside Station Mizubenosato Oyama. The community added other actors such as the community center, which is the base of community activities, farm producer groups and softball teams.

Community becomes more explicit through mutual interactions between inside and outside players. The community in Oyama-machi was clarified with the involvement of Oita Prefecture and the Ministry of Agriculture, Forestry and Fisheries (MAFF). The NPC Movement was in opposition to the agricultural policy of the time because it advocated switching from cultivating rice to plums and chestnuts. Oita Prefecture and MAFF responded with a chilly attitude. People in Oyama-machi adopted a strong awareness of their position as a community through such interactions.

As the NPC I began bearing fruit, the attitudes of Oita Prefecture and MAFF became friendlier, and they gradually transformed into actively supportive organizations. The Oita Prefectural Governor Hiramatsu developed the OVOP Movement and publicized the case of Oyama-machi as a model example. This greatly changed the relationship between Oyama-machi and Oita Prefecture.

Oyama-machi also engaged with many external actors. They did this through the municipalities where trainings were held, the places they visited on study tours and the participating regions for social events. As a result of the training program in the kibbutz in Israel, Oyama-machi and Megiddo became sister cities. Additionally, the European trainings conducted concurrently with the Israel training helped people compare the status of Oyama-machi with each of the cities visited. Megiddo, especially, gave the people of Oyama-machi a model on how to develop under difficult conditions.

There is a distinction between the original models of the OVOP Movement in Oyama-machi, Yufuin and Himeshima, and the OVOP Movement introduced by former Governor Hiramatsu. The original model and activities of Oyama-machi are more community oriented, while the latter OVOP Movement became more production oriented. The original nature of the OVOP model is seen in the development of the hot spring resorts of Kurokawa and Onpaku in Beppu. This is reason the development of Kurokawa and Onpaku are included as case studies in the training program (Miyoshi 2010; Miyoshi and Stenning 2008a, 2008b).

5. Group Discussion on the Study Tours

In the training program, we encourage participants to examine the cases and discuss how to interpret the information and experiences gained in the context of community capacity development and value-added social, economic, environmental and political activities. These activities are a review process to allow program participants to understand concepts in practices and conceptualize their experiences in a more practical way. Participants are encouraged to clarify the community boundary by categorizing internal and external stakeholders, as well as discuss community capacity and community policy structure from the perspective of rural people. Role-playing is sometimes introduced by asking participants to act as key players in the community.

To facilitate flexible thinking, program participants use sticky notes to write down important items,

visualize how arguments evolve (see Figures 13-16) and see the connections between them. This style of discussion makes program participants more concerned about the nature of the community and able to understand the community more holistically. Here are the discussion guides for Onpaku and Oyama-machi case studies.

5.1 Onpaku Case Study Discussion Guide

- Discussion 1
 - Identify responsible organizations at each level of Onpaku - policy level; policy making organization, central government, prefectural government, implementation organization level; NPO, municipality, program level; partner.
 - Which organizations play a role in the policy making organization? What kinds of work do they do?
 - Which organizations play a role in the implementation organization? What kinds of work do they do?
 - Which stakeholders play a role as partners? What kinds of work do they do?

Figure 13: Group discussion
(Photo by Koichi Miyoshi)



Figure 14: Group discussion
(Photo by Koichi Miyoshi)



Figure 15: Group discussion
(Presentation)
(Photo by Koichi Miyoshi)



Figure 16: Group discussion(Presentation)
(Photo by Koichi Miyoshi)



- Discussion 2
 - Examine the community capacity necessary to use the Onpaku Approach for rural development.
 - Consider the actors, such as the implementation organization, program partners
 - Describe the characteristics of community capacity – sense of community, commitment, ability to set and achieve objectives, ability to recognize and access resources
- Discussion 3
 - Examine the measures to promote the organization for Onpaku at the municipal level.
 - What is the implementation timeframe?

5.2 Oyama-machi Case Study Discussion Guide

- Discussion 1
 - Clarify the target community and identify stakeholders for rural development at the municipal level.
 - Which governments, organizations, populations are involved?
 - Make stakeholder map. Identify as many stakeholders as possible at each level, including community, provincial and central levels. Identify internal and external stakeholders. Attempt to calculate how many of each type of stakeholder there is.
- Discussion 2
 - Formulate the program theory, community policy structure, for rural development at the municipal level. Move from end outcomes to intermediate outcomes in a policy structure. Also look at project implementation, moving from outputs to activities to inputs.
 - When identifying activities, look especially at the collective activities and value-added production that contribute to village or district development. Also consider the economic, social, environmental and political activities.
- Discussion 3
 - Examine the community capacity at the municipal level.
 - Identify the characteristics of community capacity - sense of community, commitment, ability to set and achieve objectives, ability to recognize and access resources
 - Identify the effective strategies that contributed to community capacity development, including leadership, human resources, organizational development, and networks.
- Discussion 4
 - Identify the support and interventions from the central and prefectural governments that contribute to the development of the community capacity.
 - Identify the support and intervention at the local level, including economic, social and political support.

6. Group Discussion on Action Plans: Policies, Programs and/or Projects

Each participant prepares a rural development plan in his or her inception reports prior to the training. This includes policy, program and/or projects for rural development of each participant's country. Program participants are divided into groups composing of five to six people to discuss their plans. Plans are clarified, discussed and refined during group discussion on action plans. This is accomplished through reflection on the outcomes of the group discussions, which participants then compile into interim reports that are presented to the group.

These group discussions clarify the role of the community as the driving force for rural development. The reaffirmation of the role of community is important because it is related to the identification of key players for rural development and the creation of collective activities and implementing organizations.

Group discussions on action plans are guided by the following four points in order to narrow the focus on target communities.

- Discussion 1 – Reconfirm or Identify appropriate target communities for the action plan and identify stakeholders in the community related to rural development.
- Discussion 2 – Revise or create the community policy structure related to the action plan following the policy structure components (end outcomes, intermediate outcomes, outputs, activities, inputs). Discuss appropriate collective activities for community policy structures by utilizing the DHO (Onpaku) Approach and OVOP Approach models.
- Discussion 3 – Evaluate the current community capacity of the target community (sense of community, commitment, ability to set and achieve objectives, ability to recognize and access resources) from the viewpoint of implementation of the revised and created community policy structure. Consider community capacity development strategies (leadership development, human resources development, organizational development, network development) and reflect them into the policy structure.
- Discussion 4 - Identify appropriate measures, possible supports or interventions from the national, provincial governments, or supporting organizations to promote the revised or created community policy structure, and compile them as this action plan in terms of policy, program and /or program for rural development. Prepare implementation schedule for this action plan.

7. Conclusion: Implications for the Promotion of Rural Development

These training programs connect concepts and practices through four stages: (a) introducing the concepts of rural development and community capacity development; (b) sharing the experiences of communities in Oita such as Oyama-machi in the study tours; (c) understanding concepts related to cases in the study tours; and (d) seeking possible application to program participants' countries through group discussions based on their inception reports. The structure is appropriate since program participants carried out the training activities based on these perspectives. This kind of training program can be organized for various occasions, for example to formulate community development plans or to examine existing community policy structures in developing countries. This training program framework provides effective ways to conceptualize development approaches and practice for people in rural communities.

Collective community activities are essential for community and rural development. Implementation organizations in the community are key agents to create collective activities, as introduced and emphasized in the cases of in the DHO Exhibition Approach and the Community-based OVOP Approach. The definition of community and the identification of community implementation organizations are issues that must be examined by people in the community, as well as at policy making organizations.

Beppu Onpaku is introduced as a discussion case for the DHO Exhibition Approach and Oyama-machi is a discussion case for the Community-based OVOP Approach. Opportunities to listen to the experiences of people involved with rural development are eagerly planned. The concepts and exercises from our training program complement the practical examples from the communities and peoples Oita prefecture and the surrounding areas.

Using an alternative development approach concept stems from the knowledge gained through our

training programs and the experience of rural development in Oita prefecture and its surrounding areas. Every place has interesting experiences to share and ideas for promoting better lives. This is true not only in the cases we present, but in any area even that is severely underdeveloped. We encourage people in underdeveloped areas to organize this kind of training program, identify good examples from in their community and share them and to facilitate the development of collective activities for rural development.

The DHO Exhibition Approach and the Community-based OVOP Approach are policy oriented approaches. Training plays a practical and vital role in introducing these approaches into a rural development policy. A properly prepared cascading training program, involving policy making and implementation organizations, as well as producers and service providers is practical and desirable to make these approaches feasible and successful.

* **This chapter is a revised version** of “Miyoshi, K. (2011). Organizing Training Programs for Community Capacity and Rural Development: Case Study of the JICA Group Training Programs, in Miyoshi, K., Banyai, C. L. and Okabe Y. (Ed.), Proceeding of the Second Roundtable Discussion for Rural Development: Strategic Approach for Rural Development and Facilitation for Rural Development, Aug. 9 - 12, 2011, Ritsumeikan Asia Pacific University.”

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3

Roundtable Discussion on Rural Development

Cindy Lyn Banyai

Refocus Institute

Yumiko Okabe

Institute for Community Design

1. Roundtable Introduction

Rural development is an important issue in many developing countries and participatory evaluation is a tool that can help better shape policy. To help enrich the studies of the graduate students at Ritsumeikan Asia Pacific University (APU), most of who are government officials from developing countries, participated to a roundtable discussion on the theme of rural development roundtable workshops on participatory evaluation and rural development were convened. The roundtable included presentations from academics and development practitioners. Each presentation was followed by a brief question and discussion time. After all of the presentations were complete, the participants were asked to write on large sticky notes some questions, topics, and issues that interested them in response to the presentations. These papers were posted on the wall and volunteers were asked to help break them down thematically into groups.

2. “Strategic Approaches for Rural Development” and “The Role of Participatory Evaluation for Rural Development.”

The first roundtable was convened in February 2011 on the themes of “Strategic Approaches for Rural Development” and “The Role of Participatory Evaluation for Rural Development.” The groups that emerged were on the basic themes of community capacity and participation, local governance, and economic initiatives.

Participants who were interested in a certain area were then asked to join that group and contribute to a discussion on the topic, offer potential research questions, flesh out the issue, and provide brief answers to some of the questions. The groups used the sticky notes again to capture their ideas, and connect and categorize them further. Upon coming to some basic conclusions on direction, theme, and questions, groups then collaborated to produce a slide presentation.

Each group presented their work and facilitated a discussion on the issues they presented. While the groups presented, a facilitator graphically recorded their presentation on a white board to help convey the message visually to the group. The roundtable then finished after some final thoughts from the presenters and participants on the themes of “Strategic Approaches for Rural Development” and “The Role of Participatory Evaluation for Rural Development.”

2.1 Expert Presentations**2.1.1 Koichi Miyoshi**

The workshop began with a presentation from APU professor, Koichi Miyoshi. Professor Miyoshi’s presentation focused on a proposed project for rural development in Laos. The project’s framework is based on the JICA¹ sponsored trainings based on the One Village, One Project (OVOP) and Onpaku that have been conducted at APU since 2006.

¹ Japan International Cooperation Agency

First, Professor Miyoshi introduced the case of Oyama-machi in Oita Prefecture, as a good example of endogenous development that resulted in community capacity building and becoming the model for OVOP. Next, he introduced the Onpaku events of Beppu as a way to collectively market and risk-share local product development. These cases are described using the Miyoshi-Stenning dual model depicting community capacity building and policy structure. Both approaches are also described through the roles that need to be taken by the policy level, the implementation level, and the producer level.

A training schematic based on the OVOP and Onpaku trainings is then presented. These trainings combine classroom lectures and group discussions, with field study visits, and action plan preparation. Professor Miyoshi then combines the theoretical approaches and the training outline to discuss how they can practically applied in a rural development program, as he is proposing to do in Laos.

Following the presentation, some students had questions and comments. An African student emphasized the financial aspect of development and Professor Miyoshi emphasized the importance of reallocating budgets in local government in order to re-examine an existing policy structure. Another student made comments based on his field trip experience in Oyama-machi about how he admired that even the smallest government level can have capacity to manage their finances.

2.1.2 Kaoru Hayashi

Professor Hayashi of Bunkyo University presented on “Strategic Approach to Rural Development – Is “Mobilization of Local Resource” an effective solution?” Professor Hayashi’s aim was to look at the effectiveness of local resource driven development initiatives in terms of their return on levels of self-sufficiency, overall costs, and levels of production. He first introduced development models from Japan, such as OVOP, road side stations, and agro-based local businesses.

Professor Hayashi focused most of his presentation on the cases of Umaji and Kamikatsu, two Japanese that are locally famous for their rural revitalization efforts based on the utilization of easily obtainable natural resources found in their areas. Ultimately, he concluded that the impact of local resource based development is not clear and there are limited effects on the fiscal consolidation of local government.

Professor Hayashi took a different approach than that of Professor Miyoshi, focusing on quantitative interpretations of policy effectiveness. Although their conclusions on the lessons from the Japanese case studies are more or less the same – they should be viewed as Movements, not programs and must be contextualized.

2.1.3 Emil Elestianto Dardak

The last presentation of the morning session of the rural development roundtable was given by Emil Elestianto Dardak, a development specialist and Executive Vice President of Indonesia Infrastructure Guarantee Fund. Dr. Dardak’s presentation focused on a strategic approach to rural development through regional consideration. He emphasized the necessary relationship between rural and urban areas in terms of infrastructure, food security, and markets.

Dr. Dardak took as spatial-relational approach to rural development and spoke on the importance of integrated rural-urban planning and the fortification of what he described as rural-towns.

In the discussion following Dr. Dardak’s presentation many reiterated the importance of the central government role as the financial supporter of rural areas, especially in implementing projects. While others were concerned about dependency that such an arrangement created. The discussion went to the issue of decentralization, exploring the extent to which each participant’s country had been decentralized. The conversation concluded with the agreement that strong partnerships between the three key players of the local government, central government and community are necessary to fill the gaps between them.

Moreover, strong participation from local people and the central government was deemed vital.

2.1.4 Yuriko Minamoto

Professor Minamoto of Meiji University led off the afternoon presentations for the workshop with her presentation on the role of participatory evaluation in local governance. She spoke extensively about her experience conducting participatory evaluation on public health programs in Shinagawa City, Tokyo. Professor Minamoto described the process of participatory evaluation and the outcomes in terms of organizational and leadership development.

When asked about her reflections on her presentation and the subsequent group discussions, Professor Minamoto said that she thought it was important for the graduate students to learn about Japanese examples of rural development. Furthermore, she said that from the roundtable she personally gained information about the development and evaluation activities around Kyoto, where she will soon be conducting another participatory evaluation.

2.1.5 Cindy Lyn Banyai

Cindy Lyn Banyai is an evaluation specialist and Executive Director of the Refocus Institute consultancy. Dr. Banyai was the last of the expert presentations of the roundtable and she focused on the relationship between evaluation and policy management for rural development. In addition to her practical summary, Dr. Banyai introduced the idea of using non-traditional media, such as photography, video and art, in the evaluation process and data visualization. She also briefly introduced the idea of graphic recording, where facilitators take notes on group discussions using visual representations and pictures to help participants gain a better understanding of the concepts under discussion.

Many of the roundtable participants were not familiar with methods of participatory evaluation, let alone the use of visual media in evaluation. However, they were interested in this approach so because they are concerned about people not participating the policy making process in their countries.

2.2 Group Discussions

Following the expert presentations, the roundtable participants were asked to brainstorm some questions and issues that were important to them. They did this by writing down their ideas on large sticky notes that were then roughly categorized by topic. The participants then could choose to follow their question into a discussion on a related topic or choose another topic of interest to them. This is how the main groups for the group discussion were formed.

Three groups were formed along the following broad categories: capacity and participation, intervention and infrastructure, and government policy in development. The participants were then asked the following questions to guide their group discussion:

- Why is it [the topic] important?
- What are some interesting questions on this topic?
- Reply to questions

The presenters joined in the group discussions to offer their insights and to listen to the thoughts of the participants. The discussion was elaborated using the sticky notes to ensure that all participants had the ability to join the discussion and have their voice heard. The sticky notes also allowed for further clarification and categorization of ideas. Following the discussion, each group was asked to prepare a PowerPoint presentation to share their ideas with the larger group (see Figure 1 - 4).

Figure 1: Dr. Banyai Demonstrating Graphic Recording during Group Presentation



Source: Okabe

Figure 2: Capacity and Participation Group with Professor Minamoto



Source: Okabe

Figure 3: Intervention and Infrastructure Group with Dr. Dardak



Source: Okabe

Figure 4: Government in Development Policy Group with Professor Hayashi



Source: Okabe

2.3 Summary

The roundtable discussion on rural development and participatory evaluation for graduate students at APU in February 2011 was a success for the participants and presenters alike. It provided wealth information on topics that are of importance to students and encouraged discussion and group work to further codify and expand the concepts introduced by the presenters. Practical and pressing issues such as the real success of development initiatives and the steps of participatory evaluation were covered. Innovative approaches, such as rural and urban integration and visual media use in evaluation also provided ample room for discussion and growth among the participants.

3. “Strategic Approaches for Rural Development” and “Facilitation for Rural Development.”

The second roundtable was convened in August 2011 on the themes of “Strategic Approaches for Rural Development” and “Facilitation for Rural Development.”

Panel presenters for “Strategic Approaches for Rural Development” included:

1. Mr. Xaysomphet Norasingh - Division Director, Economic Research Institute for Trade, Ministry of Industry and Commerce, Laos;

2. Ms. Ana Khristina Salanguit Puatu - Program Manager for the Graduate School of Business, The Asian Institute of Management, Philippines;
3. Ms. Yumiko Okabe - Executive Director, Institute for Community Design, Japan; and
4. Dr. Koichi Miyoshi - Professor, Graduate School of Asia Pacific Studies, Ritsumeikan Asia Pacific University, Japan.

Presenters for the panel on “Facilitation for Rural Development” included:

1. Dr. Miho Ota - Assistant Professor, Tamagawa University, Japan;
2. Dr. Hiroshi Tanaka - Executive Director, The Institute for Himalayan Conservation (IHC), Japan;
3. Dr. Cindy Banyai - Executive Director, Refocus Institute, USA; and
4. Dr. Kimura Rikio - Assistant Professor, College of Asia Pacific Studies, Ritsumeikan Asia Pacific University, Japan.

The panel on strategic approaches was held on the first day and the panel on facilitation the second. Each expert presentation was followed by a brief question and discussion time. The afternoon session of each workshop day was allotted for group discussions and presentations on the panel topics.

For the group discussions, participants were asked to write some questions, topics, and issues that interested them in response to the presentations on large sticky notes. These papers were posted on the wall and volunteers were asked to help break them down thematically into groups. The groups that emerged were on the basic themes of community capacity and participation, local governance and economic initiatives.

Participants who were interested in a certain area were then asked to join that group and contribute to a discussion on the topic, offer potential research questions, flesh out the issue and provide brief answers to some of the questions. The groups used the sticky notes again to capture their ideas and connect and categorize them further. Upon coming to some basic conclusions on direction, theme and questions, groups collaborated to produce a slide presentation. Each group presented their work and facilitated a discussion on the issues they presented.

3.1 Expert Presentations

Each expert was asked to prepare a 30 minutes presentation related to their panel topic, as well as paper on the same subject. The following are summaries of the presentations by the panel experts. More information on their respective areas can be found in the latter chapters of this proceeding.

3.1.1 Xaysomphet Norasingh

The workshop began with a presentation from Mr. Norasingh of Laos. He introduced the community development situation in Laos and described the implementation of One District One Product (ODOP) there and the effects of Onpaku training. Mr. Norasingh shared some of the challenges ODOP faces in Laos, including lack of human resources and limited production capacity. He stated that the Onpaku approach helped fill in some of the gaps to improve the implementation of ODOP in Laos.

3.1.2 Ana Khristina Salanguit Puatu

The second panel presentation on “Strategic Approaches for Rural Development” was from Ms. Puatu. She presented on an evaluation of JICA’s Filipino leadership training programs. The evaluation was based on the dual model of community capacity development (Miyoshi and Stenning 2008) and the model for leadership and community capacity building she developed. The dual model was used in creating the training program and is aptly used to evaluate its effects on both the participants and their communities.

3.1.3 Yumiko Okabe

Ms. Okabe presented on networking and knowledge sharing. She focused on the case study of two community groups and their leader in rural Kenya. Her findings indicate that networking and knowledge sharing at the local level are necessary to successfully implement rural development programs, because they lead to community capacity development and facilitate income generating activities.

3.1.4 Koichi Miyoshi

Professor Miyoshi's presentation introduced the case of Oyama-machi in Oita Prefecture, as a good example of endogenous development that resulted in community capacity building and becoming the model for OVOP. Next, he introduced the Onpaku approach from Beppu as a way to collectively market and risk-share local product development. These cases are described using the Miyoshi-Stenning dual model depicting community capacity building and policy structure. Both approaches are also described through the roles that need to be taken by the policy level, the implementation level, and the producer level.

Professor Miyoshi presents a training schematic based on the OVOP and Onpaku trainings. These trainings combine classroom lectures and group discussions, with field study visits and action plan preparation. Professor Miyoshi then combines the theoretical approaches and the training outline to discuss how they can practically applied in a rural development program.

3.1.5 Miho Ota

Professor Ota lead off the second day of the workshop entitled "Facilitation for Rural Development." Her presentation examined the efforts of facilitators in a Japanese rural development program that began shortly after World War II. She displayed many interesting pictures from the era and described how the facilitators aided in the development of both technical and human development. Professor Ota emphasized the rural development practitioners must not alienate themselves from those they seek to help.

3.1.6 Hiroshi Tanaka

The second presentation on the second day belonged to Dr. Tanaka who spoke on a case of participatory evaluation from Cambodia. The case focused on the efforts of a Japanese NGO working on livelihood development projects in Phnom Penh. Dr. Tanaka detailed the process of participatory evaluation involving the Japanese and Cambodian program staff. By taking this approach, participants were better able to understand the project outcomes, the effects of their efforts and use the information to learn within their organization.

3.1.7 Cindy Lyn Banyai

Dr. Banyai introduced the idea of using photography in the evaluation process. She did this through detailing the process she developed in the Philippines. Participatory photo evaluation combines action research and participatory evaluation to provide a unique forum through which participants can express themselves. The process also builds capacity through leadership development and community dialogue.

3.1.8 Rikio Kimura

The final panel presentation was from Professor Kimura. He began with an interactive discussion activity to demonstrate the power dynamics in a group. The topic of his presentation was how facilitators can avoid exercising their perceived powerful positions. Professor Kimura's main point was that facilitators should be constantly aware of the internal and external power structures in development activities, doing their best to ensure that programs are implemented fairly.

3.2 Group Discussions

Following the panel presentations, the roundtable participants were asked to brainstorm some questions and issues that were important to them. They did this by writing down their ideas on large sticky notes that were then roughly categorized by topic. The participants then could choose to follow their question into a discussion on a related topic or choose another topic of interest to them. This is how the main groups for the group discussion were formed.

Groups were formed to discuss each of the presenters' topics in-depth. The participants were asked the following questions to guide their group discussion:

- Why is it [the topic] important?
- What are some interesting questions on this topic?
- Reply to questions

The presenters joined in the group discussions to offer their insights and to listen to the thoughts of the participants. The discussion was elaborated using the sticky notes to ensure that all participants had the ability to join the discussion and have their voice heard. The sticky notes also allowed for further clarification and categorization of ideas. Following the discussion, each group was asked to prepare a PowerPoint presentation to share their ideas with the larger group.

3.3 Study Tour

Following the two day workshop on APU's campus, the participants went on a two day study tour to Oyama-machi. Professor Miyoshi introduced the town as the case example for the OVOP Movement in Japan. While this is true, Professor Miyoshi is quick to point out the unique factors that helped the community become developed including their innovation, networking and exchange, as well as their community capacity.

The study tour began with a visit to Hibikinosato, a public-private partnership in the business of producing plum liquor, hospitality and hot springs. At Hibikinosato the director, Hideo Ogata, spoke about how his company continued to battle rural gentrification through innovation and avid marketing.

The second stop on the first day of the study tour was to the house of Mr. Kazumi Koda. He discussed the history of the local development movement in Oyama-machi, the NPC Movements. Mr. Koda was one of the people originally involved in the rural revitalization in Oyama-machi that began in the 1960s.

After touring Hibikinosato and listening to the lectures, the participants and some of the presenters did homestays at the farms in Ogirihata, a district involved in green tourism in Oyama-machi. Participants were able to see what farm living is like, visit the plots where farmers grow their products, see the procedures they use to send their products to market, as well as enjoy food and casual conversation with their hosts. Farm stays are learning experiences for all involved.

In the morning on the second day of the study tour to Oyama participants went to the former Oyama local government, which is now an extension branch of the newly incorporated Hita City. There Mr. Takeo Kawazu, Head of the Development and Promotion Bureau of Hita City, showed a video on the NPC Movement and discussed the steps necessary for Oyama's development from the perspective of local government officials.

After the lecture from Mr. Kawazu, the participants visited and had lunch at Konohana Garten, a restaurant and shop operated by the agricultural cooperative in Oyama-machi. Touring these facilities allowed participants to see how direct sales locations operate and how to incorporate local knowledge, such as traditional recipes and cooking techniques, into income generating activities.

Following lunch, participants visited Marukin Farm and listened to Mr. Masaki Kurokawa speak about

his involvement in the NPC and how he is currently sustaining his business. Marukin Farm produces fresh and pickled plums and is one of the most successful business operations in town, in part because of the success Mrs. Kurokawa has had with her pickled plum recipes in national contests. Through this experience, participants can see firsthand the effort and characteristics necessary to sustain rural agricultural-based industries, as well as the positive effects of events and product recognition.

The last stop on the study tour to Oyama was Mizubenosato, another roadside station and direct sales location. The manager, Mr. Yamaguchi, spoke briefly about how the station operated. The participants were able to examine the variety of products available, as well as do a little *omiyage* shopping.

3.4 Summary

The roundtable discussion on rural development and participatory evaluation for graduate students at APU in August 2011 was a success for the participants and presenters alike. It provided information on topics of importance to graduate students, as well as encouraging discussion and group work to expand the concepts introduced by the presenters. Practical and pressing issues such as how to practically employ photography in evaluation and the role of the facilitator were addressed. Application of the ideas and approaches to the home countries of the participants provided ample topics for discussion and growth.

4. “Rural Development in Thailand and the Philippines.”

The third roundtable was convened in February 2012 on the theme of rural development. Project proposals from Thailand and the Philippines were included in the discussions. The reasons of focusing on these two countries is to improve project planning and proposals coming from those countries because APU Professor Koichi Miyoshi is organizing projects there with the assistance of JICA. Therefore the purpose of having this roundtable for graduate students is to provide them with practical discussions on rural development using real existing proposals.

Having input from graduate students from the respective countries made discussions effective and useful. It also provided an opportunity for those in the development field from both countries to encourage them to take responsibility for its implementation as a practitioner. The students also gained new ideas for rural development in the context of their work. A phrase that was often said during the discussions was “think outside the box”, which is a decisive act for the development and implementation of the project.

On the third-day, the roundtable participants went on a walking tour in Beppu to gain an understanding of the Onpaku Approach. The participants not only enjoyed the tour, but also recognized the importance of local resources and the methods involved in this new type of tourism.

4.1 Presentations and Group Discussions

4.1.1 Thailand

The first day of the roundtable focused on the Thai case with the topic “Integration of One Tambon One Product (OTOP) with the Onpaku Approach”. The panel presenters included:

1. Mr. Kasin Naulkoksoong, -Chief, Community Development Department Surin Provincial Office, Community Development Department, Ministry of Interior, Thailand;
2. Ms. Kanjana Likhasith – Community Development Specialist, Community Development Department Surin Provincial Office, Community Development Department, Ministry of Interior, Thailand;
3. Ms. Hisano Ishimaru –PhD candidate, Graduate School of Asia Pacific Studies, Ritsumeikan Asia Pacific University, Japan.

Mr. Naulkoksoong first explained how rural development looks in the context of Surin Province. The Community Development Department (CDD) is the key actor for many kinds of development activities in Thailand. The department aims to fight poverty, improve the livelihood of people in rural areas through participation and self-reliance. The department is also in charge of promoting sustainable community development.

Ms. Likhasith explained OTOP activities in Surin. CCD supports trainings, workshops and OTOP fairs. For example, in Surin trainings on packaging and design, OTOP road shows and fairs are held five times in 2011.

Two villages in Surin Province were selected as OTOP village champion (OVC). Ban Thasawang produces handicrafts and Ban Takalang is engaging in eco-tourism with elephants. The OVC started in 2006 with the following criteria:

- People: strong participation in the village
- Product: standing out among OTOP products
- Place: having the potential as a tourist attraction
- Preserve: can be maintained

Ms. Ishimaru then presented a project plan that proposes Surin Province integrates their OTOP Movement and development plan. The basic strategy is to strengthen their existing activities, by improving the methods and content of trainings and fairs. The plan specifically proposes the adoption of a successful development approaches such as Onpaku in Beppu or the direct sales market in Oyama-machi. The project proposal has already been accepted by JICA and is now in the process of making contracts with stakeholders in Surin Province for implementation.

Taking this into account, questions for the group discussions were:

1. What are important issues for successful preparation and implementation of the project?
2. Why are these issues important?
3. How do you handle these important issues?

Figure 5 and 6 shows discussion methods. Using sticky notes on the wall facilitated the group discussion by making it easier to organize many different ideas and understand the discussion clearly. The different backgrounds of the participants allowed them to come up with rather interesting points. Through the discussion it was discovered that the development initiative in Thailand is very flexible, avoiding political conflicts through the coordination of policy structure among stakeholders.

Figure 5: Groups Discussions with Sticky Notes



Source: Academic office in APU

Figure 6: Presentation of Summary of the Discussion



Source: Academic office in APU

4.1.2 The Philippines

The second day of lectures and discussions focused on the Philippines with the topic "Planning/Designing Projects for Rural Development. Panel presenters included:

5. Ms. Ana Khristina Salanguit Puatu - Program Manager for the Graduate School of Business, The Asian Institute of Management, Philippines;
6. Seville Liecel Mondejar, Local Chief Executive / Municipal Mayor, Local Government Unit, New Lucena, Iloilo Province
7. Ms. Yumiko Okabe - Executive Director, Institute for Community Design, Japan.

Ms. Puatu first explained community leadership development in the Philippines. She emphasized that political leadership needs two types of leadership, transactional and transformational leadership, for community capacity building.

Mayor Liecel presented some general information on the development in her municipality of New Lucena. She explained that the municipality especially focuses on social activities, emphasizing the social welfare system for children, women, families, the elderly and people with disabilities. However; she also notes that economic development has to be strengthened in the tourism sector and the quality of products and markets.

Ms. Okabe presented a project proposal for the Philippines using the OVOP and Onpaku approaches with New Lucena municipality as an example of the implementation organization. The idea of the proposal is similar to the Thai case, but in New Lucena the emphasis will be on the creation of a direct sales market according to the potentials there.

The questions for discussions included:

1. How should we involve stakeholders?
 - Point out the approach/opportunities
 - Point out the issues
2. How can New Lucena Municipality implement activities in the project?
 - Choose one activity among five
 - Modify the policy structure with the activity you choose

Students were encouraged to improve and clarify the ends and means of the activity by assuming the role of officers in the municipality of New Lucena. Mayor Liecel assisted the discussions by in providing the real context of New Lucena, making the discussion outcomes adoptable for actual implementation. Some activities were improved after taking into consideration the real context of New Lucena.

4.2 Beppu City Walking Tour

On the third-day, participants experienced the Onpaku program in Beppu in order to better understand the philosophy behind it. Mr. Kadowaki, who currently works as system engineer in NPO Hatto Onpaku, took the group to the area of Beppu called Kitahama. Mr. Kadowaki is also one of the members of Beppu B-class gourmet, a group that finds inexpensive delicious local food and promotes it. Most tours introduce rather famous and historical places, but the concept of the Onpaku walking tour is to get to know the real Beppu (Figure 7 and 8).

Participants enjoyed eating various cuisines and got to see deep inside the city where people usually pass through without even noticing. They also realized the importance of the local people and their empowerment through implementing Onpaku.

Figure 7: Tasting one of popular local food of Beppu



Source: Ana K. S. Puatu

Figure 8: Visiting the bamboo-making facility



Source: Academic office in APU

4.3 Summary

This roundtable was convened for graduate students at APU and was successful for students and practitioners from the participating countries of Thailand and the Philippines. Discussions made students familiar with new approaches to rural development that are more holistic than traditional economic-centered approaches. Practitioners from both countries also gathered some input for the implementation of the project activities. The walking tour of Beppu made participants believe that this approach is applicable in their countries.

*** This chapter is a revised and combined version of**

“Okabe, Y. (2012). Roundtable Discussion for Rural Development in Thailand and the Philippines, in Miyoshi, K. and Okabe Y. (Ed.), Proceeding of the Third Roundtable Discussion for Rural Development: Rural Development in Thailand and the Philippines, Feb. 11-13, 2012, Ritsumeikan Asia Pacific University.

Banyai, C. L. and Okabe, Y. (2011a). Roundtable Discussion on Rural Development and Rural Study Tour, in Miyoshi, K., Banyai, C. L. and Okabe Y. (Ed.), Proceeding of the Second Roundtable Discussion for Rural Development: Strategic Approaches for Rural Development and Facilitation for Rural Development, Aug. 9 - 12, 2011, Ritsumeikan Asia Pacific University.

Banyai, C. L. (2011b). A Roundtable Discussion on Rural Development, in Miyoshi, K., Banyai, C. L. and Okabe Y. (Ed.), Proceeding of the First Roundtable Discussion for Rural Development: A More Strategic and Participatory Approach for Rural Development, Feb. 14, 2011, Ritsumeikan Asia Pacific University.”

4

Possibility of Participatory Evaluation in Rural Development

-Seeking the Practicability through the Utilization of Community Policy Structure-

Koichi Miyoshi
Ritsumaikan Asia Pacific University

1. Introduction

The purpose of this chapter is to re-examine participatory evaluation for practical use in rural development. In general there are far fewer discussions on the implementation of participatory evaluation in comparison to traditional evaluation. As a result, there are fewer participatory evaluations implemented overall and those that are conducted are more difficult (Miyoshi & Tanaka, 2001). This chapter points out that participatory evaluation is an effective, practical evaluation approach through describing the framework of participatory evaluation precisely. The chapter also looks at the practicability of participatory evaluation in community and rural development through the introduction of cases, especially those focused on group discussions based on a community policy structure.

2. Community Policy Structure and the Practical Use of Participatory Evaluation

This section presents the framework of practical participatory evaluation in order to discuss its possibility for community and rural development. The framework of practical participatory evaluation is described focusing on the purpose of evaluation as the change of community development activities, influence through the Process of Evaluation, evaluation framework, community policy structure and participatory evaluation through group discussions.

2.1 Purpose of Evaluation as the Change of Community Development Activities

Evaluation is a tool to change society for the better by clarifying the existing policy structure and implementing organized analysis based on the appropriate criteria (Miyoshi, 2010). Evaluation broadly provides feedback to society in two ways. The first is by improving economic and social activities through knowledge of their parameters and achievements. The other way is through the reporting of evaluation results to stakeholders. This makes the first purpose of evaluation learning and the second is accountability (OECD-DAC 2001, Miyoshi 2008). These two purposes are described in many ways, with the users and approaches differing.

The main purpose of practical participatory evaluation is to achieve change in a community through learning, particularly in rural society. Practical participatory evaluation examples that involve citizens to improve community and rural development objectives or activities constrained by limited time and resources are discussed here.

2.2 Influence through the Process of Evaluation

Evaluation improves a policy structure, which consists of a policy, programs and projects, by giving influence to stakeholders, subsequently making change in society through revisions in the policy structure. The influences of evaluation are studied from the point of views of resources, intention and time (Kirkhart 2000, Miyoshi 2001). Participatory evaluation also can be studied from these points of view. Resources of the influence of evaluation is recognized the process and result of evaluation.

Participatory evaluations do not necessarily aim to produce a report as the result of their efforts. Rather, it aims for stakeholders to be influenced emotionally, politically and the aspect of recognition through the experience of the evaluation process. The evaluation is even more effective when the organizer or implementer consciously recognizes the kind of influences they might have on those clarified as the target of the evaluation, and then be able to predict those influences systematically. Participatory evaluation intends to produce the changes in the behavior of the evaluation participants in social activities. This is done through group discussions that develop an understanding of the evaluation framework, outlining a policy structure based on the activities in the community, and compiling the experiences of outlining and discussing their questions on the policy structure as evaluation questions.

It is not necessary to expect immediate changes since evaluation activities are conducted singularly and in the short term. It is expected, however, that evaluation participants deal with the change of society gradually and positively by having experiences in the process of evaluation. The influence of the evaluation depends on how long it takes for the influence to appear and its long lasting effects on behavior and the policy structure.

In practical participatory evaluation, it is thought that participants bring about continuous changes in their daily economic, social and livelihood activities through attaching importance to evaluation activity experiences. It is important to plant a seed that develops in the future and to place emphasis on evaluation experiences of participants.

2.3 Evaluation Framework

Evaluation can be implemented appropriately by recognizing the framework of evaluation, and likewise participatory evaluation for community and rural development. The framework of evaluation consists of evaluation subjects, evaluation questions, and an evaluation method (Miyoshi 2008, 2010). The subject of evaluation must be precisely described first. Identifying the subject of the evaluation helps conceptualize the relationship between ends and means of community development activities in a policy structure. The subject of evaluation in community and rural development is the policy structure. There are various approaches for conceptualizing a policy structure, for instance through the use of objective trees or a program theory matrix (Miyoshi 2008, 2010, 2011). The program theory matrix is advantageous because it is practical, experiential, and presentational. It contains specific information of indicators, target values, and actual values. Evaluation questions identify exactly what needs to be known in order to achieve the evaluation objective. By so identifying each of these components the evaluation becomes sound and appropriate. This can also be described through three steps: confirmation of actual performance, comprehension of the process, and examination of the causal relationship (Miyoshi 2008). Practical participatory evaluation is implemented as an activity to describe a community policy structure and formulate evaluation questions.

2.4 Community Policy Structure

This chapter defines community as a social aggregation constructed by individuals or organizations recognized within a specific area, in general, administrative boundaries. Inside these boundaries individuals or organizations are a relative aggregation aware of belonging to the community. Communities include administrative organizations, NPOs, private enterprises and groups as members (Miyoshi 2010, 2011). People have objectives in their daily lives or organizational activities and employ various methods and levels of effort to achieve them. This applies in a community where the causal relationship between the envisioned objectives, implicitly or explicitly, relies on shared visions, values or norms, and collective effort. Tying these ends and means forms the community policy structure. This means a policy structure

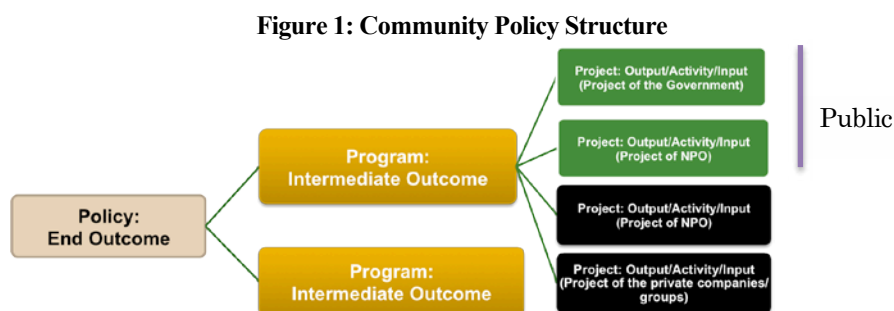
exists in community whether it is implicitly or explicitly defined (Miyoshi 2010, 2011). Figure 1 shows the policy structure of community public administration, NPOs and private enterprise using an objective tree. The public administration and NPOs play the role of the public. The policy structure shows the conceptualized causal relationship between ends and means as end outcomes (effects manifested as change in the society), intermediate outcomes (effects manifested as change in target groups, including both individuals and organizations), outputs (goods and services generated by the activities), activities (action taken in order to apply inputs to the generation of outputs), and inputs (human and material resources, operating funds, facilities, capital, expertise, time, etc.) (Miyoshi 2008, 2010).

Practical participatory evaluation is implemented by recognizing community policy structure as the evaluation subject. By introducing the concept of community policy structure, it is possible to discuss the social aggregation of the community more specifically. It is uncommon that community members or organizations recognize this kind of policy structure explicitly in the real context. It is more appropriate to say a community policy structure is recognized by aggregating activities of city, municipal or village offices of public administration, agricultural cooperative, chamber of commerce, tourism association and all other key community actors (Miyoshi 2010, 2011). Practical participatory evaluation requires participants to focus on the change of community and target groups as the ends and community activities as the means. Participants' efforts to recognize the change in the community in reality through the experience of evaluation activities, including the recognition of the existence of a community policy structure, are important.

2.5 Participatory Evaluation through Group Discussion

How can you conduct a participatory evaluation in reality? Start by organizing participants into evaluation workshops. The groups then implement the evaluation using an appropriate framework reflecting on their own experiences. It is effective to divide workshop participants into groups to promote discussion and to draw out individual participants' experiences appropriately. Ensure all participants are actively discussing and speaking their opinions, using sticky notes to share their experiences. Categorize group discussion questions into three categories:

- (1) Identify stakeholders engaging in community or rural development. Distinguish between stakeholders from inside and outside of community.
- (2) Outline the community policy structure. Examine each component of the community policy structure related to the identified stakeholders. Pay attention to collective activities implemented by the community.
- (3) Establish evaluation questions and conduct the evaluation based on the outlined community policy structure. Start with questions of interest for the participants, especially those targeting future development. Expand questions as necessary.



Source: Created by the author

What's important here is that the roughness of evaluation does not matter, but the implementation of the evaluation according to the framework does. By doing so, participants can systematically share their experiences in the evaluation and formulate a logical thought process on community development. It is suggested that the framework and the order of implementation are explained concretely before the group discussion starts so participants can lead the evaluation themselves. It is also effective for participants to become familiar with the evaluation process during implementation. Evaluation facilitators may also be used if necessary. Facilitators must understand that the evaluation is for the participants, remaining impartial to the evaluation efforts only offering technical support and guidance, not leading the evaluation.

Workshops become richer through repetition, as well as through including diversified participants. By dividing the community policy structure into parts the evaluation can be implemented step-by-step by establishing evaluation questions appropriately. The contents of evaluation become richer through a more elaborated framework of evaluation as the participants become familiar with the evaluation. Participatory evaluation workshops can focus on applying the DAC evaluation criteria, distinguishing between policies, programs and projects, choosing appropriate indicators, multi-site evaluations, community capacity evaluations or the introduction of an appropriate development approach (Miyoshi and Stenning, 2008). The implementation approach and structure of evaluation become refined and elaborated by conducting participatory evaluations regularly.

3. Participatory Evaluation Activities in Community and Rural Development Training Programs

This section introduces group discussions during training programs as a case study of how to practically incorporate this kind of group activity into participatory evaluation. Ritsumeikan Asia Pacific University (APU), entrusted by Japan International Cooperation Policy (JICA), implements training programs called "Rural Development by Community Capacity Development."² The participatory evaluation approach is used to conduct case studies that reflect on the study tours and for group discussions to make action plans (Figure 2 and 3).

The training programs incorporate study tours on community and rural development cases of the NPC Movement initiated by the main actors in (former) Oyama-machi in Oita prefecture, Decentralized Hands-on Exhibition (Onpaku/DHO Exhibition), and Michikusa Komichi initiated by NPO Kibino kobo Chimichi in Soja city in Okayama prefecture. The programs include study and discussions on these cases³ based on the framework of participatory evaluation. This approach allows training participants an opportunity to interpret what they saw and heard on the study tours focusing on the context of higher-value added community development activities, capacity development and the DHO Exhibition. Through the discussions, participants become capable of understanding concepts related to implementation concretely.

The case study begins by asking the groups to identify stakeholders, including individuals and organizations, that are involved specifically in the development activities. Participants then examine and outline the community policy structure and conduct its evaluation from the community point of view, focusing on collective activities and community capacity. In order to make discussion more realistic, each participant is asked to assume the role of the stakeholders. This develops participants' awareness of the concepts of higher value-added social economic activities through the framework of participatory evaluation.

Following this discussion another discussion is conducted on each participant's development plan in their inception report, which forms the basis for an action plan based on their initial report. This links

² APU conducts group trainings, country based trainings etc. seven or eight times per year. Refer to Miyoshi 2011.

³ This approach is used in participatory evaluation trainings because it is effective for actual implementation.

Figure 2: Group Discussion**Figure 3: Group Discussion**

Source: The author

evaluation of their present situation with the formulation of action plans. Group discussions on case studies for the reflection of study tours are usually conducted two times, with three group discussions for making action plans. Participants are divided into three groups with five to six members each. The group composition should change for each discussion. Each participant experiences group discussions five times total, sharing knowledge throughout the experiences in discussions. The training participants master the participatory evaluation approach for implementing discussions, becoming acquainted with the role of facilitator, making it possible for them to conduct discussions by themselves.

4. Rural Development Discussions Using Elements of Participatory Evaluation: Case Study of New Lucena, Iloilo Province, Philippines

This section introduces a case where a workshop for rural development in the Philippines practically used the framework of participatory evaluation. The municipality mayor of New Lucena is promoting the development under the vision of “an agriculturally productive and peaceful tourist destination with healthy, educated, environmentally-minded and child-friendly people” and the mission “to promote the welfare and well-being of the populace through an efficient and effective delivery of basic services and implementation of innovative approaches.” The municipality is rather small with a population of a bit over two thousand. Their target is to increase the quality of citizens’ life by the increasing agriculture production, conducting clean and green programs, providing social services, securing peace and order, and the maintenance of social infrastructures. They take responsibilities for development upon themselves.

The workshop was convened in August 3rd, 2011 from 9:00 to 17:00. It involved 25 people invited by the mayor from the related sections of the municipal office and from related organizations, such as NPOs and associations. This workshop was convened for my visit to New Lucena with three graduate students from APU and an expert from AIM (Asian Institute of Management) in order to identify the municipal development approach and the course of development among stakeholders in the development field (Figure 4 and 5). The visit of graduate students from APU was a part of the summer session of the graduate school.

The workshop started with an explanation of the municipal development policies and articles by the mayor, followed by the explanation of community and rural development and the two part group discussion procedure for practical participatory evaluation facilitated by me. The groups were divided into two parts. In part one, participants evaluated the municipal development by adopting the framework of practical participatory evaluation and discussed the future scope of the municipality. Specifically, they focused on the identification of the stakeholders in community and rural development, clarifying the existing community policy structure, establishing evaluation questions based on the community policy

Figure 4: Group Discussion



Figure 5: Group Discussion



Source: The author

structure they outlined, and conducting the evaluation. The first group discussion focused on economic activities. The second group focused on social welfare activities, especially the people with disabilities program. Each group conducted discussions focusing on the target groups seeking the change necessary to achieve the municipality goals, especially concentrating on objectives, characteristics, and desired changes. As a result, their evaluation was more program oriented rather than project oriented.

In second session, potential development projects were discussed in order to identify economic activities more specifically. They examined the implementers, resources, purposes, and business potential of the projects through sketching out the concept of the policy structure. This is the basic evaluation activity under the Onpaku rural development approach. When using this approach it is important to identify as many projects as possible for the exhibition (Miyoshi and Ishimaru, 2010). Each group then evaluated existing local resource-based projects and identified 20 cases as potential projects for the exhibition, resulting in over 50 project activities in total examined. The groups then conducted evaluations of these projects using the questions: why does this project have potential; what makes this project different from others; and are the targets identified selling. They also evaluated the possibility of community economic activities concentrating on the promising projects. Finally, the kinds of policies necessary to promote those business activities were discussed, taking special consideration of possibility for collective activities. The graduate students participated as a facilitator because they already leaned this form of evaluation.

5. Summary

This chapter has re-examined participatory evaluation in order to make it practical for community and rural development. It also examined practical cases using the framework of participatory evaluation, including the APU training programs for community and rural development and the workshops for community and rural development in the Philippines. This chapter focused the possibilities of practical participatory evaluation that incorporate group discussions, which is important in order for stakeholders to implement rural development themselves. The gained knowledge from these discussions is summarized below.

It is necessary to secure and organize the framework of practical participatory evaluation in order to implement it for community and rural development effectively. Specifically, it is important to recognize that the change in society and life activities for the better can be achieved through participation in the evaluation process. It is also important to examine and discuss the composition of a community policy structure and the development of evaluation questions within the framework of evaluation. Each participant can have an effective evaluation experience through use of the framework of participatory evaluation, which can also lead to change in the behavior of participants and their community. The JICA training programs and the workshop exercises in the Philippines allowed participants and opportunity to conduct

effective evaluations.

A community policy structure conceptualizes the activities of individual and organizational members of community. In practical participatory evaluation it is important to recognize community policy structure as the subject of evaluation. This makes it possible to discuss the community as a social aggregation, allowing for the implementation of more specific evaluation by examining the relation between community stakeholders and the community policy structure. Specific description of stakeholders and activities in the community policy structure makes it more suitable as the evaluation subject.

Organizing participatory evaluation into workshops that use the defined framework and encourage participants to accumulate evaluation experience is important. Participants can be divided into smaller groups in order for all participants to speak out, discuss, and share experiences in the evaluation. Basic evaluation questions for group discussions can be divided into three categories: identifying stakeholders in community and rural development; outlining the community policy structure; establishing evaluation questions and conducting the evaluation based on agreed upon community policy structure.

Sometimes it may be necessary to use facilitators in participatory evaluation. However, facilitators must only draw out the experiences of participants, taking on the role of supporter. Participatory evaluation workshops become richer through repetition and inclusion of diverse participants.

Evaluation should be conducted to discover the positive experiences of community members. It is important to share these experiences and build collective activities based on them. In order to do so, it is effective to develop a framework of evaluation based on the effective approaches, for example, the concept of rural development through community capacity building and the Onpaku approach.

The framework of participatory evaluation discussed in this chapter is an effective evaluation approach for community and rural development and easily applicable for practical use. It is hoped that many development practitioners utilize this approach and that community and rural development is promoted.

* **This chapter is a translated and revised version** of "Miyoshi, K. (2011). *Komyuniti Kaihatsu ni okeru Sanka-gata Hyouka no Kanousei: Komyuniti Seisaku Taikei no Katsuyo to Jissensei wo motomete* (Possibility of Participatory Evaluation in Rural Development: Seeking the practicability through the utilization of community policy structure), the Proceeding of the 12th Annual Conference, the Japan Evaluation Society. (In Japanese)".

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**PART II:
COMMUNITY CAPACITY
AND RURAL DEVELOPMENT**

5

Why Community Capacity for Rural Development?

Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Introduction

The emphasis on community capacity in rural development comes from my experiences of involvement in rural development. I have been involved with developmental issues in developing countries, especially poverty reduction in rural areas, through my work with the Japan International Cooperation Agency (JICA). After leaving JICA and moving to Ritsumeikan Asia Pacific University in Oita Prefecture I have been teaching and conducting research on rural development there. In addition I have hosted JICA rural development training programs in Oita based on my research and experiences in international cooperation. Through these activities, especially after coming to Oita I have focused my research in Oita on successful cases of rural development in places such as Oyama-machi and Himeshima-mura in order to construct a development model for practical and operationable use in rural development based on these experiences. I would really like to develop something more practical and operationable to respond to the reality of rural development.

There is lot of existing research findings which demonstrate the concept of endogenous development and theoretical frameworks based on these concepts. There are also various documents which describe the historical story of successful rural development. However, from the perspective of a practitioner most of these concepts, frameworks and accounts are not practical and operationable to the reality. From my experience in development projects, I noticed many theories are useful and effective in assessing rural development, but are not sufficient for utilizing them in the actual development process. Much theoretical research views development from the perspective of the researcher and lacks the practical reality of the practitioners' perspective. On the other hand the descriptions of successful story of rural development fail to conceptualize the activities that took place, which may be sufficient in understanding the individual process, but not applicable in different contexts and/or in different environments. They lack the necessary conceptual definitions to interpret the rural development for practical and operationable use.

I experienced this kind of situation in conducting JICA training program. The lack of practical and operationable development concept, framework and accounts made it especially difficult to conduct the JICA training programs, where I intended to introduce development cases in Oita Prefecture to countries with different circumstances than Japan. The same difficulty was found in conceptualizing and establishing a model for the Decentralized Hands-on Exhibition (Onpaku) development approach during JICA trainings. My research is principally to respond to these situations and drive stems from pondering how to resolve these issues.

I believe that development is people's behaviors and activities with each case uniquely dependent on the circumstances and context of the particular location. The thoughts and intentions of those involved are reflected in their development. Some activities may appear similar, but a closer look reveals that each group of people behaves in different ways. This situation makes the application of the certain development difficult to utilize or transfer to the other circumstances. However, by conceptualizing and interpreting development activities and behaviors from the viewpoint of practice and operation, people become enable to understand different activities and behaviors for their actual utilizations even though their circumstances

are different. They also enable to understand their own development for their improvement by conceptualizing of their own development. This situation makes them enable to apply different activities and behaviors to their circumstances. Through conceptualizing the reality of development in the different context people can better understand the development experiences of other areas and discuss the development at the common places despite their different circumstances.

What I was conscious about as important during the research and training programs is the importance of collective activities and the community capacity. The progress and significance of development in Oyama-machi, Himeshima, which are recognized as the models of Oita One Village One Product Movement, are easier to interpret and understand when seen as development of the collective activities of the community and the community capacity supporting those activities. We conducted study tours to Oyama-machi and Himeshima during the JICA training programs to listen to the development experiences from the people involved. After the study tours, we organized group discussions to interpret the experiences using the newly established conceptual models and improve it gradually to be more practical and operationable for reality of rural development. These conceptual models were then used by the training program participants to formulate and prepare development action plans with ideas derived from the Japanese rural development experiences. This approach yielded satisfactory results.

To prepare readers for the discussions of community capacity and rural development, this chapter presents a rural development model to deepen discussion on communities, which I view as a source of enrichment. This chapter discusses rural development based on the development of collective activities and community capacity. It also aims to support the use of rural development experiences from Oita Prefecture through establishing a connection between concept and practice.

2. Community's Perspective in Rural Development

Rural disparity and deterioration of rural areas are crucial issues in most of countries including industrial countries and developing countries. However, discussion on these issues usually comes from the perspective of urban areas or is based on urban criteria. Is this approach really appropriate for rural development? Can the development challenges of people residing in urban areas and rural areas be judged by the same perspective and criteria? Can the lives of people living surrounded by or with nature be equally and adequately discussed alongside the lives of those who must seek and pay handsomely to come in contact with nature? I strongly doubt this urban centered approach.

In many countries, even though economic growth is taking place, people in rural areas are left behind in the development process, constantly feeling it is nearly impossible to compete with those in urban areas, or to truly improve their living conditions. Most people in rural areas are unwillingly moving to urban areas, the economic centers, because they have no other choice, or need to find more secure income. They must move away from their homes in order to capitalize on the economic advantages accumulated in urban areas. It is true that capital, technology, information and human resources all come together in the urban areas, making it difficult for rural areas to compete. Even though rural people desire a better life, such disparities between urban and rural areas will more than likely continue on into the future.

The monetary economy is an important part of our lives, but it does not account for all of it. It is merely one part of the lives we lead. Is treating the monetary economy as if it were everything and measuring the quality of people's lives based on income level valid? Conventionally and traditionally economists do compare, and based on their values, try to measure our lives by how much money we make.

This is one way to measure development, I admit, but it is a mistake to think this is the only criteria of measurement on development. In most of occasions discussions on development are taken place from the perspective of the economy and formal markets. Economists insist loudly these criteria on development.

However, I fear such misconceptions could be driving people in rural areas to steer their lives in the wrong direction. When discussing rural development, social, environmental and political, and at times, informal perspectives are also needed. Discussions that treat any and all results of development activities simply as economic benefits must be strictly avoided.

Specific discussion on who actually benefits from the activities is vital in development. Questions such as “Who benefits from this?” and “Are the envisioned administrative services actually reaching the target groups?” are extremely important and determine the development target group. Development is not only an economic concern, but it is also social, environmental and political concerns. We must be wary of using terminologies such as “social benefits” as they are described in cost-benefit analyses with vague target groups. In general, cost-benefit analysis does not clarify who exactly benefits from the social benefits. Life and development should be conducted based on the criteria of that particular area people live. People in rural areas should conduct development based on the values, visions and norms of the rural area and community they belong to. This results in truly rich rural development.

We cannot be particular about the traditional development approaches that focus on the economy in order to overcome permanent poverty in rural communities. We need to transition away from that. People in rural areas must pursue development based on their own circumstances and perspectives in their community. There is a need to create an alternative development approach that matches the needs of rural people. Such an alternative development approach must be granted in reality and must have a holistic and, practical and operationable perspective to ensure benefits to the people of rural community.

This chapter focuses on the capacity and strength of communities as a method of attaining their goals, and seeks desirable rural development. The development approaches employed by urban areas, which focus and emphasized on individual activities of peoples and enterprises, will not work for people in rural areas. I have faith that the collective activities of the community, which transcend individuals, groups and organizations, are a better approach for rural development, allowing rural areas to better compete with urban areas in terms of development. I want to look at development from the perspective of the community shaped by the local peoples and to present a strategic model for development based on the particulars of that area, instead of the conventional and traditional urban-oriented development strategy.

In response to this requirement I provide an alternative development approach focusing on community capacity development that benefits rural communities. This approach seeks a dual function aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of economic, social and political activities to change the life of the community’s population. This approach emphasizes the operationable aspects of its utilization and aims at providing concrete and practical concepts for the implementation of rural promotion and development by utilizing existing potential resources in rural areas. In this chapter our intention is not to theorize the rural development phenomena, but to conceptualize a rural development approach for practical usages. Real life is not so simple to be interpreted by simple theories for causalities. There are various options for development available for us to choose from. It is important to clarify the concepts to examine, discuss, and analyse their real life uses for the people seeking a better life.

3. Community

The alternative development approach perceives the community as the main body of discussion, as well as the main unit of analysis and operationable activities. This approach sets the development of the community capacity and policy structure as the central topic of discussion. But why should we focus so much on the community and its development?

The concept of community has been a target of interest for sociologists for more than two centuries.

Nevertheless a completely satisfying definition has still not been presented. On the other hand over the course of life people establish and solidify mutual relationships by living together in a specific area. Therefore, drawing a line between those engaged in a solid relationship and those outside of such relationship can be considered academically valid (Bell and Newby, 1974, p. 5).

Community as used here is a relative aggregation constructed by individuals, groups and organizations acknowledged by a specific area, generally defined by administrative boundaries, and within this boundary, these individuals, groups and organizations recognize themselves as being a member of the community. In general, the word community is used to describe a group of people residing in a relatively small area within a town or a city, or a specific district or area where local people reside (neighborhood), and community analysis targets the circumstances that such people are in (Chaskin et al., 2001). Also, in Japan, it has long been used to describe local groups based on co-ownership of land property (Kitahara, 1996).

However, giving community a wider scope does not cause any problems. On the contrary, by interpreting the word as broadly as possible to include villages, towns, cities, prefectures, countries and even international society, community then includes not only people living in specific areas, but also administrative bodies, civil society organizations, NGOs/NPOs, private enterprises and educational institutions. This broad definition is enables a wider target of analysis, enabling more policy-oriented discussions.

Such way of thinking amplifies the concept of community by MacIver (1970); to put it simply, even if there are academic criticisms, the community can be thought of as a group of people who reside within a rural boundary and experience common life, and such definition matches our daily, empirical perception. How far should the boundaries be expanded, or how should shared common life be defined? The existence of community at the levels of villages, towns, cities, prefectures, countries and international society match what we experience when we speak with awareness of the cities and prefectures we reside in, or share topics regarding the lives of those residing in the same areas. Academic disciplines should be developed based on the daily perceptions of everyday people.

Based on these points, it can be understood that people acknowledge whether they are inside or outside a community and recognize where they stand in a specific area, especially those in rural areas specified by administrative boundaries. Such situations are simply assessed using by identifying entities either “inside” or “outside” of the community and by asking questions about people’s relationships with one another within that specific area.

Such tasks are conducted on the areas that our training participants are responsible for and serve and as a central topic of discussion in JICA group training programs for rural development. Participants do not show hesitation in the process of identifying and classifying community members, and therefore, it can be considered a common identification process.

On the other hand, individuals residing or active in an area could be identified as non-members of that area even if they do not recognize themselves as being inside the community. This type of interaction occurs through relationships such as that develop within families and households, organizations that people are involved with or work for and through unions and associations that they participate in. Such person-to-person relationships are the building blocks that establish the community as a social construction, which we will look at as the target of development.

A community can be thought of as a unit of social recognition where people’s existence is pursued as valuable and their participation entitles them to membership (See Wenger 1998). Specific areas are normally established by administrative boundaries and within those boundaries members recognize commonality among themselves through common daily topics of conversations, awareness of the region and lifestyles in the region.

Members of a community include not only individuals, but also groups and organizations. Organizations are included because they act as stakeholders within the community, playing important roles. Whether an organization is a member or not is determined by the purpose of its existence and how it is involved with the community. Also, its status is largely influenced by the awareness of those working or active in the organization. Things easily overlooked, such as what the organization's employees talk about, how they share their lives, where they live and commute, can change how the organization engages with the community.

For example, prior to a recent municipal consolidation, town halls in villages, towns and cities were workplaces for residents of the respective municipalities. After the consolidation, however, former town halls became rural branches of the newly formed city, making who works there determined by the personnel rotation plan of the entire city hall. The new rural branch may take on a similar administrative role in the community, but if the new employees do not share a common life as those in the original community then the branch's overall role as a community member will change.

This example demonstrates how organizations can be considered community members. I know in one case of merged municipalities that a town member visiting the former town hall was unable to share common topics of conversation on their lives in the town with the staff who works there. As a result the town member did not recognize the merged rural branch as a member of the community in his town. Administrative mergers are said to be inevitable, but there are many cases where people feel that great changes to the understanding of their community occur.

A specific area and a common life that is recognized by the people are important elements of a community. We can apply this concept to specific geographical areas and regions, too, such as rural farming villages, cities, prefectures, nations, and even international society (MacIver, 1970; Ninomiya et al., 1985; Funatsu et al., 2006). Here, however, we focus on rural communities as the target of discussion of alternative development approaches. In our discussion, we will focus on the community as a social system established by people residing in specific regions, especially in rural areas, as well as the community capacity, and look at developments in the society. By viewing communities as development targets, we believe it is possible to realize practical units in rural areas that can compete with the urban areas.

Discussion of development requires operable and practical concepts. By presenting such concepts, we will be able to present a development approach for people who aspire for a better life and better society without leaving their locality. This approach differs from conventional development approaches emphasizing urban development and economic aspects.

4. Community Design

Community design is the continuous process of building the institutions and activities that serve as the foundation for the social system in order to provide a better life for people in the community. Institutions here mean widely encompassing regulations, rules, operation methods, and organizational structures.

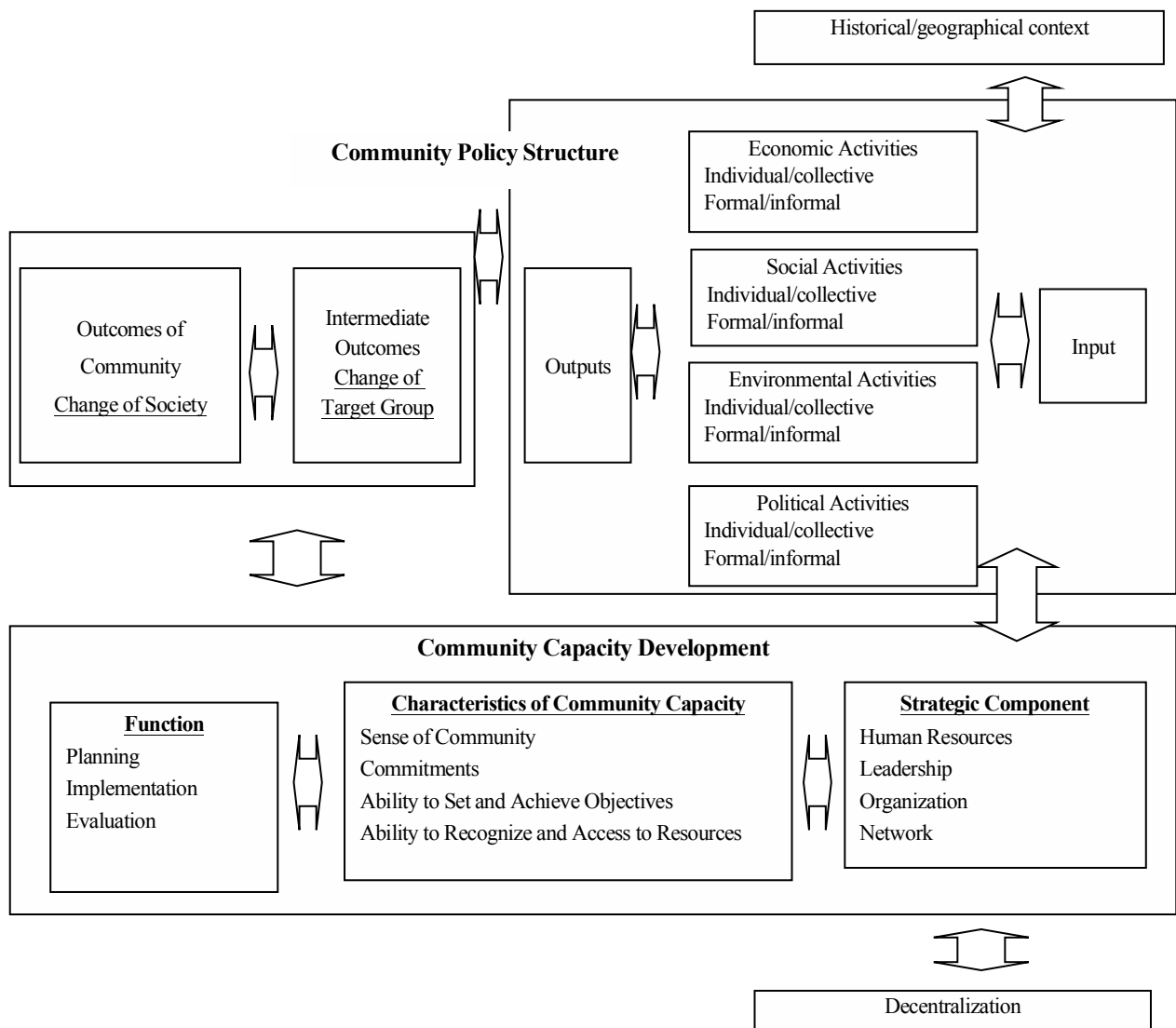
This chapter uses the model for rural development to establish the two goals of community capacity development and the planning, implementation and evaluation of the policy structure to conduct community design. Seeking economic growth and better lives while simultaneously maintaining and developing social functions needs special attention.

In rural areas, farmers aim to expand their businesses, creating winners and losers. As a result, farmers who lose confidence in their ability to manage agricultural businesses move to urban areas to seek jobs out of financial need. As rural populations decline, the social functions of offices and branches of administrative institutions, elementary and middle schools, clinics, hospitals and healthcare centers, post office branches and financial institutions, as well as retail stores and restaurants diminish also decline. A

comprehensive perspective must be upheld at all times in rural community design. To this end, it is important to establish a system where community members conduct collective activities that compete with urban areas.

The model shown in Figure 1 (Community Capacity Development and Policy Structure Model) shows how the community uses its own capacity to plan, implement and evaluate its own policy structure. This framework makes it possible to excavate, conceptualize, and clarify the process of activities and behaviors of individuals and organizations in the community by including the community policy structure created by the program theory based on the relationship between ends and means. Meanwhile, it also provides a foundation for analysis of community capacity. The policy structure created by economic, social, environmental and political activities is implemented and carried out with the goal of changing people's lives by creating a community that secures richer lifestyles with more added value. This model was created with reference to Chaskin and colleagues (2001), Friedmann (1992) and Miyoshi and colleagues (2003), and through conducting JICA programs and the creation of training

Figure 1: Community Capacity Development and Community Policy Structure Model



Source: Based on Chaskin et al. (2001), Friedmann (1992), and Miyoshi et al. (2003)

materials¹. This model depicts the relationship between the development of community capacity and changes in policies created by economic, social, environmental and political activities in the community. The community capacity is structured by the community's strategic elements, the characteristics of the community capacity, and functions of the community. Development and mutual interactions of these structural building blocks bring about improvements in community capacity, so in the end, there is even change in the community policy structure established by the economic, social, environmental and political activities of the rural community. With improvement of rural community capacity, rural communities can become able to create more complex and sophisticated community policy structures.

The community policy structure shows the relationship of economic, social, environmental and political activities of the community, such as agricultural production and specific development initiatives (See Miyoshi 2008), in the context of the End Outcome (actual effects that change the target society), Intermediate Outcome (actual effects that change the target groups, including individuals and organizations), Output (capital and services generated through activities), Activities (series of activities using Input to generate Output), and Input (human resources, equipment, operating expenses, facilities, capital, specialized skills, time).

5. Transition of the Community

Communities are continuously changing. We perceive this ever-changing community as an operationable social construct and discuss development with the community as the operating body. A community is built by individuals, groups and organizations that recognize themselves as members of that community. Therefore, it is very important to clearly recognize the positions of the individuals, groups and organizations that comprise the community.

Changes to the community can occur internally or externally. A community is formed through the interaction of the awareness of the people in the community and people outside the community. Interactions between organizations and groups created within the community and external groups and organizations that surround the community also help form the community.

Let us now take a look at an overview of transitions of community members in Oyama-machi, Hita City, and observe the community characteristics. Table 1 shows the community transition of Oyama-machi. Figures 2 and 3 show the transition of the community stakeholders, those involved with the community internally and externally.

The Oyama-machi community was established by the administrative zoning of the Oyama-machi municipality. Within this zone, members of Oyama-machi recognized their commonality through their shared topics of conversation, awareness of the area, and the similarity of their lives within the area. What is interesting is that in Oyama-machi the community was created by the town hall, the agricultural co-operative and its related organizations, and farmers and farmers groups mainly engaged in agricultural production and processing. Before merging with Hita City, the administrative scope of the town hall, the

¹ Ritsumeikan Asia Pacific University, with consignment from JICA, conducts rural development training programs. Training programs include: "Community Capacity and Rural Development Promotion for Asia Countries -One Village One Product- JFY2010", "Community Capacity and Rural Development for African Countries -Focusing on One Village One Product, (1) & (2) - JFY 2010", "Andean Region One Village One Product Promotion JFY2009", "Country-focused Training Course on Local Industrial Promotion in Guatemala, JFY2010", "Country-focused Training Course on One Village One Product" Movement in Colombia, JFY2010", "Technical Cooperation Project for The Enforcement of Regional Administrative Function for Local Industrial Promotion in The Republic of Chile JFY2008-2010", "Country-focused Training Course on the "One Village One Product" Movement in Savannakhet and Saravana, Laos JFY2008-2009", "Community Capacity and Rural Development for ASEAN Countries -Focusing on One Village One Product- JFY 2007-2009", "Training Course in Seminar for Municipal Mayors of Clustered LGUs: The Philippines JFY2005-2007", "The Country Focused Training Program On the "One Village One Product" Movement in Tunisia JFY2005-2006", "Development and Promotion of Regional Industries utilizing Local Resources for Asia (1) JFY2009" and "Development and Promotion of Regional Industries utilizing Local Resources for Asia (2) JFY2009.

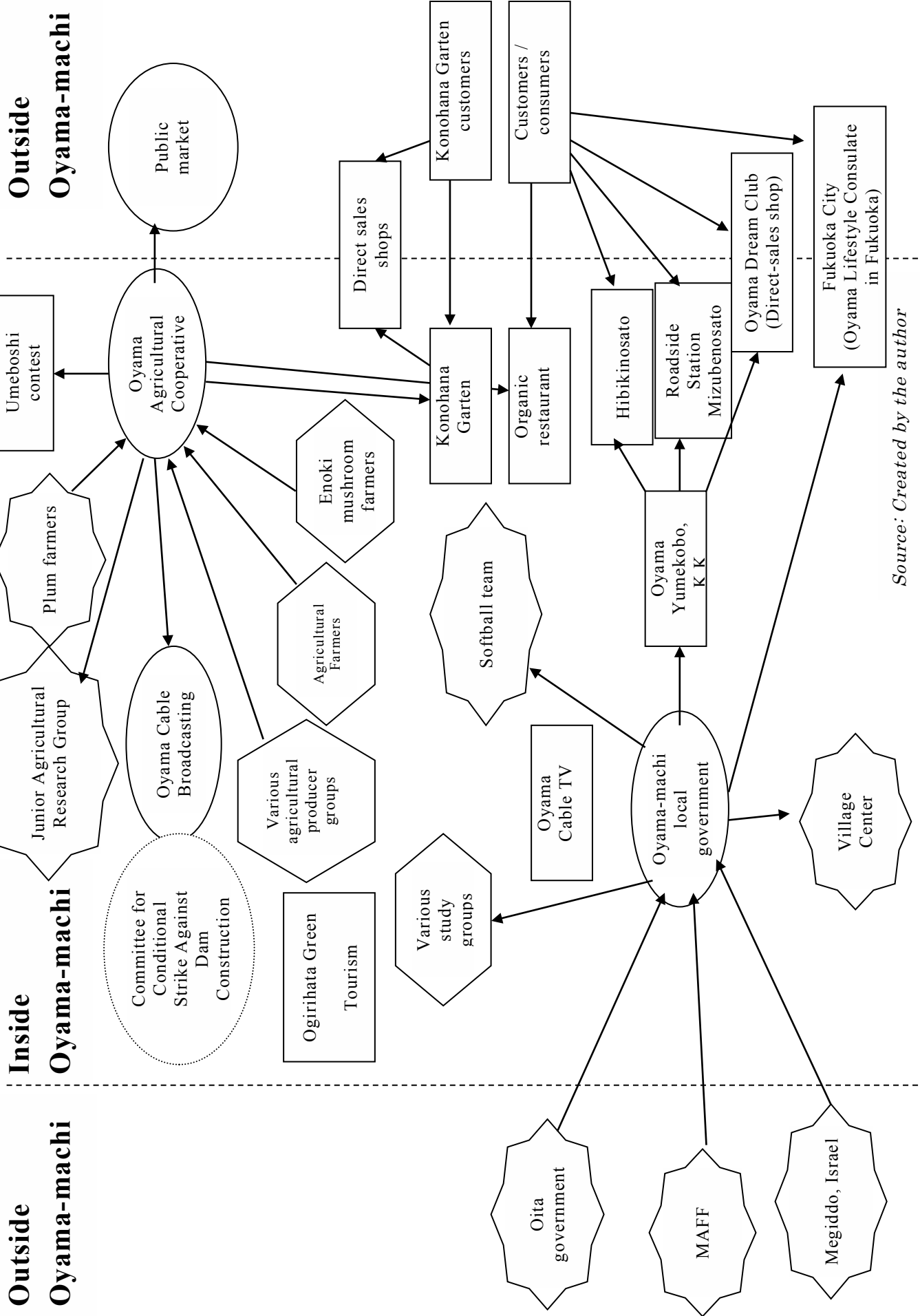
Table 1: Transition of the Oyama-machi Community

	Community members (inside)	External parties involved (outside)
Before the NPC Movement (Up to 1961)	<ul style="list-style-type: none"> - Traditional rural community - No clear awareness as a community, but organizations are beginning to form. - Oyama-machi town hall - <u>Committee for Conditional Strike Against Dam Construction</u> - <u>Establishment of the Oyama Agricultural Cooperative (1949)</u> - <u>Establishment of Oyama Cable Broadcasting</u> 	
Beginning of NPC Movement (1961–1970)	<ul style="list-style-type: none"> - Oyama-machi local government - Oyama Cable Broadcasting - Oyama Agricultural Cooperative - <u>Junior Agricultural Research Group Plum farmers</u> - <u>Village Center</u> - Softball team 	Critical, hostile attitude and passive support toward Oyama-machi <ul style="list-style-type: none"> - Oita government - Ministry of Agriculture, Forestry and Fisheries (MAFF) <u>Megiddo, Israel</u>
After full establishment of NPC Movement (1970s and on)	<ul style="list-style-type: none"> - Oyama-machi local government - Oyama Cable Broadcasting - Oyama Agricultural Co-op - Plum farm - <u>Enoki mushroom farm</u> - <u>Produce farm</u> - Junior Agricultural Research Group - <u>Various study groups</u> - <u>Various farm producer groups</u> 	Critical, hostile attitude and passive support toward Oyama-machi <ul style="list-style-type: none"> - Oita government - MAFF
1980 and on, start of OVOP Movement: 1979	<ul style="list-style-type: none"> - Oyama-machi local government - Oyama Cable Broadcasting - <u>Oyama Cable TV</u> - Oyama Agricultural Cooperative - <u>Konohana Garten (1990)</u> - <u>Organic restaurant</u> - <u>Umeboshi Contest (1191)</u> - <u>Oyama Yumekobo, K.K.</u> - <u>Hibikinosato</u> - <u>Roadside Station Mizubenosato</u> - <u>Oyama Dream Club</u> - Plum farmers - Enoki mushroom farmers - Agricultural farmers - Junior Agricultural Research Group - Various study groups - Various agricultural producer groups - <u>Ogiri-hata Green Tourism</u> 	Positive attitude and active support toward Oyama-machi <ul style="list-style-type: none"> - <u>Oita government</u> - <u>MAFF</u> - <u>Fukuoka City (Oyama Lifestyle Consulate in Fukuoka)</u>
Merger with Hita City (2007)	(Start of reorganization of awareness as a community after separation from Oyama-machi town hall) <ul style="list-style-type: none"> - Oyama Agricultural Cooperative <ul style="list-style-type: none"> * Konohana Garten * Organic restaurant * Umeboshi contest * Oyama Cable Broadcasting - Oyama Yumekobo, K.K. <ul style="list-style-type: none"> * Hibikinosato * Roadside Station Mizubenosato * Oyama Dream Club - Plum farmers - Enoki mushroom farmers - Agricultural farmers - Various study groups - Various agricultural producer groups - Ogiri-hata Green Tourism 	<ul style="list-style-type: none"> - <u>Hita city hall (Oyama-machi merged with Hita City, placed under jurisdiction of Hita city hall)</u> <ul style="list-style-type: none"> * Fukuoka City (Oyama Lifestyle Consulate in Fukuoka) * Oyama Cable TV - Oita government - MAFF - Public market - Konohana Garten customers

Note: Underlined bold letters indicate newly formed organizations.

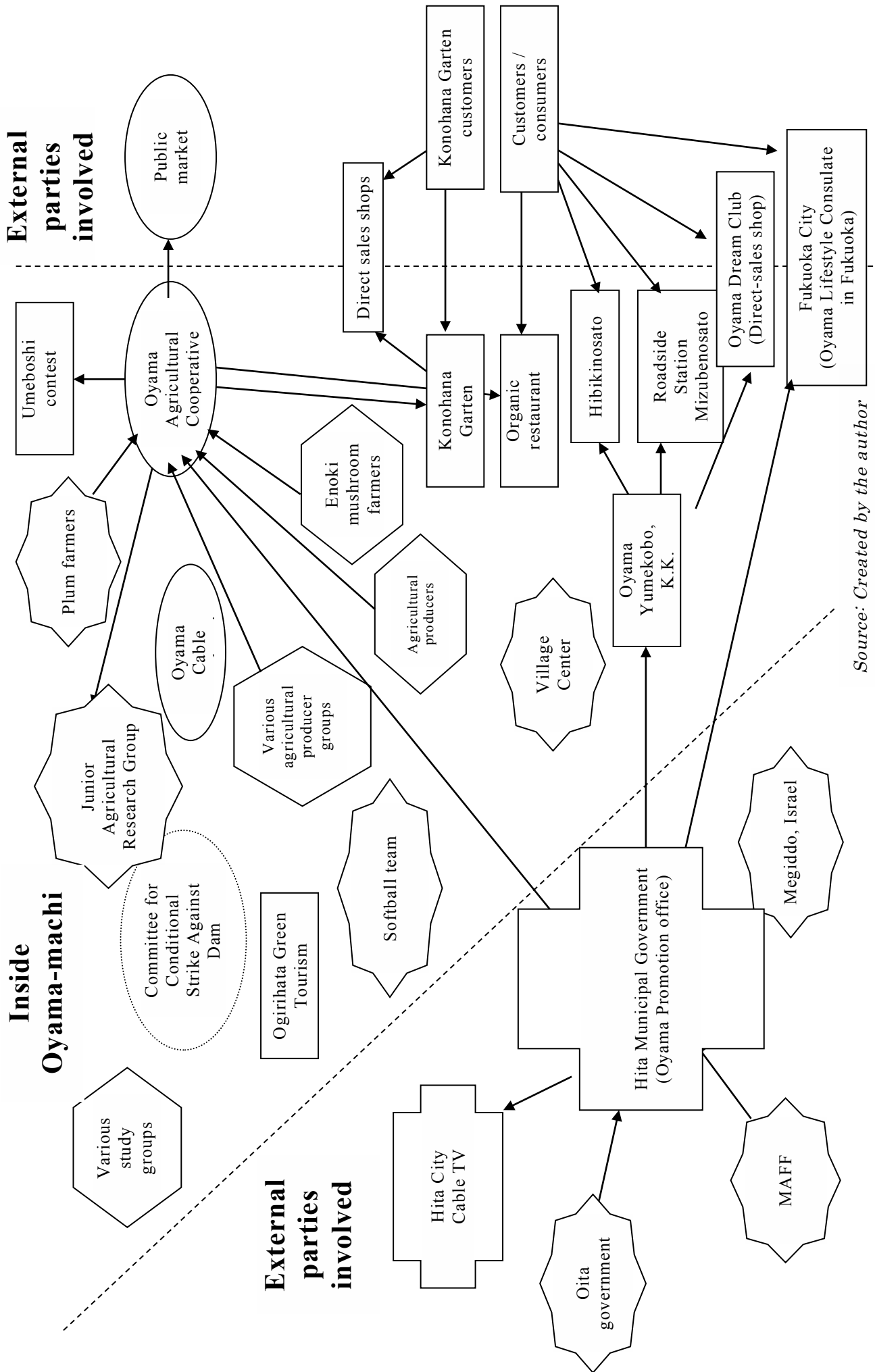
Source: Compiled by the author.

Figure 2: Transition of the Community Stakeholders (Before)



Source: Created by the author

Figure 3: Transition of the Community Stakeholders



Source: Created by the author

operative scope of the agricultural cooperative, and the farmers and farmer groups overlapped to create this unique community.

Looking at the past, the turning point for members in the community was in 1949 when the Oyama Agricultural Cooperative was established and became a core-member of the community. Oyama-machi community activities became increasingly sophisticated when the Oyama Agricultural Cooperative established organizations such as the agricultural produce processing place, enoki mushroom mycelium center, enoki mushroom branch plant (enoki mushroom production farmers), Konohana Garten, and organic restaurant as part of its operation, and these organizations became important members and actors in the community for conducting multilevel activities there. Also, the town hall established Oyama Cable Broadcasting, Oyama Cable TV, and the Oyama Lifestyle Consulate in Fukuoka, and expanded the community activities by having these organizations become community actors as well. Moreover, the town hall led the establishment of private organizations: Bungo/Oyama Hibikinosato and Roadside Station Mizubenosato Oyama. The community further added other actors such as the Community Center, which is the base of rural activities, farm producer groups, and softball team.

Community becomes more explicit through mutual interactions between the inside and outside players of the community. With Oyama-machi, their community became clearer with the involvement of Oita Prefecture and the Ministry of Agriculture, Forestry and Fisheries (MAFF). Opposing the agricultural policy of the time, the NPC Movement took place to switch from rice to plums and chestnuts, and Oita Prefecture and MAFF responded with a chilly attitude. Through such mutual interaction, Oyama-machi began having a strong awareness of their position as a community. However, as the NPC Movement of Oyama-machi began bearing fruit, the attitudes of Oita Prefecture and MAFF became more friendly, and they gradually transformed into actively supportive organizations. Especially, it was Prefectural Governor Hiramatsu who proposed the Oita One Village One Product movement and publicized the development of Oyama-machi as a model example. This greatly changed the relationship between Oyama-machi and Oita Prefecture.

Oyama-machi itself also has created many external actors that mutually interact with the outside world, through municipalities where trainings are held, places visited with study tours, participating areas at social events, etc. Through a Junior Training Program conducted on a kibbutz in Israel, Oyama-machi and Megiddo, where the kibbutz is located, became sister cities. Additionally, the European inspection training conducted concurrently with the Israel training helped in comparing the status of Oyama-machi with each of the cities visited. Megiddo, especially, gave the people of Oyama-machi a model on how to develop the town under bad conditions. The Oyama Lifestyle Consulate in Fukuoka, located in Fukuoka City, is helping to create opportunities to form mutual interactions with urban areas.

Taking the above into consideration, since we are viewing the community as an operationable body, and placing it at the core of the development approach as an operationable and practical development subject, it is important to clearly identify the boundaries and scope of the community based on the structure and changes of community members.

6. Integrating the Concept and Practice of Rural Development

This chapter aims to understand the concept, framework and methodology of a development strategy for new rural regeneration based on an alternative strategic model that differs from conventional development models, and to decipher development from a rural view and clarify ways to utilize such development by listing examples of rural development in Oyama-machi as a fundamental model for rural development. Such examples include: Oyama-machi Konohana Garten, which was responsible for market innovation of rural communities; rural development of Kokonoe-machi, which aims to become Japan's top rural area

through interaction and Yume Otsurihashi, the largest pedestrian suspension bridge in Japan; the experience of Onpaku as a multi-layered event strategy utilizing rural human capital and resources; and the development experience of Himeshima, which attempted to create a comfortable living environment on a remote island.

Actually, to understand the practice of rural development, and to practice rural development, the ability to understand the concept of rural development and decipher the practice is essential. After one has understood the concept of rural development and deciphered the practice, only then can one conduct investigations on, research, plan, and practice rural development that match the individual circumstances and contexts.

Many books have been published on rural development, but those that adequately connect concept and practice are few. This chapter provides a brief answer to such an important need.

My purpose in writing this chapter is not to theorize the phenomenon of rural development. Rather, it is to conceptualize the rural development approach so as to enable practical utilization. In general, theories are useful when explaining a phenomenon or evaluating the current situation, but many are also outrageously useless when it comes to discussion of what kinds of changes should be made to the current situation. It is possible to assess the reality, but seems difficult to manipulate and make changes. Real life is too complicated to be explained by simplified theories that seek causal relationships.

In the real world, people can select their own development approach from among many diverse and effective development options. People continually make decisions from diverse choices in order to improve the lives of people within the community. Based on such reality, I believe it is important to clarify the practical concepts used in investigating, discussing, and analyzing actual lifestyles to allow people to seek better, richer lives.

*** This chapter is a translated and revised version of "Miyoshi, K. (2010). *Naze, Komyuniti Kyapashiti ka* (Why Community), in Miyoshi, K. (Ed.), *Chiikiryoku : Chiho Kaihatsu wo Dezain suru* (Community Capacity: Designing Rural Development). Kyoto: Koyo Shobo, 1-21. (In Japanese)."**

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6

Community Capacity and Rural Development

Naomi Stenning and Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Elements of Community Capacity

Community capacity is a basic element that enables a community to function and refers to the ability to achieve the community's shared goals as well as to promote and maintain the richness of the community through the collective efforts of individuals and organizations within a community, utilizing the human, organizational and social resources available. Community capacity is built through the deepening of mutual relationships among individuals and organizations in the community, and is the result of efforts of individuals and organizations who are community members, toward enabling formal and informal economic, social, environmental, political, and cultural activities to take place. Community capacity is an intrinsic ability retained by individuals and organizations belonging to the community; therefore, as a basic rule, it is something that community members must be aware of and make conscious efforts to improve. It is especially important that economic, social, environmental, political, and cultural activities be organized and conducted collectively and continuously in order to achieve community goals and promote and maintain the quality of life of community members. It is important to find an appropriate combination of individual activities for each person and organization in the community, as well as collective activities that individuals and organizations can do together that yield effective results.

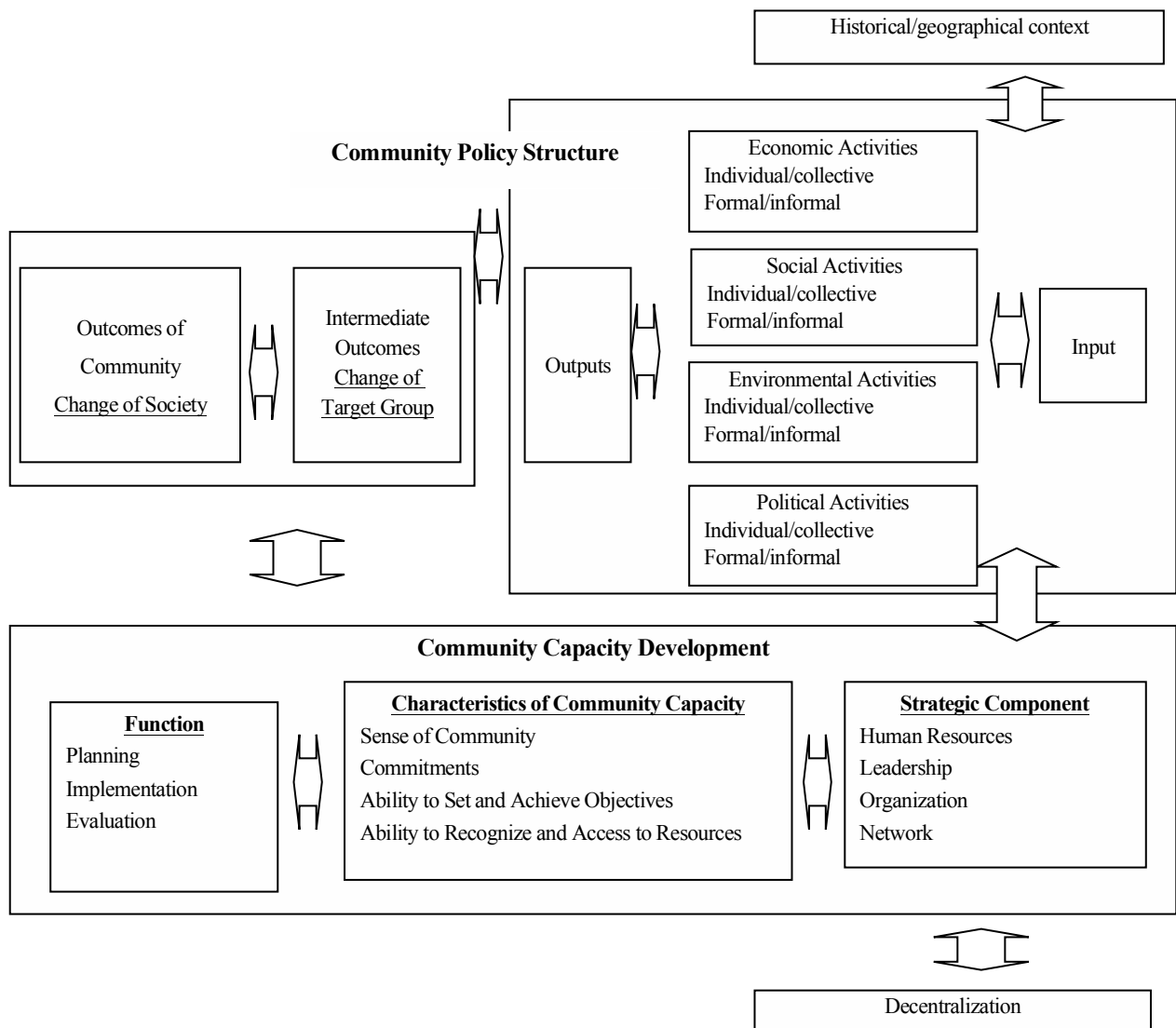
An alternative approach for rural development is presented in the Community Capacity Development and Policy Structure Model (the model) outlined in Figure 1. Many developments in a community occur in a unique way, based on specific circumstances, through the behaviors of its members. These developments reflect the wishes and desires of the people and organizations involved. Although the process may seem similar, a closer investigation of the actual activities of those involved reveals that each activity is unique; however, by analyzing these developments through the concepts offered in the model, every development experience can be utilized as a shared experience by those involved in development.

This is a dual-function model that elucidates interaction and synergies between rural community capacity and community policy structure whereby improvements in community capacity enable the formation of more complex and sophisticated community policy structure. Community capacity and its development is one of the two pillars of this alternative development model and defined by the interaction of three basic elements: strategic components, characteristics of community capacity, and functions of the community.

First and foremost, community capacity is defined by its characteristics. If members' sense of belonging to the community is enhanced by them sharing their values, norms and future visions, then community capacity grows. Community capacity can be strengthened further if each community member also becomes aware of his/her role and acquires a sense of duty in order to realize these values, norms and future visions, and carries out his/her role in a systematic and collective manner as one part of the greater whole of community. If individuals and organizations in the community can set community values, norms and future visions as specific community goals and actually achieve those goals, community capacity can be developed further. Likewise, if the community is able to recognize resources available and utilize these, community capacity can be enhanced.

It is important to note that these community characteristics can function as community capacity by being converted into a tangible community function that plans, implements and evaluates the community

Figure 1: Community Capacity Development and Community Policy Structure Model



Source: Created by the authors

policy structure as a community activity. This community function would allow clearer discussion of the socially constructed community as a social body, by implementing the concept of the community's policy structure. It is rare, though, that such policy structure is explicitly recognized among the individuals and organizations in the community. It is perhaps safer to say that usually the community's policy structure is probably recognized only after the administrative activities of core service providers such as city halls, town halls and village offices, and activities of other actors such as agricultural cooperatives, chambers of commerce and tourism bureaus are added up and looked together.

In general, people's lives and the activities of organizations have their own respective purposes, and people and organizations make various efforts and employ different methods in order to attain those purposes. If applied to the community, to realize the community's vision, values and norms, the link between a series of explicit or implicit community purposes envisioned by individuals and organizations, and the methods of attaining them, can be found. Connecting purposes and methods enables formation of the community's policy structure. This means that a community policy structure exists in any given community, be it explicit or implicit. Recognizing the general policy structure of the community, the

functions of community capacity can be expected to be recognizing, planning, implementing and evaluating the activities of community members, individuals and organizations, as a collective activity. The policy structure functions to achieve the envisioned future of the community.

On the other hand, community capacity can enhance its own characteristics through the leadership, human resources, organizations and networks that exist in the community. The emergence of leaders, existence of human resources, establishment of organizations, and formation of networks can all greatly change a community's characteristics, such as individuals' and organizations' sense of belonging to the community, commitment, ability to set and achieve goals, and ability to recognize and secure resources. The emergence of leaders, existence of human resources, establishment of organizations, and formation of networks are all intrinsic, but influences can be exerted externally.

Community capacity goes through transitions. At times, changes in the administrative scope of cities, towns and villages due to municipal mergers may bring changes to the community itself. The coincidental relocation of one individual into a community may create a leader. Laws may require the formation of a new organization, and this organization may become the central actor of collective community activities. A symposium held in the region may trigger the sharing of future visions for the community.

Community capacity is not fixed; it must be constantly maintained and controlled by community members. The proposed development model can be used to enrich the lives of people in the community by viewing the community as an operationable social construct and an operationable framework. The planning, implementation and evaluation of community activities can be conceptualized as a collective, systematic, and strategic policy structure which is delivered through the enhancement of community capacity. This is why we propose the developing community capacity. To this end, it is necessary to maintain, control, and enhance this changing community capacity in such context.

In this chapter, we focus on community capacity, examine the contents and development of community capacity, and then go into the details of its role as a practical framework. First, we will go into details of each of the basic elements.

2. Characteristics of Community Capacity

The characteristics that define community capacity are identified in the Community Capacity Development and Community Policy Structure: sense of community, commitment, ability to set and achieve objectives, and ability to recognize and access to resources. These items are based on the research results of Chaskin *et al* (2001, p. 13), with the following modifications: 'problem-solving ability' is replaced by 'ability to set and achieve objectives', and 'access to resources' is replaced with 'ability to recognize and access to resources'.

These are replaced because in reality, a positive approach, or in other words, an asset based approach to community development that takes into account the resources available to the community, has a higher possibility of achievement than focusing on problems or deficiencies. We feel that a community setting realistic objectives based on the general community lifestyle, and making efforts to achieve those objectives by utilizing available resources, is the more realistic and straightforward option, instead of the negative approach of focusing on unachieved issues or, in other words, problems and efforts needed to solve them. A good example of this would be child rearing: when raising children, their abilities are enhanced more when their strong points are found and encouraged, rather than when their weaknesses are revealed and resolved.

Sense of community, the first characteristic of a community, defines the community itself. This is related to what community members recognize as being their community. Important aspects of sense of community include the level of solidarity among community members, the strengths of their relationships,

the level of recognition each has of others in the community and the degree to which values, norms and visions are shared among community members. The sense of community that organizations hold as community members is defined by the intent of their establishment, purpose, norms and so on (see literature related to community psychology such as Sarason 1974 and McMillan and Chavis 1986).

If community members share a vision of the kind of society they want, their sense of community is enhanced. If people can see the common goals the community should strive to achieve and share common awareness of the qualities the community should promote and maintain, then shared vision will become clearer.

In the case of Oyama-machi, members converted their vision into the NPC Movement in order to overcome poverty. They succeeded in encouraging townspeople to share a common vision for the town. The catchphrase "*Ume, kuri uete, Hawaii ni ikou!*" (Let's plant plums and chestnuts and go to Hawaii!) was created in the 1960s in order to solidify community vision and awareness. This phrase encapsulated a specific image of the rich life that people could aim for. The actual trip to Hawaii was realized in advance with a loan financed from the agricultural cooperative. People from Oyama-machi actually going to Hawaii consolidated this shared vision, making it more tangible and therefore motivating.

The town of Kokonoe-machi, an agriculture-based town located in a mountainous region rich with nature, is now working toward its future vision as "Japan's Top Rural Area," along with having Yume Otsurihashi (Bridge of Dreams), Japan's longest pedestrian suspension bridge, to become a society created by residents and visitors of Kokonoe-machi. Their dream is to explore the future vision of the town, driven by completion of the Otsurihashi and seeing more visitors coming to see the bridge than people residing in the town. With the Otsurihashi was an idea from residents, and was realized through the persistent efforts of the Kokonoe-machi town hall as the base. Now, the question is whether it is possible to create a common sense of value that can be shared by both the community members and the many tourists who come and go each season.

In Bungotakada city, regeneration of the city proceeded through the planning of "Showa Town." A retro-modern townscape was realized by re-creating the 1950s and 1960s (part of the Showa period) atmosphere along a commercial avenue that once thrived during that period. This approach is helping to regenerate the city. Moreover, the town provides information on Showa topics through Yumekura, a museum which exhibits toys and different aspects of life from this period and gives guided tours of the commercial avenue and Yumekura, runs old-style buses reminiscent of those in the Showa period and conducts various events including a Showa-period automobile exhibition.

Showa Town is attracting tourists, with the project itself becoming renown. In 2009 the town received the Suntory Regional Culture Award. We have heard that people from Bungotakada City, who in the past had only been able to introduce their hometown in a passive manner, now add a description of "Showa Town" when they speak of their home. Such community development itself can give residents confidence as community members and contribute to enhancing their sense of community. A similar phenomenon is also seen in Oyama-machi, and in Kokonoe-machi as well.

An awareness of one's role and commitment toward progressing collective activities of the community shows whether individuals, groups and organizations are aware of their positions and responsibilities regarding what occurs in the community. This has two aspects. The first, regarding achieving the community's shared goal and collectively promoting and maintaining the community's richness, is the degree of awareness each person has as a constituent member of the community, as a direct or indirect stakeholder, and at times as a beneficiary of the community's collective interests and activities. The second aspect is whether each member of the community consciously and actively participates in collective activities as a stakeholder in order to achieve the community's shared goals and thereby promote, maintain

and improve the richness of the community. This focuses on members' awareness of their participation, as well as on the act of participation itself. In fact, often the responsibilities of community members toward collective activities are systemized and implemented.

In Oyama-machi, farmers have been working together for thirty years to create good soil in order to produce fresher, safer, better tasting vegetables. Diligent efforts continue to re-utilize the mushroom bed compost of enoki mushrooms to fertilize the soil so as to produce better vegetables. The people of Oyama-machi are also good at going outside of their town to observe, bring back and share what they learned, resulting in the development of unique Oyama-machi products. One leader in particular has put this kind of external knowledge into practice for plums and *enoki*, fulfilling his role by finding innovative methods that leave no one behind in the trend.

When staying at a farmhouse in Oyama-machi even today you can hear voices from the cable radio broadcasting at six in the morning. Knowledge and skills were conveyed via this cable broadcasting when residents faced many technical and managerial difficulties at the onset of the NPC Movement. This movement brought about a transition from simple rice crop farming to plum and chestnut orchard tending and management. At this time specific tasks were conveyed via the cable broadcasting, helping farmers learn the new skills they needed for this different type of farming.

Oyama-machi has cleverly incorporated a mechanism that helps each person recognize his/her role in the collective activities. Such a mechanism that enables awareness of roles and activities in the group is very important. Oyama-machi's concept of "Centipede Agriculture", a unique approach to agriculture resulting from the town's agricultural improvement project, has been supported by community members being aware of their roles and activities. If there was a falling out, adjustments were made so that the leader and followers could coexist; in this way, the social function of Oyama-machi has been promoted and maintained.

Such examples of role awareness and role commitment can be found in other rural communities as well. The village of Himeshima conducts its own unique fishery operation, where the catch is distributed to each area. The village also makes efforts to enrich its fishery environment, such as releasing juvenile shrimp in nearby waters. These activities have now been in place for many years and have built a strong community awareness among the fishermen that make up the community.

Kurokawa Onsen (hot spring) members show role awareness and commitment through such efforts as shared signboards, standardised external design of buildings and common entrance tickets to open-air hot spring baths. These collective activities are conducted in order to first and foremost market Kurokawa Onsen itself, instead of prioritizing the marketing of individual *ryokan* (Japanese-style hotels). The community has conceptualized the town as being one *ryokan*; "roads are corridors, and each *ryokan* is a room." This has been a way for Kurokawa Onsen to realize its aim to coexist with the environment, and to achieve prosperity for all *ryokan* by enhancing the economy of the entire area. Eliminating individual signboards, promoting buildings to have balance with the surrounding environment, and establishing a marketing system of open-air baths that includes *ryokan* that do not have open-air baths was extremely difficult. However, through collective efforts, the role awareness and commitment of community members toward collective activities strengthened.

The ability to set and achieve objectives is the ability to convert into action the role awareness and commitment illustrated above. We prefer to focus on objectives-oriented approaches such as appreciative inquiry. Such approaches are more realistic than problem-solving approaches that point out what is lacking, criticize reality, and then demand difficult changes in order to resolve problems (see Case Western University).

Our approach also focuses on setting objectives. The ability to set objectives, purposes, and issues is

indispensable in accomplishing the longer-term goals, and crucial for guiding activities in the appropriate direction. This calls for an objectives-oriented approach. Whether the community can set objectives that would realize their vision for the future depends on the community's abilities. The community must be able to set specific, realistic objectives, and to link these objectives to specific activities conducted by willing members who understand their roles. In order to do this a mechanism is required for community members to set specific objectives and go about achieving them.

In Oyama-machi, the conventional method of tailoring the production system to meet the volumes, standards and prices of products set by the public market was changed by the producers. Konohana Garten, a subsidiary of the agricultural cooperative, was created by to offer an alternative production and distribution system where producers determine their own production volumes, standards and quality, set prices, and sell produce directly to consumers. By cultivating consumer taste for fresher, safer, better tasting products and, at the same time, creating a system that meets these consumer tastes, they were able to create a higher value added production system. In this direct sales system, farmers retain about 80% of sales revenue; this means increased income for farmers. They decide and set their prices for their products based on the retail prices at the supermarkets and the information of the price in the public markets from the Oyama Agriculture Cooperative. The established system enables careful and direct responses to consumer demands resulting in timely adjustments to products in order to better suit the varying tastes of consumers. This is facilitated by farmers having direct contact with consumers at Konohana Garten and seeing firsthand the impact that changes to product quality, packaging and price have on sales. This example shows the strength of a direct marketplace where producers come face to face with consumers.

In addition, the National Umeboshi Contest, which began with the Furusato Sousei Fund (Homeland Re-creation Fund), is an example of the importance of the ability to create criteria in order to achieve a goal. Historically, the criteria for *umeboshi* (pickled plums) were set by the region of Kishu in Wakayama Prefecture. Generally consumers perceived *umeboshi* from Kishu as a kind of signature product and therefore were more likely to purchase them than *umeboshi* from other areas. Oyama-machi used the National Umeboshi Contest event to create the unique criteria that "*umeboshi* must be made with plums, salt, and perilla (*shiso*) leaves," which developed into a criterion of evaluation for different from Kishu style *umeboshi*. The contest brought various styles of *umeboshi* to Oyama-machi, naturally resulting in an accumulation of information and knowledge. Success in plum orchard cultivation in Oyama-machi was achieved by transitioning from selling raw plums to processing them and by branding the Oyama-machi *umeboshi*.

This kind of building a system for collective activities is also seen in Onpaku of Beppu. Onpaku plays the role of an incubator for many programs. Onpaku conducts many trials and experimental programs during a set period in order to increase recognition of and examine the future potential of the programs. Onpaku, an incorporated NPO, is the key actor, providing incentives for activities and presenting venues and opportunities for collective activities to partners who want to contribute to town revitalization and through the use of local resources. In cooperation with partners, Onpaku has initiated approximately 150 programs, each held for about one month, and created a catalogue of these events distributed to about 5,000 fan club members. This brochure is also available in Beppu's major tourist information centers. The group's efforts are posted on the website as well, with online access and application for participation also available. The NPO serves as a liaison for support from public and private organizations, which would be difficult for each partner to attain individually. The NPO also enables Onpaku partners to conduct activities at a lower risk than they would be able to do alone.

The ability to recognize resources, and to collect and secure these, requires recognition of diverse and useful community assets and ensuring their productive utilization. Resources include human, information,

economic, social, political, physical, and environmental resources, whether within the community or outside community boundaries. This also includes promotion and capitalization of relationships between community member individuals and organizations and individuals and organizations outside the community. Relationships with prefectures, the central government, the international society of municipality-based communities and the various levels of communities not associated with administration are included in this view. A wide range of discussion is possible through these kinds of relationships, such as who the community knows, who has special knowledge and skills, and the relationship with these individuals and organizations. We also emphasize the ability to identify development resources that normally are not viewed as resources at all. The ability to discover and use these latent resources enables an expanded scope and more diverse options for development.

The people of Oyama-machi have discovered many resources for development; however, to recognize and utilize resources, it should not be forgotten that information and knowledge in addition to the right skills to support the development activities are necessary. In this example, Oyama-machi is triggered by the NPC Movement to transition from rice farming to plum and chestnut orchard cultivation to increase income. This transition was backed by patient investigation and research on high-profit crops suited to the agricultural production environment of Oyama-machi. The production status and market standing of plums and chestnuts were investigated and Oyama-machi's production possibilities of plums and chestnuts evaluated.

Additional products were sought that would generate a regular income akin to that of company employees, which could not be influenced adversely by the weather. Enoki mushrooms were identified after discovering mushroom farming at Chikuma Kasei in Nagano. While Chikuma Kasei purchased sawdust to use as mushroom compost; Oyama-machi identified a latent resource in the sawdust by-product of forestry in the town.

Such local resources have also been used in opening the restaurant attached to Konohana Garten. The major issue for any restaurant is finding a chef. One Oyama-machi leader took the word "chef" and reworded it as "*shufu* (housewife)," pointing out the importance of recognizing and utilizing farming household wives as human resources. Although it required some significant initial investment to turn *shufu* into chefs, their ability to contribute to the development of the community was recognized.

The General Manager of Hibikinosato emphasizes that who you know and your connections with people are resources that determine whether you can convert the resources at hand into productive activities with higher added value. The high-grade plum wine manufacturing at Hibikinosato is the result of a marriage between the high-quality plums of Oyama-machi and the skills of Nikka Whiskey. Valuing network capital as a resource realized this.

Ordinary objects can also be turned into a product or resource with creative and clever marketing or even naming. For example, plum flowers, when given the moniker, "blossom," become more product-like for garnishing dishes.

A system that converts resources into products also makes the activity of recognizing and securing resources from the production area more strategic. Oyama-machi's Konohana Garten sells killifish in glass containers during summer. By grasping the needs of consumers, and securing a venue where consumers' needs are met, the process of recognizing and securing resources is dramatically promoted into a resource in itself. Konohana Garten functions as such a venue. Housewives from Oyama-machi farms produce unique products using the local environment and, using the salesfloor of Konohana Garten, continue to make improvements on products every day.

A similar situation can be seen with Sazanka Cross, an agricultural group in Hiji. Sazanka Cross is a group of farmers organized based on the model of Konohana Garten in Oyama-machi. Sazanka Cross is

organized mainly by agricultural producers and sets up limited sales areas in supermarkets and department stores to sell agricultural produce and agricultural processed products directly to shoppers. Daily improvements on products are being made here as well and sales of processed products using fishery ingredients from Hiji that had previously been ignored are now yielding large profits.

In Ajiimu, a new industry is being developed that combines the farming experiences of urban residents, rice farming by farms, sake manufacturing by sake breweries, and sake sales at department stores. People from urban areas follow the process from the rice they helped plant as it is processed into sake that they named themselves and in turn can purchase at local department stores. Farmers recognized their daily task of growing rice as the resource for the business in addition to the commercialization of a product they produce in collaboration with manufacturers and distributors.

3. Strategic Elements of the Community

The strategic elements of the community shown in the alternative development model influence the characteristics of community capacity; it can be viewed as something that maintains or influences community capacity. Therefore, strategic elements of the community can be handled either as the entry point for the development strategy of community capacity, or as specific targets.

Asking questions such as what is the leadership situation in the community, are organizations being created or are community human resources being fostered enables one to grasp the current situation and formulate a way forward. Community capacity is improved by first analyzing the community with emphasis on the community's leadership, human resources, organizations, and networks, and by implementing activities that result in changes to these elements.

Communities change through their leaders. Oyama-machi, Yufuin, and Himeshima, which became the models for Oita Prefecture's One Village One Product Movement, all have had leaders who trail-blazed the development of each town. In Oyama-machi, it was mayor and agricultural cooperative president Harumi Yahata who led the NPC Movement. In Yufuin, there was the first mayor of Yufuin, Hidekazu Iwao, and *ryokan* managers Kentaro Nakatani and Kunpei Mizoguchi who promoted consolidation of the tourism industry, hot springs and natural mountainscape. In Himeshima, there was Kumao Fujimoto and Teruo Fujimoto, a father-and-son pair both serving as village mayors, sought to enrich the lives of people on a remote island. Also, in Kokonoe-machi, town mayor Kazuaki Sakamoto played a pivotal role in the development of his community. These leaders' first major role was to introduce a philosophy to rural development, and then present a future vision for their respective communities. Their greatness is in changing existing values and norms, sharing among community members the future vision that the rural community should aim for, and then connecting the future vision with specific goals.

In Oyama-machi, Mayor Harumi Yahata used cable broadcasting to discuss multi-dimensional agriculture, and repeatedly spoke to the townspeople of his vision for Oyama-machi; Yahata's way of thinking and vision for Oyama-machi sank in gradually, but steadily.

Yahata also concentrated on fostering the next generation by creating study groups for young farmers. He also sent young people to a kibbutz in Israel to explore a new future for Oyama-machi. Under Yahata's leadership, many young people developed into productive and valuable community members, becoming the next generation to bear the future of Oyama-machi. This was a particularly amazing aspect of the Oyama-machi story; leaders fostered the development of future leaders. Community capacity depends on the human resource development of the community. In Oyama-machi, the next generation of leaders fostered by Harumi Yahata contributed greatly to the development of the town. During the NPC Movement, they were the ones who translated the future vision of Oyama-machi into reality based on their experience in the kibbutz, set goals to specifically promote multi-dimensional agriculture, developed and

introduced new products and production methods and established a sophisticated community policy structure supported by value added production activities.

Such cultivation of human resources can be seen in the activities of Onpaku in Beppu as well. The Onpaku currently operates more than 140 programs, with the organization and operation of the programs conducted by respective Onpaku partners and many supporters. These partners use their own resources whilst coordinating with other partners and supporters through the network established by the Onpaku for the purpose of organizing and operating Onpaku programs. Through this organization process, partners are recognizing and securing community resources and establishing and strengthening a network of people and organizations in the town of Beppu, thereby enhancing the capacity of the community.

The establishment of organizations contributes greatly to community capacity development and the introduction of more sophisticated; however, the key point is whether an effective incubation venue or institution can be established that promotes the community's characteristics and enables people and organizations in the community to conduct collective activities.

Konohana Garten, the direct sales market of Oyama-machi, provides a marketplace for agricultural producers of Oyama-machi, encouraging the producers' enthusiasm and innovation. Agricultural producers make creative and innovative efforts to meet consumer needs. Because these growers in Oyama-machi are now able to sell their products at Konohana Garten, they have developed the ability to engage in an agriculture that capitalizes on the characteristics of Oyama-machi, which is located in a semi-mountainous area.

The Yume Otsurihashi of Kokonoe-machi provides a venue of great possibility for the people of Kokonoe-machi. Far exceeding expected numbers, visitors to Yume Otsurihashi have become consumers of agricultural products and processed goods of Kokonoe-machi sold at the Otsurihashi gift shop. Kokonoe-machi is well on track to realizing its future vision of becoming Japan's top rural area in terms of both the numbers of people visiting and living in the town.

In Himeshima, introduction of the Remote Island Act in 1957 brought about major changes within the community. The village is actively utilizing this Act to create a future vision of the village and thereby realize improved quality of life for the island's residents. Emphasis was placed on running water supply, electricity and health care, and facilities for each were established. The village office undertook implementation of initiatives under the policy with the mantra "what the government can do, the government will do." The village office became the central actor of community activities and conducted these under the fundamental guiding principle of equality. This resulted in the creation of many unique Himeshima approaches to development and service delivery such as the village's comprehensive community health care system, resource management approach to fishery, work sharing practice, and aluminum can deposit system.

Onpaku created a system where partners and supporters, corporations and groups can join in collective activities through creation of the Onpaku brochure, website, fan club and evaluation system within the Onpaku secretariat. By managing Onpaku under this system, people and organizations are creating an enabling environment where networks are established, issues of rural rejuvenation objectified and goals achieved.

Moreover, networks among community members and between individuals and organizational bodies inside and outside the community connect people with people and organizations with organizations, thus establishing a foundation of community capacity. Networks are important social capital necessary for development (see Putnam 1993).

An intriguing aspect of Onpaku is the speed at which the network expands. Each year, a network is created among the people, groups and organizations participating in the organization and implementation

of its many programs. Many programs are organized and implemented under the Onpaku framework, but each program is actually conducted by local residents and organizations who have become Onpaku partners. These locals build their own knowledge, historical resources, and environmental resources by collaborating and cooperating with the other participating partners and supporters. Partners, as heads of programs, expand their own network by coming in to contact with many people and organizations, including the Onpaku secretariat, supporters, program participants, media covering Onpaku, and administrative personnel interested in the programs. Such network expansion leads to the discovery of new resources as well as new programs.

The strategic elements of the community contribute to changes in the sense of community by intrinsic, community-initiated methods, and also by extrinsic interventions coming from outside the community. In practical terms, these strategic elements should be differentiated from the activities of the community policy structure under which strategic activities of community capacity development are conducted for the purpose of achieving better lives. This differentiation is very difficult; however, it is easier to understand if community capacity development is conceptualized as development of the fundamental infrastructure of the community. The various economic, social, political and environmental activities of the community then unfold on this infrastructure.

The elements of community capacity are not necessarily stylized, static or fixed; as a community changes and evolves, community capacity and its components change and evolve as well. Attempts to fix community capacity at a certain level or to use one method as a cure-all solution are probably going to be ineffective at best. This is because each community is different and the situations of communities are ever changing. Community capacity must be understood as something diverse and flexible.

An interesting case is the changes in community members of towns and villages during the municipal mergers of the Heisei period. In many old towns and villages, it can be assumed that communities were formed according to the administrative zoning of the former municipality. Before the mergers, members consisted of people and organizations of the community, including the town halls and village offices; however, after the mergers, administration is now excluded from the community based on the old zoning.

Instead of being shut down, former town halls and village offices have generally been turned into branch offices of the new post-merger city's town hall. The new city is governed by the laws, ordinances and regulations of the city, not the members of the community that still remain within it. Such a change in members greatly affects the community. This becomes even more prominent if the former administrative body was a core member of the community, if there are no organizations other than the administrative body that can serve as the community core, or if the new core organization is weak. Also, in general, when former town halls and village offices are restructured into branch offices, the number of employees is greatly reduced. Where employees of the former town halls and village offices are transferred out of the former towns and villages due to the human resources requirements of their new employer, the community element of human resources changes as well. Leadership, internal and external networks also go through changes. In some cases, community restructuring may occur.

In our development approach, we treat communities as an operational social construct and the subject of development, but it is important to be aware that communities change. The new merged city is another new community and will go through its own changes with former towns and villages as its constituents.

Putnam (1993) studied the introduction of regional governments in Italy and the course of developments thereafter from the social capital perspective. It is also possible to view this as community restructuring in accordance with the administrative re-zoning of the regional government resulting in new communities with different strategic elements of capacity. From the community design perspective, the municipal mergers of the Heisei period are indeed very interesting.

4. Community Functions

Community functions consist of the planning, implementation, and evaluation of a community's policy structure. Community capacity is executed through the fulfillment of these functions. Community functions can be viewed as the process of realizing the community's goals. Community policy structure is actually the collective concept of activities to achieve the respective goals of individuals and organizations. Activities carried out to achieve the respective goals of individuals and organizations are recognized as separate activities of each; however, it can be difficult to fully conceptualize all of the activities in a community policy structure. In fact, it is rare that a community policy system is recognized fully by the community.

Municipalities devise basic administrative plans of cities, towns and villages, but the scope of such basic plans is, in general, insufficient in describing the community policy structure in its entirety; however, whether a community is able to recognize its policy structure and then plan, implement and evaluate this as a community greatly influences its ability to achieve its goals and targets. The ability to examine the end outcomes of the desired social changes and who in the community will be responsible for them is particularly important.

The functions of community capacity are designed by the community as a whole, resulting in the community's existing policy structure. Individuals, groups and organizations will each act under this community policy structure. By differentiating the functions of community capacity and the separate activities of individuals, groups and organizations under the community policy structure, we feel it is possible to provide more specific and practical direction to rural development efforts. Whether a richer community policy structure can be planned depends on the level of community capacity. If capacity to carry out the planning function is high, the community will be able to devise a more complex and higher value added policy structure; if the implementation function capacity is also high, the community will be able to appropriately operate, control and implement this complex policy structure.

Whether collective activities by individuals, groups and organizations can be absorbed into the community policy structure is especially significant. Absorbing collective activities into the community policy structure enables other activities that would be otherwise unachievable by an individual or single organization. The community's policy structure can evolve into something more complex and rich. Establishing a shared community policy structure helps the community to fulfil functions required to realize its shared vision, values and norms.

Collective activities are, more often than not, carried out by the core organizations within a community. In Oyama-machi, the town hall and agricultural cooperative played this role by creating a system that supports collective activities. In the first phase of the NPC Movement, the town hall distributed plum seedlings free of charge to farms that decided to switch from rice farming to plum orchard cultivation. From early on, people and organizations with information became resources themselves, making efforts to collectively share the information and knowledge among the residents using cable radio broadcasting, cable TV, and in the beginning of the NPC Movement, through organized technical guidance study groups.

The Oyama-machi method for the production of enoki mushrooms allocates the difficult and risky process of creating the mushroom beds to the Mushroom Center of the agricultural cooperative, with the farmers then taking over the cultivation, harvesting and packaging of the mushrooms. In addition, enoki mushrooms are shipped year-round in order to maintain the Oyama-machi enoki mushroom brand, but since summertime production is not particularly profitable, enoki mushroom farms are cooperating by supplementing the summertime producers.

The Oyama-machi Agricultural Cooperative also established Konohana Garten, reforming the market

to create a direct connection between producers and consumers. Here, the intent to conduct collective sales activities is both strong and obvious. Konohana Garten is a sales facility of the agricultural cooperative, but its main purpose is profits for the agricultural producers, who are members of the community. Farmers are able to set their own shipment volumes, standards and prices. The agricultural cooperative influenced the production activities of farmers by implementing a system to act collectively in agricultural sales. This has resulted in farmers selecting higher value added production activities, making the community policy structure more complex and sophisticated. It is important for a community to establish the ability to design and implement strategies as a community; this equips the community with the ability to design itself.

5. Community Capacity Development

Enhancing community capacity is referred to as community capacity development. Community capacity development is seeking and creating strengths and opportunities that can lead to development, in order to promote positive change within the community. Capacity is developed through attempts of the community to develop and maintain these discovered strengths and opportunities.

The community's hidden strengths and opportunities are represented by the potential of the community's strategic components, characteristics of community capacity, and community functions. By identifying potential strengths and opportunities that can lead to development and then focusing on them and by energizing mutual interactions and synergies among the community capacity components of various community strategic components, characteristics of community capacity and community functions, the potential strengths and opportunities can be objectified and activated.

It must be emphasized that community capacity development should be perceived not as something linear, but rather as a continuous process. Furthermore, capacity development achieved through the promotion of intrinsic development by mutual interaction and synergistic effects among community capacity components is preferable over development forced onto a community by external intervention. Strategic components of the community, characteristics of the community, and community functions should not be simplified to a linear, mono-directional concept of mutual relationship that can easily be categorized. In reality it is not that simple. For example, improving individuals' abilities contributes to the betterment of the community organization, and improving the organizations' abilities reflects back to the ability enhancement at individual levels.

Community capacity is unavoidably connected to and influenced by the historical and communal context. The development of community capacity is the result of a long-term process spanning five years, ten years, one generation, or at times even several generations. Community capacity development is an ongoing phenomenon for communities. Political context may not always be present in a community. Community boundaries also influence community capacity. For example, decentralization usually takes place transcending community boundaries, but can bring positive outcomes to community capacity (Stenning, 2007). Municipal mergers in Japan also influence community capacity by bringing changes to the community members.

This chapter proposes a concept of alternative approach for rural development, and by viewing communities as an operational construct established in society, attempts to clarify methods to renew or change the scope or boundaries of communities, community capacity, and existing community policy structures. There are many reasons behind rural developments; some are economic, social, environmental or political, and individual or group benefits, among other factors, may also exist. A community is, as discussed in the introduction, a constructed social aggregation. Community capacity can be changed through the efforts of people. By implementing such a concept, people of the community can then have discussions, enabling them to create more realistic, operational, and practical approaches to development.

*** This chapter is a translated and revised version** of “Stenning, N. and Miyoshi, K. (2010). *Komyuniti Kyoashitei Diberopumennto to Chiho Kaihatu* (Community Capacity and Rural Development), in Miyoshi, K. (Ed.) *Chiikiryoku : Chiho Kaihatsu wo Dezain suru* (Community Capacity: Designing Rural Development). Kyoto: Koyo Shobo, 25-49. (In Japanese).”

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**PART III:
EVALUATION AND PLANNING
FOR RURAL DEVELOPMENT**

7

What is Evaluation?

Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Evaluation and the Emphasis on Results

These days, the term “evaluation” is encountered in a variety of different spoken and written contexts. Issues regarding evaluation of government bodies and universities, for example, are often covered in the mass media. The growing interest in evaluation stems from the fact that people are becoming more concerned with not only the actual initiatives pursued by government and other organizations, but with the outcomes that these initiatives generate. More attention is being directed to the tasks of clarifying objectives and identifying merits and demerits of various means to achieve them.

While it may seem quite natural that such matters are being brought to light, one needs only to look back on some familiar cases to realize that sometimes it is never actually clear why projects and activities are being carried out. The same can be said of government policies and programs. For example, for whose benefit do national, prefectural and municipal public authorities conduct their various projects? Do they really provide a quality of service that corresponds to the levels of tax paid? And do the projects contribute to development of the kind of society that people actually want? The public is showing greater interest than ever before in obtaining answers to these questions and realizing improvements in the system. This new outlook has made its way into many areas of everyday life, with people questioning, for example, whether or not the services provided by universities and other educational institutions are of genuine value.

It is against this backdrop that evaluation has come to be practiced as an important means to shed light on a project’s outcomes. Identifying outcomes has made it possible to achieve better definition of the roles of parties involved in decision-making and implementation, and to determine where responsibility lies. Slowly but steadily, evaluation is beginning to permeate our everyday lives.

The promulgation of the Act on Access to Information Held by Administrative Organs in 1999 helped enhance the transparency of public projects and promote a new emphasis on evaluation. Further impetus was lent to the evaluation trend by the introduction of policy evaluation as part of the restructuring of central government ministries and agencies in January 2001, and by the introduction of the Government Policy Evaluations Act in April 2002. These moves resulted in fundamentally all national-level administrative activities being made subject to evaluation. Administrative evaluation is also starting to be implemented among local government bodies at the prefectural and municipal levels. By accessing the website of a government organ, anyone can view the results of evaluation conducted on the activities the organ has implemented. A similar focus on third-party evaluation is now becoming common in universities and other educational organizations. Even greater importance will be attached to evaluation from now on, and it will need to evolve even further.

This chapter provides an overview of evaluation as a precursor to discussion in the chapters following. According to what frameworks is evaluation conducted? At what levels is it implemented? What is the relationship between evaluation and the management cycle? And, what is “good” evaluation? These are the issues addressed in this chapter.

2. Frameworks for Evaluation

2.1 Defining Evaluation

Evaluation is commonly understood as the organized assessment of the implementation and effects of various policies, programs and projects (Weiss 1988; Miyoshi 2005). Originally formulated as a means to establish whether or not the implementation of social policies, programs and projects actually had any effect on society, the practice of evaluating administrative activity has developed through the actual experience of assessing and verifying various policies, programs and projects. As a result, its orientation is more applied than academic, with an emphasis on practical methods applicable to real-life administrative practices. In particular, it is hoped that evaluation will come to be implemented as a routine and continual practice within the context of various policies, programs and projects, and ultimately bring positive change to society.

2.2 Purposes of Evaluation

There are two broad purposes of evaluation, both of which can be comprehended in terms of providing feedback: the first aim relates to improving administrative operations by achieving a better understanding of the content and outcomes of those operations; the second involves the provision and publication of the results of evaluation to stakeholders, in the form of reports. The first purpose is thus learning, while the second is accountability (OECD-DAC 2001). “Accountability” is widely translated into Japanese as *setsumeï sekinin* [duty to explain] – considering the true sense of the term, it may be better to employ the phrase *kekka sekinin* [responsibility to outcomes].

Learning is the process of applying a variety of lessons drawn from experience gained through evaluation to the overall management of administrative operations and implementation of future activities. Accountability is an obligation of the organizations and individuals who manage and oversee funds and resources, and is imposed to ensure that the roles of those involved in planning and implementation of policies, programs and projects are made clear. The obligation involves explaining and reporting to funding providers and other stakeholders – in the case of governmental activities, for example, this would include taxpayers and the nation’s citizens as a whole – on whether or not the funds and resources provided have been used effectively and as intended, as well as what actual outcomes have been achieved.

There is a great deal of overlap between these two purposes, but there are also many differences in regards to the users addressed and the approaches adopted. For this reason, it is necessary to clarify the exact aims of any evaluation activity before implementing it. Because evaluation is usually subject to constraints in terms of both time and money, clarifying how the results will be used and who are the likely users of those results will facilitate more effective evaluation. Identification of purposes in turn makes clear what it is that the evaluation is hoping to ascertain, thus helping to define evaluation questions and framework.

2.3 Framework of Evaluation

The framework of evaluation comprises subject of evaluation, evaluation questions, and evaluation method.

2.3.1 The Subjects of Evaluation

It is important first to identify exactly what is to be evaluated: this involves clarifying the policy, program or project in question to a conceptual form that is amenable to evaluation.

Ordinarily, policies, programs and projects have certain objectives, with policy-makers, administrators

and project managers employing various measures in an effort to achieve those objectives. Accordingly, implementation will be founded on linkage between the series of objectives envisaged – whether explicitly or implicitly – by the above parties, and the means employed to achieve them. Put another way, intrinsic to any administrative action is a relationship between the methods that constitute its cause and the ends that constitute its results. This relationship underpins all policies, projects and programs.

In the context of evaluation, the relationship between ends and methods is conceptualized as a “program theory” or “logic model”. Most evaluation addresses causal relationships between constituent elements of the subject policies, programs and projects: end outcomes (effects manifested as change in the society in question), intermediate outcomes (effects manifested as change in target groups, including both individuals and organizations), outputs (goods and services generated by the activities), activities (actions taken in order to apply inputs to the generation of outputs), inputs (human and material resources, operating funds, facilities, capital, expertise, time, etc.). Thus the subject of evaluation is the theory that forms policy structure (see Figure 1).¹

2.3.2 Evaluation Questions

Designing evaluation questions clarifies what information is required in order to achieve the purposes of the evaluation. Identifying exactly what the evaluation seeks to determine enables formulation of more appropriate methods. Questions can generally be divided into three broad categories: measuring performance, examining implementation processes and clarifying causal relations (US General Accounting Office 1991). The actual content of the evaluation will depend on what one wants to know and the three activities are sometimes implemented separately, with measuring performance known as “performance measurement”, examining implementation processes as “process evaluation”, and clarifying causal relations as “impact evaluation”.

2.3.2.1 Measuring Performance

This task involves assessing what has been achieved as a result of implementing the policy, program and project, and judging whether or not those achievements meet expectations. Specifically, the evaluator examines the degree to which outcomes have been achieved (in terms of the degree of change effected in society as a whole and in the target group), the nature of outputs produced (goods and services generated), and the inputs made into project activity, measuring these factors as they stand at the time of evaluation and comparing these measurements to the targets set at the planning stage. It is thus essential to establish appropriate indicators and tools for measurement when evaluating performance.

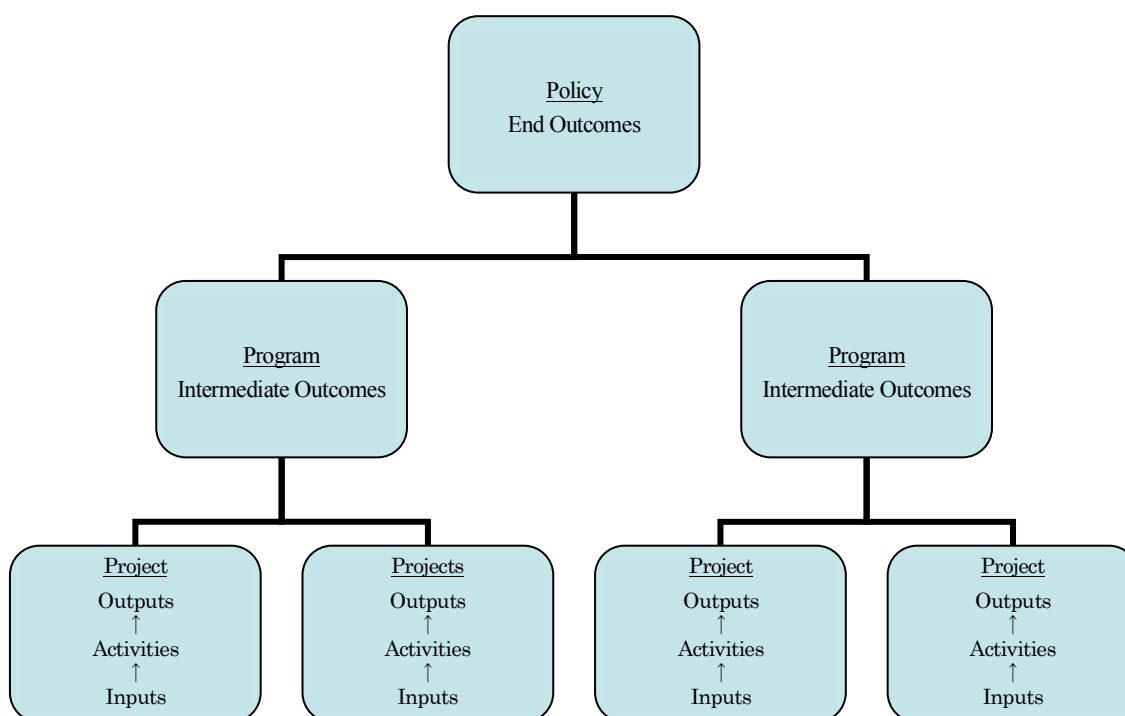
Measuring performance is related to the issues of performance measurement and evaluability (Wholey *et al.* 1994).

2.3.2.2 Examining Implementation Processes

A review of implementation processes encompasses all stages of implementation of the policy, program and project, examining their internal dynamics to assess factors such as whether the policy, program and project have been implemented according to plan, whether they have been managed in an appropriate

¹ In evaluation, a distinction is made between failure in the causal relationships conceived at the planning stage, known as “Theory Failure”, and failure in the process of project implementation, known as “Implementation Failure”. Theory failure relates to the actual linkages between ends and means in policies, programs and projects – that is, problems in the logic of planning components that are not susceptible to direct control, encompassing outputs, intermediate outcomes in terms of change in the target group and society, and end outcomes in terms of change in the society. Implementation failure relates to problems in the implementation of project activities – inputs and outputs that are capable of control by the implementer.

Figure 1: Policy Structure



Source: Created by the author

manner, and how the perceptions of stakeholders has changed. In other words, the central task is to gain an understanding and comprehension of what is actually happening in the process of implementation under the policy structure. Directing one's attention to the project level makes it possible to determine whether activities are being implemented in accordance with the original plan and the extent to which they are linked to outputs, as well as what elements in the implementation process are impacting on outputs and the achievement of outcomes. The information obtained in the course of examining the implementation process often includes factors impeding or contributing to the manifestation of positive effects from the project. A focus on the policy level enables the evaluator to identify the perceptions of stakeholders – particularly those involved in policy-making and implementation – towards the policy or end outcomes, and the factors influencing the achievement of those outcomes.

2.3.3.3 Clarifying Causal Relations

To assess impacts, the evaluator examines whether or not the measured degree of achievement of objectives can actually be attributed to the implementation of the policy, program or project. Another key theme is whether or not the chosen combination of projects is actually contributing to the achievement of policy objectives. Policies, programs and project are, from the viewpoint of society at large, forms of intervention. At the same time, however, they are never the sole influence. Even if effects were realized according to plan, these effects may have been caused by factors other than the policies, programs and projects; and if the planned effects are not realized, there may be some problem with the design of the policies, programs and projects themselves. For example, if a causal relationship can be established between the effects and project implementation, it becomes possible to draw conclusions regarding

Differentiating between these two possibilities enables value judgments to be identified more clearly.

whether or not it was worth implementing the project. Several different methods can be employed to achieve this, such as assessing the effects *per se* by comparing the region in which the project is implemented with regions that are not subject to implementation, or establishing what changes have taken place within the subject region by comparing conditions before and after implementation.

2.3.3 Evaluation Method

Methods for data collection and analysis are selected through the process of formulating evaluation questions. As appropriate, methods may be drawn from fields such as social science, economics, business management and cultural anthropology, and may include quantitative and/or qualitative approaches.

3. Levels of Evaluation

3.1 Policy, Program, Project: Conceptual Boundaries and Scopes for Evaluation

Approaches and methods employed in evaluation can vary greatly depending on whether the evaluation focuses on the level of policy, programs or projects.

Policy evaluation primarily uses end outcomes as a starting point for assessing the distribution and combination of intermediate outcomes, while program evaluation primarily uses intermediate outcomes as a starting point for assessing the suitability of the distribution and combination of outputs and their influence on end outcomes. For project evaluation the principal reference point is outputs: their influence on intermediate outcomes, and subsequently end outcomes, is addressed. Thus, policy evaluation, program evaluation and project evaluation differ as to how their understandings and analyses are constituted. This conceptual differentiation between the different levels of a policy framework – policy, programs and projects – is crucial to the practice of evaluation. Figure 2 applies a matrix format to the policy structure introduced in Figure 1 to illustrate the conceptual boundaries and scopes for evaluation activity conducted in each of the three levels.

The conceptual boundaries between policy, programs and projects express both variation in perspective and differences in levels addressed. They also relate to variations in capacity to control the end outcomes, intermediate outcomes, outputs, activities and inputs under the policy structure. That policy structure itself, meanwhile, expresses the will of the administrative organs in question, and is only embodied if perceived in terms of the interconnection of ends and means. However, the different aspects of administrative activity – that is, the interconnections between end outcomes, intermediate outcomes, outputs, activities and inputs – are not manifested in unitary form. A policy structure is comprehended within the boundaries of each level – policy, program, and project: its actual functions are only revealed by superimposing these different levels of comprehension on one another. This means that in order to understand a policy structure, we must examine the mechanisms by which policy, program and project are perceived within actual organizations and sites of administrative activity.

The following paragraphs provide an organized overview of the different levels, first in terms of conceptual recognition.

The recognition adopted when addressing the “project” level directs attention to outputs and fundamentally limits its focus to these outputs. This can be understood by examining, for example, what goods and services have been produced by a municipal project, or what facilities and equipment have been constructed under a national project. The emphasis on end outcomes is weak, as is the attention given to intermediate outcomes and outputs – especially in cases where activities and inputs are being examined. This approach conceives projects in terms of a method for management: administering inputs within a limited time frame in order to achieve a particular objective (Ando 2001). This is consistent with the conceptual boundaries of the project level as discussed in this section. Administrative operations are

Figure 2: Outline of the policy structure and conceptual boundaries and scopes domains for evaluation of policy, program and project

End outcomes	Intermediate outcomes	Outputs	Activities	Inputs
EOC	IOC1	OP1/1	A1/1	IP1/1
	Project	OP1/2	A1/2	IP1/2
Program	IOC2	OP2/1	A2/1	IP2/1
		OP2/2	A2/2	IP2/2
Policy				

EOC = end outcomes; IOC = intermediate outcomes; OP = outputs, A = activities, IP = inputs.

Source: Adapted by the author from Miyoshi (2002)

managed and executed, generating goods and services and necessitating awareness of the beneficiaries who may feel the direct influence of them.

For “programs”, the focus of recognition is initially on intermediate outcomes, addressing the projects conducted to achieve those intermediate outcomes – in other words, multiple outputs. The effect of the program of these intermediate outcomes on policy, or end outcomes, is then considered, thus establishing the conception of a “program”. Because it is difficult to comprehend the entire range of activities and inputs, emphasis on these components is weak at program level. Instead, attention is directed to how to select and/or combine different projects to achieve the expected changes in the target group. Particular emphasis is placed on the selection and combination of goods and services or outputs generated through administrative activity.

The initial concern of “policy” is end outcomes: achieving the expected social change as an end outcome and then determining which programs and target groups should be selected in order to achieve the expected social change as an end outcome. Secondly, the policy as a whole is addressed: what kinds of project outputs constitute the programs within it. The emphasis on projects themselves, however, is weak, and there is almost no consideration given to specific activities or inputs. On the other hand, the conceptual recognition of policy has the potential to incorporate a considerable range of political factors. The tendency for individual activities to be overlooked in the course of debate and discussion of policy issues is justified under this conception of policy recognition.

Policy evaluation, program evaluation and project evaluation are each conducted according to the conceptual recognition discussed above, with each limited in scope by its subject’s conceptual boundaries. Within the different contexts of the policy structure of policy, program and project, there are differences of boundary of recognition and thus varying scopes of evaluation. Policy evaluation is addressed as the relationship between intermediate outcomes as the means and the ends of end outcomes, as well as the relationship between outputs as a means to achievement of intermediate outcomes, and how each of the intermediate outcomes and outputs are allocated. This enables the evaluator to consider what combination of intermediate outcomes would secure the achievement of the end outcomes. A similar approach applies to the evaluation of programs and projects. In each case, the subject of evaluation is the ends and methods as comprehended at each conceptual level: the linkage relationships between them, and their allocation – that is, the combination of methods employed.

3.2 Policy Structure and Responsibility

We now turn to examine the idea of responsibility within the policy structure. This section will clarify the

meaning of responsibility in the various contexts of policy, programs and projects, thus establishing the scope of the concept of accountability.

The boundaries of responsibility basically correspond to the conceptual boundaries of the policy, program and project and the scope of evaluations conducted in each boundary, as discussed in the previous section. Different people and divisions are responsible at each level.²

Responsibility for policy entails selecting end outcomes in terms of change in society, and choosing the intermediate outcomes that will achieve this change – that is, the programs. The task is thus to select and allocate intermediate outcomes – in other words, settle on the expected direction of change in society – and determine the type of change in the target group that will function to achieve those outcomes. Target groups can be both beneficiaries of administrative activity and the subjects of control by it. In cases such as determination of subjects for taxation, political factors play a significant role in the definition of target groups. Politics assumes a major function here.

The responsibility of a program is that of clarifying the intermediate outcomes selected as policy, and choosing the outputs required for achievement of those outcomes: in short, determining the combination of projects required to achieve intermediate outcomes. Put another way, the responsibility of a program is one of choosing the projects to be planned and implemented in order to achieve the expected type of change in the target group.

The responsibility of a project involves clarifying the outputs selected and choosing and implementing the activities required to achieve them. Those responsible must seek greater efficiency in the activities pursued to generate outputs.

The above paragraphs have outlined the extent of responsibilities within the policy structure. When apportioning responsibility, a high degree of consciousness of project responsibility is common, but responsibility for policy and programs is often poorly defined. As a result, parties responsible for implementing projects are often called to account for policy and program-related issues as well. One major reason is that while implementation of a project can be controlled and managed, the responsibilities of policies and programs derives from the causal relationship between ends and means, and is not necessarily explicit. In the absence of explicit responsibility of a policy and program it is not possible to develop definite indicators and measures of the attainment of intermediate and end outcomes. Under these circumstances, the policy structure itself cannot be clearly defined, and a project-centered orientation must be adopted: the “project approach”. If outcomes are considered important, it is crucial that the responsibility of policies and programs be well defined, so that accountability can be sought and the overall policy structure made apparent. Greater emphasis is placed on evaluation of policy and program as the responsibilities within these boundaries becomes clearer.

4. Evaluation and the Management Cycle

It is important to understand evaluation as part of a management cycle. In the context of this cycle, evaluation activities can be placed into three broad categories. The first is ex ante evaluation of policy, program and project formulation and design, the second is monitoring, mid-term and terminal evaluation conducted up to the completion of their implementation stage, and the third is ex post evaluation, carried out after a certain period of time has elapsed since the policy, program and project completion (see Figure 3). In general use, the term “evaluation” refers to ex post evaluation. However, as a result of the recent trend of stronger focus on outcomes together with the need to respond to a more rapid pace of change in

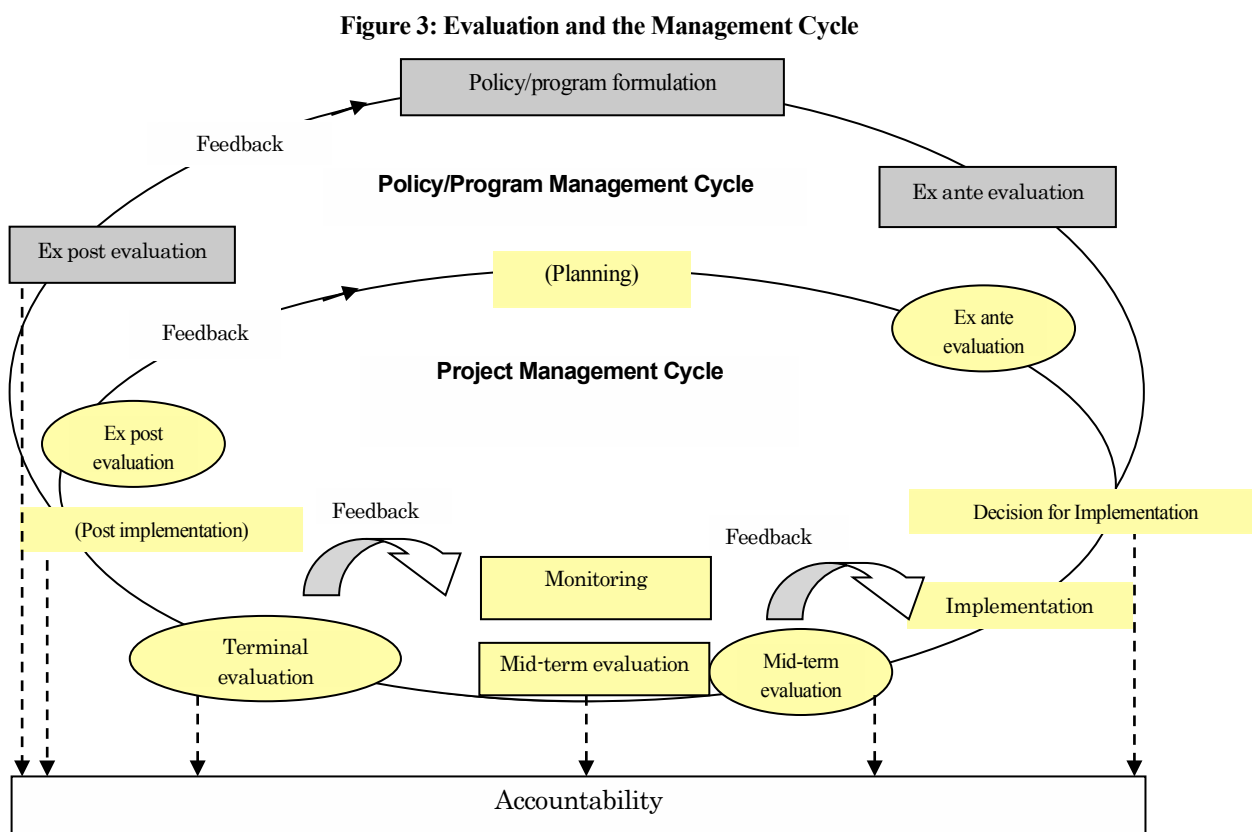
² This discussion of responsibility parallels New Public Management’s demarcation between core divisions and implementation divisions within government (see Osumi 1999: 4). It also gives form to the linkage between accountability and directions in principal-agent relationships (Vedung 1997: 107).

society, increasingly strong emphasis is placed on ex-ante evaluation at the planning and design stages of a policy, program or project, as well as on monitoring and evaluation conducted during implementation. This demonstrates the recent shift in how evaluation is perceived: more importance is now placed on evaluating outcomes during the process of implementation and applying the results of such evaluation to make immediate revisions and modifications. In particular, on-going modification of policies, programs and projects can generate progressive evolution and development of policy structures, bringing important changes to society.³

4.1 Ex ante Evaluation as a Starting Point for Comprehensive Evaluation

Ex ante evaluation involves using estimates and forecasts to assess, at the planning stage prior to implementation, the clarity and appropriateness of the end outcomes and intermediate outcomes, outputs, activities and inputs that constitute policy, program and project of policy structure, and examine whether or not the causal relationship between ends and means is appropriate.

In order clearly to identify the various constituent elements, it is important for the evaluator to assess the suitability of indicators and measures, target values and the methods used to obtain them, whether they be quantitative or qualitative. Indicators clarify the level and scope of each of the subject phenomena. Their capacity for appropriate measurement can exert a great influence on policy, program and project implementation. For this reason, baseline data, including that relating to costs of collection should be capable of ongoing measurement continuously beyond completion of implementation.⁴



Source: Adapted from Planning and Evaluation Department, Office of Evaluation Management ed. (2004)

³ In comparison with policy changes, ongoing modification of programs and projects involves low transaction costs and is capable of effecting societal change easily.

⁴ It would also be worthwhile considering the use of photographs and other media.

Examination of causal of relation as ends and means between intermediate outcomes and outputs, for example, involves assessing the feasibility of attaining the expected objectives, and thus the very reasons for existence of the subject programs and projects. When assessing causal relations at the ex ante stage, the evaluator should choose methods appropriate to the prevailing conditions: a range of choices may be available, including discussion with stakeholders in group or workshop organization, soliciting expert opinions, and reviewing existing evaluation reports and academic literatures. It is advisable to apply a broad-range of approach to the investigation, addressing issues including what kinds of existing models are being applied, the existence of best practice in the field, and whether or not the body responsible for implementation will be receptive to the model chosen. It is also important to be aware constantly that the process of identifying causal relations that constitute a program and project and the process of formulating indicators are mutually closely related.⁵

4.2 Monitoring, Mid-term Evaluation and Terminal Evaluation

Monitoring, mid-term evaluation and terminal evaluation are conducted in order to examine whether or not end outcomes, intermediate outcomes and outputs have actually realized the levels initially anticipated, and whether or not satisfactory progress is being made towards attaining the results expected. For example, the purpose of monitoring and mid-term evaluation of a project is to assess and confirm the project's progress and needs, and to determine if any changes to the initial plan are required. Terminal evaluation mainly involves examining and analyzing the degree of attainment of initial goals, the efficiency of the implementation process, and prospects for sustainability of the project's effects into the future. A judgment is made about whether it is appropriate to terminate the project, or whether it needs to be extended.

In this type of evaluation, importance is attached to the provision of feedback for projects still in progress. The focus is on project activities and processes, together with objectives and outputs.

4.3 Ex post Evaluation

Ex post evaluation seeks to determine the extent to which end outcomes, intermediate outcomes and outputs have been attained, in order to assess the ultimate value of the policy, program or project in question. In general use, the term "evaluation" is most often used to denote this type of evaluation. It addresses all stages from planning through to post-completion to determine effectiveness and appropriateness of the policy, program or project a certain period of months or years after its completion. The purpose of this level of evaluation is to realize accountability for the achievement of outcomes, as well as to generate lessons learned and recommendations for developing more effective and efficient policies, programs and projects in the future. These lessons learned and recommendations are presented with the expectation of influencing the policy, program or project beyond them as the subject of evaluation. The nature of the evaluation is essentially prescribed by its subject and its questions. These evaluations may be conducted in the forms of self evaluation, internal evaluation, external evaluation, or joint evaluation with other related organizations. They may be focused on projects and examine their roles in the context of broader programs and policies. In some cases the results of other evaluations may be examined as part of a "meta-evaluation", synthesizing various evaluation results to conduct a comprehensive analysis and assess the evaluation system itself.

The effects of policies, programs and projects do not necessarily manifest themselves within a short time frame. It may be a number of months or years after completion before effects can be evaluated. The ex post evaluation approach is well suited to the task of evaluating policies, programs and projects in a

⁵ In recent years, greater emphasis is being attached to results-oriented management. With their focus on outcomes, monitoring and mid-term evaluation are becoming more and more important.

comprehensive manner after a set period of time has elapsed since their completion. It also enables a wide-range of analysis, for example of multiple completed projects, as well as comparison with other projects. Evaluation is thus not limited to the intrinsic elements of a particular project, but can yield a broad spectrum of insights. In order to make full use of evaluation results, however, it is vital to clarify the purposes and mechanisms for provision of feedback.

5. Standards for Good Evaluation

If the results of evaluation do not provide information that is useful and reliable, they cannot be applied to improve of policies, programs and projects. In addition, when making results available to the public for the purposes of securing accountability, it is essential to provide high quality information that is both trustworthy and impervious to needless misinterpretation. In order to furnish appropriate information that merits active use – in other words, “good evaluation” – certain standards must be met, including: (1) usefulness, (2) impartiality and independence, (3) credibility, and (4) participation of stakeholder (JICA Planning and Evaluation Department, Office of Evaluation Management ed. 2004).

5.1 Usefulness of Evaluation Information

It is essential that evaluation results are understandable, helpful and easily used if an evaluation is to be applied actively in an organization’s decision-making processes. The purposes of the evaluation must first be made clear, so that the evaluation reflects the needs of its anticipated users. In order to produce useful information with limited resources and time, considerations such as for what purpose the evaluation is being conducted, and who is to be provided with feedback from the evaluation, should be addressed from the design stage and applied to narrow the scope of the investigation. Information from evaluations has an important role to play at all different stages, from strategy formulation through project design and implementation to completion. To fulfill these roles, however, evaluation results must be accessible and the evaluation conducted at the appropriate juncture.

5.2 Impartiality and Independence

Evaluation must be conducted impartially and from a neutral standpoint. Insofar as it assures unbiased analysis of evaluation results, impartiality can also contribute to the credibility of the information provided by the evaluation. It is important, for example, to incorporate the opinions of a wide range of stakeholders, rather than just a specific segment of individuals or organizations involved in a project. Meanwhile, ensuring independence can function to keep antagonism between different stakeholders in check.

However, the purpose of securing independence should not be allowed to impede the sharing of evaluation information among different stakeholders and the provision of feedback. Although evaluators and implementers are mutually independent in terms of the roles they play, they share a common goal of using evaluation to effect improvements in policies, programs and projects and should thus establish close partnerships. Ample communication is vital when designing evaluations, with the evaluator working to gain a sufficient grasp of the needs of anticipated users of the evaluation results, engaging in two-way discussion of those results and exploring measures for future improvement together.

5.3 Credibility

Achieving a high degree of credibility requires the evaluator both to possess specialist knowledge of the subjects for evaluation and to be fully familiar with evaluation methods. Such an evaluator will be able to analyze a full range of factors both for and against, thus producing information that is highly credible. It is also important that information on the evaluation process itself is shared among the stakeholders subject to

the evaluation. This is known as securing transparency. The evaluator, after having identified any limitations on the evaluation in terms of budget, implementation period or methods, must report to related parties and make public the details of the entire evaluation process, from design, including selection of methods, through implementation to collation of results. If this process has revealed any differences of opinion between the evaluator and other parties in terms of conclusions, lessons learned or recommendations, the opinions of both sides should be presented in parallel within the evaluation report, leaving it to readers to assess the legitimacy of each opinion. Securing transparency in this way is crucial to establishing the credibility of the evaluation and can also have a great degree of influence on the extent to which evaluation results are actually used.

5.4 Degree of Stakeholder Involvement

Evaluation results do not always gain the approval of all stakeholders. The values held by different stakeholders today are becoming very diverse, and there may not be any consensus among them regarding the objectives of the policies, programs or projects in question. Most processes of evaluation seek to clarify causal relationships between the constituent elements of policies programs and projects: end outcomes, intermediate outcomes, outputs, activities, and inputs. Social phenomena, however, differ from those in the natural sciences in that they are not readily amenable to prescription of clear relationships between cause and effect. The issue of how evaluation results are to be interpreted is dependent to no small degree on social, economic and political factors such as the value systems of the stakeholders. Moreover, in today's rapidly changing environment, values themselves can shift and evolve. A substantial period of time can pass between the formulation and the ultimate completion of the policies, programs and projects that form the subjects of evaluation: in cases where the evaluation is conducted at a point subsequent to conclusion, it is natural that the evaluation conditions may themselves be affected by changing social realities.

This means that it is important to construct an appropriate overall framework for evaluation, addressing questions such as who the evaluators are, what are their standpoints, how they will involve stakeholders in the evaluation process, and how the evaluation will actually be conducted.

6. Concluding Remarks: Towards More Active Use of Evaluation

This chapter has discussed evaluation with a focus on framework, level, implementation cycle and what constitutes good or bad evaluation. The notion running through this discussion has been that evaluation is, in essence, is a series of activities that ultimately seeks change in society. It is this outlook that informs the presentation of two final issues for this chapter, as below.

Hitherto, evaluation has functioned to influence stakeholders and wider society to promote societal change. The discussion in this chapter has repeatedly referred to this fact. Of late, however, greater awareness is emerging of the importance of using the evaluation process itself as a tool for change in society, among stakeholders, and in target groups. This conception underpins the practice of participatory evaluation (Miyoshi & Tanaka 2001). It will become increasingly important from now on to integrate the use of evaluation results with the use of evaluation processes in order to realize even more effective forms of evaluation.

Greater effort should also be directed to the utilization of recent advancements in information and communications technology. Evaluation results form a cumulative knowledge base for society. They should be available for use by a greater number of people. It is important that information technologies are harnessed to facilitate easier access to and use of evaluation results. Making results more widely accessible will also enable stakeholders to evaluate the evaluations themselves, generating interaction between stakeholders and evaluation results that will ultimately help enhance the quality of evaluation.

* **This chapter is a translated and revised version** of “Miyoshi, K. (2008). *Hyouka Towa Naika* (What is Evaluation). In Miyoshi, K. (Ed.), *Hyouka-ron wo Manabu Hitono-tameni* (For students who study Evaluation) . Kyoto: Sekai Shisou Sha, 4-22. (In Japanese).”

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8

Evaluation and Planning for Rural Development

Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Framework of Planning and Evaluation

Evaluation and planning are important element of the functions of community capacity (Cheskin et al. 2001, Miyoshi and Stenning 2008a, 2008b). To enhance the understanding of these functions, this chapter explores the details of evaluation and planning, the elements that guide changes in a community.

Evaluation and planning are standard-based tools that enable organized analysis to understand an existing situation in order to improve it. There must be an evaluation and planning subject in order for them to be effective. In the context of a community it is necessary to clarify the subject of evaluation and planning by conceptualizing people's daily live and the activities of organizations that are part of the community. This conceptualization process encompasses the community policy structure, in addition to establishing and examining what must be clarified to create a better future for the community. This chapter discusses these aspects of evaluation and planning.

First, a framework for evaluation and planning must be defined. This framework consists of evaluation and planning subjects, evaluation and planning questions, and examination methods for conducting evaluation and planning. In evaluating, it is critically important to clarify the subject of the evaluation and planning. Clarifying the subject of the evaluation and planning, or in other words, conceptualizing the policies, programs and projects of the evaluation and planning, is important. Next, based on the identified evaluation and planning subjects, questions must be asked in order to evaluate and plan. Examination methods are then selected and the questions answered based on the evaluation and planning subjects. In general, I feel that the process of identifying the subject of the evaluation and planning is often neglected. It is my experience, if the subject is adequately defined, the resulting evaluation and planning will be adequately solid.

This chapter clarifies the role of evaluation and planning as the process of examining and revising an existing policy structure, focusing on the policy structure as the subject of evaluation and planning. Then to move the discussion along, the five evaluation criteria of Organization for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) for international development are introduced.

I see the five OECD/DAC evaluation criteria as the result of developing countries discussing development with developed countries, making the use of criteria most beneficial to already developed nations engaging in rural development programs. Much effort has been poured into reducing poverty in developing countries; however the results of these programs have not always been good. The successful cases came when developing countries implemented ideas for integrated development based on local contexts, including specialized rural or urban development. These successful examples of local development are implemented without many of the setbacks that occur when external, developed countries implement international development programs. The similarities between these examples reveal new perspectives for rural development.

2. Evaluation and Planning, and the Community Policy Structure

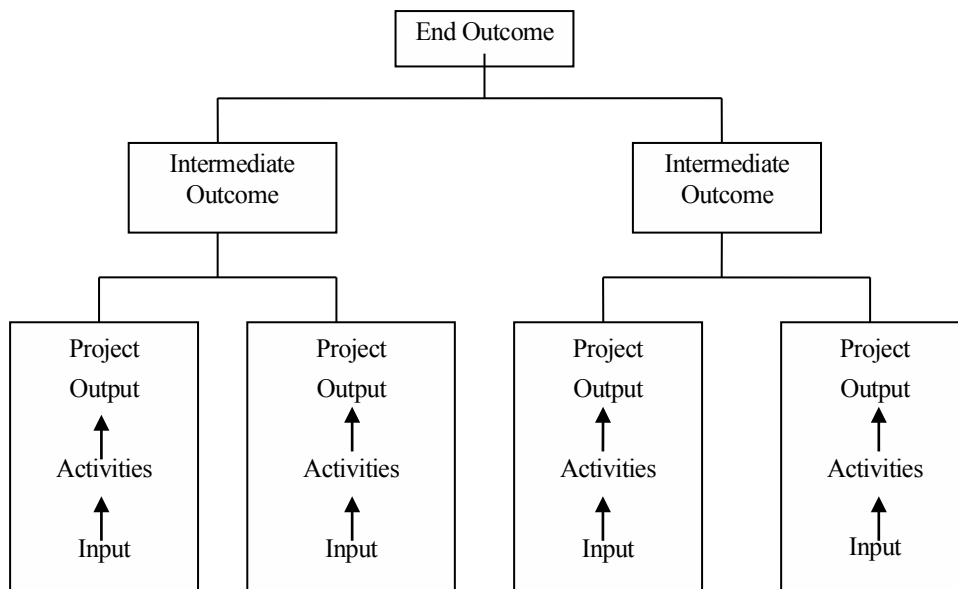
It is critically important to clearly identify the subject of evaluation and planning. Clarifying the subject of evaluation and planning, or in other words, conceptualizing the policies, programs and projects, is

important to enable planning and evaluation.

It is easy understand and develop a subject for evaluation. However, a subject for planning is more puzzling. Community activities are ongoing and contained within the community people’s daily lives and organizational activities. Community planning is the process of taking these activities and envisioning their ideal forms in the future. It is necessary to understand evaluation and planning as two inextricably linked processes that target the lives and activities of community actors.

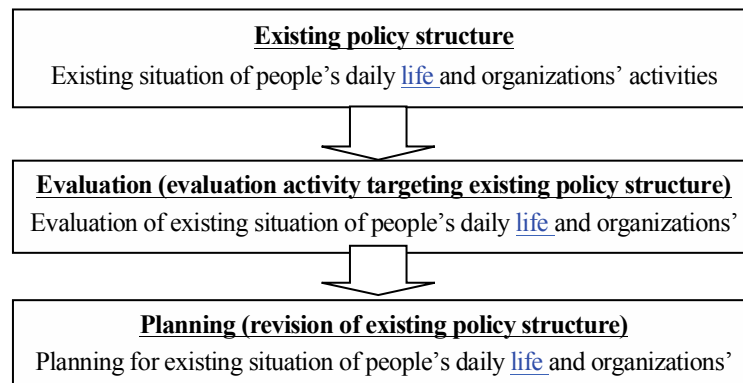
Figure 1 depicts a policy structure based on the people’s live and organizational activities. Figure 2 shows the organization of evaluation and planning, the subject of which is this conceptualized policy structure. Communities hold policy structures relating to end outcomes. Changes in communities are secured through evaluating, planning and implementing these policy structures to achieve the corresponding end outcomes.

Figure 1: Policy Structure



Source: Created by the author

Figure 2: Evaluation and Planning



Source: Created by the author

Although it may be repetitive, I would like to confirm the subject of evaluation and planning again. Readers may be wondering about the word order of “evaluation and planning” used up to this point. Why wouldn’t this be “planning and evaluation?” In Figure 2, the order becomes easier to understand. The reality of the situation must first be established through evaluation, with planning commencing based on the findings of the evaluation. If reality is the starting point in considering evaluation and planning, it is only natural that evaluation comes first. Planning often comes first, but this inevitably results in plans that ignore reality, or plans that do not identify reality as the evaluation subject. This clarifies that planning must target reality, making it important to conceptualize reality as the subject of the evaluation.

In general, people’s daily lives and organizational activities have reasonable ends, and people and organizations make efforts, using various means, to achieve those ends. When applied to communities, linked relationships between the community ends envisioned by people and organizations and the means of achieving them, explicitly or implicitly, must be considered to achieve visions, values or norms. Connecting ends and means forms the community’s policy structure. This results the creation of a community policy structure, whether it is explicit or implicit.

By introducing the concept of community policy structure, we are able to discuss more precisely the socially constructed aggregation we call community. In actuality, though, it is rare for such a policy structure to be explicitly recognized by individuals and organizations in the community. It is safe to say that a community’s policy structure is comprised of the overlapping and accumulation of administrative activities by actors such as the city hall, town hall or village office serving as the community’s core, as well as the activities of organizations such as agricultural co-ops, chambers of commerce, and tourist associations.

The policy structure includes End outcomes (effects realized as changes in the target community), Intermediate Outcomes (effects realized as changes in target groups including individuals and organizations), Outputs (goods and services generated through activities), Activities (series of actions that use Inputs to generate Outputs), and Inputs (human and material resources, operating funds, facilities, capitals, expertise, time, etc.).

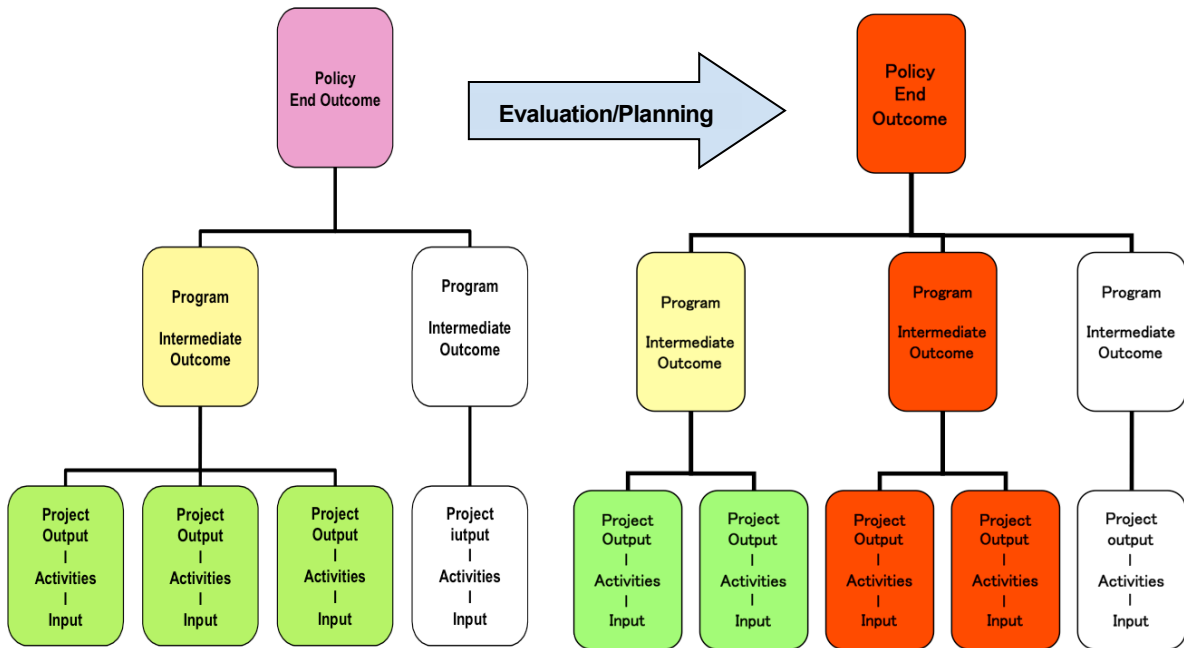
With the introduction of a more explicit community policy structure the lives of people and activities of organizations can become more sophisticated, organized and refined, enabling further enrichment of people’s lives.

The evaluation and planning of communities are the process through which change to an existing community policy structure is possible. The community activities are distilled through the policy structure; this policy structure is evaluated, and then based on the evaluation results, a future policy structure is established.

Figures 3 and 4 show changes in the policy structure through evaluation and planning. Figure 3 shows how evaluation and planning result in community goals that are unachievable through conventional programs. New programs were then introduced to achieve these community goals, and the policy structure was revised to enable relevant operations. As programs are introduced, new target groups for intermediate outcomes are set and new operations and activities are implemented to change these new target groups.

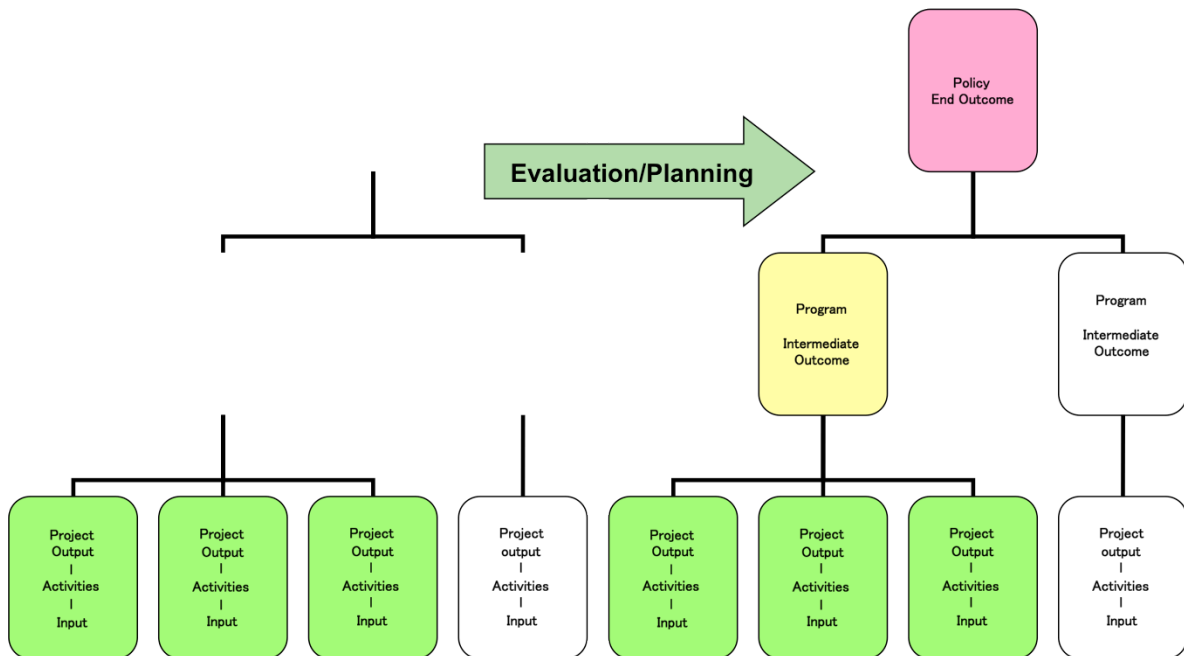
Figure 4 depicts a case with no existing established explicit community policy structure. Here, the existing operations and activities are evaluated, planning is done based on the evaluation results and in the end an explicit policy structure is created. Actually, explicit community policy structures are rare. Also, the process of explicitly formulating policy structures is often not conducted with willful recognition in many communities. In many cases, municipal policy structures are formulated as a part of basic planning, or in relation to such planning, but they are based on the municipality’s administrative activities and therefore not necessarily applicable to the community as a whole. However, if the community’s future vision,

Figure 3: Characteristics of Evaluation and Planning



Source: Created by the author

Figure 4: Characteristics of Evaluation and Planning (no existing community policy structure)



Source: Created by the author

recognized by individuals and organizations that are members of the community, is included in the municipal policy structure and if each member acts based on such recognition, then it can be said that a community policy structure exists.

This is the realistic process that must take place if a community wishes to combine collective activities with higher added value to ensure better, more enriched lives for its members. Formulating such a policy structure is the starting point of community development.

The community evaluates, plans and implements activities based on the existing policy structure, then reevaluating the structure to create a continuous cycle. During this process community capacity improves and more complex and sophisticated policy structures evolve. Figure 5 shows this cyclical process.

3. Characteristics of the Community Policy Structure

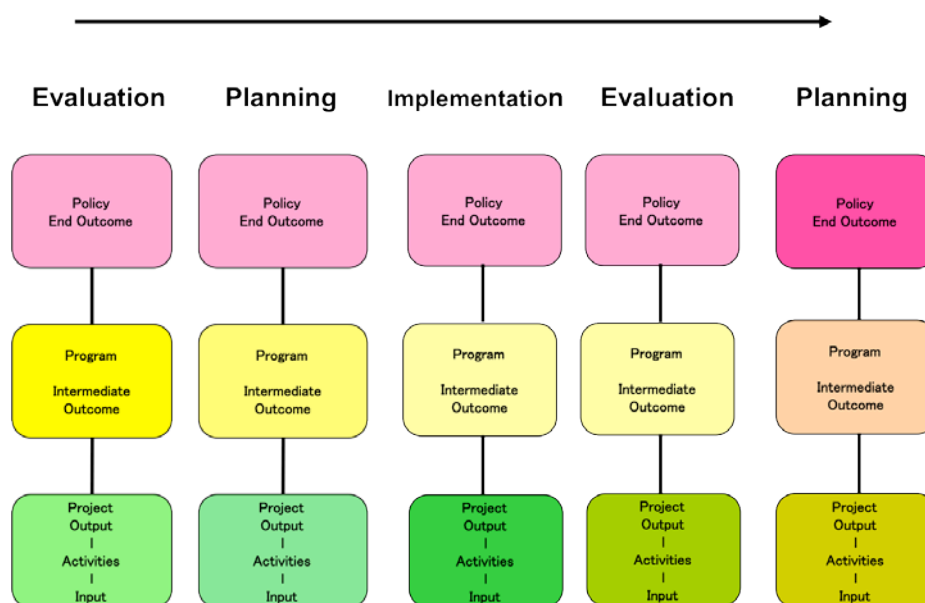
Community capacity development interacts with the community policy structure, influencing adopting and adaptation. Policy structures are representations of the economic, social, environmental and political aspects of the daily lives and activities of the people of the community. The dimensions of a community policy structure depend heavily on the status of community capacity. When the community develops and improves its capacity, it can evaluate, plan, implement to transform the policy structure into something new and more refined, or adopt more sophisticated policy structures.

This phenomenon is similar to a figure skater delivering a wonderful performance through the use of his/her physical abilities acquired through basic training, where practices are based on technical capacity. Performance and capacity are mutually related.

Mainstream narrow-mindedness limits the definition of development to purely economic considerations, such as per capita GDP, directly focusing on accumulation of capital while sacrificing other important development items (Friedmann 1992). This narrow view, still present today, ignores impoverished people in rural areas, and by doing so, drives them into destitution. For alternative development to be effective, the scope of development must be widened.

This model of policy structure requires emphasis on the diverse, non-economic aspects of social and political activities, in addition to formal and informal activities. The community policy structure shows the

Figure 5: Continuous Revision of the Policy Structure



Source: Created by the author

activity process through the use of program theory.

The policy structure is viewed in various ways: as the process of agricultural production activities, a specific development initiative, community events, or informal yet special processes. The model clarifies these processes through program theory showing the relationship between the series of goals and the means of achieving them on a logic model (Funnell 1997, Rogers et. al 2000, JICA 2004, Miyoshi 2002 and 2008)regarding logical framework and program theory.

Determining the community policy structure and successfully deploying it depends heavily on the status of community capacity. In other words, as the community develops and enhances its capacity, it becomes better able to create a more complex, sophisticated policy structure with higher added value. On the other hand, the process of the community using its capacity for evaluating, planning, and implementing the policy structure contributes to community capacity development, as long as it results in changes in target groups (intermediate outcomes) or society (end outcomes). The process of policy structure implementation and the development of community capacity are mutually beneficial.

Community policy structures are typically recognized through the overlapping and accumulated administrative activities of administrative actors, but they actually are a consolidated accumulation of individual policy structures of activities conducted by each organization and each person. Community policy structures vary in meticulousness, depending on the development status of the community and the level of evaluation and planning functions. What is important is to identify the community policy structure, recognize community activities, evaluate, devise a plan, and respect the efforts made toward creating a better community.

4. Examples of Policy Structures

Let us now look at specific examples of how to conceptualize community policy structures. As previously explained, this chapter proposes handling communities as a socially constructed aggregation in order to view them as an operationable unit of development. The basis of this is the community's policy structure. In the previous section, the conceptualization of the community policy structure was outlined in objective tree form, as seen in Figure 1. To enhance operationability, this section uses the program theory matrix. The program theory matrix displays the logic in the objective tree in table form (Table 1).

Table 2 shows the development process of Oyama-machi organized into a community policy structure. I organized this policy structure when I was involved with Oyama-machi. The Oyama-machi community policy structure is not explicitly recognized by the community, but collective and individual activities construe efforts toward a richer life; therefore, it can be said that a policy structure does exist. Triggered by the three-phased NPC Movement, the Oyama-machi community policy structure developed and evolved. Since the beginning, the NPC Movement has been recognized by the individuals and organizations of Oyama-machi, and many activities have been planned and implemented in connection with the various

Table 1: Program Theory Matrix (PTM)

End Outcome	Intermediate Outcome	Output	Activities	Input
EOC	IOC/1	OP-1/1	A-1/1	IP-1/1
		OP-1/2	A-1/2	IP-1/2
	IOC/2	OP-2/1	A-2/1	IP-2/1
		OP-2/2	A-2/2	IP-2/1

Source: Created by the author

Table 2: Oyama-machi Community Policy Structure (Overview)

End Outcome	Intermediate Outcome	Projects Output	
		Projects, Activities, etc.	Collective community activities
Phase 1		Rice production	
NPC Movement (Seeking income increase) Securing confidence as agricultural producer	Sales increase of producers of plums and tree fruits	Plum production: promotion of orcharding (Conversion to production of plums and chestnuts: Plums become the mainstream)	Purchasing and operating agricultural machinery Distribution of plum and chestnut seedlings Orcharding of new fruits (sugar plums, citron, etc.) Operation of fruit sorting center (preparing fruit sorting equipment) Agricultural cooperative shipment Konohana Garten (sales) Study tour
		Umeboshi processing	Processing of agricultural products (processing plant) Umeboshi Contest (from 1991) (Improvement of <i>umeboshi</i> quality)
		Brewing <i>umeshu</i> (plum wine)	Hibikinosato (cooperation with corporations)
	Sales increase of enoki mushroom producers	Enoki mushroom production (Oyama method)	Production of mushroom beds (Enoki mushroom mycelium center) Soil improvement with used mushroom beds
	Increase in total sales of small-scale farms	Vegetable production (small-lot production of many varieties)	Watercress, etc. Konohana Garten (direct sales)
	Change in agricultural awareness of farms that are shipping (Market-oriented production)	Konohana Garten (sales)	Market revolution (Direct connection between producers and consumers) Production regulations, etc. Direct-sales shops (sales): 8 shops
	Increase in sales total of small-scale farms	Hibikinosato	<i>Umeshu</i> Sales of processed products (farmers/Hibikinosato)
	Change in agricultural awareness of farms that are shipping (Market-oriented production)	Roadside Station: Mizubenosato Oyama	
		Organic restaurant	Women of the farming village: chefs 3 restaurants
Promotion of communication awareness with urban areas	Green tourism	Ogiri-hata Green Tourism Society	
Phase 2	Promotion of sense of belonging Information sharing	Oyama Cable Broadcasting (OYHK) Oyama Cable TV: CATV: OYT (from 1987)	Information sharing Information sharing
NPC Movement (Human resource development) Securing wide perspective	Obtaining information on overseas status	Hawaii trip (from 1967) 1st to 34th times	Implemented as town project
		Training on a kibbutz in Israel (from 1969) 1st to 19th sessions	Implemented as town project Sister-city relationship with Megiddo, Israel
		Training in South Korea for 9th graders (from 1991)	Implemented as town project
		Homestay training in Idaho, USA	Implemented as town project
		European tour for women for beautiful urban planning	Implemented as town project
	Promotion of sense of belonging Information sharing	Lifestyle Academy (from 1971), "Let's Learn about World Society"	Implemented as town project
		Morning softball games, nighttime track meets, gateball competition	Implemented as town project
		Oyama Dance Song, Song for the Townspeople, etc. Economic boost symposium, National Oyama-machi Summit	Implemented as town project
Phase 3	Vision sharing	Everyone's Wish Statue (1979): Flags for eight groups within town	Implemented as town project
NPC Movement (Environmental development) Securing a rich living environment	Richness of life	Operation of day care center	Implemented as town project
		Community center: village center	Implemented as town project
		Marine center: gymnasium, swimming pool	Implemented as town project
		Welfare center	Implemented as town project
	Maintenance of environment	Increase in flow volume of Oyama river	Implemented as environmental activity

Source: Compiled by the author, with reference to JICA training materials, overview of Oyama-machi, Hita City, etc

phases of the movement. As a result, a policy structure that achieved three end outcomes has been established.

The first phase of the NPC Movement was named after the New Plum and Chestnuts campaign. The first phase aimed to increase income. This was a development movement to make Oyama-machi, a poor rural town in Oita Prefecture, into a more prosperous town through the conversion of the main crop of rice to plums and chestnuts. A production format with high added value was sought to ensure profit even for farms with only a small amount of land without anyone falling behind. As a result, today's complex and sophisticated community policy structure combines collective and individual activities.

Oyama-machi calls this multiphase production method "centipede agriculture" -- where the town facilitates everything from production to marketing, making plums and enoki mushrooms core products, and encourages small-lot production of many varieties of vegetables and easily produced products to secure steady income.

Oyama-machi's plum-related production and processing operations began when they gave up on rice production, which is not very productive in semi-mountainous areas like Oyama-machi, and introduced plum and chestnut orcharding. Processing plums into *umeboshi* (pickled plums), as well as producing other fruits such as sugarplums and citron came later. The National Umeboshi Contest that began in Oyama-machi not only set quality standards for *umeboshi*, but also provided ample opportunities for *umeboshi* producers in Oyama-machi to obtain information, helping them accumulate more knowledge on *umeboshi* production. Later on, the local processing facility of Hibikinosato linked up with Nikka Whiskey to produce high-quality plum wine. Hibikinosato purchases plums, from local farms at a price higher than market value. This is an example of a fair trade-like system of purchasing and processing.

Enoki mushroom production was started by Kinji Yahata, Hirofumi Kurokawa and their colleagues. They later shared the enoki growing technology with the agricultural co-op, which went on to establish the mycelium center to handle the technical portion of mushroom bed production. Farmers use the prepared mushroom beds to produce and harvest the mushrooms -- this is the Oyama method of enoki mushroom production. Using this method, enoki mushroom farms make profit. When demand is low and production is costly, such as in summer, the agricultural cooperative produces the mushrooms to ensure continuous shipment and maintain the Oyama brand enoki mushrooms year after year. This approach is also unique to the Oyama method.

Konohana Garten was built in 1991 and provides Oyama-machi agricultural producers an innovative marketplace. Konohana Garten uses a system where producers and consumers are directly connected, and where agricultural producers who are unable to systematically ship agricultural products that meet the demands of larger public markets can sell fresh vegetables and processed goods directly to consumers. Sellers decide how much to sell and at what price, receiving 80% of sales as revenue, which is much bigger than through the public markets. Currently, the number of direct-sales antenna shops under Konohana Garten has increased, subsequently increasing sales. The Organic Farm Restaurant was established to use the vegetables from Konohana Garten. The restaurant serves traditional cuisine of Oyama-machi cooked by local housewives, providing another source of income. People who want an agricultural experience, especially junior high-school students, are being accepted to stay on the farms in order to promote exchange between urban areas and farm villages, a form of Green Tourism.

The second phase of the NPC Movement was the Neo Personality Combination campaign. This second phase aimed at human resource development and involved learning activities. For example, the Lifestyle Academy opened as part of the learning activities at the community center, where tea ceremony lessons, martial arts lessons, seminars and lectures by famous experts, concerts, were held. This emphasized character self-improvement.

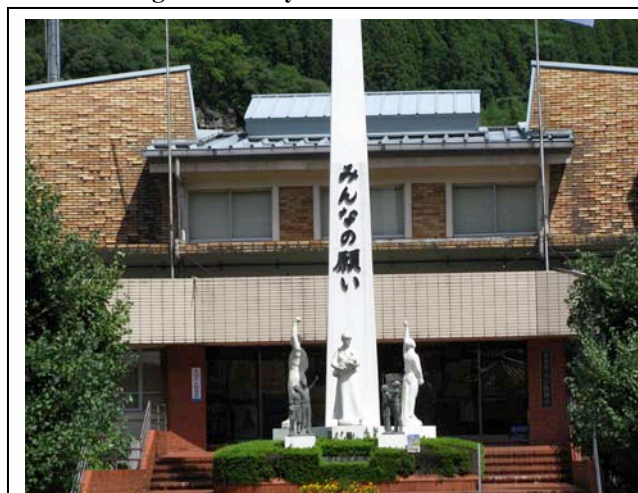
Training tours were encouraged and conducted so community members could learn agricultural skills and community development methods. Networking was also a big focus of these tours. Visits around Japan were set up to explore model examples of agricultural development. Overseas, many young people participated in training on a kibbutz in Israel. The Oyama-machi model was presented to aid in developing agricultural skills and community development methods on kibbutzim. Junior high-school students were sent to the U.S. and late-middle-aged adults were sent to China in an effort to broaden people's horizons.

To make use of newly found free time that became available with termination of livestock breeding, Oyama-machi supported the exercise activities of the townspeople by organizing morning softball games and nighttime track and field meets. Many townspeople enthusiastically participated in the softball games and tournaments between residential zones within the town. These activities played a major role in cultivating a common awareness as town members. Other opportunities to discuss the town's ideal state and heighten connections between residents were found in the Oyama Dance Song, Song for the Townspeople, an economic boost symposium and the National Oyama-machi Summit.

The third phase of the NPC Movement aimed at environmental development and securing a rich living environment, and was named the New Paradise Community. During this third phase, the Everyone's Wish Statue was created in 1979 to share the same vision: to demonstrate the shared vision and desire of the townspeople in Oyama-machi (Figure 6). When walking around Oyama-machi, one finds sign after sign stating the views and ways of thinking of the townspeople. "Listen to the choir, a town full of culture," or "Going after the dream to make Oyama-machi global." Hopes of the people are everywhere in such words. Their intentions are also visible in flags made for the eight groups in the town, and the various facilities that aid enrichment and promote collective activities. Operation of day-care centers, community centers, village centers, marine centers, gymnasiums, swimming pools, and welfare centers are all activities conducted to promote connections among people. Oyama-machi provides water to Fukuoka City. However, due to the conventional supply agreement, the flow volume of the Oyama River is restricted. Efforts to increase the volume and conduct ongoing maintenance began in order to preserve the environment, and both have been developing with the aim of making the river fit for sweetfish habitation.

I organized the community policy structure of the Oyama-machi community based on the NPC Movements in Oyama-machi. In Oyama-machi, the "wish to work," "wish to learn" and "wish to love" comprise "everyone's wish" culminating in what became known as the NPC Movement. Under this

Figure 6: Everyone's Wish Statue



Source: Photographed by the author

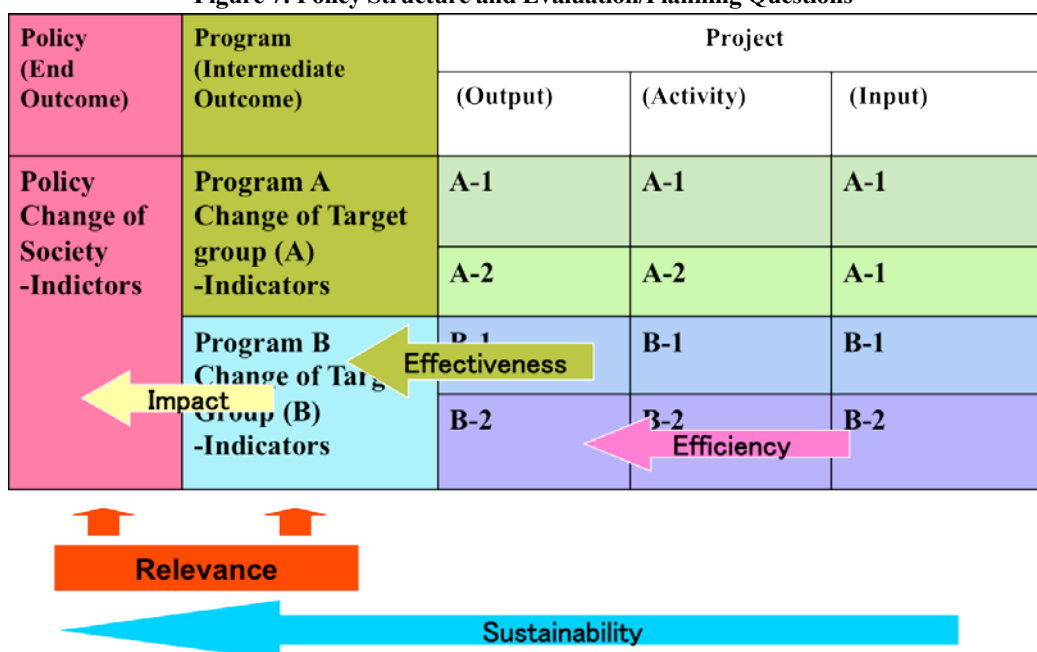
movement, many activities were conducted, some continuing today. You can look at the individual policy structures created by the Oyama-machi residents, including any of the activities conducted in order to achieve the community’s vision and goals. Collective activities are conducted formally and informally. Main community actors, such as the town hall and the agricultural co-op, serve as core bodies for such collective community activities. Collective activities make up the core of the community policy structure in Oyama-machi, providing the foundation on which Oyama-machi people conduct their activities with the goal of a richer life. Such a policy structure enables us to understand the macro events of the movements and the community in Oyama-machi, as well as how the people and organizations of Oyama-machi characterize and conduct each of their activities.

5. Questions Regarding Planning and Evaluation

As previously mentioned, evaluation and planning is a dual process that conceptualizes tangible activities of people and organizations as an existing policy structure; then, based on this conceptualized policy structure, examines and revises the current situation to lead to better future activities. It is “evaluation” when the main emphasis is on examining the current situation, and “planning” when the main emphasis is on revising the current situation. However, evaluation and planning are inextricably linked.

Evaluation and planning are conducted using basic questions. What kind of questions should be chosen? In the arena of international development, the DAC of the OECD proposes five standard evaluation criteria. These criteria are related to the policy structure, categorized into five main areas. The five criteria are relevance, impact, effectiveness, efficiency, and sustainability (Miyoshi 2005). These criteria reflect upon the current situation, but if the questions are directed to the future and efforts are made to revise the current policy structure, then they become planning criteria as well. Now, let us look specifically at questions that would be asked. Figure 7 shows the role of questions in these five categories in relation to the policy structure chart. Visualizing in chart form clarifies which part of the policy structure is being questioned.

Figure 7: Policy Structure and Evaluation/Planning Questions



Source: Created by the author

Relevance determines whether the changes envisioned by the society or target group are applicable. With transitions in the environment surrounding the society, changes needed in the society transition as well. Changing times bring changes to social values. The expected end outcomes change along with changes in people's values, visions and norms, and it is important to continuously question relevance. It is no exaggeration to say that this is where evaluation and planning begins.

I consider this part very important. Which standard should be used to judge the end outcomes of your community? Is it an urban standard? Is it a standard of the rural area where one resides? It is important to formulate one's own visions, values, and norms as a rural community, then creating one's own set of standards.

The people of Oyama-machi designed their future vision of through the NPC Movement. Kokonoe-machi aims to become Japan's top rural area. Himeshima wants to create a comfortable living environment on a remote island. Onpaku has been working for local revitalization by creating multilateral connections among people through the use of human and other local resources. Each of these has succeeded in designing its own future vision. Their standards for relevance in evaluation and planning come from this, not from something borrowed from urban areas.

What we must look at next is the logic applied in order to achieve the end outcomes. You must question the appropriateness of the linkage between ends and means. Regarding ends and means, DAC's evaluation criteria call the relationship between intermediate outcomes and end outcomes impact, the relationship between intermediate outcomes and outputs effectiveness, and the relationship between outputs and inputs efficiency. Impact, effectiveness, and efficiency are definitions of the linkage between ends and means in a policy structure. You use these to give meaning to the established relationships during the process of evaluation and planning, Impact asks who must be changed in order to achieve the desired society. This is a very difficult item to examine. Who must change to enrich the community? Many possible choices exist, such as changes in people within the community, or changes in people outside of the community.

It may be necessary to create consumers who will purchase the community's products to become prosperous. Can it be expected that people from neighboring urban areas will change to purchase those products at supermarkets in their cities? Can it be expected that those living in urban areas will change to recognize the community's products? Can it be expected that those living in urban areas will change and travel to the community to purchase their products? The selection of who to change, or which target group to change, greatly influences activities of the community.

In the past, agricultural products from Oyama-machi had been shipped to urban markets through conventional agricultural co-ops. Profits for Oyama-machi depended on how much the market broker purchased the products for and, therefore, it was necessary to harvest shipments of agricultural products that met the broker's standards. The richness of the lives of people in Oyama-machi depends on the relationship of ends and means. The end here was to increase the profit from agricultural products from Oyama-machi, and the means of achieving this would be to increase the buying inclination of the brokers, the target group. Therefore, farmers were forced to meet the prices, volumes and shipping standards of agricultural products in the market. Unfortunately, not too many farmers in Oyama-machi were able to sufficiently meet such standards.

How can we sell agricultural products using pricing, volumes and shipment standards different than the market? How can we price products at levels we see fit? How can we decide how much to ship? How can we ship products we think are good? How can we sell agricultural products directly to our target consumers? The direct-sales shop of Konohana Garten began by answering these questions, directly targeting consumers purchasing agricultural products.

The completion of Yume Otsurihashi, Japan's longest pedestrian suspension bridge, in Kokonoe-machi brought many more visitors than expected. Yume Otsurihashi brought as much foot traffic as the busy commercial avenues of large urban areas. Kokonoe-machi had always been a major producer of tomatoes and shiitake mushrooms, but now, with about two million people visiting the suspension bridge every year, Kokonoe-machi changed to make visitors to the bridge the target group. New shops were built at the bridge location and products using agricultural products produced and manufactured in Kokonoe-machi went on sale. The increase in sales brought a greater variety of products. Kokonoe-machi made those visiting the bridge a top priority, complementing its efforts to become the top rural area of Japan.

How should intermediate outcomes be selected, or, in other words, who should be selected as the target group in order to change the community? It is possible to select yourself as the target group. The young people of Oyama-machi were dispatched to a kibbutz in Israel and were expected to change with the experience. In Onpaku partners involved in about 150 programs are expected to become more creative human resources through the process of implementing the programs and networking with other people.

Amid the changes in the environment surrounding the community, selection of target groups as intermediate outcomes is important. Social values change, people's lifestyles change, environments surrounding communities change. To achieve the end outcome despite these environmental changes, strategic selection of target groups becomes increasingly important. Developments in the information industry have also brought major changes to the environment. People who conventionally could not become target groups are now becoming possible candidates. The relationship between end outcomes and intermediate outcomes in the existing policy structure, and impact in evaluation and planning must be comprehensively and systematically examined in order to strategically establish better policy structures. This is the key element in the community's development.

Effectiveness focuses on intermediate outcomes, which is the changes in the target group, and asks questions regarding operations such as what should be done to change the target group, which operations should be deployed, what combination of operations are effective, which operations are effective, and are the outputs of the operations reaching the target group.

Selecting the operations often entails major decisions. In Himeshima, the village office prioritized healthcare in its budgeting. The village makes efforts to secure medical and health care personnel and facilities to enable the healthy living of villagers. The Himeshima government conducts necessary operations on its own, such as water projects and running the ferry, when the private sector cannot fill the needs gap. This means that projects are not large-scale, but based on priority and the vision of the community. Efforts to maintain facilities without spending much money, such as the renovation of the community center into village office, are made in order to maintain the vital service on the island like health care, ferry operation, water, and electricity. Decisions in rural communities often differ from decisions made in urban areas.

The construction of Yume Otsurihashi, Japan's longest pedestrian suspension bridge, in Kokonoe-machi was a major decision. How could Kokonoe-machi attract people? It was necessary to attract urban people to visit the bridge in Kokonoe-machi. The construction project started from the ideas of the townspeople and was eventually carried out by the town hall. Upon construction, every bridge with "Japan's No. 1" title was investigated. It was found that all bridges that boast being "No. 1 in Japan" attract a certain number of visitors. Backed by such preparation and confidence, the Yume Otsurihashi construction commenced. After completion, aspects of the bridge such as the seasonal scenery seen from the bridge, the bridge's height, the way it swings, and its location as a node connecting tourist spots such as Beppu, Yufuin and Kurokawa Onsen, attracted an unexpected number of visitors. With these visitors as

target groups, the town selected and implemented the operation of production, processing, and sales of agricultural products.

The direct-sales shop of Konohana Garten in Oyama-machi and direct-sales antenna shops in Fukuoka City, Oita City and Beppu City provide a marketplace for the farmers of Oyama-machi. Through the distribution channel that allows farmers to sell their produce directly to consumers, farmers have the opportunity to ship only the produce they want to ship, to select them by their own standards, and to price and sell them on their own. This is an unusual market revolution. Recognizing that an area within 1.5 hours of travel as a “direct market” the new distribution system that directly approaches consumers is now an established operation.

Operation selection in Onpaku is supported by information technology. Onpaku, as in Oyama-machi’s Konohana Garten, provides a marketing place for collective activities of its partners by hosting its website, receiving online participation reservations, publishing and distributing a brochure, and organizing and operating the Onpaku fan club. By establishing such an operation format, partners can use their resources to attract new businesses or improve existing businesses at low risk. Onpaku expects its partners to take initiative, and through collective activities, enables continued operations that aid in regenerating the community. Examining effectiveness is important to identify target groups, to specify changes, and to select collectively beneficial operations.

Efficiency examines the competence of activity implementation. Focusing on the process of inputs to outputs, the overall operation is questioned. Has the operation been productive? Are the activities effective? Were planned activities feasible? Was the cost worth the outputs? Was the operation appropriate for generating the outputs? Basically, the suitability of each operation is examined.

Improving the soil for organic cultivation has been an ongoing activity for the last 30 years in Oyama-machi. Soil improvement using mushroom beds is proving effective in cultivating products that are desired by consumers. The cable TV broadcasting also regularly provides information on market pricing of agricultural products. Such activities provide one type of pricing standard for farmers. It is said that people in Oyama-machi have a habit of actually going to see something when they hear it is good. Information collection like this empowers production activities. Such production skills have been provided without interruption since the beginning of the NPC Movement and are contributing to the advancement of agricultural production skills.

When evaluating and planning it is important to take the community policy structure and change it for the better by investigating its relevance, impact, effectiveness, and efficiency in order to achieve the final goal of desired social change. Furthermore, it is important to constantly examine whether such a community policy structure can maintain and develop with changes over time. Many elements demand changes in the format of the community policy structure, such as changes in technology or in the economic, social, environmental, and political states surrounding the community. Decentralization also becomes a big factor. Sustainability is then checked to examine that the community policy structure can be maintained and developed amid such environmental changes. I believe that it is necessary to evaluate and plan a policy structure for sustainability within the community. Communities are constantly put to the test on how to make selections based on their existing policy structure in order to continually, strategically, and systematically improve it.

6. Conclusion

With the community policy structure as the target, new policy structure can be established through evaluation and planning. Community development is brought about by such steady efforts. However, in many rural communities, due to a lack of community capacity or insufficient understanding of the

community policy structure, community development activities are not occurring adequately. Nonetheless, for rural areas to compete against urban areas and realize the vision people establish, it is necessary to identify the community policy structure, and based on that, conduct individual and collective, formal and informal, and economic, social, environmental and political activities in a comprehensive, systematic, and strategic manner.

***This chapter is a translated and revised version of “Miyoshi, K. (2010). *Chiho Kaihatsu no tameno Hyouka to Keikaku* (Evaluation and Planning for Rural Development), in Miyoshi, K. (Ed.) *Chiikiryoku : Chiho Kaihatsu wo Dezain suru* (Community Capacity: Designing Rural Development). Kyoto: Koyo Shobo, 51-75. (In Japanese).”**

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9

Evaluation and Policy Structure

Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Introduction

This chapter addresses the interrelations of a policy structure and its evaluation and the characteristics of each level of evaluation (policy, program or project evaluation), focusing on the framework and constituent elements of the policy structure to be evaluated.

2. Framework of Evaluation

In general, an evaluation is considered a systematic assessment of a policy, program or project with respect to its implementation and effects (Weiss 1998, Miyoshi 2008). The evaluation itself should be conducted as an ordinary and permanent activity as part of the operation of the respective policy, program or project with a view to changing the society for the better. In order to carry out such an evaluation, it is necessary to clarify the framework of the evaluation.

When conducting an evaluation, it is primarily necessary to clearly identify the subject to be evaluated. To carry out an appropriate evaluation of a policy, program or project based on a well-defined concept of the subject, it is important to have a clear understanding of what should be evaluated.

As a general rule, all policies, programs or projects have their own objectives. Policy makers, administrative officers and project implementers endeavor to achieve their respective objectives by using every possible means at their disposal. Therefore, as a matter of course, such policies, programs or projects would be implemented based on the causal sequences, either express or implied, between their objectives and the means for achieving them as contemplated by the policy makers, administrative officers or project implementers. For every project activity, there exist a causal sequence between its objectives and means for accomplishing them - a relationship between the means that constitute the causes inherent in the project activity and the objectives that constitute the results of the activity - and this relationship provides the function to support the respective policy, program and project.

In order to achieve the purpose of an evaluation, an evaluation question is used to identify what should be assessed. The more clearly the subject of evaluation is identified, the more appropriate the evaluation method would be. Generally, evaluation questions can be divided into 3 groups: those designed to confirm performance (Normative questions), those designed to identify process (Descriptive questions) and those designed to explore causes and effects (Cause-effect question) (GAO 1991, Miyoshi 2008). The design and nature of an evaluation may differ depending on what should be made known and, for this reason, there can be cases where the confirmation of performance, identification of process, and exploration of causes and effects should be conducted, independently of each other, as a performance evaluation, process evaluation and impact evaluation, respectively.

In the past, most evaluations were conducted on an ex-post basis and therefore in order to evaluate a policy, program or project it was necessary to monitor the process of performance of each policy, program or project being evaluated. Today, however, an evaluation is recognized as an activity to be conducted through the entire evaluation management cycle embracing ex-ante evaluation, mid-term evaluation, terminal evaluation, and ex-post evaluation. Under this evaluation concept, if we can identify the performance of a policy, program or project, or in other words if we can identify what has been achieved by implementing a policy, program or project, and if we can assess the performance in comparison to

expectations in an appropriate manner as part of the management cycle of a project evaluation, such process itself can serve as a monitoring function. Specifically, under this assessment process, the performance will be assessed with respect to the production of outputs (as to how much of goods and services has been produced), the use of inputs in project activities, and the degree of achievement of outcomes (as to how much the society has changed or what change has occurred to target groups) as of the date of assessment and will be evaluated in comparison to the expectations set forth at the planning stage. To do this evaluation in a proper manner, it is important to define appropriate performance indicators and criteria of measuring the performance.

3. Policy Structure

The process to identify the relationship between objectives and means of achieving them as discussed above, which is the subject of evaluation, is called a program theory or logic model. In the case of evaluation based on this program theory or logic model, the evaluation will be conducted to assess the theory underlying the policy structure, namely, the causes and effects of interactions between end outcomes of respective policies, programs and projects (effects realized as a change in the target society), intermediate outcomes (effects realized as a change in target groups including individuals and organizations), outputs (goods or services resulting from activities), activities (actions taken to produce outputs by using inputs), and inputs (resources used to produce outputs including personnel, equipment and materials, administrative expenses, facilities, funds, expertise, time, etc.)¹ (Figure 1 and Figure 2 as examples).

Figure 3 shows the schematic diagram of a policy structure as given in Figure 1 by using program theory matrix. Figure 4 is an example of policy structure by program theory matrix. A table in a matrix format can provide a lot of information in a concise form. In a real world, a central government has as many policy structures as the number of its policies. However, in actual cases of evaluation, it is not always the case that policy structures are clearly identified as the subject of evaluation. If a policy structure is unclear, its evaluation cannot be done in an appropriate manner. Precise defining of a policy structure is particularly important for its evaluation.²

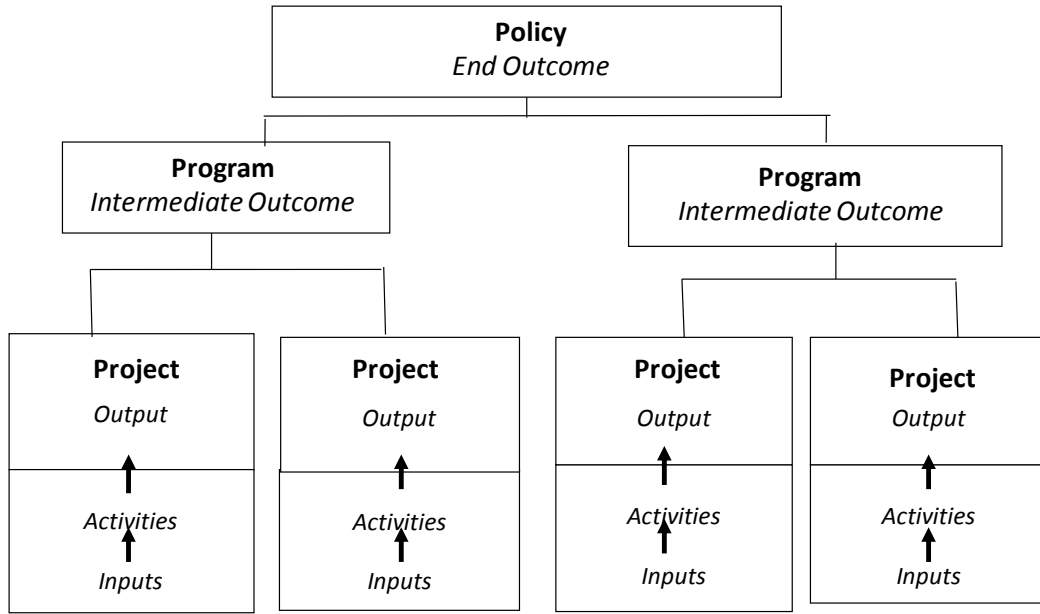
4. Levels of Evaluation and Policy Structure: Scope of Recognition and Scope of Assessment for Evaluation of Policies, Programs and Projects

While a policy structure should be evaluated, the concept of evaluation largely varies depending on at which level the policy structure should be evaluated. The concept and method of evaluation can be quite different depending on whether the focus of the evaluation should be on policies, programs or projects.

¹ In the world of evaluation, a problem in causal relationships at the planning phase of a project is referred to as a theory failure, and a problem in the implementation of a project is referred to as an implementation failure. Theory failure implies that there is/are a problem(s) in the chain relations between the objectives and the means to achieve the objectives of each policy, program or project, namely, a problem in the logic on which the success or failure of the portion of a plan that cannot be directly controlled depends, which portion of the plan covers the intermediate outcomes and end outcomes in the form of a change in a target group or the society, and implementation failure indicates that there is/are a problem(s) in the implementation of project activities that an implementer of the project can control throughout the process from inputs to outputs. It is important to distinguish the two types of failure and analyze them differently in their respective contexts.

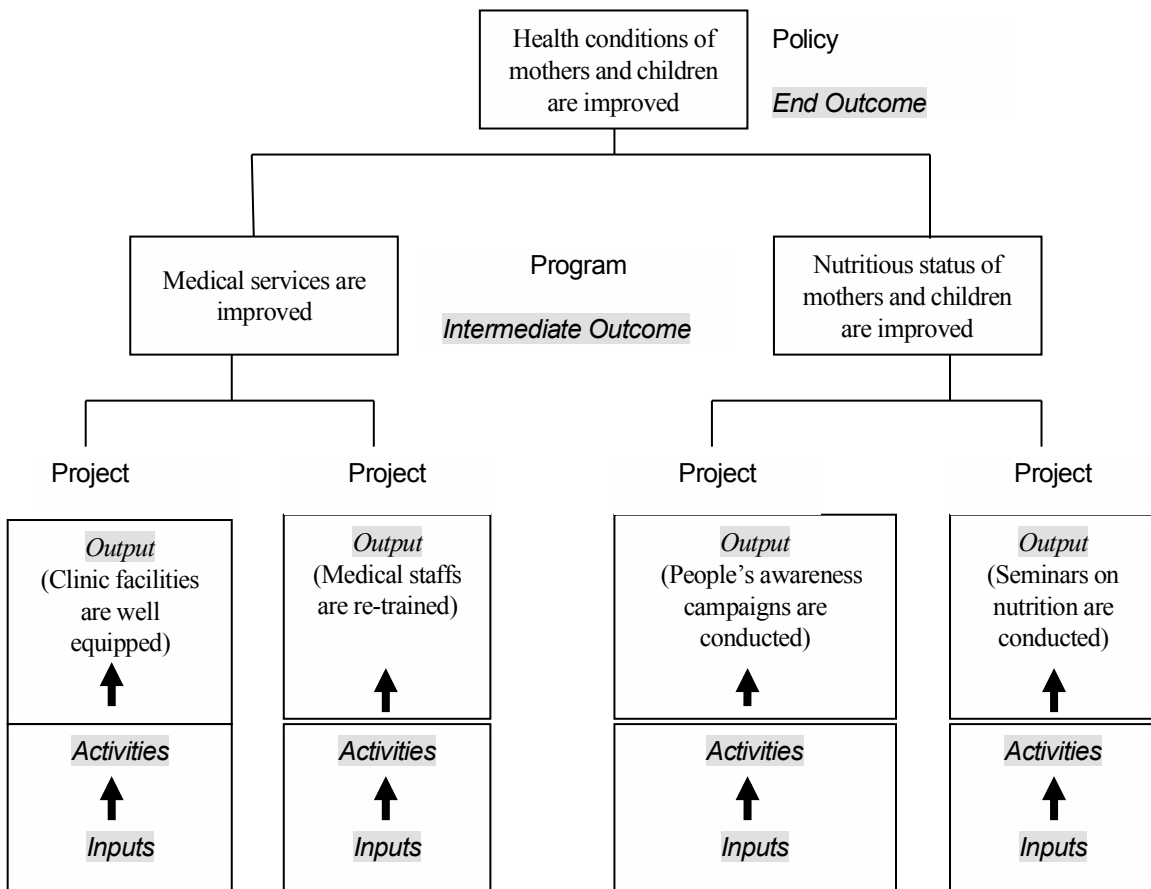
² Traditionally, in the evaluation of international coordination, a logical framework (LF) approach, including Project Design Matrix (PDM), has been used as a basic tool of evaluation through which points of evaluation can be determined and generalized into a concept of a program theory, namely a policy structure by relating to each level of strategic elements to be evaluated the five evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability) as defined by the Development Assistance Committee (DAC) of the Organisation for Economic Coordination and Development (OECD). However, LF and PDM are a project-oriented tool designed chiefly to evaluate the effects of a project on intermediate and end outcomes and, therefore, are not considered an ideal tool when intending to extend the evaluation beyond the level of a project to the level of a program or a policy.

Figure 1: Policy Structure



Source: The author

Figure 2: Example of Policy Structure and Logic Model



Source: The author

Figure 3: Program Theory Matrix

Policy End Outcomes	Program Intermediate Outcomes	Project		
		Outputs	Activities	Inputs
EOC	IOC1	OP1/1	A1/1	IP1/1
		OP1/2	A1/2	IP1/2
	IOC2	OP2/1	A2/1	IP2/1
		OP2/2	A2/1	IP2/2

Note: EOC, IOC, OP, A, IP stands for End Outcome, Intermediate Outcome, Output, Activity, and Input under respective policy structure.

Source: The author based on Miyoshi (2008)

Figure 4: Example of Program Theory Matrix

Policy End Outcomes	Program Intermediate Outcomes	Project		
		Outputs	Activities	Inputs
Health Conditions of mothers and children are improved	1. Medical services are improved	1.1 Clinic facilities are well equipped		
		1.2 Medical staffs are re-trained	<ul style="list-style-type: none"> • To carry out training courses • To develop training materials 	Trainers Training facilities
	2. Nutritious status of mothers and children are improved	2.1 People's awareness campaigns are conducted		
		2.2 Seminars on nutrition are conducted		

Source: The author

The evaluation of a policy or program should be started from outcomes and primarily focus on the assessment of the appropriateness of the allocation and combination of the outputs produced by the policy or program. On the other hand, the evaluation of a project is mainly aimed at assessing the effects of its outputs on the outcomes produced. There is a clear distinction between the evaluation of a policy or program and the evaluation of a project in terms of the scope of recognition of the subject to be evaluated and respective analytical elements. Therefore, in order to conduct a evaluation, it is essential to ensure that the scope of such recognition and analytical elements should be precisely defined with respect to each policy, program and project within the policy structure. Figure 5 is a program theory matrix that shows a conceptually categorized view of the scope of recognition and the scope of assessment applicable to the evaluation of the respective policies, programs and projects within a policy structure. Figure 6 is its example.

The difference in the scope of recognition between the evaluations of a policy, program and project comes from the difference of perspectives between a policy, program and project but is at the same time the hierarchical difference between the subjects of evaluation. Further, such difference in the scope of recognition is also related to the difference in the capacity to control to end outcomes, intermediate outcomes, outputs, activities and inputs. On the other hand, a policy structure is an expression of the intention of an administrative agency and can be materialized only when it is recognized as a chain of objectives and the means to achieve the objectives. However, not all administrative activities that constitute a policy structure such as a chain of end outcomes, intermediate outcomes, outputs, activities and inputs can be identified here. A policy structure can practically function only if it can be recognized at each level of policy, program and project and each of such recognition is harmonized with each other. Therefore, in order to define a policy structure, it is necessary to clarify how and by what mechanism each policy,

Figure 5: Policy Structure

End Outcome	Intermediate Outcome	Output	Activity	Input
EOC	IOC1	OP1/1	A1/1	IP1/1
		OP1/2	A1/2	IP1/2
Program	IOC2	OP2/1	A2/1	IP2/1
		OP2/2	A2/1	IP2/2
Policy				

Note: EOC, IOC, OP, A, IP stands for End Outcome, Intermediate Outcome, Output, Activity, and Input under respective policy structure.

Source: The author based on Miyoshi (2008)

Figure 6: Example of Policy Structure

End Outcome	Intermediate Outcome	Output	Activity	Input
Health Conditions of mothers and children are improved	1. Medical services are improved.	1.1 Clinic facilities are well equipped.	A1/1	IP1/1
		1.2 Medical staffs are re-trained.	A1/2	IP1/2
	2. Nutritious status of mothers and children are improved.	2.1 People's awareness campaigns are conducted.	A2/1	IP2/1
		2.2 Seminars on nutrition are conducted.	A2/1	IP2/2
Policy				

Source: The author

program and project are recognized by the respective organizations or administrative agencies in their actual activities.

In the following, we will discuss the issue of recognition in more detail. When recognizing a project, the perspective on recognition is basically focused on outputs. It may be easy to understand this question if you pay your attention to, for example, what goods or services have been produced from administrative activities of a local government, or what facilities or equipment have been created under a national project. In the case of a project, the recognition of end outcomes tends to be weak and, where the focus of recognition is placed on activities or inputs, the recognition of intermediate outcomes or results becomes also weak. A project is understood to be an approach to control inputs during a certain limited period and this understanding is consistent with the scope of the project being discussed here. Administrative activities are implemented, managed and produce goods and services and then, as a result of such process, beneficiaries who will be directly influence are recognized.

In the case of a program, its focus is placed on intermediate outcomes and, in order to achieve these intermediate outcomes, a project, namely a set of multiple outputs, is recognized. Then, the program's effects on the policy, which appear in the form of end outcomes, are recognized and, as a result of such recognition, a program is recognized. As regards activities and inputs, since it is difficult to recognize them all, the recognition of them becomes weak. Basically, the recognition of a program focuses on the question of through what projects or in what combination of projects the expected change in target groups could be realized; of particular concern in this respect would be the selection or combination of the goods or services produced from administrative activities.

When recognizing a policy, first, intermediate outcomes are recognized in terms of what policies should be adopted or what target groups should be selected to achieve end outcomes, namely the expected change in society. And then, outcomes are recognized in the viewpoint of what projects comprise the program. Recognition of projects becomes weaker, and recognition of activities or inputs becomes almost nil. The recognition can potentially involve political elements. Such recognition confirms the fact that a policy is discussed without reference to activities.

Evaluations of Policies, programs and projects will be performed on the basis of such recognitions as explained above. This means that generally a policy, program or project will be evaluated within the scope of the recognition relevant to each such subject of evaluation and thus the evaluation is subject to differences in the scope of recognition, or evaluation, of the respective policy, program or project within the context of the policy structure. Therefore, if you intend to conceptualize the subjects of evaluation in the evaluation of policies, programs and projects, you can cut off or separate the relevant part of the policy structure on the basis of the scope of recognition pertaining to the subject of evaluation and then visualize it in a matrix format.

When evaluating a policy, it is necessary to identify the chain relations between end outcomes as a goal and intermediate outcomes as the means to achieve the end outcomes and to consider appropriate allocation between them. This can be done using a matrix prepared for evaluation purposes. Through this process, it will be reviewed how the intermediate outcomes have been combined with the aim of achieving the end outcomes. Likewise, in the case of evaluation of programs or projects too, the chain relations between the objectives and the means of achieving the objectives and the allocation - the combination of means - will be reviewed within the scope of recognition relevant to each subject of evaluation.

5. Policy Structures and Localization, Decentralization and Model Project

This section provides explanations about the matters that are considered important for the clear defining of the policy structure to be evaluated and other matters concerning the issues of policy structures and their

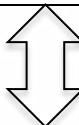
localization, decentralization and model projects. It should be noted that the results of an evaluation of the localization or decentralization of a policy structure or a model project under a policy structure can potentially be largely different depending on the appropriateness of the definition of the relevant policy structure.

5.1 Localization

Localization is a concept that should be considered in cases where the performance of a policy formulated at the national level must be aggregated at a local level or where the performance of a policy implemented at a local level must be evaluated at the national level. A policy formulated at the national level can be implemented only after the relevant policy structure established at the national level is localized to a policy structure at a local level. In other words, policies at different local levels need to be considered based on the same logic (Figure 7). Projects and programs are designed to achieve local level objectives. In the case of evaluation of a project, the project can be evaluated only after the inputs, activities, outputs, and the chain of their causal sequences, that may lead to the intermediate outcome (change of target groups at the local level) and the end outcome (change of society at the local level) can be clarified and thus the subject of evaluation can be precisely defined at the local level and therefore can be evaluated. As is natural, a policy of a country is formulated aimed at achieving the end outcomes contemplated by the country but it must be reviewed in consideration of end outcomes contemplated at local levels when the policy needs to be localized. This is because end outcomes at local levels may not be achieved without changing the inputs, activities, outputs or intermediate outcomes at local levels even if their policy structures remain the same as the national policy structure with respect to fundamental points.

Suppose that a certain country intends to formulate a national policy relating to a health sector and that the policy's expected end outcome is to improve the health condition of 5 million people. Under the policy, if local region I is aimed at improving the health condition of 300,000 people while local region II's target is to improve the health condition of 200,000 people, the programs and projects that the two regions will implement to achieve their respective goals may take different forms: for example, region I may promote a

Figure 7: Localization

End Outcome	Intermediate Outcome	Output	Activity	Input
Nation-wide: EOC- e.g. Improvement of health condition of 5 million people	<u>IOC</u>	<u>OP</u>	<u>A</u>	<u>I</u>
				
Region I: EOC-e.g. Improvement of health condition of 300,000 million people	<u>IOC-e.g.</u> Medical services are improved	<u>OP-e.g.</u> Medical staffs are re-trained	<u>A</u> To carry out training courses	<u>I</u> -Trainers -Training facilities
Region II: EOC-e.g. Improvement of health condition of 200,000 million people	<u>IOC-e.g.</u> Nutritious status of mothers and children are improved	<u>OP-e.g.</u> People's awareness campaigns are conducted	<u>A</u>	<u>I</u>

Source: The author

project to encourage periodic health examinations and region II may develop a project to improve the nutritional state of its people, thus in order to achieve their respective intermediate and end outcomes; or even activities under the same program or project may need to be changed depending on circumstances. This shows that local programs and projects can contribute to national policies only if the programs and policies to be implemented by relevant local agencies are well considered in the formulation of the national policies and so the changes that may be needed at local levels may be directly reflected in the national policies, which is also desirable from ownership's point of view.

Regarding the issue of evaluation, since in many cases the subject of evaluation is rather vague successes of individual programs and projects would seldom lead to successes at policy level, it is frequently argued whether the policies being formulated are really effective. To give a positive answer to such question, we need to define each policy structure in a clear manner both at the central government and local levels (prefectures and municipalities) and to review the individual policies implemented under the respective policy structure - this is the way a novel policy structure can be established.

5.2 Decentralization

Decentralization is similar to localization but is different in that each decentralized level is endowed with an independent authority and has its own role as part of a whole. A policy at a decentralized level is different from that of a national level in terms of roles relating to outputs or intermediate outcomes (namely, change of expected target groups). As an example, let's take the case of a policy for the construction of a road in which policy respective authorities and roles are divided between central and local levels. The outputs at the central level would be the construction of a national road or a road that serves a large area and those at a local level would be the construction of a road serving local regions, districts or villages; both the central level and local levels promote the same policy but beneficiaries are different. Further, it should also be noted that under a decentralized system each local level may establish its own policy structure based on the shape of the end outcomes it would expect.

On the other hand, it is potentially possible to formulate a policy structure that integrates the projects of both central and local levels on the basis of the perspectives of a specific local government but such policy structure can vary widely from region to region.

5.3 Model Project

In recent years, many projects have been developed as model projects. The concept of a model project is to create a model project, gain experiences and outcomes through the model project and apply such experiences and outcomes to other areas or projects on an extensive scale. Under the concept of a model project, the model project will be established at a pilot site selected after a careful screening, and experiences will be accumulated through activities within the model project. Then, the experiences gained will be reviewed and extended to other areas within the country under a policy reflecting such experiences.

However, there are many cases of model projects that have failed to extend themselves to other areas although a large amount of money have been invested and a policy structure itself has been created to promote the model projects. On the other hand, there are cases where the logic for the policy structure is inappropriate; for example, some of the projects set their intermediate outcome to establish a system or some of the projects set their end outcome to extend the model project to other areas. Such inappropriateness of the chain relations within a policy structure comes from the lack of awareness of the fact that to establish a system is to clarify the sets of chain relations between the inputs, activities and outputs of a project and that in order to extend an established system to other areas an independent policy structure designed primarily to promote the extension is required.

In order to avoid the risk of formulating a policy structure involving inappropriate model projects and to establish models of model projects, it is essential to create and carefully examine a policy structure that promotes model projects whose end outcomes are to achieve a change in the society for which the model projects are responsible, and at the same time to assess the structure in comparison with the current policy structures relating to the relevant model projects of the local levels to which the model projects are intended to be extended. It is important to note that the evaluation of a model project becomes possible only after an appropriate policy structure for the promotion of the model project has been firmly established.

6. Summary

We have discussed the scope of recognition applicable to policies, programs and projects, the concept of evaluation of policies, programs and projects, localization, decentralization, model projects and aid coordination, in relation to policy structures.

In summary, table 1 shows the characteristics of policy evaluation, program evaluation and project evaluation. The implementation of policy evaluation and program evaluation is not an extension of project evaluation. It requires that all of the issues of the scope of recognition, main perspectives of evaluation and method of intervention should be properly changed. Therefore, it is important to note that, in order to facilitate policy and program evaluations, it is not enough to discuss the methodology of evaluation but it is also necessary that stakeholders themselves, such as aid agencies, should change.

As regards policy evaluation and program evaluation, it will be possible, with the use of a program theory matrix (PTM), to consider the issues of awareness of agencies about the policies, programs and projects to be evaluated, localization, decentralization, model projects and aid coordination, based on agencies' own policies or strategies or multiple projects with specific objectives or goals.

Table 1: Characteristics of Policy Evaluation, Program Evaluation and Project Evaluation

	Policy Evaluation	Program Evaluation	Project Evaluation
Scope of recognition	Focusing on end outcomes (change in society as expected). Intermediate outcomes (which are the selection and combination of target groups expecting the change in society) must be recognized. With respect to the recognition of results (as produced in the form of goods or services), it would suffice if they can be recognized as a means to achieve the intermediate outcomes.	Focusing on intermediate outcomes (change in target groups expecting the social change). The selection and combination of results (goods and services) as a means must be recognized. With respect to the recognition of end outcomes, it would suffice if they can be recognized as the objective of the program.	Focusing on outputs (goods and services). Activities and inputs will be recognized as the implementation of a project. Intermediate outcomes and end outcomes are the project's effects.
Responsibility	Examination of the expected change in society and selection of target groups.	Examination of the target groups expecting the change and selection and combination of the projects.	Implementation of the project and production of outputs (goods and services).
Main points of evaluation	Relevance and impact	Relevance and effectiveness	Efficiency
Aid intervention	Provision of advice on the selection of target groups and provision of technical coordination (such as researches and investigations) and necessary funds.	Provision of advice on the selection and combination of projects and provision of technical coordination (such as researches and investigations) and necessary funds.	Intervention with respect to the implementation of the project and the production of the outcomes (goods and services).
Aid coordination, regional development and model projects	Sharing of end outcomes to be supported and allocated roles toward intermediate outcomes.	Sharing of intermediate outcomes to be supported and allocated roles in the project.	Allocated roles for the implementation of the project.

Sources: The author

Box Policy Structure and Aid Coordination

In an effort to produce better outcomes, the concept of aid coordination³ has been put forward by aid agencies. The aid coordination is designed 1) to improve understanding of other development organizations' aid policies and strategies and share relevant information, 2) to have the objectives and priorities of policies, programs and projects in common between development organizations, and 3) to support or implement programs or projects in coordination or jointly with other aid countries. An aid coordination can be effective if the participating aid agencies share the roles in the aid function at all levels of policies, programs and projects based on the policy structure of the aid recipient country (partner country). There can be many variations of means to play shared roles such as the coordination in producing common outcomes based on respective responsibility, coordination in providing budget support to achieve end outcomes, contribution by supporting intermediate outcomes, or contribution to achieving outcomes at the national level based on a national policy that integrates the programs and projects implemented in different regions.

Like the case of an intervention in a policy, the intervention by a development organization in a program of a developing country would typically be made in respect of planning, implementation and evaluation. The intervention in respect of planning would include technical coordination such as making a master plan and would be made mainly concerning the selection of objectives, namely intermediate outcomes and outputs resulting from the intervention which is a means to achieve them. This intervention can also take the form of support for the designing of institutional arrangements or legislation as with the case of intervention in a policy. With respect to the implementation side, the intervention may take the form of financial support to help the implementation of the respective programs, usually with a pool of funds made available to support policies or the common funds as seen in sector wide approaches (SWAPs).

On the other hand, while development organizations have their own policies, if their intermediate outcomes, namely their target groups, are the same, it would be possible for them to set their sights on bringing a change in society as their end outcomes if their outputs can produce the same change of target groups even if the outputs are produced through activities under their individual policies. Following this way, it is possible for development organizations to expect a larger change than the change they can expect when they act individually as a single agency and repeat their projects under a single-handed initiative as has often been the case in the past.

Whether we can evaluate various aspects of aid coordination in an appropriate manner depends on whether we can systematize the aid coordination to be evaluated based on a specific policy structure. To this end, it is essential for us to understand and systematize the characteristics of the policy structures of both of the development organizations and partner countries and formulate the policy structures in a manner suitable for evaluation.

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³ There are two types of aid coordination: one is the coordination between aid agencies and the other is the coordination by aid giving countries with the aid recipient countries with regard to the policies of the aid recipient countries.

10

Participatory Evaluation for Rural Development Management

Cindy Lyn Banyai
Refocus Institute

1. Significance of Rural Development

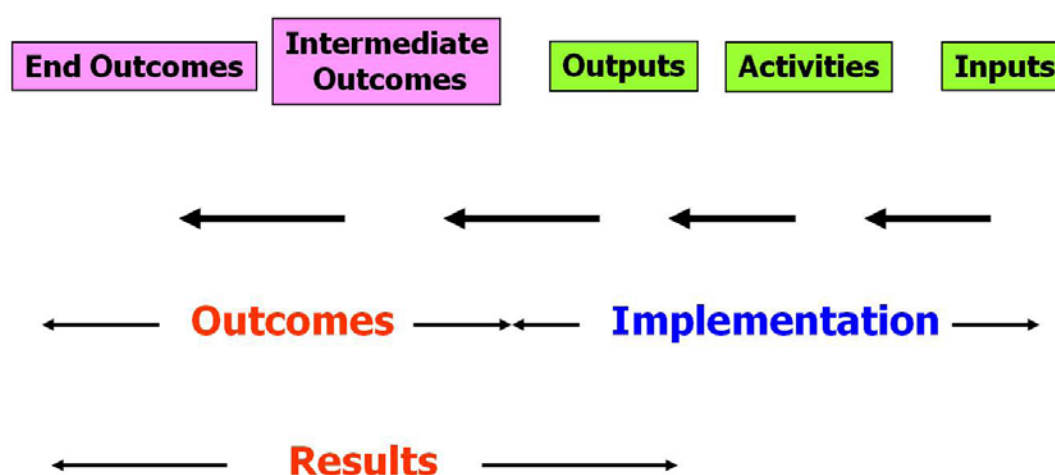
There are 1.4 billion people living on less than USD 1.25 a day and two-thirds of those in poverty live in rural areas in developing countries (International Fund for Agricultural Development [IFAD] 2010: 8). The bulk of impoverished people reside in rural communities (IFAD 2001: 2) and this calls for greater attention to those areas in order to achieve development and poverty alleviation goals (Cling 2002). Fortifying rural economies has benefits greater than improving the lives of the people in rural communities; it can contribute to food security and the reduction of rural-urban migration, thus reducing urban poverty and related issues (IFAD 2001: 2; Sachs 2005: 232).

2. Policy Management

Understanding that there is a need to give attention to rural development is the first step. Organizing effective policy to meet the demands of rural development is the second. Creating a policy to address issues in rural development requires the consideration of not only inputs and activities, but also their linkages to desired changes. Articulating a policy using a logic framework ensures that there is a progression in the formation and implementation of a policy to reach overall and preliminary goals.

Reading from left to right, the logic framework starts with end outcomes, which represent the desired change in society (Miyoshi 2008: 3). It is important to start with the end outcome because knowing the ultimate goal of a policy helps to frame the entire structure. The framework then moves on to intermediate outcomes, which are the desired changes in the target groups of the policy, program, or project (Miyoshi 2008: 3). The end outcomes and the intermediate outcomes combine for the overall outcomes for the policy.

Figure 1: Logic Framework



Source: Miyoshi 2008; based on JICA 2004

The outcomes cannot be controlled directly through the plan, but are the logical results of the plan outlined on the right of the framework.

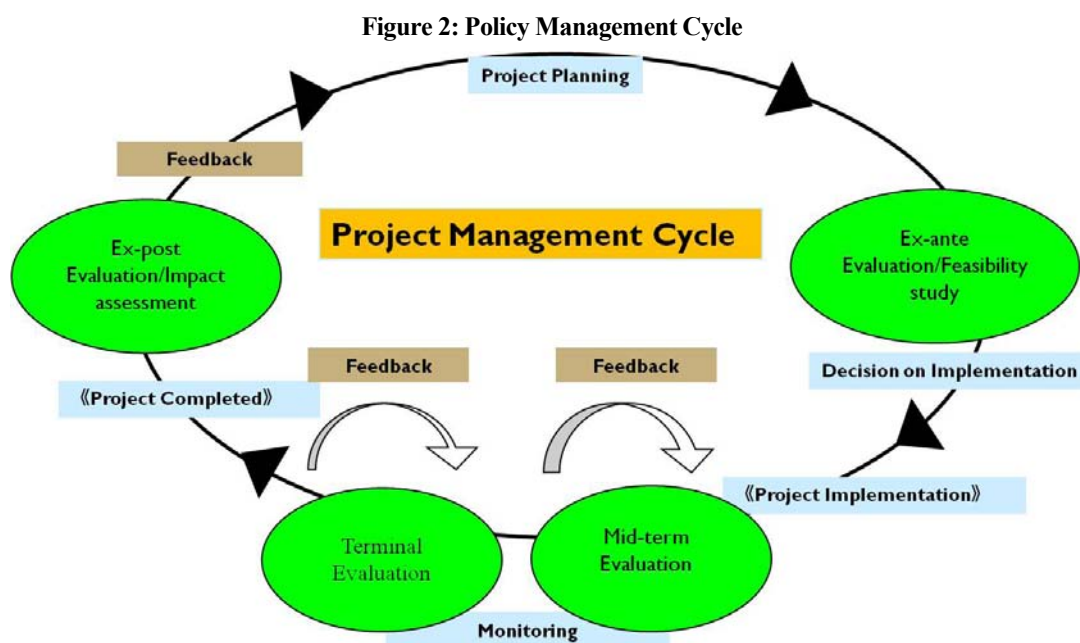
The outputs are the goods and services resulting from the activities that are executed using inputs such as human and material resources, operating funds, facilities, capital, expertise, and time (Miyoshi 2008: 3). These can be described as the implementation or administrative activities of a policy, program, or project. The implementation of a policy, program, or project can be directly controlled through administrative activities and should logically lead to the desired outcomes. The outputs and the outcomes collectively can be described as the results of a policy, program, or project.

Once policy is established and outlined in a logic framework it can be managed through consistently following the policy management cycle, which incorporates planning and evaluation into routine administrative activities.

The management cycle is a way to articulate the necessary and continuous steps in policy management. The cycle starts with the ex-post evaluations, evaluation at the completion of a policy, program, or project (Miyoshi 2008: 9), and the feedback on previous policies, programs, and projects related to an initiative. The initial stages of policy planning come next. The cycle moves through a series of preliminary assessments of the proposed policy, culminating in a full ex-ante evaluation, evaluation commenced before the implementation of a policy, program, or project (Miyoshi 2008: 9). Based on the results of the ex-ante evaluation, a policy is implemented, abandoned, or reformulated. After a policy has been implemented, a schedule of mid-term and terminal evaluations, also known as monitoring (Miyoshi 2008: 9) for its various projects and programs is decided upon followed by an ex-post evaluation, which then leads back to the continuation of the policy, as well as the creation of new policies.

3. Evaluation

Evaluation is of the utmost importance to improve policy structure effectiveness and increase transparency. Evaluation also plays a crucial role in developing the capacity of relevant parties involved in a policy structure, as well as to create ownership of such policy structures through a participatory and local process (Miyoshi and Stenning 2008). Furthermore, incorporating participatory evaluation methods at the local



Source: Miyoshi 2008

level by having local stakeholders as active participants in evaluation, not merely as disempowered subjects or information-givers (Miyoshi and Stenning 2008), can make evaluation even more impacting and effective.

Participatory evaluation goes beyond a mere examination of facts and outcomes related to economic aspects of a community, but becomes a process of information sharing in which all stakeholders benefit from both the results of the evaluation, in future planning and implementation, and the process of evaluation as a capacity building exercise (Miyoshi and Tanaka 2001). Involving local stakeholders in the process of evaluation also empowers them through ownership of the process and information (Fujikake 2008: 2; Vernooy, Qiu, and Jianchu 2003: 24).

4. Participatory Action Evaluation

The word evaluation often evokes images of statistics, forms, and official judgments. These images often lead to a fear of evaluation, which ultimately reduces its usefulness and can interfere with the collection of true and valuable information (Weisman 1998: 156). This atmosphere surrounding evaluation can be changed if evaluation is seen as a tool for local practitioners and community actors to improve policies and projects that affect them, which in turn empowers the community and leads to more effective policies.

Participatory action evaluation (PAE) uses non-traditional media such as participatory photography or video, metaphor drawing, dramatic interpretation, or collaborative art in group projects with an evaluative objective. This is a qualitative approach to theory-driven evaluation that incorporates concepts from action research and collaborative inquiry through the media of group work, and public exhibition. The major themes of PAE are:

- 1) the need to recount actual details, experiences, and stories;
- 2) emphasis on the process, not the outputs;
- 3) providing voice to stakeholders or other groups; and
- 4) practical utility of theories and information.

PAE is defined as the systematic collection and assessment of information related to the outcomes, operation, or process of a policy structure, organization or relationship that incorporates stakeholders in the entire process actively through a collaborative project. Participants of PAE determine the research questions and indicators through group discussion, then engage in an activity to interpret and express their response to the questions and indicators.

PAE incorporates ideas from participatory evaluation and action research. This combination provides for a useful management tool and a beneficial community intervention (Jackson and Kassam 1998: 9; Small 1995: 949). Both action research and participatory evaluation:

- 1) gather data (Weiss 1998);
- 2) focus on a specific task (Patton 2002: 221; Friedman 2006: 134; Ladkin 2006: 482; Small 1995: 942);
- 3) involve discussion and consensus building for outcomes (Friedman 2006: 135; Fults 1993: 86; Small 1995: 946);
- 4) promote learning and knowledge sharing (Bogenschnieder 1996: 130; Friedman 2006: 132; Jackson and Kassam 1998: 2; Patton 2002: 179; Thurston, Farrar, Casebeer, and Grossman 2004: 481);
- 5) promote ownership of policy initiatives (Jackson and Kassam 1998: 2); and
- 6) have the belief that local people have valuable knowledge (Bogenschnieder 1996: 132; Heron and Reason 2006: 144; Razafindrakoto and Roubaud 2002: 127-128; Smith 1999: 12-14).

While these approaches have some common ground, they differ on their outcomes. Participatory evaluation is a management tool that aims for policy improvement and has community capacity building as an added benefit. While action research can be used to gather data of any sort for any reason, as long as there is active participation and benefits for the participants.

PAE is a concept-driven evaluation, meaning that there is a broad theoretical framework that guides the evaluation, rather than simply a toolbox methodology. Having the group interpret the theory of the policy in question through logic modeling will help them to take ownership of the concept through the group process (Mendis-Millard and Reed 2007: 543).

In traditional evaluation there is typically an evaluation practitioner: an external expert that instructs and conducts the evaluation. The PAE convener organizes the evaluation and facilitates its process. The National Democratic Institute describes a facilitator as “someone who helps a group of people understand their common objectives and assists them to plan and achieve them without taking a particular position in the discussion (National Democratic Institute [NDI] 2009: 22).” The facilitator can be an internal or external stakeholder in the evaluation; the role is not superior to any of the other evaluation participants.

The job of the facilitator is to introduce the related concepts, to encourage discussion between the participants, to guide the group to consensus on the evaluation design and implementation while generally following the cycles of action research (see also Heron and Reason 2006: 151). The facilitator helps to create openness in the group to ensure all voices are heard (Gibson and Woolcock 2008: 177), allows the participants to take the lead (Small 1995: 944), and helps to empower local people through the process by not imposing themselves as an external expert (Dobbs and Moore 2002: 159; Park 2006: 84; Weisman 1998: 156). A leadership role is still taken by the facilitator; however, there should be awareness and flexibility on their part (Ladkin 2007: 485), particularly as co-creators of knowledge (Mendis-Millard and Reed 2007: 556).

Evaluation groups of six to twelve participants ensure that the size is manageable, but a variety of characters and experiences are included (Heron and Reason 2006: 151). A PAE meeting would follow this general pattern:

- 1) welcome and introductions;
- 2) introduction of evaluation objective;
- 3) participants discuss evaluation objective in pairs;
- 4) floor is opened for questions and discussion, leading to possible modifications of the evaluation objective;
- 5) introduction to action evaluation;
- 6) discussion in pairs on concept and potential projects;
- 7) whole group discussion on action evaluation process and decision on project;
- 8) practical discussion: number of cycles, dates, times, venues, financial and other commitments (when, how, and of what will be filmed, as well as the topic and format of the video);
- 9) clarification of criteria for joining the inquiry group (i.e. money, time commitments);
- 10) self-assessment exercise in pairs, individuals use the criteria to assess whether they wish to include themselves in project;
- 11) participants declare their intention to join;
- 12) wrap-up (based on Heron and Reason, 2006, pp. 151-152).

This basic agenda is then used at each subsequent meeting with each meeting's objective or step in the project replacing the discussion on the evaluation objective and PAE. The important process to maintain is small group work and large group discussion. This will ensure that all participants have ample time to express themselves. The second meeting should include logic modeling, question generation, indicator

selection, and further logistical development and execution of the project. The topic of subsequent meetings will be determined by the process and project of the group.

The knowledge that is gained through PAE is not limited to narratives, descriptions or visuals of a particular situation, but rather includes learning on various levels. Participants benefit from the process by predicting and setting their own goals (within the project itself), measuring outcomes (of the project and the target of their evaluation), comparing the results with their predictions, and recommending or pursuing a course of action in relation to their findings (Fults 1993: 88; Jackson and Kassam 1998: 3; Rietbergen-McCracken and Narayan 1998: 192). Furthermore, the interaction that participants have allows for joint learning between them and an exchange of ideas in the re-casting of shared situations and events (Lykes 2006: 273; Mendis-Millard and Reed 2007: 550-551; Vernooy et al. 2003: 24).

5. Participatory Action Evaluation Trial Case

A case study can be defined as “an empirical inquiry that investigates a contemporary phenomenon within its real-life context (Yin, 2003: 13).” The participatory video project of Pagudpud gathers data on the implementation and impacts of participatory action evaluation. This case tests the real-life applicability of the method design, as well as observes the process of its implementation and the outcomes that it generates (Becker and Ragin 1992; Ragin 2000).

Data was gathered through participant observation (Harper 2001), as well as through unstructured interviews and group discussions (Patton 2002: 342). A case study approach was selected because the method under inquiry requires groups of people to reflect on ways of improving what they are doing or understand things in new ways (Patton 2002: 179). This can best be done through a case study.

For this case study, community capacity building is the driving concept of the evaluation. The concept was introduced and discussed as a part of the PAE, thus providing the framework that guided the group’s evaluative works and discussions. It is important to evaluate community capacity because it is related to the ability of a community to attain positive outcomes (Chaskin, Brown, Venkatesh, and Vidal 2001) and leads to economic development (Gobar 1993: 23) and successful local policies, including poverty alleviation.

5.1 Case Trial Work Plan

The purpose of the project was to learn how people in Pagudpud view their community, to introduce and contextualize the concept of community capacity, and to encourage community members to think critically about the situation and events in their community. The overall intention of this project was to develop the new research methodology of PAE. These purposes and intentions were conveyed to the project participants.

The initial schedule was designed to reflect the cycles of discussion as described by Heron and Reason (2006), and included the initial concept discussion that is crucial for a concept-driven evaluation (Miyoshi and Stenning 2008) and the integration of non-traditional media (Harper 2001: 10).

The first meeting agenda was established as follows (based on Heron and Reason 2006: 151):

- 1) Welcome and introduction of facilitators and potential participants
- 2) Questions/Discussion
- 3) Concept presentation
- 4) Discussion of concept in pairs
- 5) Group discussion and questions
- 6) Decide on themes for video
- 7) Discussion in pairs on plan and desire to join project
- 8) Wrap-up and good-byes.

This agenda reflects the crucial introduction of the intended methods and the cycles of discussion. By constantly asking the group for their reactions, questions, and opinions, the facilitator can avoid totally dominating the discussion and can instead lead the group to discussion. Asking the group to discuss possible themes and subjects for their video was based on Lykes (2006). It is very important to allow the group dynamic to take precedence over the course of the meeting with as little interjection by the facilitator as possible (Heron and Reason 2006).

The proposed agenda for the second meeting of the video group progresses in much the same way as the first, only this time the actual video the group took is used as a discussion stimulus. Additionally, this agenda includes work in pairs, which allows for better and more in-depth discussion by the participants, giving all participants ample opportunity to express themselves.

- 1) Questions and discussion on experience taking video
- 2) View video
- 3) Discussion on experience in pairs
- 4) Choose notable clips for group discussion
- 5) Record individual and collective accounts and feelings based on the images in advance of public presentation
- 6) Wrap-up and good-byes (based on Heron and Reason 2006).

In advance of the Pagudpud case, a Power Point presentation was prepared to train the local facilitators and guide the first meeting of the video group. The Power Point presentation followed the outline of the agenda and also included the objectives, the purpose of the project, an introduction to action research and collaborative inquiry, and the concept of community capacity with some accompanying cases from Japan (based on previous research conducted by the author). Following the introduction of each concept a few questions for discussion were presented.

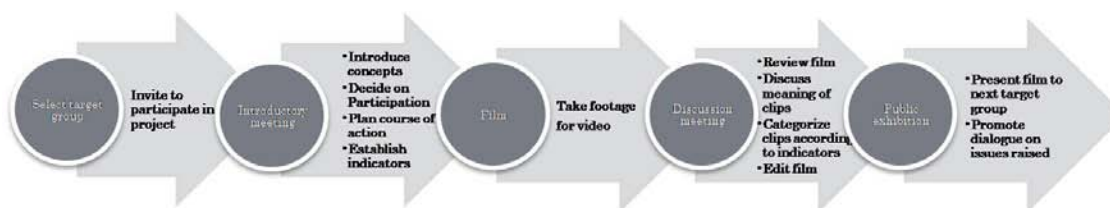
The concepts and theories behind action research with video and community capacity are complicated and employ very specific terms that may not be familiar to people outside academia. For this reason, it was necessary to break the concepts down to their essence so that they could be easily understood and used by the participants (Small 1995: 943). This was done by recasting the terms in everyday English language for the initial presentation of the concept, as well as having the participants conceptualize and discuss the terms in their native language of Ilocano.

The concept of action research is framed as a way to learn together and was communicated in the slide presentation as “learning by doing on the part of the researcher and the participants.” Additionally, the idea of power through knowledge was introduced by stating that the point of PAE is to “contribute to empowerment and social change through the dissemination of information.” The group members were also encouraged to express themselves creatively.

The next concept that was presented to the group was collaborative inquiry. The main point is to reinforce the idea that the goal of the project is to hear from the participants. A slide entitled “hearing from you” emphasizes two main points of collaborative inquiry: 1) to understand your world and develop new and creative ways of looking at things and 2) to learn how to act to change things you want to change and to find a better way to do those things.

The next slide on collaborative inquiry is called “seeing each other as equals” and notes “good research is research conducted with people, not on people,” which will help the group better understand their roles and the value of their input. The following slide notes “You can do it! We can do it!” and implores the idea that the opinions of the group and their ability to work out ideas and create things together is important.

After the presentation of these twin concepts, there is a slide with some questions asking the group their feelings about the concepts presented, as well as their personal understanding of them. This allows the

Figure 3: PAE, Participatory Video Process

Source: The author

group some time to discuss and reflect upon the concepts so that they can begin to gain ownership over them, contextualize them, as well as to give the participants some time to decide if they would like to continue their participation in the project.

The concept of community is introduced next using a star diagram that highlights the important actors in a community including the residents, local administration, institutions, civil society, and private businesses. The discussion after this concept is very important because it allows participants to contextualize what community means to them and other members of the group.

Community capacity is the next concept introduced. Its definition was further abridged for the evaluation to state that “community capacity is the ability of a community to act by using the assets and resources they have.”

The formal definitions of the community capacity attributes are presented, as well as more simplified versions of them. Sense of community is described as “belonging, building, and being together.” Commitment is said to be “responsibility and participation.” The ability to set and achieve objectives is “thinking of what you want and how to get it.” While the ability to recognize and access resources is “using what ya’ got and getting what you need.” These summations of SCOR (S – a sense of community, C - commitment, O - the ability to set and achieve objectives, and R - the ability to recognize and access resources) better communicate the ideas to the people of Pagudpud. A group discussion on the concepts follows their introduction.

Members of the community were invited to view and discuss the video in a final public presentation. During this presentation, the project participants are asked to discuss the video with the new viewers, as well as amongst themselves. It was hoped that the exhibition would further promote dialogue on the concepts (Bleiker and Kay 2007: 157; see also photo elicitation, Harper 2001: 16), expand the project to another level, and stimulate further discussion on the issues at hand throughout the community.

The schedule and the conceptualization of the project reflect the process of participatory research, research, education, and action (Small 1995: 943). The research here is the discussion amongst the participants on the concept and their reflections on the video. The action is the making the video and the public exhibition. The education is the results of the knowledge created and shared during discussions and the presentation, as well as the skills and capacity that are developed through the process of the project.

5.2 Participatory Action Evaluation Trial Summary

The video and the process of making it contributed visually to the understanding and contextualization of the concept of community capacity for the participants. Furthermore, many of the themes found in other analyses of community capacity are supported by the PAE, such as the recognition of local natural resources. However, the cultural importance of rice became more apparent through the time that was devoted to it in the video. This speaks to the ability of PAE to provide voice and emphasis better than

surveys and perhaps even better than interviews, where respondents have the tendency to merely list resources instead of explain their significance.

Through the video, much more of the identity of the community was discussed and discovered. This was something that was otherwise difficult to craft questions about in surveys and interviews, as well as being difficult for respondents to articulate. However, through the video, the importance of values, local customs, and traditions, such as *samberga*⁴ were easily portrayed.

As with the other analyses, it was difficult to uncover the true commitment of the community. In the other traditional forms of research conducted in the community, many respondents merely answered questions related to commitment and responsibility affirmatively, perhaps in an attempt to cast the community in a positive light. The PAE did provide some insight into the participation of local people in their community and further solidified the importance of the local concept of *bayanihan*⁵, which had only been touched upon in other analyses.

The ability to set and achieve objectives was aptly represented in the video and supported the results from other research methods in showing that the local government often takes the lead and is very active in providing services to its citizens. However, the PAE showed the activities of local people outside of the government, such as the hotel in the coastal area of Balaoi, the canal improvement, and building houses and basketball nets. This helped to better show the kinds of activities that are being undertaken by community members and the objectives that are important to people.

Overall, the value of the PAE as both a complement to other community capacity analyses and to provide further insight to the community can be clearly seen. The new information gathered on the community, and the process of the group, make the PAE an interesting evaluation method that benefits the community.

The participants who remained throughout the duration of the project enjoyed and gained from their experience. Furthermore, the message of valuing local resources, building community pride, and providing voice resounded with the participants.

To elaborate on the results and analysis of the facilitator (author) a feedback questionnaire was submitted to participants. The interview guide was constructed following advice offered by Patton (2002) for unstructured interviews (342) and building an interview guide (343). The follow-up questionnaire was designed to help gauge not only the interest participants and attendees had in the project, but also some ways that the project can be improved. The last question of the survey is open-ended in an attempt to elicit responses that cannot be predicted and to allow the participants an opportunity to say anything they wish, further promoting their voice and ownership of the project. Not all of the participants responded to the questionnaire, thus limiting the quality and breadth of feedback and the question of what could be better is not specific enough, often rendering answers about what could be better in the community instead of the desired response about the project.

It can be seen that most respondents enjoyed participating in the project. One of the participants, an elementary school principal, stated “I enjoyed watching every bit of the video and understood better the situation of Pagudpud and felt a sense of pride of being one in the community.” Other respondents concurred and stated that they enjoyed the “photo taking, adventuring, [and] meeting with God’s gifts – nature and man.”

The group enjoyed viewing and taking the video footage, as well as interacting with the people in their community and the events and resources there. Another participant, a local community leader, specifically commented that he “enjoyed taking video footage roaming around the community.”

⁴ Traditional method of rice cultivation and preparation

⁵ Cultural term meaning to work for one another without pay

Group respondents to the follow-up survey said they learned about their community, working together with others, communication skills, and the importance of their local resources and traditions. The community leader commented on what he learned from this project. He said, "The primitive way of life is a tradition need not to be neglected but to be preserved as a foundation of development." The principal responded, "I learned the art of questioning to come up with specific responses. I also learned the sense of cooperation and camaraderie."

Participants were encouraged to provide feedback on ways to improve future projects. More time, organization, assistance, and funds were noted. The principal said that she would have liked even more shots of the community and its people, while the community leader would have liked more time and organization, and another respondent said that more funds for the project were needed.

Most of the respondents of the video presentation surveys enjoyed participating in the public forum. Viewers felt that the video accurately portrayed their local way of life, culture, and the natural beauty of Pagudpud. One of the free responses indicated this: "The picture on the video had totally depicted the culture we have!!"

Some respondents made reference to the introductory presentation on community, community capacity, and information sharing and knowledge. The general tone of the responses indicate that many of respondents left the exhibition with positive thoughts about their lives and community, as well as information about areas that they would like to see better developed. One respondent said, "I think this is an effective tool because in every video it shows that we should not lose hope to success." Another respondent spoke to the usefulness of the PAE "The project will help the youngster to think many more ideas that will make our town more progressive." Other responses indicated feelings of pride, being "warm hearted", and happiness.

In the additional comments, many people remarked on areas of their community that they would like to see more progress, the things they think the local government and the people should do, as well as the impression that the video had on them. The video impacted one respondent, particularly eliciting the following quotation in the free response question: "I like this video because I learn a great lesson in my life and this lesson will serve as my inspiration to achieve my dream in life." Another respondent was equally moved: "For me, this project has a great impact to us, as students and community people. I think the project aims to motivate us and give more power to us through knowledge gained..."

During the presentation itself, many people in the crowd participated in the public discussion. However, since many people viewed the questionnaire as going to directly to me, they felt the need to respond in English, which may have contributed to the low number of respondents.

Commenting on the impact of the photo exhibition overall, one respondent said: "The photos make us interpret about the cultures and livings of Pagudpud. How we live, how we work hard just to live enough. How we innovate simple things using our minds just to turn simple things to valuable ones. How we lead and manage the community to make a more stronger and a more working community."

The public exhibition enabled empowerment by putting the group members in the center of attention as the ones to guide their fellow community members through the group process and lead the discussion through their video. It is at this point that empowerment makes the leap to leadership development, as those involved with the project gain confidence and start to take initiative on issues that affect them within the community, sparking dialogue with others to create change. This kind of activity and discussion within the community builds its capacity.

The diverse groups that participated in the forum provided interesting and varied feedback. However, a smaller, more intimate group would probably have provided for more in-depth conversation, possibly more critical in nature. The organization of the forum was *ad hoc*, but the process and results were positive.

More planning would lead to more effectiveness. Patience and perseverance on the part of the exhibition conveners is important in this context.

6. Evaluation as Participation

The importance of rural development to poverty alleviation, food security and global prosperity is evident. It is also recognized that rural development cannot, and has not, been successful without community and stakeholder participation in the policy management process. Evaluation is an important part of the policy management process (Japan International Cooperation Agency [JICA] 2004), one that is becoming increasingly more understood as integral. With this understanding of the processes necessary for rural development policy management using evaluation as participation mechanism seems facile and expedient.

Evaluation should be moved out of the realm of administrative task keeping to an interactively participative activity. Participatory evaluation brings citizens and stakeholders together in the policy management process resulting in true participatory governance. PAE goes a step further by providing an engaging medium through which participatory evaluation takes place. Rural development programs that use participatory practices have a higher probability of meeting desired outcomes because they actively involve those they wish to help.

* **This chapter is a revised version** of “Banyai, C. L. (2011). Participatory Evaluation for Community Capacity Development: Theory-Driven Approach, in Miyoshi, K., Banyai, C. L. and Okabe Y. (Ed.), Proceeding of the First Roundtable Discussion for Rural Development: A More Strategic and Participatory Approach for Rural Development, Feb. 14, 2011, Ritsumeikan Asia Pacific University.”

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11

Designing Participatory Evaluation for Community Capacity Development: Theory-Driven Approach

Koichi Miyoshi and Naomi Stenning
Ritsumekan Asia Pacific University

1. Introduction

Despite significant economic development in many countries rural populations have been left behind and continue to find it difficult to compete with urbanized areas and achieve real improvements in living conditions. The persistent impoverishment of these rural communities around the globe requires a shift away from the conventional economic-centered approach to development. An alternative development is called for. In order to benefit rural communities, an alternative approach to development is grounded in reality and is holistic in its view. It takes into account not only the economic and formal (market) aspects of life but also acknowledges the social, political and informal realms.

Participatory evaluation has the power to cause changes in society, and therefore affect development, through the influence of the evaluation process on participants in the evaluation (Miyoshi & Tanaka 2001, Minamoto 2008). However, the majority of participatory evaluations are still lacking in terms of theory. Evaluations that are not theory-driven tend to be method-oriented, or 'black box' evaluations (Chen 1990). These usually focus on one of either experimental or naturalistic methods, but in both cases there is a distinctive lack of theory (Chen 1990). Chen strongly emphasized the importance of theory in evaluation conceptual frameworks for more systematic identification of stakeholders' need, selection of an appropriate approach and feedback into action (Chen 2005). Rogers *et al* attribute the use of theory to guide evaluations as resulting in a clearer understanding of why programs work or fail to work, allowing the attribution of certain outcomes to a program, and improving the program in question (2000). This is also true for participatory evaluations. Without theory on which to be based, participatory evaluations are vague and ambiguous and will probably fail to identify the important questions to be asked in the evaluation. This in turn makes it difficult to achieve the sought after changes in the evaluation participants and therefore desired societal change and development.

The authors argue that in order to conduct a participatory evaluation that responds to the need for an alternative development approach in rural communities, a theory-driven participatory evaluation is required. Through the integration of a community capacity and community policy structure theoretical model into participatory evaluation, evaluation participants are able to formulate questions purposely aimed at identifying, clarifying and improving both their capacity and the specific community policy structure in question. By asking the right questions in a participatory evaluation, a change in the consciousness and behavior of the evaluation participants is possible and, in turn, a positive change in society is achievable. Being able to ask the right questions is contingent upon having an appropriate guiding theoretical framework and concepts.

This article describes a theoretical model (community capacity and community policy structure model) to be used in participatory evaluations aimed at bringing about an increase in community capacity. Participatory evaluation design for stimulating community capacity development is also discussed. In order to illustrate that the model and evaluation design are practical and operational, a potential participatory evaluation design for community capacity development is then presented as a case study.

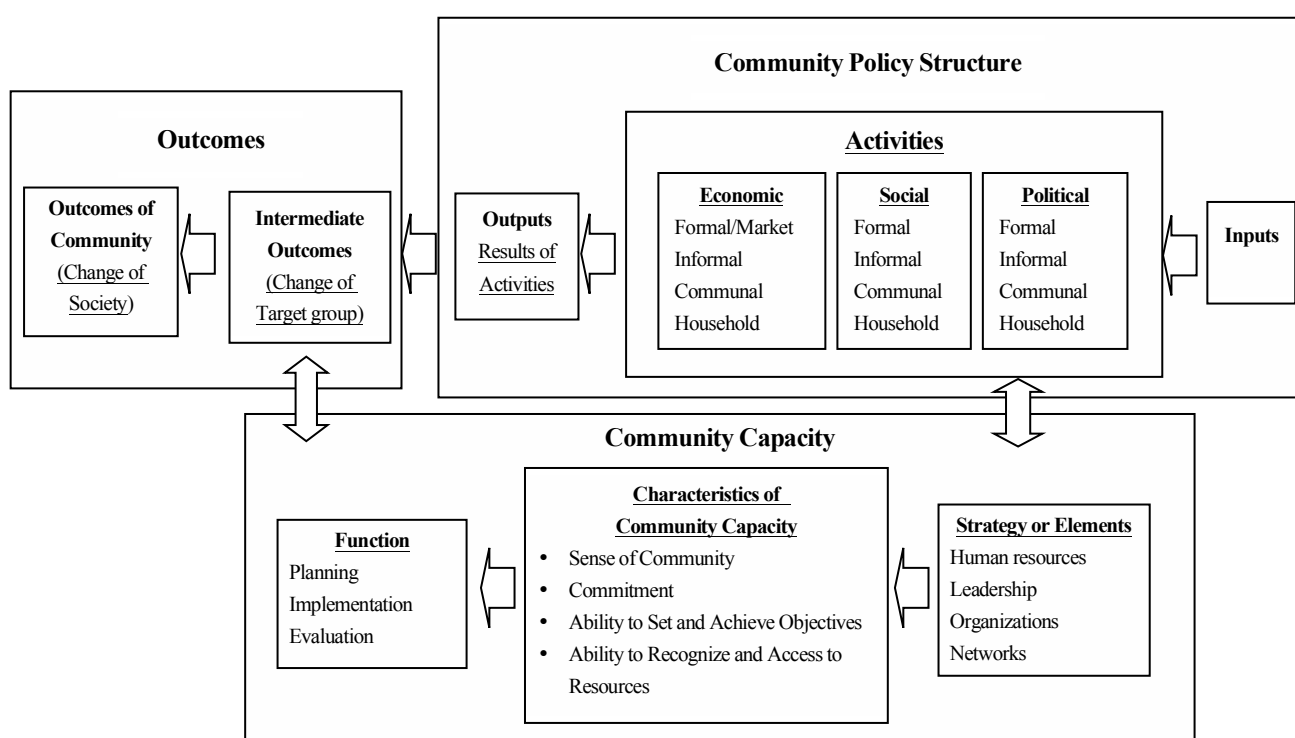
2. Community Capacity and Policy Structure Theory

2.1 Community Capacity Development and Policy Structure Model

The model in Figure 1 below illustrates that a community uses its capacity to plan, implement and evaluate community policy structures. This framework allows identification, conceptualization and clarification of community processes through the inclusion of program theory, whilst simultaneously providing a basis for the analysis of community capacity. This model is a dual function model aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of economic, social and political activities to change the life of the community's population. This model itself has been formulated and stipulated based on Chaskin *et al* (2001), Friedmann (1992) and Miyoshi *et al* (2003), and the results of research conducted through the implementation of training programs and preparation of training materials under the international cooperation program¹. This model emphasizes operational aspects of its utilization and aims at providing concrete and practical concepts for the implementation of rural promotion and development. The model can be used in both community development planning and evaluation. The origins of the model and its specific components are elaborated below.

The model adapts the concept of community capacity from Chaskin *et al* who define community capacity as 'the interaction of human capital, organizational resources, and social capital existing within a community'. The model adapts the concept of community capacity from Chaskin *et al* who define community capacity

Figure 1: Community Capacity Development and Policy Structure Model



Source: Formulated based on Chaskin *et al* (2001), Friedmann (1992) and Miyoshi *et al* (2003)

¹ Ritsumeikan Asia Pacific University conducts Japan International Cooperation Agency's group training programs of technical cooperation for rural promotion and development. The programs include: Training Course in Community Capacity and Rural Development for ASEAN countries; Training Program on the "One Village One Product" Movement in Tunisia; and Training Course in Seminar for Municipal Mayors of Clustered LGUs: The Philippines. Furthermore, APU is also preparing to conduct a training program for African countries.

as ‘the interaction of human capital, organizational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of that community’ (2001, p.7). Chaskin *et al* also describe community capacity as operating ‘through informal processes and/or organized efforts by individuals, organizations and social networks that exist among them and between them and the larger systems of which the community is a part’ (2001, p.7).

Characteristics of community capacity presented by Chaskin *et al*’s study include: sense of community, commitment, problem-solving ability, and access to resources (2001, p.13). The model presented in Figure 1 above includes the characteristics of community capacity as described by Chaskin *et al*, except modifying for ‘problem-solving ability’ which has been supplanted with ‘ability to set and achieve objectives’ and ‘access to resources’ with ‘recognition of and access to resources’. This is because, in reality, a positive (also referred to as asset-based) approach to development is more viable. Setting realistic community objectives and striving to achieve them using the resources available is essentially a less difficult task than focusing on a negative aspect (problem) in the community and attempting to ‘solve’ it. Below the characteristics are described in more detail.

The first characteristic shapes the very existence of the community. It involves the members of the community being aware that they are a community. Important points of ‘sense of community’ include the degree of connectedness and strength of relationships among community members and to what degree they recognize a mutuality of circumstance and share commonly held norms, values and vision.²

‘Commitment’ refers to the responsibility that individuals, groups, and organizations take for what happens in their community. This includes two aspects, both recognizing oneself as a stakeholder or beneficiary in the wellbeing of the community as well as being willing to participate actively as a stakeholder for the betterment of the community.

The ‘ability to set and achieve objectives’ involves translating the abovementioned commitment into action. As mentioned above, the authors prefer to highlight an objectives-oriented approach to action in the community such as appreciative inquiry, as it is more realistic to make progress with rather than ‘problem-solving’ which denotes negation, criticism and making difficult changes to ‘fix’ the problem.³ The ability to set objectives is also emphasized. Setting objectives is an indispensable ability for achieving objectives and is required for guiding activities in the appropriate direction.

‘Recognition of and access to resources’ involves being able to identify and secure the productive use of various available resources (social, human, economic, physical/environmental, political) both within and beyond the boundaries of the community. This includes being able to forge and make use of linkages between community members (groups, individuals, organizations) and actors in the broader system of which the community is a part (for example in the case of a hamlet or village these would include those in the city or province where it is located). The authors also emphasize the ability to recognize underutilized resources for development in order to encompass a wider scope and increased selection of possible resources.

The ‘Strategies’ box in the diagram describes both the elements of the community which hold and contribute to community capacity and the ‘points of entry’ or specific targets for community capacity development strategies. These include: human resources development (individuals); fostering leadership (formal and informal leaders); establishment and enhancement of community organizations (governmental and non-governmental, voluntary, private enterprise, social organizations); and social capital (networks among community members and between them and entities beyond the community boundaries).⁴

² See community psychology literature such as Sarason (1974) or McMillan & Chavis (1986).

³ For resources on appreciative inquiry consult: <http://appreciativeinquiry.case.edu/>

⁴ On social capital see Putnam (1993).

The elements of community capacity do not necessarily need to be kept uniform or static. As each community changes and evolves so too does that community's capacity and its elements. Thus it does not make sense to attempt to fix community capacity at a certain level or to aim to apply some kind of recipe as a panacea as each case will differ and the one community's situation will also differ over time. Community capacity should be understood and applied as both a diverse and a flexible concept.

'Mainstream doctrine' on international development tends to reduce the definition of development to a purely economic consideration, for example GDP per capita, and direct focus on capital accumulation at the expense of other important development issues (Friedmann 1992). This narrow view of development also results in the plight of the rural poor being largely ignored. In order for an effective 'alternative development' it is essential that a broader range of issues is included.

The policy structure part of the model acknowledges non-economic aspects by incorporating social and political activities and allowing for the incorporation of informal (as well as formal) activities. Community policy structure illustrates the process of community activities through the application of program theory. Community activities that it can be used to describe are many and varied, for example, it might be used to describe and clarify agricultural production processes, specific development initiatives, community events, or informal social processes. This part of the model helps to clarify these processes along the lines of a logical framework (end outcomes, intermediate outcomes, outputs, activities, inputs).⁵

End outcomes signify the eventual change in society due to a certain activity or process. Intermediate outcomes are the changes in the target groups' behavior or situation that are expected to lead to the end outcome. Outputs are the results of activities usually expressed in numerical terms (number of workshops conducted, for example). Activities, on the other hand, are the actual workshops themselves (for example), whilst inputs include any resources used for a certain policy structure such as funds, local human resources, external experts and so on.

The community's selection of policy structure and its successful implementation depends heavily on the community's capacity situation. Moreover, as the community develops or upgrades its capacity, the community will naturally transfer to or select a new and more sophisticated or value-added policy structure. The process of a community using its capacity to plan, implement or evaluate a certain policy structure may also contribute to developments in community capacity, particularly if these result in expected end and intermediate outcomes (changes in society and specific target groups).

2.2 Note on Community

At this point, clarification of how the model perceives the community is required. Community is a social system confirmed by administrative boundaries and in which the members (organizations, groups, and individuals) recognize themselves and each other as belonging to the same community. The community definition utilized by many in the community development literature is comparatively narrow encompassing only the residents of a sub-area of a town or city, referred to as a 'neighborhood', which results in analysis of the community based solely on the situation of the residents of the neighborhood (see Chaskin *et al* 2001; Gittel & Vidal 1998). Analysis based on the model presented in this chapter includes those wider stakeholders that exist in addition to the residents of a community. These include government institutions, civil society organizations, NGOs and NPOs, private enterprise, educational institutions and so on. With this broader and more inclusive definition of community and wider range of units of analysis it is possible to construct a more worthwhile policy-oriented argument.⁶

⁵ For more on logical frameworks refer to Funnell (1997) and JICA (2004).

⁶ See Stenning and Miyoshi (2007).

2.3 Community Capacity Development

The strengthening of community capacity is referred to as community capacity development. Community capacity development involves seeking out and presenting latent, or potential, advantages and opportunities in the community in order to promote 'positive neighborhood change' (Chaskin *et al* 2001). Capacity is developed through the community's attempts to develop or maintain these identified advantages and opportunities.

The latent advantages and opportunities within a community are represented by the potential of community components, their characteristics and their functions which lie dormant within a community and are able to be changed. Through identifying and focusing on these latent advantages and opportunities and by activating interactions between and among the various elements of community capacity, potential or latent advantages and opportunities can become real and active.

Emphasis should be given to community capacity development as a non-linear and continual process. Moreover, capacity development should be approached in a way that seeks to encourage endogenous development through the activation of interactions and synergies between the elements of capacity, rather than as an outside intervention. Community components, their characteristics and functions should not be simplified into a conceptualization of linear, one-way or easily categorized inter-relationships, as reality is not that straightforward. For example, a rise in the individual's capacity may contribute to the improvement of a community organization, whilst a rise in organizational capacity likewise may contribute to an improvement in abilities at the individual level.

3. Participatory Evaluation: A Theory-Driven Perspective

3.1 Influence of Participatory Evaluation

By viewing the evaluation process as participatory⁷, stakeholders are not taken as passive or disempowered subjects or objects of the evaluation; rather they are viewed as participants with an active role and stake in the evaluation process.⁸ This is in line with the principles of participatory development, which has gained prominence in recent years.

In terms of the influence of evaluation, historically conventional non-participatory evaluation has heavily emphasized the results of the evaluation (the evaluation report) and how these results are utilized (Johnson 1998; Shulha & Cousins 1997 cited in Kirkhart 2000, p.9). Supplementing the evaluation results, participatory evaluation has an additional and very important element of influence; the actual process of conducting the participatory evaluation.

The evaluation process itself is becoming recognized as being independent from the evaluation results and as having the power to bring about changes in the people or organizations participating in the evaluation (Kirkhart 2000, p.10; Miyoshi & Tanaka 2001; Minamoto 2008). By involving stakeholders (including project staff, project participants, beneficiaries etcetera) it is possible to conduct an evaluation from the direct viewpoint of those most intimately involved in the project or program. Furthermore, through experiencing the evaluation process firsthand these stakeholders are given the opportunity to increase their consciousness of their own stake and influence in the project, thus strengthening stakeholder ownership and contributing to improvement of the project as a result. In this way, it is expected that the implementation of participatory evaluation will contribute to a societal change (Miyoshi & Tanaka 2001).

⁷ See, for example, Miyoshi & Tanaka (2001).

⁸ The participation of stakeholders, however, should not be confused with mere providers of ideas or information. By *active participation* we refer to involvement in the design, formulation of questions, implementation, reporting and discussion of the evaluation. In other words, stakeholders should take an active role in the entire evaluation process, rather than being passive subjects or mere information-givers of the evaluation.

The influence of the evaluation process works through the interaction of answering the evaluation questions and the opportunity of the evaluation questions themselves in terms of awareness, and the emotional and political facets of the lives of stakeholders who participate in the evaluation. In terms of awareness, the focal point is promoting the understanding of the evaluation participants' own roles in the project or activity. On the emotional side, feelings of value or self-worth that individuals and groups gain from participating in the evaluation process are most important. In terms of the political facet, the evaluation process itself may be used to create a new dialogue, re-ignite interest in social issues, and also raise the stakeholders' awareness of the actual conditions of their rights and the prevailing political environment. In the case of administrative reform and where evaluation is regarded as an explicit intervention to an assistance activity, the political dimension of the evaluation process' influence has been particularly emphasized (Kirkhart 2000; Miyoshi 2001).

Effects of the evaluation process are not limited to the short-term. Influence of the evaluation process does not necessarily cause an instant change in the stakeholders of the project or activity. There are effects that occur later, in the long-term, and there are also those influences which will continue to accumulate to bring about an eventual change. And, although the influence can still be identified as coming from the evaluation process, there are instances where the effects grow stronger, little by little, over a period of a number of months or even years. The long-term influences of evaluation are those effects which develop over the course of time, covering a wider area in the process. The strongest influences of evaluation are often those which do not appear at the point in time when the evaluation is conducted and, therefore, are not necessarily obvious. In fact, it is the long-term effects of evaluation that become institutionalized by the organizations and society involved in the evaluation and which become more evident only over time. This reality requires thinking in this kind of context. When longer-term influences are the intention of the evaluation influence, it is important to adopt a long-term approach and frame of mind when designing the evaluation.

Participatory evaluation will produce an effective influence when the evaluation facilitator clearly defines the target group/s they would like the evaluation to affect, consciously recognizes the desired influence of the evaluation, and where the future outcomes of that influence are carefully envisaged. The shape of the desired, or expected, influence of the evaluation and who will be affected by such influence are, therefore, important points to consider when actually conducting the evaluation. Usually the evaluation is implemented with a certain intention in regards to the influence of the evaluation (to stimulate community capacity development, for example).⁹

3.2 Rationale for a Theory-Driven Participatory Evaluation

In order to result in the desired influence, the participatory evaluation must be based on appropriate and relevant guiding theoretical framework and concepts. The paragraphs above reveal that participatory evaluation has the power to cause changes in society, and therefore affect development, through the influence of the evaluation process on participants in the evaluation. However, as mentioned in the Introduction Section, the majority of participatory evaluations are still lacking in terms of theory, making it difficult to both define the desired influence of the participatory evaluation and to achieve it. Without theory on which to be based, participatory evaluations are vague and ambiguous. Without an idea of the desired influence and important issues in the participatory evaluation it is very difficult to know what questions need to be asked and answered.

⁹ Naturally, on the other hand, there may also be effects that were not intended or expected by the evaluator. These occur when the influence of the evaluation reaches people and organizations through unconventional processes not predicted or expected by the evaluator.

Through the integration of a community capacity and community policy structure theoretical model into participatory evaluation, evaluation participants are able to formulate questions purposely aimed at identifying, clarifying and improving both their capacity and the specific community policy structure in question. By asking the right questions in a participatory evaluation, a change in the consciousness and behavior of the evaluation participants is possible and, in turn, a positive change in society is achievable. Being able to ask the right questions is contingent upon having an appropriate guiding theoretical framework and concepts. The theoretical model presented in Section 2 (and Figure 1) of this article provides the guiding framework and concepts needed in order to guide the definition of the problem and to formulate questions that will both evaluate and result in improvements in community capacity.

The introduction itself of these community capacity and program theory concepts for discussion within the community may also entail long-term benefits for the community. Although here introduction of the concepts is advocated for in order to guide a participatory evaluation, it is probable that, through learning these concepts and discussion of these concepts through the course of the participatory evaluation, the community members will remember and utilize them in the planning and implementation of later projects (even if this is at a sub-conscious level). In this way it is envisaged that the introduction of the community capacity development and policy structure model will provide continuous and long lasting benefits for the community, even after completion of the participatory evaluation.

3.3 Evaluation Questions

The power of the participatory evaluation to stimulate components of the community and cause community capacity to develop is contingent on the participants being able to formulate and answer meaningful evaluation questions. These questions should be concerned with the characteristics of community capacity (sense of community, commitment, community ability to set and achieve objectives, and the awareness of and access to community resources) and be related to the specific community policy structure that is the subject of the evaluation (the end outcomes, intermediate outcomes, outputs, activities, and inputs of the subject). They are to be formulated and answered by the participants in the evaluation after being provided with the relevant knowledge (guiding theoretical framework and concepts) by the evaluation facilitator, who will also assist community facilitators to facilitate question-formulating sessions. The following are representative of the type of questions that may be addressed:

- Sense of community: To what degree do the community members have strong relationships with each other? To what degree do members hold common values and norms, and a shared awareness of the condition of the community including future goals?
- Commitment: What kind of responsibility do individuals, groups and organizations belonging to the community take for what happens in their community? As stakeholders, in what way do community members view themselves in terms of community outcomes? Are community members willing to actively participate in community activities?
- Ability to set and achieve objectives: What kind of awareness is there of the challenges that arise due to changes in the environment surrounding the community? What kind of awareness is there of objective setting methods/processes? What do people think of the existence of relevant mechanisms? Is there an awareness that these are functioning?
- Awareness of and access to community resources: What kind of awareness is there of the existence of human resources, leadership, organizations, and networks in the community? What kinds of relationships are being built between the community and the larger social system? What kind of awareness is there of the utilization of economic, human, physical, and political resources available within and outside of the community?

3.4 Participants in the Evaluation

Participants in the evaluation are members of the community which the evaluation concerns. They may include implementers of the activities/interventions and the beneficiaries or people affected by such activities, and individuals and representatives from every organizational level. In terms of organizations, these may include government agencies, public service agencies, social organizations and associations, private enterprises, religious organizations, health-related organizations, and civil society organizations such as NGOs or NPOs.

In terms of stimulating participation, focus has usually been centered on the administrative executor of project activities however the participation of civil society organizations such as NGOs/NPOs to implement evaluation is becoming an increasingly possible option. Here it is important that those who have the intention of developing community capacity, as the facilitator of the evaluation, take the main role in guiding the implementation of the evaluation. Furthermore, regarding the evaluation participants, it is necessary to take into account the existing human resources, leadership, organizations and networks and their capacity and willingness to participate. However, even if this kind of independence is secured, in order to conduct an evaluation, there are particular skills that are required and these will be supplied by the expert (most probably external) evaluation facilitator.

3.5 Role of the Evaluation Facilitator

The role of the external evaluation facilitator is important in order for the evaluation to be truly participatory and effective. A facilitator will usually have an academic background in the social sciences and is either a social science researcher or development practitioner (UNDP 1997). He/she should have a significant amount of field experience and also have the ability to: listen; guide and facilitate discussions; encourage trust; delegate tasks and responsibilities; plan actions to bring together the viewpoints of different stakeholders; and create an environment of reflection and sharing (UNDP 1997).

The facilitator will also need to introduce the concepts of community capacity development, community policy structure and participatory evaluation to the community counterparts, ensuring that at least the selected community counterpart facilitators have a good and thorough understanding of these. After the community counterparts are equipped with such knowledge the external facilitator will take a supportive role and 'act as a catalyst or stimulator, managing the evaluation process without being seen as directing it' (UNDP 1997). Thus the evaluation facilitator will assist the counterpart facilitators and manage the entire evaluation process, particularly in terms of the technical and practical aspects of the evaluation questions, participant identification and management, and the evaluation timeframe.

3.6 Participatory Evaluation Timeframe

Regarding the time period of the participatory evaluation, rather than simply selecting when to answer the evaluation questions, it is important to concentrate on the potential contribution of the particular timeframe to community capacity formation. The advantages and opportunities that the community possesses should be identified and a period of time that appears to allow for the most progress in terms of a positive change and when conscious participation will also be strong should be selected. The community itself is a continuous organization and within it continuing events and activities are held. These kinds of community events or activities present a good opportunity for an evaluation period that allows the community to be informed and involved.

Events which have potential include music concerts, sports carnivals, festivals and so on which are held by the municipality, prefecture, or community-based groups/associations. Of these types of events there are many which do not have specific results or outcomes and it is relatively simple to produce evaluation

questions regarding community capacity. Many activities are conducted on an annual basis, year after year, and by utilizing this situation and through conducting ex-post evaluation and traversing the process of making clear the activity's outcomes, how it should be run, and its significance (through the process of evaluation) it is relatively simple to create an opportunity to answer the intended evaluation questions.

It may be especially fruitful to pick up development activities as the subject of the participatory evaluation. Development activities are limited to a certain timeframe of their own for implementation, and when the activities have been completed, the interest of members also diminishes. This is not limited to 'hard' infrastructure activities/projects, but also occurs in education, health, welfare and other such 'soft' activities. Thus, it is at the time of commencement or during the earliest stages of development activities that have the most potential to incite a high level of interest and willingness to participate that will, in turn, allow for concrete influence on community capacity.

An appropriate evaluation timeframe should be negotiated and decided with the community participants taking into account such factors as the amount of time and frequency that participants are able and willing to dedicate themselves, the availability of other resources such as funding to be used in the evaluation, how quickly decisions can be made in a participatory manner given the cultural context and inter-relationships and group dynamics in the community, the length of the actual implementation cycle of the policy structure (activity) in question, and to what extent the participants will choose to include supporting activities within the evaluation study. Depending on these factors the timeframe allowed for the evaluation might be anywhere from just a couple of weeks to months or even an entire year. Also, participatory evaluations are often conducted in phases. The UNDP gives the norm of about 10-person weeks of consultant's services in phases spread over three to six months (UNDP 1997).

3.7 Knowledge Sharing for Participatory Evaluation

According to Jackson and Kassam, participatory evaluation is a 'process of self-assessment, collective knowledge production, and cooperative action' (1998, p.3). This section is primarily concerned with the 'collective knowledge production' aspect of this process. It is through sharing knowledge among community members that collective knowledge production can occur. In order to facilitate this, much consideration is needed regarding the types of data, methods of data collection, and how to present results to the wider community. These decisions should be made whilst taking into account the purpose and objectives of the participatory evaluation, the nature of the evaluation questions posed, as well as the social and political context of the community.

Community participation can also extend to the data collection activities of the participatory evaluation study. Merits of having community members participate in data collection include the higher probability that information will be more quickly and easily accessed and opinions expressed by other community members or interviewees may be more direct and honest than if the researcher were an outsider (Gittell 1980).¹⁰ Also this approach would allow for a higher level of intra-community interaction and higher quantity and quality of knowledge sharing.

The possibility of community members participating as researchers will inevitably depend on the education and abilities of the individual members and the evaluation facilitator will need to monitor and be responsible for ensuring that such data collection activities are conducted in such a way as to facilitate meaningful knowledge sharing. These community researchers might need special training and/or supervision from the external evaluation facilitator in collecting data and sharing knowledge for the study.

¹⁰ See comments on a participatory research approach by Marilyn Gittell (1980). Gittell also notes that including and training community researchers in the study allows for a transfer of research skills that will prove valuable to the individuals, their organizations and the community later on after the study has been completed.

Furthermore, even if community participation is pursued in the participatory evaluation data collection, the results of participant observation by the external evaluation facilitator during his/her time engaged in the community will also be invaluable and should be utilized.

4. Exploring the Potential of a Theory-Driven Participatory Evaluation for Community Capacity Development in 'Imori-dani'

Due to the nature of participatory evaluation and the requirement for stakeholder involvement and input from the planning and design stages onwards it is not a worthwhile effort to provide a detailed evaluation design without this involvement. Nonetheless, in order to illustrate further and apply the concepts outlined above, this section outlines a preliminary design for a participatory evaluation designed to both assess and influence community capacity in a case community, 'Imori-dani'.¹¹ The mock evaluation design below outlines ideas for pre-planning and preparation, the evaluation questions, data gathering and analysis, and reflection and action, and makes the intention of the participatory evaluation clearer before its implementation.

4.1 Introduction to Imori-dani

Imori-dani (Newt Valley) is the self-appointed nickname of Matsumoto, an agricultural-based hamlet in the administrative area of Ajimu in Oita Prefecture, Japan. The relatively small community consists of just 56 households. Many activities are held in Imori-dani throughout the year including lotus, flower, wine, *Bon* (ancestor worshipping) and music festivals, rice planting, soybean sowing and harvesting, lake clearing, mushroom cultivation and harvesting, buckwheat noodle making, and traditional charcoal burning. These activities are spread out over the year so that there is a frequency of about one activity or so per month. They are planned and held by one or more of the community's groups¹² and all Imori-dani residents as well as visitors from outside of the village (for example people from large neighboring cities such as Oita City or Fukuoka City seeking a rural experience) are invited and encouraged to participate.

Community development in Imori-dani is conducted in a participatory style with input from all members including children and the elderly (for example in creating the community vision and future objectives) and has been quite successful to date.¹³ Due to the participatory mechanisms already in place and the active nature of the community, it would be practicable to conduct a participatory evaluation and the current progress of the community in terms of development (i.e. quite recent with a certain level of momentum) imply that Imori-dani would benefit by reviewing their community's capacity at this particular point in time.

During community visits by the authors and consultation with Mr. Nimiya, the head of Imori-dani's farmer's cooperative, the subject of participatory evaluation and how Imori-dani might benefit from conducting such an evaluation surfaced. Thus, there is the possibility that Imori-dani may decide to try implementing a participatory evaluation for community capacity development in the near future.

4.2 Pre-Planning and Preparation Phase

First and foremost the evaluation will require support and input from community members. Thus one of

¹¹ The authors visited Imori-Dani several times for research as well as study tours for the JICA training programs on community capacity and rural development. The evaluation has not been implemented. It is intended as an illustrative example.

¹² The Matsumoto Farming Cooperative and the Ajimu Matsumoto Imoridani Kurabu play main roles in the community. Subordinate organizations of these include the Volunteer Fire Brigade, Senior People's Club, Children's Club and agricultural groups such as the Hyotan Pond Management Association and the Common Forest Management Association.

¹³ Matsumoto (Imori-Dani) was awarded the Emperor's Cup in the town building division of the 2004 Agriculture, Forestry and Fisheries Festival.

the most crucial activities during the pre-planning stage is to garner such support at least from a few key community members. This could be done through existing communication mechanisms such as an announcement or discussion at the farmer's cooperative or *Imori-dani Kurabu* meetings. A special planning meeting could also be held at the community centre in order to openly discuss and decide on the objectives and purpose of the evaluation and to select a specific community policy structure (subject activity) to be evaluated, an evaluation timeframe and to identify evaluation facilitators and stakeholders/participants and clarify their roles in the evaluation study.

For the purpose of this chapter it will be assumed that the community members decided to create a temporary special participatory evaluation committee within the structure of the *Imori-dani Kurabu* to jointly facilitate a participatory evaluation (along with an outside evaluation facilitator) of the *hotaru no sato no ongakukai* (Firefly Hometown Music Festival) held annually in June¹⁴. The purposes of the evaluation should be identified by the community participants with the outside facilitator providing guidance and support to ensure that the process takes a direction that will benefit community capacity. The stakeholders might decide that the purpose of the evaluation is to assess the community's capacity to hold the festival in order to recognize community strengths and identify areas that could be improved (and to increase capacity of the community in the process).

Training in participatory evaluation facilitation and tools/techniques should be provided to at least two of the evaluation committee members (nominated to be counterpart facilitators) to ensure that the community counterpart facilitators are equipped with the skills to facilitate a participatory evaluation. Stakeholders/participants that may be identified include: festival organizers and performers; young people, elderly people, women and newcomers¹⁵ in the community; audience/festival-goers from both within and outside the community; farmers; stall-holders and so on. A description of the policy structure of the activity should also be constructed and presented in this stage in order to clarify processes and to assist with question formulation.

An appropriate time-frame should also be decided on at this point jointly by the evaluation committee and the external evaluation facilitator. For the purpose of this article it is assumed that the time-frame of 10 person-weeks over a period of three months was selected. This would allow time for the introduction of the concepts and framework, training of community evaluation facilitators and community researchers, evaluation question formulation sessions, data collection (over the festival preparation period, the festival itself, and during the time directly proceeding the festival), and a reflection and action phase.

4.3 Evaluation Question Formulation Phase

Creating the evaluation questions is the next step after the initial planning and preparation phase. Asking the right kinds of questions is key to a successful and capacity-influencing participatory evaluation and, in order to ensure that the evaluation causes community members to reflect on their capacity to implement the festival, it is important that the characteristics of community capacity are kept in mind when formulating the questions. In order to link community capacity issues with the specific policy structure of the music festival, the evaluation questions should also be based on the description of the policy structure (based on a logical framework) that was produced in the evaluation planning stages. The evaluation committee could

¹⁴ This festival was first organized in 1996 and provided an opportunity for people in Imori-dani to think their situation in the context of the community development.

¹⁵ 'Newcomer' in Imori-dani refers to those individuals/families that have recently moved to Imori-dani (usually from the city). People who left the community and then returned are called 'U-turners' and 'I-turners' are those who moved there for the first time. The community has an open and friendly attitude (unlike many small rural communities) and welcomes new residents as this has been identified as a rejuvenation strategy for the community, which, like much of Japan is faced with an aging and declining population. Imori-dani proudly boasts that most of the 12 elementary school age children in the community belong to newcomer households.

host a question-creating session with a representative group of stakeholders or a series of sessions with different groups. Workshop-style methods such as using sticky-notes might work especially well. Table 1 illustrates the possible kinds of questions related to the community capacity characteristics as well as to the festival policy structure that might be produced. They are consisted of community capacity and community policy structure related questions.

4.4 Data Collection Phase

The evaluation committee could be charged with forming a small team of community data gatherers. Due to the relatively small size of the community and the focused nature of the evaluation, it would probably be a more worthwhile endeavor to focus on qualitative rather than quantitative data. Potential methods include in-depth interviews, workshops or focus-groups, and observation (for example at the festival itself). One option for data collection involves a select number of (preferably diverse) stakeholders each producing a photo-essay or video documentary of activities related to the festival from their point of view.¹⁶ These could be shown publicly to elicit wider community response and discussion. Other specific participatory techniques that may be considered include: social mapping, testimonials, and participant observation (by the external evaluator).¹⁷

4.5 Reflection and Action Phases

The results of the evaluation should also be transparent and made available to the community members. The more traditional method of this is the evaluation report. However, in order to create an opportunity to reflect on the process and plan action based on the outcomes of the evaluation, a stakeholder meeting in the form of a presentation and discussion or workshop might be best. This would be especially pertinent if some of the data collection methods involved visual media. Participants in the evaluation should also be allowed a chance to express what they felt about the participatory evaluation process itself and whether they felt that they gained by being involved. The results of the evaluation should cover not only the areas of community capacity that could be improved but those which were highlighted by the evaluation as being particularly strong in Imori-dani. Action could also be planned based on these positive outcomes.

5. Conclusion

This article has presented a response to the need for an alternative development that benefits rural communities. By conducting a participatory evaluation of a particular community activity it is possible to bring about changes in the thinking and behavior of the evaluation participants and stimulate an endogenous community capacity development. This is contingent, however, on the ability of the participants to formulate appropriate evaluation questions that specifically address community capacity related issues and processes. In order to do this, appropriate guiding theoretical framework and concepts are required. Thus the authors have presented a theory-driven participatory evaluation based on a community capacity development and community policy structure model. This model is useful for conceptualizing development in an alternative manner to the conventional focus on the economic sphere. It will prove a useful framework for both development planning and evaluation, although an elaboration of the model remains as a future task.

¹⁶ This is a method used in the photo-voice community development projects developed by Caroline Wang, refer to: <http://www.photovoice.com/>

¹⁷ For a range of participatory methods and tools please refer to UNDP (1997) or World Bank (1996).

Table 1: Imori-dani Example Evaluation Questions

Policy Structure Components	Community Capacity Related Questions	Community Policy Structure Related Questions
End Outcome	<p><u>Sense of community:</u></p> <ul style="list-style-type: none"> - Are there common values for holding the music festival in Imori-dani community? - How strong are the common values for holding the music festival in Imori-dani community? - Do the community members feel that effects on the community due to holding the festival are important? - Is there a shared awareness about the condition of the community to hold the festival by Imori-dani community members? 	<ul style="list-style-type: none"> - What changes happened in Imori-dani by conducting the festival? - Does the change of Imori-dani due to the festival fulfill priority needs of the community of Imori-dani? - Is the change of Imori-dani community due to the festival being realized as expected? - Will the festival be able to continue for the future of community?
Intermediate Outcomes	<p><u>Commitment:</u></p> <ul style="list-style-type: none"> - As members of Imori-dani community do they strongly expect the effects of festival to the changes of the Imori-dani community? - As members of Imori-dani community do they recognize their relation actively to implementation of the festival? - Do they believe firmly in the existence of appropriate mechanisms for their participation in the festival? - Do they have the intention and willingness to participate actively in the festival? <p><u>Ability to set and achieve objectives:</u></p> <ul style="list-style-type: none"> - Do members of Imori-dani community define the expected effects of the festival clearly? - Do they clearly understand the necessity of the festival for the Imori-dani community? 	<ul style="list-style-type: none"> - What groups were most affected by the conducting of the festival? - Are effects of the festival enough for those groups? - Are effects of the festival what the participants in the festival expected? - What kinds of effects were expected by the participants in the festival? - Are the effects to those groups due to the products or services which were produced by the festival activities?
Outputs	<p><u>Sense of community:</u></p> <ul style="list-style-type: none"> - What kind of responsibility do individuals, groups and organizations of the Imori-dani community take for what happens in their community during the conduct of the festival? <p><u>Commitment:</u></p> <ul style="list-style-type: none"> - Do members of the Imori-dani community clearly understand what products and services are preferable as the result in terms of their participation in the festival? 	<ul style="list-style-type: none"> - What kind of products and services were produced by the festival activities? - Were they what the participants in the festival activities expected? - Are they achieved using as little input of resources as possible?
Activities	<p><u>Sense of community:</u></p> <ul style="list-style-type: none"> - Do community members have the clear intention to work together for the success of the festival? <p><u>Commitment:</u></p> <ul style="list-style-type: none"> - Do Imori-dani community members actively participate in the festival (plan, set-up, perform, as audience)? - Are community members willing to actively participate in festival activities? <p><u>Ability to set and achieve objectives:</u></p> <ul style="list-style-type: none"> - Do they think existing mechanisms for producing the expected effect of the festival in terms of the change of the surrounding environment are sufficient? - Do they think that those mechanisms function properly? 	<ul style="list-style-type: none"> - What kinds of activities are conducted to produce products and services of the festival? - Were those activities properly arranged? - Were those activities systematically arranged? - Do those festival activities have enough momentum to be sustainable and continue into the future?
Inputs	<p><u>Recognition and access to resources:</u></p> <ul style="list-style-type: none"> - Do the members of Imori-dani community show awareness of the existence of human resources, leadership, organizations, and networks for the conduct of festival inside and outside the community? - Do they know properly the utilization of economic, human, physical, and political resources available within and outside of the community? 	<ul style="list-style-type: none"> - What kinds of resources are utilized for festival activities? - Are resources for festival activities sufficient for conducting the festival successfully? - Are such resources obtainable for future implementation of the festival? - What groups of Imori-dani community participated actively in the festival? - Who participated from outside of Imori-dani?

Source: The authors

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12

Community Capacity Building and Leadership:

Designing a Theory-Based Evaluation for JICA's Capacity Building and Rural Development Training Program

Ana Khristina S. Puatu
Asian Institute of Management

1. Introduction

Japan's Medium Term Policy on Official Development Assistance (ODA) enumerates support for the improvement of the administrative capacity of governments in local communities as a means by which the country could "contribute to the peace and development of the international community (MOFA 2005, p.1)." As such, apart from its material and financial contributions for the development of economic and social infrastructures in developing countries, Japan has also been actively providing assistance that would enable its governments "to formulate and implement appropriate development strategies (MOFA 2005, p.8)."

In the past ten years, Japan International Cooperation Agency (JICA) through Ritsumeikan Asia Pacific University (APU) hosted more than 100 delegates from South America, Indochina, Southeast Asia, Oceania and Africa for a Capacity Building and Rural Development Training Seminar. With Professor Koichi Miyoshi at the helm of the program, participants engage in lectures, discussions and exercises that illustrate how communities can utilize their innate capacity to plan, implement and evaluate their own policy structures. Focusing on the One Village One Product (OVOP) movement, the seminar advocates for an alternative development approach that considers a community's economic and formal aspects of life, as well as its unique social, political and informal realms.

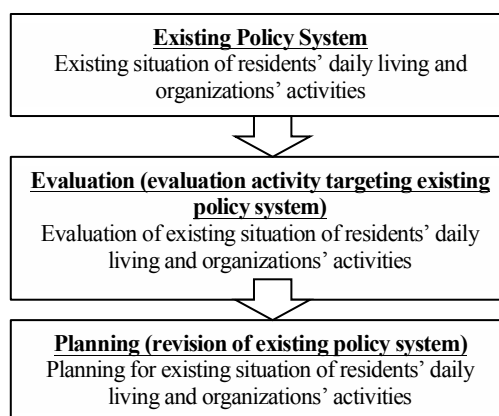
Since 2006, over 30 local government officials and workers from the Philippines have participated in its own two-week version of the training program. The Local Autonomy Cluster Revitalization Seminar intended to enable its participants to echo the theoretical and conceptual frameworks of the program into the development of their own policy structures. This study presents an operational framework for evaluating the impact of the Philippine Local Autonomy Cluster Revitalization Seminar on its participants. This operational framework for the evaluation of the program has a feedback mechanism on its efficiency and prospects for future improvements, especially with regards to leadership development.

2. Why Evaluate?

Miyoshi (2008a) describes evaluation as one of the significant tools that enables organized analysis through its use of "appropriate standards to understand the existing society in order to improve it (p. 1)." Figure 1 illustrates the process through which evaluation aid in the process of organizing and improving a community or activity's policy system.

In the public sector, the growing interest in evaluation stems from the need to fulfill reporting responsibilities after the implementation of initiatives as well as "to improve the efficiency and effectiveness of government activities (Miyoshi 2007, p. 57)." Beyond its academic value, conducting an evaluation of the post-seminar outputs of the training program's participants provide a substantive basis to prove the necessity for capacity building and rural development training programs for public sector leaders. Evaluation also generates viable recommendations to further enhance the efficacy of the training program by tailor-fitting the approach and the communication of concepts based on the particular circumstances of a state or a region.

Figure 1: Evaluation and Planning



Source: Miyoshi (2008a)

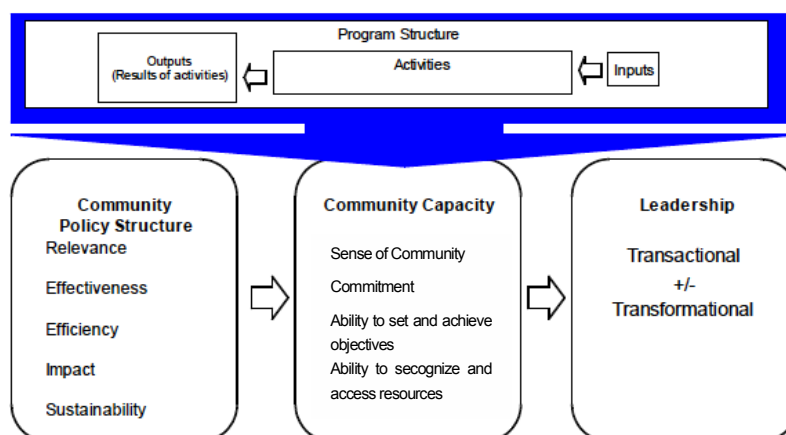
3. Describing Community Capacity

Miyoshi (2008b) prescribes that among the critical requirements prior to the implementation of an evaluation is to clearly identify its scope and criteria. These concepts are used to build the framework from which the methodology and instruments for the research are conceived.

Evaluating JICA’s Philippines Local Autonomy Cluster Revitalization Seminar help ascertain if the activity is able to achieve its objectives and identify potential improvements in its administrative operations, program design and delivery. In particular, an evaluation of the training program should be able to (1) enumerate the significant outcomes recorded or observed in the communities of the training participants and (2) evaluate the value of these outcomes in relation to the program’s development approach.

Derived from the key concepts of Miyoshi and Stenning’s (2008a) Community Capacity Development and Policy Structure Model and the author’s (Puatu 2009) Leadership for Capacity Building Framework, an operational framework for the evaluation of JICA’s Philippine Local Autonomy Cluster Revitalization Seminar include the following elements: (1) seminar’s program structure, (2) the community’s pre and post seminar policy structure, (3) a survey of changes in community capacity and (4) the kind and dynamics of local leadership in place. These elements are defined as:

Figure 2: Operational Framework for the Evaluation



Source: The author

- Program Structure: JICA Philippines Local Autonomy Cluster Revitalization Seminar

From 2006-2009, over 30 municipal mayors and government workers from various local government unit (LGU) clusters from the Philippines participated in a two-week rural promotion and development. The training program, hosted by Ritsumeikan Asia Pacific University and facilitated by Professor Koichi Miyoshi, aimed to (1) introduce the concept of community capacity development and the community policy structure model to its participants, (2) introduce and describe major development initiatives around Oita Prefecture under the One Village, One Product (OVOP) Movement, and (3) guide the participants in the analysis and adaptation of the program’s theoretical and practical concepts into their own community action plan.

Prior to the start of the seminar, participants formulate and submit an inception report that proposes a development program for their respective communities. These inception reports are subjected to revisions and modifications based on the approaches introduced during case discussions and group activities. Learning is further reinforced through study tours of towns in Oita Prefecture. The One Village, One Product (OVOP) experiences of Beppu City, Bungotakata City, Oyama-machi and Kurokawa Onsen, among others, present practical and real-life applications of Community Capacity Building’s conceptual framework.

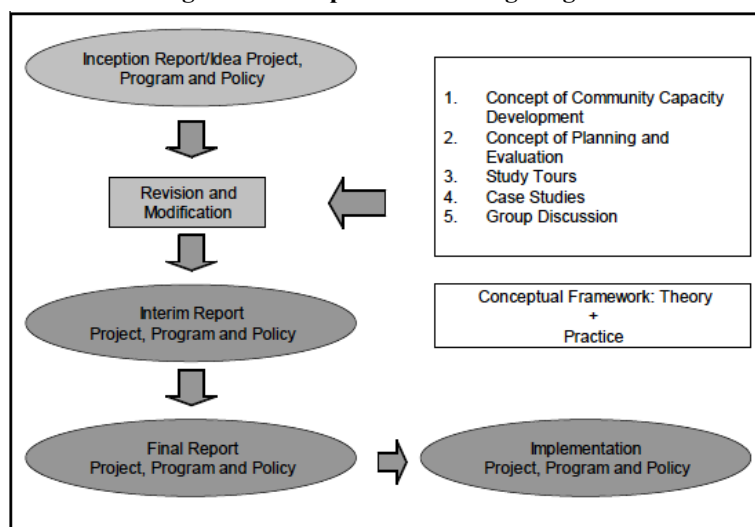
Toward the end of the training program, participants are asked to incorporate what they have learned into their inception reports. A final report is then presented and discussed with the seminar facilitators and their peers. This process ultimately results in an interim report or an action plan that could be proposed and implemented by the participant’s respective organizations/offices.

- Community Policy Structure and Community Capacity

Incorporating concepts from Chaskin and colleagues (2001), Friedman (1992), Miyoshi and colleagues (2003) and the facilitation of JICA training programs, the Community Capacity Development and Policy Structure Model illustrates how communities may use its capacity to plan, implement and evaluate community policy structures (Miyoshi and Stenning 2008). It takes into significant consideration the needs, strengths and resources of a local community and emphasizes on the necessity of enhancing the collective capacity of community members in the development of local communities.

Furthermore, it suggests that community capacity is developed through (1) specific or combined

Figure 3: Concept of the Training Program



Source: Miyoshi (2008a)

strategic interventions that may be conditioned by the (5) different contextual influences that surround the community. These interactions may also lead to other, more tangible community outcomes such as an appropriate or improved community policy structure.

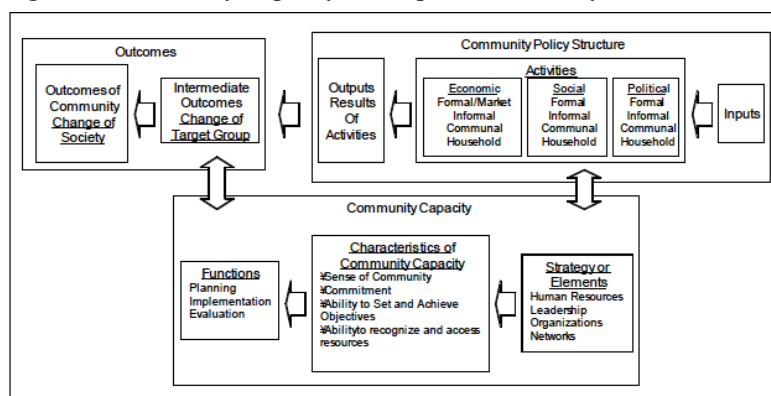
With the Community Capacity Development and Policy Structure Model as a framework from which seminar participants could develop their own community action plan, it is essential to use its elements as criteria for the seminar’s evaluation. Capacity development is a continuous process of interaction and synergy between the various stakeholders and components of a community.

Enhancing community capacity means the promotion of positive neighborhood change through improvements in the community’s policy structures. As such, an investigation of a community’s pre and post seminar policy structures would provide macro-level indicators of how the program influenced the community’s prioritization and decision-making process. The five criteria for evaluating a community’s policy system include: relevance, effectiveness, efficiency, impact and sustainability (Miyoshi 2008c). Each criterion asks questions regarding the current policy system such as:

- Relevance
 - Does the immediate outcome/project purpose match the needs of the target groups?
- Effectiveness
 - Is the intermediate outcome/project purpose specific enough?
 - Does the output reach the target group?
- Efficiency
 - What are the factors that inhibit or contribute to the efficiency of the project implementation process?
- Impact
 - Does the intermediate outcome really attribute to the change of society?
 - Is there any influence of important assumptions on the attainment of the end outcome/overall goal?
- Sustainability
 - Is the logic of the project maintained or developed continuously?

A focused-group discussion with members of the community would elaborate the findings of the macro-level investigation of the community’s policy system. Because “community capacity is defined by its characteristics (Miyoshi 2008b, p. 3),” each member’s sense of community, commitment, ability to set

Figure 4: Community Capacity Development and Policy Structure Model



Source: Miyoshi and Stenning (2008a)

and achieve objectives, and ability to recognize and secure resources function as community capacity as it paves the way not only for tangible community functions, but also allows for the emergence of new leaders, the discovery of new resources and the establishment of organizations and networks. To probe on the characteristics of a community's capacity, the items should be discussed:

- *Sense of Community* – values, norms and visions shared by the community
- *Commitment* – recognition of and willingness to participate actively as stakeholders
- *Ability to set and achieve objectives* – translate commitment into action; existence of mechanisms through which objectives are shared and achieved
- *Ability to recognize and access resources* – identify relevant human, economic, physical, political and organizational resources

4. A Focus on Leadership

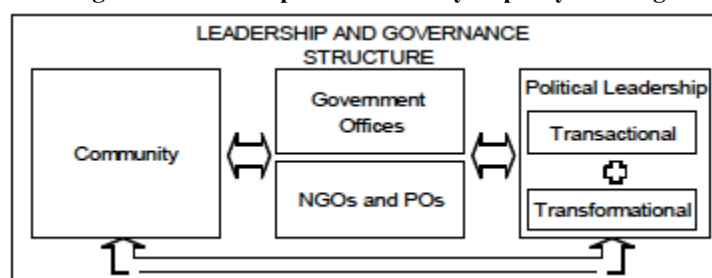
In evaluating JICA's Philippines Local Autonomy Cluster Revitalization Seminar it is of specific importance to investigate how the program influences community leadership because its main participants are local government officials/workers.

Leadership is often used as a strategy for capacity building by focusing on engaging the participation and the commitment of current and potential leaders by providing them with the opportunities for skills building and access to new information and resources. Programs that specifically target leadership development enhance human capital and actively create knowledge through individual, organizational and societal interactions. Leadership may likewise serve as an end outcome such that the enhanced leadership ability of community members would enable better and more inclusive participatory governance, increased efficiency and value for organizations, programs and projects.

While Miyoshi and Stenning's Community Capacity and Policy Structure Model does not provide a criteria for describing leadership, Burns (1978) and Bass and Avolio's (1993) Transformational Approach to Leadership may be used to depict how leaders initiate, develop and carry out significant changes in organizations (Northouse 2001). In fact, a proposed conceptual framework for leadership for community capacity building (Figure 5) makes use of the concepts from Burns, Bass and Avolio's approach to describe the style of the local leadership in place as well as the dynamics between the leadership and other community stakeholders.

The Transformational Approach distinguishes between two types of leadership. Transactional leaders focus on the exchange of valued things that occur between leaders and their followers (Northouse 2001) and the exchange of rewards or punishments for performance (Fairholm 2001). On the other hand, transformational leadership focuses on the process by which leaders play a pivotal role in precipitating change amongst followers (Northouse 2001). Transformational leaders, apart from recognizing the existing

Figure 5: Leadership for Community Capacity Building



Source: The author, based on Bass 1985, 1990; Bass and Avolio 1993, 1994 as cited in Northouse 2001

need or demands of his/her followers, also looks at their potential motives, seeks to satisfy their higher needs and engages their full person (Burns 1978). This results in “relationship stimulation and elevation that converts followers into leaders and converts leaders into moral agents (Burns 1978, p. 4).”

In 1985, Bass refined Burns’ definition by presenting transactional and transformational leadership as occurring in a single continuum (Figure 6) (Northhouse 2001). This model indicates that leaders may be able to display each of the seven behaviors or styles of leadership’s full range (Lievens, Van Geit and Coetseir 1997). These factors, which may be used as indicators for the seminar’s influence on local leadership, include:

- *Idealized Influence* (also known as charisma) describes leaders who are exemplary role models for their followers.
- *Inspirational Motivation* characterizes leaders who are able to motivate others to commit to the vision of the organization.
- *Intellectual Stimulation* includes leaders who encourage innovation and creativity amongst the members of his/her group.
- *Individualized Consideration* represents leaders who provide a supportive climate in the organization by acting as coaches and advisors to their associates.
- *Contingent Reward* In this kind of leadership, the leader tries to obtain an agreement from his/her followers on what needs to be done. In return, followers expect that their efforts will be exchanged for specific rewards.
- *Management-by-Exception* involves corrective criticism, negative feedback and negative reinforcement from the leadership.
- *Laissez-Faire or the Passive-Avoidant leadership* represents the absence of leadership. This characterizes leaders who “abdicate their responsibility, delay decisions, give no feedback and make little effort to help followers satisfy their needs” (Northhouse 2001, p. 141)

5. Conclusion

Historian and political scientist, James McGregor Burns posits that leaders are neither made, nor born; they evolve from a structure of motivation, values and goals (Stewart, 2006). For its organizers, the Philippine Local Autonomy Cluster Revitalization Seminar serves as a means to motivate and inculcate the values and goals of an alternative development approach in its participants. As such, its evaluation is necessary to validate if the program holds any value not only to its participants, but also to their respective communities.

The program’s Community Capacity Building and Policy Structure model itself may be used as a

Figure 6 Leadership Factors

Transformational Leadership	Transactional Leadership	Laissez-faire Leadership
Factor 1 Idealized Influence	Factor 5 Contingent Rewards	Factor 7 Non-Transactional
Factor 2 Inspirational Motivation	Factor 6 Management-by-Exception	
Factor 3 Intellectual Stimulation		
Factor 4 Individualized Consideration		

Source: Bass 1985, 1990; Bass and Avolio 1993, 1994 as cited in Northhouse 2001

standard by which its impact could be assessed. Utilizing a macro to micro research approach, an evaluation of the program would probe into the policy structures and the characteristics of community capacity based on the criteria provided by Miyoshi and Stenning's model.

Because there is no prescription provided for describing or assessing leadership, the operational framework for the evaluation may borrow from Burns, Bass and Avolio's Transformational Leadership Approach. The seven (7) leadership factors enumerated in the concept provide a solid guideline from which research questions could be based.

* **This chapter is a revised version** of "Puatu, A. K. S. (2011). Community Capacity Building and Leadership: Designing a Theory-Based Evaluation for JICA's Capacity Building and Rural Development Training Program, in Miyoshi, K., Banyai, C. L. and Okabe Y. (Ed.), Proceeding of the Second Roundtable Discussion for Rural Development: Strategic Approaches for Rural Development and Facilitation for Rural Development, Aug. 9-12, 2011, Ritsumeikan Asia Pacific University."

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**PART IV:
COMMUNITY-BASED
ONE VILLAGE ONE PRODUCT
MOVEMENT IN JAPAN**

13

Starting Point of Rural Development and its Progress:

Community Development in Oyama-machi

Hideo Ogata

Hibikinosato

1. Introduction to the Community Development “I Want to Avoid from Being a Poor...”

In 1979, Mr. Morihiko Hiramatsu, former governor of Oita Prefecture, proposed launching the *Isson Ippin Undo*, or One Village, One Product (OVOP) movement. He began by talking to municipal mayors in the prefecture. Here is an excerpt from one of his speeches:

Let's discover the special products that best represent your town or village and deserve national acclaim. Cultivate a theme with these special products to advance local development. I encourage you to develop new products suitable to your region, even if it may take some time. Furthermore, I ask each town and village to come up with original ideas that can be processed and marketed by themselves if possible.

Since its inception 30 years ago, the OVOP movement has been ongoing. My town of Oyama-machi has accepted leaders and young people from Southeast Asia and Africa for training and observation. Whenever I hear them say “*Isson Ippin*,” I cannot help but feel a sense of excitement as a resident of the town where the OVOP movement originated.

Soon it will be 50 years since Oyama-machi began working on its new town development. This chapter discusses how Oyama-machi has promoted its OVOP movement through various approaches with special consideration for the sense of pride and attachment the people of Oyama feel about their town.

Oyama-machi is a small rural community in Hita City, Oita Prefecture. This hamlet started marketing its special products under the catchphrase, “*Ume, kuri uete, Hawaii e ikou!*” (Let's plant plums and chestnuts and go to Hawaii!). Located at an altitude between 100 and 500 meters, Oyama-machi has little flat land; three-quarters of its area is covered by forests, with half of the rest occupied by orchards of plums, grapes, citrons, pears and other fruits.

Oyama is an ordinary Japanese town situated in a hilly and mountainous area. In its heyday, it had a population of more than 6,000 people. But its population is now less than 4,000, and year by year Oyama sees the increasingly rapid graying of its residents resulting from the declining birthrate.

In March 2005, Oyama-machi became a district of Hita City with the simultaneous merger of five towns/villages in the former Hita County. However, to date the Oyama Agricultural Cooperative remains an independent agricultural cooperative.

In the past, the major industries of Oyama-machi were logging and timber transportation on the river, partly because most rafters working the Chikugo River hailed from Oyama-machi. People lived a hard life during that time. Even now, residents don't talk about the time when Oyama was a deserted mountain village, and they invariably speak fondly of the NPC movement. In a brochure introducing the town, the impoverished existence of Oyama's residents is described:

In a dull hamlet without even any paved roads, we lived in shabby houses with straw-thatched roofs and earthen walls. These houses smelled badly and were dimly lit.

Many villagers lived in sad poverty and had no time or money, and no hopes or aspirations. If they had something, it was the sense of envy for others.

In 1954, Harumi Yahata was appointed head of the Oyama Agricultural Cooperative. The following year, he became mayor of Oyama-machi while remaining head of the cooperative. He introduced poultry farming and hog raising to generate income for the people of Oyama-machi. The mayor established a producers' cooperative, called "Shokumiai", for each product category to reinforce production training and marketing. He also started traveling movie shows, put on by the agricultural cooperative in various parts of the region to provide local residents with opportunities for cultural enrichment and amusement. Moreover, Mayor Yahata set up the Scholarship Program for Educating Future Farmers, under which the town government and agricultural cooperative offered a monthly scholarship of 3,000 yen to agricultural successors.

Yahata visited local communities almost every night, holding regular meetings where he talked with residents repeatedly and enthusiastically. Things did not initially work so well, despite his strong personality, originality and remarkable leadership.

Realizing that to raise farmers' awareness it was necessary to provide them with new information Mayor Yahata opened a cable broadcast station at the agricultural cooperative. The cable broadcast station was a simple facility, using bamboo rods to support the cables because of a lack of funding. Nevertheless, through the broadcasting, residents began to gradually develop a common awareness.

At that time, it was an urgent task of community development leaders to devise ways to promote the materialistically and emotionally impoverished community. Yahata felt like he reached the limits of his ability to promote the community's development and focused on finding a key person who could work at his side to nurture a core group to promote activities. He found a kindred spirit in Mr. Chitose Ikenaga, a young agricultural extension worker, who had been transferred to Oyama from Oita Prefecture.

The Oyama Youth Agricultural Study Group was also inaugurated, mainly composed agricultural successors. Leaders came to realize that the ultimate goal of community development is to ensure each and every resident can attain happiness. With this in mind, Oyama-machi launched a campaign in 1961 to "aspire a comfortable income nurtured within wholesome human relationships where people could enjoy a prosperous living environment."

Since many townspeople worked with agriculture in some way, Oyama-machi emphasized agricultural reform and established specific numerical targets. For example, the town set a goal of increasing gross income to 1 million yen on a four-day workweek, over the next ten years. Additionally, three working conditions were proposed to ensure labor savings, labor lightening and labor free of pain. The town also imposed three labor standards: an eight-hour workday, 180 working days per year and a wage of 2,000 yen per day. What is now the basic agricultural policy was specifically represented by figures. Meeting any of these targets seemed like a dream for individual farmers.

Soon after setting these targets, the community development leaders started looking for ways to achieve these ambitious goals. To reduce risks and meet required conditions, they surveyed the trends in production, distribution and consumption of agricultural products, and studied the town's potentials, including its latent resources. Based on the results of two-year surveys, the leaders narrowed down their options, finally coming up with a policy for rearranging paddy field use -- reducing the amount of land devoted to rice cultivation. Oyama-machi began promoting agriculture centered on growing fruits, including plums and chestnuts.

Yahata chose to grow plums and chestnuts because he thought, "In Oyama, there is only a limited amount of arable land. To ensure that farmers in Oyama can make a decent living we had no alternative but

to increase the yield per 10 ares. By encouraging farmers to grow plums, which were up to ten times more profitable than rice at the time, we could substantially increase their income.” Yahata also cited other advantages of producing plums and chestnuts to justify the choice. Additional advantages of growing plums and chestnuts include their ability to be grown on sloped land, their growth potential as healthy foods, their labor-saving cultivation, an alternating busy season for each crop, being well-suited to Oyama-machi’s geographical conditions, and a high income ratio.

Nevertheless, the generally accepted idea at the time was that those who did not produce rice should not be called farmers. Moreover, farmers persistently resisted growing crops other than rice because they wondered whether they should act contrary to Oita Prefecture’s campaign promoting increased rice production. Adding to the hesitation, farmers supporting the new policy quit raising cattle and horses since great care was needed to keep the animals. Doing so gave the farmers more free time. This caused quite a fuss among other farmers, who argued that ceasing to keep animals was sheer madness.

Noting that beasts of burden, such as cattle and horses, could be replaced with agricultural machinery the community development leaders conveyed their enthusiasm for agricultural reform to the young people of the town, without listening to the elderly people’s opposition to the new policy. The leaders intentionally used English words in naming their plum and chestnut cultivation promotion campaign, calling it the “NPC (New Plum and Chestnut) campaign.” They intended to give the campaign a smart, modern image in keeping with the trends of the time. This was done to attract young people to the campaign and encourage them to promote it through their own initiative.

The campaign naming eventually led to the creation of the excellent catchphrase, “*Ume, kuri uete, Hawaii e ikou!*” (Let’s plant plums and chestnuts and go to Hawaii!). For a town development plan to be successful, it must be easy to understand, allowing all residents to easily get the idea. The catchphrase was outstanding in terms of expressing the campaign contents in familiar words. However, Yahata was not satisfied with it. He requested residents create a phrase in reply to the catchphrase. In response, one resident coined the phrase “*Ganbatte ora mo zehi yuku ano Hawaii!*” (We will do our best to go to Hawaii). These two phrases were posted along the national and town roads. This is an indication that Yahata and the residents shared the same feelings.

During the NPC campaign, the town government stopped all other new projects, allocating most of the town budget to procuring seedlings, developing infrastructure, promoting sales and providing technical instruction for farmers. The government subsidized two-thirds of the cost for plum and chestnut seedlings, paying the remaining one-third of the cost as an incentive to farmers who planted the seedlings on existing cultivated land. Farmers were also supplied agricultural chemicals free of charge for the next three years. The government purchased backhoes, which farmers were allowed to use. The only cost to the farmers was the fuel fees.

31 instructors and assistants provided technical guidance for farmers. With such support, cultivation of plums and chestnuts appeared to make a smooth start, but there was an unexpected pitfall. The plum seedlings purchased by the town government included a variety that would bloom but not bear fruit. Farmers, who were looking forward to harvesting plums, became distrustful, saying they were deceived by the government. An intolerant disposition, said to be traditionally inherent in the region, turned into envy and jealousy of the farmers who were lucky enough to succeed in harvesting plums. This deeply distressed Mr. Ikenaga, who was in charge of the campaign and knew more than anyone that the fate of Oyama-machi rested on this campaign. Mayor Yahata was one of the victims, but did not lay blame or yield in the face of failure. He coped with the problem by grafting fruit bearing trees onto the non-productive ones.

Cultivating plums and chestnuts requires sophisticated farming techniques, including applying manure

and pruning to control pests, unlike conventional crop farming, which relies on weather conditions after sowing the seeds. It gradually became necessary to shift to knowledge-intensive agriculture, especially in terms of distribution and sales. Just as in companies, agriculture is supported by human resources. The NPC campaign went from the crop producing stage to the next stage of human resource development.

2. Break Away from the 'Jealous' or 'Envy'

In 1965, Oyama-machi commenced a human resource development campaign with the objectives of demonstrating to the residents that they shared the same destiny and providing people with education and knowledge so they could live healthy, cheerful and spiritually enriched lives. The campaign was named "Neo Personality Combination," here again abbreviated as "NPC" (the second NPC campaign).

One of the goals of this campaign was to provide places and occasions where many residents could meet and identify issues they shared in common, rather than focusing on issues specific to particular individuals. More than 15 town-wide events per year were regularly held in Oyama-machi, though some no longer exist. These events include the New Year's ceremony, the anniversary of the introduction of the town administration, joint memorial services, a day for self-reflection, and a thanksgiving day. Above all, the *Ohayo* softball league attracted the attention of many residents.

A young town official returned to Oyama-machi after completing a job training program. Where he received the training, people enjoyed playing softball every morning. Based on his experience, he submitted a plan to the town government to organize a softball league, *Ohayo* softball was born. At that time, Mayor Yahata summoned those proposing plans to the mayor's office in order to talk directly with them, regardless of their titles. Yahata summoned the young official and said to him, "This plan sounds interesting. I'll give you the OK to go ahead, but I'll summon you again to my office a year from now and ask you only one question: What results did you obtain from organizing the league? Note, though, that I won't accept answers described in this written proposal, such as improving competitive abilities, developing the community, and closing the generation gap. You'll need to submit fourth and fifth answers."

The young official actually did not fully understand what the mayor said to him then. But once the mayor's approval was obtained, the *Ohayo* softball league was launched. People ages 20 to 60 were qualified to join the tournament and the total sum of ages of on a nine player team must be over 260. This strange league had 14 participating teams in its first year. All teams practiced hard in the hope of winning games and team members often drank sake together after every practice. Over drinks, they talked about how to find a wife who was good at playing softball, because league rules required each team to include one woman player. Day in and day out, they talked only about softball, mainly how to strengthen their teams.

One year later, though, the young official could not live up to the mayor's expectations. The mayor allowed the young official to continue the softball project one more year, saying "It may have been unreasonable to require you to find the desired answer, after just one year. But if you still can't answer my question after the second year, then it might be better for you to quit working as a public servant."

After the middle of the second year, maybe because team members became tired or uninterested in only talking about softball, groups ventured into activities other than softball. For example, softball teams cleaned up a shrine, opened a beer garden during summer at the community center to help pay the center's operating costs and tried to acquire forests or other properties. Mayor Yahata was pleased to hear the young official's report on these new activities, and said "You did a fine job. You've finally found an answer. It would have been such a waste if the softball league project ended without developing into other projects. As a project organizer, you should at least use softball as a common and popular topic, to promote

common sentiments among residents about community development.”

At its peak, more than 32 teams and 600 players participated in the *Ohayo* softball league. The project also led to organization of the Kids Softball Tournament and Moms’ Night Games, and eventually to the formation of groups of the middle-aged and elderly in 20 communities around town.

It was around this time that the Lifestyle Academy was inaugurated. The Academy, which is like a culture center, held a learning program offering various classes related to people’s everyday lives and production activities. Curriculums were designed to enable students to take lessons for about six hours a month from instructors who were town residents. Regardless of age, including children and adults, people in the community participated in a variety of courses, such as calligraphy, flower arrangement, folk singing, English conversation, pottery, judo and kendo. These classes were run by the students themselves, who also determined the course fees.

The most dramatic event in the community development projects of Oyama-machi would be the dispatch of young people to Israel. For Oyama-machi to continue surviving on agriculture, it was necessary to establish a sense of values that respected hard work and to carry out extensive agricultural rationalization. Oyama-machi considered the *kibbutz*, a form of Israeli farming cooperative, as its model to follow. Three young men were sent to a *kibbutz*, where they stayed for four months. Based on their experience there, they submitted reports on the mechanisms of cooperative work, individual-society relations and mutual support, the ideal state of rural factories, and ways that local communities could achieve independence. Their reports gave fresh impetus to Oyama-machi’s community development. Oyama-machi also established a sister town relationship with the *kibbutz* where these men trained, so the exchange project could continue in the future. The following year, Oyama-machi sent town leaders, including town council members and agricultural cooperative executives, especially in terms of distribution and sales, to the *kibbutz* to receive training.

Since then, overseas training programs have been held annually, with more than 80 people eventually participating in *kibbutz* training in Israel. Those who were sent overseas for training learned sociability and the spirit of taking on challenges without fear of failure. The lessons they learned from their overseas training helped establish the mushroom industry, promote product processing and distribution projects, and form new autonomous organizations. Subsequently, Oyama-machi launched similar overseas training programs for women and elementary and junior high school children.

The living environment in Oyama-machi proved to be particularly inferior to that on a *kibbutz*. To improve Oyama’s living environment, the 36 groups of houses in Oyama were reorganized into eight communities, based on the number of conventionally functioning fire brigades or temples, while ensuring that residents of each community could walk to a community center, receive support, and hear each other’s voices. Each community was conceptualized as a type of individual *kibbutz*. This reorganization project intended to develop an environment where residents could live a healthy, cheerful and prosperous life. In 1971, this movement was named “New Paradise Community,” again abbreviated as “NPC” (the third NPC campaign).

3. Construction of the Japanese Kibbutz by Reorganizing the Community

During this period, Oyama-machi saw a slight decrease in population. To prevent further population decline, bond issuance was permitted. Making use of the bond, Oyama constructed not only roads, but also community centers, gymnasiums, swimming pools, water supply and sewerage systems, a plaza, an administrative wireless communication system for disaster control, CATV, and even a center to supply food and other daily living necessities and luxury grocery items. Facilities for collecting and processing agricultural products were also modernized. Development of these facilities helped foster development of

human resources. The most impressive of all the activities financed by the bond issue was the National *Umeboshi* (Pickled Plum) Contest organized in Oyama-machi.

In March 1988, the newly opened Oyama-machi CATV station broadcast a TV debate program, “What should we use the 100 million yen for?”. For Oyama-machi, this program marked the start of the “*Furusato Sosei* Scheme,” a Japanese government project aimed at revitalizing local communities. On the TV debate program, five participants, including a farming successor, commercial operator, woman resident and regional activity leader, held discussions based on survey results regarding town development and videotapes containing frank opinions from town residents. The program was designed to also invite home viewers to participate in the discussions by telephone. A total of 118 opinions and ideas were submitted to the program, concerning various themes in 13 categories, such as human resource development, interregional exchange, inheritance of traditional culture and development of local specialties.

Many of the submitted opinions and ideas drew attention to doing something different. There was one proposal, however, that was not conspicuous but attractive. A 60-year-old woman calling by telephone suggested holding a best quality *umeboshi* contest. Based on her idea, Oyama-machi held the 1st National *Umeboshi* Contest, which eventually was awarded first prize in an idea competition organized by the National Land Agency.

The *umeboshi* from Oyama-machi, however, was defeated in the contest. This bitter experience motivated Oyama *umeboshi* producers to make better products, and four years later a producer from Oyama-machi won the contest’s championship. After winning, situations surrounding plum farmers in Oyama-machi began showing positive changes. Previously, plums were shipped to market without being processing. But after the contest farmers began marketing homemade *umeboshi* to neighborhood *ryokan* and hotels. These *umeboshi* products became popular for midyear and year-end gifts. Moreover, the town’s direct-sales shop, Konohana Garten, opened in Fukuoka and Oita City. This made it possible for farmers to price and sell their *umeboshi* products under their own brand labels. Naturally, farmers realized they were responsible for their products, as the producers. This prompted farmers to have self-awareness that good *umeboshi* can be made from good plums.

In response to such favorable trends, the Oyama Agricultural Cooperative, the Oyama-machi government and the Oita prefectural government proposed the Plum Renaissance 21 campaign. Under this campaign, activities to develop plum cultivation as a new industry were launched. Activities included replanting plum trees over 30 years old, cultivating stocks of excellent high quality plum variety (*Nanko*), making crafts from cut plum trees, and cultivating *Reishi* mushrooms.

The farmer’s job is to produce farm products, such as raw materials or ingredients, and this was their long-established role. However, the five *umeboshi* contests held in the past have helped Oyama-machi farmers realize that they can substantially increase income if they process raw materials and sell the processed products themselves. The number of farmers obtaining a license to operate a processing facility began to gradually increase. Recently, an increasing number of *umeboshi* produced in Oyama are sold at high-end food retailers because they are highly regarded as a safe, healthy and traditionally made food.

However, developing facilities and human resources was based on the assumption that a rural area is a place to live and produce agricultural products. As such, Oyama-machi revealed the weakness of the industrial structure in the Japanese economy, which began focusing on service industries after the collapse of the bubble economy. Oyama-machi was once again compelled to cope with the situation, this time by establishing a system to promote economic circulation within the region (local consumption of locally produced products) and by accepting different cultures through intraregional exchange.

When Oyama-machi worked first began the New Plum and Chestnut campaign a national project was under way to construct the Matsubara and Shimouke Dams. The dam construction project played a major

role in fundraising, infrastructure development and in securing employment for farmers until the harvest of plums and chestnuts.

When the town carried out industrial structural reform, a plan for building a new dam was proposed. This was the plan to construct the Oyama Dam, which supplies drinking water to the Greater Fukuoka area and municipalities in Fukuoka Prefecture. The then mayor entertained two ideas: community redevelopment and local new community development. The first idea would improve the living standards of residents in the area and develop an attractive local community where people both inside and out wanted to visit and live. The second idea would create a model area that leads the way in new community development in Oyama-machi. To these ends, the mayor planned a strategy of strengthening relationships between residents who would benefit from the dam construction and those who may not. Mutual exchanges were promoted and the roles of both groups were integrated and supplemented. Oyama-machi was quick to draw up a project incorporating the mayor's ideas, as the start of the post-NPC campaign, and set up new goals.

Just when Oyama-machi was about to implement the project, the town was hit by large-scale typhoons like it had never experienced before. Typhoons #17 (Kinna) and #19 (Mireille) in 1991 caused extensive damage to the town. The afflicted area, including the surrounding region, covering 6,208 ha and 20 million trees were damaged by the typhoons. The town had to address the damage.

In some mountainous areas Japanese cedar trees were uprooted and Japanese cypress trees were broken in half. In other mountainous areas, however, zelkova, wild cherry and oak trees remained firmly rooted. After seeing the typhoon-afflicted forests many people regretted uniformly planting the forests with cedar trees alone. If there had been diversity in planting, the affected forests would not have been so devastated.

The forests are an important source of water in Oyama-machi and because of this the people were determined to plant disaster-resistant forests of evergreen and broad-leaved trees. These trees would not be cut down at least 100 years and dramatically changed Oyama-machi residents' forest view.

Fortunately, a site on the left bank of the dam was set aside for soil discarded from dam construction. Oyama-machi launched a seven year project to develop an area within 10 ha of this site as a model for a new forest planting. The Beautiful Forest Creation, the name of the tree planting program, has been partly finished by volunteers from Fukuoka city. At the construction soil disposal site, a forest park is scheduled to open on the theme, "Watch, Create, Play and Learn."

Although farmers are no longer cultivating chestnuts, there has been continuous plum cultivation for the past 50 years. Farmers used to sustain their livelihoods by cultivating Japanese plums, pears and other fruits, mushrooms, as well as specialty vegetables such as watercress and herbs, all of which were delivered to consumption areas. Oyama's farmers' incomes have steadily increased through the implementation of the unique agricultural strategy of selling a wide variety of products with scarcity value, in small quantities. However, such agricultural situations underwent changes around 1993, when pricing competition started due to the import liberalization of agricultural products after the collapse of the bubble economy. Production and sales became stagnant and farming successors who were unable to make a living left Oyama-machi to cities to get new jobs. The agricultural cooperative took the lead in trying to make distribution reforms by opening direct-sales stores in urban areas. But such efforts could only maintain the status quo at best, not improve the situation.

4. From the Discussion of Failure to the Increase of Potential

Mr. Zenpachiro Mitoma, the newly appointed mayor of Oyama-machi (now president of Oyama Yumekobo, K.K.) said, "For community development, we should not discuss negative aspects, but rather how to expand the potentials of the region." He adopted three strategies. The first one was to create a new

industry that augmented the raw materials industry. To this end, it was necessary to construct and manage visitor facilities, promote product development, and establish a system to increase the amount of visitors to the community, in order to boost local consumption of locally produced goods. The second strategy was to preserve precious environmental assets for future generations. This meant increasing the volume of water in the Oyama River, whose volume had dropped as a result of the construction of dams and power plants upstream, and restoring mountains and forests that had been damaged by typhoons and other ways. The third strategy was to establish an organization capable of appropriately managing these projects.

Specifically, Oyama Yumekobo, K.K. was set up to promote community development in place of the town government, agricultural cooperative and association of commerce and industry. This company's establishment was based on the recognition that regional management requires cooperation and partnership beyond the boundaries of industrial categories, between public and private sectors, and among municipal or prefectural jurisdictions, as well as transcending national borders. Oyama Yumekobo is a public-private venture jointly financed by the government, private companies and local residents. The company today has more than 300 shareholders, including some investors. Every time a general meeting of shareholders is held, an atmosphere of tension runs through the meeting. Through these experiences, we have learned the difficulties in running a company, countermeasures to be taken and the importance of maintaining a sense of alertness in management.

Some residents, however, were not pleased with the policy changes, even though the changes were made to cope with the changing times. Notably, farmers who had experienced success in the NPC campaigns showed resistance to the industrial structural reform. Although Oyama Yumekobo was established, the projects to set up a liqueur factory, a roadside rest area, and a visitor facility were all voted down at the town council meeting, attended mainly by opposition party members. Deliberations at the meeting were broadcast to Oyama-machi residents via the town's cable television service, introduced in 1987.

Young people were disappointed watching the televised discussions held between the administration and town council. This inspired many young people to play a central role in setting up the Oyama Yume (dream) Council, which proposed reforming the town assembly, and took various actions to promote reform processes. These actions included publishing community development newsletters, planning symposiums and organizing workshops. Despite such efforts, the youth of the town came to feel the limits of resident organizations' activities. Some of them also ran for town council, fielding 14 new candidates for the 10 seats. In the end, eight new members were elected, with two incumbent members reelected. In spring 1999, the new council launched a concrete project toward revitalizing Oyama-machi.

Through the exchange program called "Beautiful Forest Creation," promoted in collaboration with Fukuoka City, people in Oyama-machi realized that there was little information disseminated to Fukuoka about their rural mountain village. To address this problem, Oyama-machi presented a project to set up a center to disseminate information on Oyama-machi, encourage exchange of people and goods, as well as economic exchange in the city of Fukuoka.

Oyama-machi also requested the Fukuoka City government dispatch some of its employees to Oyama-machi. The purpose of this request was to have Fukuoka City employees gain first-hand understanding of the actual conditions of a rural mountain village. Eventually, these dispatched employees became intermediaries, encouraging the residents of Oyama-machi and Fukuoka to mutually participate in festivals held in their town or city, and facilitating commencement of exchange programs for elementary schoolchildren.

It was around this time that the Hakata Yamagasa float was displayed in Oyama-machi. As part of the life-long learning program in Fukuoka City, residents of Oyama-machi visited Fukuoka to give cooking

seminars on the culture and products of a rural mountain village, also providing reference materials for such seminars. Above all, when the Fifth Kyushu Dam Summit was held in Oyama-machi, discussions took place between upstream and downstream parties. As a result, Fukuoka City promised to create a fund for the dam reservoir area development by allocating part of the water charges to help establish the fund. This promise was realized as the Fukuoka City Fund for the Preservation of Water-Source Forests.

These exchange promotion efforts helped bring Fukuoka City and Oyama-machi closer together, both in terms of travel time and mental distance, the former of which was realized by development of a high-speed transportation system. However, such exchange was only occurring between specific groups of government officials and town/city residents. This recognition produced an ambitious idea that it is important to allow an unspecified large number of people to regularly enjoy exchange opportunities. This idea then developed into a plan to set up the Oyama Lifestyle Consulate in Fukuoka (renamed the Hita Lifestyle Consulate after the municipal merger). The Consulate was expected to function as a facility for cultural activities to produce amusements that could not be experienced in the urban area, in Fukuoka rather than in Oyama-machi. It was also intended to serve as an urban exchange facility where users could experience pleasures that could not be found in the rural area.

The site for the Consulate is fortunately located in Marina Town, which is considered a high-status area for new urban residents. The plan for constructing a cross-prefectural facility gained acceptance from the national and prefectural governments as a project to prevent rural population decline. The approval was backed by the national distribution zone development project and the Kyushu-fu Initiative advocated by Mr. Morihiko Hiramatsu, Governor of Oita Prefecture. Also, the Fukuoka City government allowed the Consulate to be treated as a public facility of the city, exempting it from property taxes. A councilor and two staff members are actively working there to facilitate economic exchange for Oyama-machi and visits to Fukuoka City.

As a result of the dam construction projects were implemented to restore a rich natural environment, prepare substitute housing sites for residents living in the area to be submerged and build new prefectural roads in place of those to be submerged. Economic support measures to compensate for the loss of that natural environment were finalized. With the construction of substitute housing sites, Oyama-machi adopted a policy to create an environment where residents could live convenient and safe, comfortable, and cheerful lives, taking into account such factors as living convenience and safety, amenities, and health and cultural activities. Oyama-machi stipulated its own financial incentive system to encourage permanent residency of people living in the areas to be submerged. Under the system, each applicable household was given as much as 5 million yen as an incentive. The system played a major role in creating a comfortable living environment.

Concerned enterprises are also making efforts to preserve the bounty of nature as much as possible, by organizing a team of experts to find ways to realize harmonious coexistence among people, nature and the dam. It is true that some residents who had lived in areas submerged because of the dam left Oyama-machi. But now we no longer hear any lament over the submergence, which we used to hear at community gatherings held in the Seko district where another dam was built 25 years ago. It is encouraging to see, under the bright sunlight, a canal running through the Seko district, where water supply and sewerage systems have been completed and a plaza and assembly hall have been constructed. What is more, people in the district live comfortably with pride. Seko is now the representative district of Oyama-machi.

On the other hand, there are people who suffer from the aftereffects of the construction of the Matsubara and Shimouke Dams. They live in the Oyama River basin. In the past, Oyama-machi sold the usage rights for the water in the Oyama River to an electric company in order to meet the electric power

demand that was surging under the industrial policy. Then the Matsubara Dam was constructed, followed by completion of water tunnels for power generation in the mountains. It was at this point that a problem manifested. Except for a small amount of water for river maintenance, all the water flowed through the power generation tunnels on both sides of the river. Consequently, the *Hibiki ayu*, known as Japan's best sweetfish in the Edo period, disappeared. Witnessing the miserable condition of the completely transformed river, in 1975 the town council took the lead in waging a campaign to increase the river flow rate. Eight years later, under the name of the Matsubara dam redevelopment project, the electric power company agreed to flow 1.5 tons of water per second for river maintenance.

5. Oyama River Regeneration Movement through *Hibiki Ayu*

This figure has been established nationwide as a guideline of between 0.1 and 0.3 ton per 100 km² of catchment area, and applied when the term of power generation water rights is renewed. Nevertheless, the river was not restored to its original state. In 1996, several years before the 30th year renewal of the terms of power generation water rights, a regional development group held an event to canoe down the Oyama River. Residents participating in the event felt a sense of crisis when they realized the actual conditions of the river, which had a very low flow rate and emitted an offensive smell, making it impossible to find any aquatic life. The sense of crisis motivated town residents to take action, with 85.3% of residents signing a request to increase the river water volume. A group of residents prepared the Oyama River Regeneration Plan, which envisioned a regenerated river that could serve as a habitat for the *Hibiki ayu*. Long-term discussions were held among members from the national, prefectural and municipal governments, resident representatives, and experts in related fields. These discussions led to the decision to secure 4.5 tons of flow rate per second, but only during the growing season for sweetfish.

In 2007, a sweetfish more than 30 cm in length was caught at a fishing tournament held on the Oyama River. It was the long-awaited revival of the big sweetfish. However, the fish later proved not to have the distinctive flavor unique to sweetfish. To revive sweetfish having the distinctive flavor, the campaign has now begun a quest for improvement of the river water quality and a further increase in river volume.

Around that time, Oyama-machi realized that some of its natural environment is not effectively utilized. Oyama-machi was certain that Fukuoka citizens were interested in nature, the environment and health, judging from the responses of the people at the Lifestyle Consulate in Fukuoka City, especially those engaged in business. Based on this, a local community initiative in Oyama-machi decided to have as one of its development policies that the town would make active use of its geographical conditions and environmental and industrial resources to develop an exchange center composed of tourist, restaurant, workshop and accommodation facilities to increase the exchange population and facilitate the growth of new local industries. As a specific project, Oyama-machi decided to construct and manage a facility called Bungooyama Hibikinosato.

In November 2002, Bungooyama Hibikinosato opened, equipped with a factory to make plum liqueur and other types of liqueur using ingredients produced in Oyama-machi, plus hot spring facilities, accommodation facilities, restaurants, and a workshop where visitors can enjoy various hands-on experiences. Oyama Yumekobo, the company that operates Bungo-Oyama Hibikinosato, is supported financially by not only the Oyama-machi government, but also Nikka Whisky Distilling Co., Ltd., and has a total of 302 registered shareholders, including local residents wishing to invest in their dreams. Needless to say, this center was able to provide work opportunities for residents who had lived in the submerged areas. Two years later, a roadside rest area called "Mizubenosato Oyama" opened. In addition, in October 2008 the research shop "Oyama Yume Club" started operation in Kashi, Fukuoka City. Oyama Yumekobo hires 75 employees including part-time workers.

Annually, 650,000 people visit Oyama, where they directly spend 750 million yen. According to one estimate, the economic ramifications could amount to 1,800 million yen including labor costs, taking into account industries related to distribution channels, such as retailers, wholesalers, manufacturers, raw material dealers, and producers. We have learned anew that tourism is an industry with a wide range of potential.

To attract many people, it is necessary to come up with various ideas. When Bungo-Oyama Hibikinosato was launched, its operating company adopted the advertising strategy of using a symbol mark and color to disseminate the corporate image and concept to people inside and outside the company. This strategy was effective in arousing people's interest. In particular, the company employed a leading advertising expert, which helped win a Good Design Award, making it significantly easier to conduct future sales promotion activities. We are also pleased to obtain external support. A junior high-school student produced a TV commercial and applied for the Furusato CM Contest, organized by a private broadcaster. The student successfully won first prize, obtaining the right to broadcast the commercial 150 times. Moreover, a housewife recognized as Japan's top *umeboshi* producer at the National *Umeboshi* Contest, and others working hard to revive *Hibiki ayu*, have played their roles in disseminating information on both Oyama-machi and Hibikinosato. We feel that it is essential for tourism promotion to enable local residents to be proud of Hibikinosato.

Knowledge imported through information exchanges have greatly contributed to the creation of new industries. Notably, in 2006 the liqueur made of excellent ingredients (fruits and herbs) grown in Oyama-machi, using the technologies of Nikka Whisky Distilling, was exhibited at a wine festival in Bordeaux, France. The liqueur was well received because of its local characteristics as well as for its excellent design. This product is sold to high-end gourmet shops and major department stores in the Kanto market. We have already started exporting the liqueur to the U.S., Hong Kong and Singapore. As for production of this liqueur, an Oyama version "decoupling" has been introduced to compensate the income of producers, who are required to procure ingredients that are the safest and highest quality possible.

We developed and sold a new type of *Umeboshi Chazuke* (plum seasoning for rice soup) product, by improving the conventional dry food-type ones. Our original *Umeboshi Chazuke*, which uses raw instead of dried umeboshi, has earned a favorable reputation. As well, Oyama Yumekobo has worked on product development specializing in plums. Specifically, they have developed confectionery made of liqueur-soaked umeboshi, and commercialized high-quality plum extract and dressings in collaboration with a university and company.

Such initiatives attracted attention from the national government. In 2008, Oyama Yumekobo was selected as one of the 88 Best Collaborations among Agriculture, Commerce and Industry, recommended by the Ministry of Agriculture, Forestry and Fisheries and the Ministry of Economy, Trade and Industry. Currently, Oyama Yumekobo is working to develop a new beverage using plums, with support from the Japanese government.

6. Building the Rural Life Style with the Attachment and Pride

It has been 25 years since Oyama-machi undertook the post-NPC (New Plum and Chestnut) campaign. Now we can see the service industries are growing while raising the level of the raw materials industry, as exemplified by Hibikinosato, Konohana Garten, and green tourism in the Ogirihata district. Moreover, Oyama-machi has successfully preserved its natural environment for future generations through various exchanges and cooperative efforts in promoting environmental programs like creating the Taraibaru 100-year Forest, increasing the Oyama River volume, and creating the Ueno Refreshing Forest. Furthermore, Oyama Yumekobo, K.K. was set up as an entity to organize and manage new community

development projects.

As discussed above, several projects implemented so far appear to have achieved positive results, along with progress in the dam construction. However, I believe that tourism can produce synergistic effects only when combined with other relevant industries, rather than being promoted alone. This summer, many fishing enthusiasts from around Japan came to catch big sweetfish. After construction of the Oyama Dam is finished, the Taraibaru Beautiful Forest Park will be completed. Private companies have started constructing new facilities, including hot spring facilities, in Oyama-machi. It is no longer an impossible dream to increase the number of people who visit Oyama to 1.5 million a year, including visitors to Hibikinosato and other existing facilities.

If Oyama-machi can make optimal use of its mountains, rivers, shrines and temples, fresh and safe farming products and local residents, and can find joy and pleasure in these assets, it is natural that Oyama-machi should attract many people. What matters is how much pride and attachment residents living there can feel about their local community.

In Japan, local municipalities have long implemented community development, while casting an envious eye toward Tokyo or other big cities, and cherishing the illusion that a local community can be transformed into a city. It may be high time to quit pursuing community development based only on economic standards and level of convenience. In this sense, as never before, residents in local communities are now required to establish a “rural lifestyle.” If something costs 5 million yen in Tokyo, it would only cost 2 million yen in Oyama, where residents are required to find optimal way of living a comfortable life in an abundant natural environment.

* **This chapter is a translated and revised version** of “Ogata, H. (2010). *Chiiki Okoshi no Genten to sono Hatten: Oyama-machi no Chiiki Kaihatsu*. (Starting Point of Rural Development and its Progress: Community Development in Oyama-machi), in Miyoshi, K. (Ed.) *Chiikiryoku : Chiho Kaihatsu wo Dezain suru* (Community Capacity: Designing Rural Development). Kyoto: Koyo Shobo, 105-132. (In Japanese).”

14

Developing Community Capacity for Rural Development:

An Alternative Approach for Rural People

Koichi Miyoshi and Naomi Stenning
Ritsumeikan Asia Pacific University

1. Introduction

Despite significant economic development in many countries rural populations have been left behind and continue to find it difficult to compete with urbanized areas and achieve real improvements in living conditions. The majority of rural populations have to stay in their area without moving to economic-centered areas and utilizing accumulated economic advantages in urbanized areas for improving their lives. This situation will remain in the future despite their strong desire for a better life. Therefore, the persistent impoverishment of these rural communities around the globe requires a shift away from the conventional economic-centered approach to development. An alternative development is required. In order to benefit rural communities, an alternative approach to development is grounded in reality and is holistic in its view. It takes into account not only the economic and formal (market) aspects of life but also acknowledges the social, political and informal realms.

In response to this requirement the purpose of this chapter is to provide an alternative development approach focusing on community capacity development that benefits rural communities. This approach seeks a dual function aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of economic, social and political activities to change the life of the community's population. This approach emphasizes the operational aspects of its utilization and aims at providing concrete and practical concepts for the implementation of rural promotion and development by utilizing existing potential resources in rural areas. In this chapter our intention is not to theorize the rural development phenomena, but to conceptualize a rural development approach for practical usages. Real life is not so simple to be interpreted by simple theories for causalities. There are various options for development available for us to choose from. It is important to clarify the concepts to examine, discuss, and analyse their real life uses for the people seeking a better life.

In order to illustrate the dual function of community capacity development and introduction of new community policy structures, this chapter utilizes the development experience of Oyama-machi, an inspirational archetype of the One Village, One Product (OVOP) movement as a case examining the nature and development of community capacity and its contribution to Oyama-machi's development over the past fifty years.

2. Community Capacity and Policy Structure Model

2.1 Community Capacity Development and Policy Structure Model

The model in Figure 1 illustrates that a community uses its capacity to plan, implement and evaluate community policy structures. This framework allows identification, conceptualization and clarification of community processes through the inclusion of program theory, whilst simultaneously providing a basis for the analysis of community capacity. This model is a dual function model aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of economic, social and political activities to change the life of the community's population.

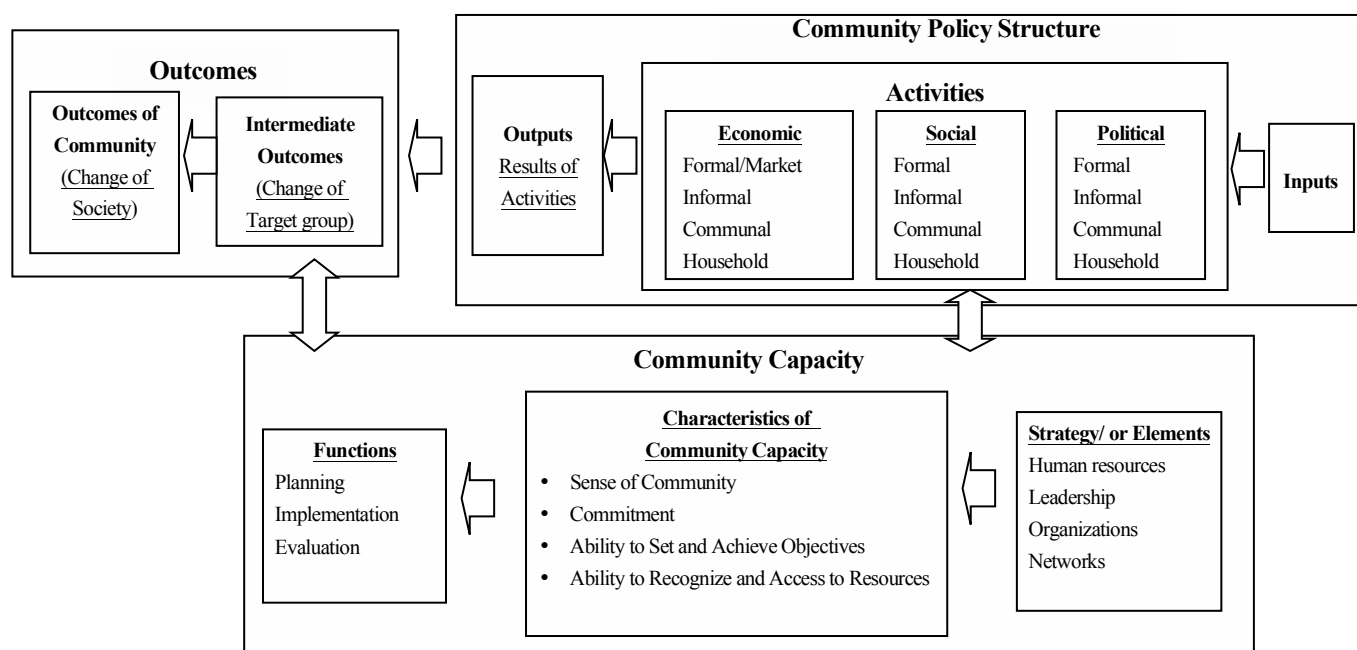
The model itself has been formulated and stipulated based on Chaskin *et al* (2001), Friedmann (1992) and Miyoshi *et al* (2003), and the results of researches conducted through the implementation of training programs and preparation of training materials under the international cooperation program¹. The origins of the model and its specific components are elaborated below.

2.2 Community Capacity

Community capacity is the thing which allows or causes a community to function (Chaskin *et al* 2001). As something which allows a community to function, community capacity refers to the strategies for developing the components of the community, the characteristics of these, and their functions, or to all of these together as a whole. Capacity itself is shaped by the interaction of these three elements (strategies/components, characteristics and functions).

The model adapts the concept of community capacity from Chaskin *et al* who define community capacity as ‘the interaction of human capital, organizational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of that community’ (2001, p.7). Chaskin *et al* also describe community capacity as operating ‘through informal processes and/or organized efforts by individuals, organizations and social networks that exist among them and between them and the larger systems of which the community is a part’ (2001, p.7). Characteristics of community capacity presented by Chaskin *et al*’s study include: sense of community, commitment, problem-solving ability, and access to resources (2001, p.13). The model presented in Figure 1 includes the characteristics of community capacity as described by Chaskin *et al*,

Figure 1: Community Capacity Development and Community Policy Structure Model



Source: Formulated based on Chaskin *et al* (2001), Friedmann (1992) and Miyoshi *et al* (2003)

¹ Ritsumeikan Asia Pacific University conducts Japan International Cooperation Agency’s group training programs of technical cooperation for rural promotion and development. The programs include: Training Course in Community Capacity and Rural Development for ASEAN countries; Training Program on the “One Village One Product” Movement in Tunisia; Training Course in Seminar for Municipal Mayors of Clustered LGUs: The Philippines; Area-focused Training Course in Community Capacity and Rural Development for African Countries-Focusing on One Village One Product; and Training Course in Enforcement of Regional Administrative Function for Local Industrial Promotion in the Republic of Chile.

but modifying for ‘problem-solving ability’ which has been supplanted with ‘ability to set and achieve objectives’ and ‘access to resources’ with ‘recognition of and access to resources’. This is because, in reality, a positive (also referred to as asset-based) approach to development is more viable. Setting realistic community objectives and striving to achieve them using the resources available is essentially a less difficult task than focusing on a negative aspect (problem) in the community and attempting to ‘solve’ it. Below the characteristics are described in more detail.

The first characteristic shapes the very existence of the community, it involves the members of the community being aware that they are a community. Important points of ‘sense of community’ include the degree of connectedness and strength of relationships among community members and to what degree they recognize a mutuality of circumstance and share commonly held norms, values and vision.²

‘Commitment’ refers to the responsibility that individuals, groups, and organizations take for what happens in their community. This includes two aspects, both recognizing oneself as a stakeholder or beneficiary in the wellbeing of the community as well as being willing to participate actively as a stakeholder for the betterment of the community.

The ‘ability to set and achieve objectives’ involves translating the abovementioned commitment into action. As mentioned above, we prefer to highlight an objectives-oriented approach to action in the community such as appreciative inquiry, as it is more realistic to make progress with rather than ‘problem-solving’ which denotes negation, criticism and making difficult changes to ‘fix’ the problem.³ We also emphasize ability to set objectives. Setting objectives is indispensable ability for achieving objectives and is required for guiding activities to appropriate direction.

‘Recognition of and access to resources’ involves being able to identify and secure the productive use of various available resources (social, human, economic, physical/environmental, political) both within and beyond the boundaries of the community. This includes being able to forge and make use of linkages between community members (groups, individuals, organizations) and actors in the broader system of which the community is a part (for example in the case of a hamlet or village these would include those in the city or province where it is located). We also emphasize ability to recognize unutilized as resources for development to encompass wider scope and increase selections.

The ‘Strategies’ box in the diagram describes both the components of the community which hold and contribute to community capacity and the ‘points of entry’ or specific targets for community capacity development strategies. These include: human resources development (individuals); fostering leadership (formal and informal leaders); establishment and enhancement of community organizations (governmental and non-governmental, voluntary, private enterprise, social organizations); and social capital (networks among community members and between them and entities beyond the community boundaries).⁴ These components of community contribute to the transformation of the sense of community attributes in endogenous way by the community’s initiatives or endogenous ways as an intervention from outside of the community. In practice we suggest the classification of strategic activities of community capacity development from the activities of policy structure even if calcification is difficult.

The components of community capacity do not necessarily need to be kept uniform or static. As each community changes and evolves so too does that community’s capacity and its components. Thus it does not make sense to attempt to fix community capacity at a certain level or to aim to apply some kind of recipe as a panacea as each case will differ and the one community’s situation will also differ over time. Community capacity should be understood and applied as both a diverse and a flexible concept.

² See community psychology literature such as Sarason (1974) or McMillan & Chavis (1986).

³ For resources on appreciative inquiry consult: <http://appreciativeinquiry.case.edu/>

⁴ On social capital see Putnam (1993).

The function of community includes planning, implementation and evaluation function of policy structures of community. The capacity of community is realized through planning, implementation and evaluation of policy structure. It is difficult to differentiate the function of community capacity and implementation of policy structure by community clearly but it is of our opinion that differentiation of the community capacity function and implementation of policy structure provides more concrete practical scope of rural development activities.

2.3 Community Policy Structure

The consequences of community capacity development interact with and produce an impact upon the selection of policy structure of the community. By policy structure we refer to the economic, social and political aspects of life/activities within the community. The community's selection of policy structure depends heavily on its capacity situation. Thus as the community develops or upgrades its capacity, the community transfers to or selects a new and more sophisticated policy structure through their planning, implementing and evaluating function. This situation has an analogy to that figure skaters perform their splendid programs by specify their exercises based on their basic physical and technical capacity acquired through basic training though both are inter related.

'Mainstream doctrine' on international development tends to reduce the definition of development to a purely economic consideration, for example GDP per capita, and direct focus on capital accumulation at the expense of other important development issues (Friedmann 1992). This narrow view of development also results in the plight of the rural poor being largely ignored. In order for an effective 'alternative development' to work it is essential that a broader range of issues is included.

The policy structure part of the model acknowledges non-economic aspects by incorporating social and political activities and allowing for the incorporation of informal (as well as formal) activities. Community policy structure illustrates the process of community activities through the application of program theory. Community activities that it can be used to describe are many and varied. For example, it might be used to describe and clarify agricultural production processes, specific development initiatives, community events, or informal social processes. This part of the model helps to clarify these processes along the lines of a logical framework/program theory (end outcomes, intermediate outcomes, outputs, activities, inputs).⁵

End outcomes signify the eventual change in society due to a certain activity or process. Intermediate outcomes are the changes in the target groups' behavior or situation that are expected to lead to the end outcome. Outputs are the results of activities usually expressed in numerical terms (number of workshops conducted, for example). Activities, on the other hand, are the actual workshops themselves (for example), whilst inputs include any resources used for a certain policy structure such as funds, local human resources, external experts and so on.

The community's selection of policy structure and its successful implementation depend heavily on the community's capacity situation. Moreover, as the community develops or upgrades its capacity, the community will naturally transfer to or select a new and more sophisticated or value-added policy structure. The process of a community using its capacity to plan, implement or evaluate a certain policy structure may also contribute to developments in community capacity, particularly if these results in expected end and intermediate outcomes (changes in society and specific target groups).

2.4 Note on Community

Why are we concerned with the community and its capacity? The concept of community has been the

⁵ For more on logical frameworks/program theory refer to Funnell (1997), Rogers et. al (2000). JICA (2004), Miyoshi et. al (2003), Miyoshi (2007)

concern of sociologists for more than two hundred years, but even a satisfactory definition of it in sociological terms appears as remote as ever (Bell and Newby 1974, p. xlili). However in real life people create and establish relations when they live together in a certain territorial area. Therefore their delineation of the 'established' and 'outsider' groups may have a theoretical relevance (Bell and Newby 1974, p.5). This situation continues to exist at present.

In the specific territorial areas, especially in the rural specific territorial area confirmed by administrative boundaries, people recognize their position or roles depending on whether they are in or out vis-à-vis the social system which has been established by the people in the specific area. This kind of situation is simply identified if people are asked their relation with the other people in the specific territorial area, by using the term 'in' or 'out'. Some people recognize themselves as in-side members or components of the specific territorial area. On the other hand others do not recognize themselves as such and instead as outsiders of the specific territorial area, even though they live and act within the area. This kind of interactions are happened not only directly through the personal relations but also indirectly through their family or the household they belong to, the organization they are related to or work in, or associations or networks in which they participate. This relation of people creates a kind of social system of community which we treat as our subjective of development.

The community is the social configurations in which the existence of people is defined as worth pursuing and their participation is recognisable as members⁶. The community is a social system constructed by people in the specific territorial area, usually confirmed by administrative boundaries, in which the members (organizations, groups, and individuals) recognize themselves and each other as belonging to the same community. Area and common life is important factors for community. We can apply this concept to specific geographical territories such as rural agricultural villages, municipalities, prefectures, countries and global world⁷. However, here we focus on the rural area for our discussions of the alternative development approach. Community members include organizations through the recognition of the people working or acting in said organizations. In our studies, therefore, we focus on community and its capacity which is constructed through the people in the specific territorial area, especially in the rural area for the development of their society, and which can be the objective of study and provide an operational and practical concept for development for rural areas where the people have to remain to live.

2.5 Community Capacity Development

The strengthening of community capacity is referred to as community capacity development. Community capacity development involves seeking out and presenting latent, or potential, advantages and opportunities in the community in order to promote 'positive neighbourhood change' (Chaskin *et al* 2001). Capacity is developed through the community's attempts to develop or maintain these identified advantages and opportunities.

The latent advantages and opportunities within a community are represented by the potential of community components, their characteristics and their functions which lie dormant within a community and are able to be changed. Through identifying and focusing on these latent advantages and opportunities and by activating interactions between and among the various components of community capacity, potential or latent advantages and opportunities can become real and active.

Emphasis should be given to community capacity development as a non-linear and continual process. Moreover, capacity development should be approached in a way that seeks to encourage endogenous development through the activation of interactions and synergies between the components of capacity,

⁶ Referring and based on Wenger (1998)

⁷ Referring and based on MacIver (1970), Ninomiya *et. al* (1985), Funatsu *et. al* (2006).

rather than as an outside intervention imposed on the community. Community components, their characteristics and functions should not be simplified into a conceptualization of linear, one-way or easily categorized inter-relationships, as reality is not that straightforward. For example, a rise in the individual's capacity may contribute to the improvement of a community organization, whilst a rise in organizational capacity likewise may contribute to an improvement in abilities at the individual level.

The condition of a community's capacity is indelibly tied to and influenced by the prevailing historical condition and contextual circumstances of the community. In this connection, the condition of community capacity is the outcome of long-term processes spanning over five or ten years or one or more generations. Thus, community capacity development is a continuous phenomenon for the community. Broader political (or other) contexts not necessarily located within the community boundaries also have a connection with and influence upon the capacity of a community. Governmental decentralization for example, although generally taking place beyond the boundaries of a single community, can have a positive effect on community capacity (Stenning 2007). The mergers of municipalities in Japan have also influence to the capacity of community by changing its members.

3. Case Study: Oyama-machi

In order to illustrate the process of community capacity development and changes of policy structure in a community a description of the changes in one rural community in Oita Prefecture, Oyama-machi, is presented below. The small rural town is relatively well known for a series of successful endogenous development initiatives beginning with the New Plum and Chestnut (NPC) movement in 1961. The appendix summarizes the transformation of community capacity and policy structure of Oyama-machi. The people of Oyama-machi has achieved better life by continuous effort of developing community capacity in terms of community components (organizations, leadership, human resources, and networks) and capacity characteristics (sense of community, commitment, and ability to set and achieve objectives, ability to recognize and access resources), and introducing and implementing a higher value added and better well-being policy structure (a more complex community policy structure). The descriptions below begin with the situation pre-NPC, during the introduction of the three NPC campaigns, and newer developments. The authors visited Oyama-machi on various occasions whilst on study field visits with rural development trainees and JICA-sponsored graduate students.

3.1 Pre-NPC (Before 1961)

Several years after the end of World War II big cities such as Tokyo had began their economic recovery through harnessing the benefit from the special economic boom of the Korean War. However Oyama-machi still remained as undeveloped as in the pre-war period situation where people were engaged in agriculture or heavy labour and had low incomes. Furthermore, Oyama-machi was damaged destructively by the flood of the typhoons in 1953 (The Machidukuri View 1991). Oyama was the poorest village of 58 municipalities in Oita Prefecture. The town was desperately impoverished. There was no access to information, no ability to organize, and nobody trusted one another (Field Note from 26th June 2008 by Stenning Naomi). The traditional and rural village existed whereby people were connected by traditional family and blood linkages.

However, signs of forming foundations of community capacity were observed through the opposition movement of the dam construction in Matsubara area in Oyama-machi against the Ministry of Construction. Oyama-machi organized a countermeasures committee against the dam construction and visited antecedent case areas of dam construction and prepared for conditional opposition. Oyama-machi prepared a basic proposal for a better life after the dam construction to the ministry. The negotiation

suffered difficulties but they obtained their requirement from the ministry. This experience of negotiation by the village as a whole created the foundation of a future unique development movement; the NPC movement of Oyama-machi.

A further improvement in the community capacity foundation of the town came with the establishment of the Oyama-machi Agricultural Cooperative in 1949. Thus development of community capacity during this period centred around associations and organizations, in the form of the opposition to the dam and the creation of the cooperative, and the development of leadership, which came with the running of the committee and cooperative. The community policy structure during this period, however, remained relatively simple. Most of the community members continued to rely on rice farming in the arable land limited community and also kept some livestock and grew vegetables for their own consumption. Oyama-machi includes 3,601 hectares of forest land from a total area of 4,572 hectares (Oyama-machi Agricultural Cooperative 2007, p.6). At this time there was nothing in the way of value-adding to agricultural products or significant communal activities.

The agricultural cooperative held twenty million yen in savings at the time that it was decided as a priority to install the *Oyama Yuusen Housou* (Oyama cable radio – OYHK). In order to fund the infrastructure for OYHK the cooperative decided they would need savings of fifty million yen. In order to encourage people to invest their savings in the cooperative (rather than the usual postal savings accounts) the cooperative promised to treat everybody who contributed to the fifty million yen savings to a free trip to an exposition in Beppu, a famous hot-springs tourism destination in Oita Prefecture. The funds were accumulated surprisingly quickly and by May, 1957 every household in Oyama had installed a cable radio and OYHK was up and running.

The radio system was used (and at the time of writing was still) to announce upcoming community events and activities such as festivals, sporting events, meetings, working bees, classes, and workshops and to report community news, particularly in relation to the progress of the town's development. Thus the radio kept all community members well informed and reminded of communal events and activities at all times and encouraged participation by every member. This resulted in higher participation of community members in community activities increasing the quantity of opportunities for interaction between community members and therefore building bonding social capital. The increased instances of person-to-person interaction resulting from the effective information dissemination of OYHK also led to increased opportunities for informal, spontaneous knowledge sharing. An example of this might be a farmer seeing another farmer from a different *danchi* (neighbourhood) at the local sporting event and, after hearing that the other farmer was having a problem with a certain insect or other agricultural issue that he himself had resolved on his farm recently, sharing his experience with tackling the problem. In this way, the social capital built contributed to both community capacity development, in terms of an increased sense of community and commitment due to knowing many other community members, and also lead to increased knowledge sharing.

For the first five to 10 years that the radio was run Harumi Yahata gave a three to five minute speech at dinner time every day (365 days per year!). In these daily addresses he spoke of his vision for Oyama-machi and also often highlighted recent achievements and specific community happenings. Through these speeches Yahata, as a leader, was able to pass on his own values and vision to every other individual in the community, resulting in the formation of a shared culture and identity as well as underlying shared values and vision for the town; an important aspect of community capacity, a well developed sense of community (Miyoshi & Stenning 2008).⁸ Values are an important part of the definition

⁸ See Schein (2004) for more on the role of leaders in shaping organizational culture (also highly applicable in the case of the community).

of knowledge offered above, therefore, OYHK proved also to be a tool for knowledge sharing and was effective in a way that a written newsletter could never be particularly due to the charismatic and effective speaking skills of Yahata and the lack of entertainment media such as television in the majority of households at the time. Yahata often visited the houses and fields and listened to the ideas, opinions and problems of farmers in all of the *danchi*, thus he was also able to transmit knowledge he gained from community members through these constant interactions.

3.2 Formulation of the NPC Movements

3.2.1 NPC I (From 1961)

Development in Oyama-machi began to take off after the introduction of the first NPC in 1961. There was already an established community organization (the agricultural cooperative), and the locus of change in this period in terms of community capacity centred around the emergence of excellent leadership within this organization in the form of the new chairman, Harumi Yahata. Yahata held a deep love for his community, commitment to seeing it prosper, a vision for the future and an ability to communicate effectively with community members.

Yahata initiated the first major change in policy structure in the community when he introduced the New Plum and Chestnuts (NPC I) campaign in 1961. the first NPC⁹ campaign was subsequently followed by the introduction of two more NPC campaigns, in an effort to improve and enrich the then “materialistically and emotionally impoverished” existence of Oyama’s people by “aspiring for a comfortable income that was nurtured within wholesome human relationships where people could enjoy an affluent living environment” (Hibikinosato 2008, pp.1-2). Under the leadership of Harumi Yahata a number of development strategies and activities were pursued including switching from farming rice to producing plums and chestnuts. The campaign centred on the concept of “*hataraku*” (work) and improving incomes. As the majority of villagers were involved to some extent in agriculture, full-scale agricultural reform was devised. A specific goal was set at a gross household income of one million yen within ten years time. Light, manageable, and laboursaving were the three required working conditions. The labour standards were defined as an eight hour working day with 180 working days per years, and an income of 2,000 yen per day. This was a high risk factor for the leaders as each target was almost like a dream to the farmers (Hibikinosato 2008).

Because the campaign aimed to make manual labour less strenuous and take up less hours of the day, agricultural processes and policies were modified or selected to meet this aim. For example, plum trees were grown with frames to dwarf their height so that picking could be done with more ease and raising livestock in the community was banned as they require tending, thus manual labour, at least twice per day. The NPC I also outlined a four-day working week with all manual labour limited to the first half of each working day.

In these times, the pressing issues for leaders who supported projects that would foster economic development of the area, was how to stimulate interest in the villagers who were economically and materialistically impoverished? The project inaugurated in 1961 aspired to find a comfortable income that was nurtured within wholesome human relationships where people could enjoy an affluent living environment. These concepts developed from the ultimate goal of the town-planning project, which was to discover happiness and fulfilment for each and every villager (Hibikinosato 2008). In order to break the miserable state of “No money, no human resources, no leisure time, but envy,” the leaders drew up a

⁹ This would be the first of three ongoing NPC movements successively introduced in Oyama-machi during the 1960s. For a general overview and brief description of the movements refer to Stenning & Miyoshi (2007b).

scenario. First raise incomes through agricultural promotion, next, acquire intellect, and then improve the rural environment (Ogata 2008). A slogan for the initiative was also created in order to motivate community members to commit to the campaign: “Let’s plant plums and chestnuts and go to Hawaii!”

A survey on the production, distribution, and consumer trends on domestic agricultural production as well as research on potential resources in the villages were immediately and simultaneously carried out to reduce this risk and to satisfy all of the above conditions. As a result of a two year investigation, a rice acreage reduction policy was promptly enacted to develop farming focused on orchards such as plums and chestnuts. Some farmers, particularly the more senior farmers, were strongly opposed to this decision, believing it was unnecessary to go against Oita Prefecture’s policy of increased rice production. There was also the social stigma that farmers were not really farmers unless they cultivated rice. Moreover, to create a non-working day, the farmers thought it was crazy to let go of livestock such as cows and horses that needed daily care (Hibikinosato 2008). This was a difficult decision and in order to be implemented Oyama-machi needed to throw away the established concept for agriculture which was supported as policy of the Ministry of Agriculture, Forestry and Fisheries and the Oita Prefecture government. However this decision was based on their doubt that there was a future for the town in rice cultivation and the recognition of the disadvantages of rice production given the local conditions of Oyama-machi (Koda Kazumi hearing on July 14th 2008). Thus the people of Oyama-machi had started to consider their situation by themselves.

If the cattle and horses were used for labour, they could be substituted with agricultural machinery. The leaders did not listen to the senior citizens but continued to spread their message and enthusiasm to the younger generations. The reason why the “Plum and Chestnuts” project was renamed with “NPC” using initials was because the leaders wanted a trendy image for the project to attract the younger generation. The ingenious catch phrase “Plant Plums and Chestnuts and Win a Trip to Hawaii” was born from an obsession to create an unforgettable slogan (Hibikinosato 2008).

The village government also terminated all new projects and invested most of the budget to procure young trees, improve the infrastructure, develop sales channels, and organize technical training sessions. Even though the project had a smooth takeoff, there was an unexpected pitfall when flowering plums were mixed among the young trees. Farmers who had been looking forward to harvesting fruit felt deceived by the administration and began to feel suspicious. Moreover, the local characteristic of interfering in other people’s business changed into feelings of envy and jealousy (Hibikinosato 2008). Under this situation for three years the village supported the villagers to maintain their lives before they were able to harvest the plums and chestnuts. The village government donated young plants on a grant basis. The village government and agricultural cooperative created a special group who guided farmers by working together with them. The agricultural cooperative also provided low interest financial support for farmers to maintain their daily lives.

Cultivating plums and chestnuts differed from crop farming as sophisticated techniques were required for fertilisation, pest control, and pruning. Extensive farming knowledge was particularly indispensable when considering the distribution and sales of the end product. Just as industries depend on people, so does farming. The NPC project not only needed to develop products but also needed to nurture Oyama-machi’s human resources. The leaders were now faced with a new stage of the NPC project which focused on developing these human resources.

3.2.2 NPC II (From 1965)

The organizational and leadership development and the activities that accompanied the first NPC led to an increased sense of community, and commitment to the development cause from nearly 100 percent of community members, a strong base for further development. Farmers now had new skills and opportunities

for raising their incomes due to NPC I. The agricultural cooperative and leaders in the community now decided to start to include foci on other (non-income) issues in the community.

This resulted in the next big change in community policy structure in the form of the Neo Personality Combination campaign (NPC II), which was added parallel and simultaneously to the existing NPC I. NPC II focused on “*manabu*” (learning). Under this program the Oyama-machi administration established a learning program of community centre activities called *Seikatsu Gakkou* whereby local residents ran cultural learning classes such as tea ceremony, martial arts, or kimono wearing. Prominent professionals were also invited to make lectures for study. Events, such as classical music concerts, were also planned for residents to participate in and cooperate together in order to “refine their personalities.” Furthermore, residents were encouraged to take tours around Japan, and networks were consolidated for exchange activities overseas to study agricultural and community development techniques (for elementary and secondary students to U.S.A. and Korea, for farming youth to a kibbutz in Israel, and for adults to China). Scholarships were also provided for young people who were expected to become involved in agriculture in the community (hearing from Koda Kazumi on 24th July 2008).

Oyama-machi’s fascination with foreign countries and overseas travel dates back to the introduction of the first NPC movement in 1961, for which the slogan, “*Ume, kuri wo uete, Hawaii ni ikou!*” (Let’s plant plums and chestnuts and go to Hawaii!), was designed to motivate people to invest their support in the movement and a better life¹⁰. In 1969, the first group of three “trainees” (young, promising farmers including Harumi Yahata’s son, Kinji) were sent to Israel to live, work and study for a month in a kibbutz¹¹. The region in Israel (Megiddo), was chosen to become Oyama’s sister city because it was similar to Oyama-machi in that the environment made agriculture quite challenging. Megiddo had to overcome the obstacle of a harsh desert environment whilst Oyama-machi, surrounded by mountains, possessed very little arable land. Both communities needed ingenuity, innovation and a strong community if they were to survive and thrive on agriculture.

Forming a sister city relationship with Megiddo represented building bridging social capital at the town level and the continued exchange activities arising from the relationship resulted in significant community capacity development and knowledge creation effects for Oyama-machi. Community capacity development took place in the form of human resources development due to the training and overseas experience gained by the trainees. This contributed to increased abilities to formulate and achieve community objectives as well as identify and access latent resources within the community. The experience of living in another community also contributed to the ability to critically assess the situation in Oyama by providing a kind of ‘benchmark community’ to compare with. Knowledge creation took place as the trainees observed and participated in various Kibbutz activities gaining new ideas and experiences and applying these to their own situations in Oyama-machi. The yearly small group training in Megiddo also represented a form of bonding social capital between the trainees who developed close relationships lasting a lifetime.

A number of new ideas resulted from the young trainees’ experiences living in the kibbutz and many of these were implemented. Returned trainees that had been impressed by the various levels of agricultural processing taking place in the kibbutz also proposed the processing of agricultural products in Oyama to add value and further increase farmer’s incomes.

¹⁰ Anybody in Oyama-machi will proudly assert that their town has the highest per capita rate of passport holders than anywhere else in Japan at over 70 percent.

¹¹ Three trainees were sent to the kibbutz every year until the security situation in Israel became too unstable. The trainees were provided food and shelter in the kibbutz in return for working for one month. The month in the kibbutz was usually followed by a month travelling around Europe.

3.2.3 NPC III (From 1969)

Community capacity development in Oyama-machi had by now progressed quite a way; human resources had begun to be developed, networks were being built, strong leadership was firmly in place and the agricultural organization continued to evolve and gain momentum. Despite these improvements, more and more young people were leaving the rural community for the city.

The next addition to the community responded to this phenomenon. The New Paradise Community (NPC III) centred on “*aishiau*” (love) and aims for a more enjoyable and affluent living environment for the residents of Oyama-machi. The campaign sought to construct the perfect environment for living in order to retain residents, particularly young people, who were moving away due to lack of entertainment, amusement and cultural facilities. Under this campaign program, Oyama-machi was divided into eight cultural zones with one cultural centre in each.

Another important outcome for Oyama from an idea learned from the kibbutz experience was the creation of the *Yattsu no Danchi* (eight neighbourhoods) concept. Thus eight neighbourhoods were delineated and each of these was conceptualized as a type of kibbutz. Within each *danchi* cultural and community centres as well as sporting grounds and public parks were constructed so that every resident could walk to a community centre within five minutes from their house, and would be able to enjoy sports and leisure within their own *danchi*. The area was decided as a space where residents’ voices are heard in daily life. A map of Oyama-machi showing the *Yattsu no Danchi* and community centres is provided in Figure 2¹². These community centres would form the basis of further social capital building strategies and opportunities for community learning, such as the abovementioned *Seikatsu Gakkou*.

3.3 Post NPC Formulation: New Developments

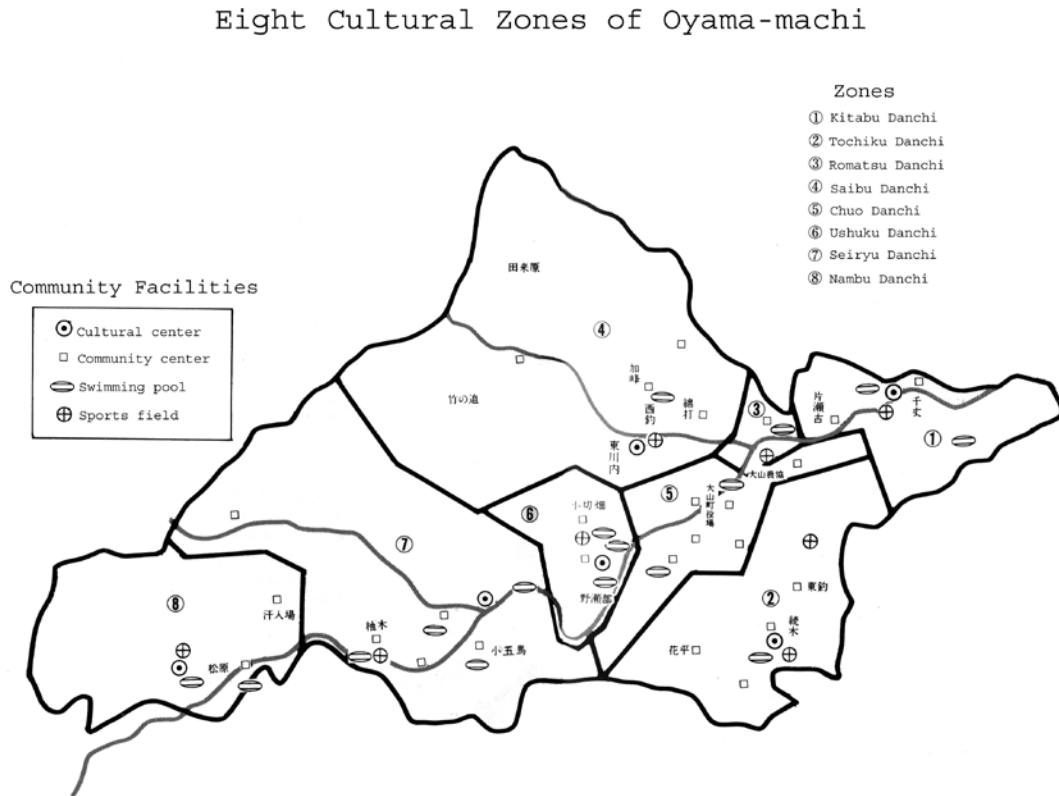
3.3.1 Further Diversification and Promotion of Agricultural Production (1970s)

Since formulation of the three NPC movements based on work, learning and love, Oyama-machi has continued to develop in terms of community capacity and the community policy structure also has continued to evolve in line with this. Further diversification of agricultural products and processes has taken place and marketing/sales channels were also developed. Major developments of capacity since the 1970s have centered on organizations and networks.

Diversification of products continued with the introduction of *enoki* mushroom cultivation in the 1970s. The production of *enoki* mushroom was started by the young member of Agricultural Youth Study Group including Yahata’s son, Kinji. The idea of *enoki* mushroom came from the result of a study searching prominent, profitable and potential agriculture products inside and outside the country taking note of the relationship among the market, products, and production area. They conducted study based on information, a list of all of the farmers in Japan achieving sales of over 100 million yen per year, provided by an agricultural expert of the Oita Prefecture government office. They made efforts to find out about the mindset of such successful farmers and what kind of a way of thinking was required to get such large amounts of sales with farming. They analysed what they found and then devised a strategy for development (Filed Note from 26th June 2008 by Stenning Naomi). The group also took into account the natural state of the village; things like average temperatures, rainfall, and length of daytime etcetera cannot be changed by man and should be utilized to their best. They noted that in Hita there was a long history of logging (the area is quite renowned for cedar), and with logging and mills comes much sawdust as a

¹² One of the earlier returned trainees spoken to for this study indicated that it was their original aim to construct not only community centers but also a cooperative store and health clinic in each *danchi*, however the idea did not come to full fruition due to the small *danchi* populations.

Figure 2: Oyama-machi Yattsu no Danchi Map



Source: Oyama-machi Agricultural Cooperative 1987

by-product. Sawdust can be used to grow mushrooms (Field Note from 26th June 2008 and Hearing from Koda Kazumi on 24th July 2008).

The mushroom production stages were divided into two: technically difficult and not-difficult parts. The difficult parts were conducted collectively by the group, and this part is taken by the agricultural cooperative for expansion to the potential villagers to cultivate. This production system was called the “Oyama method.” Presently, *enoki* mushrooms constitute the main source of steady income for farmers in Oyama-machi with income from plums and/or chestnuts treated as “twice yearly income bonuses”.¹³ After 10 years there were 100 farmers cultivating *enoki* mushrooms in Oyama with 1 billion yen in total annual sales, after 15 years there were 150 *enoki* mushroom farmers and sales of 1.5 billion yen (Field Note from 26th June 2008).

Thus the town of Oyama had learned to avoid competition and make use of the natural condition of the land, and that non-staple crops were promising (Ogata 2008). Oyama-machi sought an agricultural management system which brought monthly revenue to the farmers. *Enoki* mushrooms grow in as little time as a month. The production of *enoki* mushrooms provided revenue to the farmers once a month. This added farming activity assured a stable monthly income. In addition to this, farmers also began harvesting watercress on a daily basis thus resulting in every day revenues. Production of Japanese palm and plum were recognised as premium revenue for farmers. Grapes and Japanese pears are also recognized as a

¹³ In FY2005 sales of *enoki* mushrooms through the agricultural cooperative amounted to 7,412,500,000 yen (Oyama Agricultural Cooperative 2007, p.10).

premium revenue production in autumn (Kinji Yahata, Director of General Affairs Department of AC, hearing at 24th June 2008). Production of these varied and many kinds of agricultural products was called “Centipede Agriculture.” These words linked the agriculture of many items in small quality that existed in mountain villages to a multi-legged centipede. Crop items have been extended to plum, chestnuts, *enoki* mushrooms, herbs, vegetables etcetera (Ogata 2008). Oyama currently produces more than 120 agricultural items. This agricultural production system increases the choice of the farmers and the farmers are able to select and implement the agricultural management system that best suits their situation.

The continuous efforts after the NPC movement brought a certain level of success and Oyama-machi’s development was recognized and became well-known as a successful case of rural development. In fact the number of households with gross revenues of 5 million yen reached 110 and households with strong confidence in agriculture became 284 in 1980. When Governor Hiramatsu inaugurated his rural development policy of “One Village, One Product” movement in 1979, Oyama-machi was introduced as one of three successful cases along with Himeshima and Yufuin. His policy was formulated through his visits to rural areas where decreasing populations was a serious issue. However, the number of households with no confidence in agriculture remained relatively high at 400 households. This situation was considered serious because if people who did not have confidence in agriculture moved out from the village the village would lose vital population numbers. The philosophy of the NPC movement was recalled; the NPC movement do not create honour student while it do not create dropout students. NPC movement was introduced in order to seek increase incomes, intellectual human nature and affluent environment for all the Oyama villagers. (Machidukuri View 1991). Further whole of community development efforts were required.

3.3.2 Communication with the Outside and New Directions (1980s-)

Further diversification and promotion of agricultural production taking place in the 1970s continued from 1980s particularly in terms of expanding networks and communication with outside the village and setting up new facilities for realizing the vision of Oyama-machi development.

The agricultural cooperative also set up ‘Konohana Garten’ in 1991. The complex includes a fresh produce market where farmers sell fresh vegetables and value-added products such as *umeboshi* (salted plums) directly to consumers. The direct shop provides a selling place for farmers who could not conduct systematic and standardized shipping of agricultural products. The big market accessed through the agricultural cooperative requires the products to meet certain standards and be of a minimum volume. Konohana Garten does not have any standards but sell the agricultural products which the farmers produce themselves with reduced amounts of agricultural chemicals and which are fresh and safe. This is an innovation of the market directly connecting producers and consumers that could not be found anywhere else in Japan at that time. This provided the opportunity for farmers to utilize otherwise unmarketable agricultural produce as marketable products.

This innovation created a different market other than the big and urban market, which the farmers were able to manage by themselves. It also provided information of consumer needs directly to the farmers and the opportunity to consider needs in the markets. Farmers price products by themselves, receiving 80% of the sales price rather than the 40% they would usually receive when selling through regular markets or retailers. The sales account of each farmer were adjusted once a week and transferred to their account every ten days. In this system the farmers also had sole responsibility for any unsold goods, picking them up themselves at the end of the day. Farmers produce various new products based on their ideas including processed products. Ideas and sensitivity become important to produce new products. They also began to sell plant and flowers for house decorations. Thus 25 years after the introduction of the NPC movement Konohana Garten was established in Oyama-machi. The villagers visited various places in foreign

countries including a kibbutz in Israel to observe and learn various cultures, experiences which were utilized for new ideas. Now Konohana Garten's total sales exceed 1.8 billion yen per year (Field Note from 26th June 2008). Konohana Garten expanded with eight antenna shops in nearby main cities such as Hita, Oita, Beppu and Fukuoka.

In 1986 CATV: OYT (Oyama-machi Yusen Television) was established in order to promote the development of human resources in Oyama-machi. The specific target was those who were not able to easily acquire knowledge and information from printed media. For these people a more appealing communication tool was required. Financial support for the initiative was obtained from the Ministry of Agriculture, Forestry and Fisheries and the Ministry of Local Government. The proposal for CATV met the ministries' objectives at the time which was seeking new ideas for rural development policy formulation (The Machidukuri View 1991). The television programming included OYT self-generated programs including the introduction of various events in Oyama-machi.

Another one of the newer developments in Oyama-machi is 'Hibikinosato' established by the former Oyama-machi administration¹⁴ as a place to display and market Oyama products to visitors. The organization also has mechanisms for producing new extra value-added products from Oyama produce, for example, a small distillery for high quality (and highly priced) *umeshu* (plum liqueurs), which have recently been gaining much popularity in Tokyo.

The Konohana Garten restaurants, the 'Organic Restaurant' was established based on the idea of using unsold vegetables from Konohana Garten to produce local foods and sell in a restaurant. The 'Organic Restaurant' offers visitors to Oyama-machi a tasty dining experience of fresh Oyama ingredients and traditional Oyama style cooking. Growing vegetables and preparing food in Oyama-machi were previously activities conducted only for the self-consumption of households, however, these skills were identified by the community as another valuable resource and possible source of income to be exploited especially by elderly residents.

However the idea was opposed by everyone to begin with. There were three reasons for this opposition: it would be expensive to hire a chef; the venture was high risk; and there were no customers. In order to solve the problem of an expensive chef the Agricultural Cooperatives asked farm housewives to cook for the restaurant, thus instead of employing a *shifu* they would utilize the skills of *shufu*.¹⁵ They could make any dish that they were good at and used mostly ingredients from Konohana Garten. Now there are three Konohana Garten restaurants (in Oyama, Fukuoka and Oita) with total sales of 600 million yen employing 200 part-time *shufu*. The Fukuoka and Oita restaurants try to hire local Oyama *shufu* who have married and moved to live in the city with their husbands.

Green tourism is also a newly introduced development activity in Oyama-machi. Green tourism provides residential leisure activities for city folk to enjoy the natural environment, culture, and interaction with local people in rural districts. In Oyama-machi the Green Tourism Association was established and the farmers provide visitors with such experiences as farmworks, rural cooking, making craftworks, visiting historic and cultural sites, events and living for a few days with farmers in the farm villages. The people have developed their green tourism activities based on the various association activities which were organized for their lives.

Based on past accumulated experiences the Oyama-machi Agricultural Cooperative currently focuses on the following issues for their agricultural development: promotion of organic agriculture (with the use of organic fertilizers and without using chemical pesticides); production of healthy, safe, and reliable food

¹⁴ Like many smaller communities in Japan, Oyama-machi was recently amalgamated with a larger neighboring city. 'Hibikinosato' is now being run by former officials of the town's former administration.

¹⁵ *Shifu* means chef and *shufu* means housewife in Japanese.

products as demanded by consumers; development of distribution channels in response to the trends of the times; development of high-value added products to ensure high earning rates; promotion of a pleasant agriculture in which young people want to engage; ensuring a rural life rich in culture with a four-day workweek system; and the promotion of exchange activities between urban and rural residents (Oyama Agricultural Cooperative 2007).

4. Conclusion

This chapter introduced concepts of an alternative approach for rural development and attempted to clarify the scope or boundary of community as our operational socially constructed system and a link between developments of its community capacity and selection of new or changes in the existing community policy structures. In fact various factors were involved in practical implementation of rural development. They include economic, social, political factors, as well as individual and group interest. Community is, as discussed in the early part of this chapter, a constructed social system and community capacity is transformable through the efforts of peoples. We think that introduction of the concepts to be discussed by members of community provides a more feasible, and more operational and practical approach for development.

An example was presented as a case study of community capacity development and changes in community policy structure in Oyama-machi in Oita Prefecture, Japan. The case study used qualitative description to examine the developments in community capacity and subsequent changes in community policy structure from before the first NPC movement in 1961 to more recent post-NPC developments. The case study revealed that as community capacity developed in terms of community components (organizations, leadership, human resources, and networks) and capacity characteristics (sense of community, commitment, and ability to set and achieve objectives, ability to recognize and access resources) a more complex community policy structure emerged. Utilization of these concepts provides more fruitful and appropriate tool for the development of rural communities. Such a community based development approach has the potential to be an operational and practical tool for people who have a desire to seek a higher quality of life in the rural area

Based on this consideration we have organized several JICA training programs for rural development by introducing these concepts of community capacity development and community policy structure. The participants, mostly government officials from developing countries, discussed and interpreted their experiences through the study tours of rural development cases such as Oyama-machi, Himeshima, Yufuin, Ajimu, Bungotakada, and Taketa meanwhile utilizing these concepts. They also discussed their own development cases and developed and prepared their future plan for development. It is of our understanding that their efforts in these endeavours have been successful based on their feedback and evaluation on the program.

The model we introduced in this chapter is still under elaboration but nevertheless provides a concrete and operational framework for rural development from a community based approach. This is of our opinion that conceptualization on development is a practical way for real-life situation where various factors exist and we can also create factors.

In addition on this further elaboration the discussion of scope or boundary of community is an issue to be examined further. The recent merger of Oyama-machi with Hita City is an interesting case to study on this issue. Hita City reorganized the former Oyama-machi government as a branch of Hita City Government and reduced the staff tremendously. This situation has made local government an outsider of the Oyama-machi community, whereas historically local government has taken an important role and been an active stakeholder in the community and its development.

Appendix: Community Capacity and Policy Structure in Oyama-machi

Phase	Community	Society situation (Outcome)	Locus of Change in Community Capacity	Resultant Change in Policy Structure
Pre-NPC (up to 1961)	No clear recognition of community: Traditional rural community	The poorest village in 58 municipalities in Oita Prefecture	<p><u>Poor community capacity</u></p> <ul style="list-style-type: none"> No access to information No ability to organize Nobody trusted one another <p><u>Preparation of foundation for community capacity development</u></p> <ul style="list-style-type: none"> Conditional opposition to the dam construction. Organizations (establishment of agricultural cooperative: 1949) Establishment of Oyama cable radio (YHK) Leadership development (due to new organization), Yahata Harumi became the President of Oyama AC in 1954 (to 1987), and the Head of Village in 1955 (to 1971) <p>Investigation/study tour</p>	<p><u>Simple policy structure</u></p> <ul style="list-style-type: none"> Still simple Rice farming, tending livestock <p>• Starting to develop a basis for change</p> <p>Concept creation</p>
NPC Formulation Phases (from 1961)	<ul style="list-style-type: none"> Starts to recognition of community as Oyama-machi <p><u>Main actors:</u></p> <p><u>In the community</u></p> <ul style="list-style-type: none"> village government, agricultural cooperative Youth group <p>• Plum producing households</p> <p><u>Out of community:</u></p> <p>Unfavourable and unsupportive to the Oyama -Machi</p> <ul style="list-style-type: none"> Prefecture Government Ministry of Agriculture, Forestry and Fishery 	<p>Struggle for transformation of agricultural village concept and its achievement to certain extent</p> <p>Recognition of affluent life in rural area: Achievement of NPC slogan</p>	<p>(NPC I from 1961)</p> <p><u>Strengthening Sense of community</u></p> <ul style="list-style-type: none"> Leadership (emergence of leader with vision and ability to communicate well) NPC slogan Community activities (e.g. morning softball) 	<p>(NPC I from 1961)</p> <p><u>Inauguration of NPC Movement: Establishing high profitable agriculture: seeking value added policy structure</u></p> <ul style="list-style-type: none"> Increase of income Reduction of hard labour work Shift from producing rice to plums and chestnuts <p>Selection of agricultural techniques to reduce strain and hours of manual labour</p>
			<p>(NPC II from 1965)</p> <p><u>Human Resource Development</u></p> <ul style="list-style-type: none"> Sending villagers to Hawaii (1965) Sending youth to the Kibbutz in Israel (1969) <p><u>Beginning change of Community capacity characteristics</u></p> <ul style="list-style-type: none"> Sense of community Commitment Ability to set and achieve objectives Ability to recognize and access resources <ul style="list-style-type: none"> Planning Existence of opportunities for change Consensus building Study tours Scholarships <p>Exchanges with communities overseas</p>	<p>New ideas for agriculture</p> <ul style="list-style-type: none"> A number of new ideas resulted from the young trainees' The various levels of agricultural processing Experiences Policies to develop human resources added to existing NPC I policy structure
			<p>(NPC III from 1969)</p> <p><u>Affluent and Enjoyable environment</u></p> <ul style="list-style-type: none"> Establishing 8 cultural zone and 8 cultural and community centers Further social capital building Seikatsu Gakkou 	<ul style="list-style-type: none"> Policies to improve the community's living environment added to existing NPC I and NPC II policy structure

PART IV Community-Based One Village One Product Movement in Japan

			Consensus building	
Post-NPC Formulation (1970s onwards)	<p>In-Community</p> <ul style="list-style-type: none"> Village Government Agricultural Cooperative Youth group <ul style="list-style-type: none"> Plum producing and processing households Enoki mushroom producers Vegetable producers <p>Out of community: Favourable and Supportive to the Oyama -Machi</p> <ul style="list-style-type: none"> Prefecture Government Ministry of Agriculture, Forestry and Fishery 	<ul style="list-style-type: none"> Number of households with gross revenue of 5 million yen: 110 (1980) Households with strong confidence on agriculture: 284, no confidence: 400 	<ul style="list-style-type: none"> Sending school students to Idaho in USA Organizations <ul style="list-style-type: none"> Networks Ability to recognize and access resources More utilization of the natural state of the village: history of logging <p>Confidence on increase of the choice of agricultural production system</p>	<p><u>More value added policy structure:</u></p> <ul style="list-style-type: none"> Further diversification of agricultural products and processes and marketing/sales to city markets Enoki mushrooms: Oyama method Ume-boshi <p>Vegetable production: Increasing of varieties</p>
1980s: Inauguration of OVOP: 1979	<p>In-Community</p> <ul style="list-style-type: none"> Village Government Agricultural Cooperative Honohana Garten (1990) Umeboshi Competition (1991) Konohana Garten Organic Restaurant Hibiki no Sato <ul style="list-style-type: none"> Plum producing and processing households Enoki mushroom producers Vegetable producer <p>Out of community</p> <ul style="list-style-type: none"> Prefecture Government Ministry of Agriculture, Forestry and Fishery 	<ul style="list-style-type: none"> Stable income generation by agriculture The highest municipality of per capita agricultural income in Oita prefecture Reputations successful rural development: model case of OVOP 	<ul style="list-style-type: none"> Establishment of CATV: OYT (1986) Exchange with outside of community: Successful case of OVOP Establishing and strengthening outside links/networks Creation of new model of rural development 	<p><u>High-dimensional agriculture and communications with the outside</u></p> <ul style="list-style-type: none"> Hibiki no Sato Honohana Garten (1989): New innovative market system: Product regulations and standards Umeboshi Competition (1991) Hibiki no Sato: Liqueurs and new products Konohana Garten Organic Restaurant
Merger to Hita City (2007)	<p>In-Community: decrease of community recognition by the members</p> <ul style="list-style-type: none"> Village Government Agricultural Cooperative Honohana Garten (1990): registered members in and out of Oyama area Umeboshi Competition (1991) Konohana Garten Organic Restaurant Hibiki no Sato: Members Plum produce and processing households Enoki mushroom producers Vegetable producers <p>Out of community</p> <ul style="list-style-type: none"> Hita City Government Prefecture Government Ministry of Agriculture, Forestry and Fishery 	<ul style="list-style-type: none"> Stable income generation by agriculture 	<ul style="list-style-type: none"> Merger to Hita City affect or is affecting to the community capacity gradually Independent from local government 	<p><u>High-dimensional agriculture and communications with the outside</u></p>

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Knowledge and Networking Strategies for Community Capacity Development in Oyama-machi: An Archetype of the OVOP Movement

Naomi Stenning and Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Introduction

From the authors' perspective, both the "Village" (community) and "Product" parts of the One Village, One Product (OVOP) equation are equally important. Unfortunately, so far in international development practice it appears that the OVOP movement is being promoted as a quick fix for community development by focusing on product development and marketing whilst virtually ignoring community capacity issues (see Takano 2007). Development of community capacity is highly related to the successful introduction and implementation of more advanced community policy structures such as that which the OVOP movement entails.

This chapter explores the experience of Oyama-machi, an inspirational archetype for, and successful implementer of, the One Village, One Product (OVOP) movement. Oyama-machi achieved significant community capacity development and promotion of agricultural development by introducing the NPC (New Plum and Chestnut) movement in 1961.¹⁶ Under this and successive campaigns *ume* (Japanese plums), *kuri* (chestnuts) and *enoki* mushroom cultivation activities were introduced to Oyama-machi as well as a range of other community development activities well before the OVOP movement began. It is important to describe and analyze the community development experience of Oyama-machi prior to introduction of the OVOP movement in order to isolate underlying factors and requisites for the community's ability to take full advantage of the opportunities presented by the OVOP movement and to offer recommendations for other communities to be able to do so also.

In the following pages some of the social capital building strategies that led to Oyama's community capacity development are described and elaborated upon. Such activities covered in this chapter include: *Oyama Yuusen Housou* (cable radio); the *Ohayou* softball tournament; and an overseas sister city relationship. The chapter analyses how these activities stimulated community capacity development and knowledge creation and transfer through the establishment and strengthening of community networks (social capital). The chapter first briefly describes the model of community capacity development and community policy structure and literature on knowledge and social capital before outlining the experience of Oyama-machi in terms of strategies for promoting social capital and resultant impacts on community capacity development, knowledge creation and sharing and the introduction of higher value-added community policy structures.

Data for this chapter was collected whilst the authors were preparing case studies for JICA group training programs held at Ritsumeikan Asia Pacific University in 2006-2007. Also, data was collected during study tours and community lectures conducted in Oyama-machi for the JICA training as well as from informal community interviews and observations made by Stenning whilst conducting fieldwork in Oyama in February 2008.

¹⁶ The NPC movements are not the main focus of this chapter, please refer to Stenning & Miyoshi (2007a; 2007b) for a more detailed description of the movements and their implementation.

2. Community Capacity Development and Community Policy Structure Model

The model illustrated in Figure 1 illustrates community capacity development and community policy structure.¹⁷ The model may be used to conceptualize development, describe and evaluate community capacity and community activities as well as community development planning. Community capacity is invested in the elements of the community (individuals, leaders, organizations, and networks) and is characterized by a sense of community and levels of commitment as well as the community's collective ability to set and achieve objectives and recognize and access resources for productive use.

Community policy structure conceptualizes the economic, social and political aspects of life within the community. The model acknowledges non-economic aspects by incorporating social and political activities and allowing for the incorporation of informal (as well as formal) activities (activities might be agricultural production activities, community sports or specific development initiatives, for example). The policy structure part of the diagram illustrates the process of community activities through a logical framework approach. These activities are conceptualized as processes that consist of inputs (human resources, funding, time), activities, outputs, intermediate outcomes (changes in target group/s), and end outcomes (changes in society).

The relationship between community capacity development and policy structure is interactive and continuous. Community capacity is a requisite for the successful planning, implementation and evaluation of community policy structures. Community capacity development is also often an outcome of community policy structure processes as they often result in changes in specific target groups and society in general. Likewise, the development of community capacity also leads to augmentation or changes in community policy structure as a community with a higher level of capacity will naturally pursue more value-added and sophisticated policy structures.

3. Networking, Community Capacity and Knowledge

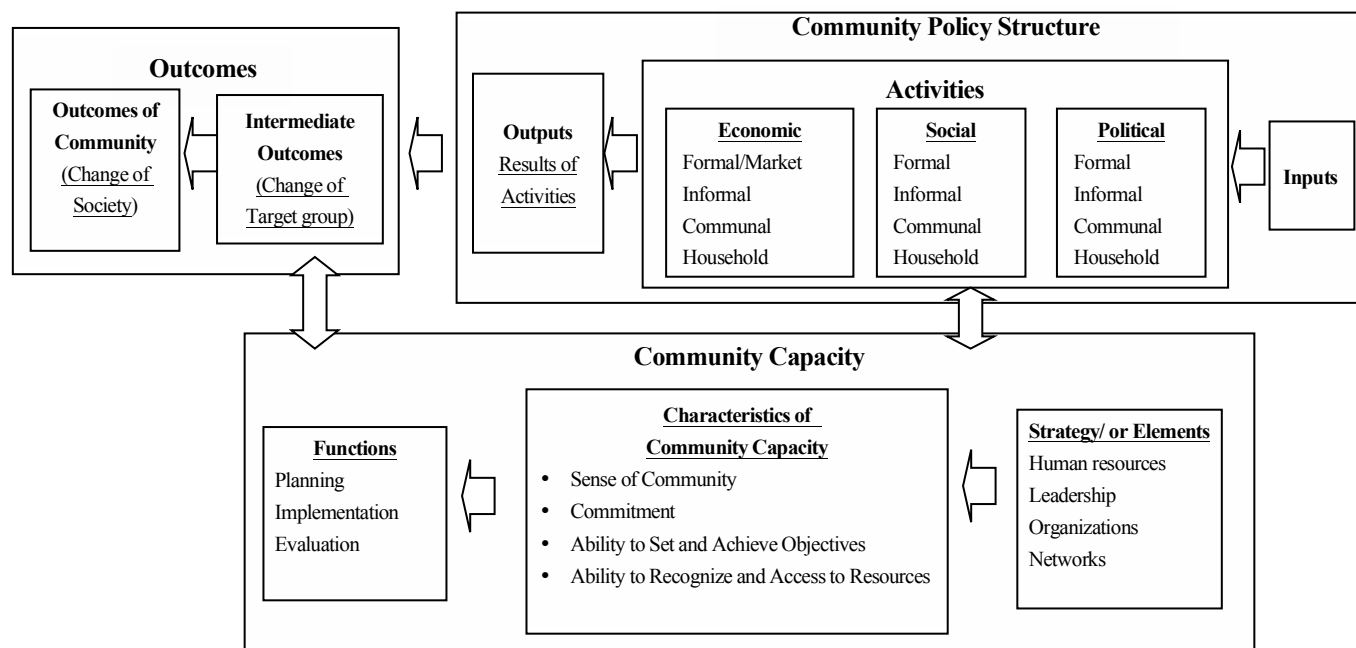
Much of the literature on knowledge and its management and transfer originated in and centers on the private sector organization and is concerned with ensuring that knowledge created through expensive research and development is capitalized on to its full extent. There has also been growing recognition in the international development community of the importance of learning and knowledge-based approaches and the need for knowledge sharing amongst development organizations, governments, academia and communities globally to maximize the equitable benefit of research and knowledge to communities globally (for example see NHS 2005, ODI 2007, SDC n.d., Hovland 2003, and Ramalingam 2006). However there appears to be something of a gap in the literature addressing endogenous knowledge creation and sharing and the relationship between these activities and social capital within rural communities, the focus of this article.

Knowledge is differentiated from information and data in that values and beliefs (culture) play a fundamental role (Davenport & Prusak 1998, p.12; Nonaka & Takeuchi 1995). A useful definition is offered by Davenport and Prusak:

Knowledge is a fluid mix of framed experience, values, contextual information, and expert insight that provides a framework for evaluating and incorporating new experiences and information. It originates and is applied in the minds of knowers. In organizations, it often becomes embedded not only in documents or repositories but also in organizational routines, processes, practices, and norms. (1998, p. 5)

¹⁷ For a more detailed explanation of the model and underlying theory refer to Miyoshi & Stenning (2008) and Stenning & Miyoshi (2007a).

Figure 1: Community Capacity Development and Policy Structure Model



Source: Miyoshi & Stenning 2008

Because it is the purpose of this article to elaborate on the relationship between social capital (networking) strategies, community capacity development and policy structure, and knowledge creation/sharing it is important to define here what is meant by the term “social capital”, elaborate on the kinds of social capital and the types of strategies that may be pursued to build them, and to theorize on the expected impacts on capacity and resultant knowledge creation and sharing outcomes.

Coleman functionally defined social capital as “a variety of different entities with two elements in common: they all consist of some aspect of social structure, and they facilitate certain actions of actors – whether persons or corporate actors – within the structure” (1988, p. S98). Putnam builds on this by referring to social capital as the features of social organization, such as trust, norms of reciprocity, and networks of civic engagement, that can improve the efficiency of society through facilitating coordinated actions (Putnam 1993, p.167).

Two main types of social capital have been identified; bridging social capital, and bonding social capital (Gittell & Vidal 1998; Putnam 2000). Bridging social capital “brings together people or groups who previously did not know each other” whilst bonding social capital on the other hand “brings closer together people who already know each other” (Gittell & Vidal 1998, p.15). Thus, bonding social capital may be described as “a kind of sociological superglue” whilst bridging social capital constitutes “a sociological WD-40” or lubricant (Putnam 2000, p.23). In the context of a small rural community, where nearly all members know each other at least to some degree, bonding social capital would involve relationships/networks between members of the community, whereas bridging social capital is the relationships and networks connecting members of the community (organizations and individuals) with entities outside beyond its borders. However, it is important to acknowledge that the two types of social capital are difficult to distinguish and it should be conceptualized as a scale of more or less (bridging versus bonding) rather than as either-or categories into which social networks can be neatly divided (Putnam 2000, p.23).

This article discusses two knowledge processes that are highly related to, and may be promoted through, networking/social capital building strategies: knowledge creation and knowledge sharing. Knowledge creation involves the introduction or formulation of new ideas, information, technology, values/norms/beliefs, or processes in the community. This new knowledge may be created within the community through synergetic interactions between community members or through formal or informal contact between community members (individuals, leaders, organizations) with people, organizations, processes, information or technology beyond the borders of the community. Thus knowledge creation might be stimulated through employing both bridging and bonding social capital building strategies.

Knowledge sharing¹⁸, also referred to as knowledge transfer (Rogers 1995) and knowledge translation (Critchley *et al* 2006), refers to the process of diffusion of knowledge created from the knowledge creators to the wider community of knowledge users and vice versa. The term implies a continuous dialogue or two-way process rather than a one-way passing on or dissemination of information. It also implies recognition that all members are able to learn and likewise have something to offer in terms of knowledge, therefore, active participation is particularly emphasized (St. Croix 2001). Due to this and its fundamental basis of values and beliefs, it is inherently difficult to effectively share knowledge solely through text, documents or communication technologies and, although formal knowledge management also often involves strategies for storing and disseminating information and data, effective knowledge sharing is achieved best through informal, spontaneous person-to-person interactions (Davenport & Prusak 1998, p.89). Thus an important task for knowledge sharing is devising strategies to encourage better quality and increased quantities of these kinds of interactions, such as community networking strategies focused on developing closer relationships (bonding social capital) within the community.

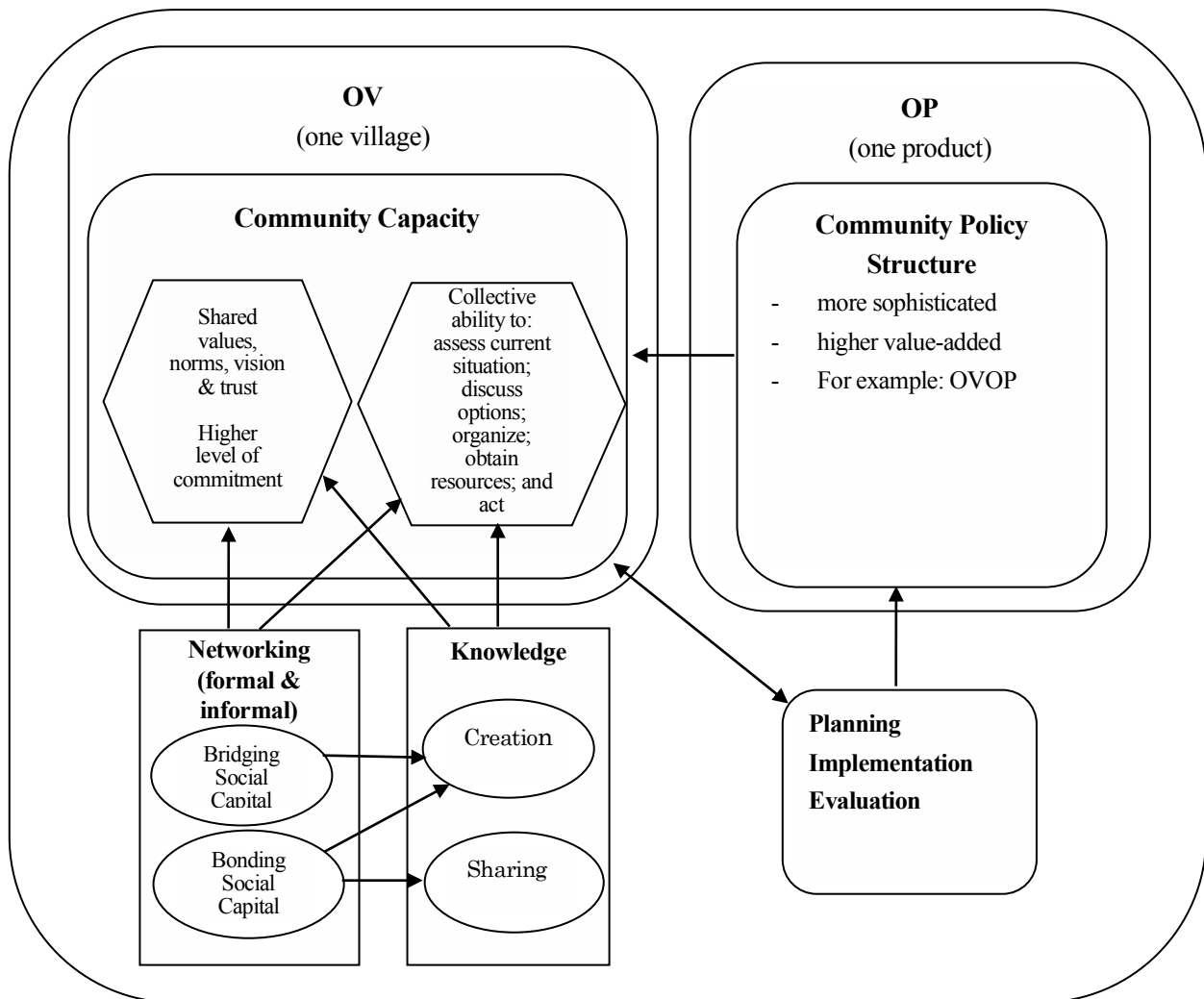
The relationships between social capital building strategies, community capacity development, knowledge creation and sharing, and implementing higher value-added community policy structures are summarized in Figure 2. The diagram also shows how OVOP can be conceptualized as the “one village” part of the equation referring to community capacity and the “one product” part to a community policy structure (activity, project, production process, etcetera). Both are equally important, however, in order to successfully implement a more sophisticated community policy structure a certain level of community capacity is required. Community capacity development can be stimulated initially through networking (social capital building) strategies.

The introduction of strategies to build bridging and bonding social capital stimulate both community capacity development and knowledge creation and sharing. Networking that builds bonding social capital promotes knowledge sharing through increased face-to-face interactions and communication between community members as well as knowledge creation arising from the creative synergies of such interactions. Bonding social capital also directly impacts upon community capacity, particularly in terms of the creation of a shared vision, values, and norms and increased levels of commitment to the community. Building bridging social capital on the other hand is most likely to promote knowledge creation through the introduction of new ideas, values, products or processes into the community through outside contact. This kind of social capital also directly affects community capacity particularly in terms of access to external resources.

Improved knowledge creation and sharing resulting from networking contribute to community capacity development and therefore an increased ability to plan, implement and evaluate community policy structures thereby leading to the introduction of higher value-added community policy structures.

¹⁸ Here the authors prefer the term knowledge sharing as it is more indicative of a mutually active process rather than implying the existence of passive receivers of information.

Figure 2: Networking, Knowledge and OV+OP



Source: Created by Stenning based on Miyoshi & Stenning 2008

Furthermore, conducting planning, implementation and evaluation activities contribute to further capacity development as may the outcomes of any new, higher value-added community policy structures introduced.

4. Observations of Networking Strategies in Oyama-machi¹⁹

This section describes a few of the strategies and activities undertaken in Oyama-machi that focused on building social capital, resulting in community capacity development, knowledge creation and sharing and resultant introduction of improved community policy structures. Oyama-machi is a small rural community located in Oita Prefecture in Japan. The hamlet is located along the banks of the Oyama River and is surrounded on all sides by cedar-forested mountains. In 1949 the Oyama-machi Agricultural Cooperative was formed and in 1954 one of the most influential figures in the town's history, Harumi Yahata²⁰, became the cooperative head. Yahata introduced the first NPC²¹ campaign in 1961, which was subsequently

¹⁹ Many of the historical facts in this section can also be corroborated in Oyama-machi Agricultural Cooperative (1987).

²⁰ Harumi Yahata also held the position of Mayor of Oyama-machi concurrently for quite a few years before giving up his post in the town administration to focus on the cooperative's activities.

²¹ This would be the first of three ongoing NPC movements successively introduced in Oyama-machi during the 1960s. For a general overview and brief description of the movements refer to Stenning & Miyoshi (2007b).

followed by the introduction of two more NPC campaigns, in an effort to improve and enrich the then “materialistically and emotionally impoverished” existence of Oyama’s people by “aspiring for a comfortable income that was nurtured within wholesome human relationships where people could enjoy an affluent living environment” (Hibikinosato 2007, p.1-2). Under the leadership of Harumi Yahata a number of development strategies and activities were pursued including switching from farming rice to producing plums and chestnuts and later on also introducing *enoki* mushroom production. *Oyama Yuusen Housou* (Oyama priority cable radio), *Ohayou* (Good Morning) Softball, and an overseas sister city relationship are three examples out of a number of social capital building strategies that were introduced to Oyama-machi between 1950-1970 and are described in some detail below.

4.1 Oyama Yuusen Housou

The agricultural cooperative held twenty million yen in savings at the time that it was decided as a priority to install the *Oyama Yuusen Housou* (cable radio). In order to fund the infrastructure for the radio system the cooperative decided they would need savings of fifty million yen. In order to encourage people to invest their savings in the cooperative (rather than the usual postal savings accounts) the cooperative promised to treat everybody in the town to a free trip to an exposition held in Beppu, a famous hot-springs tourism destination in Oita Prefecture. The funds were accumulated surprisingly quickly and by May, 1957 every household in Oyama had installed a cable radio receiver and the *Oyama Yuusen Housou* was up and running.²²

The radio was used (and at the time of writing was still) to announce upcoming community events and activities such as festivals, sporting events, meetings, working bees, classes, and workshops and to report community news, particularly in relation to the progress of the town’s development. Thus the radio kept all community members well informed and reminded of communal events and activities at all times and encouraged active participation by every member. This resulted in higher participation of community members in community activities increasing the quantity of opportunities for interaction between community members and therefore building bonding social capital. Thus cable radio effectively became a tool for building social capital in the town. The increased instances of person-to-person interaction resulting from the effective information dissemination of the radio system also led to increased opportunities for informal, spontaneous knowledge sharing. An example of this might be a farmer seeing another farmer from a different *danchi* (neighborhood) at the local sporting event and, after hearing that the other farmer was having a problem with a certain insect or other agricultural issue that he himself had resolved on his farm recently, sharing his experience with tackling the problem. In this way, the social capital built contributed to both community capacity development, in terms of an increased sense of community and commitment due to knowing many other community members, and also lead to increased knowledge sharing. These processes and impacts are elaborated on further in the *Ohayou* Softball section below.

For the first five to 10 years that the radio was run Harumi Yahata gave a three to five minute speech at dinner time every day (365 days per year!).²³ In these daily addresses he spoke of his vision for Oyama-machi and also often highlighted recent achievements and specific community happenings. Through these speeches Yahata, as a leader, was able to pass on his own values and vision to every other individual in the community, resulting in the formation of a shared culture and identity as well as underlying shared values and vision for the town. Shared values and vision contribute to an important aspect of community capacity, a well developed sense of community (Miyoshi & Stenning 2008).²⁴

²² The cable radio was later on complemented by the introduction of an Oyama cable TV station (OYHK).

²³ By some accounts Yahata gave up to three speeches per day in the morning, at lunchtime and in the evening.

²⁴ See Schein (2004) for more on the role of leaders in shaping organizational culture (also highly applicable in the case of the

Values are an important part of the definition of knowledge offered in the above section, therefore, *Oyama Yuusen Housou* proved also to be a tool for knowledge sharing and was effective in a way that a written newsletter could never be particularly due to the charismatic and effective speaking skills of Yahata and the lack of entertainment media such as television in the majority of households at the time. Yahata and his staff often visited the houses and fields and listened to the ideas, opinions and problems of farmers in all of the *danchi*, thus he was also able to transmit knowledge he gained from community members through these constant interactions.

4.2 *Ohayou* Softball

The *Ohayou* (Good Morning) Softball tournament was first introduced to Oyama-machi in 1969 by a town education council committee member after hearing of the sport from one of the youngsters who had been playing softball at university in Kumamoto Prefecture. He decided to propose the tournament to the town administration to provide a healthy and enjoyable activity for community members. Each team was required to consist of members of varying ages adding up to a total of 250 years (one member of over 50 years of age, a few in their 40s, 30s and so on). The sport gained great popularity in the town and soon there were over 20 teams participating in the competition. *Kombarwa* (Good Evening) Softball for the off-season and a women's competition were also introduced so that for a time nearly all community members were involved in the activity almost all year round. The games were often followed by *Nomikai* (drinking parties) where the players would drink and chat, reliving the excitement of the games as well as talking about their daily lives and work together.

Although Oyama has always been a small community, with a population peak of just over 6000 in 1961²⁵, because of the environment of the village with 36 small pockets of houses separated from other neighborhoods by mountains and/or rivers people often did not know many other Oyama residents in neighborhoods other than their own. According to one community member the most meaningful outcome of the softball tournaments was that "everybody in the village ended up knowing everyone else's faces". Social capital developed through the softball tournaments impacted upon community capacity, particularly in terms of sense of community, as it would have been difficult for the relatively segregated groups of households and people (including farmers, administrators, cooperative employees, etcetera) to identify as being stakeholders in the same unified community without knowing each other or ever seeing each other's faces. Softball also contributed to knowledge sharing through increased trust and opportunities for interaction and socialization especially during practice sessions and after-game *Nomikai* and particularly due to the emphasis on inter-generational interaction. The informal and spontaneous interactions particularly at the *Nomikai* also resulted in knowledge creation and the subsequent introduction of new community policy structures.

After the tournaments had been running for about two years the administrator who had originally proposed the activity noted that at the *Nomikai* teams began coming up with their own ideas for activities for the betterment of their community (without any input or direct encouragement from the local administration). Some of these ideas were put into practice such as certain *danchi* cooperating to conduct collective insect-spraying; one team decided to hold a beer garden each week at their community centre to raise the funds for maintenance of the centre; and another team decided to buy and manage a mountain together. These were examples of higher value-added community policy structures being introduced due to the increased knowledge creation and sharing and development in community capacity resulting from the social capital building strategy.

community).

²⁵ Figure from Oyama-machi Agricultural Cooperative (2007).

4.3 Sister City Relationship with Megiddo, Israel

Oyama-machi's fascination with foreign countries and overseas travel dates back to the introduction of the first NPC movement in 1961, for which the slogan, "*Ume, kuri wo uete, Hawaii ni ikou!*" (Let's plant plums and chestnuts and go to Hawaii!), was designed to motivate people to invest their support in the movement and a better life.²⁶ In 1969, the first group of three "trainees" (young, promising farmers including Harumi Yahata's son, Kinji Yahata) were sent to Israel to live, work and study for a month in a kibbutz.²⁷ A kibbutz is a communal farm in Israel that is run collectively (Encarta 2008). The region in Israel (Megiddo), was chosen to become Oyama's sister city because it was similar to Oyama-machi in that the environment made agriculture quite challenging. Megiddo had to overcome the obstacle of a harsh desert environment whilst Oyama-machi, surrounded by mountains, possessed very little arable land. Both communities needed ingenuity, innovation and a strong community if they were to survive and thrive on agriculture.

Forming a sister city relationship with Megiddo represented building bridging social capital at the town level and the continued exchange activities arising from the relationship resulted in significant community capacity development and knowledge creation effects for Oyama-machi. Community capacity development took place in the form of human resource development due to the training and overseas experience gained by the trainees. This contributed to increased abilities to formulate and achieve community objectives, as well as to identify and access latent resources within the community. The experience of living in another community also contributed to the ability to critically assess the situation in Oyama by providing a kind of 'benchmark community' for comparison. Knowledge creation took place as the trainees observed and participated in various kibbutz activities gaining new ideas and experiences and applying these to their own situations in Oyama-machi. The yearly small group training in Megiddo also represented a form of bonding social capital between the trainees who developed close relationships lasting a lifetime.

A number of new ideas resulted from the young trainees' experiences living in the kibbutz and many of these were implemented. One such idea involved introducing a new type of produce that could be harvested continuously all-year round to provide a stable base monthly income for the farmers rather than relying solely on the risky two harvests per year of plums and chestnuts. Thus, *enoki* mushroom production was introduced and soon became the main source of income for over 150 households in Oyama-machi. Returning trainees had also been impressed by the various levels of agricultural processing taking place in the kibbutz and advocated for the processing of agricultural products in Oyama to add value to produce and further increase farmers' incomes.

Another important outcome for Oyama arising from the kibbutz experience was the creation of the *Yattsu no Danchi* (eight neighborhoods) concept. Under the *Yattsu no Danchi* concept, the 36 groups of houses in Oyama were aggregated into eight clusters and each of these was conceptualized as a type of individual kibbutz. Within each *danchi* cultural and community centers were constructed so that every resident could walk to a community center within five minutes from their house. A map of Oyama-machi showing the *Yattsu no Danchi* and community centers is provided in Appendix 1.²⁸ These community

²⁶ Anybody in Oyama-machi will proudly assert that their town has the highest per capita rate of passport holders than anywhere else in Japan at over 70 percent.

²⁷ Three trainees were sent to the kibbutz every year (until recently as Israel is no longer accepting volunteers). The trainees were provided food and shelter in the kibbutz in return for working for one month. The month of working in the kibbutz was usually followed by a month travelling around Europe. To date, about 100 or so trainees have been sent from Oyama-machi to Megiddo. Some people in Oyama have visited the region in Israel a number of times (one Oyama resident introduced himself using his nickname 'Shalom' to a study tour group of JICA trainees visiting Oyama with the authors in June, 2008).

²⁸ One of the earlier returning trainees spoken to for this study indicated that it was their original aim to construct not only community centers but also a cooperative store and health clinic in each *danchi*; however the idea did not come to full fruition due to the small *danchi* populations.

centers would form the basis of further social capital building strategies and opportunities for community learning and knowledge sharing, such as the *Seikatsu Gakkou* (Lifestyle School). *Seikatsu Gakkou* involves community members with skills, such as kimono wearing, flower arranging, tea ceremony or judo for example, holding fortnightly or monthly classes at the local community centre. Interested community members enroll for a standard fee of 1500 yen (\$15) per class.

5. Discussion

The above data and observations from Oyama-machi illustrate community capacity, knowledge and community policy outcomes and their inter-relationships resulting from four social capital building strategies: *Oyama Yuusen Housou*; *Ohayou* Softball; and forming a sister city relationship with Megiddo region in Israel. Table 1 summarizes these outcomes and relationships.

The introduction of the cable radio, for example, constituted a bonding social capital building tool that brought the community leaders (Yahata, the Agricultural Cooperative, and the Town Administration) closer to the rest of the community. *Oyama Yuusen Housou* enabled community leaders to share their knowledge with every household in the community particularly in terms of values and vision, but also information. This resulted in common values and a shared vision and laid the foundation capacity for future community policy structures including the NPC movements. The radio also served as a tool for social capital building and knowledge sharing by encouraging participation in community activities and events, resulting in increased interactions between community members.

The *Ohayou* Softball tournaments began as a bridging and became a bonding social capital building mechanism resulting in both knowledge sharing and creation. The activity contributed to a stronger sense of community, levels of trust, and higher commitment levels in terms of community capacity. The increased interaction among community members spawned a number of endogenously formed community groups and activities.

Establishing a formal sister city relationship with Megiddo region in Israel constituted a significant development of bridging social capital and through the yearly training sessions in kibbutzim resulted in both knowledge creation and sharing outcomes. The overseas training also built valuable bonding social capital by strengthening relationships between the trainees, many of whom would become future community leaders. Community capacity developed particularly in terms of able to critically assess the community's reality, organize, access resources, and act. Young Oyama farmers' kibbutz experiences resulted in the introduction of a number of important new community policy structures.

6. Conclusion

The introduction of networking strategies to build bridging and bonding social capital to the community stimulates spontaneous knowledge creation and sharing through establishing ties between individuals and organizations in the community and strengthening relationships between community members. These ties and the resulting knowledge creation and sharing outcomes can promote community capacity development through contributing to trust, shared values, norms, and vision, commitment, as well as the community's collective ability to assess the current situation, discuss options, organize, recognize and obtain resources, and act. Community capacity development involves an increased ability to successfully introduce and implement higher value-added and more sophisticated community policy structures. Thus, increased knowledge creation and sharing contributes to both community capacity development and the introduction of higher value-added community policy structures. Likewise, the introduction and successful implementation of higher value-added policy structures results in both capacity development and knowledge outcomes.

This chapter explored these processes by looking at the development experience of Oyama-machi, an inspirational archetype of the One Village, One Product (OVOP) movement. Three social capital building (networking) strategies introduced to Oyama-machi prior to the introduction of the OVOP movement in Oita were examined: *Oyama Yuusen Housou*; the *Ohayou* softball tournament; and an overseas sister city relationship. These strategies built bridging and/or bonding social capital, impacting upon knowledge creation and sharing and community capacity development and the subsequent successful introduction of higher value-added community policy structures such as new types of produce, agricultural processing, ways of conceptualizing community, as well as improved community organizing and collective activities. Encouraging knowledge sharing and creation and the endogenous development of community capacity through such social capital building strategies is highly recommended for communities wishing to introduce higher value-added or more sophisticated community policy structures such as the OVOP movement.

Table 1: Summary of Networking Strategies in Oyama-machi

Networking Strategy	Type of Social Capital Built	Knowledge Outcome	Community Capacity Development (CCD)/Policy Structure (PS) Outcomes
<i>Oyama Yuusen Housou</i> (radio)	<u>Bonding</u> : by informing residents of and encouraging participation in community events	<u>Sharing</u> : through increased person to person interaction; through leaders being able to diffuse their own values and visions for the community	<u>CCD</u> : creation of shared values & vision; increased sense of community and commitment <u>PS</u> : various successive policy structures including the NPC movements
<i>Ohayou Softball</i>	<u>Bridging</u> : opportunity for people from different neighborhoods to interact <u>Bonding</u> : increased quantity and quality of interactions between neighbors through being in a team of varying ages	<u>Sharing</u> : through increased person to person interaction and higher levels of trust <u>Creation</u> : through increased informal person to person interactions especially at the after game <i>Nomikai</i>	<u>CCD</u> : stronger sense of community; higher commitment <u>PS</u> : community groups; beer garden; cooperative insect spraying; buying a mountain etc
Sister city (and overseas study scholarships)	<u>Bridging</u> : by forming a relationship with a town and people in another country <u>Bonding</u> : through shared experience between small groups of trainees	<u>Creation</u> : by introducing new ideas into community from outside <u>Sharing</u> : by encouraging returned trainees to share their experiences and ideas with families and neighbors	<u>CCD</u> : ability to assess current situation; organize; obtain resources; act <u>PS</u> : new products (<i>enoki</i>); value-adding to produce; <i>Yatsu no Danchi</i> concept; community centers; <i>Seikatsu Gakkou</i>

Source: Created by authors

* This chapter is a revised version of “Stenning, N. and Miyoshi, K. (2008). Knowledge and Networking Strategies for Community Capacity Development in Oyama-machi: An Archetype of the OVOP Movement, Journal of OVOP Policy, the International OVOP Policy Association, 1: 67-82. Retrieved from http://www.iovoppa.org/journal/01_200810/en/06_naomi-e.pdf”

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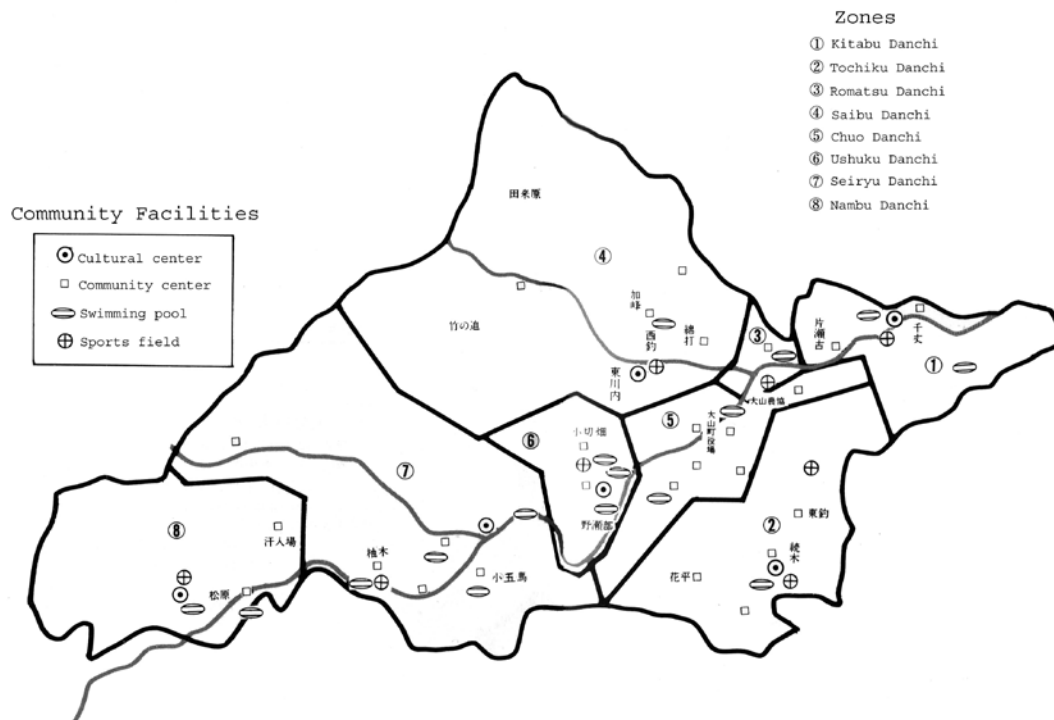
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Appendix 1: Oyama-machi Yattsu no Danchi Map

Eight Cultural Zones of Oyama-machi



Source: Oyama-machi Agricultural Cooperative 1987

16

Community Leadership: Lessons from an Island Village

Cindy Lyn Banyai
Refocus Institute

1. Introduction

Community agents play a major role in the construction and implementation of successful activities in a community. Community leadership enables members of to take initiative to pursue the vision of the community, as well as realize collective objectives. This chapter discusses the role of community agents and their importance in accessing and fostering community capacity, as well as the evolution of community leadership to achieve improvements in people's lives.

Community leadership is a component and an outcome of community capacity. This is highlighted by the case of leadership progression on the island of Himeshima, Japan. Singular instances of leadership facilitated the growth of community capacity and the development of community leadership. Community leadership is the outcome of singular leadership initiatives by community agents in combination with community capacity building through community actions. Through the examination of the Himeshima case, the following questions can be answered: How did the community agents and their leadership contribute to the development of community capacity? How does community leadership manifest and progress within a community? To provide background for the case rural development, community, community capacity, and leadership will be discussed.

2. Rural Development

Although, according to the World Bank, there was a drop in extreme poverty between 2005 and 2010 there are still 1.29 billion people worldwide living in poverty (World Bank [WB], 2012). This continually growing number demonstrates there is still a need to focus on development and poverty alleviation (Sachs, 2005). Analysis of the most recent data collected by Povcal Net on behalf of the World Bank shows that 22% of rural Chinese (2008) and 34% of rural Indians (2010) live below their national poverty lines compared with their urban counterparts at 0.9% and 29% respectively (2012). This shows the continued need for attention in rural areas in order to achieve development and poverty alleviation goals. Fortifying rural economies has benefits greater than improving the lives of the people in rural communities; it contributes to food security and the reduction of rural-urban migration, reducing urban poverty and related issues (Sachs, 2005, p. 232).

Rural development has its roots in community-based development and employing a bottom-up approach to improving rural communities through decentralization, participation, and governance (Behera, 2006, p. 14; Erni, 2006, p. 29). Like alternative development, rural development focuses primarily on people in rural communities, harnessing their assets and abilities to pursue local objectives (Behera, 2006, p. 16; Friedmann, 1992, p. 2). Integrated development and neo-endogenous development also have similar tenants to rural development, namely their focus on the cultivation of indigenous capacities to bring about development and the emphasis on local actors working together to achieve local objectives through the use of local resources (Ray, 2006, p. 261). When rural development is combined with community-based development it is known as integrated rural development (Robinson, 1997, p. 31).

Bottom-up and people-centered development involves various modes of participation and empowerment, but ultimately relies on the capacity of the people involved in the development process in

terms of their physical capabilities, human resources, and community capacity. Rural communities often lack this development capacity (McGuire et. al., 1994, p. 426), compounding the difficult task of rural development. With the growing emphasis on the community and peoples' ability to participate in development processes in rural development, it is important that these concepts be considered together.

3. Community and Community Capacity

3.1 Community

Gusfield (1975, cited in McMillan & George, 1986, p. 8) articulates two major ways in which a community is described: either as a geographical location or a congregation around quality of character in human relationships (see also Fellizar, 1994, p. 205; Friedmann, 1992, p. 4). However, a community is more than just an administrative unit or a group of people with similar interests and attributes. Since a community should include both a geographic concept and a social concept, the working definition of community is a physically conceivable area, such as an administrative unit, and all of the relevant stakeholders in that area including, but not limited to residents, local administration, institutions, private enterprises with interests or activities in the area, and the civil society organizations with membership or activities within the area (based on Bowman, 1932, p. 926; McMillan & George, 1986, p. 8). It should be noted that a community itself must be defined specifically by that community. Without such identification the collective function of the community is limited, as can often be seen in more urban communities.

In order to function in our daily activities we rely upon one another to complement and supplement our activities to reach our full potential. People rely on one another to provide the goods and services that they cannot provide for themselves. Farmers grow food and sell them to the merchants, which in turn sells the goods to others in the area. Children are sent to schools to learn from teachers, sometimes being taken there by various transportation operators from the community. Local government officials prepare the plans and policies that affect the service and infrastructure that people use to facilitate their daily activities. All of these activities happen in a particular place, in the community, and the recognition of this interdependence is crucial to balanced progress.

The community is a unit suitable for discussion and analysis, as has been promoted by international donor agencies in terms of project formulation and evaluation (Fults, 1993; Gariba, 1998; Robinson, 1997; Sastry & Srinivasan, 2007). A community is a complex adaptive network of systems that acts in concert with one another (Bogensneider, 1996, p. 131; Kime, 2001, p. 9; Kirk & Shutte, 2004, p. 235). Furthermore, a community can also be construed as a single system because it is an organizing unit around other systems, such as the local economic system and the local governance system, as well as local organizations and institutions, which are also systems in their own right.

Although a community may not function unanimously as an organization, the concepts behind the theories of organizational leadership are based on general systems theory (Kime, 2001, p. 57), which applies to a community. Organizations are complex adaptive systems that are dynamic and fluid, which causes them to be in a constant state of flux to cope with the internal and external changes caused by the struggle between various constraints. A community must work with and adapt to various stakeholders, both internal and external, in order to address the ever-changing needs and conditions that are present within their area, acting as a complex adaptive system in the same way in which an organization does. Due to this similarity in construct, the lessons from organizational leadership studies are applied here to communities.

3.2 Community Capacity

There are competing and complimentary needs, desires, and perceptions among the stakeholders in a

community, as well as intricate relationships between individuals and organizations that may beguile initial interpretations. There is a necessary relationship between the stakeholders of a community and the actors within them may overlap. The depth and strength of the relationships among the stakeholders, as well as the sentiments of the community need to be articulated and addressed in order to improve the overall function of the community. These components, when combined, begin to describe the capacity of a community.

Community capacity is “the interaction of human capital, organizational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of that community (Chaskin, Brown, Venkatesh, & Vidal, 2001, p. 7).” One of the main conceptual drivers behind community capacity is identifying and accessing the assets and capabilities of a community, rather than focusing on its detriments (Kretzman & McKnight 1993, p. 1).

Community capacity also builds on the recognized importance of social capital and networks within a community in relation to development (Erni, 2006, p. 315; Frank, 2004, p. 219; Lin, Cook & Burt, 2001, p. 6; Putnam, 1993, p. 173; Sachs, 2005, p. 242). The concept of community capacity has evolved from work on community-based development (Robinson, 1997; Rubin, 1993), community-based resource management (Fellizar, 1994; Mendis-Millard & Reed, 2007), developmental contextualism (Bogenschneider, 1996), and community building (Gariba, 1998; Saegert, 2005). The approach and background of community capacity have a similar basis to rural development. The working definition of community capacity is the ability of a community to produce outcomes through its actors by using the resources (human, social, physical, organizational, and financial) at its disposal (based on Chaskin et al., 2001; Miyoshi & Stenning, 2008).

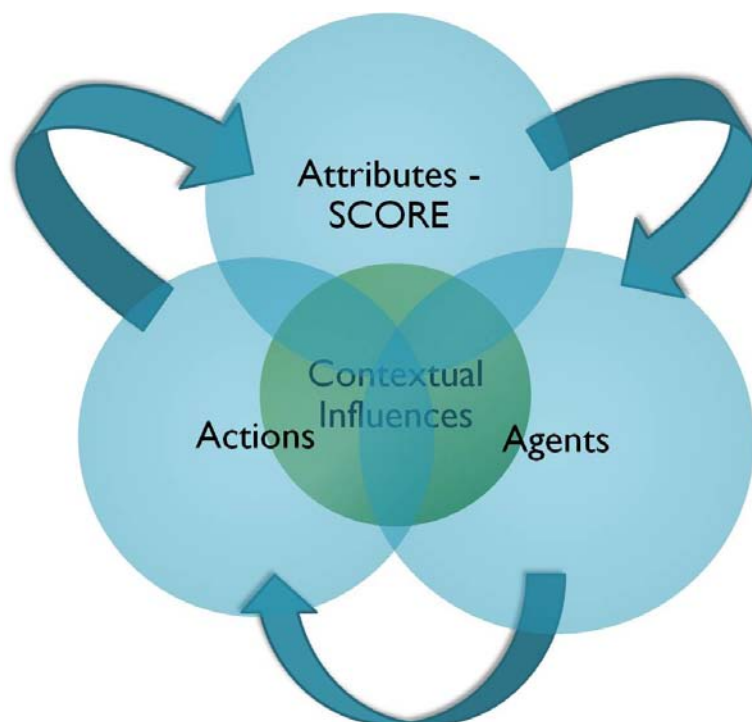
Community capacity building has been criticized for not addressing all aspects of holistic development adequately, but that does not mean that community capacity analysis should be discarded. It is a useful framework to improve planning and the effectiveness of development initiatives. Furthermore, the contextual influences that affect community capacity continuously are taken into consideration in this analysis and should be reflected in capacity building efforts. The conceptual framework of community capacity is used to analyze the Himeshima case.

The Attributes-Agents-Actions (3A) cycle of community capacity is a conceptual framework to correspond to the basic outline of community capacity as presented by Chaskin and colleagues (2001). According to Chaskin and colleagues, by utilizing community capacity, social agents within the community facilitate change and action in community functions. The characteristics of the community through social agents lead to the functioning of the community. This understanding has been amended and further depicted through the 3A cycle. The characteristics of community capacity are called attributes here; social agents are referred to as community agents or simply agents, and the conditioning influences are described as contextual influences to better convey the importance of special issues and historical context.

The 3A cycle is designed to visually display the adapted community capacity framework so that it can be better understood and employed for evaluation and policy making. The framework provides support and guidance in policymaking, in concordance with the policy management cycle, and helps communities better reach their human development and quality of life goals.

The 3A cycle provides a comprehensive description of the multiple factors and inter-relationships that are necessary to facilitate the growth of community capacity overall. Figure 1 is the 3A cycle diagram, showing the development of community capacity powered by the attributes acting through the agents to get more sophisticated and beneficial actions. The contextual influences can affect the quality and quantity of community capacity attributes, the methods and effectiveness of community agents, as well as the quantity, quality and sophistication of community actions.

Figure 1: 3A Cycle



Source: Author

Attributes - The community capacity attributes represent the basic characteristics to describe community capacity. The attributes are: (a) sense of community, (b) commitment to the community, (c) the ability to set and achieve objectives, (d) the ability to recognize and access resources and (e) evaluation and critical feedback¹ (Chaskin et al., 2001, p. 12; Miyoshi & Stenning, 2008, p. 41).

Agents - The stakeholders in the community can be described as community agents once they have begun to truly contribute to the collective activities of the community (Chaskin et al., 2001, p. 19). Community agents are the actors and/or the catalyst for action in a community and leadership is the mode through which they affect the larger community. Actors within the community who recognize themselves as stakeholders and act accordingly duly activate and fortify the community capacity attributes to promote, perform, and rouse ever-increasingly sophisticated and beneficial community actions.

Actions - Anything that is undertaken by individuals, organizations, or collectively in a community can be considered a community action. Community actions can include routine tasks such as local budgeting, administration, and planning, as well as problem-solving and community improvement initiatives. Additional community functions are the production of goods and services, communication and organization and advocacy (Chaskin et al., 2001, p. 22). Community actions are described here as a policy structure using the logic framework (see Japan International Cooperation Agency, 2004; AusGUIDELines, 2003; Miyoshi & Stenning, 2008).

The contextual influences on a community are not directly related to community capacity, but rather affect the quantity and quality of the attributes of community capacity, as well as the function of the community capacity cycle. Contextual influences include basic conditioning influences such as safety and security, structure of opportunity, and the distribution of power and resources (Chaskin et al., 2001, p. 24).

¹ "E" was not analyzed in this case because it was a later revision to the model.

The basic economic condition and physical location of the community must also be taken into consideration, as well as the maturity of civil society, institutional development, and political stability, accountability and participation. Patterns of migration and depth of relationships have been represented as stability of residence and the condition of race and class dynamics have been incorporated into the contextual influence of history and culture. The recognition of these contextual influences helps to ensure that any analysis of community capacity or any initiative that is undertaken can adjust to the local constraints. For the sake of brevity, the contextual influences are not analyzed here because this is a historical look at the case of Himeshima.

Since community agents contribute to community capacity and perform community actions and they do so through leadership, it is prudent to understand how those agents contribute to this process. Furthermore, leadership has been recognized as a key component of community development (Angell, 1951; Coe 1987; Kirk & Shutte, 2004; Laslo & Judd, 2006; Sastry & Srinivasan, 2007) and identified as a community capacity building strategy to promote community participation (Chaskin et al., 2001, p. 27; McGuire, Rubin, Agranoff & Richards., 1994, p. 427). With this emphasis a discussion on the main tenants of leadership follows.

4. Leadership

Leadership is a complex phenomenon that is present in any context where people are charged with accomplishing some goal or task. It can be found in classrooms, courtrooms, households, companies, or sports teams. Each form of leadership arises from particular situations, context, as well as the needs and desires of the group members. Many researchers, pundits, managers, and developers have tried to define leadership, but ultimately there is not very much consensus on what precisely it is (Barker, 1997; Northouse, 2004; Stodgill, 1974), or how to foster it. However leadership has been broadly conceptualized to contain the following components: (a) process, (b) influence, (c) a group context, and (d) goal attainment (Northouse, 2004, p.3). This contemporary definition synthesizes the main components of many previous authors' views on leadership, which focus on the traits of individuals (Angell, 1951, p. 152; Bonjean & Olsen, 1964; Morris & Seeman, 1950, p. 149). The conceptualization offered by Northouse, (2004), offers the view that leadership does not specifically have to be defined through the actions of an individual. However, leadership is a responsibility that individual people must undertake (Kime, 2001, p. 10).

Community leadership, as it is understood here, combines the principles of leadership that are proactive in a group context such as organizational, distributed, evocative, participative and cultural leadership (Bass, 1981; Coe, 1987; Goldstein, 2003; Kezar, 2000; Kime, 2001; Kirk & Shutte, 2004; Trice & Beyer, 1991). Organizational leadership is "the capacity of the organization to respond to endogenous and exogenous stimuli, which present themselves as challenges, opportunities, and threats to the organization (Kime, 2001, p.2)." This definition looks at the leadership capacity, the ability to respond, that an entire organization embodies, not just of a few individuals. This concept can be applied to a community to describe the way in which various community agents take leadership action and respond when necessary.

In the past, many authors studied community leadership by investigating individual leaders (Angell, 1951; Bonjean & Olsen, 1964; Morris & Seeman, 1950) without much consideration for the capacity of the community as a system to be able to undertake various acts of leadership. Contemporarily, a few authors have begun to consider the ability of the community to promote leadership activity within its constituents (Millar & Kilpatrick, 2005; Wituk, Ealey, Clark, Heiny, & Meissen, 2005). Millar & Kilpatrick (2005) define community leadership as leadership within communities of different people who come together in collaborative endeavor (p. 237). Wituk and colleagues (2005) describe community leadership as being "based on the idea that leaders are everywhere" and that community leadership also "increases social

capital in a community by bringing people together (p. 90).” Wituk and colleagues (2005) also note that it “emphasizes a collaborative, on-going, influential process based on the relationships between people” and “when [leadership is] defined as a relationship, all participants are practicing leadership to some extent, depending on the situation and required skills (p. 90).”

From these definitions a new understanding of community leadership is postulated as “a collaborative process where any member of the community has the capacity to take action in response to or influence the objectives of the community.” This work departs slightly from other concepts of community leadership by insisting that the process of leadership can manifest in any agent given the appropriate amount of community capacity and circumstance. Figure 2 shows the stages of community leadership. Individual leaders start taking action, which facilitates the growth of community capacity. This, in turn, fosters more leadership initiatives and expands the number and variety of community agents until any stakeholder can potentially become a leader (action-taker/decision-maker); thus achieving community leadership. In other words, community leadership is achieved when there is a robust and diverse amount of community agents engaged in community activities.

Consistent with these points, individual leadership and community leadership have many connections with community capacity. Leadership, as a process, can then be linked to the 3A cycle, which is also a process. It is then the influence that the community agents have to affect actions that make them individual leaders. There is a group context that exists within a community, both in seeing the entire community as one system and within smaller sub-groups within the community. Goal attainment is consistent with the concept of setting and achieving objectives, one of the community capacity attributes. Therefore, it can be seen that any community agents in a community -- individuals, organizations, or networks can demonstrate leadership, and it is precisely this leadership that allows them to escort the community toward action.

Community leadership connects people and empowers them to pursue their individual and collective goals, allowing community members to take ownership of collective goals (Kirk & Shutte, 2004, p. 241; Reed, 2001, p. 2). Community leadership is related to the sense of community through the establishment of common goals and commitment through the development of ownership of those collective goals. The collective empowerment that is gained through community leadership is a contributing factor to the promotion of the 3A cycle through facilitating the development of the relationships between community members, and clarifying the purpose, meaning, and value of the contributions of individual community members (Kirk & Shutte, 2004, p. 242). Community leadership helps to develop a “new shared vision for

Figure 2: Progression of Community Leadership



the future to reflect the collective needs of the group (Millar & Kilpatrick, 2005, p. 20).”

Community leadership also contributes to the ability of a community to set and achieve objectives by facilitating the ability of the community agents to perform functions, adopt new functions, and to innovate (Yukl, 1998, p. 12). This helps the community in general to cope with external and internal challenges (Kime, 2001, p. 2). The challenges a community faces are often the impetus for the formulation of community objectives and the search for resources. Community leadership helps to identify these challenges and set the course to overcome them and obtain the necessary resources (Kime 2001, pp. 11-12).

Like the cycle of community capacity, the progression of leadership toward community leadership is a means for development and a desirable outcome of it, which is seen through the emphasis on broad leadership development as a community capacity building and development strategy. One might envision the 3A cycle spiraling up the inverted pyramid figure demonstrating leadership progression with higher levels of community capacity being synonymous with a diffused leadership structure and multitudes of community agents.

The next section looks at the case of Himeshima, Japan and its progression of leadership by various actors during different phases of the community’s development and subsequent revitalization.

5. Himeshima

Himeshima is a small island, 17 kilometers in circumference and 7.2 square kilometers in area, just off the shore of the Kunisaki Peninsula in Oita prefecture, Japan (Fujimoto, 2008b, p. 1). It has a population of roughly 2,500 (Fujimoto, 2008c, p. 1), which is declining due both to gentrification and low youth retention. People in Himeshima are mainly involved in coastal fishing and prawn cultivation. The prawn industry in Himeshima is particularly notable because of their award for the One Village, One Product (OVOP) campaign in 1981 and the product’s considerable national recognition and sway of market values of their flagship products, tiger prawns and flatfish (Fujimoto 2008a).

There is only one village on the island of Himeshima and there is a recognition by the people living there for the need to work together to develop the island. “The united efforts of the villagers are pointed out as a characteristic in the development of this village. Since a single village exists on this island, villagers need to cooperate with each other (Fujimoto, 2008b, p. 5).”

The following discussion describes the policy structure, community capacity, and the various community agents of Himeshima through its pre-development, initial development and revitalization phases. This information was gathered through several observations, unstructured interviews, lectures, and from documents written by Mayor Akio Fujimoto, Mr. Hidenori Itai of Harikomou-kai, and Mrs. Satomi Daikai of the Himeshima Women’s Association between 2007 and 2009 as a part of Japan International Cooperation Agency (JICA) trainings for rural development and community capacity. Following the discussion of the development periods, the implications and the lesson learned from Himeshima will be presented.

Figure 3: Photo of Himeshima from the Ferry, April 2008



5.1 Before the Development of Himeshima

Himeshima was designated as a region that needed special attention for development in 1957 by the national government. At that time, the island had little in the way of access to electricity, fresh water supplies, medical services, or hard infrastructure such as roads and ports (Fujimoto, 2008b, p. 1). The people were primarily involved in subsistence agriculture, some coastal fishing, and salt production. The maintenance of fishing resources through collectively limiting the amounts of the catch is well-known around Japan as the Himeshima Method. Salt production was not a particularly lucrative practice and consumed large portions of land. In response to this, there was a movement initiated by the national government to encourage developing regions to discontinue salt production in lieu of more profitable and sustainable economic activities.

The first step of economic development in Himeshima was the discontinuation of salt production, a traditional occupation on the island since the seventeenth century. During the implementation of a national policy to shift away from salt production, a national legislator, Eichi Nishimura, who hailed from Himeshima, encouraged the people of Himeshima by saying “Don’t swim against the tide of times...we should... think about the future (Fujimoto, 2008a, p. 1).” With this in mind, the people of Himeshima were able to cease producing salt, the first village in Japan to do so under the national policy (Fujimoto, 2008b, p. 1). Mr. Nishimura exercised his political power to ensure that the national government was aware of the plight of rural areas and remote islands, like Himeshima. This emphasis helped to make funds for development available to those areas and the local government of Himeshima used this political network to maximize their share of financial assistance.

It was during this preliminary development period, around 1950, that organizational activities began on Himeshima. Under the suggestion of the national government, the Himeshima Women’s Association was formed to contribute to the social development of the community. During the most arduous times on the island, the Women’s Association helped connect people in the village with their daily necessities (Daikai, unstructured interview, April 16, 2009).

Table 1 shows the policy structure of Himeshima before development (prior to 1960). The table reflects a very basic policy structure with minimal activities resulting in overall poor living conditions.

The people in the community did not have many opportunities to develop their community capacity due to the arduous and time consuming occupations they were pursuing under difficult circumstances.

Table 1: Himeshima’s Policy Structure (Actions) Before Development

End Outcomes	Intermediate Outcomes	Outputs	Activities	Inputs
Poor living conditions	Small incomes Himeshima Method Sense of interdependence Lack of amenities	Salt	Salt production	Labor
		Small amount of fish sold in local markets	Coastal fishing	Natural resources
		Stable fish supply	Collective maintenance of fishing resources	Some fishing skills
		Cessation of salt production	Campaign to stop salt production	National government policy
		Himeshima Women’s Association	Creation of group for women	National and prefectural support

Based on the presentations from Mayor Fujimoto, the organization Harikomo-kai, and the Himeshima women's group and inferences from the policy structure model, an analysis of the community's capacity attributes before development is offered in Table 2.

People were proud of their salt production (Fujimoto, 2008a, p. 1) and it was an integral part of their community identity. However, at this point in time, there were few other goals and objectives shared by the community.

A fledgling example of the commitment of the people of Himeshima can be seen through the Himeshima Method. The collective fishing resource management through the Himeshima Method provided a sense of pride and identity among the community and provided a base through which further community capacity could be built. Otherwise, the people of Himeshima were consumed by their own occupation in a struggle for survival, which did not lend itself to time for investments in community activities or advancement. This daily struggle may have contributed to the resistance to change that was experienced by many in the community, especially those involved in salt production (Fujimoto 2008a, p. 1). Since their focus was solely on their most apparent and abundant resource, the sea, it was difficult for the people in Himeshima to actively identify and use their other assets. Table 3 shows the community agents in Himeshima prior to its development.

Mayor A. Fujimoto briefly discussed the course of events in the town's history leading up to development, but there was little discussion about leaders during that time. The salt producers voiced their concern about abandoning their occupation, but were not organized and eventually were overruled. The Japanese national government took the lead in developing needy regions around the country by identifying them, foster policies they found to be proactive, and providing funding support for their policies. However, outside of the administrative leaders in Himeshima, there was no mention of outstanding individual leaders prior to development. This lack of a prominent leader is a key point when considering community development. This can be particularly seen in comparison to later periods in Himeshima's development, when the leadership of individuals, organizations, and networks empower the people to take action on their own accord.

While Eichi Nishimura is an example of an individual leader that, through several instances of singular leadership and the use of business and political networks, contributed to the maturity of community capacity, well-being, and the economic development of Himeshima, he is an external stakeholder to Himeshima and therefore his efforts are reflected as a network agent here. Through his political networks, Nishimura was also able to keep the local administration in Himeshima aware of potential national and prefectural funding opportunities for their development projects. Nishimura's network leadership in Himeshima contributed to the early economic development of this island, as well as the introduction of other individual leaders and the establishment of the prawn cultivation industry, which has become a leading organization on the island.

Table 2: Community Capacity Attributes in Himeshima Before Development

Sense of Community	<ul style="list-style-type: none"> • Identity as salt producers and fishers • Minimal goals
Commitment	<ul style="list-style-type: none"> • Collective maintenance of fishing resources
Ability to set and achieve objectives	<ul style="list-style-type: none"> • Fearful of change
Ability to recognize and access resources	<ul style="list-style-type: none"> • Use only sea – salt and fish

5.2 The Era of Mayor Kumao Fujimoto 1960 – 1984

After the salt fields were abolished in 1959, it was necessary for the community to find other income generating activities. The community decided to pursue prawn cultivation after studying the potential of their island using these guiding concepts: (a) the promotion of local industries instead of salt fields, (b) finding employment for salt field workers, and (c) utilizing the former salt fields (Fujimoto, 2008a, p. 1). The Himeshima Fish Culture Corporation was established in 1960 with local capital, but faced financial difficulty in its first years of operation (Fujimoto, 2008a, p. 1).

When the initial endeavors into prawn cultivation were faltering, Nishimura again assisted Himeshima by introducing Dr. Motosaku Fujinaga, a leading prawn expert, to the situation. Dr. Fujinaga consulted with the early Himeshima Fish Culture Corporation on ways that they could improve their business and merged with the Inland Sea Fishery Development Corporation in 1963 (Fujimoto, 2008a, p. 1).

Unfortunately, this new private company again had trouble with the fledgling prawn cultivation technology and went defunct in two years.

In order to sustain the development of the island the mayor, Kumao Fujimoto, helped to persuade the people to continue along the path of development through prawn cultivation. Mayor Kumao Fujimoto told the community “prawn culture must not be withdrawn from this island...I want to continue this business by all means. I’m sure of our success (Fujimoto 2008a, p. 2).” He coordinated local investors, the local administration, and Mr. Nishimura to establish a public-private enterprise, the Himeshima Prawn Cultivation Corporation (HPCC) in 1965 (Fujimoto, 2008b, p. 2) on the heels of the failure of the previous prawn company. Mayor Kumao Fujimoto also urged the community to persevere with the statement “if this business fails, Himeshima will collapse. We have to succeed by all means (Fujimoto, 2008b, p. 4).” The HPCC rehired employees of the former private corporation, invited technical experts to strengthen their production and feeding systems (Fujimoto, 2008a, p. 2).

The road to success of the HPCC was not easy. The business struggled until 1976 when there was an introduction of new technology (Fujimoto, 2008a, p. 2). HPCC continued to experience difficulty until 1980 (Fujimoto, 2008a, p. 3). Mayor Kumao Fujimoto installed Izumi Yamashita, a long-time employee of the company, as president of the HPPC in 1981 after he returned from a one-year study on prawn cultivation. Yamashita disseminated his knowledge of productive cultivation throughout the HPCC (Fujimoto, 2008a, p. 3). Through his leadership the practices of the company were changed for the better and the thinking of the employees changed to reflect those of employees in a private enterprise, rather than an organization that relies on the government. Yamashita led the company to earn its distinction as a pioneer OVOP community and a prominent force in the prawn market by 1981 (Fujimoto, 2008a, p. 3).

During this period of economic development, Himeshima also made some initial progress in improving the standard of living on the island. Their aim was to make life in Himeshima like life on the mainland. It should be noted, that Mayor Kumao Fujimoto had the intention of making Himeshima a reasonable place to live, without extravagance. This is reflected in simple, but comfortable buildings and houses on the island.

Table 3: Himeshima’s Community Agents Before Development

Individuals	<ul style="list-style-type: none"> • Unknown
Organizations	<ul style="list-style-type: none"> • National Government • Salt producers • Women’s Association
Networks	<ul style="list-style-type: none"> • Political network of Nishimura

The main achievements in terms of infrastructure and services include the underwater electricity cable to the mainland in 1965, a ground water supply system established in 1966, and roads that were widened and paved with links to the fishing ports constructed starting from the 1960s (Fujimoto, 2008b, p. 1). However, the current mayor, Akio Fujimoto, feels that the most significant advancement in the standard of living on the island came with the establishment of the ferry, which is administered by the village government, in 1972 (Fujimoto, 2008b, p. 2). This is because it allows people and products to have regular and easy access to the mainland, including the local airport, which increased access to national markets. Additional community development initiatives during this period include the recruitment of a resident doctor in 1983 (Fujimoto, 2008b, pp. 3-4). These tasks were undertaken either solely by the local government, or in collaboration with the national government ministries or outside institutions.

Another unique feature of community life on Himeshima that emerged under the inspiration of Mayor Kumao Fujimoto was work sharing. Work sharing, as it is envisioned on Himeshima, is a system where many employees are maintained at a low salary (Fujimoto, 2008b, p. 5). This system was introduced in the early 1970s to prevent further depopulation of the island by providing an opportunity for as many people as possible to be employed within a minute total expenditure of the local government (Fujimoto, unstructured interview, April 16, 2009). Table 4 shows the policy structure of Himeshima with some highlighted aspects of the economic development period.

In comparison to the period before development, the policy structure of the economic development period is more robust, complex, and sophisticated. The injections of funding from the national government contributed to the development of the prawn industry, and the determination of the mayor and the local investors in the HPCC ensured the company's eventual success and secured a sustainable living for people on the island.

Table 4: Himeshima's Policy Structure (Actions) Under Mayor Kumao Fujimoto

End Outcomes	Intermediate Outcomes	Outputs	Activities	Inputs
Standard of living similar to the mainland Migration of youth	Famous brand of prawns Products hold large market sway in national markets OVOP award Identity as prawn producers	Fish products for market Himeshima brand of prawn High quality prawns Himeshima Prawn Cultivation Company Increased employment	Coastal fishing Create public-private prawn company Prawn cultivation Work sharing	Natural resources Prawn cultivation skills and technology Kumao Fujimoto's commitment to prawn cultivation Concept of work sharing
	Livable income Improved infrastructure Improved social services	Better transportation Better access to markets Local access to services	Build physical infrastructure Construct electricity cable Construct water system Establish ferry service	Nishimura's political network National and Prefectural development subsidies Local government funds

Through working with external networks and the finances that were earned by the public-private HPCC, the local government was able to pursue their goals of infrastructure development and service delivery to make life on the island similar to life on the mainland. This era of economic development in Himeshima was largely driven by the government and coordinated by local agents with strong external political networks.

The activities that the people in Himeshima undertook as a part of their prawn cultivation endeavor served to fortify their community capacity, as well as provide for economic sustainability. Table 5 describes the genesis of Himeshima’s community capacity during the period of economic development.

The sense of community in Himeshima began to become more articulated as the mayor helped to establish the vision of the community to “make life on the island like that of the mainland through the cultivation of prawns (Fujimoto, 2008a, p. 1).” The people then began to view their identity as prawn producers, shifting from their identity as salt producers. Their prawn production brought them accolades as an OVOP product and forceful market brand, which helped to instill a sense of pride in the community. The concept of work sharing that was introduced during this era also served to help bring the people of Himeshima closer together through the recognition of mutual circumstance and the need to sacrifice high salaries in order for other members of the community to be able to have a quality standard of living.

The sense of community that grew in Himeshima served to increase the commitment to prawn cultivation by the employees, investors, and other members of the community. This commitment to prawn cultivation then allowed the HPCC to grow into a viable company that offered much to its employees and the village, as well as become a dominant market force due to their commitment to quality products.

Himeshima’s ability to set and achieve objectives is apparent through the success in establishing the HPCC through public-private partnership. The income generated by the people and for the village through tax collection, as well as the networks to access external development funds then allowed the local government to fulfill its vision to improve the standard of living by providing the necessary services and infrastructure developments.

Himeshima recognized its abundant natural resource, the sea, and continued to innovate on new uses of this resource. They also were committed to using the abandoned salt fields for income generating activities, which demonstrated the community’s ability to recognize a latent resource. Aside from the natural resources on the island, the community was able to access their political and social networks, particular those of Kumao Fujimoto and Eichi Nishimura, to bring in knowledge, new technologies, and financial resources to pursue their goals.

Table 5: Himeshima’s Community Capacity Attributes Under Mayor Kumao Fujimoto

Sense of Community	<ul style="list-style-type: none"> • Identity as prawn producers • Work Sharing • Pride from famous OVOP brand • Vision to make life on Himeshima similar to life on the mainland
Commitment	<ul style="list-style-type: none"> • Commitment to prawn cultivation as mode of development • Commitment of HPCC to producing high quality prawns
Ability to set and achieve objectives	<ul style="list-style-type: none"> • Established prawn company and successful OVOP brand • Made improvements in infrastructure and services • Accomplished goal to improve living standard
Ability to recognize and access resources	<ul style="list-style-type: none"> • Recognised convertibility of salt fields and value of sea products • Networked to gain skills and technology in prawn cultivation and funds for development

Table 6 shows the various community agents that became important during the period of economic development in Himeshima. Compared to the community agents that were active before development, the period of economic development shows a marked increase in the quantity and type of agents. These agents, like the policy structure, and the community capacity, become more diverse and productive as the 3A cycle progresses.

The commitment of Mayor Kumao Fujimoto to the idea of development through prawn cultivation inspired the people of Himeshima to try once again, thus revealing his position as a true leader. He was able to connect with Nishimura and access development funds that were available through his political network.

Through his coordination of the HPCC, Kumao Fujimoto put various other community members from the public and private spheres into leadership positions, such as Yamashita and Fujinaga. The leadership of Kumao Fujimoto fostered the leadership of Yamashita, and in turn, the leadership of Yamashita led to the prominence and leadership of the HPCC, as well as leadership among its employees. It can be seen that proactive leadership begets other instances of leadership and engages organizations as prominent community agents. This is where the transition from singular instances of leadership begin to progress into community leadership.

Similar to the period before Mayor Kumao Fujimoto, Nishimura was able to use his knowledge and connections (business and interpersonal networks) to bring experts and additional leaders to the community to help establish their prawn cultivation industry. This makes him again an external stakeholder in Himeshima and a network leader.

The Himeshima Women's Association is also active during this time helping to bring the people of Himeshima some comfort and social development. Their activities filled a particularly important need during this time, because most of the activities of the local government were concerned with the physical development of the island.

Both the HPCC and the local bureaucracy further contribute to the development of community leadership through their practice of work sharing. Work sharing can be considered community leadership because it is a process through which people carry out the idea of community livelihood and definitely had an influence on how the people of Himeshima live and see themselves in relation to other communities. It also happens within the group context of the municipal organizations and the HPCC, and moves the community members of Himeshima toward attaining their goals (see Northouse, 2004). The work sharing system of Himeshima enables the members to take pride in their community, fortifies the relationships and commitment to the community's success and vision, and allows them to work toward achieving their community objectives by tapping their given resources -- people. Work sharing as a mode of community leadership contributes to the growth of community capacity in Himeshima by allowing many community members to be active community agents.

Table 6: Community Agents in Himeshima Under Mayor Kumao Fujimoto

Individuals	<ul style="list-style-type: none"> • Kumao Fujimoto • Izumi Yamashita • Dr. Fujinaga
Organizations	<ul style="list-style-type: none"> • Himeshima Prawn Cultivation Corporation • Himeshima Women's Association • Local government
Networks	<ul style="list-style-type: none"> • Fujimoto's political networks • Nishimura's personal and political networks

Although great advancements in the development of Himeshima were made during this period, and life there became comparable to life on the mainland, the village still experienced depopulation as a result of gentrification, low birth rates and the desire of the youth to work at higher paying jobs in big cities. Clearly, development is a process that never ceases. The next discussion focuses on the most recent attempts at revitalization in Himeshima.

5.3 The Era of Mayor Akio Fujimoto 1984 - Present

Mayor Akio Fujimoto took off where his father left off to improve the living conditions on Himeshima. Some of the development activities accomplished during his tenure include a can deposit system in 1984, the establishment of an elderly assistance centre in 1991, and the construction of a sewage system in 1992 (Fujimoto, 2008b, pp. 3-4). Much advancement in the state of health care was made during the early part of Mayor A. Fujimoto's term, as a result of a budget reallocation made possible by the frugal efforts of the municipal staff to reduce the cost of maintenance at municipal hall.

Product promotion was still important during this time. The people on Himeshima decided to host festivals to promote their products and bring visitors to their island. The flat fish festival is held annually in May and the prawn festival is held in October. Producers, local government officials, and local organizations, such as the Women's Association and the fishing cooperative, participate in the festivals. The prawn festival and the flat fish festival in combination with the Bon festival in August also provide an attraction to draw tourists to the island.

While Himeshima enjoyed a period of economic success through the 1980s and 1990s, the village again fell into decline as the population steadily eroded from ageing and urban migration. A new approach to the economic sustainability of Himeshima was taken, this time linking the local industries with tourism through "Blue Tourism."

The Himeshima Revitalization Project is a three-year project running from 2006 to 2008 that is subsidized by the Ministry of Internal Affairs and Communication and the Oita Prefectural Government. Mayor A. Fujimoto decided to use the funding available for rural revitalization and convened a work group to implement the project and manage the funds. The local work group, Harikomou-kai, consists of 30 representatives of the local government, local businesses and community members (Itai, 2008). Interestingly, *harikomou* is the local Himeshima dialect for the Japanese term *ganbare*, which translates as "let's give it our best! (Fujimoto, 2008b, p. 7)."

The local administration of Himeshima consulted with the project participants and formulated a multi-faceted approach to enact the project. Sustainable development of the village and future economic growth are the main goals of the project, as well as an improvement of the social condition of the village through cooperative actions. Their overall goal is to "create an island where residents are filled with happiness (Fujimoto 2008a)."

Harikomou-kai facilitates the revitalization project by commissioning research trips, organizing trainings, and providing a forum through which participants and residents can voice their opinion and become involved. The group decided to use technology for the promotion of tourism in Himeshima and subsequently was providing internet training for local entrepreneurs and has created a new website to promote and display all that they have to offer on the internet. Various research expeditions have been conducted to find unique local products and traditions, local food cultivation, and to map the tourist areas. The findings of these studies help the residents of Himeshima understand the local resources at their disposal and facilitate the development of their respective industries (Harikomou-kai, 2008, p. 2).

In order to better prepare tourism operators on the island to accommodate tourists, the travel company Japan Travel Bureau (JTB) was tapped to provide hospitality training. JTB also acts as a marketing

connector for the burgeoning tourism industry on the island by offering package tours to Himeshima (Fujimoto, 2008).

Work sharing continued into the era of Mayor Akio Fujimoto as well. There are 184 municipal employees, most of who work for the municipal clinic and the ferry service. Additionally, the 65 employees of the HPCC are employed under the same concept of work sharing (Fujimoto, 2008b, p. 5). Himeshima remained an independent municipality, despite the trend of rural municipality mergers in the early 21st century, largely because they were unwilling to compromise their work sharing system (Fujimoto, 2008a). The people of Himeshima were also worried about weakening their solidarity (Fujimoto, 2008b, p.6).

There are organizations that help to color the social life and solidify the connection between the people, such as the Himeshima Women's Association. Although the group had been more active in the past, currently this 500 plus strong group organization takes part in nearly every event and activity on the island. They focus on social activities, such as preparing costumes and makeup for the annual Bon festival children's dance and promoting public awareness campaigns such as the "My Chopsticks" campaign to reduce the use disposable wooden chopsticks (Daikai, 2008).

The organization has several official positions, board members, and also places members in observer positions to oversee the welfare of their neighbors in each district (Daikai, 2008). The women's group helps to spread the messages, lessons, and visions of the people, by focusing public awareness campaigns, largely on environmental conservation, on the island's children (Daikai, 2008).

The group has a *laissez-faire* approach to the recruitment of members, the collection of dues, and recruiting activity participants. They do little in regards to these matters, yet have no problems collecting fees or finding members or activity participants, as well as no problems with corruption within the organization itself. Mrs. Satomi Daikai, the chief board member of the organization, attributes this to the desires of the group members to avoid conflict paired with the encouragement of members to only become involved in the activities that interest them. Mrs. Daikai said that the group members "do the things they like and the things that they are proud of," and think of obtaining money as secondary to these thoughts (2008).

Table 7 shows the most recent policy structure of Himeshima organized in a logical framework. This policy structure is much more complex than those during the previous periods of development, reflecting greater capacity of the community, more varied outputs, and more sophisticated outcomes. The community in Himeshima has progressed to be able to take on more diverse and intricate matters. The revitalization was driven by the residents and organizations of Himeshima, rather than by individual leaders or external actors as the prior periods of development had been.

Table 8 is a breakdown of the community capacity of Himeshima during the period of revitalization. Like the policy structure table, it is more robust and varied than the previous time period's on Himeshima; thus reinforcing the principle that community activities help to fortify community capacity and vice versa. Clearly working together to sustain life on Himeshima is very important to the village residents and has become an integral part of their identity. The sense of community on Himeshima expanded beyond that of being prominent fishers and prawn cultivators to include the desire to become an attractive tourist destination. They expanded their vision from merely making life on their island comparable to the mainland to making it a place where the residents can live contented lives by working together. Solidarity is an important component of the sense of community of Himeshima and can be seen through their non-participation in the government merger, work sharing, and the activities of the Women's Association. The festivals provide local producers the opportunity to proudly display their goods and give the people in

Table 7: Himeshima's Policy Structure (Actions) Under Mayor Akio Fujimoto

End Outcomes	Intermediate Outcomes	Outputs	Activities	Inputs
An island filled with happiness through cooperative actions Sustainable development Future economic growth Depopulation Gentrification	Stable income Well known flat fish Well known prawns Pride in local products Comfortable living environment	Products for market Employment Annual Flatfish Festival Annual Prawn Festival	Coastal fishing Prawn cultivation Work sharing Festivals	Sea resources Fishing skills Prawn cultivation skills
		Cleaner environment Better access to health care	Establish can deposit system Construct sewer system Build elderly assistance centre	Village funds Prefectural funds National funds
	Establish Himeshima as a unique tourist destination Develop tourist facilities Cultivate local products and traditions Well-educated and adapted children Community Leadership	Skills in tourism Increased human resources Identified unique local products, traditions, local foods Map of tourist areas Increased amount of tourists	Blue Tourism Create Harikomou-kai Tourism training Internet training Build website Research expeditions	Village funds Prefectural funds National funds Tourism trainers Natural resources
		Environmental awareness Conscientious children Bon Festival	Public awareness campaigns Festival activities	Women's resources

Table 8: Community Capacity Attributes of Himeshima Under Mayor Akio Fujimoto

Sense of Community	<ul style="list-style-type: none"> An island filled with happiness through cooperative actions Blue Tourism Volunteer spirit Solidarity Festivals
Commitment	<ul style="list-style-type: none"> High amounts of participation through work sharing and community activities Residents recognize themselves as stakeholders and take action accordingly
Ability to set and achieve objectives	<ul style="list-style-type: none"> Harikomou-kai's activities Local administration coordinates new activities Himeshima Women's Association activities Blue Tourism project
Ability to recognize and access resources	<ul style="list-style-type: none"> Studied area to find uniqueness Linked tourism with prawn cultivation and fishing Accessed political networks for funds

the community a reason to strive for high quality products. The festivals are activities through which the people in the community come together to display and celebrate the uniqueness of their community.

The diligence of the community members and their pride in work sharing is something that contributes to the overall sense of community in Himeshima. The work sharing concept is interesting because it seems to “equalize”, because the salary discrepancy from the richest to the poorest on Himeshima is small, most people willingly trading extravagance for the continued livelihood of the island and the well-being of their neighbor. Even the mayor, Akio Fujimoto, takes part in the work sharing and still works diligently, attending to his office duties and functions regularly, even on the day of the municipal election, as if it were any other day (Fujimoto, 2008a). Work sharing displays the commitment that the people of Himeshima have to their community.

Furthermore, the community leadership of the Himeshima Women’s Association contributes to the community capacity of Himeshima because the group supports the overall community vision of making the island a place to live filled with happiness and amends that vision by adding “through a volunteer spirit (Daikai, 2008).” The activities of the group are a testament to the commitment of the community members of Himeshima, as well as setting and achieving both community and group objectives, and the recognition of the resources of Himeshima, particularly the skills of women and the elderly. The Himeshima Women’s Association embodies the characteristics of community leadership and further emboldens community capacity.

The commitment of the community is clearly seen through the practice of work sharing, the membership of the women’s organization, and the various activities that are conducted around the island. The people there now truly see themselves as stakeholders in the development and other activities of Himeshima and take action accordingly.

Himeshima now has a better ability to set and achieve objectives, which can be seen through the activities that are conducted for social reasons, for development, as well as livelihood activities. There are also a multitude of actors involved in the setting and achieving of objectives on the island, which is also indicative of a progression of the community capacity cycle.

During this period of revitalization on Himeshima, the community became better aware of the resources at their disposal. Previously, the focus had primarily been on sea products and subsequently on prawn cultivation. Currently, through the exploration of the island’s resources in conjunction with the Blue Tourism efforts, many latent resources were uncovered, such as migratory butterflies. This diversification of resource identification further points to a more robust community capacity.

Table 9 displays some of the most prominent current community agents of Himeshima. Himeshima still has many key individual leaders; however due to the development of a more diffused leadership, as can be seen in the larger and more influential role being played by organizations and residents, those individual actors play a less prominent and crucial role. Himeshima has achieved a form of community leadership, because nearly any person in any sector or position feels at liberty to take leadership action to further progress the vision of the community. This can be seen specifically through Harikomou-kai, work sharing and the women’s group.

More organizations are actively involved on Himeshima than they had been during other periods on the island. This is true, even though contemporarily organizational activity is on the decline. The local government acts as an organization that leads the community, which can be seen through work sharing and their sacrifices to ensure enough finances to support adequate health care on the island. The fishing cooperative also acts as a leader through their participation in the festivals and in Harikomou-kai.

Table 9: Community Agents of Under Mayor Akio Fujimoto

Individuals	<ul style="list-style-type: none"> • Community members • Akio Fujimoto • Women's group board members • Women's group district officers
Organizations	<ul style="list-style-type: none"> • Harikomou-kai • Local government • Himeshima Women's Association • Himeshima Prawn Cultivation Company • Fishing cooperative
Networks	<ul style="list-style-type: none"> • Himeshima Women's Association • Prefectural and national Women's Association Network • A. Fujimoto's political networks • Harikomou-kai • JTB's market network

Harikomou-kai is a reflection of the level of community leadership that has been achieved in Himeshima to date, because it is a multi-actor group. The members of the group are from nearly every segment of the village and others are encouraged to participate as volunteer members if they wish to contribute, gain technical knowledge, or have a specific concern (Itai, 2008). Harikomou-kai is a manifestation of community leadership, directly contributing to the community capacity of Himeshima through trainings and information sharing, setting and achieving objectives for the revitalization project, and providing a forum for the development of the sense of community through collective efforts for Blue Tourism.

Another important mode for the development of community leadership is the Himeshima Women's Association. Although the organization has several official positions, they promote leadership in all of their members by advocating its members participate in the events and activities of the group. It should be noted that they do not mandate participation in the group or its activities, yet the women choose to do so when the projects inspire them. Mrs. Daikai noted that they typically do not have to cajole members to contribute or participate and that they do on their own accord. This concept of promoting free involvement of the members allows them to take leadership and initiative on their own terms, and does not impede the ability of the association to perform its desired functions, rather it enhances that ability. The women's group also trains future leaders of Himeshima by focusing public awareness campaigns on the island's children.

Through working with JTB to promote tourism on the island, the community of Himeshima gained access to the market network that the international company has. JTB as a network agent provides a key link to external resources that otherwise could not be met alone on the island.

The progression of the community capacity of Himeshima has led the 3A cycle to produce a variety of agents through which activities are conducted. Leadership is more distributed among organizations and individuals in Himeshima in comparison to their historical reliance on a few strong leaders and their networks.

5.4 Lessons from Himeshima

By comparing Tables 1, 4, and 7 it can be seen that the community policy structure became more complex and sophisticated as Himeshima progressed through the 3A cycle. They moved from the simple use of natural resources, to cultivation, branding and infrastructure development, to include human resource development, endeavors into the service industry, and social development.

There were few identifiable examples of community capacity before development began in Himeshima, as can be seen in Table 2. The scant amounts of community capacity grew through the Mayor Kumao

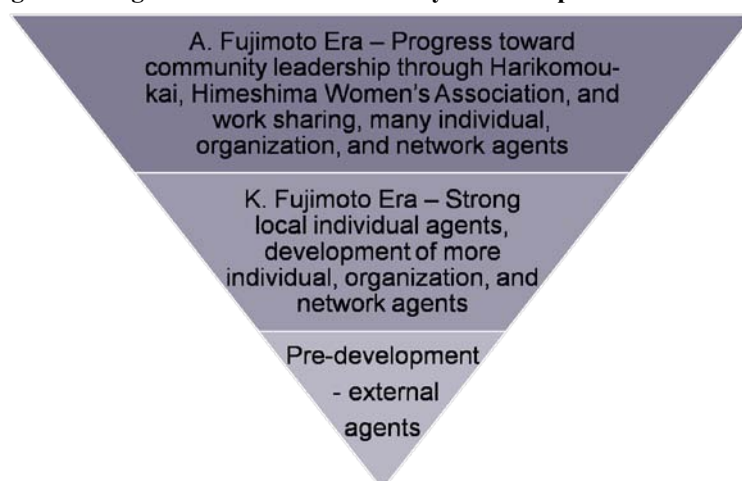
Fujimoto period, Table 5, as the prawn cultivation industry flourished on the island. However, recently, as reflected in Table 8, there are significant amounts of community capacity attributes, resulting from the varied activities and emphasis on the improvement of social condition in the village.

The policy structure in Himeshima became more diverse and sophisticated, and the community capacity attributes became more robust. Concurrent with both of these trends, the leadership on Himeshima developed from singular instances of leadership of individuals and networks with external actors, to more broad occurrences of leadership which can be described as community leadership. The community agents of Himeshima-- the several individual, network, and organizational leaders that demonstrated several instances of singular leadership -- ushered in increases of community capacity and promoted further community leadership.

The individual leadership examples of Mayor Kumao Fujimoto, Dr. Motosaku Fujinaga, and Mayor Akio Fujimoto inspired, influenced and helped to shape the community of Himeshima, which contributed to the enhancement of their community capacity and the sustainable development of the island. These individual leaders developed interpersonal, business, and political networks that then, in turn, contributed to the promotion of other types of leadership -- individual, group and community, and again fostered community capacity and economic advances. The group leadership displayed by Harikomou-kai and the Himeshima Women's Association further progressed leadership and community capacity in Himeshima and has resulted in fairly widespread community leadership. Tables 3, 6, and 9 can be referenced to see the enumeration and variation of Himeshima's leaders.

The progression of leadership from individual leaders to community leadership can be seen in Figure 4. Before the development of the village there were few instances of leadership locally, with the community relying on networks with external agents to achieve objectives. However, through the leadership of the mayors other individual leaders were encouraged and organizations such as the Himeshima Prawn Cultivation Company began to take on leadership activities. These new community agents contributed to the growth of community capacity, creating more actions and more agents, especially those that contributed to widespread community actions such as the Himeshima Women's Association, Harikomou-kai, and work sharing, which led to the development of community leadership.

Figure 4: Progression Toward Community Leadership in Himeshima



6. Summary

Through the case of Himeshima a better understanding of the significance of community capacity and the effects of community agents in relation to community leadership are highlighted. Community leadership is the ideal outcome of community capacity development, insofar as it enables any member of the community to take initiative in correspondence with the community vision and specific objectives. Community leadership ensures that the community thrives and grows over time and across different environmental, situational and even political changes (Kime, 2001, p.11). Community agents should strive for community leadership to promote and sustain community capacity in the long run, rather than placing sole leadership responsibility on a few individuals, organizations, or networks, because their effectiveness will only run concurrent with their popularity.

The 3A cycle of community capacity is facilitated by community agents and their individual instances of leadership at first, but as the cycle progresses, more agents are enacted thereby fostering the development of community leadership. These progressions are seen through the case of Himeshima as the community focus moved from salt production to prawn cultivation to service through tourism, and both community capacity and community leadership evolved simultaneously. The singular instances of leadership facilitated the progression of the 3A cycle to produce a more mature policy structure with more varied and sophisticated outcomes, higher levels of community capacity, and more leadership. As policy structure evolves, community capacity grows, and community leadership is developed.

Leadership interventions strategies are one way that community capacity can be improved (Chaskin et al., 2001, p. 12); however, many feel there is little known about how leadership can actually be cultivated and spread through a community (Wituk et al., 2005, p. 90; Kime, 2001, p. 9). This is especially noticeable since many leadership initiatives are sector and individual focused (see Wituk et al., 2005) and fail to recognize the opportunity and benefit of building leadership capacity throughout the community (Wituk et al., 2005, p. 90). Although specific avenues for the development of leadership may be difficult to articulate, by focusing on community capacity building and the development of community leadership the overall condition of a community is improved and sustained. Furthermore, the end outcome of community policy structures should include attributes of community capacity and community leadership, and the community capacity building opportunities inherent in leadership interventions should not be ignored.

Understanding that communities are complex systems made up of multiple stakeholders with layered links with various needs and desires requires a new concept and understanding of leadership, community, and the role of community agents. Conceptualizing these complex relationships and functions of a community is more likely to render useable analytical frameworks for policy creation, leadership promotion, and other development strategies; since that conceptualization is more akin to reality and thus the production of realistic and practical strategy development (Kime, 2001, p. 9; Kirk & Shutte, 2004, p. 237). This chapter lays the preliminary conceptual groundwork for consideration of the importance of community leadership and the connective role that community agents play in terms of fostering community capacity and achieving desired outcomes.

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**PART V:
DECENTRALIZED HANDS-ON
EXHIBITION APPROACH**

17

Local Resources: Using the Onpaku Approach for Rural Development

Koichi Miyoshi and Hisano Ishimaru
Ritsumeikan Asia Pacific University

1. Introduction

Despite active efforts toward development in rural areas, local resources are presently not being utilized effectively to this end. Moreover, as a result of an ongoing disintegration of communities in rural area throughout Japan, it is becoming increasingly difficult to establish the basic foundations for activities and create collaborations and cooperation sufficiently. Executives of small and medium enterprises located in rural areas also face difficulty to develop new businesses without securing the management resources. In this regard, intermediate supporting organizations dedicated to community development have been gaining a lot of attention for their role in solving these specific problems and promoting rural area.

NPO Hatto Onpaku (“NPO Onpaku”) conducts the Beppu Hatto Onsen Hakuran Kai (commonly known as Onpaku) in Beppu City, Oita Prefecture. Onpaku promotes to identify local resources and creates inter-area networks as well as develops the community capacity by utilizing community based business activities. The Onpaku approach developed by NPO Hatto Onpaku can be characterized as a concrete methodology and can be utilized to formulate practical policies. At present, a nationwide Onpaku-model community revitalization approach (Japan Onpaku) is being developed through hands-on support efforts combined with training across ten different rural areas in Japan.

In the following, we will introduce an overview of Beppu Onpaku, discuss its concreteness for implementation and provide implications as well as offer suggestions related to the adoption of the Onpaku approach as community and rural development policies. We will also introduce Japan Onpaku as a case as it has effectively incorporated the Onpaku approach with policy for community and rural development and based on this example, we will demonstrate the potential of community-based rural development activities and the utilization of local resources toward this goal, as well as highlight the importance of combining a conceptual framework with actual practice.

2. Overview of Beppu Onpaku

Onpaku provides an effective methodology that takes into account the utilization of local resources. Onpaku was measures established in 2001 in Beppu City of Oita Prefecture by local residents and businesses for the purpose of revitalizing the rural area. During the approximately one month period Onpaku provides over one hundred types of programs utilized local resources by local residents or businesses which are commonly referred to as partners. This type of program helps identify local resources and aims to convey the charm of the rural area to the general public. It also provides a chance for new products or services to enter the marketplace and promotes the development of products and services.

There are three major factors that have lead to Onpaku attracting attention as a rural development strategy. These can be summed up very concisely as follows: Onpaku programs are small-scale, short and repetitive. A typical program of Onpaku has no more than twenty to thirty participants and numbers of programs are packed into a period of one month. These programs under Onpaku are then held once or twice a year so this situation allows partners to attempt a challenge of various business activities without concern for potential risks. While the consequences of failure are small, a successful Onpaku experience

can elevate motivation substantially. Moreover, through repetition of the programs, a support and cooperation network is developed. As a result, core organizations for development are built in the rural area, community development networks are created and the community capacity is developed. This situation in turn then triggers ongoing success for the programs. Furthermore, the repeated implementation of individual programs provides opportunities for partners to test marketing of the services and goods produced and to create business models that enable customer acquisition. In this way, Onpaku increases motivation in small and medium enterprises and small-scale agricultural producers.

Onpaku places emphasis on small-scale programs but it effectively uses local resources and provides many opportunities for cooperation between small and medium sized and new enterprises, small-scale and new agricultural producers. By creating an increased capacity for community development, Onpaku also endeavors to expand community networks for support and cooperation.

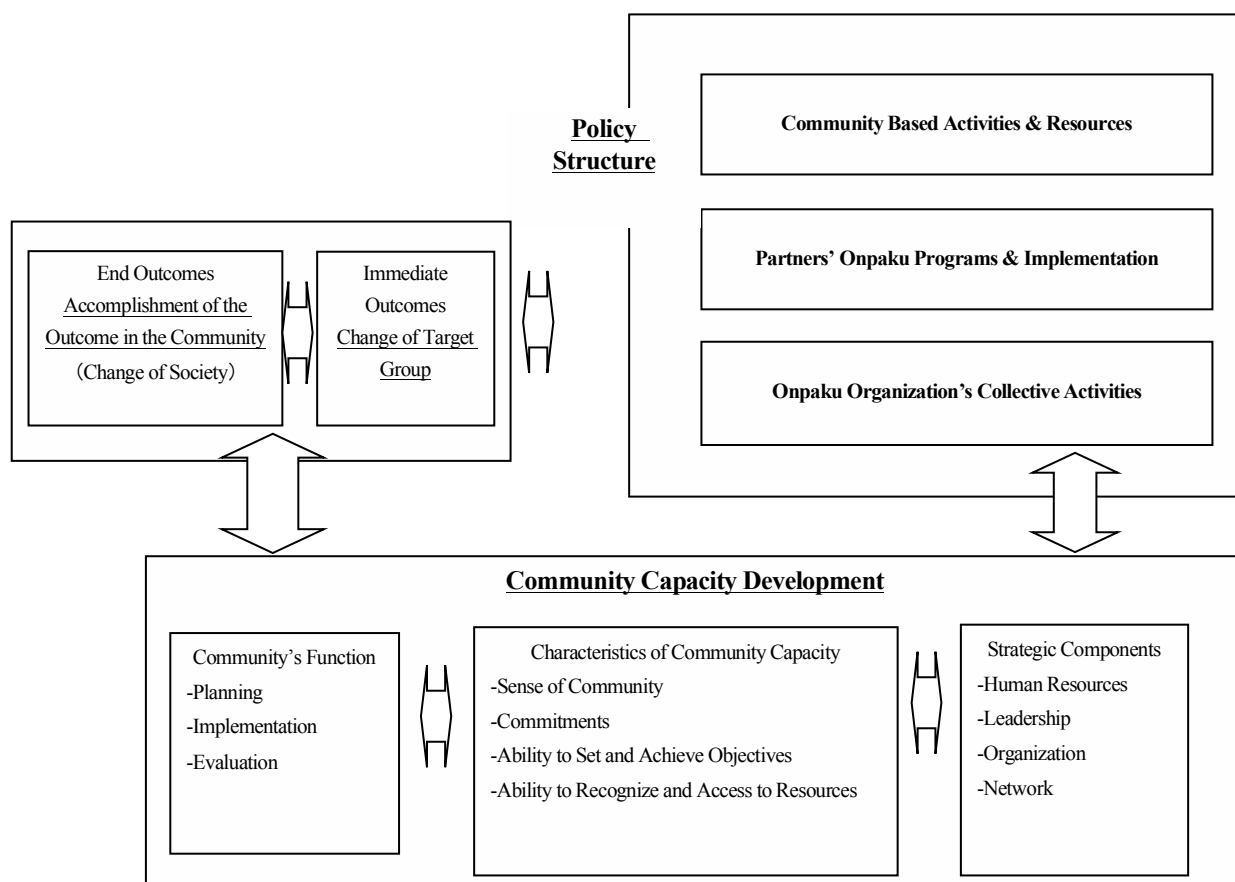
3. Concrete and Operational Nature of the Onpaku Approach Model

Conceptualization of Onpaku allows us to increase its utilization as a practical model for community revitalization. Going forward, a more operational and practical model will become necessary. With the support of the Ministry of Economy, Trade and Industry, and as part of the Japan Onpaku Project, NPO Onpaku is currently administering Onpaku-based community and rural development in ten rural areas nationwide. With the support of the Nippon Foundation, Onpaku will further increase the number of Onpaku-based community and rural development throughout 2009. While working on policy-based community revitalization activities, a more concrete conceptualization of community revitalization is required. We view Onpaku as a specific type of “community capacity development and policy structure model” and believe that Onpaku can present a more concrete and practical methodology for community and rural development.¹ The Miyoshi-Stenning model is a dual function model aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of individual and collective economic, social and political activities of individuals and organizations in the community to change the life of the community’s population. This approach emphasizes the operational aspects of its utilization and aims at providing concrete and practical concepts for the implementation of rural promotion and development by utilizing existing potential resources in rural areas. Another important factor is that the community is regarded as the main subject of discussion. In other words, the community becomes the main unit of analysis or the principle operational management unit of the activity. This in turn allows us to put our focus on community design when attempting community development by looking at the development of community capacity and the formulation of a policy structure and its different variations.

Figure 1 illustrates the Onpaku approach model which is created based on the Miyoshi-Stenning model. Onpaku’s policy structure is divided into three parts; community-based activities and resources, partners’ creation and implementation of Onpaku programs and collective activities of the Onpaku implementation organization. All partners either revise or improve respective their existing community-based activities or establish new ventures, and are responsible for the formulation and implementation of those Onpaku programs. Onpaku is able to achieve rapid results in community and rural development because each Onpaku program is planed and developed principally based on the pre-existing activities in the community and rural area.

¹ Refer to Miyoshi, K. and Stenning, N. (2008) and Stenning, N. and Miyoshi, K. (2008).

Figure 1: Onpaku Approach Model



Source: Created by the authors

Each partner uses his or her own individual or organizational experience and ideas as resources and, in some cases, join with other partners or supporters to develop and implement Onpaku programs. This process stimulates the creation of programs that are better suited to the consumer's needs and enables the emergence of creative products with high added value. This process also provides the opportunity for partners to either revise a pre-existing business or start a totally new business venture.

The Onpaku implementation organization is involved mainly in collective activities ranging from the creation and publication of a program brochure, the provision of technical support for the development and implementation of partner programs and the management of a website and fan club. Because it takes over tasks that the partner cannot handle individually, it removes a lot of the struggle for partners and allows them to wholly focus on the implementation of their own programs. This is the main advantage of Onpaku based community and rural revitalization.

Large trade fairs and festivals usually require the organizer to play a main role in its implementation and therefore becomes a leading actor. As a result, exhibitors and participants are obliged to exhibit their products or performance within the framework provided by the organizer and therefore do not play their roles as leading actor themselves. The over one hundred programs provided by Onpaku on the other hand, are solely based on the ideas of the participating partners. They create their own plans and implement them. The partner's individual ideas are reflected in details even though their programs are small. They obtain the power to act and are encouraged to take on a leading role in their program. This difference is significant. The partner's perception of their role and their sense of responsibility is greatly enhanced compared to

other general events or measures. While using the local resources of their respective area to implement the program, cooperative relationships and teamwork with other participants is also nurtured. The activities also typically bring about an expansion in their network and the contribution to the community capacity for the development is immeasurable.

By relying heavily on the partner's self motivation in this way, the role and burden of the Onpaku implementation organization, which acts as a responsible organization of Onpaku, can be restricted. Through concrete implementation of this systematically organized process, the community capacity is developed and results can be maximized. The policy structure within the community is enhanced and by implementing the policy structure, the community capacity is developed interactively.

4. Policy Implications of the Onpaku Approach

Through conceptualizing of Onpaku implementation, we have shown that the Onpaku approach provides a concrete and operational model for community and rural development. With this in mind, what kind of implications we can obtain when we introduce and implement Onpaku as a policy for community and rural development. We would like to discuss here on introduction of Onpaku as a policy. Can the Onpaku policy be practically implemented in a feasible manner? In the following, we would like to discuss its potential as an operational and practical policy.

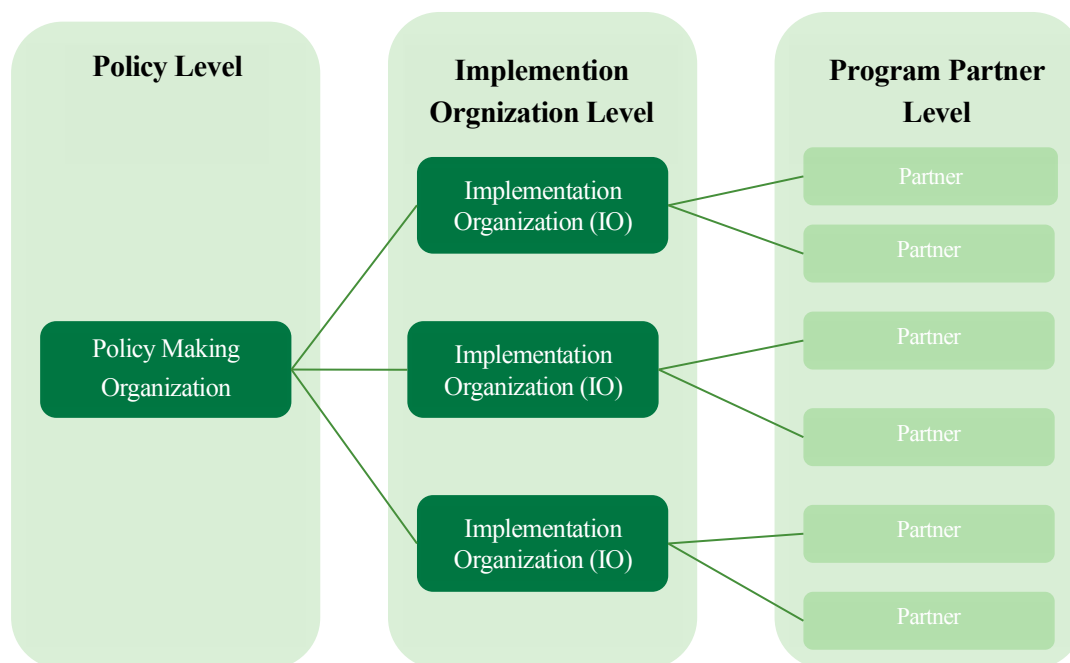
The implementation of the Onpaku policy is easy to understand in terms of three distinct levels which are 1) the policy making organization level; 2) the implementation organization level; and 3) the program partner level (Figure 2). The organizations responsible for each level implement their respective roles when implementing Onpaku in local communities. The different roles are illustrated in table 1. The role of the Onpaku policy making organization consists of selecting and supporting the Onpaku implementation organizations. The Onpaku implementation organization builds the Onpaku framework and supports the program partner's planning and implementation. At the program partner level, the programs are planned and implemented. A vital point here is that each support mode can be standardized and as a result, the Onpaku implementation can be held within relatively short period.

NPO Onpaku is supported by the Ministry of Economy, Trade and Industry's "Community New Business Revitalization Intermediate Support Function Reinforcement Project". Under the community revitalization policy entitled "Community Shine Exhibition", Onpaku has been introduced to and is supported in Hakodate of Hokkaido; Morioka of Iwate Prefecture; Iwaki of Fukushima Prefecture; Nanao of Ishikawa Prefecture; Suwa of Nagano Prefecture; Atami of Shizuoka Prefecture; Soja of Okayama Prefecture; Kurume of Fukuoka Prefecture and Miyakonojo of Miyazaki Prefecture.

These rural areas were selected by NPO Onpaku from among town, cities, prefectures and NPO's that expressed interest in holding Onpaku events. The selected parties became the Onpaku implementation organization, received support from NPO Onpaku in Beppu and now hold Onpaku events in their respective communities and rural areas. NPO Onpaku and the Ministry of Economy, Trade and Industry transfer the Onpaku approach for self implementation to each area over a three year period. In the first year, NPO Onpaku has hold workshop trainings for the staff of the Onpaku implementation organizations. During the second year, NPO Onpaku has provided hands-on supports and consultations for the Onpaku implementation Organizations to organize the first Onpaku by considering the situation of each Onpaku implementation organization. In the third year, the Onpaku implementation organizations have organized the second Onpaku by themselves based on the results and experience of the first Onpaku.

In here NPO Onpaku is entrusted by the Ministry of Economy, Trade and Industry and implement and accomplish the Ministry's policy to revitalize the generation of new businesses. Consequently, the Ministry of Economy, Trade and Industry and the NPO Onpaku takes the policy making level role while the

Figure 2: Onpaku Organization Chart Organized by Level



Source: Created by the Authors

Table 1: Roles of Each Level

Policy Making Organization Level	Implementation Organization Level	Program Partner Level
Formulation of the Onpaku approach policy Provision of the Onpaku approach guideline Formulation of Onpaku implementation organization Training of Onpaku implementation organizations Organizational operation support Program planning support Financial support. Web management support Brochure making support	Financial support. Program brochure making Web management Technical support to partners Organization & management of program fan club	Partners: Existing or Potential Resources: Existing or Potential Internal or External

Source: Created by the authors

city, prefecture or NPO as the implementation organization implements Onpaku in their respective areas. Clear division of labor is created between Onpaku policy making organization and implementation organization levels. NPO Onpaku's supports are quite comprehensive and include management of a website, publication of a brochure, planning of Onpaku programs, and forming and managing of fan clubs. In most cases, the all of Onpaku implementation organizations have hold their own Onpaku by the second year by their own abilities. The systematization of framework of the management of website, creation of brochure and the implementation process up to execution, selection of partners, program planning is one of the important factors that enable Onpaku implementation organization to implement Onpaku over the short three year span.

Also, each Onpaku implementation organization is able to successfully implement Onpaku considering

the respective issues that they are facing such as a declining or aging population, deterioration of shopping malls and the like in central area. This is clear indication that Onpaku provides great potential in terms of policies that can be practically introduced and feasibly implemented.

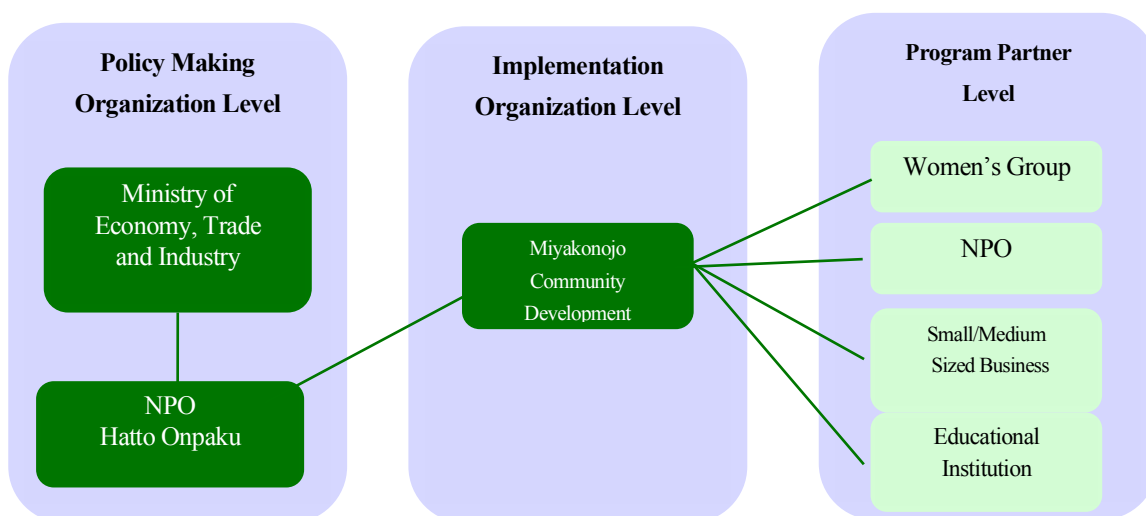
This potential has also been demonstrated through the Japan International Cooperation Agency training program that was jointly organized by the authors and NPO Onpaku twice for Asia and Pacific countries in 2009. The period of training was two weeks and short, but during that period, the participants prepared a workable, concrete action plan to implement the Onpaku policies.

5. Miyakonojo Bonpaku and the Utilization of Local Resources

The Onpaku approach is highly effective model from the view point of with policy formulation for community and rural development due to the nature of the concrete and operational model. Here, we would like to introduce Onpaku in Miyakonojo City in Miyazaki Prefecture as an example of a concrete the Onpaku approach model conceptualized that was implemented as a policy for community revitalization and rural development.

Miyakonojo City in Miyazaki Prefecture is one of the rural areas where NPO Onpaku, with the support of the Ministry of Economy, Trade and Industry, began a three year project in FY 2007 and organized Onpaku. Miyokonojo Community Development Corporation became the Onpaku implementation organization for Miyakonojo City and implemented the Miyokonojo Basin (Bonchi) Exhibition (also referred to as Bonpaku) in 2008 under support of NPO Onpaku and with the cooperation of partners including a community women’s group, NPO groups and small and medium sized businesses and educational institutions (See Figure 3). Miyokonojo Community Development Corporation took on a leading role in the revitalization of the city center and aimed to create a vibrant community while improving lifestyle culture (Miyokonojo Community Development Corporation, 2009). In order to achieve these goals, Miyokonojo Community Development Corporation utilized the Onpaku approach and by uncovering Miyokonojo’s local resources, promoted and developed products and services unique to this area. Miyokonojo Community Development Corporation appointed two employees to take charge of establishing an implementation committee which, as the core of the Onpaku implementation organization, and implement such tasks as financial support, program guidebook creation, website management,

Figure 3: Bonpaku Organizational Chart Arranged by Level



Source: Created by the authors

technical support for partners and establishment and management of a fan club.

The first Bonpaku, held in FY 2008, lasted twenty six days and provided twenty four programs throughout the period. Bonpaku programs made use of the pre-existing activities of the district women's groups and NPO groups dedicated to revitalization. Bonpaku programs also made use experience of daily works and other activities of local small and medium businesses, educational institutions and residents as hands-on program. It is clear that the community itself formed the foundation of the Bonpaku programs.

At Takajo District in Miyakonojo City, a group called "wise aunties' club Sakura (Sakura)" participated in Bonpaku as a partner with a program, which aimed to revitalize the region with a plant dyeing and candle making experience program. Grandma's Bag of Knowledge combined the usually available plant dyeing and soba soup making programs and was offered at first Bonpaku. Through its participation in Bonpaku, the network of Sakura grew considerably. They held joint programs with groups that participants of their program belonged to. They were even noticed by the local authorities who had not been aware of them previously. Recently they have come to be approached to support the city in its activities to win government grants. Sakura did not uncover a new resource in the community but instead decided to make a program by using existing community based activities and through their combining and creative adjustment. They managed to create a program suitable for Bonpaku.

6. Integration of the Conceptual Framework with Practice – Toward a New Community Development

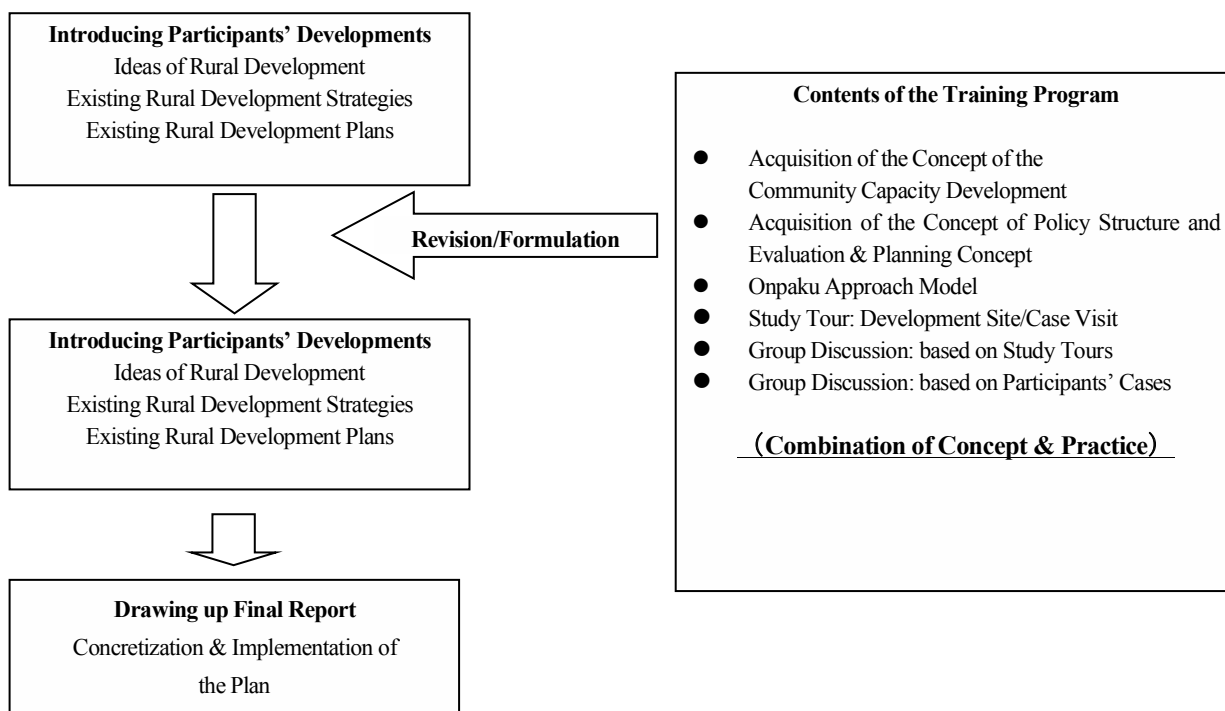
The integration of concept and practice is essential for community and rural development. Clearly understanding and interpretation of the development of one's own area or the development of another area requires the concepts of community and rural development. By using the concepts, the similarities and differences of each area's development become evident and it is then possible to use this in practice and act on it. However, the concepts that we are after, must be concrete and operational concepts that will lead us to concrete, practical actions. In this chapter, we presented the Onpaku approach model developed based on the Community Development Capacity and Policy Structure Model to clearly understand and interpret community and rural development.

What types of approaches are needed in order to integrate concepts and practice for promotion and realization of community and rural development? The answer to this question can be found in the Japan International Cooperation Agency training program that was jointly implemented by the authors and NPO Onpaku for Asia and Pacific countries. During the training period, the participants prepared a workable, concrete action plan to implement Onpaku. Figure 4 provides a summary of the concepts of that training program.

The training program includes the acquisition of the concept of community capacity development, the acquisition of the concepts of the policy structure and evaluation and planning, the Onpaku approach model, study tour of Onpaku and Bonpaku sites and cases, group discussion of cases based on study tour, group discussions of the participants' development cases. During the training, hands-on experiences for community and rural development are explained and interpreted by the concepts and the methods used for the development are also clarified.

This allows participants from different environments to discern possible applications for their development site. Based on this result, participants can deliberate on the development possibilities of the site they are responsible for. By implementing these processes through group discussions, participants are encouraged to share knowledge and experiences. Moreover, large post-it notes were used to make the discussion more visible. It is especially important that these activities be repeated during training. Participants will learn development methodology through group discussions that are held for each case that

Figure 4: Concepts of the Training Program



Source: Created by the authors

is reviewed and for each example development site.

The reason why training concepts are presented here is to confirm how we acquire an appropriate community development methodology. The development itself cannot be reasoned by concepts but it is people's lives itself. A promoter for development is essential for actual development. The practice of the development itself is viewed as art and craft. However, we believe, that we can achieve even more suitable development by integrating the concepts and practice as close tighter as possible.

7. Conclusions

Community and rural development in Japan is mainly driven by individuals and groups all acting separately in pursuit of their goals and it is missing the community-based collective activities that must be the foundation of community and rural development. As a result activities for the development within the rural area are limited and possibilities of the development are still low.

To overcome this situation, NPO Onpaku of the intermediate supporting organization in Beppu City in Oita Prefecture, has developed Onpaku continuously by utilizing community based activities. NPO Onpaku as the Onpaku implementation organization has provided assistance to individual activities and has organized collective activities such as the creation and publication of a brochure, the provision of technical support for the development and implementation of partner programs and the management of a website and fan club. It also clarifies the role division between Onpaku partners and the Onpaku implementation organization. This situation has created a situation where each partners is able to focus on their own specific activities. As this type of approach makes use of pre-existing local resources and capacity, it is a lot easier to create confidence on a small scale than it would be when starting a completely new venture. Not only does it support the development of the existing activities and reshapes these into businesses but it also enlarges the community network, develop increases the community capacity for development and becomes

a catalyst for bringing the shine back into the rural area.

The Onpaku approach provides a concrete and operational community and rural revitalization model and is easy to adopt as policy for community and rural development. With the support of the Ministry of Economy, Trade and Industry and the Nippon Foundation, it has disseminated its activities into ten rural areas nationwide and we expect it to continue to grow in the future. Its applicability overseas is also drawing attention and training is expanding to Latin America and Africa countries as well as Asia and Pacific countries as a part of JICA trainings.

In conclusion we believe that the Onpaku approach as the community-based approach utilizes pre-existing resources and organizes collective activities, and plays an important role in community and rural revitalization and development and contributes to future development.

*** This chapter is a translated and revised version** of “Miyoshi, K. and Ishimaru, H. (2010). *Chiiki Shigen: Onpaku Shuho wo Katuyoshita Chiiki Kaihatu* (Local Resources: Using Onpaku Approach for Rural Development), *Toyonaka Bijon 22* (Toyonaka Vision 22), Toyonaka Institute for Urban Management, 13: 8-13. (In Japanese).”

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18

ONPAKU: Utilizing Local Human and Natural Resources

Yasuo Nogami
NPO Hatto Onpaku

1. Introduction

Onpaku, short for Beppu Hatto Hot Spring Exhibition, is a series of events held in Beppu, Oita Prefecture organized for the purpose of establishing the wellness industry in the city through the utilization of its renowned hot spring resources. Launched in October 2001 by the Onpaku executive committee and consisting of local citizens devoted to community development of Beppu, Onpaku has become a regular event, usually held twice a year, the most recent one being the 14th Onpaku held in June 2009. In 2004, the NPO Beppu Hatto Onpaku was established to replace the executive committee operating Onpaku.

This chapter explains how Onpaku began, including details about the preceding grassroots community revitalization movements developed since 1998 in Beppu City and also analyzes the significance of Onpaku as a model project of regional development through the utilization of local human and natural resources. Specific efforts made by local citizens, businesses and communities through their commitment to Onpaku and resulting changes will be explained below.

2. Facts Behind the Establishment of Onpaku

2.1 About Beppu City - Abundant Hot Spring Resources and Industrial Ups and Downs

Beppu is the second largest city in Oita Prefecture, with a population of about 120,000 persons. The city is world-renowned for its abundant hot spring resources, and has eight popular hot spring areas, collectively called “*Beppu Hatto*” (literally, “eight hot springs in Beppu”), consisting of Beppu, Hamawaki, Kankaiji, Horita, Kamegawa, Shibaseki, Kannawa, and Myoban. In terms of the volume of hot water discharged, the entire Beppu area ranks second in the world, following Yellowstone National Park in the United States.

Against this background of rich natural resources, the service industry, including tourism, medical services and welfare services, have become the principal industries in Beppu. Also through the establishment of Ritsumeikan Asia Pacific University, which has many foreign students, Beppu has become a prominent international academic city.

Tourism is the core industry in the city. The opening of Beppu Port and the Nippo Honsen railway in the Meiji Period led to improved transportation and access to this area, which contributed to the development of popular hot spring resorts. The growth of Beppu’s tourist industry corresponded with the prosperity of the coal industry in the Kita-Kyushu region. Beppu escaped damage during wartime and this helped Beppu further develop its tourism during the period of Japan’s high economic growth. By the mid-1970s, the total number of hotel guests per year in Beppu exceeded six million. However, this number declined sharply for reasons including the delayed response of Beppu’s tourism industry to the change of travelers’ preference from package tours to private tours, the advent of powerful competitors in the vicinity such as Yufuin and Kurokawa hot spring resorts, and the decline in the number of school trips. Today, Beppu attracts less than 4 million hotel guests annually.

This downward trend of its staple industry quickly devitalized Beppu businesses. Local tourism organizations made efforts to survive the sluggish period by actively holding campaigns and promotions to

attract visitors, even attempting to invite a large-scale theme park to the city, but it was all in vain.

In such a situation, Beppu City had one group of young entrepreneurs named “*Beppu Kanko Sangyo Keiei Kenkyukai* (Beppu Society for the Study of Tourist Business Operation)” that decided to initiate independent, autonomous activities to seek business opportunities. Hoping to revitalize Beppu Hatto businesses, the group offered prayers at the Hachiman Asami Shrine. Called “Beppu Hatto’s declaration of independence,” the prayer was made, superstitiously enough, exactly at eight minutes, eight seconds past eight on August 8th, 1996 (the 8th year of Heisei Period).

2.2 Growth of the Community Development movement - The Hatto Declaration of Independence and Mailing List

During the above prayers at the Hachiman Asami Shrine, which commands a sweeping view of all of Beppu City, the eight young entrepreneurs exchanged ideas and feelings about their respective hometown hot springs. It was the morning of a hot summer day in the middle of an economic slump in Japan after the burst of the bubble economy. Reaching the rock bottom of the depression, the young ambitious leaders, having carried out various unsuccessful measures to revive their businesses, pledged to make new efforts to revitalize their community by taking advantage of respective local assets and resources.

The above-mentioned “Beppu Hatto’s declaration of independence” made by entrepreneurs (hereinafter the Hatto Declaration of Independence) strived to implement structural reform of Beppu’s business promotion measures by shifting from the conventional centralized “pan-Beppu strategy” (which had functioned effectively especially during Japan’s higher economic growth period) to the decentralized “Beppu Hatto movement.” It also strived to encourage local businesses to change their attitudes, from dependence on a top-down system or faith in an attitude of “bigger is better” to independence with autonomous efforts and community-oriented viewpoints. The dependence attitude was so deeply ingrained in Beppu’s business operators because of the history of longtime prosperity, more than 100 years, they enjoyed without difficulties or necessity of reform.

The Hatto Declaration of Independence had an enormous impact on the attitudes of people in the region. The conventional centralized approach, where only a limited number of policymakers were involved in the decision-making process, distanced many people from the opportunity of participating in policy-making discussions for community development programs. But shifting to a bottom-up approach changed this situation. Until then, only major communities had policymakers, but other communities soon realized not having their own policymakers would be a big problem.

The advent of the Internet is another important factor accelerating the changes. For example, a group of volunteers seeking measures to revitalize Beppu, named the “Beppu Hatto Mailing List” (commonly known as Hatto ML), effectively utilized cyber-communications. The Hatto ML members, range from tourism businesses, shop owners and local government staff to housewives and students. They exchange opinions and ideas day and night, through online communications, to find solutions for regional issues and problems. Eventually, the communication system developed by this organization became an important information infrastructure for community development activities. More than 100 e-mails were transmitted in a single day at its peak. Hatto ML enables citizens to share information and exchange ideas, making it possible for them to create a horizontal community, suitable for the Heisei period.

The decentralization movement triggered by the Hatto Declaration of Independence and the establishment of the information sharing system and horizontal communities through the activities of Hatto ML are the two pillars that supported the development of the autonomous Beppu Hatto movement that later grew into Onpaku.

2.3 Take a Walk First! - Changes Brought About by the Rojiura Sampo Tour Program

“Action before words!” was often heard from Beppu residents, sarcastically whispering the phrase against those who made the Hatto Declaration of Independence. (In Japanese, the phrase is a pun on the words hot springs.) This phrase implies that making a declaration is easy, but it would be worthless if no action were taken, and implicitly criticizes Beppu businesses for resting on the laurels of the region’s natural resources and failing to make the necessary efforts. Actually, it took three years for Beppu businesses to take practical actions.

A dramatic change occurred quietly but abruptly on July 11, 1999. That day, Hatto ML members got together at 8:00 a.m. at Kitahama Park to mow the grass and clean the seaside park facing the hotel area, where a memorable event was about to be held. It was the inauguration of the “Takegawara Back Alley Walk,” a day tour program organized by a resident’s group engaged in community development for Takegawara hot spring in Beppu. Kitahama Park was the starting point of the tour.

The organizer of this program, the Beppu Hatto Takegawara Club, founded at the end of 1998, employed a policy of getting back to basics. Through direct participation of local residents as tour guides, the tour aims to provide visitors with opportunities for hands-on experiences and direct communication with local residents. The program also aims to make Takegawara residents realize the value of community-owned resources and be encouraged to introduce their local assets to visitors in person and learn the essence of hospitality. That’s how the Takegawara Back Alley Walk program was born despite the organizer having insufficient experience or funds. When Hatto ML members learned about this tour plan, they decided to voluntarily participate in the project by cleaning weeds and litter scattered in Kitahama Park, the starting point of the tour.

More than 70 people signed up for the first tour, causing some confusion and operational issues because of the unexpectedly large number of participants. Despite the troubles, however, the tour was highly rated by participants as well as by media that reported the event in newspapers and on TV. This feedback provided the tour operators and volunteers with enormous confidence, including members of the Takegawara Club and Hatto ML, and encouraged them to promote the program further.

This is how the Beppu Hatto movement came into being. Although it took three years for the idea to crystallize into action, the Beppu Hatto movement expanded rapidly once launched. The Takegawara Club did a great job. Besides the Takegawara Back Alley Walk, which later became a regular event, the club developed various other programs, including “Beppu Hatto Yukata de Ping-Pong” and the “Spotlight Back Alleys! Beppu Ten-day Folk Culture Festival,” which introduces the folk life of Takegawara. In 2001, the Takegawara Club won the Minister of Internal Affairs and Communications Award for its commitment to community development.

Takegawara’s successful performance encouraged other communities to initiate similar local projects including town tours in particular, and organizations for planning and operation of local projects were established one after another, including the Kannawa Yukemuri Club, based in Kannawa; Yamanote Retro Club, based in the Yamanote district of Beppu hot spring; and Kamekame Club, in Kamekawa. In addition to these community-based organizations, many collaborative projects and theme-oriented activities were also organized, including the Beppu Hatto Society for the Research of hot spring therapy, organized jointly by a hotel association and medical professionals.

2.4 New Challenges - Expectations and the Limited Potential of Volunteer-based Activities

Thanks to the appearance of new human resources and information networks supporting their work, various projects were created and launched successively in the diverse communities of Beppu Hatto. However, the projects were supported by volunteer labor and the potential of project development was

hindered by the large amount of time necessary and limited funds. The Beppu Hatto movement eventually spread over the entire Beppu area, but to further promote projects while actively involving people, it was necessary to consider a new strategy.

It became important to find a way to maintain the momentum and uniqueness of projects, reduce the burden on individual workers and become more sustainable. One option was to introduce a profit-making mechanism to secure operating funds. Promoters of the Beppu Hatto movement sought solutions to the above question and possibilities toward sustainable growth of the movement.

3. Establishment and Evolution of Onpaku

3.1 Establishment of Onpaku - A Hot Spring Exhibition with the Entire Beppu Hatto Area as a Venue

It was spring of 2001 when Beppu Hatto got its golden opportunity. Oita Prefecture was seeking an idea for an autumn event as a sister program of the Internet Expo held at that time, and asked the Beppu Hatto headquarters to give a presentation of event ideas. After all, the Beppu Hatto Hot Spring Exhibition was a multilaterally organized patchwork-style event offering hands-on experiences for visitors, utilizing local hot spring resources.

This program was designed in the hope of using this opportunity to spotlight local projects through the collective implementation of a variety of programs developed through the Beppu Hatto movement. Regional organizations pursuing the Beppu Hatto movement were asked to carry out programs during the fixed time period. In this way, local small-scale projects that featured hands-on experiences for visitors could be publicized simultaneously, like an exhibition. The venue here extends over the entire Beppu Hatto area, with constituent programs like booths at an exhibition. The theme of this expo is hot springs. The program was named Beppu Hatto Hot Spring Exhibition (Onpaku for short) with the hope that visitors will come to enjoy the hot springs and relax while staying in Beppu Hatto.

3.2 Evolution and Maturation - Standardizing Know-How after Trial and Error

The first Onpaku was held over a ten-day period, highlighting four themes: hot springs, wellness, healing and beauty, walking and food. There was a total of about sixty programs available to visitors. The programs included town tours and hot spring and wellness menus, and were all derived from local community development projects developed through the Beppu Hatto movement.

Furthermore, Onpaku is designed to create an extensive network and collaboration of diverse parties, including those not originally involved in the Beppu Hatto movement such as private adult schools for cultural education or local businesses. This collaboration between communities and professionals, or in other words, exchanges between volunteer-based activities and profit-making organizations led to changes in the ways of thinking. For communities, it was the opportunity to realize the possibility of introducing a profit-making mechanism. For businesses, it was the opportunity to find value in local resources and regional attractiveness as an effective business tool. Promoters of community development initiatives and professionals getting involved in the initiatives are collectively called Onpaku Partners.

The first Onpaku was a great success, collecting more than 1,000 sign-ups during its ten-day period, and was widely reported in newspapers and on television. Overall, participants evaluated the event highly, and many sent warm messages to the event organizer, asking for another Onpaku event. In response, Oita Prefecture and Beppu City decided to make Onpaku a regular event and established a budget with a three-year subsidy for continued implementation of Onpaku.

Consequently, Onpaku has become a biannual event and many improvements have been introduced to

its operation. Specifically, improvements have included enhanced profitability through the introduction of a beneficiary-pays principle, improvement of the visitor-drawing ability through the introduction of membership and refined media strategies and improved work efficiency at secretariats through the introduction of IT technologies. In 2004, the Onpaku organizer was incorporated as the NPO Beppu Hatto Onpaku. Also, from the same year, efforts to standardize the operational know-how of Onpaku have been made with assistance from the Ministry of Economy, Trade and Industry (METI). In 2006, as part of the national government's regional economy revitalization initiative, METI launched a project promoting business know-how transfer for community development, starting with Hakodate City, Hokkaido. This project provided a source of income for the NPO, which resulted in its financial stabilization.

In addition to members such as civic groups and businesses in the city itself, the Onpaku Partners increased to include businesses outside Beppu City. This expansion of the Onpaku Partners is attributed to the introduction of a wide-area hands-on tour program called Jinetabi (meaning 'tour for experiencing local specialties') covering all of Oita Prefecture, with Beppu as the hub city. NPO Beppu Hatto Onpaku thus grew into a professional event operator equipped with an extensive network and expertise gained through trial and error.

The latest Onpaku event in May 2009, which was held over a 24-day period, collected more than 4,000 sign-ups in 120 programs, with the support of more than 80 Onpaku Partners inside and outside Beppu City, showing how substantially this event has grown.

3.3 Onpaku in Numbers - What is Onpaku's Ultimate Objective?

To many people, Onpaku seems to be a mere festive event held in tourist spots to attract as many visitors as possible. But it isn't that simple. It is true that Onpaku has been successful in attracting visitors, with the latest event attracting more than 4,000 sign-ups. But in terms of the number of visitors it attracts, Onpaku is not as prominent as other large-scale projects. In fact, attracting large numbers of visitors to Onpaku is not what we ultimately seek, though it is closely related to our ultimate goals.

As mentioned in section 1, Onpaku was designed to support local small-scale community development projects in Beppu Hatto. Specific successful examples will be explained later in section 4. Before that, let

Figure 1: Brochure for the First Onpaku Showing the Chapter on the Theme of Walking



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me explain about indices of criteria we use to evaluate the achievement level of our goals.

The first indicator is the number of programs. This means the number of community development projects created by each Onpaku, so the larger number the better. In Beppu, each Onpaku usually provides more than 100 programs in which a variety of Onpaku Partners are involved.

The second indicator is the number of improvements achieved by Onpaku Partners through their participation in Onpaku. This index is the most important because even if a large number of projects have been produced, such quantitative achievement would be meaningless if no improvements were observed. To confirm whether things have improved or not, questionnaires, review meetings and hearings with Onpaku Partners are conducted.

The third indicator is the rate of sign-ups for each program and the satisfaction ratings of participants. Sign-up rates are important since they indicate the quality of service expected from a program as well as the feasibility of program's commercialization. In recent years, Onpaku has enjoyed high sign-up rates of around 80%, as well as high satisfaction ratings from questionnaires at around 90%.

The fourth indicator is the number of Onpaku Partners and businesses involved in each Onpaku. This number indicates the level of stakeholder expansion, with about 200 parties involved in current Onpaku events. This means that Onpaku invites wide commitment from many organizations and businesses in local communities.

The fifth indicator is the number of members enrolled in the Onpaku Fan Club. Many of those enrolled are Onpaku regulars and most are local residents. Members contribute to improvement of sign-up rates, so it is important to increase the membership as much as possible. Today, membership has exceeded 5,500 persons, with many of them residents of Beppu and Oita. Usually, more than 70% of all sign-ups are made by members.

For each of these indices, numerical goals are set before the start of each Onpaku, and the results are evaluated after each closing through questionnaires and public hearings.

4. Changing Partners - Case Studies

4.1 Jigoku-mushi Diner Project Initiated by Daikokuya Inn at Kannawa Hot Spring

Jigoku-mushi is a traditional steamed dish unique to hot spring resorts, being cooked with the thermal waters of the hot springs. From early times, this special dish of steamed vegetables and other ingredients has been popular among visitors to Kannawa hot spring in Beppu Hatto. In the past, this dish used to be available only at high-end hotels and inns at a high price due to its use of high-grade seafood and other expensive ingredients. There were no casual restaurants in Kannawa serving this local cuisine at a price reasonable for visitors.

With hopes of making this local specialty widely popular, the business owner of one hot spring inn who also owns a hot spring source decided to participate in Onpaku. The owner, Hideo Yasunami of Daikokuya Inn, launched a collaborative project called Jigoku-mushi Diner in 2001, where Daikokuya operates a restaurant and Onpaku provides financial support for cooker installation.

Through its continuous participation in Onpaku, Daikokuya developed its menu, as well as conducted test marketing and publicity activities. As a result, what used to be a limited time event within the Onpaku framework has now made this casual restaurant famous, with increasing numbers of visitors coming to Kannawa so they can eat Jigoku-mushi while lodging at Daikokuya Inn.

The success of Daikokuya's Jigoku-mushi Diner encouraged all Kannawa businesses to highlight this local specialty as a way to attract visitors. A visitor exchange center newly established at the end of fiscal 2009 is equipped with several cookers for Jigoku-mushi, as a special attraction targeting school trips and

Figure 2: 2003 Onpaku Brochure Featuring the Jigoku-mushi Diner



other travelers. This Jigoku-mushi Dine” project initiated by Yasunami is a successful example of Onpaku enabling local residents to rediscover the value of their own traditional food culture as an important tourist resource and also cultivate a new market through the introduction of new services.

4.2 Kirara Teahouse in Yanagi and Vegetable Dishes Made by Local Female Farmers

Yanagi is a rural community located in the mountainous area of Hamawaki hot spring, with a beautiful landscape of terraced farming fields providing a panoramic view of Beppu Bay. In 2003 in this village, the small teahouse Kirara began operation. The owner of the teahouse, Michiyo Nagai, built Kirara by renovating her own house, with the intention of making a place for people in the community to come and gather. At the time, Yanagi was facing problems of an aging society, abandoned farm lands, and deteriorated community functions.

Collaboration between the teahouse and Onpaku started in 2003, when a village tour program was launched called “Autumn Shangri-La Tour in Beppu.” Since then, Nagai continues to participate in Onpaku with the help of local residents, serving local foods such as traditional meatball soup and also introducing others’ recipes.

Vegetable dishes made from local produce are particularly popular among participants in Onpaku and those dishes are often served at party occasions outside Onpaku. In spring 2009, an open terrace was built at the teahouse thanks to financial assistance from Onpaku, providing an opportunity for visitors to enjoy cozy outdoor dining. This helps expand the range of customers as well. For example, the terrace is popular among kindergartens that need an open space for excursion activities. Profits earned from operating the teahouse are being used for community exchange activities including social gatherings.

The programs at Kirara are relatively small in scale and not drastic or innovative, but they are well known among local residents through Onpaku and many people including the elderly, in particular, look forward to Onpaku events. Providing the opportunity for many local residents to meet, chat and share, this teahouse project is a good example of Onpaku’s contribution to the maintenance of a sound society.

Figure 3: Photos of Participants at an Onpaku Event and a Vegetable Dish Sampling Party Held at Kirara Teahouse in Yanagi



4.3 Fangotica Service Established by Masaharu Hayashi, an Owner of Beauty Salon H

As a third-generation owner of a long-established beauty salon on Beppu Ekimae Street, Masaharu Hayashi is a young entrepreneur devoted to various community activities. In 1998, together with other young fellow entrepreneurs, he had the opportunity to visit Europe as a member of a study tour to learn about the commercial utilization of hot springs. On the tour, he learned about a technique at the Abano spa resort in Italy called *fangotica*. *Fangotica* is characterized by the use of mud called *fango* from thermal springs for beauty treatment. Mr. Hayashi noted that Beppu also has its own kinds of *fango* from local hot springs, so he decided to conduct scientific research on the potential of using Beppu's *fango* for a beauty clinic business. Part of this research included visiting Abano again to study *fangotica* techniques in more practical ways.

Mr. Hayashi worked very hard, but also faced financial difficulty. To get his new business up and running, many financially draining preparations were necessary including implementing clinical tests on the use of additive-free thermal mud, establishing a business model and developing human resources, and the large financial risk to move to commercialization. For a while he suspended his project, but in 2001 when Onpaku was launched he found a way to restart his activities.

Hayashi decided to make the maximum use of Onpaku as an opportunity to demonstrate the various things needing verification in order to commercialize his *fangotica* business. He invited applications for participation in the clinical testing program, which offered volunteer examinees his *fangotica* beauty care service for just 1,000 yen. He then collected scientific data through this program. He also conducted a questionnaire survey to collect potential customers' opinions about how much money they would be willing to pay for *fangotica* services on various body areas. In 2005 in cooperation with Onpaku, he provided a training program to develop ten professional beauticians.

By gradually conducting these infrastructure development activities at every Onpaku, Hayashi reached solutions one by one to all the issues he needed to address before opening his business. Finally in 2005, he opened his beauty care salon, Fangotica Disse, using local *fango* for beauty treatments. This is an example of an entrepreneur effectively utilizing Onpaku as an opportunity for the test marketing necessary for his business start-up.

Figure 4: Fangoica Beauty Treatment Salon Uses Eight Types of Additive-free Mud from Beppu Hatto Local Thermal Springs in Eight Colors

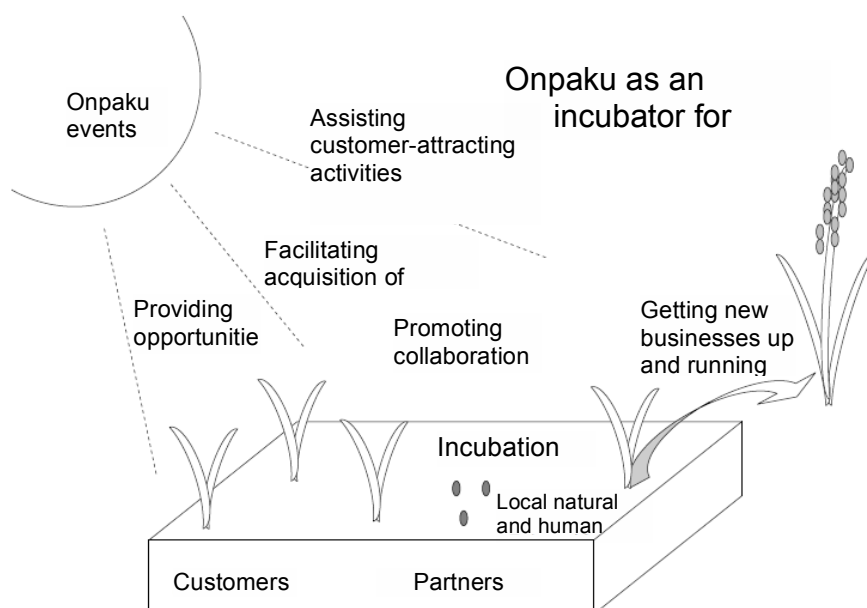


5. Incubation for Community Activities - Characteristics and Potentials of Onpaku-Developed Business Models

5.1 Onpaku as an Incubator for Regional Activities - A Mechanism for Growing Small-scale Projects

Figure 5 shows an image of Onpaku’s commitment to local communities. Communities (which can be compared to soil), contain both natural and human resources (which can be compared to seeds). Without any care, it is difficult for those seeds to germinate. Onpaku provides the opportunity for these seeds to germinate, and facilitates the growth of their respective plants (projects) by assisting them in obtaining strengths, such as trust, the ability to attract customers and opportunities for collaboration.

Figure 5: Image of Onpaku’s Commitment to Communities, as an Incubator for Regional Activities



Also, to increase the plant population, it is important to fertilize the soil. Here, fertilization means the addition of customers, partners and other stakeholders. Onpaku does this work, a process of developing capacity in communities. Onpaku's mission, then, is to be an incubator for community activities. To help nurture small projects and assist them to effectively utilize existing local natural and human resources. The more Onpaku events that are implemented, the more the soils are fertilized and the more know-how is accumulated, enhancing the ability of Onpaku itself to provide assistance.

For small-scale, diverse community-initiated revitalization projects—such as those developed through the Beppu Hatto movement—to grow into sustainable community development programs, the sow-and-grow mechanism is truly necessary.

5.2 Introducing Evaluation Standards - Promoting Standardized Know-how and Horizontal Transfer of Projects

Onpaku played a role as an intermediate supporter in helping Beppu communities effectively utilize local human and natural resources. As of 2009, Onpaku-accumulated know-how concerning organization, planning, visitor-attracting methods, operation and evaluation have all been standardized. Currently, with the assistance of NPO Beppu Hatto Onpaku, ten communities around Japan have introduced such Onpaku know-how in promoting their own community development initiatives similar to those implemented in Beppu.

This nationwide spread of Onpaku-style initiatives is largely attributed to the launch of a METI-led project in FY 2007 for incubation of intermediate supporters involved in regional revitalization initiatives. This project is based on the national policy of facilitating regional revitalization through the promotion of social business or community-initiated projects. Onpaku has been authorized as a beneficiary under this METI project and has obtained funds for expanding its activities horizontally.

Moreover, starting in 2008, guidelines for project evaluation have been developed under the leadership of Professor Koichi Miyoshi of Ritsumeikan Asia Pacific University. Figure 6 shows the logic model subsequently established for evaluating Onpaku projects. Establishing evaluation standards makes it possible for other communities to more effectively introduce Onpaku-style initiatives and helps enhance the social impacts of Onpaku.

5.3 Potential of Onpaku Models - Increasing Community Strengths

The above sections and subsections explain the background, activities and achievements of Onpaku to date (up to July 2009). In this subsection, I would like to summarize my impressions and thoughts concerning the transfer of Onpaku models to other communities taking place nationwide, and then close this report by discussing future challenges.

Today, success stories of Onpaku projects are seen in many communities in diverse areas around Japan, including Soja City in Okayama Prefecture and Miyakonojo City in Miyazaki Prefecture, both unrelated to hot springs. The successful introduction of Onpaku to other communities proves that Onpaku-style community development projects can be applied anywhere, provided a market exists to sustain it. Basically, any place that has its own natural and human resources should be qualified for application of the Onpaku concept.

At the same time, it is also true that Onpaku has a weakness. Generally, a business cannot survive solely from profits generated by an Onpaku project. For an Onpaku program to develop sustainably, it must be financially supported by other sources of income. Without exception, businesses in Beppu are making efforts to maintain their Onpaku programs by utilizing income from know-how transfer or other profit-making activities. Thus, Onpaku is inevitably expected to be a side business, not a full-time

engagement. In my view, this weakness of Onpaku is equivalent to what is financially harassing many other intermediate support organizations (devoted to community development activities in Japan). Besides existing industry-oriented support organizations such as the chambers of commerce and industry or tourist associations dedicated to specific type of businesses, we probably need another support mechanism designed for entrepreneurs and small-scale business owners. Especially when we pay attention to growing grassroots activities initiated by citizens or NPOs, it is apparent that existing industry-oriented supporters alone cannot fully cover all needs and demands.

The ultimate goal of Onpaku is not to reform existing industrial associations or to assist civic/NPO activities, but to create new models of both community development and its assistance, in which it is hoped that all stakeholders collaborate flexibly.

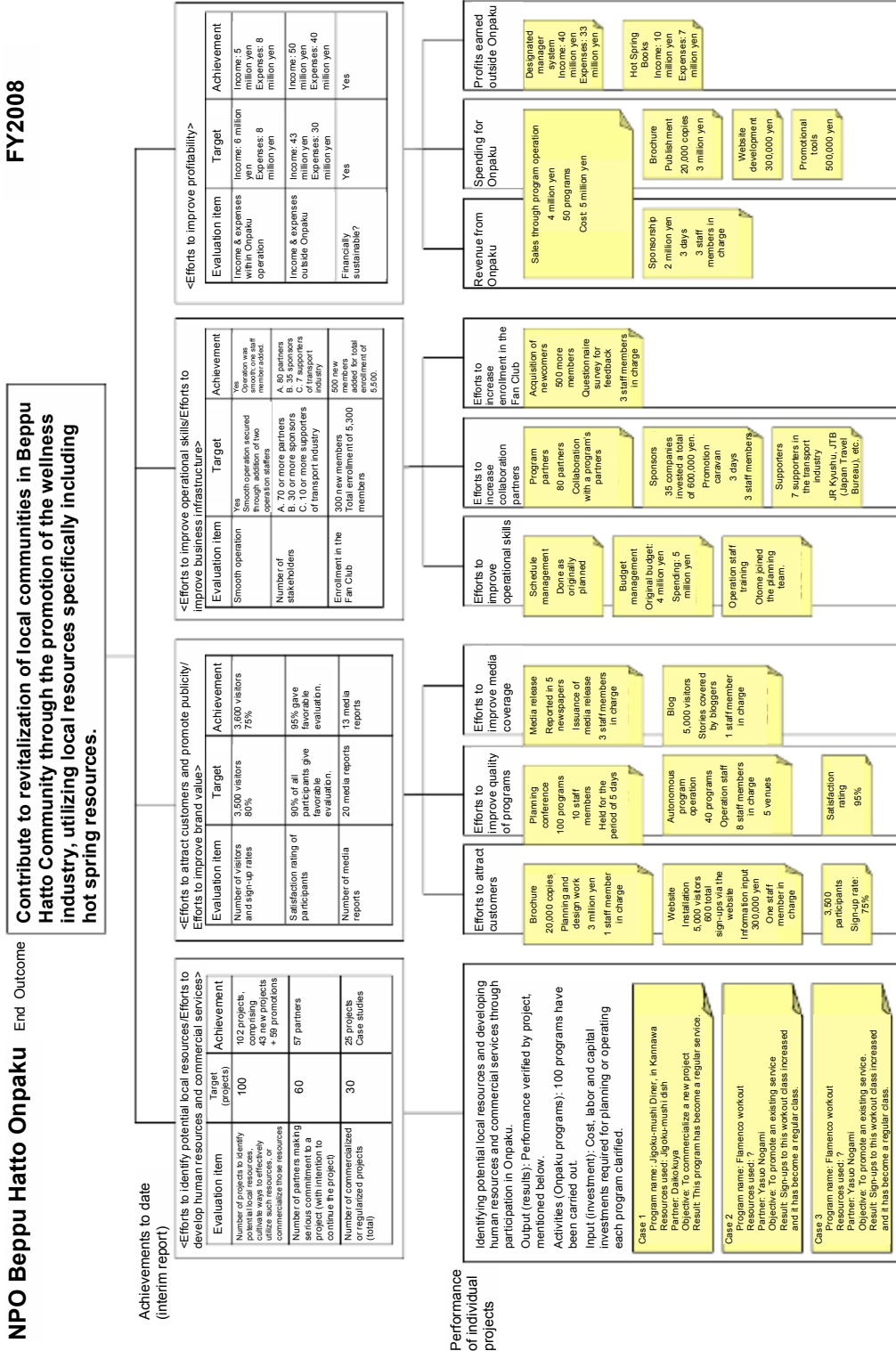
Unfortunately, few political measures exist today that address the needs of such flexible collaboration. Therefore, I consider it necessary to create a mechanism to promote and expand Onpaku-style programs all over Japan, by informing communities nationwide of the effectiveness of the Onpaku approach in community restructuring and regional revitalization.

To raise the level of public recognition of the effectiveness and significance of the Onpaku approach, it is important to publicize successful achievements of Onpaku activities. To accomplish this, a website has been created to provide information on a variety of Onpaku activities and partnership examples in diverse communities. Please visit the website to find many other success stories and updates that are not covered by this report.

Japan Onpaku website (in Japanese): <http://japan.onpaku.jp>

* **This chapter is a translated and revised version** of “Nogami, Y. (2010). Onpaku: *Chiiki Jinzai/Shigen wo Katsuyou shita Jusoutekina Ibento Senryaku*. (Onpaku – the Multilayered Event Approach utilizing Local Human and Natural Resources), in Miyoshi, K. (Ed.), *Chiikiriyoku : Chiho Kaihatsu wo Dezain suru* (Community Capacity: Designing Rural Development). Kyoto: Koyo Shobo, 163-182. (In Japanese).”

Figure 6: Logic Model Designed for Operating and Evaluating Onpaku Projects



19

Utilizing the Decentralized Hands-on Exhibition for Community Capacity and Rural Development

-A Case Study of Bonpaku in Miyakonojo City in Japan-

Hisano Ishimaru and Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Introduction

Ironically, while many development approaches have brought significant economic development to urban areas, they have also been found to be limiting when they are applied to rural settings. As such, the widening regional disparity between these areas is often attributed to the universal application of development approaches that were conceived based on urban perspectives or standards. In effect, the failure of these models to improve the quality of life in rural communities has forced more and more people to move to urban areas. This has resulted to the severe depopulation of a lot of rural communities all over the world.

To solve this problem, there was a need to shift from the mainstream use of urban perspectives or standards in rural development. Rural development should be borne from the circumstances and perspectives of people who live in the community themselves (Friedman 1992; Behera, 2006; Miyoshi and Stenning, 2008; Miyoshi, 2010).

For instance, Miyoshi and Stenning's (2008) alternative development approach focuses on building community capacity to facilitate the development of rural communities. According to the model, the emphasis on community capacity would allow rural areas to compete on equal footing with better-resourced urban areas. In fact, it is the collective activities of the community, especially those that transcend individual and organizational action, that actually provide rural communities with an advantage (Miyoshi, 2010).

The Decentralized Hands-on Exhibition (DHO exhibition) approach is an interesting community-based rural development approach which has been defined and developed through the discussions and observations throughout implementation of training programs which we organized at the Ritsumeikan Asia Pacific University (APU) under the technical cooperation program of the Japan International Cooperation Agency (JICA) since 2004 and our involvement of NPO Hatto Onpaku (NPO Onpaku)'s activities and we consider that it is just one example of what Miyoshi and Stenning described as an alternative community-based approach to rural development (Miyoshi and Ishimaru, 2010). By introducing the concept of the DHO Exhibition Approach we can broaden, modify and elaborate the scope of Onpaku for more effective rural development approach.

Onpaku itself was born in Beppu City, Oita Prefecture, Japan in 2001, and has already achieved relevant success not only in effectively contributing to the improvement of Beppu City's local economy but also in demonstrating itself as a potent development approach. At last, other rural Japanese towns like Miyakonojo City, Miyazaki Prefecture have similarly introduced the concept of the Onpaku to their local communities.

The purpose of this paper is to clearly describe and define the concept of the DHO Exhibition Approach conceptually and theoretically and to demonstrate and describe the significance and usefulness of the concept for documentation and future introduction through the examination of Miyakonojo City's

Bonpaku. The use of this example in this paper would not only help illustrate the mechanics behind the conduct of the DHO Exhibition Approach but also enumerate the different kinds of activities and the changes that were observed in the community in the course of the implementation of the Bonpaku programs.

Because of the limitation of past development approaches to support progress in rural communities, it was necessary to formulate an alternative development approach that is considerate under their circumstances. This paper specifically examines the DHO Exhibition Approach and Bonpaku to provide experiential, practical and presentational knowledge and support for the alternative rural development approaches that focus on community capacity.

This paper is composed of five sections. After the Introduction in the first section, the second section introduces the DHO Exhibition Approach and describes what it is all about. The third section presents Bonpaku in Miyakonojo City as a case of the DHO Exhibition Approach. Meanwhile, the fourth section also examines the effects of Bonpaku in relation to community capacity respectively. Finally, the fifth section will not only enumerate the main findings of the research but it will also provide suggestions and recommendations to a future research.

2. Construction of the DHO Exhibition Approach

The DHO Exhibition Approach provides an effective methodology that takes into account the utilization of a community's local resources (Miyoshi and Ishimaru, 2009). Through the program, local residents and businesses of a rural community can promote their communities and businesses, and develop their community capacity by utilizing local resources.

The development of Onpaku itself began with its implementation in one community in Japan and has since then achieved prominence as an effective rural community development approach. In fact, Japanese national government has also expressed interests and has begun providing support so that it would be possible to adapt the Onpaku to other rural communities. However, before Onpaku is introduced as a means to achieve rural development, more concrete conceptualization of the program is required. As such, we constructed the DHO Exhibition Approach.

The DHO Exhibition Approach is illustrated by the DHO Exhibition Approach model which serves as a guideline for the program's policy adaptation. The DHO Exhibition Approach was developed through the experiences of Onpaku-related supports and trainings for rural development both in and out of Japan. For instance, NPO Onpaku has been providing hands-on support to other rural communities to hold Onpaku in other communities. Similarly, JICA holds Onpaku-focused human resource development training and, in cooperation with APU, has even conducted training programs for ministry workers and local government officials from foreign countries with the introduction to Onpaku.

2.1 Characteristics of Onpaku

Onpaku was introduced in Beppu City, Oita Prefecture to revitalize the local community in 2001. Beppu City is one of the most famous tourist places for hot springs in Japan, but it has been in the serious situation of decreasing the number of tourists because of the shift of tourist trends and economic depression. When local Beppu residents and businesses have tried to face this problem, they have realized that a traditional tourism promotion such as a travel fair in the big city was no more useful and a new type of approach is needed. It was Onpaku which is implemented in local communities to introduce local resources and charms for local residents and businesses. The more local people love their community, the more outsiders of the community such as tourists are interested in their community. If no one in the community loves the community, it is obvious that no one wants to visit and be interested in the community. Onpaku gives local

residents, groups and businesses opportunities to love their community.

During the approximately one month period Onpaku provides over one hundred types of programs, utilized local resources by local residents or businesses, which are commonly referred to as program partners. This type of program helps identify local resources and aims to convey the charm of the rural area to the general public. It also provides a chance for new products or services to enter the marketplace and promotes the development of products and services.

There are three major factors that have lead to Onpaku attracting attention as a rural development strategy. These can be summed up very concisely as follows: Onpaku is small-scale, short and repetitive. A typical program has not more than twenty to thirty participants and is packed into a period of one month. This program is then held once or twice a year so it allows organizers to attempt a challenge of various activities without concern for potential risks. While the consequences of failure are small, a successful Onpaku experience can elevate motivation substantially. Moreover, through repetition of the programs, a support and cooperation network is developed. As a result, a core organization for development is built in many rural areas, social capital is created and community capacity is improved. This increase then triggers ongoing success for the programs. Furthermore, the repeated occurrence of individual programs requires the production of test marketing and business models that enable customer acquisition. In this way, Onpaku increases motivation in small and medium sized enterprises and small-scale agricultural producers. Onpaku emphasizes on small-scale programs but it effectively uses local resources and provides many opportunities for cooperation between small and medium sized and new enterprises, small-scale and new agricultural producers. By creating an increased capacity for community development, Onpaku also endeavors to expand networks in the community for support and cooperation.

2.2 The Japan Onpaku Movement

Onpaku in Beppu City was gradually well organized and the change of local people and their community could be seen there. Then people from outside also became interested in their movement. Onpaku is useful for not only Beppu City but also many other rural communities. It has been introduced and revitalized them. Now there are more than ten communities are revitalized by hands-on supports from Japan Onpaku² based on Onpaku.

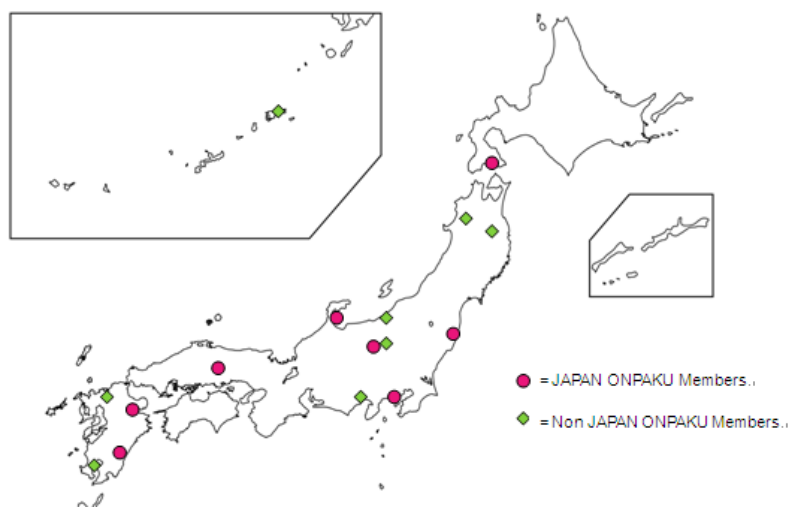
It became possible for NPO Onpaku to formulate the movement as a rural community development approach and spread it to other rural communities because of the support from the Ministry of Economy, Trade and Industry (METI). METI is one of organizations which is interested in Onpaku as case of community-based rural development. At the same time, people at the rural communities, especially young community leaders, were also interested in their movement and more and more people came to see and listen what Onpaku is. Then METI decided to support NPO Onpaku to spread the Onpaku to other rural communities in Japan. The Japan Onpaku project was started. At present, Onpaku is introduced to more than ten different rural communities in Japan (see Figure 1).

2.3 Concrete and Operational Nature of the DHO Exhibition Approach Model

Conceptualization of the experience of Onpaku allows us to increase its utilization as a practical model will become necessary. We view Onpaku as a specific type of “community capacity development and policy structure model” and believe that Onpaku can present a more concrete and practical methodology for community and rural development.³ The Miyoshi-Stenning model is a dual function model aiming at

² Before the establishment of Bonpaku in 2010, NPO Onpaku has conducted hands-on support to introduce the Onpaku to other rural communities.

³ Refer to Miyoshi, K. and Stenning, N. (2008) and Stenning, N. and Miyoshi, K. (2008).

Figure 1: JAPAN Onpaku Map

Source: Created by the authors

developing community capacity, and introducing and implementing a higher value added and better well-being policy structure, which consists of individual and collective economic, social and political activities of individuals and organizations in the community to change the life of the community's population. This approach emphasizes the operational aspects of its utilization and aims at providing concrete and practical concepts for the implementation of rural promotion and development by utilizing existing potential resources in rural areas.

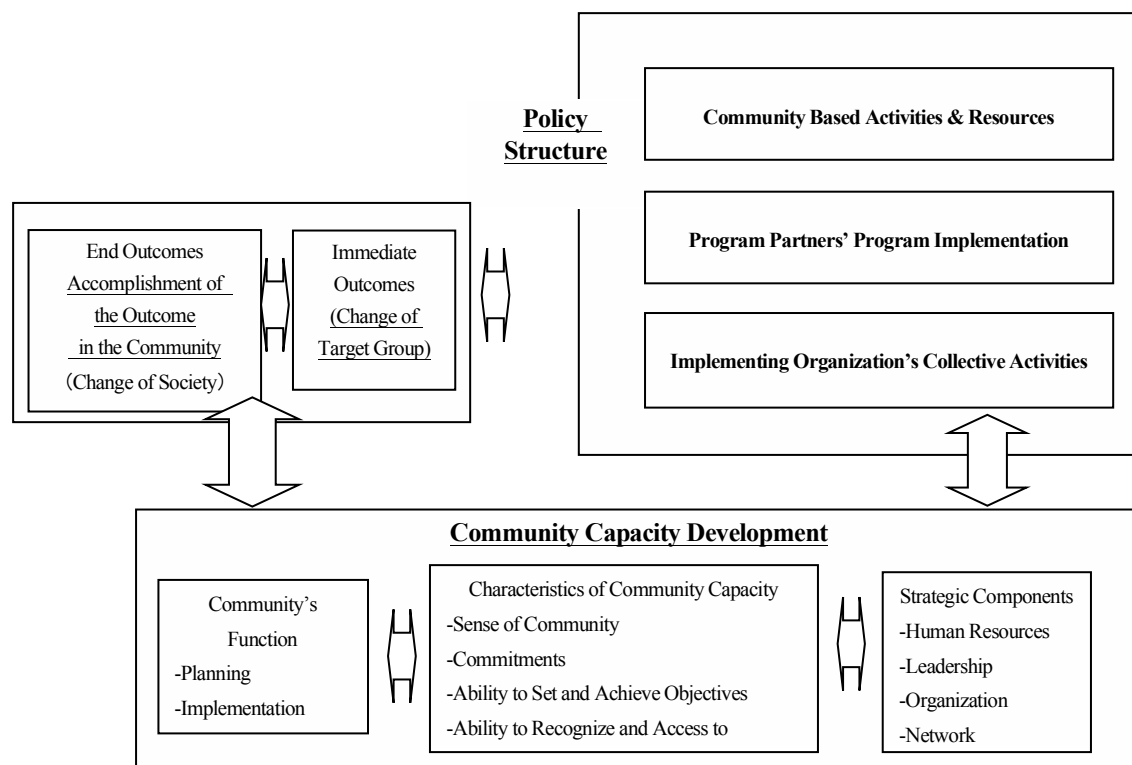
Another important factor is that the community is regarded as the main subject of discussion. In other words, the community becomes the main unit of analysis or the principle operational management unit of the activity. This in turn allows us to put our focus on community design when attempting community development by looking at the development of community capacity and the formulation of a policy structure and its different variations.

Community capacity is a basic element that enables a community to function. It refers to the ability of the community to achieve its shared goals through 1) the collective efforts of individual and organizational members of the community, 2) the efficient use of the human, organizational and social resources available within the community, and 3) the promotion and maintenance the richness of the community (Chaskin *et al.*, 2001; Miyoshi, 2010). Strategic components, characteristics of community capacity and functions of the community are other functions that interact with each other and characterize the community.

Figure 2 illustrates the DHO Exhibition Approach model which is created based on the Miyoshi-Stenning model and Onpaku. the DHO Exhibition's policy structure is divided into three parts; 1) community-based activities and resources, 2) program partners' program implementation and 3) the DHO exhibition implementation organization's collective activities. All partners either revise or improve their respective existing community-based activities or establish new ventures, and are responsible for the formulation and implementation of those DHO exhibition programs. The DHO exhibition is able to achieve rapid results in community and rural development because each DHO exhibition program are planned and developed principally based on the pre-existing activities in the community and rural area.

Each partner uses his or her own individual or organizational experience and ideas as resources and, in some cases, join with other partners or supporters to develop and implement DHO Exhibition programs.

This process stimulates the creation of programs that are better suited to the consumer's needs and

Figure 2: The DHO Exhibition Approach Model

Source: Created by the authors based on Miyoshi and Stenning (2008)

enables the emergence of creative products with high added value. This process also provides the opportunity for partners to either revise a pre-existing business or start a totally new business venture.

The DHO Exhibition implementation organization is involved mainly in collective activities ranging from the creation and publication of a program guidebook, the provision of technical support for the development and implementation of partner programs and the management of a website and fan club. Because it takes over tasks that the partner cannot handle individually, it removes a lot of the struggle for partners and allows them to wholly focus on the implementation of their own programs. This is the main advantage of DHO Exhibition based community and rural revitalization.

Large trade fairs and festivals usually require the organizer to play a main role in its implementation and therefore becomes a leading actor. As a result, exhibitors and participants are obliged to exhibit their products or performance within the framework provided by the organizer and therefore do not play their roles as leading actor themselves. The over one hundred programs provided by DHO Exhibition on the other hand, are solely based on the ideas of the participating program partners in decentralized manner, for example in their own production sites or their selected places. They create their own plans and implement them in their own way. The program partner's individual ideas are reflected in details even though their programs are small. They obtain the power to act and are encouraged to take on leading roles in their programs. In addition they emphasized on giving hands-on experiences to the program participants and making interactions with program participants through the implementation of the program. This situation deepens mutual understandings of program partners and participant on their activities and makes them materials and assets for further development and promotion of their activities. This difference is significant. The partner's perception of their role and their sense of responsibility is greatly enhanced compared to other general events or measures. While using the local resources of their respective area to implement the

program, cooperative relationships and teamwork with other participants are also nurtured. The activities also typically bring about an expansion in their network and the contribution to the community capacity for the development is immeasurable.

By relying heavily on the program partner's self motivation in this way, the role and burden of the DHO Exhibition implementation organization, which acts as a responsible organization of DHO Exhibition, can be restricted. On the other hand the role of the DHO Exhibition implementation organization as a creator and tubercle of the network are developed in the course of the implementation of the program. Interaction and communications through the DHO Exhibition implementation organization with inside and outside of the community will increase tremendously. Furthermore the capacity of the DHO Exhibition implementation organization will increase as well as the capacity of community for introducing and implementing a higher value added and better well-being policy structure. Through concrete implementation of this systematically organized process, the community capacity is developed and results can be maximized. The policy structure within the community is enhanced and by implementing the policy structure, the community capacity is developed interactively.

2.4 Way for Policy Adaption

As earlier mentioned, one of the noticeable advantages of the DHO Exhibition Approach model is the division of labor. In the model, there are different roles for each stakeholder. This made it possible for local residents and businesses, the main actors of DHO Exhibition, to concentrate on their activities. As a result, all the communities that have introduced the DHO Exhibition Approach have developed almost the same stakeholder map.

The implementation of DHO Exhibition is easy to understand. It has three distinct levels; 1) the policy making organization level, 2) the implementation organization level and 3) the program partner level (see Figure 3). As its title implies, the implementation organization in each community has the responsibility of conducting and managing the whole DHO Exhibition. Its program partners - the local people, groups and businesses are then responsible for organizing the individual DHO Exhibition programs. However, of course, during its implementation, the program needs the participation of a lot of the community's stakeholders. It is impossible to implement the DHO Exhibition Approach with only a few participants. Table 1 assigns the different roles that each stakeholder plays in the conduct of the DHO Exhibition Approach. At the policy making level, the main organization is responsible for formulating the DHO Exhibition Approach model. They facilitate the dissemination of information about DHO Exhibition to other areas and provide support for each town that decides to introduce the DHO Exhibition Approach. The implementation organization of the DHO Exhibition Approach then builds framework based on the resources and local partners they have in the community. They also assist the partners' in the planning and implementation of DHO Exhibition in their communities. The program partner, on the other hand, plans the program details and implements them.

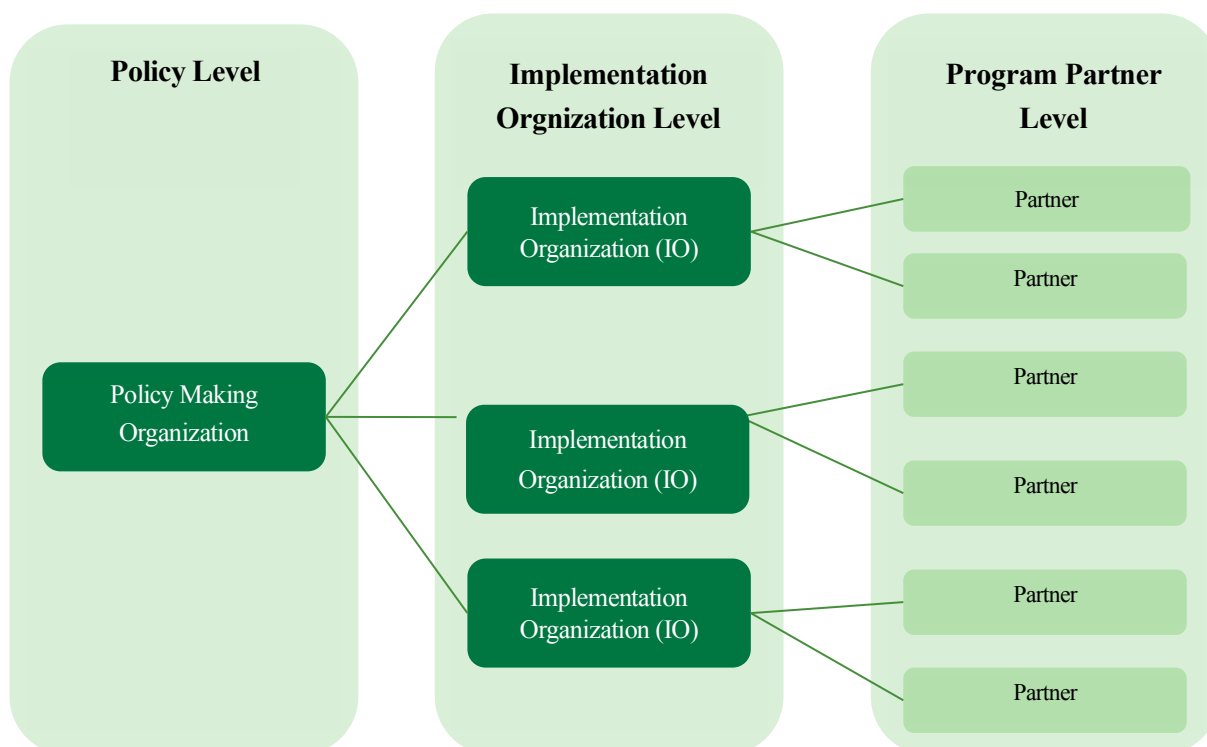
3. The Implementation Process of Bonpaku as a Case of the DHO Exhibition Approach

Miyakonojo Community Development Corporation (MCDC) introduced Onpaku and decided to adapt it in Miyakonojo City through the Miyakonojo Basin Exhibition now popularly called the Bonpaku. In this chapter, the study examines the Bonpaku as a case of the DHO Exhibition Approach model.

3.1 The Stakeholders of Bonpaku Implementation

As illustrated in the Bonpaku organizational chart, the program has three main stakeholders. The Bonpaku secretariat and Executive Committee (Bonpaku EC) both fell under MCDC as the implementing

Figure 3: The DHO Exhibition Organization Chart Arrange by Level



Source: Created by the authors

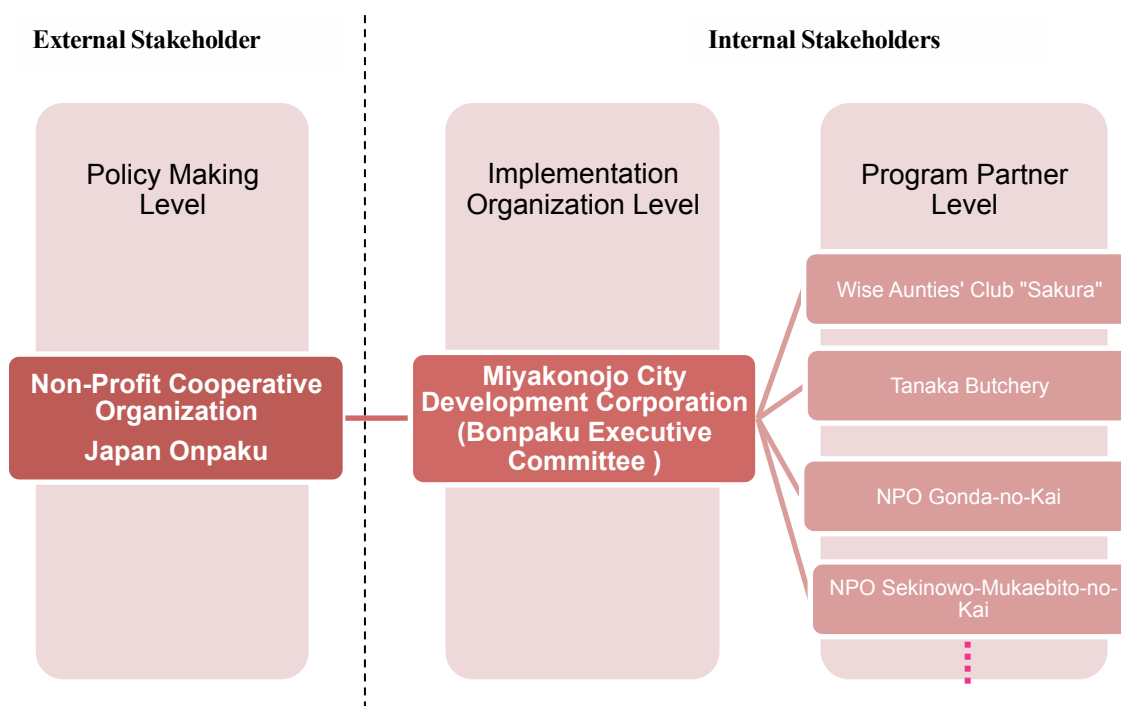
Table 1: Roles of Each Level

Policy Making Level	Implementation Organization Level	Program Partner Level
<ul style="list-style-type: none"> • Human Resource Development Training for implementation organizations • The DHO Exhibition (Onpaku) Guideline creation • Fund raising/ financial support • Hands-on management support • Hands-on planning support including brochure publication • Website launch support • Reservation system provision and development • Policy, program and project evaluation • Spread of the DHO Exhibition (Onpaku) approach 	<ul style="list-style-type: none"> • Fund raising • Explanatory meeting with potential program partners • Program planning • Consultation with partner/ program planning support • Holding partner meeting • Brochure publication • Website launch • Media release • Reservation management • Fan club management • Total coordination • Program implementation/ support • Program and project evaluation 	<ul style="list-style-type: none"> • Local activities/businesses which program partners usually implement • Program planning • Applying program to the secretariat • Writing program proposal for brochure • Consultation with the secretariat • Attendance to program partner meeting • Program implementation

Source: Created by the authors

organization, the program partners and the incorporated association Japan Onpaku (see Figure 4). In the case of Bonpaku, the Bonpaku secretariat, EC and the program partners are considered members of the program’s internal stakeholders. Meanwhile, Japan Onpaku is considered an external stakeholder because it is not in Miyakonojo City and does not share common life of Miyakonojo City.

Figure 4: Bonpaku Organization Chart Arranged by Level



3.1.1 Implementation Organization Level

As a means to revitalize the community, MCDC decided to introduce Onpaku and implemented Bonpaku in Miyakonojo City in 2009. MCDC was established in 1994 as a third sector, the corporate body, jointly financed by governmental bodies and private enterprises. It was established with a funding capital of 99 million yen; one third of the funds came from Miyakonojo City while the rest came from contributions of local companies. MCDC's philosophy is to take a leading role in revitalizing the community in order to improve the lifestyle of its citizens and promote dynamism in Miyakonojo City. However, while it was able to fulfill some its duties, it proved difficult for the organization to realize its philosophy. For some time, MCDC kept on the lookout for projects that would help achieve the organization with its philosophy. Eventually, the answer came. Bonpaku was born.

The main objective in the implementation of Bonpaku is to make the region lively and create a sense of togetherness. It seeks to foster the people's love for the town and make more of its residents live cheerfully. In addition, MCDC wanted to search for new partners in order to form a support group for companies and create new revenue-generating projects. Ultimately, the organization hopes to observe 1) the burgeoning growth of small-sized businesses, 2) the creation of new services derived from product development, 3) an increase in the number of people who relocate or return to local regions for work and 4) an increase in the number of key personalities who can help develop communities.

Two MCDC staff members from the department of general affairs, SADOHARA Takashi and MOTOKURA Akiko, were put in charge of leading the implementation of Bonpaku. Even from the beginning of the planning process, they recruited the leaders of local groups, shop owners, actors and other active members of the Miyakonojo community to establish the Bonpaku EC. For example, NAKAMURA Yoshihiro, a book store owner and the leader of the shopping arcade in the center of Miyakonojo City, became the chairman of the Bonpaku EC as the representative of the local people. This was necessary because it provided the local people with a venue wherein their voice and opinions will be heard.

Furthermore, tapping onto the abilities of the locals could encourage them further actively to participate in the forthcoming Bonpaku activities and aid in hastening the revitalization of the community. In fact, most of the members of the Bonpaku EC were participants of Bonpaku Programs before and then they decided to join to manage Bonpaku as staff members of the Bonpaku EC. Five staff members and the number of members is increasing following the number of implementation of Bonpaku.

3.1.2 Program Partner Level

Program partners are the main actors of Bonpaku. Program partners come from diverse industries and fields of interest. Their occupations range from sake brewers, local chicken producers, livestock farmers, local butchers, sports gym owners, carpenters, yoga instructors, writers, flamenco dancers, Satsuma biwa lute players, hotel chefs, coordinator of international relations, Japan Agriculture (JA) staff members, city hall cultural asset section staff members, physical education instructors, astronomical observatory staff members, scientific experiment coordinators, museum curators, temple head monk, wine bar owners, local shop owners, community development NPO, agricultural high school students, housewives, renowned pickle-making grandmothers and so on.

Bonpaku program partners can also be divided briefly into two groups depending on the purpose of their involvement. First group's reason for participation is their desire to revitalize the community. These are the partners who are not really concerned with the profit that would be generated from their involvement with Bonpaku. Community development NPOs, local community groups and women's groups are examples of those included in this group. On the other hand, those in the second group participate in Bonpaku for profit-oriented purposes. For these partners, Bonpaku serves as a venue to test their potential products and promote their current products. Some local shop owners, teachers of cultural activities and farmers belong to this group.

3.1.3 Policy Making Organization Level

The role of the incorporated association Japan Onpaku in relation to Bonpaku deals mainly with the introduction of the DHO Exhibition Approach and the provision of hands-on support for the establishment and implementation of Bonpaku. Japan Onpaku's support can be divided into two categories. These are group support and individual support.

Group support is provided through the Onpaku human resource development training to members of the local implementation organizations. MCDC members have been encouraged to conduct trainings on the local level and declare their determination to implement Bonpaku in Miyakonojo City. Furthermore, staff members from Japan Onpaku have been regularly visiting Miyakonojo City to provide consultation, to observe the community and to guide them in the implementation of Bonpaku. They have also gone out of their way to teach them how to implement Bonpaku in detail.

3.1.4 Sub-Stakeholders

It is impossible to implement Bonpaku with the support of just the main stakeholders. Apart from MCDC, the Bonpaku EC, program partners and Japan Onpaku, there have been others who have acted as sub-stakeholders for Bonpaku. For instance, during the second Bonpaku in 2010, there were 1,313 sub-stakeholders who were involved in its implementation (See Table 2). Ultimately, Bonpaku could not have been implemented successfully without cooperation from these sub-stakeholders in the community. Figure 5 lists down the Bonpaku sub-stakeholders by the above mentioned levels.

Table 2: The Second Bonpaku Sub-Stakeholders in 2009

	Interna	External
Supporters: 85	Ishiyama Kannon Do, Joganji Temple, Koshoji Temple, Kannon Sakura no Sato, Kanazawa hardware Store, Coffee Kan and KI Corporation etc.,	
Local Groups: 36	Miyakonojo Chamber of Commerce, Miyakonojo City, Mall Hirose, Supermarket Oh'ura, Hearty Nagayama, Cabbage, Road Side Station, JA Miyakonojo and One Store One Excellent Product Participating Stores etc.,	Yakult and Nissei etc.,
Media/PR Companies: 15	BTV Cable TV, Kirishima Forum and Tanmiya etc.,	UMK, MRT, MBC, MBC Radio, NHK Miyazaki, Miyazaki Nichinichi Newspaper, Asahi Newspaper, Yomiuri Newspaper, Mainichi Newspaper and Michikusa etc.,
Sponsors: 47	Kirishima brewery, South Japan Dairy Cooperative Company, Miyakonojo Brewery, Miyakonojo Green Hotel, Miyazaki Prefecture and 26 One Store One Excellent Product Participating Stores etc.,	
Program Participants: 690	Local Residents	People from Other Cities near Miyakonojo City
Fan Club Members: 440	Local Residents	People from Other Cities near Miyakonojo City

Source: Created by the authors based on MCDC (2010a)

3.2 Bonpaku Activities

To implement Bonpaku, there is a division of labor between the three main stakeholders. Each stakeholder takes on specific roles. They are significant and indispensable in the implementation of particular activities for each phase of Bonpaku (see Table 3).

3.2.1 Phase I—Before Bonpaku-

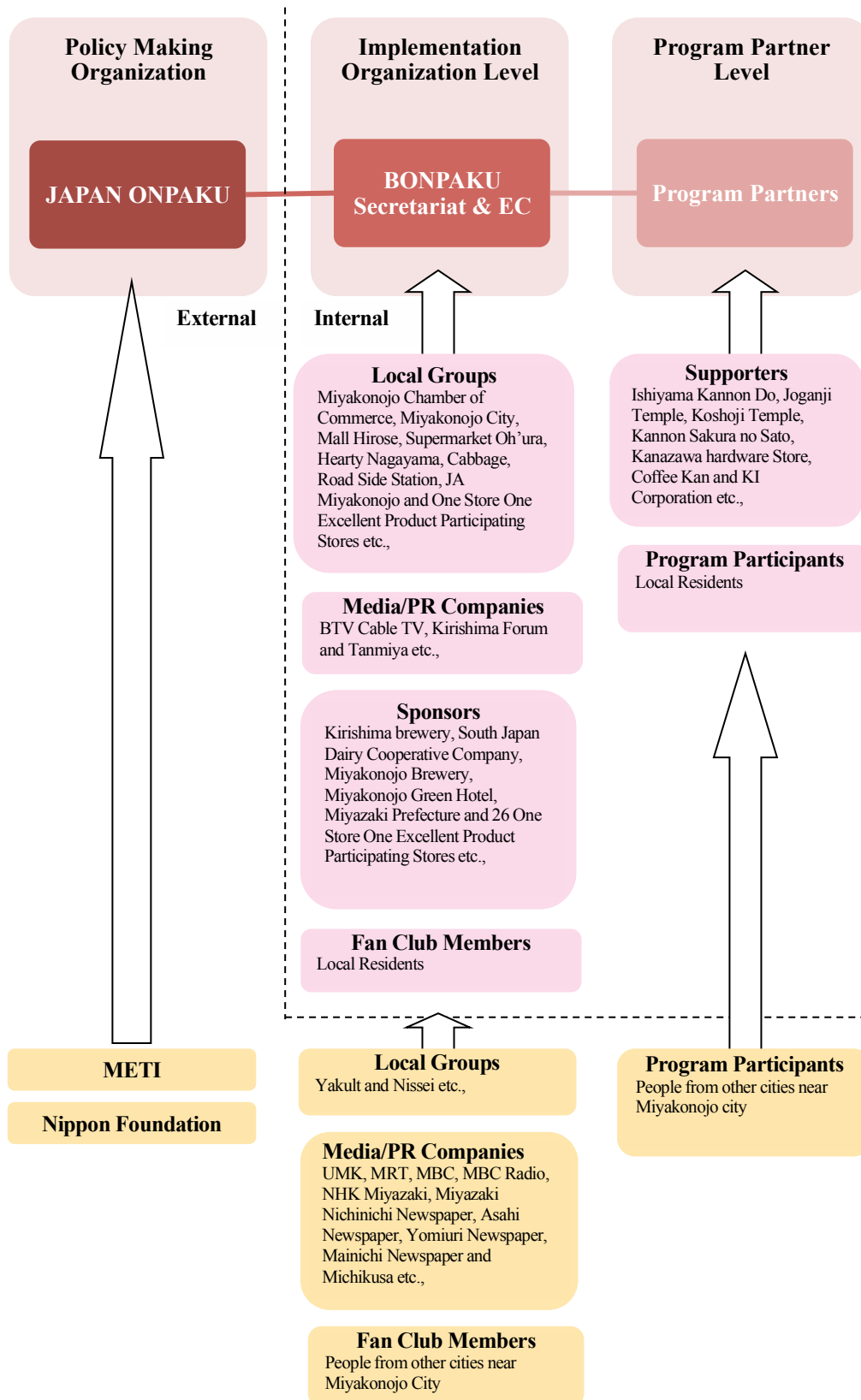
Miyakonojo City bumped into the idea of Onpaku by chance. However, the idea of adopting the approach became more certain through a chain of small coincidences. Without a doubt, MCDC staff members were strongly motivated to revitalize the dispirited Miyakonojo City.

3.2.1.1 Situation in Miyakonojo City

MCDC is one of the organizations involved in the community unity cultivation in Miyakonojo City. As such, one of the main purposes for its establishment includes the revitalization of the city center of Miyakonojo City that had been deserted in the 1980's. However, the need to change the city-center's desolate situation became more urgent after Miyakonojo City's jurisdiction was increased after it merged with four of its neighboring towns. For some time, MCDC staff members have had a dilemma regarding the coverage of their works. While their names suggested that it covered the development of the entire Miyakonojo City, their actual task is confined just to the management of the Wellness Exchange Plaza and Wellness Parking Lot located at the center of the city (Interview with Motokura, 2010).

The One Store One Excellent Product Project initiated by the local store owners and the municipal office provided Sadohara and the rest of MCDC staff members with insights on the relevance of active communication lines between the people in the city. Through the program, Sadohara explains that local store owners were able to develop and promote their products through active discussions and examination of case studies not only among themselves but also in coordination with the municipal office. Eventually

Figure 5: Bonpaku Sub-Stakeholders arranged by Level



Source: Created by the authors based on MCDC (2010a)

Table 3: Activities of Each Level of Bonpaku Stakeholders

	Japan Onpaku	MCDC/Bonpaku EC	Program Partners
Phase I Before Bonpaku Implementation	<ul style="list-style-type: none"> 1st – 3rd Onpaku Human Resource Development Training • Individual consultation after trainings • ONPAKU Guideline creation • Development of the ASP system 	<ul style="list-style-type: none"> • One Store One excellent Product Secretariat • NPO Management Seminar which KAWAKITA gave lectures • Community Revitalization Forum • Individual consultations with Japan Onpaku • Recruitment of the Bonpaku EC • Explanatory meeting for the Bonpaku EC • Establishment of the Bonpaku EC • Recruitment of chairman of the Bonpaku EC • Media conference 	<ul style="list-style-type: none"> • Activities or works which program partners are usually involved
Phase II 1 st Bonpaku	<ul style="list-style-type: none"> • 4th and 5th Onpaku Human Resource Development Training • Planning support including brochure publication • Website launch Support • Booking system provision and development • Onpaku Evaluation Guideline creation • Program evaluation 	<ul style="list-style-type: none"> • Fund raising • Program planning • Three partner meetings • Brochure publication • Website launch • Media release • Booking management • Program implementation/support • Program and project evaluation • Fan club management 	<ul style="list-style-type: none"> • Program planning • Recruiting supporters • Program application • Writing program detail for brochure • Consultation to MCDC • Attendance to program partner meetings before and after Bonpaku • Program implementation • Joint program with other program partners after Bonpaku • New activities after Bonpaku
Phase III 2 nd Bonpaku	<ul style="list-style-type: none"> • 6th Onpaku Human Resource Development Training • Onpaku Evaluation Guideline revision • Program evaluation 	<ul style="list-style-type: none"> • Explanatory meeting for potential partners • Fund raising • Program planning • Program planning support for program partners • Five partner meetings • Brochure publication • Website update • Media Release • Booking management • Reservation workshop with potential participants • Program implementation/ support • Program and project evaluation • Fan club management 	<ul style="list-style-type: none"> • Program planning • Recruiting supporters • Program application • Writing program detail for brochure • Consultation with MCDC • Attendance to program partner meetings before and after Bonpaku • Program implementation • Joint program with other program partners after Bonpaku • New activities after Bonpaku

Source: Created by the authors

MCDC was requested by the municipal office to act as the secretariat of the project. This opportunity enabled the staff members of MCDC to gradually understand not only the situation of the entire city but they were also exposed to the sentiments of local business owners and the city's residents.

Realizing that the residents and business owners had no means to utilize and showcase what they had learned and developed from the One Store One Excellent Product Project MCDC adopted the advocacy that would eventually provide them with it. Soon, MCDC was working on a new project that sought to broaden its network by maintaining regular communications with local residents and business owners.

3.2.1.2 The First Onpaku Human Resource Development Training

On October 2007, two MCDC staff members participated in the first Onpaku human resource development training. The event not only reinforced MCDC's desire to help the community but it also totally changed the way the city's development would move forward.

Actually, MCDC's introduction to the Onpaku approach began as a chance encounter. Sadohara discovered Onpaku while reading the blog of KAWAKITA Hideto, the president of the International Institute for Human, Organization and the Earth (IIHOE). In his blog, Kawakita profusely shared interesting tidbits from his own participation in Onpaku trainings. This generated a lot of interest from Sadohara. He then invited his colleague, Motokura to participate in the 1st Onpaku human resource development training with him.

Sadohara found that the Onpaku training was totally different from other trainings he has previously attended. First, instead of academic and industry specialist there were a lot of local people who spoke about their experiences and challenges with Onpaku. Training participants could also meet one-on-one with these speakers to discuss with them in further detail their learning as program partners or supporters of previous Onpaku programs. The speakers reiterate that Onpaku enables the local people to expand their network and bond with each other. Sadohara thought that Onpaku would provide a wonderful opportunity and that that it would be nice for Miyakonojo City (Interview, 2010). As such, Sadohara and Motokura agreed that the Onpaku approach would adopted for the revitalization of Miyakonojo City.

Before the end of the training, MCDC announced that they would implement the Bonpaku in Miyakonojo City. Although they were unsure of their next moves, Sadohara and Motokura thought that announcing their plans could make it real. Thus on the third day, the participants enthusiastically attended the workshop that sought to help the participants identify their community's local resources and make a plan for the implementation of Onpaku in their community.

3.2.1.3 Individual Consultations after the Training

On the way back to Miyakonojo City from the training, Sadohara and Motokura imagined how Bonpaku will be implemented in their community. But because they were not sure on the next steps that they should take, they requested for an individual consultation with NPO Onpaku. To give them a better idea of their next steps, Sadohara and Motokura invited NOGAMI Yasuo, the Managing Director of NPO Onpaku to speak at Miyakonojo City's Community Revitalization Forum. But before that, MORI Atsushi, a staff member of NPO Onpaku, also came to visit them.

Mori's visit was considered as the city's real first step towards the implementation of Bonpaku. First, Mori suggested they should go out and tour around the community and meet with the local people they know. After the tour, they sat down for a meeting at a coffee shop. Mori asked them once again what they wanted to do. To which Sadohara replied, "we want to do something can give cheerfulness to the local people. We want them to be able to share this cheerfulness with each other." "Why don't you implement Bonpaku? Your purpose exactly suits Bonpaku, doesn't it?" Mori suggests to them again. With this, the

implementation of Bonpaku in Miyakonojo City was finalized.

3.2.1.4 Establishment of the Bonpaku Executive Committee

The establishment of the Bonpaku EC sparked the start of the local people's involvement with Bonpaku. A few days before Nogami's lecture, Sadohara and Motokura decided to hold a Bonpaku explanatory meeting with the local people. With only three days to prepare, they called for local people who were active in the community. Enforcing the snowball effect strategy, they called for the local people and asked them not only to attend the meeting but also to share information regarding other active individuals they knew. They placed calls inviting people regardless if they knew them or not. Luckily, most of the individuals the team called agreed with what the organization intended to do and confirmed their attendance to the meeting (Interview with Motokura, 2010).

The meeting had around ten people in its attendance including the owner of a Kimono shop, the head of the post office, a businessman and a staff member from the local government. One of the attendees, the leader of the local women's club, already knew about Onpaku and had previously attended a lecture by Nogami. She shared how much she was looking forward to this opportunity because they had previously planned to implement this kind of event in Miyakonojo City. However, the task proved too difficult for her club to do by themselves. Thus, after some explanation, MCDC staff members asked the attendees if they would enable implementing Bonpaku together and if they would agree to be a part of the Bonpaku EC. Eventually four of the attendees became the pioneer members of the committee.

Nonetheless, a few of the attendees expressed their uncertainty with the approach. They wanted to understand Bonpaku more. Thus, one month after the establishment of the Bonpaku EC, the group held the first meeting. They decided to implement a working tour of their community by themselves. It was only then that all the members realized the value of the program they were planning to implement.

3.2.1.5 The Second Onpaku Human Resource Development Training

While the first Onpaku human resource development training helped MCDC made the decision to implement Onpaku in their community, the second Onpaku training required the MCDC staff members to give a presentation of the present situation of Bonpaku in their community. The organization declared that they could not give up holding Bonpaku because they have already presented it to the other members of the community. The second training enabled the organization to visualize how they would implement Onpaku in their community. They were able to begin to fully understand what Onpaku is through the experience of Onpaku programs in other communities (Interview with Sadohara, 2010).

3.2.1.6 Press Conference

One of the most difficult problems when it comes to community activities is promotion. But fortunately, the Bonpaku EC proved to be quite efficient pointing this regard. After the establishment of the Bonpaku EC, the committee immediately held a press conference not only to introduce its members but of course to introduce the group's advocacy. Over the years, it has become a regular practice for them to hold press conferences or provide press releases regarding what they have done or are planning to do.

With the members of the Bonpaku EC in place, the MCDC staff members started to search for a proper chairperson. Sadohara and Motokura visited many people who have established a notion of power in the community, which included the heads of the community's local organizations. However, while most of them appreciated MCDC's efforts and promised to support Bonpaku, none of them wanted to become the chairperson. One day, Sadohara had an unofficial dinner with local businessman including a local bookstore owner. Casually, the two discussed Bonpaku. Convinced of the merits of the program, the local

bookstore owner agreed to Sadohara's request and became the Bonpaku EC's chairperson.

Afterwards, a press conference was held to introduce Bonpaku. Similar to the declaration that they made during the 1st Onpaku training, they thought by announcing their intentions to the public would provide them with the motivation to push through with the project. Similarly, the group realized the promotional effect of such kind of exposure. As such, they decided to hold such kinds of events as much as possible.

3.2.2 Phase II—the First Bonpaku-

After their first press conference, the group started to seriously prepare for the Miyakonojo City's first Bonpaku. While the group had to face a lot of difficulties in the process of the Bonpaku's birth, they were able to overcome these through the support from Japan Onpaku and its network of EC staff members. Clearly, the value of human networks could be observed in this exercise.

3.2.2.1 Program Planning

The first and probably the most difficult thing that the group had to do in line with organizing the first Bonpaku was program planning. In the Onpaku approach, program planning prioritizes the establishment of relationships between local people. After his initial trip, Mori visited Miyakonojo City several times from April to June to provide the team with planning support. After which, he would visit the city at least once a month not only to check the progress of their program planning but also to give them advice and encouragement.

Part of the program planning was to make a list of the city's promising local resources. Mori requested that Sadohara and Motokura fill up a sheet with the city's local resources, program partners and purpose of the program. While it was easy for the two to fill up the blanks for the city's local resources, it took them quite some time to complete the list for potential program partners. At that time, they did not have any connections with people who are utilizing local resources. So Mori asked them to once again make calls or visit local business owners and private citizens and make connections with them.

At that time, the organization would call potential program partners day after day. Afterwards, they would visit and chat with them. One potential program partner would introduce the team to other interesting people, places and resources. The team would then visit all potential people, place and resources that they have just found or were recently introduced to. Then they would fill the blanks of their list with their comments about potential program partners' attitudes and special abilities. They would then incorporate this information into their program planning sheet.

The program planning sheet summarizes the details of the program partners' activities including program name, number of participants, schedule and costs and so on. They had two related methods of discussing the information they collected. First, they make use of self-adhering note pads, popularly known as post-it note pads, to display the information that they collected. Second, they utilize the document template provided them by Mori. By filling the sheet and utilizing post-it note pads, they were able to describe the programs in detail. Should there be anything that they were unsure of in the list, they called and visited the program partners again to clarify it.

Because the members of the Bonpaku EC have their own jobs, it was understandable that their physical involvement with the project might be limited. As such, they were just tasked to mainly share their ideas and networks while Sadohara and Motokura filled up the program list. For instance, after a member of the EC referred a potential program partner, Sadohara and Motokura will make an appointment with them and visit them to request for their participation in Bonpaku. The Bonpaku EC also gives the team advice or helps in the creation of programs. Sadohara and Motokura also approach them for assistance when

Bonpaku EC members encounter difficult requests from its program partners.

With the assistance from Mori and the cooperation from the Bonpaku EC members, Sadohara and Motokura were able to successfully establish a network of potential program partners. Eventually, they were able to create programs together.

3.2.2.2 Brochure Publication

The event brochure preparation revealed another significant point to Bonpaku: it has two faces. On one hand, the programs of Bonpaku naturally have to be enjoyed and recognized by its participants as a community event. On the other, it has to appeal to the program partners as a community revitalization approach.

The preparation for the brochure started around June 20th, 2008 while the team was also occupied with the event's program planning. Mori was in town for a visit, when the team began the process of laying out the brochure. He asked them what the interesting points of each program are. Sadohara and Motokura realized that most of their responses came from the point of view of the implementing organization. Thus, even if the program promoted the community's revitalization, it was too much of a hard sell and was not attractive to their potential program participants.

So they took a look at the brochure guidelines of Onpaku and made the checklist of what they needed based on it. After a month and half, the team was already able to send a manuscript for printing. By the end of August, twenty thousand brochures were already prepared for distribution.

The Bonpaku EC actively participated during the distribution of the program brochure. Once again utilizing their networks, they asked local supermarkets, stores, beauty salons and other local businesses to post and distribute brochures. Sadohara and Motokura held regular EC meeting so that they could delegate the task of brochure distribution amongst themselves. Through this understanding, they were able to distribute around twenty thousand Bonpaku brochures.

3.2.2.3 Program Implementation

Six months after the started their preparations, the first Miyakonojo City Bonpaku was finally held. Based on the number of participants, their positive responses, the significant media coverage and the attention it generated from its program partners, it would be safe to conclude that the city's first Bonpaku was a success.

Miyakonojo City's very first Bonpaku lasted for a period of sixteen days (from Saturday, October 4th to Sunday, October 19th, 2008). The event showcased twenty four programs in twenty five sessions. Throughout the event period, Bonpaku programs were featured in newspapers and on the radio, twenty times. It was also included in features, on television twenty two times. The event had a total of four hundred thirty one participants, which is 89% of its full capacity. 83% of the participants were females. 86% were local residents. 20% of each age bracket from 30s-60s, were also in attendance. This information supports that Bonpaku is appreciated by audiences of wide age demographics. Finally, it was also gathered that during the event two hundred forty of the attendees also signed up to become the Bonpaku fan club members (see Table 4).

3.2.2.4 Evaluation

After the event's conclusion, the members of the Bonpaku EC and Japan Onpaku evaluated the implementation and the outputs of both Bonpaku and programs that were held within it. The evaluation was facilitated by Motokura and Sadohara during the fourth Onpaku human resource development training. The workshop's main point of discussion was the evaluation method. After the training, they returned to

Table 4: Outline of the 1st Bonpaku

Program Period	Saturday, October 4 th – Sunday, October 19 th , 2008 16 days
Programs Held	24 programs in 25 sessions
Media Appearance	Newspaper:20, Radio: 20, NHK:2, local cable TV: 20 (10 days of notices with 5 daily reports)
Participants Attracted	431 (89% of full capacity)
Participant Statistics	83% female 20% of each age bracket from 30s-60s 86% of local residents
Fan Club Members	240

Source: Created by the authors based on MCDC (2010c)

Miyakonojo City and made improvements on the method. They presented the outputs of their evaluation during the fifth Onpaku human resource development training that was held in Tokyo on March 2009. The report had four aspects that included promotion, management and profitability of Bonpaku.

In general, the evaluation revealed that Bonpaku succeeded in changing the local people and community. In describing the changes, the Bonpaku EC staff members conducted interviews with them and uploaded the consolidated report to the website of Japan Onpaku. In the website, each program partner has their own page that contains not only their basic information but also their challenges and changes that they experienced from their involvement in Bonpaku.

3.2.3 Phase III –the 2nd Bonpaku -

The success of the first Bonpaku paved the way for Miyakonojo City to hold Bonpaku for a second time. Because of the positive feedback that the event received from local people and businesses, the Bonpaku EC's desire and motivation to hold the event again significantly increased. Thus the preparation for the second Bonpaku started in April 2009. Although they intended to hold the event the same way they did during the first one, some new activities were added to further improve Bonpaku.

This time around, the participation of Japan Onpaku was remarkably reduced. Gradually, Bonpaku was totally managed and prepared by the people in Miyakonojo City.

3.2.3.1 Explanatory Meeting for Potential Program Partners

In order to recruit more active local partners, MCDC held an explanatory meeting for potential program partners. This is in stark contrast to the previous year, when the staff members of MCDC and the Bonpaku EC could not hold such kinds of meetings because they were unsure of the scope their knowledge about Bonpaku. This time around, armed with the experience from the first Bonpaku, the group enthusiastically shared their learning and the overall merits to the second Bonpaku's potential partners.

However despite the group's aggressive solicitation, the number of attendees during the first few explanatory meeting was below what they expected. They just assumed that even with the first Bonpaku's success, the people who are interested to be involved in Bonpaku as program partners might just be, in fact, quite few.

Nonetheless, there were a few former participants from the first Bonpaku who expressed their interests to become program partners for the second. They were actually looking forward to the opportunity to utilize and challenge their abilities or hopes. After some time, the number of attendees for each meeting gradually increased. So far, the highest attendance for the Bonpaku's explanatory meeting is marked at more than eighty participants. With MCDC and Bonpaku EC staff members' hard promotion to the attendees, the explanatory meeting was able to make a provision of forty-three programs for the second

Bonpaku possible.

3.2.3.2 Reservation Workshop for Potential Participants

A day before the Bonpaku program's reservation, the group held a reservation workshop for the event's potential participants. However, because the office had a limited number of phones, there were a lot of people who could not make a reservation on the first day. In addition, some local people were not familiar with the Internet so they were unable to make their reservations online.

For those who were able to attend, the workshop proved to have many benefits. First, they were able to meet Bonpaku program partners and ask them relevant details of the programs they were interested in. MCDC staff members personally introduced the noticeably interesting programs as well as offer special preferred seats to the participants who wanted to sign up for them on that very day.

With the Miyakonjo Excellent Product Fair being held at the same day, the reservation workshop was also able to provide Bonpaku sponsors and the One Store One Excellent Product project storeowners with the opportunity to promote their products.

3.2.3.3 Program Implementation

The scale of the second Bonpaku was significantly bigger than the city's first venture using the approach. For one, the second Bonpaku was held from Saturday, October 10th to Sunday, November 1st 2009, more than week longer than the first. Second, the second Bonpaku showcased forty-three programs within the twenty-three days of its implementation. Third, second Bonpaku was similarly featured and promoted by the media. In fact, information about the second Bonpaku appeared on television twenty-two times, was mentioned on the radio ten times and on newspapers fifteen times. This data only covers the event's media appearances from October 10th to November 1st. So if the news feature prior to the start of the second Bonpaku will be considered, the event would've actually been featured more than this number. On top of this, the event had a total of six hundred ninety participants. Two hundred of which registered as a fan club member of the event, taking the total number of fans up to four hundred forty members (see Table 5).

3.3 Case Study of Program Partners: Wise Aunties' Club Sakura

The Wise Aunties' Club Sakura (Sakura) is a local women's group in Takajo district, located in the northern part of Miyakonojo City. Before Bonpaku was introduced, the club conducted some booking-based cultural activities. Through their partnership with Bonpaku, the club was given a chance to further develop and improve their programs. In fact, the club gradually gained the recognition of the local government and Miyakonojo's other residents. The newfound popularity gave the club the chance to participate in more activities. Table 6 describes the process by which the club transformed.

Table 5: Outline of the 2nd Bonpaku

Program Period	Saturday, October 10 th – Sunday, November 1 st 2009, 23 days
Programs Held	43 programs in 50 sessions
Media Appearance	Newspaper:15, Radio: 10, NHK:2, local cable TV: 20 (10 days of notices with 5 daily reports)
Participants Attracted	690 (80% of full capacity)
Fan Club Members	200 (440 in total)

Source: Created by the authors based on MCDC (2010c)

Table 6: Wise Aunties' Club Sakura's Activities arranged by Phase

	Activities
Phase I Before Bonpaku	<ul style="list-style-type: none"> ▪ Booking-based cultural activities ▪ plant dyeing ▪ making candles from old cooking oil ▪ local traditional food cooking ▪ wild vegetable eating
Phase II the 1 st Bonpaku	<ul style="list-style-type: none"> ▪ Program planning ▪ Coordination of four other program partners' programs ▪ Program application ▪ Writing program detail for the brochure ▪ Consultation to MCDC ▪ Attendance to program partner meetings ▪ Program implementation: Plant Dyeing and Buckwheat Noodle Making ▪ Program implementation support ▪ Joint program with other program partners ▪ Booking-based cultural activities
Phase III the 2 nd Bonpaku	<ul style="list-style-type: none"> ▪ Program planning ▪ Coordination of other program partners' programs ▪ Recruiting supporters ▪ Program application ▪ Writing program detail for the brochure ▪ Consultation with MCDC ▪ Attendance to program partner meetings ▪ Program implementation: Chicken, Egg and Cheese Smoking and Rice Flour Cake Making ▪ Program implementation support ▪ Program implementation as supporter ▪ Agar utilizing community development project subsidized by the central government ▪ Booking-based cultural activities

Source: Created by the authors based on Table 3.2

3.3.1 Sakura and Phase I

The Sakura was established in 2005 by four of Miyakonojo's local women: SUENAGA Yoko, a dressmaker; NIHO Yukiko, who helps her husband's work as a veterinary surgeon; YOSHIDOMI Yasue, a salary woman; and YAMASAKI Miwa who helps her husband's work as an interior coordinator. Suenaga, who acts as the director of the Wise Aunties' Club, was especially eager for the revitalization their community and promotion of green tourism in the area that she became a certified Green Tourism Instructor.

The reason behind the establishment of the club is that the group would like to attract urban dwellers to help revitalize Takajo district through the preservation of Miyazaki's natural environment and discussions on the significant role that agricultural and rural communities play in the implementation of green tourism (Miyazaki Prefecture Community Development Network Association, 2010). As such, the club offers regular booking-based programs like plant dyeing, candle-making with the use of old cooking oil, local traditional dish cooking, eating wild vegetables and so on.

The group also aspires that someone in the community would be able to offer home-stays or open a farmers' restaurant that showcase the use of local resources especially the community's leftover produce. Eventually, they hope that this would result to cultural exchange between urban dwellers and the members of the community.

However, their vision proved difficult to accomplish because the club did not have enough funds to

sustain the program. Likewise, the local government could not subsidize their project because it could only support green tourism projects that were mounted by farmers. One year before Bonpaku was introduced to the city, the Miyazaki prefectural governmental office invited Nogami to talk about Onpaku to local citizens. Suenaga had the privilege of attending Nogami's talk. She realized that indeed, her group could not do everything alone; and hoped that someone would run a project similar to Onpaku in Miyakonojo City (MCDC, 2010b).

A few months after Nogami's talk, Suenaga received a call from a MCDC staff member and asked her if she would like to help implement an Onpaku style activity in Miyakonojo City (MCDC, 2010b). The caller said she was referred to her by a staff member from the Miyazaki Prefecture Community Development Secretariat. Naturally, the Sakura members were willing to join it because they believed that the program could help encourage real rural revitalization.

Recognizing that the merging of towns to create the new Miyakonojo City made it more difficult for local government to hear the voices of real rural communities, the Sakura members resolved that they needed to go out of their way to make their voices heard. Thus, Suenaga decided to become a member of the Bonpaku EC as a means to contribute to the move to revitalize not only her community but also of the new Miyakonojo City.

3.3.2 Sakura and Phase II

For Sakura, the expansion of their network and the features made about their group in the media are what they consider the best rewards from their involvement with Bonpaku. In retrospect it was not really difficult for the Sakura members to plan their Bonpaku programs because they were already conducting various kinds of hands-on cultural experiences. Even though coordinating with other partners proved to be a challenge for them, the club is satisfied with the experience they gained, the network they build and the progress they have achieved in terms of the development of their programs.

Sakura prepared their Bonpaku programs based on the ones they offered in their booking-based activities. They also collaborated with other organizations for the plant dyeing and buckwheat noodle making programs (see Table 7). These activities were offered to a maximum of ten participants and the participation fee was 2,500 yen per person. Despite the limit in the slots they offered, the club received several calls requesting for additional allotment for participants (MCDC, 2010b).

Table 7: Details of Wise Aunties' Sakura's Program in 2008

Program Name	Plant Dyeing and Buckwheat Noodle Making
Program Partner	Wise Aunties' Club Sakura
Date	Sunday, October 19 th , 2008
Time	10:00-13:00
Price	2,500 yen
Maximum Number of Participants	10
Venue	Atelier Hana
Program Schedule	9:45 Reception 10:00 Plant Dyeing, Buckwheat Noodle Making and Lunch 13:00 Closing

Source: Created by the authors based on the first Bonpaku Brochure (2008)

Sakura's program was held on October 19th 2008. The program lasted for three hours (from 10:00 to 13:00) at was held at the Atelier Hana, the workshop in Suenaga's house. The first part of the program had the participants enjoying plant dyeing and scarf making. After that they made the buckwheat noodles for their lunch. After the program, the participants expressed their satisfaction with the activity. After Bonpaku, the network of participants brought them new business. Sakura then ran joint programs with other groups whose members were also participants of Sakura's program (MCDC, 2010b).

Another interesting activity from Sakura is its coordination with the programs of other Bonpaku program partners. Suenaga coordinated with four other program partners' and shared her skills and experiences in booking-based activities. She grew her network through the promotion of Takajo District and the activities of her group. In time, she was able to establish herself as the leader not only of the Wise Aunties' Club Sakura but also of Takajo District and of the Bonpaku community.

Sakura's involvement in Bonpaku was often featured in the media. This exposure has also helped change other people's attitudes about the club. For instance, the local government never approached them in the past. But after being exposed to Sakura's real ability through Bonpaku, the club has been regularly invited to the local activities the local government has organized. Similarly, the club member's husbands who used to disapprove of their wives' activities gave up complaining because they realize their wives' serious commitment to these socio-cultural activities. In fact the husbands inspired by their wives' contribution and decided to support them by establishing the Uncles' Club.

3.3.3 Sakura and Phase III

The first Bonpaku was able to foster the growth of Sakura's networks. It continued to expand in the following months and was significantly utilized during the second Bonpaku. That time, they did not only coordinate with the other program partners but they were also involved in other programs as a supporter. Furthermore, the club was asked to join the city-wide project that received national government subsidies from the local government.

Although Sakura's own program was the almost same as the ones they conducted the last time, the contents of the programs for the second Bonpaku focused more on Japanese traditional cooking techniques and materials (See Table 8). For instance, they introduced the traditional Japanese smoking skill to preserve the foods. They also made cake using rice flour which was also intended to promote the consumption of rice.

NAKAYAMA Yasuo, caretaker of the Ishiyama Kannon Do and an expert of the local history of

Table 8: Details of Wise Aunties' Sakura's Program in 2009

Program Name	Chicken, Egg and Cheese Smoking and Rice Flour Cake Making
Program Partner	Wise Aunties' Club Sakura
Date	Sunday, October 25 th , 2009
Time	10:00-13:00
Price	2,500 yen
Maximum Number of Participants	10
Venue	Atelier Hana
Program Schedule	9:45 Reception 10:00 Chicken, Egg and Cheese Smoking and Rice Flour Cake Making and Lunch 13:00 Closing

Source: Created by the Authors based on second Bonpaku Brochure (2009)

Takajo District, conducted a walking tour near Sakura's place. Agreeing to Nakayama's request, the club provided lunch for the participant after the walking tour. Following the end of the v activities, they continued to help each other. Such that when Sakura gets a reservation for their hands-on cultural experience, Nakayama would come and help their program too.

Another interesting change to happen after Bonpaku is that the club was often invited to participate in new projects initiated by the local government. In aspiring to promote the development of the community through the use of its local resources such as agar, the local government asked the Sakura Club to create meals that made use of the product. Eventually, the local government hopes to publish an agar recipe book. Admittedly, their involvement in Bonpaku not only helped Sakura grow its network but it also fostered a positive change with the way other people interacted with the group. At this point, they have become more active in participating in the community's social activities. More significantly, what they have aspired for just two years ago have finally come true.

4. The Effect of the Onpaku Approach

Rural development is the result of the collective efforts of the people in the community. As the community develops and as they improve their capacity, they are able to set higher goals for the community. Furthermore, they are also able to create more collective and sophisticated activities to achieve those set goals. Consequently, when the community accomplishes their activities and goals, it also affects to the development of the community's capacity. As such, the development becomes a cyclical and continuous work for rural people. This section examines the changes in the community capacity over the course of Bonpaku implementations in 2008 and 2009. We describe the strategic components and characteristics of community capacity development in Miyakonojo City from 2008 to 2010 and illustrate the emergence of networks through the widening of activities by the program partners.

4.1 Community Capacity Development

Evidently, Miyakonojo City's community capacity has gradually changed in the course of Bonpaku implementation. Table 9 illustrates the change in the strategic components of community capacity development. On the other hand, Table 10 illustrates the change in the characteristic of community capacity in Miyakonojo City, especially those that seem to be directly related to Bonpaku.

In Miyakocojo City, a change in its community capacity was observed in the form of both exogenous and endogenous changes. Exogenous change refers to the interactions with Japan Onpaku that has led to 1) the creation of the Bonpaku secretariat in MCDC and 2) the Bonpaku EC receiving support and cooperation from Japan Onpaku. The training for the implementation organizations by Japan Onpaku played a crucial role in the community capacity development of Miyakonojo City. In particular, it has demonstrated significant improvements on the abilities of the people and organization related to Bonpaku, which is now considered a sub-community in Miyakonojo City.

4.1.1 The Community of Miyakonojo City and Bonpaku

In order to examine the community capacity development in Miyakonojo City, it is important to first describe the community of Miyakaonojo City. Community is a social system constructed by individuals and organizations, acknowledged by a specific area, generally defined by administrative boundaries, and is recognized by the organizations, groups and individuals as a unit to which they belong to (Miyoshi and Stenning, 2008; Miyoshi, 2010).

Table 9: Strategic Components of Community Capacity Development

	Preparation period of Bonpaku Facilities	Planning, Implementation and Evaluation period of Bonpaku
Human Resources	Confidence of staff members of Bonpaku Secretariat on Bonpaku and acquisition on knowledge of the Onpaku approach through Training for Implementation Organizations	Human resource development of program partners through the planning, implementation and evaluation of Bonpaku programs
Leadership	Initiative of Sadohara and Motokura of Bonpaku Secretariat	
Organization	Establishment of the Bonpaku Secretariat and EC	
Network	Creation of Networks of the Bonpaku Secretariat with Japan Onpaku	Continuous development of Bonpaku networks through planning, implementation and evaluation of Bonpaku and programs

Source: Created by the authors

Table 10: Characteristics of Community Capacity

	Preparation Period of Bonpaku Implementation Facilities	Planning, Implementation and Evaluation Period of Bonpaku
Sense of Community	Confidence of staff members of the Secretariat and EC on Bonpaku and their reconfirmation of necessity of revitalization of Miyakonojo City	Recognition of Bonpaku by Bonpaku program partners and Miyakonojo citizens as the tool for revitalization of Miyakonojo City
Commitments	Commitment of MCDC on implement Bonpaku for revitalization of Miyakonojo City	Bonpaku program partners' recognition and implementation of Bonpaku for revitalization of Miyakonojo City
Ability to Set and Achieve Objectives	Bonpaku Secretariat of MCDC's acquisition of knowledge of planning, implementation and evaluation of Bonpaku and utilization of Bonpaku for revitalization of Miyakonojo City	The Bonpaku EC and program partners' acquisition and confidence of experience of planning, implementation and evaluation of Bonpaku and utilization of Bonpaku for revitalization of Miyakonojo City
Ability to Recognize and Access to Resources	Bonpaku Secretariat of MCDC's acquisition of knowledge on resources for Bonpaku implementation and utilization of Bonpaku resources for revitalization of Miyakonojo City	Bonpaku Secretariat and program partners' acquisition and confidence of resources of Bonpaku and utilization of Bonpaku resources for revitalization of Miyakonojo City

Source: Created by the authors

The community of Miyakonojo City is constrained by the administrative boundary of Miyakonojo City. Its people recognize themselves as members of the community and often talk about common life in Miyakonojo City. The community also includes the local government of Miyakonojo City and its affiliated organizations that include MCDC, nonprofit organizations, private companies, citizens including small business peoples and farmers.

In the previous section, we described the activities of various organizations and people related to Bonpaku. We observed some of the organizations and people before the implementation of Bonpaku, the organizations that were created in the course of the implementation of Bonpaku and other people who only considered themselves part of Miyakonojo City after Bonpaku. Also, we examined interesting aspects of the community that were revealed after the implementation of this new event. As such, the implementation of Bonpaku also provides an interesting case of community transformation and its change. Bonpaku is an activity in Miyakonojo City that has influenced the city's community members and changed the community and its community capacity. However, it needs to be stressed that change did not happen

overnight. Rather, it was achieved through the steady course of Bonpaku's implementation.

4.1.2 Strategic Components of Community Capacity Development

The strategic components of community capacity development that were developed through the implementation of first Bonpaku are exogenous in nature. This could especially be observed during the preparation stage of the Bonpaku implementation.

For instance, the training of MCDC, the Bonpaku Secretariat and EC was an important aspect of human resource development that resulted from the creation of the first Bonpaku. In order to assure the effective implementation of Bonpaku in the community, the training program focused on improving foundation, facilities and the implementation capability of the active members of the community. Sadohara and Motokura also admit that they have gained both practical and operational knowledge for the implementation of Bonpaku while they were on the job. In addition, the hands-on consultations with Japan Onpaku also significantly help in realizing Bonpaku.

The transfer of knowledge from the implementation of Bonpaku comes from the program planning, brochure making, website creation and program reservation templates that were shared between Japan Onpaku, MCDC and the Bonpaku EC. This along with the other aspects of Onpaku training system provided the organization with the confidence to push through and implement Bonpaku.

With Sadohara and Motokura strongly at the helm of these initiatives, the Bonpaku Secretariat and EC became the core organizations of Bonpaku implementation in Miyakonojo City. These individuals and organizations act not only as the main actors in the community with regard to Bonpaku but their collaboration has made it possible to tap the resources of local business owners and group for the event's implementation. This situation has fostered the delegation of activities and ultimately helped achieve the organization's goal of revitalizing Miyakonojo City.

On the other hand, the endogenous aspect of community capacity development's strategic component can be observed not only after the creation of the Bonpaku EC but also in the course of the event's planning, implementation and evaluation. However, these aspects are more evident and pronounced during the second Bonpaku than the first one. In particular, strategic component of community capacity being referred to in this situation is the development of the network between the Bonpaku Secretariat and EC, Bonpaku program partners, the supporters, the local media and practically all members of the Miyakonojo community. In fact, the community's network building was so effective that it was even able to extend to individuals and groups outside of Miyakonojo City.

This tendency was also observed in terms of human resources development. One of the features of Bonpaku is to provide low risk opportunities for potential program partners when they decide to conduct a program during Bonpaku. Realizing that program partners are encouraged to participate when the costs and the risk for failure is low. Because of its networks, Bonpaku was able to provide its program partners with enough support especially with regard to the formulation of their event programs. Consequently, their participation in Bonpaku has allowed the program partners with the opportunity to gain experience and build confidence in their ability to implement programs, and conduct trials of their programs before its implementation. This situation was further encouraged by Bonpaku training and individual consultations for program partners conducted by the Bonpaku EC.

4.1.3 Characteristics of Community Capacity

The change in the characteristics of community capacity in Miyakonojo City was also observed by the implementation of the Bonpaku. The more Bonpaku expands in Miyakonojo City and the more it is recognized by citizens of Miyakonojo City, the more significant changes are shown to characteristics of its

community capacity.

For instance, effecting change in the core members of the community is vital and indispensable to strengthen their sense of community. In Miyakonojo City, MCDC has played a significant role in instilling the desire to make the region lively and create togetherness in the community as the core values of the city. From the beginning, MCDC was established in order to revitalize the center of commercial area of Miyakonojo City. Although its staff believed that their goal was beyond their area of jurisdiction, they still actively searched for new approaches that would help them in their task. Eventually, they found the Onpaku Approach. Reconfirming their goal to revitalize Miyakonojo City through the use of its local resources, the group soon created the Bonpaku Secretariat and EC. The Bonpaku secretariat of MCDC and Bonpaku EC members share the common vision of revitalizing of Miyakonojo City. This has become a strong driving philosophy for the implementation of Bonpaku.

The commitment of MCDC in the implementation of Bonpaku for revitalization of Miyakonojo City was confirmed through their attendance in the first training program organized by Japan Onpaku. The staff members of MCDC acquired knowledge regarding the DHO Exhibition Approach, its implementing system, planning, implementation and evaluation of the event and its utilization for the revitalization of a rural community. They also recognized importance of utilization of local resources during the DHO Exhibition implementation and acquired knowledge on the utilization of resources for revitalization of Miyakonojo City. This training experience has become core foundation of the Bonpaku secretariat and EC for the implementation of Bonpaku and founded their ability of to implement it.

The recognition of Bonpaku by the program partners and Miyakonojo citizens as a tool for the revitalization of the city was promoted through the implementation of the Bonpakus in 2008 and 2009. The vision of Bonpaku was communicated in the event's brochures and the website. These tools were widely distributed and promoted to the citizens and organizations in Miyakonojo City. Similarly, fifteen media and public relation companies significantly helped disseminate the goal of Bonpaku and programs. The participants also did their share by spreading the word about their participation in Bonpaku. Eventually, the community of Miyakonojo City gradually and steadily suffused Bonpaku's goal.

The ability of Bonpaku EC and Bonpaku program partners developed through the experience of planning, implementation and evaluation of Bonpaku and utilization of Bonpaku for revitalization of Miyakonojo City. First Bonpaku may have been conducted through the extensive advice and direction of Japan Onpaku, but its success gave the Bonpaku secretariat and EC as Bonpaku organizers and Bonpaku program partners as program providers the confidence and the ability to independently implement Bonpaku and for the revitalization of Miyakonojo City. Thus, the community conducted the second Bonpaku with an emphasis on the utilization of local resources including human, natural and historical resources, and networks that they established.

4.2 Development of Networks in Bonpaku

Figure 6 enumerates the networks of stakeholders of Bonpaku in Miyakonojo City in 2009. On the other hand, Figure 7 enumerates the stakeholders before the introduction and implementation of Bonpaku. This situation provides an interesting discussion for the Onpaku approach model not only because the development of networks is an interesting aspect of the model but also because networks are considered an important factor of the rural development approach.

Before Bonpaku implementation there were not clear connections or networks among MCDC, potential Bonpaku program partners and supporters. Some of them conducted their own activities based on their own interest in the community. Others would like to conduct some activities but they could not conduct their activities due to the some constraint. Some of them were interested in sharing local interesting

experiences, recognition of local rich resources or promotion of local products. Others are interested in promotion of local businesses. However most of their activities and their interests were not interacted or interrelated even though a few of them had some connection among them. They are not systematically integrated.

For example, before Bonpaku, the concern of MCDC was mainly with their counterparts such as shop owners in the central area of city. MCDC organized the One Store One Excellent Product project for the promotion of the sales of the stores in the central area of the City, but their members are limited to their concerned area and they already had connections from the past time. It is not to make new relations which they cannot imagine. NPO Sho'oji Gonda-no-kai actively conducted various activities to show their experience to the persons who are interested in their activities. However it is difficult for them to do this kind of activities beyond their scope of activities.

The implementation of Bonpaku changed this situation drastically. The MCDC's efforts to find active partners created an interesting result of participants to Bonpaku. How did they find potential program partners? How did they support partners to prepare programs? We describe these issues in the previous section. MCDC has become the tubercle of the networks which are created through the implementation of Bonpaku. Strong network was created between MCDC and program partners through the implementation of Bonpaku. This relation shares the common goal between them and both parties made efforts to accomplish Bonpaku programs. Supporters were also involved in this relation. In addition through the various occasion such as program meetings of the Bonpaku EC there were a lot of opportunities for program partners knew each other. Most of these relations among MCDC and program partners were newly created one and constitute the continuous networks. But most of them did not know before the involvement of Bonpaku. This kind of relation is also created between program partner and media such as TV and newspapers. These relations are not many but this kind of relation would not exist without the Bonpaku implementation. On the other hand tightening of the relation among groups which participated in Bonpaku programs was also observed. In order to implement Bonpaku programs as group member relation among members are strengthened.

5. Conclusion

The purpose of this paper was to examine how the DHO Exhibition Approach affected community capacity in terms of the rural development. The DHO Exhibition Approach is considered as an example of Miyoshi and Stenning's Community Capacity and Community Development Policy Structure Model that promotes alternative rural development. Then the DHO Exhibition Approach is described through a case study of Bonpaku in Miyakonojo City.

The process of the DHO Exhibition Approach adaptation, Bonpaku details and changes in the community brought by the introduction of the DHO Exhibition Approach are illustrated in the study.

5.1 Implications of this Research

The findings of the research have revealed several implications. First, the DHO Exhibition Approach can be easily applied to other rural community regardless of the kinds of challenges they face. In the case of Bonpaku, the introduction of the DHO Exhibition Approach and the decision to implement the program did not readily happen. However, the experience of local individuals, groups and businesses who participated in the event enabled them to grow their confidence with regard to 1) their ability to implement the program, and 2) further develop their programs. Ultimately, the development of community capacity can be observed in the case of Miyakonojo City as the result to the development of a solid network of individuals and businesses even if Bonpaku has only been implemented for just two years.

On the other hand the role of MCDC as the DHO Exhibition implementing organization has become significant through the development of the network in the course of the implementation of the program. Interaction and communications through MCDC with inside and outside of the community have increased tremendously. Furthermore the capacity of MCDC has increase as well as the capacity of community for introducing and implementing a higher value added and better well-being policy structure. Through concrete implementation of this systematically organized process, the community capacity is developed and results can be maximized.

As we have seen, the DHO Exhibition Approach was easily adopted by Miyakonojo City. As the DHO Exhibition Approach is now being introduced to more rural communities the results of this study could be further verified. But in this case, the DHO Exhibition Approach proves that it can not only be readily to be applied to rural communities but it can also develop community capacity for the rural development within a short period of time. The DHO Exhibition Approach has a large potential for success when adopted by communities regardless of their current situation.

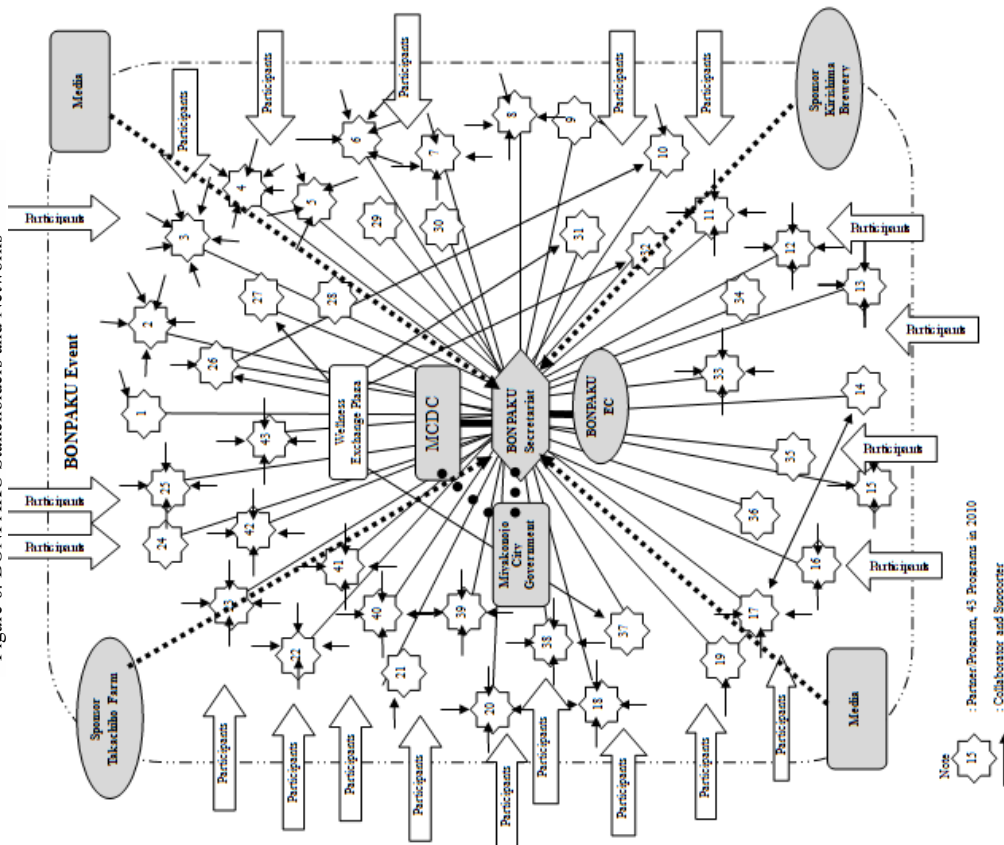
5.2 Recommendations and Prospects for Future Research

As it has been established, present rural development approaches have some limitation that has led to a great disparity between urban and rural community in terms of development. The Community Capacity Development and Community Policy Structure Model can serve as an alternative rural development approach because it focuses on the community as primary unit of analysis, and the operational and managerial unit for the rural development.

In this research the DHO Exhibition Approach was considered as a specific example of the abovementioned approach. The study also further identifies Bonpaku as the case study of the research. However, the orientation of the research is mainly from the viewpoint of the implementing organization, further studies should investigate the approach from the perspective of the other stakeholders, especially with regards to the events program partners. Furthermore, there is a need for additional clarification in terms of the changes and development of the program partners. It would also be interesting to note in future studies, how the implementation of the event affects surrounding communities and if they also manifest a change in community capacity. The studies from the viewpoint of the network development are also important and significant. Ultimately, the challenge is be able to describe the changes in Miyakonojo City through Bonpaku as a whole.

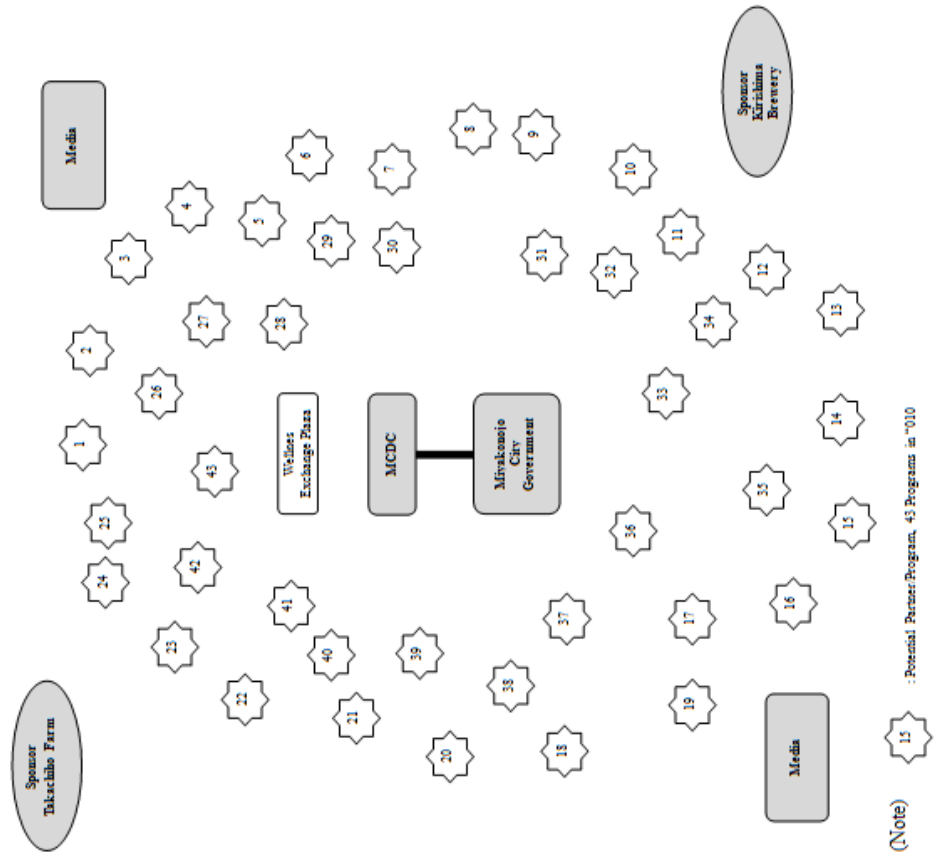
Finally, at this point when the DHO Exhibition Approach is being introduced and applied to other rural communities in Japan or out of Japan, it would be interesting to compare the similarities and differences in its adoption and implementation. On the other hand we observed various modification and revision of original ideas of Japans experience of Onpaku by using the DHO Exhibition Approach in JICA training programs for rural development we conducted. These modifications and revisions, for example, emphasize decentralized and hands-on aspect but they select urban oriented but collaboration with rural producers program and nationwide exhibitions at main producer and service provider places by introducing potential consumers. Therefore, further studies in these communities are necessary in order to supplement the knowledge of the DHO Exhibition Approach and help solidly establish it as a potent rural development model that builds community capacity development.

Figure 6: BONPAKU Stakeholders and Networks



Source: Created by the authors

Figure 7: Potential BONPAKU Stakeholders before BONPAKU was held



(Note) 15 : Potential Partner Program, 43 Programs in 2010

Source: Created by the authors

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**PART VI:
INITIATIVES FOR
RURAL DEVELOPMENT**

Analyzing Community Capacity Building in Local Policy¹

Cindy Lyn Banyai
Refocuse Institute

1. Participatory Local Governance for Development

The aims of development and policy-making should be to make our lives easier and more fruitful, to make our spaces safer, and to provide for a sustainable future. As many involved with development have recognized, these goals must be achieved through a focus on the local community (Friedmann 1992; Fukuda-Parr et al. 2002; Weisman 1998) and the localization of actions and policy (High and Nemes 2007; Stokely 1985; Woodlard 1992; Robinson 1997). However, as governance and development aid have been moving toward local consideration, many failures and missteps have been made, largely due to a lack of understanding about community capacity and the ability to build programs around it (Mendis-Millard and Reed 2007; Balassanian 2006; Frederickson and London 2000). Many of these issues can be addressed through participatory governance and community capacity assessment, whereby local stakeholders share control of poverty alleviation policy-making. This concept is supported by many international development organizations, including the World Bank (Cling et al. 2002; Rietbergen-McCracken and Narayan 1998; Salmen and Kane 2006).

While it is necessary to include local stakeholders in a proactive way to ensure the success of development and the prudence of policy, this does not mean that their involvement occurs without the assistance of the government. Without the involvement of the governing body, particularly the local government, improvements in the lives of the poor cannot be successfully undertaken (Friedmann 1992). Local empowerment requires a strong state that is responsive and accountable to its citizens (Friedmann 1992). It is for this critical reason that consideration of community capacity building in policy making is being made here.

This chapter looks at the community capacity-building potential in a local policy structure, contributing to the discussion on how to analyze a local policy structure comprehensively for community development. First some general community capacity-building strategies are described, then to clarify how these strategies are identified in a local policy structure, the case of Pagudpud, Philippines and its 10-K Initiative is analyzed. The case study demonstrates how to use the logical framework to clarify a local policy structure and identify community capacity building potential within it.

The clarified policy structure is then analyzed through an assessment of Pagudpud's community capacity using the framework introduced in Chapter 16 ("Community Leadership: Lessons from an island village"). The assessment reveals how the 10-K Initiative affects community capacity in Pagudpud and can be considered a mid-term evaluation of the policy's progress. This chapter concludes with some suggested improvements to the local policy structure from the perspective of community capacity building.

2. Strategies for Building Community Capacity

Community capacity is defined as the ability of a community to produce outcomes through its actors by using the resources (human, social, physical, organizational, and financial) at its disposal (based on

¹ Portions of this chapter were originally published in *Asia Pacific World* 1(2), Autumn 2010, under the title "Community Capacity Building and Local Policy: An Example from Pagudpud, Philippines."

Chaskin et al. 2001; Miyoshi and Stenning 2008). Community capacity can further be conceptualized as both a process and an outcome of intervention strategies (Mendis-Millard and Reed 2007; Saegert 2005; Chaskin et al. 2001); i.e. a cycle of actions exploiting local resources to build on community capacity attributes in order to achieve a more sophisticated local policy structure (Saegert 2005; as related to social capital, Putnam 1993; Putnam and Pharr 2000).

The attributes, or characteristics, of community capacity can be easily remembered through the acronym SCORE: S - sense of community; C - commitment; O - the ability to set and achieve objectives; and R - the ability to recognize and access resources; and E - evaluation and critical feedback (Banyai 2010; based on Chaskin et al. 2001; Miyoshi and Stenning 2008). All interventions and policies should be formulated around these attributes of community capacity. Let's briefly look at each in turn.

2.1 S-Sense of Community

The sense of community highlights a connectedness between community members and a recognition of a mutuality of circumstance (Miyoshi and Stenning 2008), and includes collectively-held values, norms, and vision (Chaskin et al. 2001: 14). Another way to describe the sense of community is as a feeling of belonging: members matter to one another and to the overall group (McMillan and George 1986: 9). This attribute fosters the development of the other characteristics of community capacity (Miller, 1992: 31).

2.2 C-Commitment

When people have a vested interest in a place, and have had for a relatively long period of time, they are usually willing to contribute to, and demonstrate concern for, it. Commitment is the willingness of individuals, groups, and organizations within the community to take responsibility for what happens there (Miyoshi and Stenning 2008). Furthermore, this means that the actors in the community see themselves as stakeholders who are willing to take action and participate (Chaskin et al. 2001: 15). This willingness to participate in community activities stems from a sense of community manifested as action, because "feelings of belonging and emotional safety lead to self-investment in the community (McMillan and George 1986: 15)."

2.3 O-Ability to Set and Achieve Objectives

Commitment falls short of producing overall community capacity if it fails to result in action. Another major function of a community is to address members' problems, as well as to set agendas for improvements. The ability of a community (through individuals, organizations, or networks) to identify issues and desires, and to devise strategies to attend to them, is crucial (Miyoshi 2006). The ability to resolve issues and attain goals is the visible manifestation of a community's capacity, and a community must be able to translate its commitment into action in order for it to have capacity in this respect (Chaskin et al. 2001: 16).

2.4 R-Ability to recognize and access resources

A community's resources include economic, human, physical, and political resources (Chaskin et al. 2001: 16). The ability of a community to obtain resources is a key element in the study of community capacity, as adequate resources are what generally determine a community's standard of living (Bordieu 2002).

2.5 E - Evaluation and Critical Feedback

This is the final attribute of community capacity and a new addition to the original Chaskin and colleagues conceptualization. Evaluation is an important part of the management cycle making it critical for effective

local governance and achievement of outcomes (Dokecki, 1983; Hobbs et al., 1984; Jahan, 2005; McMillan & George, 1986; United Nations Development Program - Management Development and Governance Division [UNDP], 1997). Critical feedback is a component of and necessary skill for evaluation. If critical thinking is suppressed or generally discouraged the potential for improvement and creativity in a community is stunted. Involving stakeholders in the process of planning and evaluation serves as a learning opportunity for all involved fostering the development of even more community capacity (Balassanian, 2006, p. 26; Jahan, 2005, p. 3).

Evaluation and critical feedback are necessary to conduct fruitful community dialogues, which are a precursor to community action and give voice (Mendis-Millard & Reed, 2007, p. 555-556). Open and productive community dialogue plays an important role in sustainable industrial development (Woodlard, 1992, p. 307), the identification of issues and strengths of the community (Bodorkos & Pataki, 2009, p. 1124), reflection and change (Bleiker & Kay, 2007, p. 151; Lykes, 2006, p. 275), and the development of leadership (Wituk, Ealey, Clark, Heiny, & Meissen, 2005, p. 91; Millar & Kilpatrick, 2005, p. 21). There needs to be evidence of mechanisms for community dialogue allowing critical feedback to say a community has capacity in this respect.

Table 1 provides an outline of some indicators for the assessment of community capacity attributes. These indicators are based on the previous descriptions of the attributes, which is based largely on the work of Chaskin and colleagues (2001). These indicators are used to guide the analysis of community capacity. Although these indicators are a useful guide in community capacity assessment, is prudent to provide more situational and case-relevant indicators for each evaluation.

Four general categories of strategies are used to develop community capacity: (1) leadership development, (2) organizational development, (3) community organizing, and (4) inter-organizational collaboration (Chaskin et al. 2001; see also Saegert 2005). Leadership development involves cultivating the

Table 1: Community Capacity Attribute Indicators

Community Capacity Attribute	Criteria
<i>S – Sense of Community</i>	<ul style="list-style-type: none"> • Overall goal/vision • Recognition of mutual circumstances • Evidence of trust among members • Positive relationship between members • Shared sense of identity
<i>C – Commitment</i>	<ul style="list-style-type: none"> • Responsibility taken for community situation • Members recognize themselves as stakeholders • Active participation in community activities
<i>O – Ability to set and achieve objectives</i>	<ul style="list-style-type: none"> • Issues/desires identified • Plans for action in place • Progress made towards goals • Some past objectives achieved
<i>R – Ability to recognize and access resources</i>	<ul style="list-style-type: none"> • Variety of types of resources • Multiple ways to access various resources • Recognition of indigenous resources • Use of Indigenous resources

Source: Banyai 2010, based on Chaskin et al., 2001; Miyoshi and Stenning, 2008

skills, commitment, engagement, and effectiveness of people (Chaskin et al. 2001) and the progress toward the development of community leadership (see Chapter 16). Organizational development is the creation or strengthening of local organizations (Chaskin et al. 2001). Community organizing focuses on network building and the motivation of stakeholders (Chaskin et al. 2001). Lastly, inter-organizational collaboration develops relationships and partnerships of organizations to build the organizational infrastructure of the community (Chaskin et al. 2001). By incorporating these dimensions while constructing policy, community capacity can be built, and more successful and sophisticated outcomes can be achieved.

2 Case Introduction - Pagudpud²

Pagudpud has a population of 21,857 people, 3,804 households, and a stagnating population growth rate of less than 1 percent, according to national statistics (Socio Economic Profile [SEP] 2006; National Statistical Coordination Board [NSCB] 2010a). Pagudpud is the third largest municipality in Ilocos Norte, with a total land area of 194.90 km² (SEP 2006; NSCB 2010a). There are 16 barangays, of which Pancian is the largest and Poblacion 2 the most densely populated (NSCB 2010a). The barangay is the smallest unit of governance in the Philippines. It was the traditional governing unit, and was reinstated by Ferdinand Marcos in the 1970s in an attempt to re-assert Filipino identity. Almost one half of the total land area of Pagudpud consists of mountainous areas (SEP 2006), 70 percent of which is forested (M. Sales interview 2007, August 15).

Pagudpud is underdeveloped. It is classified as a fourth-class municipality, meaning that the average annual income of the municipality is between 25 and 35 million pesos (approximately \$US540,000–756,000)(NSCB 2010b). There are six classes of municipalities in the Philippines, with first class being the richest and sixth class being the poorest (NSCB 2010b). This makes Pagudpud moderately impoverished by Filipino standards.

There are no major facilities or conveniences within the municipality of Pagudpud. There are many small shops around the town that serve the basic needs of the local people (“local” meaning the whole municipality). Many other goods can be purchased or traded at the newer market, built in 2004, which is adjacent to the pink-orange municipal office complex, and at the traditional market situated behind the complex. Market days are Monday, Wednesday, and Saturday. Some vendors run their stalls all week long, although most stalls remain vacant on non-market days (Homestay Association member interview 2007, August 17). Still many people buy their goods at the larger market in Bangui or travel to Laoag City, the closest major city to Pagudpud, to purchase major secondary items.

Several of the barangays are on the coast, and derive their income from farming, fishing, handicraft production, and a blossoming tourist industry. Handicraft markets, small restaurants, hotels, and other small shops line the road and huddle near the tourist attractions in these areas. Due to an increase in the number of tourists visiting Pagudpud in the high season (February through May), a few homestays have also been established to provide affordable lodging, and a supplementary income for local residents.

The overall hard infrastructure of Pagudpud seems to be well maintained, including the national highway, smaller, locally-maintained roads, public buildings, and electricity and water supplies. Although the infrastructure is intact, there are some supply issues when it comes to water and electricity. There are frequent brownouts during times of high electricity consumption, and complete blackouts during inclement weather. While 100 percent of the barangays and 85 percent of the households have access to electricity (SEP 2006), household and business freshwater supply is sometimes problematic, even though there are

² An introduction to Pagudpud is drawn from a paper presented by the author at the XII World Congress of Rural Sociology, July 6–11, 2008 in Goyang, South Korea through the International Rural Sociology Association under the title “Uncovering Community Capacity for Poverty Alleviation and Rural Development.”

few problems with irrigation. Housing stocks are generally conservative, consisting of wood or brick construction with thatched or corrugated-iron roofs.

Other social services in the municipality include two hospitals, one rural health center, five health stations, and seven health sub-stations. As for the education sector, there are sixteen daycare centers, twelve elementary schools, three complete primary schools, six incomplete primary schools, three public secondary schools, and one private secondary school (SEP 2006).

Transportation within and through the municipality relies largely on public transport. Inter-city buses make stops along the national highway, and tricycles, which operate through personal contacts and through the tricycle post in the town center (operated by the tricycle drivers' union, PATODA), can be individually hired. Many families also have access to their own private transportation, mostly tricycles; some have a car or a light truck.

The governance structure of Pagudpud is consistent with similar municipalities around the Philippines, with the local chief executive being the mayor. The local legislature is known as the Sangguniang Bayan (SB) and consists of the vice-mayor, eight councilors (kagawad), the youth council (Sangguniang Kabataan (SK)) president, and the Liga ng mga Barangay (League of Barangays) president. Together, the mayor and the SB are called the local government unit (LGU). LGU members are elected to three-year terms and cannot serve more than three consecutive terms.

3 The 10-K Initiative

The 10-K Initiative - a vital cornerstone of the local policy of Pagudpud - is a set of projects and programs designed to foster the overall development of the community, largely by focusing on the nascent tourism industry. The policy was conceived and implemented by the mayor of Pagudpud, Marlon T. Sales, with the cooperation of the rest of the LGU and local citizens. It should be noted that this policy initiative is a lens through which the mayor is casting multiple components of the local policy structure, and is continuously being amended. The entire policy structure of Pagudpud includes various localized programs and projects of the national government of the Philippines, as well as other policies deemed necessary by the LGU. For the sake of clarity, this work will look only at a few of the projects that were identified by the mayor as part of the 10-K Initiative, and their relationship to community capacity in Pagudpud.

The 10-K Initiative is outlined using a logical framework, which is an organizational tool for policy management (JICA 2004; Razafindrakoto and Roubaud 2002), and is analyzed for community capacity-building potential utilizing the abridged Chaskin framework presented earlier in this chapter³. It should be noted that the logic framework is used in this analysis of the 10K-Initiative, but is not necessarily routinely used by the mayor in the execution or creation of the policy.

Local leadership is crucial to making progress in a community (Laslo and Judd 2006) and is one of the compelling reasons for analyzing the capacity-building potential of local policies such as this. The next few paragraphs briefly introduce the local chief executive of Pagudpud, Marlon T. Sales. (The mayor's brother, Teteng Sales, was the previous mayor, so the current mayor will be referred to as "M. Sales.")

Mayor M. Sales began his tenure in 2001 and, at the time of this analysis (early 2008), was embarking upon his third and final term. Mayor M. Sales is concerned about the continuity of his policy and the ongoing development of Pagudpud, and is therefore supporting his wife, Emelin Garvida Sales, in the October 2010 mayoral race⁴ (M. Sales interview 2008, May 2).

³ The research for this case was completed before the "E" in SCORE was added to the community capacity assessment framework and therefore is not included in the case study analysis.

⁴ Emelin Sales was unsuccessful in her bid for mayor of Pagudpud in 2010. Marlon Sales's sister-in-law, Matilde Sales won the election.

Mayor M. Sales is not a native to the municipality, but is part of the ruling political family in neighboring Bangui, of which Pagudpud was a part of until 1954. Although many mayors in the Philippines have a reputation for entrenched politics and a “do-nothing, this-is-the-way-it-is” attitude, Mayor M. Sales set himself apart as someone who is truly concerned about the development of Pagudpud and the improvement of life there, even winning a national award for public service in early 2008.

Mayor M. Sales began his term with good intentions, but he had trouble formulating effective projects, enacting proactive policies, and motivating his constituents to become involved (M. Sales interview 2008, April 17; 2008, May 2; E. Sales interview 2007, August 17). These problems are typical among conscientious administrators. In response to this, Mayor M. Sales created the 10-K Initiative to solidify his policy aims and to inspire action by the community.

The 10-K Initiative is guided by a set of words in the local language, Ilocano. The 10Ks serve as goals and stimulation for local policy development. They are as follows:

1. Kammayet—unity
2. Kinatalna—peace
3. Kinaurnas—peace
4. Kinapundo—truth
5. Kinalintag—justice
6. Kinadalus—cleanliness
7. Kinasatun-at—health
8. Kinaspasnet—sincerity
9. Kinarong-ay—progress
10. Kinaragsak—joy/happiness

The English translations, rendered by an assistant of Mayor M. Sales during the filming of a portion of a multimedia presentation for the promotion of the 10-K Initiative (on 27 September 2008), reflect the meaning of the words to those involved in cultivating and promoting the policy. K number 2 and 3 are both translated into English as peace, but each have a special significance to the local people. These broad ideas are used to generally frame the mayor’s policy, which largely focuses on the development of the tourism industry in Pagudpud. Furthermore, “Support the K initiatives” has become a slogan to rally community members to get behind various development and social activities (M. Sales interview 2008, September 27).

10-K Initiative components that are discussed here are: the Pagudpud Volunteers for Progress (PVP), the waste-removal program, the 10-K Initiative promotion, the “K” therapists (see below), weaver training, homestays, and the Most Outstanding Barangay Evaluation. These parts of the policy are discussed here because they contribute directly to the development of community capacity in Pagudpud and were specifically identified by Mayor M. Sales as components of the 10-K Initiative. Furthermore, the specific community capacity-building strategies that they employ can be readily identified.

Table 2 outlines the 10-K Initiative. Each policy element is outlined according to the logic framework, which shows the inputs of each project or program and follows them through to their affiliated intermediate outcomes. The “Ks” of the 10-K Initiative are the desired end outcomes for the entire community and the various projects and programs of the local policy structure. Although a specific project may only contribute directly to one or two of the “Ks”, the policy as a whole uses the 10-Ks to guide the formulation of projects and programs. To the right of the logic framework analysis for each component the corresponding community capacity-building strategy is indicated. A discussion of each policy segment follows Table 2.

The Pagudpud Volunteers for Progress (PVP) organization was conceptualized to help promote volunteerism and to support the policies of the mayor. The PVP is headed by its president, Mr Edimar

Table 2: 10-K Initiative Policy Structure

End Outcomes	Intermediate Outcomes	Outputs	Activities	Inputs	Community Capacity-Building Strategy
<i>Kamayyet</i> – unity <i>Kinatalna</i> – peace <i>Kinaurnas</i> – peace <i>Kinapundo</i> – truth <i>Kinalintag</i> – justice <i>Kinadalus</i> – cleanliness <i>Kinasatun-at</i> – health <i>Kinaspasnet</i> – sincerity <i>Kinarong-ay</i> – progress <i>Kinaragsak</i> – joy/happiness	Pagudpud Volunteers for Progress				
	Build community capacity Increased volunteerism spirit	Organization to coordinate volunteer activities 34 blood donors	Promotion of the 10 K initiatives Blood Drive	Organize association Red Cross Blood Workers Public Space	<i>Organizational development</i> <i>Inter-organizational collaboration</i>
	Waste-Removal Program				
	Cleaner municipality Build community capacity Additional income source	Fertilizer NGO Waste legislation still not passed, Garbage Truck Promotion of 10- K Initiative	Organized organic fertilizer NGO Introduction of waste separation legislation Purchased garbage truck with K slogan	Program concept	<i>Organizational development</i> <i>Community organizing</i>
	10-K Initiative Promotion				
	Build community capacity	Direct community vision	Promotion of the 10-K Initiative	Multi-media presentation of the 10-K Initiative Slogan tee-shirts	<i>Community organizing</i>
	“K” Therapists				
	Increased tourism Links between policy and livelihood	Group of “K” therapists to coordinate with tourism activities	Promotion of the 10- K Initiative	Organization of “K” therapists group	<i>Leadership development</i> <i>Inter-organizational collaboration</i>
	Weaver Training				
	Better quality and design of weavings Higher income for weavers	Better skilled weavers	Training for weavers	Funds and experts from Department of Tourism Organization by Tourism Committee	<i>Leadership development</i> <i>Inter-organizational collaboration</i>
Homestays					
Increased tourism More tourist facilities Increased income for women and seniors	Establishment of homestays Homestay Association	Organization of homestay association Training for homestay operators	Funds and experts from Department of Tourism Coordination of the Tourism Committee	<i>Organizational development</i> <i>Leadership development</i> <i>Inter-organizational collaboration</i>	
Most Outstanding Barangay Evaluation					
More information about conditions in each <i>barangay</i> Incentive for policy compliance More community participation	Trained evaluators Completed program evaluation Selection of Most Outstanding <i>Barangay</i>	Training of evaluators Most Outstanding <i>Barangay</i> Evaluation	Organization of evaluation Organization of evaluator training	<i>Community organizing</i> <i>Leadership development</i>	

Ubaso, a former SB member and construction contractor (civic leader interview 2008, May 1; M. Sales interview 2008, May 2). The objectives of the organization are to fortify base support and understanding of the 10-K Initiative and to conduct community-oriented activities such as the annual blood drive. The creation of the PVP is part of the mayor's policy and can be considered an organizational development strategy that contributes to community capacity. Furthermore, the activities that the PVP conducts help to bridge the gap between various organizations and people within Pagudpud, for example by contacting the Laoag branch of the Red Cross for blood drives. This is an example of inter-organizational collaboration, another community capacity-building strategy. Although the PVP can be considered a part of the development of community capacity in Pagudpud, its collaboration with local organizations is minimal at this time. Additionally, its propensity to be seen as a mere political mouthpiece for the mayor may counteract its effectiveness for true vision-setting and community capacity building.

The waste-removal program started in December 2005 with the waste-separation proposal Mayor M. Sales made to the local legislature (M. Sales interview 2008, September 27). The project aims to generate public awareness of trash collection and the separation of recyclable goods. It also includes components for the development of sustainable organic fertilizer that would be both economically and environmentally beneficial (M. Sales interview 2008, April 17). However, due to political infighting and a lack of public understanding about the benefits of the program, it has stalled in the local legislature. Some redeeming components of this program include the organization of an organic fertilizer NGO—an organizational development strategy—and a garbage truck featuring the “Support the K initiatives” slogan, which can be considered a community-organizing strategy. Although this project is not being implemented as successfully as it could be, the efforts toward community capacity building can be seen.

The 10-K Initiative promotion is an effort by the mayor to promote a collective vision within the community of Pagudpud. The promotion includes actions by the PVP, T-shirts supporting the 10-K Initiative during PVP activities, and the creation of a multimedia presentation to further explain the initiative to the public and to appeal to higher levels of government for support and funding (M. Sales interview 2008, September 27). The promotion is somewhat ad hoc, but is incorporated into various other parts of the mayor's policy and is clearly visible throughout Pagudpud.

The PVP is a form of basic community organizing because it has the intention of motivating people to become active in the opportunities, activities, and projects that are a part of the 10-K Initiative, as well as fortifying the overall sense of community through the sentiments of the 10-Ks.

The “K” therapists are a group of people involved in various tourism activities around Pagudpud, and they include the Homestay Association, the shell craft-makers, and other vendors. Representatives from the various sectors were introduced to the 10-K Initiative and asked to voice their support for it throughout the community, as well as to act as the link between the local tourism operators and the LGU (M. Sales interview 2008, September 27). This group was organized to solidify the community's vision of being a prominent tourist destination. This action constitutes a kind of leadership development because it encourages participation and promotes commitment to the ideals of the 10-K Initiative. It is also a form of inter-organizational collaboration because it brings together several branches of the tourism industry. Interestingly, this is one of the only portions of the 10-K Initiative that serves to provide collaboration between local groups in Pagudpud that are on a relatively similar level of governance, as opposed to the other inter-organizational collaborations—such as those concerning weaver training and homestay training—which are between community-level groups and national government agencies.

Mat weaving using rattan is a traditional skill in Pagudpud. The mats are generally for home use and are made for personal consumption. There is, however, great potential for this skill to be utilized to generate income. This potential was identified by the Tourism Committee as a resource that can be tapped

and enhanced to provide unique local goods for tourists (Homestay Association member interview 2007, August 17). It was on this basis that the Tourism Committee and the LGU collaborated with the Department of Tourism to provide training in dying and handbag design for local weavers (Homestay Association member interview 2007, August 17). The inter-organizational collaboration between the weavers, the Tourism Committee, the LGU, and the Department of Tourism is clear; this training can also be described as a leadership development strategy in terms of its contribution to local skill enhancement and the encouragement of market and community participation.

Due to limited investment in large-scale hotel and tourist operations, and a high demand for accommodation by tourists, homestays were established in Pagudpud as a means to promote tourism, as well as to generate income for local people—mainly women and senior citizens, who rent rooms in their homes to out-of-town guests. The Tourism Committee noted the sizeable discrepancy between local homes and the standards that tourists expect, so they organized the homestay operators into an association and coordinated with the Department of Tourism to provide hospitality training. The Department of Tourism provides accreditation to operators who complete the training and then maintain the department's standards. The Homestay Association also sets accommodation standards, and monitors compliance with them (Homestay Association member interview 2008, October 9). These homestays contribute to community capacity through the organizational development of the Homestay Association, leadership development through the training and activities within the association, and inter-organizational collaboration between the Homestay Association, the Tourism Committee, the LGU, and the Department of Tourism. This component of the 10-K Initiative incorporates many aspects of community capacity building and can be considered a model for program construction that takes community capacity aspects into consideration.

The Most Outstanding Barangay Award is a yearly review of the situation in each of the 16 barangays of Pagudpud. LGU staff train people from each barangay on how to conduct the household survey, which provides basic information on the situation in the barangay such as the number of births and deaths, and on issues like the provision of toilets (Homestay Association member interview 2008, October 7). This evaluation is also an opportunity for each barangay to show the progress they have made on those projects requested and rendered by the municipality, in addition to their own barangay-level initiatives (M. Sales interview 2008, September 27). This information is then used to evaluate the overall policy of the municipality, to identify needs, and to create new projects for the following year. Based on the results of the evaluation, an award for the Most Outstanding Barangay is given to the barangay that has progressed the most and has been most compliant with municipal policy (M. Sales interview 2008, September 27). Although the survey itself does little in the way of actually building community capacity, training local people to administer the surveys is a form of leadership development and awareness building for those involved. Furthermore, the use of the evaluation to award one barangay provides motivation for barangay officials to make improvements in their area and to collaborate with the LGU to create projects that will meet their needs. Thus, it is a strategy for community organizing.

Through the 10-K Initiative, great strides have been made in the areas of organizational development and preliminary leadership development. Instances of inter-organizational collaboration are largely orchestrated by the LGU between local organizations and the national government. What can be said at this time is that this policy structure is currently being implemented and is continually evolving. There is potential for the community capacity-building groundwork that has been laid to be improved upon.

Greater community capacity leads to more community outcomes, which in turn leads to increased community capacity (Miyoshi 2006; Mendis-Millard and Reed 2007)

Increased levels of community capacity lead to more sophisticated community activities (Miyoshi and Stenning, 2008) and, therefore, contribute to development and poverty alleviation. Pagudpud has

formulated the 10-K Initiative with the vision of creating a thriving tourist destination without alienating the interests of the community.

As mentioned, this section has highlighted how a local policy in a developing country can be analyzed for community capacity-building potential through use of the logic framework and the community capacity-building strategies as identified by Chaskin and colleagues (2001).

4 The Community Capacity of Pagudpud⁵

The following section describes the condition of community capacity as of May 2008, and is a compilation of qualitative data gathered from in-depth interviews, a community survey, and various unstructured interviews with key informants (Patton 2002; Oppenheim 1992; Rapley 2007). By using conversations, interviews, and observations, a comprehensive view of the community can be determined (Patton 2002; Bornat 2007). This qualitative and holistic interpretation of the condition of the community is more comprehensive and useful for community-level planning and evaluation than relying solely on economic, administrative, or other aggregate indicators, which can often be out of touch with the daily lives of local people.

In-depth, structured interviews of 100 questions (per interview) relating to community capacity within the municipality were conducted with seven informants: the mayor, a high-school principal, a civic leader, a furniture maker, a housewife, a mat weaver, and a fisherman. The mayor and the civic leader were selected as key informants. The principal was selected because he is outside the mayor's circle. The remaining interviewees were willing community members, selected through the research assistant's personal network.

The respondents were chosen in order to provide a wide range of views on the community. The interviewees' occupations, such as fishing and the local service industry, are typical of the municipality. The ages of the respondents range from 32 to 55; with the median age of the province being 25, this means that the respondents' age span represents about 34 percent of the total population, and that they are representative (55.4 percent) of the adult population of the province⁶ (Ericta 2010). Although there are slightly more men in the province than women, 50.4 percent to 49.6 percent (Ericta 2010), the interviewees are disproportionately male (only two respondents are female). This means that the women's perspective may not be adequately captured in the interviews.

The area of the municipality from which each respondent hails was also considered in their selection. This consideration ensures that many areas of Pagudpud are represented and that the responses are not dominated by the views of semi-urban residents in Poblacion 1 and 2, allowing the circumstances in the rural areas of the municipality to also be explored. With these limitations in mind, it can be said that these interviewees come as a result of purposive sampling (Weiss 1998: 164).

The survey, or Focal Point Questionnaire (FPQ), has 18 short but open-ended questions relating to community capacity, and has been completed by 53 people attending the municipal festival. The purpose of the FPQ was to gather brief information about aspects of community capacity from a wide variety of community members. The questionnaire was designed to be quick and to provide only a modest amount of information, so it may be defined as a mini- or informal survey (Kumar 1987: 1990). The people conducting the FPQ stationed themselves at one "focal point" within the community, which is a form of

⁵ A portion of the analysis of the community capacity attributes of Pagudpud is drawn from a paper presented by the author at the XII World Congress of Rural Sociology July 6–11, 2008 in Goyang, South Korea through the International Rural Sociology Association under the title "Uncovering Community Capacity for Poverty Alleviation and Rural Development."

⁶ Age representativeness calculated using provincial level statistics from 2007 because data related to age on the municipal level was not available at the time of writing.

opportunistic and convenience sampling (Weiss 1998: 254). The focal point in this case was the municipal festival, which was held for one week near the municipal complex. In particular, surveys were administered on the special farmers' and fishermen's night of the town festival in order to include their views. The concept behind the FPQ is to gather information from a broad spectrum of people within the community, so it could also be considered purposive sampling (Weiss 1998: 164).

The surveyors were briefed as to the purpose of the questionnaire, as well as on techniques of administering a survey. Special consideration was made to ensure the understanding of the English terms and to clarify some possible related local terms, as well as to clarify the intention of each question. The survey administrators were further instructed to be careful not to lead respondents to desired responses, and to report all answers as accurately and succinctly as possible. This was particularly important, because interviewers often edit the answers to open-ended questions (Kumar 1990). The FPQ was administered orally, with administrators writing the answers on the FPQ question sheets. This was done to ensure the clarity of the responses, and to facilitate the understanding and intention of the questions, as well as to reach as many demographics of people as possible within Pagudpud, including those who were illiterate or unable to speak English. Respondents could remain anonymous if they so chose.

There were 25 male respondents (47.2 percent) and 28 female respondents (52.8 percent), meaning that the opinions of women are slightly more prominent in the FPQ. Having the FPQ favor the female perspective helps to balance out the male-dominated in-depth interviews.

The respondents represent diverse occupations across the municipality, with a heavy concentration of the most prevalent occupations: fishing, farming, and the service industry. Interestingly, all of the respondents who identified themselves as farmers were men, while a majority of service industry workers were women.

The most densely-populated barangays in Pagudpud are those closest to the plaza and Municipal Hall, namely, Poblacion 1 and Poblacion 2 (SEP 2006). Ligaya and Saud are the adjacent barangays to Poblacion 1 and Poblacion 2, and also have high population concentrations. In all, 37.7 percent of the respondents hail from these population centers. A further seven respondents hail from Balaoi, a resort area that is also home to a significant number of fishermen, who may have been attracted by the farmers' and fishermen's night at the festival. A similar phenomenon can explain the high amount of respondents, five, from Pasaleng. Overall, the distribution of respondents across the barangays is relatively representative.

Although the FPQ renders quantitative data, the questions are open-ended to illicit responses that are more qualitative in nature. There are, however, some limitations with using this method of data-gathering that should be acknowledged. Due to the small sample size and the brevity of the survey, the results do not allow for elaborate statistical analysis, so credibility may be an issue, and the results cannot be extrapolated into generalizations (Kumar 1990: 6). However, since this survey was conducted as part of a case study, there is no intention to generalize the results. The objective of the survey was to attain a general understanding of community capacity in the area. Furthermore, since the bulk of the interview data for the case study came from key informants, particularly those acquainted with the mayor, there was concern that the information gathered would be tainted by elite bias (Madey 1982: 231). In order to obtain data that would counterbalance this, the FPQ was designed and executed.

Coding presents another limitation to this method. It is understood that open-ended questions are difficult to code (Kumar 1990: 11). However, since the purpose of this survey is to provide a general understanding of community capacity, this limitation is noted and accepted. Efforts have been made to ensure that the coding categories, and the way that the data has been inserted into them, are true representations of the respondents' voice (Weiss, 1998: 168).

For the purpose of this analysis, the responses to the nine questions specifically related to the attributes of community capacity will be examined. The remaining nine questions in the FPQ deal with the actions, agents, and contextual influences found in the community. These are additional components of the abridged community-capacity framework, and thus are not addressed in this work (for a full analysis, see Banyai 2010). Table 3 lists the FPQ questions about the attributes of community capacity as they were posed in English. Translations into Ilocano or Tagalog were made as required by the survey facilitators. Table 3 also displays the coded responses to the attribute questions of the FPQ, including the total number of responses to each question. The FPQ was designed to provide qualitative data that can describe trends and themes (Weiss 1998: 83) in public sentiment in Pagudpud on issues related to community capacity. The specific answers rendered by the respondents were coded and put into categories that capture the main themes of the data (Weiss 1998: 168). However, rather than assigning arbitrary numerical values to each category, the total number of responses in each category was used to gauge the relative importance of each theme.

Table 4 describes the aggregated analysis of the community capacity attributes of Pagudpud. This analysis also includes some information that was gathered through unstructured interviews (Patton 2002; Weiss 1998: 167) with the mayor and his wife and a member of the Homestay Association. Information gathered using this method is reflected here because it was often very pertinent, reflecting the true situation of the community and its capacity. The attributes are discussed in more detail in the following paragraphs.

5.1 S-Sense of Community

(Note: Some respondents provided more than one answer to the questions, so the analysis is based on the total numbers of responses, and may not directly represent the number of respondents. See Table 3 above for more information regarding the number of responses to each question.)

There is some sense of community in Pagudpud: 72 percent of the FPQ responses in relation to the overall goal or vision of the people reported statements relating to progress, tourism, or a better way of life. Two respondents stated their goal was for Pagudpud to be well known in the world—most likely for the benefit of tourism, as another six responses indicated. One respondent shared his vision “for every Pagudpudian to have a sustainable and stable living and a way to prosperity and progress.” This is a bold vision, and expresses a common sentiment among Pagudpud residents.

The second indicator of a shared sense of identity is also present in Pagudpud: 81 percent of the FPQ responses indicated that hospitality, friendliness, and cooperation were traits that people in Pagudpud shared. While most of the respondents provided only personality traits to describe their identity, the consistency of these answers shows that these are widespread values held by community members, which form an important part of their sense of community. However, 13.8 percent of the responses were related to work, which is another factor in the identity of Pagudpud community members.

The sense of community encompasses a feeling of friendliness and familiarity among the people. A collective identity as Ilocanos exists among the community members of Pagudpud (civic leader interview 2008, May 1), but this collective identity is not necessarily specific to Pagudpud. Often, people identify themselves chiefly with their barangay. This is particularly true for people who live in barangays farther away from the town center, such as Pasaleng and Pancian (high-school principal interview 2008, April 20).

There are no strong, over-arching principles, goals, or visions that guide the community yet, but many respondents noted that there is a shared interest in seeing progress and improvement in Pagudpud through developing the area into a notable tourist destination (as supported by the FPQ results) 2008; high-school principal interview 2008, April 20; M. Sales interview 2008, May 2; civic leader interview 2008, May 1), as well as a desire for peace (high-school principal interview 2008, April 20; civic leader interview

Table 3: FPQ Results

SCOR	Relevant Questions	Responses
S	What are some things that people in Pagudpud have in common? (total responses – 79)	Identity: hospitable/friendliness/cooperation – (64 responses) hospitable – 22, fond of merry-making – 1, friendly – 11, helpful – 5, can be trusted – 1, easy to get along with – 2, kind – 5, courteous – 2, cooperation – 6, unity – 3, accommodating – 1, lively – 1, respectful – 3, love – 1, people – 1 Identity: work – (11 responses) standard jobs and family – 1, having no job – 1, kinds of jobs – 2, hardworking – 7 Other – (4 responses) people are responsible – 1, are to be from Pagudpud – 1, some are bullies and some are good – 1, “ <i>kimmamaylg</i> ” – 1, nature lovers – 1
	Is there a shared vision of the people of Pagudpud? What is it? (total responses – 50)	Yes, progress/tourism/better way of life – (36 responses) promote tourism – 5, become a city – 5, to see progress in 10 years – 14, to have buildings and condos – 2, to be well known in the world – 2, “for every Pagudpudian to have a sustainable and stable living and a way to prosperity and progress” – 1, peaceful life – 1, “to see Pagudpud more beautiful for tourists” – 1, for Pagudpud to be a better place to stay – 4, to have a better way of living, No – (3 responses) No because of political instability – 2, no – 1 Other – (11 responses) if the politicians are cooperative and not corrupt there will be progress – 1, yes – 7, “ <i>panqagdur-as</i> ”, to have better unity – 1, to have officers who are not corrupt – 1
C	Do people in Pagudpud generally pursue interests in Pagudpud or do they feel they need to go outside Pagudpud? (total responses – 50)	In Pagudpud – (33 responses) Some go out to look for job opportunities of “greener pastures” – 32 (better job and higher pay), leave because of poor situation of town – 1 Leave Pagudpud – (17 responses) some prefer to stay because of the love for Pagudpud – 2, in Pagudpud – 11, stay to fight for survival – 1, no place like home – 1, Pagudpud is a paradise – 1, older people prefer to stay – 1
	Are people committed to Pagudpud? (total responses – 51)	Yes – 47 Other – (4 responses) not at all – 1, some are not – 2, maybe – 1
	Do people in Pagudpud take responsibility for the things that happen here? (total responses – 57)	Yes – 52 Other – (5 responses) some not all – 2, some – 1, slightly – 1, not at all – 1
O	If someone speaks of change in Pagudpud, how likely are things to change? (total responses – 49)	Unsure – (28 responses) no answer – 21, don’t know – 7 Local government – (6 responses) responsibility of the government – 2, peaceful change during elections – 1, if by officials and people – 1, depends on availability of funds – 1, through LGU – 1 Not likely – (12 responses) Not quite fast – 1, hard if people won’t cooperate – 1, hard to change – 7, not likely – 2, not easy – 1 Likely – (responses 3) ok if construction of road – 1, step by step – 1, ok – 1
	Is Pagudpud a place where things get done? (total responses – 48)	Affirmative – (42 responses) Sometimes – 4, yes – 38 Negative – (6 responses) no – 4, Pagudpud is a complete place – 1, not yet – 1 (<i>difficulty in interpreting this question on the part of the interviewers and interviewees</i>)
R	What are the assets of Pagudpud? (total responses – 81)	Natural resources – (47 responses) scenic spots – 10, Saud beach, Kapigan Falls – 2, abundant natural resources – 2, farms – 2, beaches – 12, sea, rice fields – 2, mountains, white sand, shells, coconut products – 3, leaves of <i>labig</i> , clean surroundings, green forests – 5, the falls, “good people, green forests” – 1, well preserved environment – 1 Human resources – (24 responses) cooperative people – 2, industrious people – 2, hospitality of people – 2, hardworking fishermen – 1, ability of the people – 1, the lovely kind and energetic people – 1, human resources – 2, respectful people – 1, hardworking and productive farmers – 1, noble people – 2, the people themselves – 1, “good people, green forests” – 1, good people – 3, culture, humility of people – 1, fishermen – 1, carpenters – 1 Tourist development – (6 responses) resorts – 4, tourist destination – 2 (also – Scenic spots – 10, Saud beach, Kapigan Falls – 2, beaches – 12, white sand, shells; total responses related to tourism – 33) Products – (3 responses) products, <i>ikamen</i> , produced goods (also coconut products – 3, leaves of <i>labig</i> ; total responses related to products – 7) Other – (1 response) peaceful – 1
	How easy is it for you to get what you need in Pagudpud? (total responses – 49)	Able – (16 responses) easy – 6, easy if cooperate – 2, very easy – 4, very easy if you have patience – 1, ok – 3 Difficult – (22 responses) not so easy – 5, hard – 7, hard if its financial – 1, there are times when I can’t get what I need – 1, fast because of good transportation – 1, have to work hard for it – 7, sometimes – 1 Other – (11 responses) <i>nabayong</i> – 1, <i>di masyado</i> – 1, don’t know – 10

Table 4: Community Capacity Analysis

Attribute	Indicator Description
<i>S – Sense of Community</i>	<ul style="list-style-type: none"> • Sense of friendliness and familiarity • Collective identity as Ilocanos • Attachment to <i>barangay</i> • View selves as hospitable, kind, hard-working, peaceful, cooperative • Share general vision of progress and improvement in Pagudpud, often related to tourism, with no specific collective goals • Mixed feelings of trust
<i>C – Commitment</i>	<ul style="list-style-type: none"> • Largely committed and responsible • Do not recognize themselves as stakeholders • People often leave for economic reasons
<i>O – Ability to Set and Achieve Objectives</i>	<ul style="list-style-type: none"> • Evidence of past objectives achieved • Reliance on LGU to set and achieve objectives • Individuals feel free to voice opinions and demand results • Actual results vary depending on political will • Political opposition a limiting factor in achievement • Little faith in change
<i>R – Ability to Recognize and Access Resources</i>	<ul style="list-style-type: none"> • Some use of natural resources • Minimal diversification in the recognition of local resources • Many human resources untapped • Obtaining resources locally difficult

2008, May 1) and cooperation (fisherman interview 2008, April 16; furniture maker interview 2008, April 16).

Feelings of trust between people in Pagudpud are mixed, with most respondents of the in-depth interviews being divided on this point. Some respondents noted that there are people they are weary of particularly politicians (M. Sales interview 2008, May 2), and people who are against the administration (furniture maker interview 2008, April 16).

5.2 C-Commitment

Community members are largely committed to the community, but do not necessarily recognize themselves as stakeholders: 96.5 percent of the FPQ responses indicated that local people felt responsible, and 92.2 percent said people were committed. However, it should be noted that answers on commitment were self-reported, with many people wanting to make a positive impression on the surveyors. Therefore, these figures may not accurately reflect the true level of commitment in Pagudpud. Sixty-six percent of the FPQ responses indicated that people in Pagudpud do not see themselves as stakeholders, because they wish to leave to seek “greener pastures”. This trend can also be seen through the sentiments of young people eager to leave the community and work overseas (high-school principal interview 2008, April 20; housewife interview 2008, April 23; mat weaver interview 2008, April 23; fisherman interview 2008, April 16; civic leader interview 2008, May 1). Although some people send money back or re-settle in Pagudpud later in life, there is no real sign that the overseas foreign workers (OFWs) and the *balik bayans*, consider themselves stakeholders in the community. OFWs are temporary overseas workers who often return to the

community after a short working stint, whereas *balik bayans* leave the community indefinitely to work. The a priori concern of OFWs and *balik bayans* is income for their immediate family, not necessarily the improvement of the community. Contradicting the earlier, overly-positive responses on commitment in Pagudpud, these results indicate a weakness in the community capacity attribute of commitment.

5.3 O-Ability to Set and Achieve Objectives

On achieving objectives, 87.5 percent of the FPQ responses showed that people feel Pagudpud is a place where “things get done”. There is evidence of past objectives being met within the community, particularly the establishment of farm-to-market roads and the town festival (FPQ 2008).

Formal leaders, such as elected officials, can generally assess the situation of the community and achieve objectives, often through participatory methods such as barangay meetings and face-to-face contact with constituents (high-school principal interview 2008, April 20; M. Sales interview 2008, May 2; civic leader interview 2008, May 1). However, the speed of this process varies, because Mayor M. Sales faces political opposition from his vice-mayor to the more cumbersome participatory methods of objective-setting, such as allowing a period of public consultation before employing a policy (high-school principal interview 2008, April 20), among other political complications.

Individuals feel free to voice opinions and demand results from local administrators, organizations, and institutes. However, the fate of these demands depends on the political will of the local administrators (high-school principal interview 2008, April 20; housewife interview 2008, April 23), thus resulting in little overall faith in change (FPQ 2008). So while 28.6 percent of the FPQ responses on setting and achieving objectives indicated a reliance on the local government, 57.1 percent of these responses stated that there is little faith in the community’s ability to make progress in a timely fashion.

There is a general sentiment that it is difficult to access to things such as secondary goods inside Pagudpud, with 44.9 percent of responses indicating that obtaining resources such as primary and secondary goods, as well as monetary and physical resources is not easy. One respondent said, “There are times when I can’t get what I need.” Of those who responded that it was easy to get resources in Pagudpud, their response was then qualified with “if you cooperate” or “if you have patience.” This further reinforces the notion that life in Pagudpud, a developing community, can be arduous.

5.4 R-Ability to Recognize and Access Resources

Although many resources of Pagudpud are being exploited, they are not necessarily utilized for the benefit of the community. Contemporary use of natural resources and tourist promotion can be seen, but there is minimal diversification in the recognition of local resources. This can be inferred from the similarity in responses to questions in the FPQ and in interviews regarding resources: 40.7 percent of the FPQ responses on resources were related to tourism. Many interview respondents cited the natural beauty of the area as a source of their resources (high-school principal interview 2008, April 20; furniture maker interview 2008, April 16; M. Sales interview 2008, May 2; civic leader interview 2008, May 1), as did 58 percent of the FPQ responses. However, it seems as though some human resources may also lie untapped and under-utilized, with only 29.6 percent of FPQ responses on the resources of the community being related to human resources. This is also reflected in the lack of diversity in the means of production and services provided in the town, as well as the in propensity for overseas employment migration.

Basic goods can be obtained within the community, but secondary goods must be purchased outside the municipality (Homestay Association member interview 2007, August 17; high-school principal interview 2008, April 20). 44.9 percent of FPQ responses stated that it was difficult to get what is needed inside Pagudpud, while 32.6 percent said they were able to get what they need. This illustrates that there is, at

least, a perceived difficulty in accessing resources in Pagudpud.

5 The 10-K Initiative and Community Capacity

This analysis of community capacity reflects the 17-month period since the first of the projects of the mayor's motivational municipal policy, the 10-K Initiative, was started. Therefore, this assessment represents the situation of community capacity in Pagudpud at the mid-point of the 10-K Initiative, and can be considered a mid-term evaluation of the policy in terms of community capacity building. It should be noted that there is no preliminary data on the status of community capacity in Pagudpud before the 10-K Initiative began, and that this is a limitation of this study. However, this does not mean that there is no value in community capacity analysis at this juncture. In fact, since this is a midterm evaluation of community capacity changes under the policy, such an assessment can be valid, and the data can serve as a reference for an ex-post evaluation of the 10-K Initiative upon the completion of Mayor M. Sales's term. An ex-post evaluation of community capacity in the context of the 10-K Initiative could provide valuable insights for the next mayor of Pagudpud in terms of considering whether or not to continue or to expand the policy.

Furthermore, assessing the community capacity of Pagudpud—and not necessarily assessing the 10-K Initiative—was the aim of the interviews and the FPQ. This could be construed as a weakness in this analysis of the 10-K Initiative as a policy. However, since this work explores the community capacity-building potential of the policy, an assessment of community capacity is appropriate. This study is limited in that it cannot express the overall effectiveness of the 10-K Initiative in terms of poverty alleviation, development, or any other impact outside of community capacity; that kind of evaluation has been left to local auditors, and is not addressed in this study. Although there is a conceptual relationship between poverty alleviation, development and community capacity, only the relationship between the 10-K Initiative and community capacity building is explicitly examined here.

After reviewing the community capacity assessment and the general condition of the community, the major issues in Pagudpud are identified as:

1. A lack of clear and consistent community vision—particularly relating to tourism development—with little recognition of the 10-K Initiative.
2. Low-level participation in community activities relating to the 10-K Initiative.
3. Little collaboration between local organizations to achieve local goals.
4. Minimal instances of endogenous market and community activities relating to development beyond LGU direction.
5. Political discord leading to reduced local government effectiveness.

While the 10-K Initiative provides a sound base from which community capacity can be built, continued efforts are needed, and these should include the introduction of more community capacity-building strategies into the policy structure. There is a general vision in Pagudpud underlying the idea of improvement within the community, but the goal of becoming a world-class tourist destination is far from omnipresent within the community. Creating a slogan and a campaign to promote the 10-K Initiative is a good start, but according to the findings of this assessment, the Initiative has yet to make much headway. More efforts in community organizing could be incorporated into the policy so as to solidify this community vision and further promote awareness and participation in the Initiative.

The people of Pagudpud view themselves as largely committed and responsible, but there is little

willingness to act as stakeholders, and to participate accordingly. This finding lends itself to the second issue above, i.e. little participation in 10-K activities. Throughout the course of implementation, the 10-K Initiative should be able to garner more participation. In fact, the “K” therapists were created to increase support and encourage participation, as was the PVP, but their effects were not yet felt at the time of this assessment, as they were among the more recent facets implemented. The Most Outstanding Barangay evaluation also plays a part in the participation of Pagudpudians, both as evaluators and barangay constituents; however, the program may actually have a more consolidating effect on community capacity at the barangay rather than the municipal level.

The 10-K policy structure is an example of inter-organizational collaboration. However, this collaboration is usually in the form of a local organization working together with the LGU and a national department or organization, as is the case with the weaver and homestay trainings. While this can have positive effects on community capacity, particularly in terms of knowledge transfer related to leadership development and empowerment, the power dynamic between these bodies leaves the local organizations in Pagudpud in a passive, disempowered position. Genuine collaboration between local organizations in Pagudpud would serve to share locally-relevant information between groups in the community, as well as to increase participation through greater value being placed on the skills and knowledge the group members have to offer. This type of local collaboration would help to increase the community’s ability to recognize and access their resources, which is something that is currently lacking. Furthermore, local organizations in effective collaboration could better articulate and amplify the needs and concerns of the local people. This would help to achieve participatory governance, and to develop independent local activities.

This leads to the next major issue facing Pagudpud: the low number of endogenous market and community activities related to development outside LGU direction. It is clear, through the community capacity assessment, that the people of Pagudpud rely heavily on the local government and politicians for direction. Additionally, the difficulty in obtaining resources within the community indicates that there is a need to further promote local market development and businesses to serve local people, not just tourists. As noted in the previous paragraph, local inter-organizational collaboration would contribute to alleviating this problem, as would increased community leadership. While the 10-K Initiative promotes many steps in this regard—providing leadership development through the weaver training, the homestays, and the Most Outstanding Barangay evaluation—The widespread effect of these programs is yet to be seen. However, if they can continue to make strides in leadership development, including in technical and entrepreneurial skills, some activity beyond LGU direction is sure to arise.

Furthermore, greater participation in governance should take place. Mayor M. Sales orchestrated the policy structure around his vision of where he would like the community to go; however, this may not be consistent with the view that the community itself has. The evidence of the failed waste-removal project speaks to this. With better participation in policy formulation and evaluation, the policy initiatives can be more successful, and potentially flawed projects, such as the waste-removal project, can be eliminated or retooled.

Political discord is not new to Pagudpud and, relatively speaking, things are more stable now than they have been in the past (M. Sales interview 2008, May 2; civic leader interview 2008, May 1; high-school principal interview 2008, April 20). However, even with the petty discord and political jockeying that have replaced the often-violent upheavals of the past, the effectiveness of the LGU is compromised, and the people of Pagudpud duly reported this throughout the assessment. The popular disenchantment with politicians and the lack of confidence that proposals will be followed through to completion, which were reported in the assessment, are indicative of this. Truly, the only remedy for this is a more concerted effort

on the part of the mayor and the LGU to put the people first and their own politicking second; but this is easier said than done. Unfortunately, until this problem is ameliorated, it will continue to have negative effects on the outcomes of the 10-K Initiative and on the community capacity of Pagudpud as a whole.

6 Conclusion and Applicability

“Conceptual ideas need empirical testing, but also ... experiences in real-life governing and the examination of them go hand in hand” (Kooiman 2003). This chapter expands the concept of community capacity and the role of community capacity building in a policy through the examination of a real-life governing situation. It outlines the basics of community capacity and some of strategies to build it. The strategies for building community capacity that have been presented here are leadership development, community organizing, organizational development, and inter-organizational collaboration. These are merely categorizations and descriptions of broad community capacity-building strategies, and are most certainly not meant to constitute a comprehensive list of all the ways in which development can proceed or in which community capacity can be built.

A basic analysis of community capacity in Pagudpud and a municipal policy structure in Pagudpud, the 10-K Initiative, were presented as real-life examples of governance, policy, and how community capacity-building potential can be identified. Then the community capacity of Pagudpud was briefly examined in relation to the 10-K Initiative in order to suggest some additional areas in which community capacity-building strategies should be focused and to further emphasize the importance of community capacity assessment in policy-making.

The underlying assumption in this research is that community capacity is a necessary component of policy management and development, and that strategies for building community capacity are useful. With this in mind, this article was written with the intent of exploring the applicability and nature of community capacity-building strategies in the policy framework of a developing community. What the Pagudpud case demonstrates is that community capacity-building strategies can be found in a local policy structure, even in an underdeveloped community; and that identifying these strategies, along with assessing community capacity as part of a typical public management evaluation, can provide useful information with regards to community capacity development and policy effectiveness. The assessment of community capacity and the analysis of local community capacity-building policy together identify the key issues in a community, as can be seen in the Pagudpud case. This kind of analysis, in turn, can have a broader effect on poverty alleviation and development because it renders information that speaks to the local impact of a policy, beyond what traditional monitoring and evaluation can provide.

Theories on community development that led to the formulation of the concept of community capacity were born out of research conducted in urban Western communities. This chapter demonstrates that these concept and strategies have broader applicability, namely in rural and developing communities, and that they have real potential as a tool to alleviate poverty and improve participatory governance around the world.

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Community Capacity Building and Local Government Leadership:

Describing Transformational Leadership Practices in Naga City, the Philippines

Ana Khristina S. Puatu
Asian Institute of Management

1. Introduction

In 1999, Naga City was named by *Asia Week Magazine* as one of the Most Improved Cities in Asia and its “unusual brand of governance” was referred to (Espinosa-Robles 1999) as critical to the city’s dramatic turnaround from a third-class city in 1988 into a first-class urban center by 1990. The magazine also named Jesse Manalastas Robredo as “co-engineer of that feat” (Espinosa-Robles 1999) attributing Naga’s transformation to his election as the city’s mayor in 1989.

Like Naga City, there is a growing number of localities whose best practices in local governance highlight the vitality of their political leaders and community leadership. These leaders have proven that, despite the generally negative perception of politics and political elites, there are those who have fostered conditions under which people could work together, “create new visions, productively deal with underlying issues, generate fresh insights and change cultures” (Dunoon 2002: 3).

This study describes the impact of local government leadership on community capacity building by describing how local political leaders influence (1) the dynamics between the various stakeholders in a community and (2) the policy structures and the overall direction of the community’s development agenda. In particular, the study adopts the case of Naga City, the Philippines, to exemplify the impact of leadership by describing the changes in the city’s governance and government institutions, community decision-making and participation, and economic performance indicators and outputs under the direction of Mayor Jesse Robredo. The study builds on Burns (1978), Bass and Avolio’s (1990) Transactional and Transformational Leadership Approach and, Miyoshi and Stenning’s (2008) Community Capacity Development and Policy Structure Model as it makes use of the relevant concepts from these theoretical frameworks to describe leadership style and to illustrate how leaders serve as catalysts for community development.

This chapter is divided into five parts. Following this introduction, the next section begins with a discussion of the theoretical models and relevant concepts that were used for the study. The third section provides an introduction to Naga City and Mayor Jesse Robredo. The fourth section highlights the significant points of Robredo’s leadership, enumerating the city’s milestones and challenges and setting it in the context of the transactional/transformational leadership approach. Finally, the fifth part explains how local political leadership impacts on governance and the policy structure through a framework based on the findings of the study.

2. Theoretical Perspectives on Leadership and Community Capacity Building

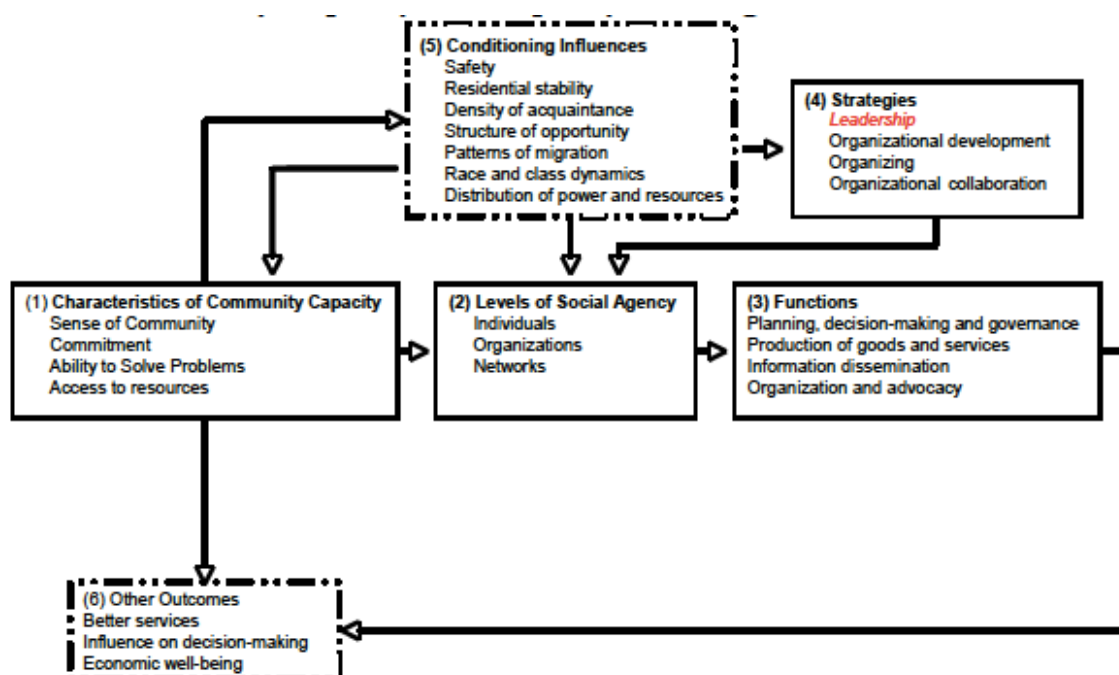
In recent years, the adoption of *good governance paradigms* to address the issue of poverty reduction (Grindle 2007) has placed a revitalized emphasis on the need for a kind of leadership that could best respond to the “changing expectations of political and community stakeholders” (Mellors, 1996 and Barrett, 1997 cited in Dunoon, 2002: 3). Leadership’s vital role in community building (Felix, 1998) has been recognized through its incorporation in the development strategies of various international aid agencies

such as the World Bank and the United Nations Development Program. For these organizations, the advocacy for leadership development “seeks to strengthen group capacity to stimulate activities and effect influence over leaders at all levels of society” (United Nations Development Program 2006a: 5). It aims to promote participation and inclusion with the belief that the more active leaders a community has, the richer the body of activities the community would have to support or participate in (Chaskin et al. 2001).

Consequently, community development frameworks have also incorporated leadership as a means by which capacity could be conditioned or built (Chaskin et al. 2001). For instance, the Community Capacity and Capacity Building: A Relational Framework of Chaskin et al. (Figure 1) suggests that leadership may be used as a strategy by which the participation and commitment of current and potential leaders could be engaged. Leadership when used as a *strategic intervention* could help condition the different *contextual influences*, *core characteristics* and levels of *social agencies* that exist within a community. These interactions may then lead to increased community capacity and create other, more tangible, *community outcomes* (Chaskin, et al. 2001). Specifically, when leaders are provided with the opportunity to build skills, access information and resources, expand their knowledge and create new relationships, human capital in the community is thus enhanced and more sources of information and ideas are generated.

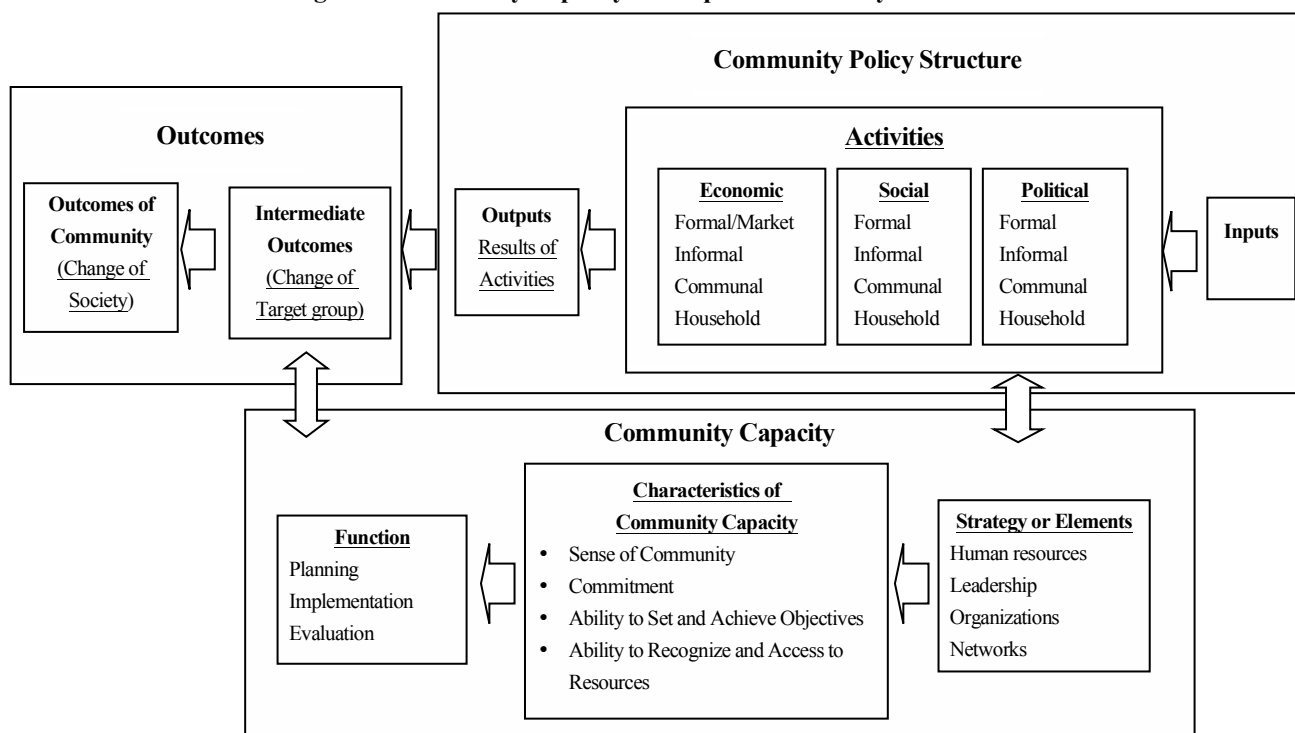
Building on Chaskin, et al.’s framework, Miyoshi and Stenning’s Community Capacity and Policy Structure Model (Figure 2) illustrates how communities may use their capacity to plan, implement and evaluate community policy structures (2008). Also incorporating concepts from Friedman (1992) and Miyoshi et al. (2003) as well as the research results from the implementation of a series of Japan International Cooperation Agency (JICA) group training programs for rural promotion and development, the framework “emphasizes on the operational aspects of community capacity utilization, provides concrete and practical concepts for the implementation of rural promotion and development and may be used for both community development planning and evaluation” (Miyoshi and Stenning 2008: 42).

Figure 1: Community Capacity and Capacity Building: A Relational Framework



Source: 'Community Capacity and Capacity Building: A Relational Framework' by Chaskin et al. (p. 12). From Chaskin et al. (2001).

Figure 2: Community Capacity Development and Policy Structure



Source: 'Community Capacity Development and Policy Structure Model by Miyoshi and Stenning (p. 41). From Miyoshi and Stenning (2008).

2.1 Defining Leadership

In describing the impact of local political leadership on community development, the Transformational and Transactional Leadership Model of Burns (1978), Bass and Avolio (1990) is of particular interest to the study because it describes how leaders can initiate, develop and carry out significant changes in organizations (Northouse 2001). First introduced by political sociologist James MacGregor Burns in 1978, the concept of transactional and transformational leadership sought to provide a more philosophical way to understand and describe leadership. Influenced by Abraham Maslow's Theory of Human Needs, Burns begins by arguing that the extent to which individuals will perform satisfactorily in the workplace is "affected by the extent to which their needs are satisfied" (www.transformationalleadership.net). As such, the leader's main purpose is to make people aware of their feelings, to make them feel strongly about their needs and to "meaningfully define their values so that they can be moved to purposeful action" (Burns 1978).

Burns's framework distinguishes between two types of leadership. Transactional leaders focus on the exchange of *valued things* that takes place between leaders and their followers (Northouse 2001) such as that of the giving of rewards or punishments for performance (Fairholm 2001). On the other hand, transformational leadership focuses on the process by which leaders play a vital role in initiating change amongst their followers (Northouse 2001). Transformational leaders, apart from recognizing the existing need or demand of his/her followers, also look at their potential motives, aim to fulfill their greater needs and stimulate their entire person (Burns 1978). This results in "relationship stimulation and elevation that converts followers into leaders and may convert leaders into moral agents" (Burns 1978: 4).

In 1985, Bass enhanced Burns's definition by describing transformational leadership from the viewpoint of the followers' needs (Northouse 2001). He adds that transformational leaders inspire their followers to exceed expectations because they are able to (1) increase their level of consciousness about the

significance and worth of specified and idealized goals, (2) get them to overpass their own self-interest and (3) move them to focus on higher level needs (Bass 1985).

A few years later, Bass collaborated with Avolio and arrived at an elaboration of the concept illustrated through the Model of Transformational and Transactional Leadership. In this approach, transactional and transformational leadership is presented to occur as a single continuum (Northouse 2001) composed of seven factors (Figure 3) ranging from proactive, inspiring and idealized at its highest point and reactive, avoidant and *laissez-faire* at the lowest (Avolio 2008). This means that a leader may be able to display each of the seven behaviors or styles composite of this full range model (Lievens et al. 1997).

Among the seven factors of leadership's full range, four components characterize transformational leadership (<http://www.transformationalleadership.net>). These include:

- *Idealized Influence* (also known as charisma) describes leaders who are exemplary role models for their followers. They provide their followers with a vision and a sense of mission. They are deeply respected and people usually place a great deal of trust in them
- *Inspirational Motivation* characterizes leaders who are able to motivate others to commit to the vision of the organization. These leaders communicate their high expectations and often make use of symbols and emotional appeals to encourage their followers to achieve more than they would.
- *Intellectual Stimulation* includes leaders who encourage innovation and creativity amongst the members of his/her group. This type of leadership support followers not only by allowing them to try new approaches in dealing with the issues of the organization but they also promote critical thinking and careful problem solving amongst the members of their organization.
- *Individualized Consideration* represents leaders who provide a supportive climate in the organization by acting as coaches and advisors to their associates. This type of leadership often uses delegation as a means to help others grow in the face of personal challenges.

In the middle of the range, Bass and Avolio (1990) describe transactional leadership to be composite of the following types of behavior (Northouse 2001):

- *Contingent Reward* refers to the exchange process that occurs between leaders and followers. In this style of leadership, the leader tries to obtain an agreement from his/her followers on what needs to be done. In return, followers expect that their efforts will be exchanged for specific rewards.
- *Management-by-Exception* involves corrective criticism, negative feedback and negative reinforcement from the leadership. Management-by-exception can both be active or passive such that leaders can watch his followers closely for mistakes and then take corrective actions or they can only choose to intervene after standards have not been met or problems have arisen.

Figure 3: Leadership Factors

Transformational Leadership	Transactional Leadership	Laissez-Faire Leadership
Factor 1	Factor 5	Factor 7
Idealized influence	Contingent Rewards	Non-Transactional
Factor 2	Factor 6	
Inspirational Motivation	Management-by-exception	
Factor 3		
Intellectual Stimulation		
Factor 4		
Individualized Consideration		

Source: 'Model of Transformational and Transactional Leadership,' by Bass 1985, 1990; Bass and Avolio, 1993, 1994 as cited in Northouse (2001)

At the very bottom of the range and believed to be the least effective style is the *Laissez-Faire* or the *Passive-Avoidant leadership*, which represents the absence of leadership. This characterizes leaders who “abdicate their responsibility, delay decisions, give no feedback and make little effort to help followers satisfy their needs” (Northouse 2001: 141).

Bass and Avolio (1990) also posit that when the factors of transactional leadership are complemented by the application of transformational leadership values, the additive effect is performance beyond expectation. Previous studies of high- and low-level leaders from both private and public settings revealed that individuals who demonstrated transformational leadership were recognized as effective leaders with better work outcomes in contrast to those who demonstrated only transformational leadership (Lowe, Kroek and Sivasubramanian, 1996 cited in Northouse 2001). Subsequent studies by Bass, Waldman, Avolio and Bebb (1987) revealed what they referred to as a *cascading* or *falling dominoes* effect that transformational leadership has in facilitating followers’ growth not only to become better, more productive and successful individuals but also in developing them to become new community/organization leaders (Figure 4).

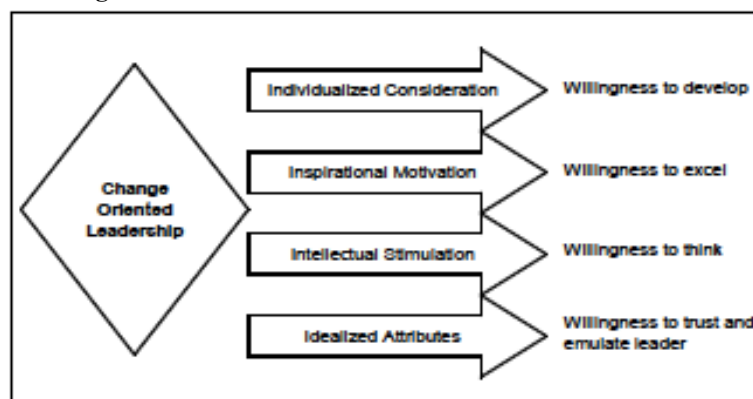
3. Naga City, ang *Maogmang Lugar* (The Happy Place)

Naga is a riverine city located in the southernmost tip of the island of Luzon in the Philippines whose name was taken from the long line of *narra* trees that used to fill the area (<http://www.naga.gov.ph>). It stands as one of the oldest cities in the Philippines having been created by a royal decree in the 16th century when the Philippines was still under Spanish Colonial rule (Robredo 2007a).

For hundreds of years following its creation, Naga enjoyed the prestige not only of being the center of trade, education and culture but also the seat of government and ecclesiastical jurisdiction of the Bicol Region (<http://www.naga.gov.ph>). However, the city struggled to maintain its stature following the end of World War II in 1945. Eventually, Naga became just another typical rural Philippine city—“one of the faceless, ordinary urban centers dotting the country side” (Robredo 2000: 3).

Jesse Manalastas Robredo came back to Naga with a vision of reclaiming the city’s reputation as the premier city of Bicol and establishing its niche as one of the best managed local governments in the country. Armed with the professional experience of working for one of the Philippine’s biggest private corporations, Robredo joined the public service in response to President Corazon Aquino’s call for the *best and the brightest* (Tirol 2000). After working as the Program Director for the Bicol River Basin Development Program, Robredo was convinced by his uncle, who was then governor of the province, to

Figure 4: Follower Reactions to Transformational Behavior



Source: “Falling Dominoes Effect of Transformational Leadership by Bass, Waldman, Avolio and Bebb (1987) as cited in Huse (2003)

run for the post of Naga City Mayor in 1988. Despite garnering only 24 percent of the people's votes, Robredo won against the other five more experienced candidates (Isaac and Acheron 2007). He was only twenty-nine years old when he was elected, making him the youngest mayor in the Philippines at that time.

Coming into office, Robredo had to face formidable challenges. First, as a minority mayor, his election into office was met with a lot of skepticism from his constituents who thought that he was too young and inexperienced for the job. In addition, he was thought of as merely the governor's nephew and therefore just another "dyed-in-the-wool politico" (Isaac and Acheron 2007: 28). Second, Naga's struggles had taken its toll on its people and its economy. The city had a budget deficit of one million pesos, its local economy was sluggish, there were limited employment opportunities around town, the central business district was congested and disorderly and its urban poor population was rapidly increasing (Robredo 2004a). In addition, the city hall employees were underpaid and their morale was low (Tirol 2000).

Although Robredo admitted that in the beginning he "[did not] really know what politics was all about" (Tirol 2000) he was certain that he wanted his vision of Naga to be realized (Robredo 2000). As such, he needed to (1) secure the confidence in his leadership of the bureaucracy and the constituency, (2) strengthen the capacity of the bureaucracy to deliver the desired outcomes, and (3) mobilize the participation of the constituency.

Soon, Naga City managed to launch itself to international fame. To date, the city's good governance model, its programs and projects have received more than 150 regional, national and international awards and recognitions that include the 1998 Dubai International Awards for Best Practice, the Global 107 Best Practice from the 2004 Dubai International Awards and the 2006 Special Citation on Local Capacity Innovation from the United Nations Development Program and the Galing Pook Foundation (<http://www.naga.gov.ph>). Naga's recognition by *Asiaweek Magazine* as one of the Most Improved cities was a commendation the city because it allowed its citizens to participate in the community's policy and decision-making (Espinosa-Robles 1999).

But more than the awards and recognitions, Robredo's leadership enabled the people of Naga to "reap the benefits of improved service delivery, a healthy and progressive community and a high degree of civic pride over what [they] have accomplished collectively" (Robredo 2006a: 16). Some examples of the city's more tangible accomplishments include (1) the significant reduction of the incidence of third-degree malnutrition, (2) increased garbage collection efficiency and (3) a 500 percent increase in the city's income generated through an efficient tax collection system. In addition, the local government reports that in 2007 the city stands as the frontrunner in achieving the MDGs in the Bicol Region. Apart from significantly reducing the proportion of families living below the poverty threshold, it has also achieved the targets for reducing the incidence of hunger, access to universal primary education, reduction of child mortality, improvement of maternal health and the provision of basic amenities (Table 1) (Naga City Government 2007).

4. Robredo's Transformational Leadership

Alongside Naga City's Awards, its local chief executive has also been recognized for "giving credence to the promise of democracy by demonstrating that effective city management is compatible with yielding power to the people" (Ramon Magsaysay Award Foundation, 2000, <http://www.rmaf.org.ph/Awardees/Citation/RobredoJes.htm>). In his almost two decades of public service, Robredo has received over a dozen awards and recognitions. These include the 1996 Ten Outstanding Young Persons of the World, the 1996 Ten Outstanding Young Men of the Philippines, the 1998 Conrad Adenauer Medal of Excellence, the 1998 Dangal ng Bayan (Honor of the Country) Award from the Philippine Civil Service Commission and the prestigious Ramon Magsaysay Award for Government

Table 1: Status of MDG Implementation in Naga City

MDG INDICATORS	TARGET 2015	NAGA CITY		TARGET 2015	BICOL REGION		TARGET 2015	NATIONAL	
		Actual (Current)	Status		Actual (Current)	Status		Actual (Current)	Status
Poverty Incidence	27.5	18.9	Achieved	27.5	40.5	Off track	19.9	24.7	On track
Hunger Incidence	34.1	5.6	Achieved	34.1	22.6	Achieved	17.2	27.6	Off track
Primary Education Participation	100	100	Achieved	100	85.1	Off track	100	90	Off track
Primary Education Completion	100	66.6	Off track	100	67	Off track	100	62.1	Off track
Under five - mortality	5.79	3.68	Achieved	5.79	6.09	On track	26.7	40	On track
Infant mortality	6.63	8.96	On track	6.63	9.33	On track	19	29	On track
Fully Immunized Children	100	112	Achieved	100	87	Off track	No data		
Maternal mortality	0.31	0	Achieved	0.31	1.16	Off track	0.52	1.72	Off track
Access to safe water	67.52	100	Achieved	67.52	45.2	Off track	86.8	80	On track
Access to sanitary toilets	79.17	100	Achieved	79.17	69.85	On track	79.17	67.85	Off track

Source: Naga City Government (2007) *2007 State of the City Report*. In Pabico (2007)

Service (<http://www.naga.gov.ph>). However, he maintains that more than himself, the core of Naga's success rests with its people. He attributes the effective formulation and implementation of the local government's policies to the high level of maturity, literacy, religiosity and resilience of the Nagueño (Robredo 2006a). He further describes the constituency of his city as being "critical while civic-minded, open to new ideas and respectful of other people's opinions" (Robredo 2006a: 3).

At the beginning of his political career Robredo was strongly influenced by his professional background. In fact, "[Robredo] was determined to be a mayor who was a manager rather than a politician" (Tirol 2000). Directly challenging the Naguenos to work for Naga's progress with the battlecry "*Kauswagan kan Naga – Kun Bako Ngonian, Nuarin Pa?*" (Naga's Progress – if not now, when) (Robredo 2000: 7) during the elections, he also directly demanded commitment and efficiency from those working in city hall.

4.1 Establishing Efficiency

During his first term as Naga City Mayor, it is noticeable that the provision of rewards seems to be underlying every policy and administrative change that Robredo introduced. Immediately after he assumed office, he called for a meeting with the employees of Naga City Hall to introduce a number of measures that would "build a culture of excellence in the local bureaucracy and to inspire public confidence in [the] administration" (Tirol 2000). Thus, he introduced the practice of corporate and human resource management techniques to Naga's city hall. For instance, he required all city hall employees to take the aptitude and skills exams and promised them that they would be rightfully rewarded with salary adjustments and proper career planning (Tirol 2000). Ultimately, the results of the employees exams allowed the government to reorganize city hall by matching the skills of each employee with the right job thereby improving the productivity and efficiency of the employees of city hall.

Similarly, Robredo used the promise of rewards to encourage the private sector to engage in partnerships with local government. Programs such as the Naga Local Initiatives for Economic Activities and Partnerships (LEAPS) and the Public-Private Sector Partnerships may have helped gather private funds to finance government projects but it also allowed the private sector partners to enjoy the profits from a revitalized business district (UNPAN 2004). In retrospect, Robredo utilized rewards to be able to

successfully get people to do what needed to be done. But beyond the basic exchange, Robredo supplemented them by motivating the people to strive for excellence and engage in leadership (Table 2).

4.2 Encouraging to Trust and Moving to Emulate

When Robredo first came to office, he was viewed with suspicion by most of his constituents. While a lot of people thought that Robredo was too young for the job, even more believed that the only reason that Robredo had won the position was because of the influence of his uncle who happened to be Governor of the province. (Terol 2008). Prilles comments, “One of the things that Robredo stood for was that the government should be trustworthy. You can only show that if your [sic] willing to go against the representation of society...so he used his first term to show the people that he could be trusted” (W. Prilles, Jr., personal communication, September 2, 2008). Robredo may be running the city like a corporation but he earned his moral authority by spending enough time just being with the people. NGO leaders Llorin and Raquid-Arroyo share that Robredo’s actions made the people feel that he was someone who could seriously address their needs (Tirol 2000).

Based on observation, these expressions of idealized influence dominate Robredo’s leadership style (Table 3). As one Naga City Coordinator points out “Robredo’s charisma is based on his principles, not on his personal charm” (Isaac and Acheron 2007: 40) In fact, Robredo’s resounding moral victory came after an incident severed the relationship between him and his mentor/uncle. Within a year after Robredo

Table 2: Rodrego’s Leadership: Contingent Reward

Transactional Factor	Intermediate Outcome
Contingent Reward	Efficiency
Rodredo’s Leadership	Intermediate Outcome
Employee Merit and Aptitude System	<ul style="list-style-type: none"> • Better compensations package • Appropriate Job Matching
Naga Local Initiatives for Economic Activities and Partnerships	<ul style="list-style-type: none"> • Opportunity and profit generation for private sector partners
Public Private Sector Partnership	<ul style="list-style-type: none"> • Improved investment climate

Source: Prepared by the author based on the ‘Falling Dominoes Effect of Transformational Leadership’ by Bass, Waldman, Avolio and Bebb (1987) and the author’s assessment of Robredo’s leadership

Table 3: Rodrego’s Leadership: Contingent Reward

Transactional Factor	Intermediate Outcome
Idealized Influence	<ul style="list-style-type: none"> • Willingness to Trust and Emulate
Rodredo’s Leadership	Intermediate Outcome
Charisma Based on Principles	<ul style="list-style-type: none"> • Support from continuency (Six-time Gabos, kung Gabos, Uboskung Ubos Victory) • Moral Authority
Solitary leader shoveling the muck of the City	<ul style="list-style-type: none"> • Rodredo as role-model for other leaders and the Nague-os
Performance and Approachability	<ul style="list-style-type: none"> • Sense of community and belongingness • Builds confidence of the common folk

Source: Prepared by the author based on the ‘Falling Dominoes Effect of Transformational Leadership’ by Bass, Waldman, Avolio and Bebb (1987) and the author’s assessment of Robredo’s leadership

assumed his mayoralty seat, his uncle asked Robredo to appoint a former classmate as the city's new chief of police (RMAF 2000). However, Robredo refused his uncle's request because the person he was recommending "was perceived to be wishy-washy" (Isaac and Aceron 2007: 29) on illegal gambling. Nonetheless, the man was appointed to the post after his uncle lobbied for Malacañang's support. Robredo refused to back down and approached the Archbishop of Nueva Caceres for help (Isaac and Aceron 2007). The archbishop then made a personal appeal to the President of the Philippines to retract the appointment. Two weeks later, the earlier decision was overturned and the chief of police was unseated (RMAF 2000).

His uncle was indignant. He issued statements disowning Robredo and calling him an ingrate. "It was a very difficult decision," (Isaac and Aceron 2007: 29) Robredo's Vice Mayor shares. "But if we would just follow the Governor, what would happen to us? What would happen to our ideals? He would lose the chance to change Naga. He will be nothing" (Isaac and Aceron 2007: 29). During the subsequent elections, his uncle formed an alliance with the party of Robredo's former opponent. With his aunt running against Robredo for the mayoral position, the 1992 elections turned out to be the "blackest propaganda in the history of Naga" (Isaac and Aceron 2007: 29). In the end, Robredo won the elections. He and his team also won all the posts that they ran for, awarding them their first electoral sweep. Tirol (2000) observes that the rift must have proved that "[Robredo] was his own man and that he meant to stay that way. But the same willfulness boosted his stock among his constituents who realized he really meant business" (<http://www.rmaf.org.ph/Awardees/Biography/BiographyRobredoJes.htm>).

Similarly, a 1993 photo taken of Robredo sweeping the streets of Naga City in the aftermath of typhoon Monang served as a motivation for the other leaders and the Nagaeños to *help out* around the city. A newspaper columnist was so moved that he paralleled Robredo's efforts to the image portraying him as the "solitary figure shoveling the muck of the city" (Isaac and Aceron 2007: 26). Bordado shares:

All the councilors and (the) top official were cleaning the darkest parts of the city. The people loved him because of that ... People had to be ashamed; the mayor himself was cleaning the streets. So the people also worked. Even during fires, cleaning up of the river, he's always at the forefront. The people can see that (Isaac and Aceron 2007: 26).

Correspondingly, a series of interviews⁷ conducted by Kawanaka (1999) reveal that the people's support for Robredo was derived not only from his good performance but also from his approachability. "Armed with his credentials and the results of his hard work, the outcomes of his programs are apparent to the Nagaeños including the members of the opposition" (Isaac and Aceron 2007: 41). But it was Robredo's approachability that won over the support of his constituents and the respect of those who were critical of him. Kawanaka (1999) explains that in contrast to Robredo the past mayors were not as open to contact. In fact, meeting with Robredo was as easy as stepping into his room and waiting for one's turn. No appointment was necessary. It is through this casual disposition that, Kawanaka (1999) observes, Robredo became indispensable to the community. Raquid-Arroyo adds "Robredo has the ability to make you feel that you are part of a family, and this somehow prevents their supporters from being resentful and discourages them from shifting their political loyalties to someone else" (Isaac and Aceron 2007; 37).

4.3 Administering City Hall

In the exercise of Intellectual Stimulation, Robredo required ingenuity and resourcefulness from all city

⁷ Conducted with twenty-seven (27) barangays captains and twenty-eight (28) ward leaders.

hall employees (Table 4). In addition to the implementation of a merit-based system for hiring and promotion he also encouraged the development of more efficient systems and procedures for project development, project management, project monitoring, procurement, and service delivery in city hall (Tirol 2000). For instance, the Productivity Improvement Program (PIP) instituted not only the city's merit and result-oriented assessment system but it also encouraged the government's employees "to come up with viable ideas and suggestions to further improve productivity" ([http:// www.naga.gov.ph/cityservices/pipord.html](http://www.naga.gov.ph/cityservices/pipord.html)). As such, the PIP has been called "the mother of all award-winning programs" (Robredo 2006a: 39) since almost all of Naga's award-winning projects were conceived under the helm of the abovementioned program. Having established a reputation as the leading center of local governance innovations, the Vice Mayor jokes that the only award that the city has failed to receive are those coming from motion pictures and actor's guild associations (Isaac and Acheron 2006).

Resourcefulness and ingenuity also came in handy in city hall when it came to the practice of fiscal discipline. "Robredo is extremely careful with money" (Isaac and Acheron 2007: 31). Several city hall workers commented on how thrifty he was when it came to spending the government's finances. The City Project Development Officer shares that Robredo once conducted an experiment reducing the gasoline allocation in City Hall. First, he tried to reduce it by 15 percent. When he saw that the vehicles were still running, he slashed the reduction further by 25 percent. "The vehicles were still running, but sometimes they would just suddenly stop. Now, the problem [for] [sic] the drivers is to find the proper timing [to buy] gasoline" (Isaac and Acheron 2007: 34.) The mayor's thrift may have generated savings for the city but some city hall workers have also pointed out setbacks to Robredo's deliberate policy of fiscal discipline. For example, rather than spending money on beautifying city hall, Robredo found greater return in constructing a road. In defense of the Mayor, another councilor remarks, "Robredo may be thrifty, but rightfully so" (Isaac and Acheron 2007: 35).

In terms of finding solutions for the community's problems, Robredo seems to consider more than just procedure and politics. For instance, in a land dispute issue between the private owner and the settlers of a property near the city's commercial district, the property owner wanted to make the settlers leave but Robredo proposed a land-sharing scheme wherein the landowner gets to keep the commercially viable part of the property. Prilles explains "the back part, the part that was relatively useless for him; [the area with] no economic value, we suggested to have the settlers relocate there. In exchange, the city will build a bridge so that the [landowner's] property will have access to the city center" (W. Prilles Jr., personal communication, September 2, 2008). Mediated through a partnership between the city government's

Table 4: Rodredo's Leadership: Intellectual Stimulation

Transactional Factor	Intermediate Outcome
Intellectual Stimulation	<ul style="list-style-type: none"> • Willingness to Think
Rodredo's Leadership	Intermediate Outcome
Productivity Improvement Program	<ul style="list-style-type: none"> • Development of innovative award winning programs and innovations
Practice of Fiscal Discipline	<ul style="list-style-type: none"> • Ingenuity with the use and management of resources
Urban Poor Affairs Office-COPE Partnership People Empowerment Program	<ul style="list-style-type: none"> • Coordinated and comprehensive resolutions to historical land dispute programs

Source: Prepared by the author based on the 'Falling Dominoes Effect of Transformational Leadership' by Bass, Waldman, Avolio and Bebb (1987) and the author's assessment of Robredo's leadership

Urban Poor Affairs Office (UPAO) and NGO, Community Organizers of the Philippine Enterprise (COPE), the landowner and the settlers agreed to the compromise and the problem was solved without the necessity of bringing the issue to court. In the end, it was a win-win situation. “The landowner would still be able to benefit from the land and at the same time minimize the social disruption” (W. Prilles, Jr., personal communication, September 2, 2008). “[That] approach of tripartism,” Prilles continues, “of trying to find workable solutions to these [kinds] of problem actually bore fruit” (W. Prilles, Jr., personal communication, September 2, 2008).

4.4 People-Centered Leadership

In 2000, the Ramon Magsaysay Award Foundation (RMAF) gave recognition to Robredo for his outstanding contributions in the field of government service (Isaac and Acheron 2007). Rene Gumba, of the Ateneo de Naga Institute of Politics, identifies in an interview the defining character of Robredo’s leadership style. “Robredo’s dominance in Naga is not the common notion of dominance where someone orders everybody around. There’s an element of pluralism in his leadership style, letting various players, take sides. It’s really a commitment to a more democratic framework of governance” (Pabico 2007).

Willy Prilles Jr. of the Naga City Planning and Development Office recalls that before the city’s planning process was formalized, Robredo was closely interfacing with the people from the various sectors. He did this as a means to identify the constituency’s needs and as a way to prioritize which of those needs the local government should first address. Prilles continues that Robredo was very passionate about delivering the promises he made during the election campaigns and that the new mayor immediately engaged in partnerships with the private sector in order to address the combination of socio-economic problems that besieged the city. It is through these partnerships, he adds, that Robredo was able to turn around the finances of the city as well as engage in high impact projects. Encouraged by the productive participation of the various government and non-government stakeholders in the community, Robredo slowly formalized the mechanisms through which they could participate (W. Prilles, Jr., personal communication, September 2, 2008). For instance, the People Empowerment Program of Naga (PEP), attributed the local government’s openness to “a partnership with duly accredited Naga-based people’s organizations and non-government organizations in the conception, implementation and evaluation of all government activities and functions” (Tirol 2000). This provided for the establishment of the *Naga City People’s Council (NCPC)*, an autonomous council composed of “[Forty-four] accredited NGOs and POs from different sectors with the representative from each sector comprising the Board of Directors” (Jacob 2000: 188). In addition, the city also launched its i-Governance Initiative advocating transparent and meaningful participation amongst the current residents of Naga, the Nagueños working or living in other countries or other parts of the Philippines, other Local Government Units and other people and institutions that may have an interest in the city through the use of mobile phones and the internet (Robredo 2006a).

Ultimately, people empowerment served as the main source of Robredo’s Inspirational Motivation (Table 5). For instance, Kawanaka (1999) referred to organizations and city governance as the main pillars of Robredo’s political mobilization. Those *highly institutionalized organizations* served as (1) a system to provide benefits to residents as part of public service, (2) an instrument to maintain ward leaders who are loyal to and active in the Robredo administration and (3) a mechanism to gather information (Kawanaka, 1999). Put simply, the establishment of these sectoral organizations in Naga City functioned not only as an effective instrument for public administration but also as a political machine. Kawanaka explained that these organizations work as routes to distribute patronage to the city’s ward leaders and residents. However, it should be noted that patronage is not given out to these organizations as private favors but rather as formal public services that the whole constituency can enjoy (Kawanaka 1999).

Table 5: Rodrego's Leadership: Inspirational Motivation

Transactional Factor	Intermediate Outcome
Inspirational Motivation	<ul style="list-style-type: none"> • Willingness to excel
Rodredo's Leadership	Intermediate Outcome
People Empowered Program (PEP)	<ul style="list-style-type: none"> • Political empowerment of NGO's and POS
i-Governance	<ul style="list-style-type: none"> • Meaningful participation amongst Naga's current residents

Source: Prepared by the author based on the 'Falling Dominoes Effect of Transformational Leadership' by Bass, Waldman, Avolio and Bebb (1987) and the author's assessment of Robredo's leadership

As Raquid-Arroyo shares, "In Naga, the relationship between [the government, civil society and the private sector] are special...in the sense that the government is open for people participation and the people also have the disposition to actively and meaningfully engage government" (M. Raquid-Arroyo, personal communication, September 3, 2008). For Raquid-Arroyo, Robredo practically introduced the concept of people participation into the psyche of the Filipino. "[Although] its notion started after the Edsa Revolution in 1986 and is established and supported by the 1991 Local Government Code...up to now, there is still a lot of resistance from other sectors, particularly from the government. [Elected officials believe] that since they are the once who are accountable – they should then have the last say" (M. Raquid-Arroyo, personal communication, September 3, 2008). She adds that Robredo's leadership was critical for the implementation of participatory forms of governance in their city because he not only facilitated the engagement between the local government and the people but he also fueled its subsistence and allowed its progression.

Naga City Councilor John Bongat reveals that, based on his observation of committee meetings and assemblies, he sees that the constituency appreciates this participative system because they actively participate in the discussions. "Someone may have said that the decision-making is faster when only one decides. However, we observed that the implementation is smoother when before decisions are made – consultations are done with the constituency. This is because there is prior knowledge and this gives stability in the official policies in the city" (J. Bongat, personal communication, September 2, 2008). Bongat adds that because Robredo wanted transparency in his administration, he supported the development of a system that enabled people to remind the government what it needed to do. It was this support, the *imprimature of the executive* that allowed this system of governance to be realized (J. Bongat, personal communication, September 2, 2008).

4.5 After 2010

Robredo has declared that his Mayoralty from 2007–2010 will most probably be the last elected post he would hold in government. With this in mind, the issue of how Naga will survive after Robredo has arisen. First, Isaac and Acheron (2007) enumerate, Robredo has performed so well that it will definitely be very difficult to find someone who can match and surpass his achievements. To which Prilles responds that through the years, the administration has invested in its people with the foresight that after Robredo steps down, the city will have in place "a pretty decent bureaucracy, competent middle management [and the needed institutional mechanism] that will be ready to do its work" (W. Prilles, Jr., personal communication, September 2, 2008). This, Prilles believes, addresses both the issues of succession and sustainability. In fact, apart from Robredo, a number of city hall's employees have also been conferred with awards and recognitions from various national and international organizations and agencies. The successes of the

employees of city hall and the pride of the constituency to be Naguenos are evidence of how Robredo's individualized consideration has effectively motivated individuals to improve and develop (Table 6).

"So Robredo is not Naga. There are a lot of people like him who just needs the opportunity" (W. Prilles, Jr., personal communication, September 2, 2008). Robredo adds, "I think given the opportunity I had, I'm sure somebody will come along who'll not only equal but even surpass what we have done" (PCIJ 2007a). Raquid-Arroyo interjects, "the critical choice is not to let the other side win. They have a lot of influence and a lot of money. The real challenge is not so much of who will be the next but more of the opposing group not to become the next" (M. Raquid-Arroyo, personal communication, September 3, 2008).

Isaac and Acheron (2007) deliberate on the possibility of Robredo running for a higher or even a national office. Robredo has admitted that he sometimes entertains the idea of *going national* but his eldest daughter hopes that her dad does not pursue that direction: "Although he did very well in Naga, but I'd rather that he does not [go national]" (Barawid et al. 2008). Robredo's cousin also expresses some hesitation about the idea adding, "If he wants a national post he should be ready for accommodation with those in power" (Isaac and Acheron 2007: 43).

5. Conclusion

The case of Naga City demonstrated how leadership was critical in developing the city's capacity. Robredo, as the city's political leader, facilitated the transformation of leadership from simply pertaining to one individual to the process by which an individual in authority engages with his followers in pursuit of a common goal. His style of leadership involved not only discussions with the people. He also interacted with them by sharing his values and ideas and allowing them to respond and share their ideas with him as well.

From a public sector perspective, Robredo effectively assumed the role of manager and leader when he introduced a concept of governance wherein the people are part of the system of decision-making (personal communication, January 12, 2009). On the one hand, Robredo set goals and standards for the performance of particular tasks. On the other hand, he invoked a participatory element into his authority that enabled the people to have a conviction about the issues at hand. The Naguenos changed because Robredo encouraged them to have a personal understanding of the merits and faults of specific situations (E. Co, personal communication, January 12, 2009).

Realizing the potential of such engagement, the city eventually institutionalized people's participation into the city leadership and governance structures (Figure 5). Naga City now boasts institutions that guarantee people participation in all levels of governance. The Productivity Improvement Program (PIP) has empowered the bureaucracy with the skills and confidence to run city hall. The Naga City People's Council has given voice to the often-marginalized non-government organizations, private organizations and public sector groups. And the i-Governance utilizes the convenience of the Internet to provide private individuals with the venue to give feedback and suggestions on how the government can do its job better. With these mechanisms in place, the development of Naga is neither limited nor dependent on the personal

Table 6: Rodrigo's Leadership: Individualized Consideration

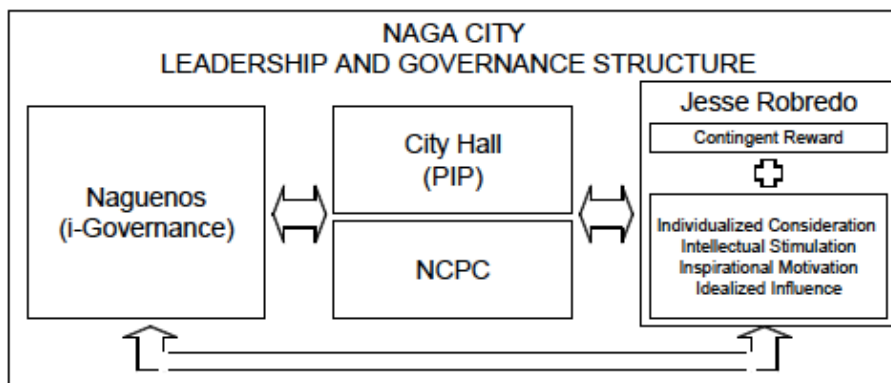
Transactional Factor	Intermediate Outcome
Individualized Consideration	<ul style="list-style-type: none"> • Willingness to Develop
Rodredo's Leadership	Intermediate Outcome
Productivity Improvement Plan	<ul style="list-style-type: none"> • Competent Middle Management

Source: Prepared by the author based on the 'Falling Dominoes Effect of Transformational Leadership' by Bass, Waldman, Avolio and Bebb (1987) and the author's assessment of Robredo's leadership

capacities of its leader. In fact, the conceptualization and implementation of community policies, as well as the operation and management of the entire city, are under the care of an efficient leadership willing to develop, excel, think, trust and emulate (Figure 6).

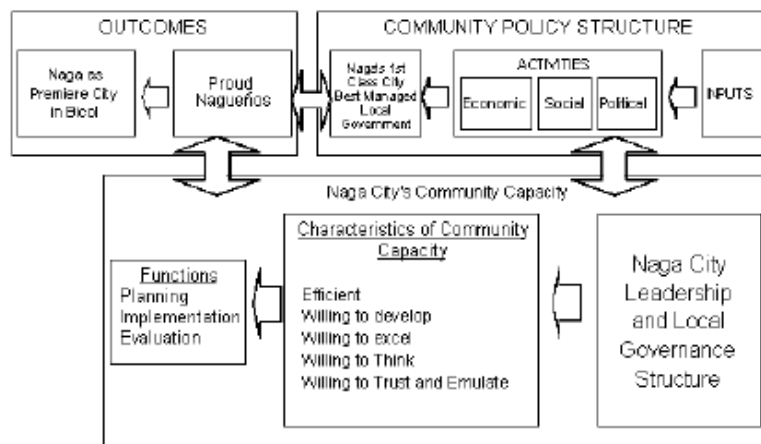
Meanwhile, Robredo's impact on the city and on the people is very hard to deny. Robredo did facilitate Naga's transformation from being a third-class city in 1988 to a first-class city in 1990 (Espinosa-Robles 1999). He did encourage the workforce of the city to evolve from being passive and lethargic to confident and competent (Tirol 2000). Robredo did build the foundation of trust between the leadership and the people (Robredo 2006a). Throughout the past eighteen years, Robredo has demonstrated that good management and excellent leadership can be combined. Robredo complemented his performance-based and result-oriented management style not only with his diligence, assiduousness and commitment to work but also with much sensitivity to the needs, feelings and potential of the other people who have a stake in the way Naga City is governed.

Figure 5: Naga City's Leadership and Governance Structure



Source: Prepared by the author based on the 'Model of Transformational and Transactional Leadership' by Bass (1985, 1990); Bass and Avolio (1990) and the author's personal assessment of the governance structure of Naga City

Figure 6: Naga City's Community Capacity and Policy Structure



Source: Prepared by the author based on 'Community Capacity and Policy Structure Model' by Miyoshi and Stenning (2008a), 'Falling Dominoes Effect of Transformational Leadership' by Bass, Waldman, Avolio and Bebb (1987) and the author's assessment of community capacity in Naga City

This study concludes with some valuable lessons from the research:

- That political leadership is relevant to community building.

Political leaders are in a position to use their authority to make changes in their communities. They only need the political will and the personal desire to initiate programs and policies that will help their communities move forward.

- Political leadership style is also relevant to community building.

Political leaders are all individuals with their own histories, and so to talk about leadership style in the context of personality would be impractical. But the concept of transformational leadership provides leaders with benchmarks which they can use in their own way. Individualized consideration, inspirational motivation, intellectual stimulation and idealized influence (Bass, 1998) are values not confined to a particular personality type or behavior. In fact, as we have observed in the case of Naga – these values are somewhat functional. For instance, because Robredo wanted to create an atmosphere of excellence, he drove others to aspire to it by letting them share in his vision (communication); letting them do what they could, the best way they knew how in order to achieve it (delegation); and providing them with the necessary materials and resources to help them actualize their goals (facilitation).

Political leaders have the capacity to build communities, not only through their political will to implement activities relevant to the economic growth of their communities, but more importantly by developing other individuals to become leaders in their own right.

If they are willing to share the responsibility of decision-making, political leaders can use their authority to groom and mentor other individuals, groups, and even the community itself, to become leaders. If a political leader is agreeable to fostering the environment for the participation of the constituency, building confidence among these individuals by encouraging them to participate, and establishing the institutions through which they can rightfully do so then, ultimately, these individuals will be able to lead.

Political leadership is not necessarily confined to one individual but could also be attributed to the system of governance that includes the participation of other stakeholders facilitated by one or a group of political leaders.

*** This chapter is a revised version of "Puatu, A. K. S. (2010). Community Capacity Building and Local Government Leadership: Describing Transformational Leadership Practices in Naga City, the Philippines, *Ritsumeikan Journal of Asia Pacific Studies*, Ritsumeikan Asia Pacific University, 28: 18-41."**

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Networking and Knowledge Sharing for Community Capacity Development: A Case Study of Entrepreneurial Community Groups in Kabaru, Kenya

Yumiko Okabe
Institute for Community Design

1. Introduction

This chapter presents the case study of capacity development in Kabaru location, Kenya, in terms of networking and knowledge sharing. The case community shows significant community capacity development by capitalizing on opportunities provided by the government, NGOs and donors. The key actors in this community are two entrepreneurial community groups lead by a strong leader who made collective activities in the community. The community eventually started to interact with different actors through the community groups and effective knowledge sharing between community members succeeded, contributing to the development of community capacity.

2. Community Capacity, Networking and Knowledge Sharing

Chasking and colleagues (2001) describe community capacity as “what makes communities ‘work.’” It is what makes “well-functioning communities function well.” They emphasise the importance of collective activities. Miyoshi (2010) contributed to the Chaskin and colleagues (2001) model of community capacity by adding a wider definition of community, including individuals, institutions and government actors.

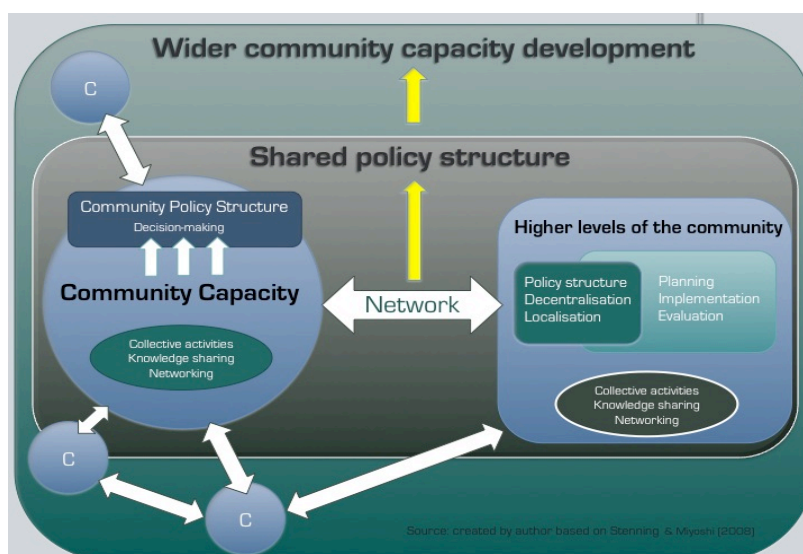
This chapter focuses on networking, which is one of the strategic components in community capacity theory developed by Miyoshi and Stenning (2010). Figure 1 illustrates the analytical framework for this study based on Stenning and Miyoshi (2008), arguing that knowledge sharing and networking are stimulated by each other, generating community capacity development.

This model illustrates wider community capacity development by sharing different levels of policy structures. Networking between different levels of communities fortifies their relationship and eventually effecting individual policy structures to be more aligned. Each community’s capacity is stimulated by their collective activities, sharing knowledge and networking. Networking plays a role as the glue that connects different levels of policy structures, leading higher levels of community to have better approaches to decentralization and localization in the context of planning, program implementation and evaluation.

The chapter uses social network analysis to investigate the case deeper. Social network analysis is a tool used by sociologists to study community. Granovetter (1973) describes social network analysis as “a tool for linking micro and macro levels of sociological theory (p 1360).” Wellman and Berkowitz (1997) suggest that it be used as a basic tool to investigate social structures. They describe networks in social structures as having nodes, social system members, and ties the relationships between node (p 4). Wellman and Berkowitz (1997) also explain “in the study of communities, structural analysis has shown the worldwide importance of personal community networks (p xv).”

Taking a social network analysis approach in community studies allows for investigation into people’s social and supportive community ties with friends and relatives, not particularly bounded by where they live. With this approach, community is defined as it exists in between individual people through kinship and friendship, allowing for a closer examination of the micro level network. This is opposed to large-scale social changes that have already been studied through network analysis in the past three decades.

Figure 1: Analytical Framework



Source: Created by author based on Stenning and Miyoshi (2008)

Understanding the potential role of social capital and networks in the field of development and practice is important (Gittell & Vidal, 1998, p 31). The subject of social capital is very diverse and being paid attention to as one of the most important concepts in a social science (Lin, Cook, and Burt, 2001, p 3). In the transition of social capital theory, Robert Putnam's work takes a central role (Gittell and Vidal, 1998, p 14).

Robert Putnam (1993) states, social capital has “features of social organization, such as trust, norms and networks that can improve the efficiency of society by facilitating coordinated actions (p 167).” He clarified horizontal social capital as “bringing together agents of equivalent status and power (p 173)” bonds specifically as the key for success in democracies. Later on, Putnam emphasised on the distinction between bonding and bridging social capital forms. Bonding social capital refers to close networks and internal assets, whilst bridging social capital refers to networking for access to external assets. Bonding and bridging social capital stimulate each other to generate more of both kinds of social capital (Putnam, 2001, p 23).

Evidenced from its reference by scholars defining social capital, networks are a key element of social capital. For the purpose of this study a social network perspective on social capital is taken.

Granovetter (1973) studied social networks in terms of weak ties that have an original function. His research attempted to uncover the influence of the strength of dyadic ties at the macro level. This was done in order to develop an explanation of how interaction at the micro level accumulates and forms larger patterns. Granovetter concludes:

The personal experience of individuals is closely bound up with larger-scale aspects of social structure, well beyond the purview or control of particular individuals. Linkage of micro and macro levels --- generates paradoxes: weak ties, often denounced as generative of alienation (Wirth 1938) are here seen as indispensable to individuals' opportunities and to their integration into communities; strong ties, breeding local cohesion, lead to overall fragmentation (p 1377-1378).

This study focuses on the network of community members at the micro level. Granovetter's approach utilized a “rather limited aspect of small-scale interaction-- the strength of interpersonal ties (p 1359).”

Granovetter argues that “the analysis of processes in interpersonal networks provides the most fruitful micro-macro bridge (p 1360).”

Knowledge management awareness grew with the rise of interest in research of organisation theory in the early twentieth century (Holsapple, 2004). According to D. Bennet and A. Bennet, “Knowledge organizations, currently in their embryonic form, focus on networking and knowledge creation, sharing, and application. (Holsapple, 2004, p 5)” As human history shows, knowledge management has a key role in achieving human pursuits. Organisations and communities, in the context of efficient policy implementation or collective activities, need certain levels of knowledge management. Knowledge sharing and creation is crucial and it correlates to networking. Jackson and Kassam (1998) state:

Traditionally, most evaluations have been donor driven and professionally controlled; they have been top-down exercises in which the sharing of knowledge has occurred too little and too late. However, many years of development practice have established beyond doubt that local citizens possess valuable information and analytical capacity to assess the achievements and constrains of development processes.---The shared knowledge that emerges through this process is more accurate, more complex, and more useful than knowledge that is produced and deployed by professionals alone (p 1).

This case study focuses on the experience of the people and the organizations at the community level, specifically public administration decision making, community capacity, networks and social capital, as well as knowledge. Governance is described in terms of the local level and decentralization in terms of the district/local level.

3. Governance and Rural Development in Kenya

The attention for international cooperation and aid policy has been changing along with the change in governance. There has been a shift from economic centred development to rural development, although as Chambers (1995) claims, “the extremes of rural poverty in the third world are an outrage (p 2),” it is still, to some extent, neglected. The rural and urban disparity in terms of economy, education, and public services is a common issue all over the world despite the country’s economic status.

The colonial period in most African countries ended in the 1960s and there has been reconstruction and nation building since then. Although the colonial period ended, the relationship between colonial settlers and locals has shifted into that of donors and recipients. Kenya became independent from British colonization on December 12, 1963. British colonization started in the 19th century, however, the colonization period was marked by rebellions. The 1952 revolt, known as Mau Mau rebellion, eventually paved the way for constitutional reforms and development. The colonial administration introduced the institutions, which represented formal mechanisms of government decision making and political influence. These institutions included the native research, in a bid to strengthen itself at the grass root levels and to ensure that development, enforcement of policies and laws were seen as locally made. That rule was an administrative technique meant to legitimise colonial leadership indirectly (Ministry of State for Provincial Administration and Internal Security, 2011).

Many donors are making efforts in development and the issue of governance is growing in importance. Due to this, implementing decentralization is a popular way for policies to reach the ground. However, it is rare to find the real voice of people in the community or their perspective in development.

Like most developing countries, the Kenyan government developed a strategy for poverty reduction called Vision 2030. Although there had been some recent success, this was made in response to the past 40

years of development failure. In designing Vision 2030, the Kenyan government considered the achievement of Millennium Development Goals (MDGs) by 2015. It is also considering expanding support towards its implementation in key areas including decentralization, land reform and judicial reform.

Kenya has a poverty reduction program especially focusing on rural areas. Led by the Ministry of Local Government (MoLG) and funded by the European Union the program called the Rural Poverty Reduction and Local Government Support Programme (RPRLSP) was recently implemented. There are 65 projects under this program that support the efforts of the government of Kenya to reduce poverty through supporting the demand side of decentralized governance (empowerment of communities), as well as the supply side (institution building support to local governments). The program has two components, capacity building of local government authorities and a poverty reduction fund. Capacity building of the MoLG, local authorities and communities focuses on financial management and reporting, project management and community participation. The Poverty Reduction Fund encourages compliance with the basic principles of the reform program and relevant capacity building. The program focuses on market and water and sanitation projects and the construction of necessary infrastructure.

4. Policy Networking in Kenya

The Government of Kenya enacted a new constitution in 2010 focusing on the policy and legislative processes. It recognizes that the deconcentration of power is necessary under decentralization. The fieldwork for this study started before the implementation of decentralization, so the former administrative units -- province, district, division, location and sub-location -- are referenced.

Policy localisation to the district level can be found in Nyeri district, where this study was conducted. The Kenyan government is making an effort towards implementing policies of decentralization and localization.

Mr. Macharia Nobby, a district officer in the Ministry of Industrialization, states there is no decision making at the district level. Policy is transferred to the division level from the central level. Mr. Nobby says that communication between the levels of government is not consistent. This means that workshops, seminars or meetings for rendering policy take place at higher levels of government.

Mr. Fransis Gachihi is the Kabarú Location chief, whose duty is to pass along information about central government policy. Whenever a new national policy from the central government comes out, information is passed down to the location level and the chief informs and mobilizes people to implement a new policy. There is no change in the policy or decision making authority at this level.

There is no vigorous communication between different levels of community in terms of policy transfer. This is especially true from a bottom-up perspective. Policies do not include the local community perspective, but should. Kenyan policy tends to go one way -- down from the central government to the local level.

5. Case Study: Community Networking in Kabarú

Kabarú location is located in Nyeri-north, at the foot of Mt Kenya. Kabarú is on the leeward side of the mountain and the rainfall is erratic and inadequate. The area is rich in natural resources, including water and forests. In many cases, people in the community are only semi-literate and most of the youth are unemployed.

In the context of colonisation, people did not have to interact with those from outside their community because they only needed to follow the settlers' orders. This meant that the internal and external community network did not increase during that time and no one realized its importance.

Many elders and middle-aged people in the community point out that there was lack of information and knowledge in community after colonization, leaving people ignorant of development. These disconnections lead to youths dropping out of school and not being creative enough to start their own business. Ignorance brought on a lot of conflicts between the people. Even still, it is hard to change the mindset and lifestyle from colonial times.

A community communication tool was created during the colonial occupation and still exists today. The *Baraza*, community meeting, was mainly organised to pass information from the colonialists to the community members. It was more one-sided communication at the time. Since independence it has been used mostly for conflict management between community members with the chief as a third-party. The chief conducts the *Baraza* if the issue relates to many people in the community, for instance the announcement of new national policies' implementation. Community elders usually let the chief know when they have issues among them, so that the chief is in control of the issues in the community.

Community churches are a place for announcing upcoming community events, such as the *Baraza*. This is because most people in the community go to church on Sundays and it is the easiest and most convenient way of passing information. With the expansion of mobile phone use people have started passing information to one another via text or phone call. Many elders see this as a big change in the community.

5.1 Leadership and Networking in Two Community Groups

Robert Wanbugu Wanjohi is a strong youth leader in Kabaru. The reason why he is considered a strong and influential leader is that he was selected as a youth leader from the sub-location level when the Ministry of Youth and Sports (MoYS) organized their youth leaders at the district level. It was difficult for him to organize the youth of such a large area, so he decided to focus only on the sub-location level where he knew many people and could reach out.

Robert did not have working experience in a company before he became leader of the groups, but he always wanted to be an entrepreneur. He figured it was a good time to start when he finished his bachelor's degree in horticulture. He says the concern for his community is a result of the influence of his family. Both of his parents are influential people in the community, which made Robert rethink the situation in his community.

Although he studied outside the community, Robert wanted to come back to make a business. This is in contrast to other educated youths who often go to Nairobi or other big cities for work. Robert believes that even in rural areas there is something that can be done to become a success.

As a part of the national policy striving to promote the holistic youth development, the MoYS implemented a program in the communities in 2004. This was the same time Robert began to formulate his business ideas. The basic idea of the policy is to form a group of youth to make them self-reliant, fully integrated and productive in society. The impetus for this program came from the problems youth had with drugs, alcohol, joblessness and hopelessness. In order to change the behavior of youths in Kenya there is a need for strong leaders at all levels of the community.

The youth in Kabaru learned about the MoYS policy through a special *Baraza*. Many groups were created, but only the Kimahuri Youth United Self-help Group (KYUSHG, the Kimahuri group) remains. The Kimahuri group decided to engage in silk farming, which is very unique and uncommon in Kenya. The other youth groups' failings stems from a lack of leadership and their inability to take advantage of funding opportunities provided by the government.

The failings of the other groups demonstrate the problem of policy implementation at the local level in rural communities. Even if there is an opportunity for development, it is still difficult for them to take

advantage of it. When the community capacity is high enough, like it is in the Kimahuri group, and there is a leader to guide members properly then the group is better able to take advantage of the opportunities provided to them. Despite this, however, even the Kimahuri group has struggled.

Table 1 shows Robert's network resources and the knowledge outcome for the community. His starting point was networking with people close to him, from local government officials to his family. Robert's continuous networking generates social capital, especially bonding social capital. Robert created another group called the Jitunze Environmental Self-help Youth Group with the assistance of his closest friend, Samuel. They came up with the idea of trout farming through Samuel's experience in this area. The two groups have many members, structures and activities in common since Robert leads them both. Networking of the members expands to outside of the community.

Clearly the number of interactions with higher levels of the government has increased since the formation of the groups. Robert had to find many sponsors in order to expand and improve their business, and this brought vigorous networking with many actors in different sectors. Although the groups found a big sponsor, Robert never stopped looking for others.

5.2 Collective Activities

A big company that produces milk products all over Kenya called Kenya Co-operative Creameries Ltd. (KCC) is close to this community. Since most farmers own dairy cows given to them by the colonial government, people in Kabaru started collecting milk at certain points in the community. This activity served as the base of the Island Farmers Co-op Society, which started in 1963. The community identified the market resource and made a well functioning activity.

People in Kabaru are heavily engaged in farming and they often complain about *middlemen* who exploit farmers. Middlemen taking advantage of farmers that do not have market access is a widespread problem in Kenya. Farmers claim that it is very difficult for them to do marketing from their community because they lack networks with other areas, as well as the competition from similar products in bigger markets in bigger areas. Many markets in Kenya are very similar with the same unprocessed products. The

Table 1: Robert's Network and Knowledge Outcomes

Affiliation	Person	Network Ties	Knowledge Outcome
Government	Chief (sub chief)	<ul style="list-style-type: none"> Conflict management: formal Networking with higher level of government 	<ul style="list-style-type: none"> Policy availability Creation: Group management, better network resource
	Geoffrey	<ul style="list-style-type: none"> Continuous communication: informal Networking with higher level of government 	<ul style="list-style-type: none"> Sharing: borrowing books, basic farming information Creation: new method of farming
	Retired officer	<ul style="list-style-type: none"> Networking through Geoffrey: informal 	<ul style="list-style-type: none"> Sharing: production information
Jitunze	Samuel	<ul style="list-style-type: none"> Kinship: informal 	<ul style="list-style-type: none"> Sharing: vision, dreams Creation: trout farming idea
Jitunze	John	<ul style="list-style-type: none"> Workmates: informal, trust and respect 	<ul style="list-style-type: none"> Sharing: production process
Kimahuri	Solomon	<ul style="list-style-type: none"> Neighbourhood: informal, supportive 	<ul style="list-style-type: none"> Sharing: management with Jamaima
Jitunze & Kimahuri	Jamaima	<ul style="list-style-type: none"> Workmates: informal 	<ul style="list-style-type: none"> Sharing: management information
Kimahuri	Paul	<ul style="list-style-type: none"> Workmates: informal, trust, supportive 	<ul style="list-style-type: none"> Sharing: Training knowledge, common visions
Jitunze	Joseph	<ul style="list-style-type: none"> Neighbourhood: informal, advisory 	<ul style="list-style-type: none"> Sharing: management, especially financial information
Family	Lydia	<ul style="list-style-type: none"> Kinship: informal Networking with other youth groups from outside and inside community 	<ul style="list-style-type: none"> Sharing: policy information
Jitunze & Kimahuri, Family	Milka	<ul style="list-style-type: none"> Kinship: informal, supportive as a wife, partner, member 	<ul style="list-style-type: none"> Sharing: personal experiences

Source: Author

biggest concern among individual farmers is that they will make no money when they deliver their products. Farmers have little confidence in selling their products, so they rely on middlemen who at least provide some income to the farmers.

The activity of collecting milk has been quite a success, although similarly successful activities for other crops or products have not been found in the community. This remains a challenge for this community.

The Kimahuri and Jitunze groups help their activities by sharing their knowledge of business and production. Making a business in the community is for the benefit of the local people and, as Robert says, “to make employment by ourselves in this rural settings.” This attitude makes it natural for Robert and the groups to share their opportunities. To accomplish this, the groups provide training on production knowledge for other farmers or groups and assist those interested in starting their own business. They also share market resources and hire other farmers for part of the production process such as growing mulberry plant. The groups’ activities involve many other community members and this has influenced people to think favourably of this unique business.

5.3 Community Capacity in Kabarú

The groups became more active and creative in their business, fostering further growth that develops community capacity in Kabarú through the interaction with other community members during knowledge sharing and involving them in the groups’ activities.

For example, Robert’s continuous networking introduced visitors to the community, including higher level of government, NGOs, the national newspaper and foreign donors. This impressed community people and made them think more positively about the groups and their activities. The collective activities of the group generated the characteristics of community capacity in Kabarú, especially a sense of community and vision. Robert’s strong leadership and networks contributed the strategic components of human resource, leadership and organizational development into the community. Even though community capacity is not high overall in Kabarú, they had the ability to take this policy and use it to their benefit.

6. Conclusion

Networking worked as glue to fill the gap between the community’s and the government’s policy structure. It is important for local people to know what they need and what they can do to make policy beneficial for them. When a community has capacity to take responsibility and carry out objectives government policies, like the one MoYS provided, are a good resource. To share the common goal of rural community development between the local community and the government, continuous networking from both sides is needed in order to make policy more effective. Knowledge sharing through this process is also necessary.

The national government should make a policy structure including the voice of local people. It may be difficult for the central government to make beneficial policies for the local community, but taking a bottom-up approach involving the local community improves policy. Community capacity, in this sense, can be used as a tool to facilitate interaction with higher levels of community. Bottom-up and top-down approaches are necessary.

This case study shows a community with networking and knowledge sharing has a substantial development approach, increasing community capacity. However, the description of the type of network and knowledge are still vague theoretically. For further studies, this study suggests clarifying the description of networking in the context of community capacity development, especially the identification of which kinds of networks provide which kinds of knowledge.

There are many organizations working on development in Kenya, from the national level to the local level. People are making efforts for better living; however, there are many people who do not know what to do and how to do it, especially youth. The important thing for them is not big-scale successes, but small-scale success in their daily activities and having confidence in what they do. The shape of development is different in different communities. For Robert, sharing knowledge and implementing activities for other communities or groups is the easiest and fastest way of development. Growing leaders, human resources and skills takes time for development. Rural development is fostered when communities go step- by-step on small activities and have a vision of their future development.

Communities are dynamic, complex and ever-changing. Following successful cases blindly is not the best idea; instead this case study suggests a community capacity development approach emphasising on networking and knowledge sharing. Each community has their own uniqueness and varied resources. Strengthening their potential capacity generates wider community capacity development. In addition to that, as Miyoshi (2011) emphasises in his lectures on community capacity development, if a community can identify the implementation organization for the development activities as the bridge to connect different levels of communities, it will have a higher value-added and more sophisticated community policy structure.

*** This chapter is a revised version of "Okabe, Y. (2011). Networking and Knowledge Sharing for Community Capacity: A Case Study for Entrepreneurial Community Groups in Kabaru, Kenya, (Master Thesis: Ritsumeikan Asia Pacific University) unpublished paper."**

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Community Capacity Building and Collective Activities:

A Case Study of the Teenek Indigenous Community of Tamaletom, Mexico

Olga Barreda

Ritsumeikan Asia Pacific University

1. Introduction

This chapter explains the case study of community capacity development in Tamaletom community, Mexico, through the analysis of collective activities and their evolution. In this chapter I identified two types of collective activities: Traditional Collective Activities (TCA) and Community oriented Collective Activities (CCA). They both impact Community Capacity in different ways and levels. Higher levels of Community Capacity make more complex Collective Activities possible, creating a cyclical relation. Soon, they were able to engage in a combination of both types of collective activities, continuously and gradually building Community Capacity.

2. Community Capacity and Collective Activities

Community capacity is “a basic element that enables a community to function, and refers to the ability to achieve the community’s shared goals through collective efforts of ... the community members, utilizing ... resources available within the community (Miyoshi 2010, p 7)”.

Chaskin and colleagues (2001, p11) identified collective activities as an important factor of community capacity, as well as a need of a platform to engage in them. Platforms serve as a space where even individuals that are motivated by their own benefit, work with other similar individuals that otherwise would not collaborate with, i.e. a marketplace, a festival venue.

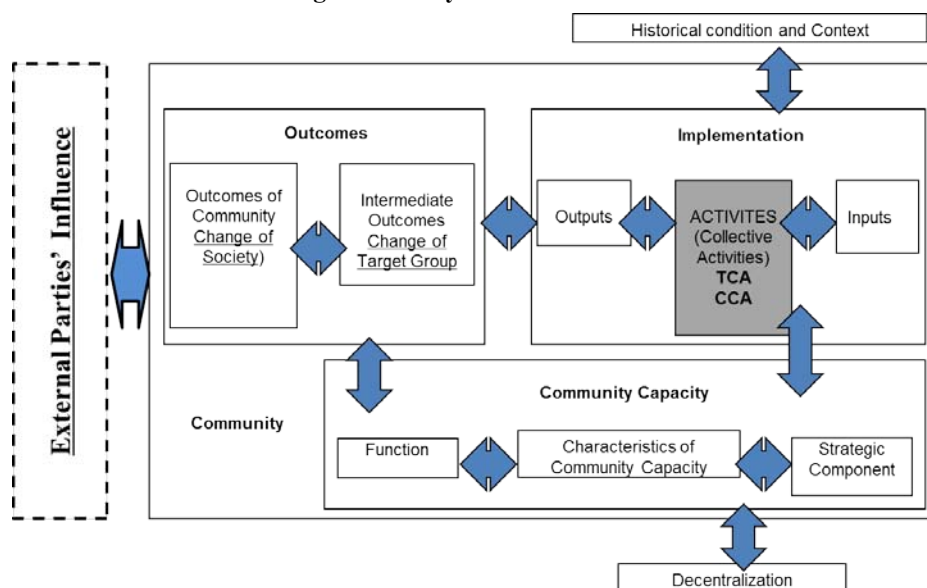
Figure 1 was created based on Miyoshi and Stenning (2008) and illustrates the connection between collective activities and community capacity. In this framework, the importance clarifying the historical context and decentralization policies in the case is highlighted. Collective activities are divided into Traditional Collective Activities (TCA) found naturally in the community and Community oriented Collective Activities (CCA) triggered by the external parties. As the activities and capacity stimulate each other to reach more sophisticated levels, eventually more types of collective activities are expected to be found.

One important element of the figure are the external parties whose influence impacts the activities within the community policy structure, much like leaders change the community’s existing values, norms and rules, to create new ones (Figure 2). External parties create new collective activities with new objectives different from the ones found naturally in the community. This process creates new goals and therefore community change, increasing community capacity.

3. Development Policies and Decentralization in Mexico

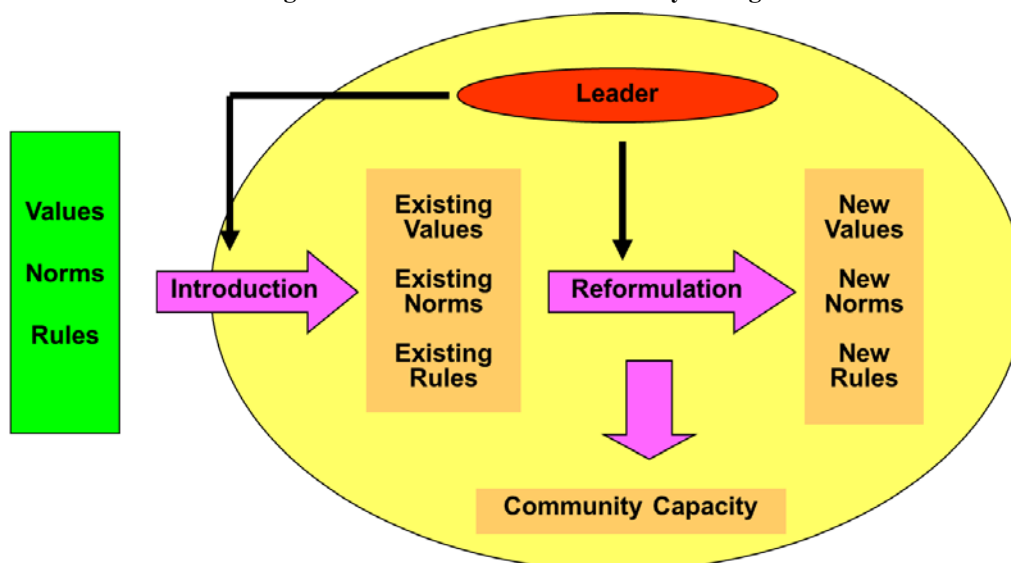
Mexico was colonized by Spain from 1521 to 1821. In 1910, the Mexican Revolution started and eventually produced the constitution of 1917, which is the ruling constitution until today. In 1929 the National Mexican Party was founded, then renamed to the Institutional Revolutionary Party (PRI). The PRI won all presidential elections for approximately the next 70 years. Partly due to popular discontent of one sided elections, in the year 2000, the opposition party, Partido Acción Nacional (PAN) finally won the

Figure 1: Analytical Framework



Source: Created by author based on Chaskin et. al. 2001, Miyoshi & Stenning, 2008 and interviews and observations

Figure 2: Role of Leader in Community Change



Source: Miyoshi, 2011

presidential elections showing a slightly increased democracy.

Throughout this time, the indigenous population endured suffering and discrimination. Most of the rural population in Mexico is indigenous and suffers from poverty due to this historical discrimination and underdeveloped rural development strategies. The community in this case study is in a region characterized by its indigenous rural poverty. To counter this, the approach of the National Government for development consists of assimilation and incorporation of the indigenous communities in the strategies for development while recognizing and respecting their identity as stated in the National Development Plan based on the national strategy called Vision 2030.

After the Latin American economic crisis of 1980's decentralization has been reshaping the political

environment by implementing reforms that will strengthen the local and regional authorities in Mexico as well as the whole Latin America. In 1983 and later on again in the 1999, Mexican government launched reforms that would give local authorities (*municipios* or municipalities) more autonomy and resources (O'Toole, 2011).

The states are able to create their own policies (following the national policy) having the right to create their own state constitution, and at a municipality level, the government is free to plan out the local infrastructure and investments, waste disposal, and so on. However, the states and municipalities are still somehow limited to do so since the resources mainly come from the central government (O'Toole, 2011). A tendency of allowing more public expenditures to the sub-national levels is apparent in Mexico since the mid-1980's and federal states have received a steady 17-19% of the national budget for the latter half of the last decade.

The indigenous communities were also given a limited autonomy after the constitutional reform of 2001 triggered by the protests of the organized group of indigenous peoples from Chiapas called *Zapatistas*.

In reality, even after a global trend towards decentralization, power is still concentrated at the national level, with little decision making power at subnational and community levels. Efforts to localize the policy planning process are being done to include proposals from the local communities but policy making and implementation is still concentrated in the central government.

Decentralization in Latin America progresses through top-down policies, as the central government sees local governments as not having enough capacity to control, direct and elaborate its own policies. In the case of decentralization of poverty reduction policies, Mexico's subnational governments' role consists on adapting the national guidelines to the particular needs of their jurisdictions, and some national programs are fully managed by the central government, leaving subnational governments with the role of implementer with no influence on policy making (Cabrero, 2007).

This role of implementer was already discussed by Grindle (1980) taking the case of Mexico. She argued that they end up being more responsive to groups considered essential to the regime in power, rather than the intended beneficiaries of the program for which he is responsible (p. 200) and that one way of tackling this is to improve the capacity of the intended recipients for effective demand making (p. 222). She concluded given this issue, the intended beneficiaries have to rely on the congruence of their needs with the goals of the implementers to benefit from the policies.

On the other hand, the concept of decentralization is inevitably linked to building capacity at the smallest levels of community. If the capacity of the community organizations or local government is not high enough, allocating power and resources to the lower levels of community often results in the creation of widening disparities and increasing corruption (Cheema & Rondinelli, 2007, pp. 8–10). For this reason, this case study focuses on how to increase community capacity by engaging in collective activities by presenting the experience of the community people, organizations and leaders of Tamaletom.

At a community level, decision-making is limited to internal administration and problem solving through their local authorities: the vigilant council, and the commission of common lands, however they do not create their own policy. The community of Tamaletom organizes a General Assembly once or twice a month to discuss issues related of the community but they do not have a space or resources to discuss policy localization. They have the right to create a community development plan and send it as a proposal to the municipal government so it can go up the government levels and be part of the national policy. However, the community lacks the capacity to create a plan with all the necessary elements to be accepted as a proposal.

4. Case Study: Collective Activities in Tamaletom

The community of Tamaletóm is located 5 Kms away from the *cabecera* of Tancanhuitz municipality. It is divided in 3 sections separated by mountain paths and streams, each about a 10 to 15 minute walking distance from the other. The main productive activities are production of sugar cane, corn, beans, orange, and mandarin. However the community is nationally and internationally known for its cultural heritage that is the *Bixom-Tiiv* dance, also known as “*Gavilán*” or “*Volador*” (hawk or flying man) dance, and traditional embroidered handcrafts.

The government has supported the community through different programs mainly for agricultural production and infrastructure. The municipal government also collaborates with The National Commission for the Development of Indigenous Peoples (CDI) and other institutions through the Office of Indigenous Matters, by contacting the communities, co-financing and coordinating programs. Common opinion though, is that supports and projects that come straight from the municipal office are implemented with political objectives, to win votes, not to benefit the communities.

4.1 Traditional Collective Activities

Collective activities are characteristic of all Teenek communities, including the community of Tamaletóm. Among these activities are voluntary work called *faena*. It is done mainly among men and usually consists of labor intensive work but also cleaning roads, weeding and simple tasks. The *faena* is a very important mechanism of cohesion because from a very young age they have the obligation to participate. This voluntary work can be at a community level or family level. This work is also called upon in case of a natural disaster when people need their house to be rebuilt or need a place to stay.

The tradition of embroidery and dances are transmitted to them by their ancestors, and are performed collectively during festivals and ceremonies. Religious processions are also part of these activities. Each home in the community receives a group of people that are carrying a saint, gives them food and water, and lets them rest. Everyone in the community does it as part of their obligation as member of the community. The community participates freely in the General Assembly which is also used as a platform to organize all of the before mentioned community events.

These activities foster a strong sense of community since most of these activities are not remunerated, are shared among everyone equally and are based on the principle of reciprocity and preservation of their identity. All the people in the community identify themselves as Teenek people of Tamaletom. This is strongly rooted in their common values and norms, in their identity as an indigenous community. These values and norms are shared in the community through their traditional activities such as dances, music and embroidery.

4.2 Community Oriented Collective Activities

In the recent years, NGOs and Decentralized Government Organisms have worked together with the community of Tamaletom. To work together with the community they require that the members organize themselves and get involved by participating actively with them. The activities of NGO's such as World Vision and COMCAUSA include workshops to introduce new farming methods, production and processing of products, water treatment or even general awareness of their rights as indigenous people.

CDI, a Decentralized Government Organism at a national level, has worked with the community of Tamaletom through various programs such as the Program of Productive Organization for Indigenous Women (POPMI), and Program for Fostering and Promoting Indigenous Culture (PROFODECI), canalizing resources to members who organize themselves towards productive activities or the preservation of their indigenous traditions.

These efforts have indirectly created awareness and even though not all are successful or completely beneficial to the community, they created new collective goals in the community. These activities were the base of for fostering commitment among members, as well as awareness of new resources and ways to plan and achieve new objectives. With people getting used to engaging in new types of Collective Activities other than the TCA, and working together with people outside the community such as NGOs and Decentralized Government Organisms, eventually new and more complex activities appeared under the leadership of a former local authority, Benigno Robles.

5. Role of Leadership

Benigno Robles (Benigno) is a social leader of the community of Tamaletom. He came from outside the community. He studied traditional medicine plants and linguistics. He mentioned he studied some time in Guatemala, where he realized the excitement and love the Maya have for their own culture. He started feeling the necessity to do something for his own community.

When Benigno came with his idea of rescuing and preserving the culture and traditions of the community, not many listened. However, he managed to rescue and promote some of the traditional dances. Benigno started wondering where they practiced the dance of the *Bixom-Tiiv* in the old times. He found out the exact place and asked the commission to assign that land as a sacred place, as a Ceremonial Center.

After discussing the issue in the General Assembly, and managing to convince the majority of the community, he could recover the Ceremonial Center. Benigno then sought support from organizations outside the community. It took 10 years and support from various organizations to complete a tourism project in that place that included facilities such as a museum and kitchen.

Benigno organized some new community groups, and some of the existing workgroups formed under projects of external parties started merging with the new Ceremonial Center as well. These groups started working under the same objective of preserving and promoting the traditions to draw tourists' attention. In addition, educational workshops lead by Benigno Robles started at the ceremonial center. 53 people of the community are listed as participants including the instructors who are also members of the community. The main topics are language, music, dances, agriculture, embroidery and rituals. They also started to conduct ceremonies at the ceremonial center that were once lost or practiced somewhere else, such as the corn ceremony and the spring ceremony where the group of dancers perform their famous *volador* dance for the community and visitors.

Community groups such as the one of the embroiderers groups started value addition and commercialization of their embroidery thanks to Benigno's support. Women groups operate a traditional where the women sell their traditional dishes, and together with other groups collectively manage the Ceremonial Center under Benigno's lead.

6. Transformation of Collective Activities

The Ceremonial Center was used as a platform where community groups engage in collective activities that addressed collective goals (CCA) which are based on existent collective activities (TCA). These activities are possible thanks to a strong sense of community existent within them which was nurtured and promoted by Benigno, and also because of the renewed commitment among members, and their increased capacity to organize and access resources partly due to the influence of external parties.

They turned what used to be TCA into activities addressing the community interests and needs of preserving traditions and achieving welfare, in other words, more complex CCA (TCA+CCA). Utilizing their community capacity, even though the stage of development of these groups is very early, they already


reached a more sophisticated policy structure. The evolution of the Collective Activities through time in Tamaletom is summarized in Table 1.

7. Conclusion

This chapter provides a case where two types of collective activities were identified and described with concrete community activities. The first of these are the Traditional Collective Activities which can be either done because of cultural heritage or to subsist harmonically with the rest of the community. Because of the endogenous nature of these activities, and the cultural, religious and reciprocal context involved, these were found to directly foster the sense of community of the people who engaged in them. They increase their awareness of their community and sense of belonging and were naturally found in the community.

The second of these are the Community oriented Collective Activities. In this case they were introduced by external actors of the community but adopted and promoted by the leaders and some community groups. They feature a common goal towards the community's benefit which in this case was preserving their traditions and increasing their quality of life. People that engaged in this kind of collective action featured an increased commitment, ability to access resources and also to set and achieve objectives to different levels on a case by case basis. This common goal also strengthens and promotes sense of community.

Table 1: Logical Framework of Collective Activities

End outcome	Intermediate outcome	Output	Activities	Input
Everyday subsistence and harmonious community	Creation of sense of community	Building works, basic foods, decisions on consensus	Voluntary work (Faena, or Tequio) Trade among neighbors Religious processions General assembly and other administrative assemblies Farming Dances House building/ Disaster relief	Local people Local products
 External influence and leadership				
Preservation of traditions and improvement of life in the community	Creation of commitment Working towards a collective objective Increased access to resources	Development of the creative and productive skills of the community to improve their income, self-esteem and relations as a group Development of awareness of external resources and a common objective	CCA by external influence Groups under CDI programs Festivals organized by Instituto Nacional de Antropología e Historia (INAH) Radio programs Workshops: <ul style="list-style-type: none"> • First aid for tourists • Recovery of indigenous plants • Organic farming • Backyard vegetable farming • Self-esteem building • Fertilizer production • Value addition to honey products • Utilization of digital cameras and computers • Water recycling CCA from TCA Fiesta del Maiz (Corn Festival) Management of the ceremonial center Festivals in the ceremonial center and community workshops on culture and traditions Direct sales	Financial support from external organizations Technical support from external organizations Local leader Organized community groups

Source: Created by author based on interviews and observations

The impact of Collective Activities in Community Capacity can be seen as a cycle where one impacts on the other and so on building on each other continuously. In this case study, TCA built community capacity by developing a higher sense of community which allowed individuals to identify their traditions and culture as unique. With the intervention of external actors, CCA were created and some groups and individuals developed a higher community capacity by increasing commitment, recognizing and accessing resources, and setting and achieving their own objectives. A greater community capacity allowed them to create their own more complex CCA based on their previous TCA, which is presumed to build more community capacity and more collective activities in the future.

Following the trend of using Appreciative Inquiry approach which focuses on the strengths and opportunities rather than problems and solutions, policy makers should identify the different types of collective activities naturally existing in the community or those which are already receiving external support, and include such among the strategic priorities for development of community capacity. Like AI highlights, existing resources such as potentially successful TCA or motivated groups receiving external support could become potential sources of knowledge and resources and therefore it could even be used to promote endogenous development (Kodama & Kimura, 2008).

The concept of collective activities was developed here but it is still vague and needs more research. Clarifying what other kinds of collective activities are out there and how they directly influence capacity would provide valuable knowledge that could help developing strategies to build community capacity. It would be worth studying other cases where both kinds of collective activities or more are identified and study its parameters and implications.

*** This chapter is a revised version of “Barreda, O. (2012). Community Capacity Building and Collective Activities: A Case Study of the Teenek Indigenous Community of Tamaletom, (Master Thesis: Ritsumeikan Asia Pacific University) unpublished paper.”**

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**PART VII:
PROJECT PROPOSALS FOR
COMMUNITY CAPACITY AND
RURAL DEVELOPMENT**

Rural Development Project through Community Capacity Development: Project Proposal for Surin Province, Thailand

Hisano Ishimaru and Koichi Miyoshi
Ritsumeikan Asia Pacific University

1. Introduction

Disparity between urban and rural communities has widened although many effective rural development approaches have been implemented. Kingdom of Thailand has also suffered from the same problem and introduced many approaches including the One Tambon One Product (OTOP) movement which was introduced in 2001. It is one of successful rural development approaches and has brought positive changes to rural communities. To continue this success in rural communities, Ritsumeikan Asia Pacific University (APU) in Japan and Community Development Surin Office (CD Surin), Community Development Department (CDD) in Thailand implement the grass-root technical cooperation project called “rural development project through community capacity development in Surin Province” with Japan International Cooperation Agency (JICA)’s support. This paper introduces the background, implementation framework, activities and outcomes of the rural development project in Surin Province, Thailand.

2. Background of the Project

It is the starting point of the project that a community development expert from CD Surin participated the training which JICA entrusted to APU. Based on her achievement in the training, CD Surin and APU planed the rural development project and applied for JICA’s grass-root technical cooperation project. This chapter briefly reviews the background of the project with the situation of Surin Province and the training in Japan.

2.1 Current Situation of Surin Province

Surin Province is one of the typical rural communities in the Northeastern part of Thailand and has almost same problems as other rural communities. Main industry is agriculture such as sericulture, jasmine rice and organic vegetables. However it is difficult to get enough cash income from agricultural activities. More and more working-age people have migrated to urban cities to earn cash (Likhasith, 2010). Drain of young working-people suffers the inheritance of local wisdoms and traditions to new generations. Local wisdoms and traditions are disappearing in rural communities.

To strengthen rural communities the OTOP movement was introduced in 2001. CDD in Ministry of Interior is one of the main promoting actors. Provincial and District CD offices have taken roles to directly communicate with people in rural communities. By promoting the OTOP movement local resources have been discovered in rural communities and begun to be processed to products. Local brands have been developed with the OTOP logo and stars which guarantee quality of products. It brought positive changes to rural communities. The OTOP movement has also promoted the preservation of local wisdoms and traditions. Knowledge-based OTOP (KBO) is one of tradition preservation approaches. CD Surin also promotes KBO and conducts trainings to local youth such as silk handicraft making workshop.

Thailand is also famous as the tourism destination and is often called the land of smile. Tourism

industry also has potential to develop rural communities like the OTOP movement. Thailand has selected the OTOP champion villages in all seventy seven provinces and promoted green tourism in those villages. CD Surin has also provided the guide trainings to people in two OTOP champion villages, supported to develop the home-stay programs and opened these villages to tourists. However, marketing, how to find potential tourists is still on the way.

To support and strengthen existing activities, especially the OTOP movement, develop rural communities, CD Surin looked for the new approach and sent the development expert to the training in Japan to find it from Japanese experiences in rural development.

2.2 Training in Japan

An initial idea of the project was developed through the training at APU in June, 2010. The development expert from CD Surin at the training attended the training and developed the action plan in Surin Province. The training was conducted by APU in the collaboration with JICA under the name of “Community Capacity and Rural Development Promotion for Asian Countries -One Village One Product-.” It is organized with the goals of 1) enhancing the understanding of the concepts of community capacity and rural development; planning and evaluation, the One Village One Product (OVOP) Approach Model, and the Decentralized Hands-on Exhibition Approach Model; 2) enhancing the understanding of practical systems and the approach for community capacity and rural development based on cases mainly from Oita Prefecture including the OVOP Movement and the Onpaku which is an example of the decentralized hands-on exhibition approach model through study tours and group discussion on case studies; 3) analyzing rural development based on community capacity development through group discussion; and 4) formulating action plans for rural development plans based on the OVOP movement and community capacity development resulting from workshops on participant cases (Miyoshi, 2011).

The training aims to improve policy structure of participants’ communities. Figure 1 shows the concept of the training for rural development (Miyoshi, 2011). Existing policy structures in their communities are shared at the beginning of the training, the inception report presentation session. Through attending the training, their policy structures are revised and modified based on 1) concept learning, 2) study tours, 3)

Figure 1: Concept of Training Program



Source: Miyoshi (2011)

case studies and 4) groups discussions. Their revision and modification of the policy structures are described in the interim report/action plan. After they go back to their communities, their reports are shared with community members and organizations they come from. Final revisions are conducted among them. Final action plans are put into final papers as the achievements of the project and implemented in their communities.

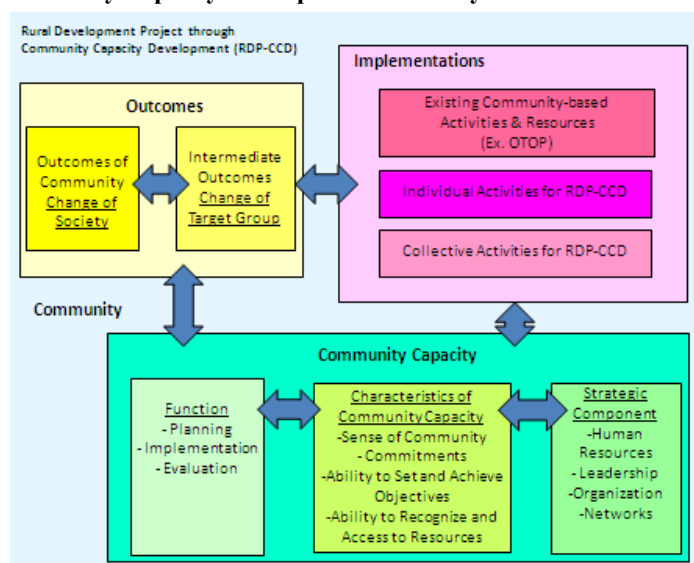
In the case of Surin Province, the development expert attended the training and modified the policy structure of Surin Province focused on the OTOP movement. Based on what she learnt in Japan, concepts of community capacity development, planning and evaluation, the OVOP approach model, and the Decentralized Hands-on approach model the action plan is formulated. With the cooperation with APU the action plan is revised and transferred to the project proposal of the JICA grass-root technical cooperation project.

3. Theoretical Approach –Community Capacity Development and Policy Structure Model

Rural development has to be promoted from the perspective of people in rural community. Despite of significant economic development in many countries rural population have been left behind and continue to find it difficult to compete with urbanized areas and achieve real improvements in living conditions (Miyoshi and Stenning, 2008). To emphasize an alternative development approach, Miyoshi and Stenning developed it focusing on community capacity development that benefits to rural communities. Miyoshi and Stenning’s community capacity development and policy structure model is the basic theoretical idea of the training at APU and the project in Surin Province.

Community capacity development and policy structure model is a dual function model aiming at developing community capacity, and introducing and implementing a higher value added and better well-being policy structure to change the life of the community’s population (see Figure 2). In this context community capacity is defined as the ability of a community to produce outcomes in society which organizations and individuals produce as the result of their collective activities by utilizing available resources including human resources, physical, social, political and organizational resources to them (Miyoshi, 2011).

Figure 2: Community Capacity Development and Policy Structure Model and the Project



Source: Created by the authors based on Miyoshi and Stenning (2008)

In the project in Surin Province, outcomes are change of Surin Province and Surin citizens. Implementations, activities of the project are both individual and collective activities for the project. It also includes existing community-based activities and resources such as the OTOP movement. These activities are collaboratively implemented the community of Surin Province and contributes to develop community capacity of Surin Province. Policy structure and community capacity are interacted with each other. More policy structure is sophisticated, more community capacity is developed. The project aims to sophisticate the policy structure and develop community capacity of Surin Province.

4. Project Actors and Implementation Framework

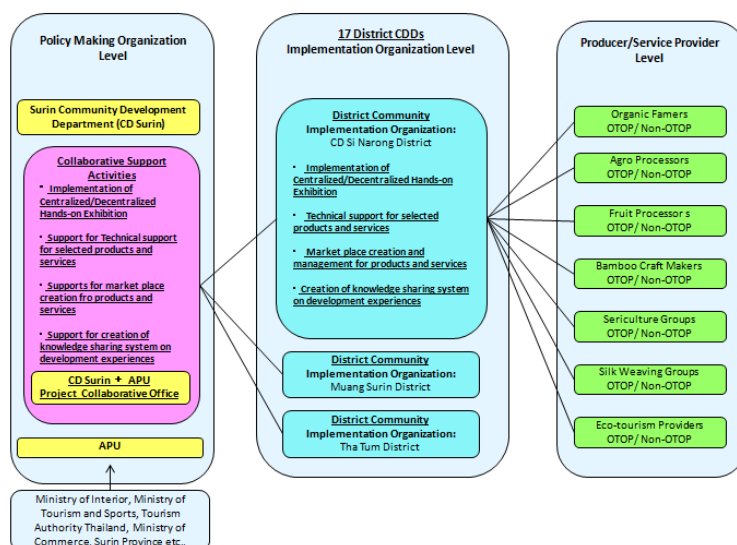
Human resources and organizations related to the project are one of the most important factors of the project. Project actors are divided into three levels based on their responsible activities (see Figure 2). There are 1) policy making organization level, 2) implementation organization level and 3) producer/service provider level.

CD Surin and APU are in charge of the policy making organization level. CD Surin and APU establish the collaborative office in Surin Province and cooperate with related organizations such as Ministry of Interior, Ministry of Tourism and Sports, Tourism Authority Thailand, Ministry of Commerce, Surin Province and so on. It mainly arranges and provides supports to implementation organizations, and works for the creation and improvement of the project guidelines.

Implementation organizations mean district CD offices. There are seventeen district CD Offices in Surin Province. Each district CD takes a role of the implementation organization in the responsible district. District CDs directly communicate with local producers and service providers, take up their ideas and opinions and conduct the project.

Producer/service provider level is local producers and service providers in seventeen districts in Surin Province. There are included both OTOP and Non-OTOP members such as organic farmers, agro processors, fruit processors, bamboo craft makers, sericulture groups, silk weaving groups, eco-tourism providers and so on. They are the main target of the project and the project is implemented to develop their communities. These community capacities are developed and policy structure is improved to a higher value-added and better well-being one.

Figure 3: Project Implementation Framework



Source: Created by the authors

5. Project Activities

The main body of the project is what is implemented to change the society in the project. To develop community capacity and improve policy structure to the higher value-added and well-being one the project conducts four activities;

- 1) Implementation of centralized/decentralized hands-on exhibition,
- 2) Technical support for selected products and services,
- 3) Market place creation and management for products and resources and
- 4) Creation of knowledge sharing system on development experiences.

These activities are basically got ideas from Japanese experiences of the OVOP movement and the decentralized hands-on approach. In this chapter, details of these four activities are described with the introduction of the idea of Japanese rural development approaches. Especially the implementation of the decentralization hands-on exhibition is described in detail because it is the key leading activity of the first year of the project.

5.1 Implementation of Decentralized Hands-on Exhibition

The implementation of the decentralized hands-on exhibition promotes collective activities in the community and contributes to develop both policy structure and community capacity. The decentralized hands-on exhibition approach is viewed as a specific type of community capacity development and policy structure model. We created the decentralized hands-on exhibition approach based on the observation and analysis of the experiences of the Onpaku movements in Japan. The introduction of the Onpaku movement and the implementation of the decentralized hands-on exhibition are conducted by several Latin and African countries where there are former JICA trainees. However Thailand is the first country to conduct it in Asia. An elaborative planning is conducted by CD Surin and APU.

5.1.1 Characteristics of the Exhibitions

Before the mention of the implementation of the decentralized hands-on exhibition in Surin Province, we briefly introduce the characteristics of the exhibitions. Characteristics of exhibitions are basically classified into four categories; 1) centralized display exhibition, 2) decentralized display exhibition, 3) centralized hands-on exhibition and 4) decentralized hands-on exhibition (see Table 1).

Centralized display exhibition is well-known exhibition which is held at a pavilion and shows many exhibits and attractions from different places such as the international exposition. Visitors are passive existences and come to see these exhibits and receive what exhibitors want to tell about these. Then the owner of the exhibition is an organizer and exhibitors do not have ownerships in the centralized display exhibition.

Decentralized hands-on exhibition has totally opposite idea. The decentralized hands-on exhibition is the exhibition which does not have a pavilion and experience-based programs such as handicraft making, cooking and walking tour are provided as exhibits. Each exhibit is provided at exhibitors' places. Each exhibit is planned by each exhibitor so that its ownership belongs to them. The Onpaku belongs to this category.

The centralized display exhibitions are already held in Surin Province. There were at least five OTOP-related centralized display exhibitions in 2011. In this project the decentralized hands-on exhibition is introduced and implemented in Surin Provinces. In collaboration with existing OTOP-related centralized display exhibitions the decentralized hands-on exhibition is developed with implementations of centralized hands-on with decentralized display exhibitions.

Table 1: Characteristics of the Exhibitions

	Centralized	Decentralized
Display	<p>Centralized and Display Oriented</p> 	<p>Decentralized and Display Oriented</p> 
Hands-on	<p>Centralized and Hands-on Oriented</p> 	<p>Decentralized and Hands-on Oriented</p> 

Source: created by Authors

5.1.2 Concepts of the Decentralized Hands-on Exhibition

There are three major factors that lead to the decentralized hands-on exhibition approach attracting attention as a rural development strategy. Programs which are provided in the exhibition are small-scale, short and repetitive. This situation in turn then triggers ongoing success for the programs. Furthermore, the repeated implementation of individual programs provides opportunities for partners to test market services and goods and to create business models that enable customer acquisition and local resource utilization as a community. In this way, the decentralized hands-on exhibition approach increases motivation in small and medium enterprises and small-scale agricultural producers.

In addition the introduction and implementation of the decentralized hands-on exhibition approach as policy is easy to understand three distinct levels: 1) the policy organization level, 2) the implementation organization level, and 3) the program provider level. The organizations responsible for each level implement their respective roles when implementing the decentralized hands-on exhibition programs in local communities. One of the interesting aspects of the decentralized hands-on exhibition is the publication of the brochure by the implementation organization (see Photo 1 and 2). The publication itself is done by the implementation organization. However the creation of template of the brochure (see Photo 3) is done by the policy making organization and the planning of each contents is done by program providers so that the implementation organization can publish it by collecting program contents from each program providers and filling the template.

5.1.3 Trainings for the Implementation Organizations

To implement the decentralized hands-on exhibition we include trainings to activities to develop and motivate human resources in Surin Province. The decentralized hands-on exhibition promotes the ownership of individual and organizational actors. Therefore human resource development also strengthens community capacity. Trainings are conducted in both Japan and Thailand. Trainings in Japan are basically

Photo 1 and 2: Onpaku Brochure 2009



Source: NPO Hatto Onpaku (2009)

Photo 3: Onpaku Brochure Template



Source: NPO Hatto Onpaku (2010)

same as JICA trainings at APU. Both trainings follow the concept of training program of APU. The trainings are conducted to develop their action plans based on the concept learning, study tours, case study and action plan making

When APU visited Surin Province as the follow-up trip of the JICA training in 2010, APU could held the small workshop to CD Surin and related organization in Surin Provinces by the coordination of the former JICA trainees. After the brief concept learning, they conducted the group discussion which found out local resources in their communities. It was only one day workshop, but we could find a lot of potential local resources which they could utilize for the decentralized hands-on exhibition. Moreover the participants were motivated by the workshop and gave us positive comments to the project. In addition,

Ministry of Interior which CDD belongs to also has positive opinions to the project and is willing to support it too. Following the small workshop in Surin Province in 2010, the project also promotes trainings to local CD district offices and local producers and service providers.

5.2 Technical Support for Selected Products and Services

The implementation of the decentralized hands-on exhibitions make local people find potential of local resources, products and services. However development or improvement may be needed to promote these products or services in commercial activities. To add values, improve the quality and increase the quantity of products or services technical supports are provided by experts. Therefore, after the implementation of the decentralized hands-on exhibition, programs which utilize local resources, products or services and have potential to commercialize are selected and get technical supports.

Technical supports are provided by both external and internal experts based on needs of local producers and service providers, strong and weak points of potential local resources, products and services. External experts are professionals of their fields such as main actors of the OVOP movements and the Onpaku approach in Japan. Internal experts are also professionals of their fields, but they have same backgrounds with them as neighbors in the same community. Their success stories can motivate local producers and service providers. They can find the possibility of success by seeing successes of people in the similar situation. Then we often say teaching our stories is the best way to review ourselves. It is also an opportunity that internal experts improve themselves.

5.3 Market Place Creation and Management for Products and Resources

Market place is the main connection between products or services and customers. Even if products or services are developed, these are cannot be sold without appropriate market places. Then the distribution channel also should be established. Therefore market place creation is also conducted in the project.

Market places in rural communities are mainly divided into two categories; 1) the public wholesale market and 2) direct sales shop (see Table 2). The example of the public wholesale market is traditional market which characterized as auction price, large lot and standardization. Producers are always in the competition and required large quantity and certain quality. To win the competition and meet market required quantity and quality, producers have to produce more than required quantity of products. They cannot satisfy market needs if they produce exact quantity of products and some problems such as natural disasters happen. So they always have some surpluses. To fully utilize these surpluses and give an market place to small scale producers, the idea of direct sales shop is developed Direct sales shop has different characteristics from the public wholesale market such as free pricing, small lot and unstandardization. Price and quantity of each product is decided by producers. They also sell products that do not match the the public wholesale market's standard. They see customers' need at the shop and can decide the price for those products.

This project promotes the direct sales shop in Surin Province. By analyzing the existing markets and producers' and customers' needs appropriate style of direct sakes shop for Surin Province is found out and created.

Table 2: Characteristics of the Markets

	The public wholesale market	Direct Sales Shop
Characteristics	Auction Price Large Lot	Free Pricing Small Lot

	Standardization	Unstandardization
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Source: created by Authors

5.4 Creation of Knowledge Sharing System on Development Experiences

The fourth activity is creation of knowledge sharing system. To build networks among community members which are one of community capacity strategies knowledge creation and sharing are highly related. The knowledge creation is already conducted by other activities so the fourth activity focuses on knowledge sharing among community members.

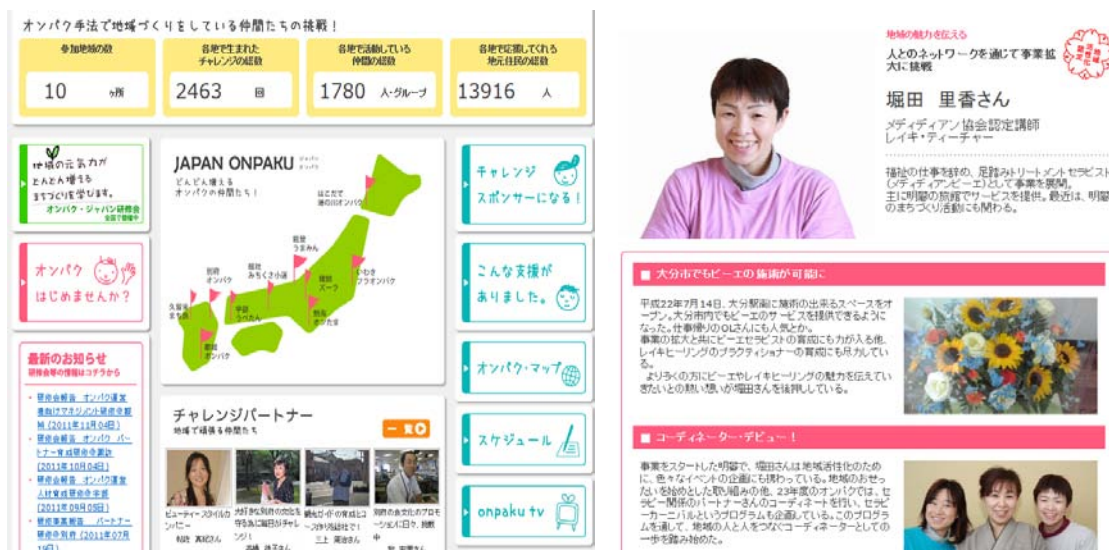
Knowledge sharing among community members is often happened interactive communication among them. Effective knowledge sharing is achieved best through informal, spontaneous person-to-person interactions (Davenport and Prosa, 1998; Stenning and Miyoshi, 2008). The project provides places which community members can communicate with each other. The collaborative office is open for community members so that they can say anything anytime in a relax mood. Moreover the several community events and activities are implemented to build network among them such as sports and cultural events.

The project also utilizes the communication technology and creates the portal website to 1) share actors' stories which mean how they change and what they learnt and 2) provide an interactive communication space like social networking services. The portal website makes visitors sympathized with actors and found local charms including human and material local resources. Actors can update their recent information and they can communicate with each other to share ideas and information about their communities.

Non-profit cooperative organization Japan Onpaku has the portal website to tell stories of actors (see Photo 1 and 2). Each actor has their own pages and shares why they wanted to join the project, what they did, how they changed, and what they want to do next based on the interviews to them by Japan Onpaku staffs. Then there is a system that someone who is interested in those actors' activities can contact with them as potential sponsors or supporters. OTOP products in Surin Province are introduced on the CD Surin's website so that visitors can check the local resources in Surin Province. However more and more visitors can be sympathized, supported by actors if there are stories of each product and producers.

Japan Onpaku also provides the group mail service to actors. They exchange their ideas, experiences and problems such as project management, human resource development, evaluation, new project and so on. Although each actor live in different places and it is difficult to find an opportunity to see each other

Photo 1, 2: Japan Onpaku Portal Website



Source: Japan Onpaku (2012)

they can often discuss with each other. There are at least one to two messages are exchanged among actors. By providing the space to exchange ideas with each other network among actors are strengthened.

This project provided several spaces for interactive communication among community members. There are both direct person-to-person and indirect IT communications. These direct and indirect communications provides opportunities to share their knowledge and build the networks among community members.

6. Project Schedule

The project has been conducted for three years from FY2012 to FY2014. Each activity has its own three-year project schedule (see Figure 4, 5, 6 and 7). The main activity of the first year is the implementation of the decentralized hands-on exhibition. To hold the decentralized hands-on exhibition is held at the end of the fiscal year, activities related to prepare the exhibitions such as guideline creation, training, program planning, brochure making and website launching are conducted at the first year. Other three activities also have different activities, but research and preparation for the next year are mainly conducted. These activities also need to see progress and results of the decentralized hands-on exhibition.

Figure 4: Project Schedule: Implementation of Decentralized Hands-on Exhibition

	FY2012				FY2013				FY2014			
	1	2	3	4	5	6	7	8	9	10	11	12
Guideline Creation of Centralized/Decentralized Hands-on Exhibition	—											
Training	CD Surin											
Preparation	Program Making Brochure											
Implementation and Evaluation												

Source: Created by the authors

Figure 5: Project Schedule: Technical Support to Selected Products and Services

	FY2012				FY2013				FY2014			
	1	2	3	4	5	6	7	8	9	10	11	12
Development of Technical Support System for Selected Products and Services by Exhibitions												
Technical Support for Selected Products and Services by Exhibitions												

Source: Created by the authors

Figure 6: Project Schedule: Market Place Creation and Management for Products and Services

	FY2012				FY2013				FY2014			
	1	2	3	4	5	6	7	8	9	10	11	12
Planning of Market Place												
Creation for Products and Services												
Preparation of Market Place												
Creation for Products and Services												
Creation and Management of Market Place for Products and Services												

Source: Created by the authors

Figure 7: Project Schedule: Creation of Knowledge Sharing System on Development Experiences

	FY2012				FY2013				FY2014			
	1	2	3	4	5	6	7	8	9	10	11	12
Planning of Knowledge Sharing System on Development Experiences												
Preparation of Knowledge Sharing System on Development Experiences												
Creation and Management of Knowledge Sharing System on Development Experiences												

Source: Created by the authors

7. Project Outcomes

This project is conducted based on the alternative rural development approach. This approach focuses more on community capacity to benefit rural community. Community capacity is interacted with community's policy structure. When community capacity is developed the community's policy structure is developed to a higher value added and better well-being one. This chapter described development of both policy structure and community capacity by the project implementation as project outcomes.

Table 3 shows improvements of policy structure and community capacity. In Policy Structure development outcomes only related to collective activities are described because collective activities are featured activities for community based rural development. By implementing each activity collective activities are added to Surin's policy structure.

Implementation of the decentralized Hands-on exhibition adds marketing promotion and potential local resource finding to collective activities. These activities are mainly conducted individually, but it is not

Table 3: Project Activities and Their Effects to Policy Structure and Community Capacity

	Development of Policy Structure (Collective Activities)	Development of Community Capacity
Implementation of Decentralized Hands-on Exhibition	<ul style="list-style-type: none"> • Marketing promotion • Making invisible products and services visible to the public 	<ul style="list-style-type: none"> • Creation of networks among implementation organization, local producers, service providers and other related stakeholders • Identification of potential resources, human resources, organizations, etc.
Technical Support to Selected Products and Services	<ul style="list-style-type: none"> • Development of production and services provision process • Strengthening of economic and social activities 	<ul style="list-style-type: none"> • Development of human resources • Creation of technical leadership
Market place creation for products and services	<ul style="list-style-type: none"> • Marketing promotion • Restructuring marketing activities 	<ul style="list-style-type: none"> • Creation of new marketing organization • Development of network among producers and service providers for market place
Creation of knowledge sharing system on development experiences	<ul style="list-style-type: none"> • Knowledge sharing 	<ul style="list-style-type: none"> • Creation of knowledge • Transformation of tacit knowledge to explicit knowledge

Source: Created by the authors

efficient to develop the community. Individual activities make winners and losers in small rural communities. Finding out and implementing potential collective activities the community can improve its policy structure. Technical support to selected products and services contributes to make developing production and service provision process and strengthening economic and social activities collective activities.

These activities also contribute to develop community capacity of Surin Province. The implementation of decentralized hands-on exhibition develops community capacity by creating network among implementation organization, local producers, service providers and other related stakeholders. It considers that strategic component of community capacity, network is developed. It also make that Surin community can identify potential resources such as human resources and organizations. It is the development of characteristic of community capacity, ability to recognize and access to resources.

Policy structure and community capacity interact with each other. By implementing community capacity community capacity, especially ability to recognize and access to resources is developed. Then collective activity, making invisible products and services visible to the public are strengthened and developed by developed community capacity. Development of policy structure also works for development of community capacity.

8. Conclusion

This paper describes the CD Surin and APU's project proposal of the rural development project in Surin Province. The project aims to develop community capacity and policy structure of Surin Province. It was developed based on the idea of the alternative rural development approach which focuses on community capacity and perspective of people in rural community with the case studies of Japanese rural development experiences such as the OVOP movement and the Onpaku approach. The success of the OTOP movement and potential of tourism industry are also considered and this project is added to the existing policy structure of Surin Province. This project will be the example of the development of the community capacity development and policy structure model and tell us the importance of the alternative rural development project with the success of the project.

Now CD Surin and APU elaborate on a project plan. Especially the implementation of the

decentralized hands-on exhibition is one of main activities at the first year so that the name of the exhibition is seriously considered. The project is now going to be implemented. Further research and report about the project are necessary in order to see the development rural community simultaneously and help to establish the alternative rural development approach. It is also efficient for other rural communities which are struggling with its community development.

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Rural Development Project by Community Capacity Development in the Philippines

Yumiko Okabe

Institute for Community Design

Koichi Miyoshi

Ritsumeikan Asia Pacific University

1. Introduction

This chapter introduces a project proposal for community capacity development in the Philippines as an example of how a development project plan can use the concepts of rural development presented in this book. This proposal focuses on rural people's perspective toward development. Successful development cases cannot use exactly the same plan implemented in other places. The important takeaway message is how to adopt and incorporate the essences of success from successful cases appropriately during project planning. This proposal provides an overview of the project at the country level with project activities selected according to the characteristics of the implementing community.

Each community, including countries, provinces, districts and villages, has their own diverse characteristics. Thus it is important to interpret development through the lens of the community, especially when designing development plans. This chapter is intended to give development practitioners a practical, flexible development approach for use in the field.

2. Project Rationale

Improvement in people's quality of life cannot be measured simply with economical indicators. People's lives are influenced by the political and physical environments where they live. Development is about changing people's whole lives, calling for an emphasis on human resource development.

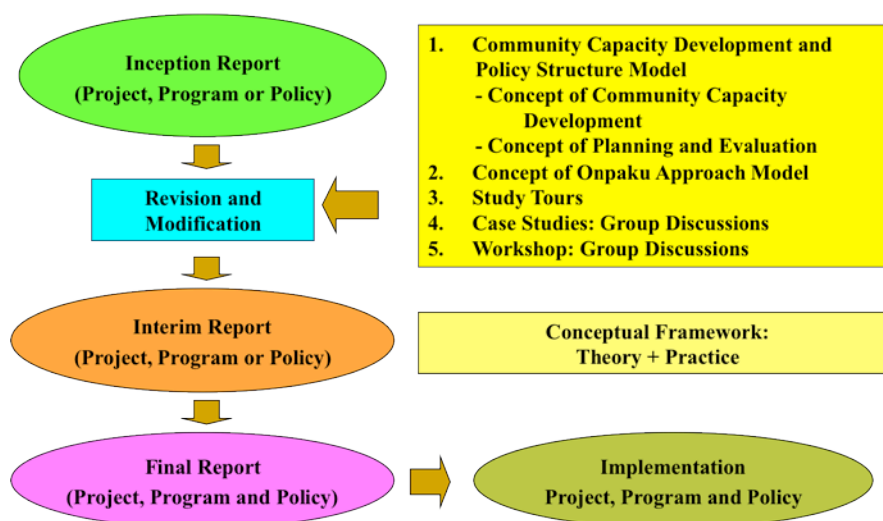
Traditional development approaches rely heavily on economic development with the rural poor being neglected and left behind (Behera, 2006; Chambers, 1995, p2). Rural development is increasingly being paid attention, especially in developing countries, in order to promote real development for the whole country. However, it is hard to achieve tangible end outcomes in the development projects due to a lack of logical thinking on development, in addition to difficulties in coordination between donors, national and local actors, and various projects (Banyai, 2010, p.164). This is due in part because the existing literature on development is not very effective for practical.

A holistic approach is needed to achieve a new perspective on rural development. It is important to have such a perspective on rural development because there is a need to concentrate on the lives of rural people to achieve development in their own, which should be done through increasing their capacity and resources.

Practical participatory evaluation is promoted as a new development method and has demonstrated effectiveness during the trainings¹. This method is used during group discussions and study tours that follow the lectures where basic theories on community capacity and rural development are explained. Participants make an action plan at the end of the training using the approaches they learned during the training (Figure 1). Participatory evaluation is an important component in the proposed project, ensuring that the project will be practical and well suited to the community context.

¹ Miyoshi and colleagues conduct trainings for government officials from developing countries. See Miyoshi (2011) and Banyai (2011).

Figure 1: Training for Community Capacity in Rural Development



Source: Miyoshi, 2010

3. Project Background

3.1 General Background of Target Areas

The Philippines started to implement local autonomy in 1991 with the aim of establishing self-governance and decentralization. However, this policy is not achieving the expected results, resulting in poverty remaining an issue in rural areas. In this regard, the Bureau of Local Government Development in the Department of Interior and Local Government is working on poverty reduction by assisting local governments in developing their capacity.

In addition to poverty reduction the government of the Philippines needs to look at regional issues in rural development. This requires continuous agricultural commercialization and the effective use of local resources with the local community taking the lead on community and rural development. The main tasks are: increasing farmers' productivity; secure market access; opportunities for creative value-additions; the effective use of local resources; and the transparency and accountability of public fund use. It is important to increase public administrative capacity to support the already established system of agriculture promotion and to use the strengths inherent to the Philippines, such as their rich natural resources and high capacity for mutual assistance in rural society.

The Philippines introduced the One Village One Project (OVOP) Movement from Japan as a model and approach to development. The movement is the government's prioritized project for entrepreneurship and the promotion of job opportunities. It supports small-scale enterprises that provide original products and services using local materials. As of now, however, activities have centred on production and are not necessarily established as a social system capable of producing local work groups or lasting effects throughout the community. OVOP needs to step up its efforts, although this will be difficult due to the political deadlock.

3.2 Target Area of the Proposed Project

The Philippines is divided into three blocks of 17 regions. Under this, there are 81 provinces in total. The project targets the lowest administrative level, the municipality and city, of which there are approximately 1500 in total (in Figure 2).

4. Project Implementation Strategy

4.1 Project Implementation Plan

This section identifies the basic implementation plan of the project “Rural Development Project for Community Capacity (RDCCD Project)”.

There are five main components in this project:

- 1) “Centralized/Decentralized Hands-on Exhibitions” using local resources;
- 2) Technical support for products and services at exhibitions;
- 3) Market development for products and services;
- 4) Development of a system for sharing project experiences; and
- 5) Graduate student internship activities.

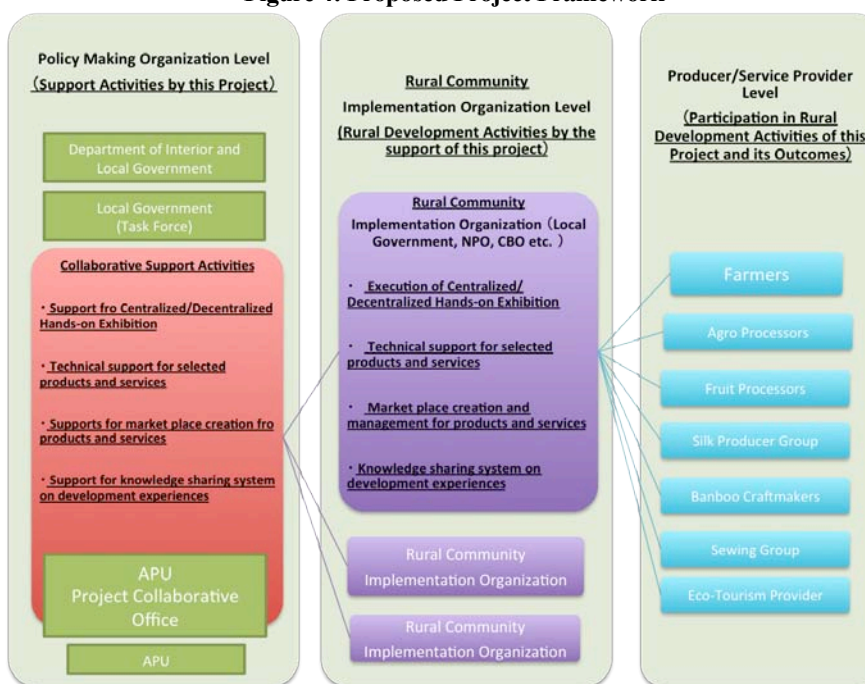
Each activity is clarified specifically in Table 1.

This project supports project activities for rural development and project implementation organization by the RDCCD collaborative project office as the policy making organization. LGUs, NPOs, CBOs, and cooperatives in the rural communities are the targeted as the implementation organization (Figure 4).

An important point for implementation is to keep the introduction of the RDCCD Project based on these five components politically in mind by identifying the labour of division at each level (Table 1). The support activities are implemented by the collaborative project office with the support of the mayors who participated in the trainings programs at APU and the Department of the Interior and Local Government.

This approach is similar to the one the Ministry of Economy, Trade and Industry (METI) of Japan supported, the NPO Hatto Onpaku. They used NPO Hatto Onpaku as an intermediate corporation to spread the approach throughout Japan. METI later established the Non-Profit Cooperative Organization Japan Onpaku (Japan Onpaku). Japan Onpaku went on to play the role of policy making organisation during project implementation. This means that the policy making organisation is neither solely the domain of the government or the public sector.

Figure 4: Proposed Project Framework



Source: The authors

Table 1: Role of Policy Organization, Implementation Organization, Producers and Service Providers

Policy Making Organization Level	Implementation Organization Level	Producer/Service Provider Level
<p>Collaborative Activities</p> <p>(1) <u>Support for Centralized/Decentralized Hands-on Exhibition</u></p> <ul style="list-style-type: none"> - Policy making - Preparation of guidelines for implementing exhibition - Selection of implementation organization - Execution of training program for implementation organization - Organizational management support - Support for individual DHO exhibition program formulation - Financial support - Support for publication of exhibition brochure - Support for web-site management <p>(2) <u>Technical support for selected products and services</u></p> <ul style="list-style-type: none"> - Policy making - Preparation of guidelines for technical support - Execution of training program for implementation organization - Recognition of selected products and services for technical support - Organizational management support for technical support - Financial support - Support for web-site management <p>(3) <u>Supports for market place creation, products and services</u></p> <ul style="list-style-type: none"> - Policy making - Preparation of guidelines for support - Execution of training program for implementation organization - Organizational management support - Financial support - Support for web-site management <p>(4) <u>Support for knowledge sharing system on development experiences</u></p> <ul style="list-style-type: none"> - Policy making - Preparation of guidelines for knowledge sharing - Execution of training program for implementation organization - Creation work of explicit knowledge - Support for web-site management 	<p>Strengthening of Foundation for Community Collective Activities Community Capacity Development</p> <p>(1) <u>Execution of Centralized/Decentralized Hands-on Exhibition</u></p> <ul style="list-style-type: none"> - Participation in training program for implementation organization - Confirmation of implementation, Budget and personnel - Strengthening of organization management system - Execution of training program for producer sand service providers - Identification of individual DCHO exhibition program - Individual program designing - Preparation of exhibition brochure - Web-site management - Public relation and advertisement of exhibition - Execution of exhibition - Evaluation and review <p>(2) <u>Technical support for selected products and services</u></p> <ul style="list-style-type: none"> - Strengthening of management system for technical support - Selection of products and services for technical support - Execution of training program for producers and services providers - Individual technical support - Individual management support - Support for financing - Web-site management <p>(3) <u>Market creation and management for products and services</u></p> <ul style="list-style-type: none"> - Participation in training program for implementation organization - Strengthening of management system for market creation - Execution of training program for producers and services providers - Grouping of producers and services providers - Support for financing - Web-site management <p>(4) <u>Knowledge sharing system on development experiences</u></p> <ul style="list-style-type: none"> - Creation work of explicit knowledge - Support for web-site management - Organization of study groups 	<p>Showing of Originality, Invention and Continuous Efforts</p> <p>(1) <u>Participation in Centralized/Decentralized Hands-on Exhibition</u></p> <ul style="list-style-type: none"> - Participation in training program for producer sand service providers - Identification of individual DHO exhibition program - Individual program designing - Execution of individual program in DHO exhibition - Evaluation and review <p>(2) <u>Efforts for qualitative and quantitative improvement of products and services</u></p> <ul style="list-style-type: none"> - Participation in training program for producer sand service providers - Acceptance of individual technical support - Acceptance of individual management support - Acquisition of financing <p>(3) <u>Effective Use of Market Place for Products and services</u></p> <ul style="list-style-type: none"> - Continuous shipping of products - Continuous shipping of services - Recognition of consumer trend <p>(4) <u>Knowledge Sharing on Development Experiences</u></p> <ul style="list-style-type: none"> - Group study - Efforts for knowledge sharing

Source: The authors

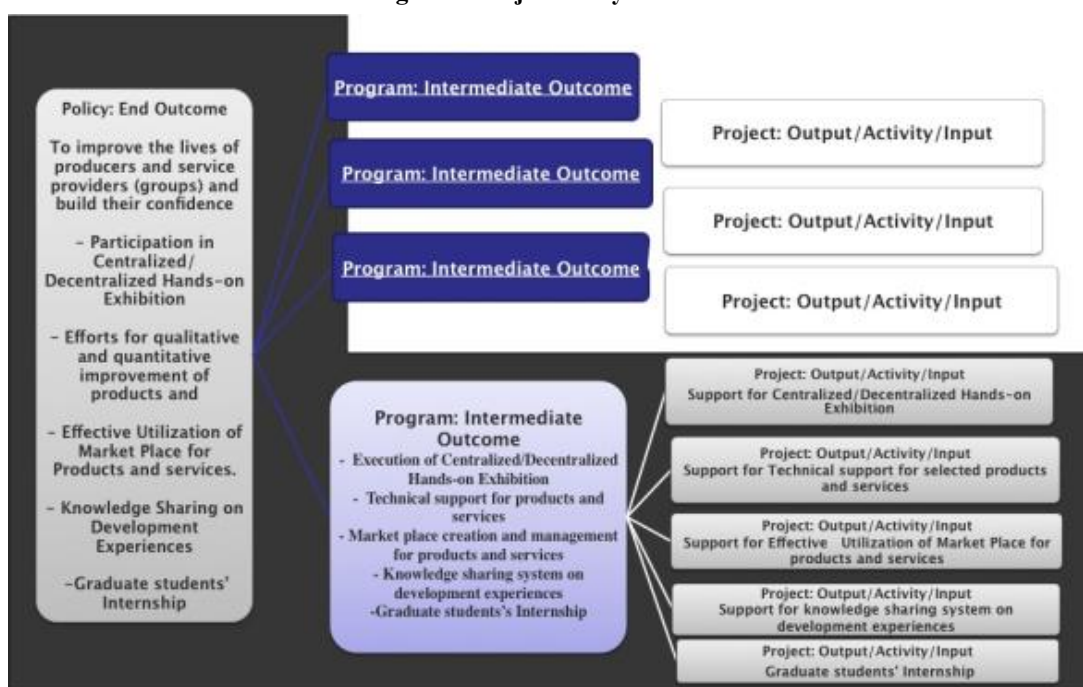
The collaborative project office will play the same role as Japan Onpaku, namely that of Rural Development Implementation Organization (See Ishimaru and Miyoshi 2010). The implementation organization supports the economic, social, and environmental activities of producers in the community.

Project activities cooperate with existing policies, programs, and projects, with careful integration to avoid being an isolated project. Identifying each role at the policy making organization, implementing organization and producer/service provider level (Figure 5) promotes political harmony.

4.2 Effects on Policy Structure and Community Capacity

Table 2 summarises the effects of the project activities on the policy structure and community capacity.

Figure 5: Project Policy Structure



Source: The authors

Table 2: Project Activities Effects on Policy Structure and Community Capacity

	Development of Policy Structure (Collective Activities)	Development of Community Capacity
Support for Centralized/Decentralized Hands-on Exhibition	<ul style="list-style-type: none"> Promotion of marketing Making products and services visible to public 	<ul style="list-style-type: none"> Create networks among implementation organization, program partners and other related stakeholders Identification of potential resources, human resources, organizations
Technical support for selected products and services	<ul style="list-style-type: none"> Development of production and service process Strengthening of economic and social activities 	<ul style="list-style-type: none"> Development of human resources Creation of technical leadership
Support for market creation	<ul style="list-style-type: none"> Promotion of marketing Restructuring of marketing activities 	<ul style="list-style-type: none"> Creation of new marketing organization Development of network of producers and service providers
Support for knowledge sharing system on development experiences	<ul style="list-style-type: none"> Knowledge sharing 	<ul style="list-style-type: none"> Creation and transfer of knowledge Transformation of tacit knowledge to explicit knowledge
Graduate students' internship	<ul style="list-style-type: none"> Knowledge sharing Improved external networking 	<ul style="list-style-type: none"> Creation of new ideas

Source: The authors

5. Project Activities

5.1 Centralized/Decentralized Hands-on Exhibitions Using Local Resources

Figure 6 is a flow chart of activity implementation. Centralized/Decentralized Hands-on Exhibitions are held to spark the creativity of producers and service providers and promote the development of new products and services. This enables rural development implementation organizations to use the event to discover these potentially supportable products, services, producers, and service providers for technical support and guidance.

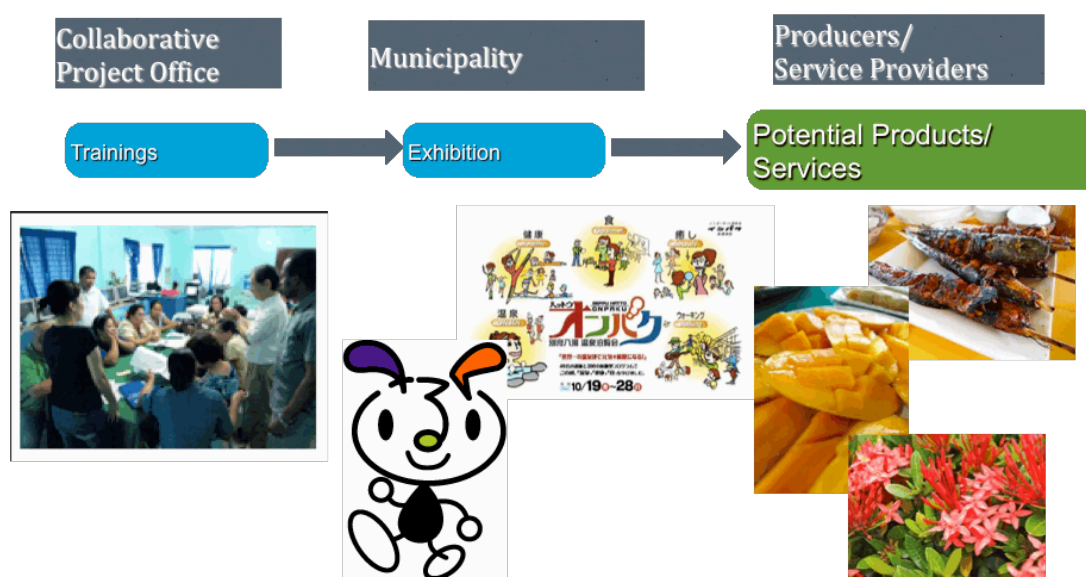
In general, OVOP projects in developing countries support products through a proposal system. The unfortunate issue is that there are few producers and service providers able to write such proposals, in addition to the possibility of projects unsuitable to the local condition being chosen. Through the exhibitions proposed in this project it is possible to suss out products and services with the most potential.

There are four types of exhibitions as showed in Table 3. The centralized portion of the exhibition displays all products from the participating communities in one central location and for a specific period of time. The centralized and hands-on component provides participants and customers with the opportunity to experience making the products making or conducting the services. These experiences are available in one place for a specific period of time. The OVOP Movement in Oita prefecture uses this kind of centralized display.

The decentralized component of the exhibition involves the display of products in individual shops in a specific community. Products do not necessarily have to be displayed in one place, but rather one type of product can be displayed at many locations. The Decentralized Hands-on experience is a unique and innovative approach to exhibition. Onpaku exhibitions use this the Decentralized Hands-on Exhibition approach.





This project proposes the use of Decentralized Hands-on Exhibitions like the ones found in Beppu Onpaku (See more Nogami 2011; Ishimaru and Miyoshi 2010) and Saruku in Nagasaki, rather than the traditional style of exhibition where customers only see products.

Figure 6: Activity Flow Chart



Source: created by author based on Okabe (2012)

Table 3: Characteristics of the Exhibitions

	Centralized	Decentralized
Display	<p>Centralized Display</p>  <p><i>Source: Photographed by Ishimaru</i></p>	<p>Decentralized Display</p>  <p><i>Source: http://spring-news.blogspot.com/</i></p>
Hands-on	<p>Centralized Hands-on Experience</p>  <p><i>Source: Photograph by Ishimaru</i></p>	<p>Decentralized Hands-on Experience</p>  <p><i>Source: Photographed by Okabe</i></p>

5.2 Technical Support for Products and Services at Exhibitions

The capacity of producers and service providers directly influences the quality and quantity of products and provided services. It is important to provide products and services according to the consumer trends, and the ability of producers and service providers to be flexible to these trends depends on their capacity. Capacity in this respect relates to marketing, design, production and processing techniques, and packaging.

The RDCCD project promotes technical assistance for producers and service providers through local human resources and the establishment of a technical support system. The RDCCD collaborative project office aims at increasing the capacity of technical support for rural community implementation organizations, especially for promising products and services that are selected through the exhibitions.

5.3 Developing a Market for Products and Services

The existence of a market for products and services influences the activities of producers and service providers. It also influences the income they get from being involved in production activities.

Oyama-machi is an archetype of the OVOP Movement in Oita. Producers changed the traditional system of the production, dictated by the quantity and standards decided by the the public wholesale market, into a direct sales market system, where producers decide the quantity, standards, and quality and set prices accordingly. This was possible through the establishment of Konohana Garten by the Oyama Agricultural Cooperative. This created a higher value-added production system through the influence of customer trends, changing demand to reflect a desire for fresh, reliable, and tasty agricultural products (Table 4).

Table 4: Characteristics of the Sales Market

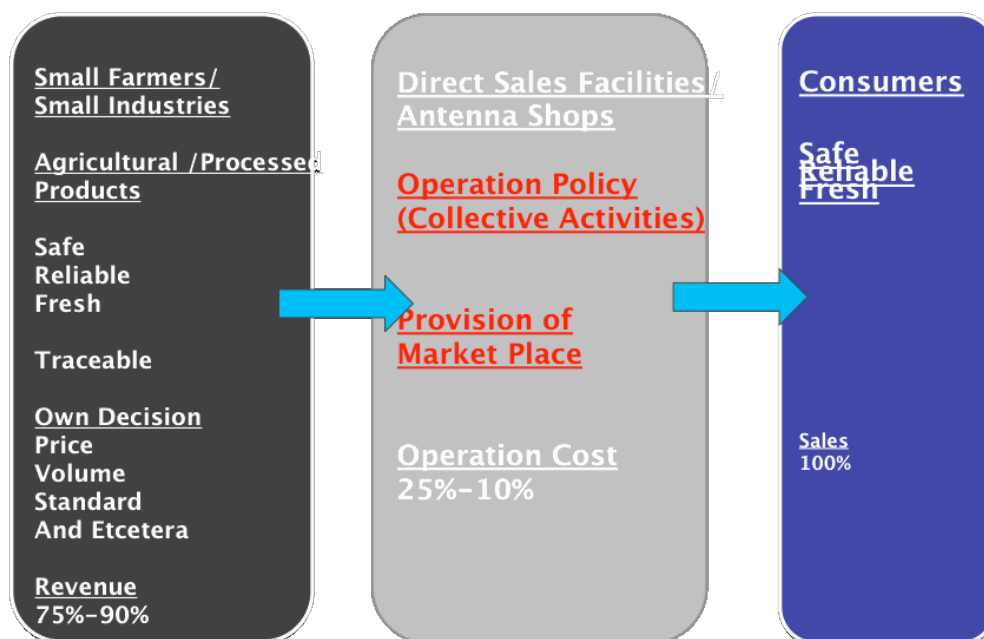
	The public wholesale market	Direct Sales Location
Dependent	Traditional Market Auction Price Large Lot Standardized 	
Independent		Direct Sales Shop Free Pricing Small Lot Unstandardized 

Through the Konohana Garten system farmers get 80% of the sales price as income. Systems like Konohana Garten also enable producers to answer the demand of consumers through continuously changing the products according to customer feedback. This model (Figure 7) shows the strength of the direct sales market where producers grasp the demand of consumers.

The RDCCD project builds markets for producers and service providers. The collaborative project office supports rural community implementation organizations in proposing plans, setting plans, income generation, and technical assistance.

Markets include direct sales locations, antenna shops, and virtual shops online. Rebuilding the system of marketing is expected to create new marketing organizations through networking during the activities. The most appropriate method of marketing is selected according to each community’s situation. The areas that can support small-scale facilities, such as Konohana Garten, Onoiwanosho, will open direct sales shops. Websites, such as the NPO Hatto Onpaku’s “Onpaku Gift Shop”, will be introduced as an option for communities where physical markets are not feasible.

Figure 7: Direct Sales Facilities and Antenna Shops



Source: The authors

5.4 Building a Structure for Sharing Project Experiences

Knowledge sharing (See Stenning and Miyoshi, 2008; Okabe, 2011) is crucial for development, especially within project implementation organizations, and producers and service providers. It is important to share practical experiences among stakeholders to increase their shared knowledge.

The RDCCD project implements a knowledge sharing system through the knowledge management method. This project seeks to formalize the implicit knowledge of people through the organization of workshops and studies.

5.5 Graduate Student Internship

This activity is also part of knowledge sharing. The RDCCD project supports the Philippines as a counterpart by sending students to stay with key people in each community. This activity supports community members through information that the students may impart to them and through the time they share together learning from one another.

Many graduate students at APU belong to governmental organizations and have rich experiences in the field of development or economics, as well as knowledge from studying at APU. Forming a network through internship has merit for the people in the Philippines and the students, especially in terms of expansion of vision and point of view.

Through this activity local people become acquainted with other development cases, facilitating the development of new ideas and creativity. This experience allows local participants to gather ideas beyond their boarder and to provide students with some inspiration for their research or work.

6. Case Studies

Each activity have specifically the success cases of Japan to adopt the activities in the RDCCD project in order to be practical and realistic for the actual implementation. This section introduces our strategies adopted by the training we conduct, and the successful cases from Japan.

6.1 Participatory Development Training Approach

The RDCCD project provides training through the collaborative project office to support implementation organizations in planning and designing the exhibitions. The training teaching module was tested and perfected during the JICA group trainings at APU. The project and the trainings emphasize participatory development for increasing community capacity and rural development.

One JICA training participant from New Lucena in Iloilo province, Philippines demonstrates her leadership in the community and organized this kind of training in her town with professionals from APU and an expert from AIM (Asian Institute Management) in August 2011 (Figure 8, 9 and 10).

Figure 8,9 and 10: Workshop in Municipality of New Lucena



Source: Miyoshi 2011

Using this approach supports participants as the main actors in the community and gives confidence in the resources and potential areas they identify.

6.2 Onpaku

Onpaku, experience-based programs allow customers to feel, eat, and experience local products or services instead of merely seeing them on display. Participants in the experience-based programs are encouraged to get to know products and services better instead of just consuming them. This approach increases the possibility creating repeat customers. Onpaku has systematic participation and is well organized, especially in terms of its brochure and website for promoting the programs (see Table 5).

One of the advantages of Onpaku for program providers is the direct feedback from customers. Producers and service providers improve their products or services using the voice of customer rather than paying for market research. Onpaku is a method of low cost promotion for small businesses. The human resources of producers and service providers are developed through participating in Onpaku as a result of their involvement in the organization of each small program.

Outputs of implementing Onpaku include new resources recognised by the community and implementers. This is how potential products and services are identified for further technical support in the proposed project.

Creating product as a map helps to visualize the origins of the products resulting from participation in the program. The map of OVOP products in Oita prefecture is an example of how to visualize and display the newly discovered resources to draw customer attention (Figure 11).



6.3 Saruku

Saruku program started in Nagasaki based on the example of Beppu Onpaku. The approach was adopted in Nagasaki using the existing tourism activities since it is a well known tourist destination domestically and internationally. The main activities of the Saruku program are different city tours that customers choose depending on their interests. The walking tours include:

- 1) Free walking tours (42 maps);
- 2) Guided tour (31 versions);
- 3) Lecture and guided tour (74 themes); and
- 4) Experienced-based programs (9 themes).

The free walking tours means encourage tourists to take maps and explore the city themselves. The maps

Table 5: Onpaku Program

Brochure	Program	Website
		

Source: created by author based on Ishimaru 2012

Figure 11: Oita OVOP Product Map



Source: OVOP International Exchange Committee, 2012

are prepared and placed where tourists might visit, for instance at hotels or souvenir shops (Figure 12).

The success of Saruku came from giving tourists many options. Obviously all of the tours offered by Saruku cannot be done in a day, so tourists are enticed to stay longer and spend more money. The biggest difference between Saruku and traditional group tourism is the tour guides and visiting spots. The Saruku guides follow the map, but the places they visit and eat depend on the interests of the guides. This enables guides to show the real city that tourists may never learn about through traditional guidebooks or group tours. The guides volunteer to work, reducing the cost of implementing the program.

Taking group bus tours to well known places may not incline tourists to want to know more about the city. On the other hand, walking tour gives tourists the opportunity to find small, unique places that have potential to grow. Only large-scaled attractions can accommodate group bus tours, limiting the positive impacts tourist yen have on the community. However, with the Saruku program there are opportunities for small-scaled resources (e.g. local restaurants, shops, lesser known historical places) to attract tourists,

Figure 12: Saruku Map



Source: The website of Saruku

potentially becoming repeat customers.

Community capacity is developed through this approach. For example, when tourists visit places that only locals go, they pay more attention to such places and realize that they need to take care of the community as well.

6.4 The Shimogo Agricultural Cooperative

The production to the marketing link for business support, as learned from the Shimogo Agricultural Cooperative, is adopted in the project (Figure 13). The most appropriate and effective linkages and support system are chosen depending on the situation of the products and services.

This production - processing - marketing system builds stronger, trust-based relationships between producers and consumers. Processing adds value to products from the community, subsequently creating job opportunities. Stable production is fostered by the continued support of local products and the promise of employment opportunities.

Through technical support, the project aims at human resource development, specifically through creating champions in the community. Leaders play an important role in the community and these champions become leaders for future producers and service providers.

6.5 Onoiwanosho

The introduction of a direct sales market run by the chamber of commerce in Ajimu allowed farmers to increase their income. Most farmers in Ajimu engage in other businesses, so it is difficult for them to produce the volume and standards required by the public wholesale market. Traditional public wholesale markets do not support small-scale farmers that lack the ability or capacity in producing for such standardized market.

Figure 13: Shimogo Agriculture Cooperative Products



Source: Photographed by the author

7. Project Beneficiaries

7.1 Intermediate Outcomes Target Group: The RDCCD Project Implementation Organizations

Rural community project implementation organizations consist of rural governments, NPOs, CBOs, and cooperatives depending on the situation of the community. The target areas are ten recruited municipalities among those who participated in the trainings at APU. Decentralized and centralized exhibitions are held in ten municipalities in the trail first year with subsequent activities the following year to strengthen the project.

The project implements activities focusing on the collective activities based on the people’s community capacity from the perspectives of rural people in the Philippines. Community capacity links with the increasing capacity of implementation organizations.

7.2 End Outcome Target Group: Producers and Service Providers

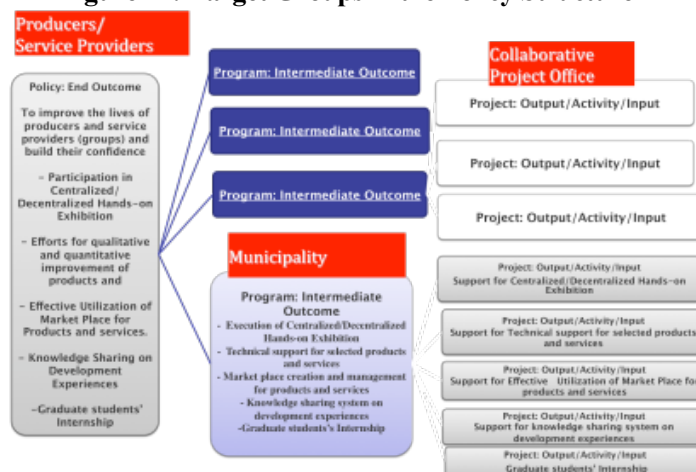
Rural Community implementation organizations promote producers and service providers in producing and marketing higher value-added products and providing higher value-added services through the execution of Decentralized and Centralized Hands-on Exhibitions, technical support for selected products and services, marketplace creation and management of products and services, development of a knowledge sharing system, and graduate student internships.

In the Philippines, agricultural producers, processors, small-scale corporations, and tourism-related corporations provide production/processing and services in rural areas. The project aims to build the confidence of people in their lives and increase their standard of living through income generation by increasing the production and sales. This increase in confidence fosters revitalization of the community.

7.3 Collaborative Activities Target Groups: Collaborative Project Office Staff and Filipino Counterpart Organizations

The establishment of the collaborative project office is supported by mayors, the Department of Interior, and the local governments who participated in the trainings at APU. The collaborative activities target rural community implementation organizations. The capacity for project implementation by local staff in the collaborative office, the Department of Interior, LGUs, other related governmental organizations, and other rural organizations must increase.

Figure 14: Target Groups in the Policy Structure



Source: Okabe 2012

8. Project Schedule

The first year is a preparation period in the RDCCD project. The second year is the trial period. Full implementation starts the third year with transfer of the project to local implementers during the fourth year.

8.1 Preparation Period

The first year of the project is the preparation period for the RDCCD project. The priority is on preparing the collaborative project office for project implementation and setting the basic plans, focusing on the establishment of the RDCCD office and strengthen of the system. The project implementation organizations and the exhibition target municipalities and cities are recruited, the relevant trainings are conducted, and further preparation for the selected community is rendered, culminating in the holding of the trial exhibition.

8.2 Trial Period

The second year is s the trial period for implementation organizations to prepare for the exhibitions. During this period, the goal is to hold the trial exhibition. Through the exhibition technical support for producers and service providers will begin.

8.3 Implementation Period

The third year is the implementation period with continued technical support for producers and service providers and the selection of community activities by the implementation organizations. Based on these activities, the market development plans are implemented, with necessary support given to the implementation organization to ensure they can facilitate the market. The knowledge sharing system is also set up among stakeholders.

8.4 Shift Period

The fourth year organizes the experiences from the past three years and determines the sustainability of the project. The terminal evaluation and the plan for transferring project control is organized.

The implementation organization's schedule for the project can be used as an example for local implementers. The project sees implementation organizations as key actors to achieve the end outcome of the community and policy structure.

9. Conclusion

The chapter presents the project proposal for the Philippines as an example of a development project plan that use the concepts on rural development presented in this book. The proposal focuses on the perspectives of the rural people toward the development, which matches the need for a new approach to rural development. Traditional economic centered development does not support the rural poor, but this proposal takes a new, practical, and specific approach to development.

For the implementation, the division of labour and specific activities need to be clarified. One of the most important things in designing projects is to make the most of potential in the community in order to achieve desired end outcomes. This is done by avoiding focusing only on the project outcomes.

It is hoped that this chapter is useful for practitioners in the development field, promoting the concept of rural development and community capacity within a project proposal.

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