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FEATURE ARTICLE

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Preface

The College of Public Affairs and Development, University of the Philippines Los Baños is pleased to introduce the maiden issue of **The Journal of Public Affairs and Development (JPAD).** The **JPAD** is a biannual refereed journal that publishes original articles on public affairs and development concerns such as rural and agricultural policy analysis, institutional innovations and development, local governance, community development and community education, and agrarian issues. Papers that advance understanding on how transdisciplinary social science research can support agriculture and community development or provide analysis on the relationship between various development policy and governance issues are especially welcome.

Preference is given to papers from research and model applications at the community and organizational levels that bridge and integrate social and technical knowledge especially those that underpin agriculture and community development. Because of its emphasis on transdisciplinary approach to development studies, the Journal caters to readers from a wide range of disciplines, including scientists, practitioners, administrators, policymakers and students in social sciences, natural sciences, and related fields.

Five articles were selected for this maiden issue.

Tagarino's paper serves as an opening statement by clarifying the concept of public affairs as an area of study where the body of knowledge is created into a distinct academic science and discipline for governance. He uses brief reviews, theoretical model, and analytical framework for a better appreciation and understanding of public affairs for policy decision-making. **Rola's** article explores the various applications of transdisciplinary approach in development

studies by highlighting the experiences of the College of Public Affairs and Development in formulating and using the transdisciplinary approach to address development problems. It also provides a critical analysis of its application in the context of innovation systems.

Meanwhile, **Amit and Querijero** showcase how UPLB played its role as a partnership broker among the major players at the ground level in addressing food security concerns built on an inter-organizational relations theory and a partnership building framework. **Dizon's** work provides an important contribution to the body of knowledge in community development through a discussion on the theoretical concepts and practice of community organizing including its ideological background, value orientations, and propositions. She also provides practical steps involved in community organizing based on the concept of people-centered participatory development. **Bumatay** presents another methodological tool in analyzing social science problems. He introduces insights and perspectives on the use of grounded theory and its potential in social development studies. Finally, a feature article by **Rola et al.** on the challenges of the College of Public Affairs and Development to contribute to the attainment of sustainable communities and human security highlights the College's current thinking and track, including transdisciplinarity in its academic and research and extension programs.

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Charting the Science of Public Affairs

ROGELIO N. TAGARINO

Abstract: The necessary body of knowledge and methodology for the comprehensive appreciation and understanding of public affairs for policy decision-making have remained elusive. This paper clarifies the concept of public affairs as an area for building a body of knowledge into a distinct academic science and a valuable discipline for governance. It includes brief reviews of relevant literature on public affairs; a theoretical model of public affairs as a community system; an analytical framework for the science of public affairs; and some concluding insights for building a body of knowledge of a public affairs system.

Keywords: *public affairs, community system, policy mosaic*

I. Introduction

The foundations of civic life and societal concerns are numerous, varied, interconnected, and dynamic. They include, among other things, food, shelter and utilities, clothing, health, literacy, transport and communication, recreation and sports, a safe environment, good governance, and security (peace and order). These concerns have become discrete agenda for the development of knowledge and know-how (i.e., for science and technology - S&T) for

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societal subsistence. Thus, the development of S&T along with the higher educational system has emphasized the specialization of sciences and/or disciplines. For an analogy, we now know more and more about a tree but less and less about the forest.

However, the overall condition of societies today is influenced by complex, multifaceted, and dynamic challenges and opportunities. In our increasingly interconnected and interdependent world, these challenges and opportunities have profound implications for humanity's well-being and even its survival. Appreciating and understanding these challenges and opportunities in aggregate are necessary for human existence as in any individual science. However, the knowledge and methodology to pursue this need must be clarified. It is from this need that the concept of public affairs arose.

This paper recognizes the concept of public affairs as an important field for building a body of knowledge into a distinct academic science and a valuable discipline for governance. Specifically, this paper includes: 1) brief reviews of relevant literature, 2) a theoretical model of public affairs as a community system, 3) an analytical framework for the science of public affairs, and 4) some concluding insights for building a body of knowledge of a public affairs system.

II. Review of Public Affairs Literature

The Handbook of Public Affairs (Harris & Fleisher 2005) provides three broad historic definitions of "public affairs". It is a) the policy formulation process of public and corporate stakeholders' programs; b) the corporate consideration of the impact of environmental (in its broadest sense), political, and social development on a company and on the opinion-leader contact

programs, which follow; and (c) the totality of government affairs or relations.

The concept of public affairs is such a comprehensive and dynamic field that it often defies simple definition, but it both encompasses and integrates a wide range of disciplines that include political science, economics, sociology, communication, international relations, administration, organizational management, and many others (Steinberg 2007).

The concept of public affairs may have originated in the United States as early as the 1960s when societal events and trends prompted business organizations to establish public affairs efforts (Holcomb 2005). Such efforts were focused on the needs of business organizations for appropriate external relations and capabilities to effectively interact with public policy stakeholders and issues. The efforts or activities addressed the interface between business organizations and their non-market environment. This was to enhance or maintain the organizations' roles and position alongside government (public policy) and their non-market environments. Thus, the concept of public affairs was originally understood to be a business organizations' external (i.e., public) relations.

As an academic endeavor, the concept of public affairs is not a new field of study. Journals of public affairs have appeared during the past decades or so. A Handbook of Public Affairs that includes several articles written in the context of business organizations (Harris & Fleisher 2005) had been published. This comprehensive handbook is particularly useful to people in the corporate business world. It provides an array of information and knowledge on how to enhance the external (public) relations of business organizations to influence policy, primarily to serve business interests, which may not necessarily be public affairs in the real meaning of the word.

The concept of "public affairs" is different from the older and more common academic discipline of "public administration". Public administration is the art or practice of carrying out policy, while public affairs encompasses a broader scope, of which public administration is but one of many community concerns.

The need for more appropriate and responsive approaches to the critical needs and concerns of society has led to the development of a number of colleges of public affairs worldwide, particularly in the developed countries. Generally, the colleges were established in the context of numerous complex and critical public policy challenges. Those colleges represent various academic programs, depending on the priorities and concerns at the time when and place where they were created. This variety is reflected in the names of these institutions. Nevertheless, these colleges share one common concern – that is, they focus on overall societal conditions. Thus, they all endeavor to address specific public policy issues holistically.

The science of public affairs is not simply multidisciplinary. It is transdisciplinary, which takes into consideration the numerous, varied, and dynamic concerns (i.e., needs or demands) of the community (or society). Transdisciplinary implies a collection of knowledge into one. The adjective or adverb form, 'transdisciplinarity', refers to the examination of issues among disciplines, across disciplines, and beyond all disciplines to develop an understanding of the world (Nicolescu 2001). Also, it is a specific form of interdisciplinarity in which boundaries between and beyond disciplines are transcended, and the knowledge and perspectives from different scientific disciplines as well as non-scientific sources are integrated (Flinterman et al. 2001; Klein et al. 2001). Through transdisciplinarity, a true decision-maker must be able to communicate with all disciplines at once (Nicolescu 1999).

In other words, the focus of the science of public affairs is the continuing development and re-development of an integrating theme that cuts across and informs all disciplines in their relation to society. Thus, the challenge of public affairs science is to obtain a solution that simultaneously processes a number of views around a central point while developing a hypothesis with cognitive claims useful to transform theory and extend application (Hayes & Lynne 2004).

It is worth recalling that Thomas Aquinas, in his Theology, wrote, "whoever promotes the common good of the community simultaneously promotes their own good. This is true; first, because individual well-being cannot exist without the well-being of the family, the community, or the realm… and second, because being part of the family or the community, it is right to consider personal well-being in the light of what is prudent with regards to the common good" (Haldane 2007). Also, Nobel Economist John Nash demonstrated that cooperation for the common good is also good for an individual's economy (Nash 1950).

III. Public Affairs as the Community System

Based on international dictionaries, the two words, "public affairs" would mean simply *"community concerns[1]"*. Since, the community *acts* on their concerns, a more complete definition of the concept would be **"***community concerns and behaviors"*. In other

[1] *Interestingly, different definitions of community were described in the Wikipedia (http://en.wikipedia.org/wiki/Community#Special_nature_of_human_community). In biological terms, a community is a group of interacting organisms (or different species) sharing an environment. In human communities, intent, belief, resources, preferences, needs, risks, and a number of other conditions are present and common, affecting the identity of the participants and their degree of cohesiveness. "Community" is hereto defined as a group of interacting people living in a common location; it is organized around common values and social cohesion within a shared geographical location, generally in social units larger than a household. Similarly, Charles (2004) said that a community is a body of people having common organization and interests and living in the same place under the same laws.*

words, public affairs pertains to the *"interests and actions"* of people in the community, which could be in a village, a municipality, a city, a nation, or a group of nations. Thus, the science of public affairs encompasses the study of community concerns and behaviors, and such study must have intrinsic value or purpose. Therefore, the fuller definition of the science of public affairs should be *"the study of community concerns and behaviors (i.e., people's interests and actions) for purposes of policy decision-making and governance".*

Based on this fuller definition, a body of knowledge (i.e., the science) of public affairs can be developed through the careful observation of, and the deduction of laws or principles that explain and/or predict the changes and conditions of, community concerns and behaviors. Thus, the science of public affairs should not only explain what the community concerns are and how such concerns are being pursued, but it should also provide a holistic perspective of the nature and interrelationships of the various means, functions, and/or processes that are involved in pursuing community concerns. The comprehensive appreciation and understanding of the different community concerns (e.g., food, health, shelter, etc.) and the means or factors (e.g., resources, technology, etc), functions and/or processes (e.g., administration, management, exchange, transaction, etc.) to pursue community concerns would require the collective efforts of various disciplines (e.g., agriculturists, physicians, sociologists, engineers, economists, etc.). This makes public affairs a transdisciplinary field of study, which focuses on integrating sciences that cut across and explain the roles of the disciplines to the community (i.e., society) (Hayes & Lynne 2004).

Theoretically, public affairs depict the community system that encompasses the people's interests and the means, functions, and/or processes in pursuing such interests. Figure 1 is an abstraction of the community system. The model includes the basic pillars of the community, namely: natural resources, science-

technology, organizations-institutions, and people with their "constitution" and set of policies. More specifically, these pillars are characterized as:

- *Natural resources* are the renewable and non-renewable physical assets (land, water, air, minerals, etc.) and the biological (e.g., flora and fauna) assets that are available in the community;
- *Science-technology* refers to the body of knowledge and techniques, which include hardware and software that are available to the people to pursue their needs and demands;
- *Organizations-institutions* refer to the formal and non-formal groups, associations, bureaus, agencies, commissions, etc.

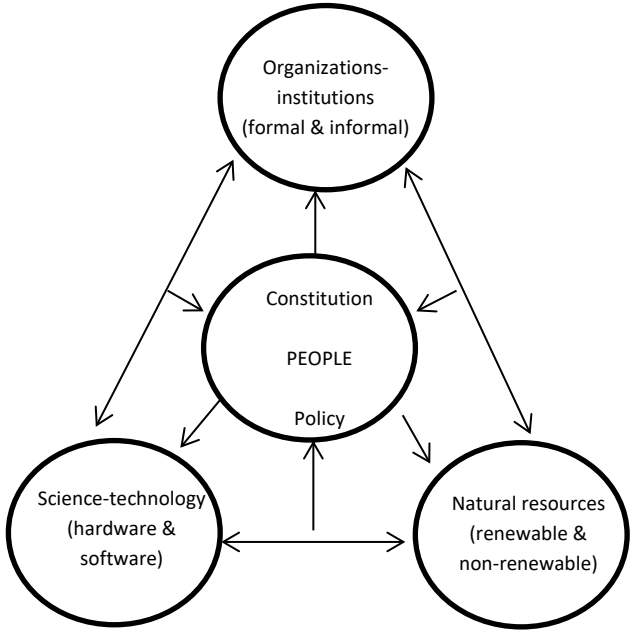

Figure 1. General paradigm of a public affairs system

that are (or might be) established by the people to serve themselves;

- *Constitution* refers to the established formal norms of the community, which is operationally translated in terms of policies;
- *Policy* refers to what people do and do not do; it is the set of rules for the game, or the blueprint of actions, and the outcomes of such actions; and
- *People* are the core of the system that include the rich, poor, and middle class with different histories, cultures, and/or values; and they are both producers and consumers of goods and services.

Note that the basic pillars in the system are presented in circles suggesting that these are dynamic, changing over time and conditions. Also these are interrelated and/or interconnected with one another as indicated by the arrows.

Generally, the community functions and operates in accordance with its established formal "norms" (i.e., its "constitution"). This constitution is translated via a *policy mosaic* (i.e., set of policies) that the people observe and pursue to maintain social harmony and to achieve answers to their needs. The model suggests an interconnected system of all the community activities (indeed, all human endeavors) involving, directly and/or indirectly, natural resources, science-technology, and organizations-institutions. Their use or application of societal activities is guided by a set of implicit, explicit, formal, and *ad hoc* policies. The manner as to how such policies are implemented depends upon the established mechanism-design, or form of governance, of the community. The term "mechanism-design" refers to the institutions and the rules of the game that govern socio-economic activities (The Economist 2007).

It is through the use and exploitation of natural resources (the available physical and biological assets and environment), within the limitations of science-technology, and the services and functions of organizations-institutions that the community concerns and/or objective of development can be pursued. Some of the key community concerns, means or factors, and policy that should be examined to explain the condition or status of the "community" are provided in Table 1.

The holistic understanding of societal concerns and behaviors (how the community functions in pursuit of its goals or needs) can provide the basis for building the science of public affairs. Generally, a society operates in accordance with its established "norms", for example, its constitution. A constitution is operationally translated via policies that people, individuals, and groups pursue to maintain social harmony and to achieve societal needs and demands.

Development should be understood as an increase in the availability of, and accessibility to, goods and services. It is often thought of as 'the pursuit of happiness'. It can also be humanely thought of as an increase in mankind's physical, mental, and spiritual assets along with an improvement in the ability to choose between those assets for the furtherance of individual and/or societal interest. Thus, "development" is the direction, if not the destination, when a society pursues its well-being, i.e., the "desired condition or state of affairs".

Table1. Community concerns, means/factors, and policy options to pursue community concerns

Community concerns (People's needs)	**Means/Factors to pursue community concerns, i.e., people's interests/needs (Community behaviors/People's actions)**			**Public policy options/ alternatives**
(Y_i)	*Science-technology (X_1)*	*Natural resources (X_2)*	*Organizations-institutions (X_3)*	*[$Y_i=f(X_1,X_2,X_3)$]*
Food & Nutrition	Appropriate technology availability	Land & water availability; Land use conversion	Organiza-tions-institutional support systems	Food & nutrition security policy
Shelter & Utilities (Water & Power)	Improvement of technologies for shelter & utilities development	Availability of raw materials for shelter; Watershed protection for water & power supply	Public & private institutional support systems	Housing & human settlement policy; Energy policy; Water resources policy
Clothing	Appropriate technologies for fibers/ composite materials production & textile industry	Natural resources (fibers) as well as composite materials for clothing production	Public & private support systems	Policy support to fiber & textile industry
Health & Medical Services	Availability & accessibility of advance technology; Traditional & endogenous health practices	Natural resources condition influences health status (e.g., air & water quality)	Status of health service organiza-tions/ institutions	Health & population policies
Economic base (livelihood & employment)	S&T capability for creation of economic opportunities (livelihood & employment)	Resources availability for creation of livelihood opportunities	Function/ programs of support institu-tions/ organiza-tions	Labor & employment policies

Table 1 continued…

Community concerns (People's needs)	**Means/Factors to pursue community concerns, i.e., people's interests/needs (Community behaviors/People's actions)**			**Public policy options/ alternatives**
(Y_i)	*Science-technology (X_1)*	*Natural resources (X_2)*	*Organizations-institutions (X_3)*	*[$Y_i=f(X_1,X_2,X_3)$]*
Education (literacy) & Culture	State of S&T infrastructure	Nature is a better teacher & must be protected for S&T purposes	S&T support system, e.g., education, credit, subsidy/tax incentives; IPR; etc.	Education, science & technology policies; Programs/ policies for the promo-tion & preserva-tion of cultural heritage & values
Sports & Recreation		Status, protection & conservation of natural resources for sports & recreational purposes	Public & private institutions' functions & activities	Policies on sports & recreational programs
Mobility & Transport/ Communi-cation	Appropriate technology for transport/IT for communica-tion		Private & public support sectors	Transport & communica-tion policies
Ecological Balance	Appropriate technology development & application (e.g., green technologies)	Issues on the utilization & exploitation of natural resources and their influence on natural disaster & global warming	Public & private organiza-tions-institutions capabilities & roles (NDCC, LGUs, etc.); Enforcement of rules/ regulations	Environ-ment & natural resources policies; Disaster & natural hazards prepared-ness & manage-ment policy

Note: Based on the Ministry of Human Settlement's (MHS) 11 basic needs of human settlements

The model implies that it is the use and exploitation of natural resources (the available physical and biological assets and environment), within the limitations of science-technology, that goods and services can be produced. And these are distributed or shared among members of society through the workings of its established organizations-institutions. The system illustrated by the model is dynamic. The production of goods and services to meet societies' needs and demands involves not just varied and complex processes and activities but changing ones as well. In addition, the model is not a closed system; it is also capable of being positively and/or negatively influenced by external factors. The dynamism of the system and the external influences require that policies be continuously adjusted, adapted, or replaced to sustain the homeostatic progress towards society's well-being.

The model includes the many actors who are interdependently involved in the system. Each actor is guided by his/her own policies in the performance of his/her role and functions. And each actor's policies reflect in some way the policies of the other actors with whom he/she interacts with. Thus, the field of public affairs is guided - and constrained - by the policies of a constellation of actors. Those policies are often homogenized (combined altogether) in *ad hoc* and intuitive ways. Those policies may be complementary or conflicting depending upon institutional biases and functional specificities. Hence, it is important to have a holistic understanding of the policy mosaic of the public affairs system.

It is important to emphasize that this paradigm of a public affairs system is a simplified abstraction of a living community. A community is alive, in the sense that its membership continues to grow or simply change, which consequently: a) increases pressure on (through the use and exploitation of) natural resources; b) influences changes of science and technology capabilities; c) necessitates changes in the number and nature of organizations-

institutions; and d) affects the formulation and/or modification of policies – formal and informal. Because a public affairs system is alive, it operates and functions according to its "blueprints" or "mechanism-designs" that define the functions and interrelationships of the various elements of the community. Being alive, the community might be in the process of transition from purely rural-agricultural to agro-industrial and urbanizing even if that transition is happening at glacial speed.

Finally, efforts to build a body of knowledge of public affairs must include the careful observation and understanding of the nature and interrelationship of the various elements of the community. Through such efforts, theories or hypotheses relating to the community's concerns and behaviors can be postulated, which can then be verified (or not) and tested against existing laws and principles. From these, public affairs science will evolve and grow.

IV. Analytical Framework for the Science of Public Affairs

Holistic understanding of the numerous social concerns or issues is deemed necessary in public policy making. Of existing disciplines, economics is one that can integrate such numerous social issues because economics, i.e., the economy, affects or is affected by the outcomes of many other disciplines. The status of an economy is too often reflected through measures such as the gross domestic product (GDP) of a country. However, these measures cannot accurately reflect everything of value in a society. These are being considered in developing a methodology on Genuine Progress Indicators (GPI), which emphasizes that the quality of economic development is as important as the quantity of economic activities as measured by GDP (Cobb et al. 1999, Venetoulis & Cobb 2004).

The science of public affairs aims to understand and explain the foundations of civic life and the factors that come to play in shaping society. It focuses on integrating sciences that cut across and inform all disciplines of their roles to society (Hayes & Lynne 2004). It can theoretically demonstrate that the concept of public affairs can indeed be an integrating science, using the following conditions and assumptions:

a) the attainment of societal well-being –"desirable condition or state of affairs" (not only economic growth *per se*) is the vision for the science of public affairs;
b) development – the increased availability and accessibility of goods and services is the mission of public affairs, and thus the precursor of societal well-being;
c) the public affairs system is organized to constitute many sectors such as agriculture, health, energy, construction, manufacturing, trade and industries, and services sectors;
d) the purposes or functions of these sectors, with their respective institutions and operational policies, are the production of goods and services that involve the application of various sciences; and
e) the concept of public affairs adheres to the important message of GPI, earlier indicated.

First, the societal well-being (the vision of public affairs science) can be defined and mathematically expressed as:

$$\mathbf{W_t} = \mathbf{g_t}\ (\ \mathbf{Y}\ ) \qquad \text{eq. (1)}$$

$$\mathbf{W_t} = \mathbf{g_t}\ (\ \mathbf{Y_1}\ ,\ \mathbf{Y_2}\ ,\ \mathbf{Y_3}\ ,\ .\ .\ .\ .\ \mathbf{Y_{m\ +\ n}}\ ) \qquad \text{eq. (1a)}$$

Where, $\mathbf{W_t}$ is the indicator of societal well-being. It is dependent upon the provision of goods and services, represented by vector **Y** (eq. 1). This vector **Y** includes the economic (marketed, $\mathbf{Y_m}$), and non-economic (non-marketed, $\mathbf{Y_n}$), goods and services needed by the community (eq. 1a); i.e., these are the collective needs for goods and

services by individual members of the community. The parameter **g** represents the coefficient of technical interactions, and/or relative shares, of the various determining variables of societal well-being (**Y**), and the subscript **t** represents the time (date) of an assessment.

Second, the production of societal well-being variables (**Y**), the goods and services, can be expressed as:

$$\mathbf{Y = f_t (X)} \qquad \text{eq. (2)}$$

$$\mathbf{Y = f_t (X_1 , X_2 , X_3 , X_4 , ... X_j)} \qquad \text{eq. (2a)}$$

Where, **X** represents a vector or set of inputs or factors of production (and distribution) of goods and services (eq. 2); such inputs ($\mathbf{X_1}$ to $\mathbf{X_j}$) include the natural resources, technologies, and services of organizations/institutions (eq. 2a). The parameter $\mathbf{f_t}$ is the coefficient of technical transformation of factors or inputs (**X**) into outputs or products - goods and services (**Y**) that are needed (whether demanded or not) in society. The above equation illustrates how the various sectors with their institutions and policies operate and perform in the pursuit of their mandates or purposes, i.e., the production of goods and services that obviously involves the use and application of technical and social disciplines or sciences.

Third, the societal well-being ($\mathbf{W_t}$) expression (eq. 1) when combined with **Y** production functions (eq. 2) will result to the following expressions:

$$\mathbf{W_t = q_t [f_t (X)]} \qquad \text{eq. (3)}$$

Where, $\mathbf{q_t}$ is the coefficient of simultaneous productions of the societal well-being variables **Y**. Thus, **Wt** expression (eq. 3) can be written in detail as equation 3a. This is the mathematical expression of the simultaneous operations of the various sectors in the performance of their respective roles in the system. In other words, it is a mathematical representation of the operations or activities

of a public affairs system (a community) illustrated in Figure 1.

$$\mathbf{W_t} = \mathbf{q_t}\begin{bmatrix} \mathbf{Y_{m1} = f_t(X_1 . X_2 . . X_j)} \\ \mathbf{Y_{m2} = f_t(X_1 . X_2 . . X_j)} \\ \mathbf{. . . . . . .} \\ \mathbf{. . . . . . .} \\ \mathbf{Y_{mm} = f_t(X_1 . X_2 . . X_j)} \\ \\ \mathbf{Y_{n1} = f_t(X_1 . X_2 . . X_j)} \\ \mathbf{Y_{n2} = f_t(X_1 . X_2 . . X_j)} \\ \mathbf{. . . . . . .} \\ \mathbf{. . . . . . .} \\ \mathbf{Y_{nn} = f_t(X_1 . X_2 . . X_j)} \end{bmatrix} \quad \text{eq. (3a)}$$

Finally, it is recognized that societal well-being is the result of all of a society's (i.e., community member's) actions and reactions, thus the concept of public affairs is an integrating science, as mathematically demonstrated above. The *production* of well-being's determining variables (**Y**) such as food, shelter, and health, results from the roles and outputs of various sectors and/or the application of technical disciplines (e.g., agricultural sciences, engineering, medical sciences, etc.) and *how* these **Y** are produced, managed, and distributed among members of the society. These processes are generally within the realm of social sciences.

Further, the formulated public affairs algorithm, the societal well-being algebraic expressions, equations 3 and 3a, can describe or depict the "mechanism-design" of the community. The **Y's** are the products of various sectors (or institutions) in the performances of their respective policies. These sectors (or institutions) with their

policies (**IPs**) are simultaneously operating in the community. Hence, these institutions and their policies constitute the community mechanism. The nature of relationships between and among the institutions in the performances of their respective mandates define the prevailing mechanism-design of the public affairs system.

The interrelationships between and among the institutions with their respective policies can be theoretically illustrated by a mechanism-design matrix (Table 2). This matrix provides a holistic view of the public affairs system; of how the relationships and interactions of different institutions relate with one another in the performance of their mandates; and of the contribution to the people's collective interest - the overall societal well-being - the "desirable state-of-affairs".

Table 2. Hypothetical mechanism-design matrix of a public affairs system

	IP_{m1}	**IP_{m2}**	**.**	**.**	**.**	**IP_{mm}**	**IP_{n1}**	**IP_{n2}**	**.**	**.**	**.**	**IP_{nn}**
IP_{m1}	1											
IP_{m2}	**+/-**	1										
.	**.**	**.**	**.**									
.	**.**	**.**	**.**	**.**								
.	**.**	**.**	**.**	**.**	**.**							
IP_{mm}	**+/-**	**+/-**	**.**	0	**.**	1						
IP_{n1}	**+/-**	**+/-**	**.**	**.**	**.**	**+/-**	1					
IP_{n2}	**+/-**	**+/-**	**.**	**.**	**.**	0	**+/-**	1				
.	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**			
.	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**		
.	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	**.**	
IP_{nn}	**+/-**	**+/-**	**.**	**.**	**.**	**+/-**	0	**+/-**	**.**	**.**	**.**	1

This theoretical mechanism-design matrix can be used as guide in the actual assessment (i.e., analysis and evaluation) of the public affairs system. This will only be possible as long as the necessary data and information are available. Such an assessment should be undertaken through transdisciplinary methods as indicated earlier. This method enables the estimations of more realistic parameters-coefficients of the interrelationships or interdependencies between and among the various sectors or actors in the system. The numerical values of the coefficients may be positive or negative, indicating that the relationships can be complementary or competitive, respectively. If the values of coefficients are either nil or zero, the relationships are insignificant or do not at all exist. The established technical parameters or coefficients are obviously important in decision-making for public affairs policy.

Finally, the above theoretical analytical framework would be useful in understanding and explaining the public affairs system - the community concerns and behaviors. Hence, this is particularly vital in analyzing the multifaceted and complex social challenges and opportunities to evolve appropriate public policy decisions toward achieving harmony of the public affairs system – the community. The agenda of public policy decision-making is generally within the realm of political economics, which is one of the many relevant disciplines being integrated in the science of public affairs, which is an integrating discipline. Political economics is an important aspect in managing public affairs; this management deserves a separate scientific, theoretical, and practical elucidation.

V. Concluding Insights

There is a need for comprehensive and objective information on the public affairs system. The asymmetry of information, however, makes it hard to achieve effective policy decision-making.

Nevertheless, just as the Aristotelian physics was changed by Newton and others, this decision-making will improve because of science.

While the science of public affairs emphasizes the importance of holistic understanding of overall societal activities in public policy, it does not espouse or recommend centralized policy decision-making. Instead, it elucidates the importance of the different sectors or actors being fully aware of their respective roles and functions in the system to achieve harmonious collective actions.

Societal well-being and development are the vision and mission, respectively, of the science of public affairs. Holistic appreciation and understanding of the community concerns and behaviors, its mechanism-design, and the resources and know-how that are needed to pursue such vision and mission, are deemed vital in developing this science. Some of the relevant questions or insights in building such a body of knowledge would be:

a) *Public interest and societal well-being:* What really are the social goals and values? What is *desired* and what is *needed*? What constitutes societal well-being: is it the desirable state of affairs? What are the variables or factors that determine societal well-being? How is it measured?
b) *Public affairs governance*: What is the type or nature of governance (control, direct, and indirect)? Is it democratic or dictatorial? What is the context of governance: is it for people's collective interest or the interest of a selected few? How do the existing informal social norms (e.g., buddy system) and differences in culture (and possibly values) influence governance? What and how are public policies being developed and implemented?
c) *Mechanism-design of the public affairs system*: What are the existing government and non-government institutions, their respective policies, roles, and functions in the community?

How do they achieve their respective mandates? What are the nature and behavior of institutional relationships: are they competitive or complementary or duplicative in policies and functions? and

d) *Natural resources and science-technology*: What are the existing natural resources in the community (types, ownership, status of utilization or exploitation, etc.)? What are the carrying-capacities of these resources? What is the status of science-technology capability of the community: is it natural resource-based or higher-end capabilities such as manufacturing and processing?

Through careful observations and exploration of the above insights or key questions with appropriate empirical studies, the technical relationships between and among the various elements of the public affairs system can then be put forward or established. The relationships that may prevail in the system may be verified, confirmed, or validated by existing laws or principles, or by statistical tests. Thus, a more revealing body of knowledge can be organized, and perhaps, the science or a "theory of public affairs" can then be systematically formulated and established. Finally, the science of public affairs must be nurtured.

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Transdisciplinary Approach in Development Studies

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Abstract: This paper traces the origin, evolution, and the propositions made by the framers of the transdisciplinary (TD) concept. It reviews the body of work of the various applications of the TD approach in the human sciences as in the twinning of medical sciences and the social sciences; biodiversity; agriculture sciences and development; and agriculture, food, and nutrition. Another application of the TD approach is discussed in the context of innovation systems for development studies with focus on sustainable community development and food security. The experiences of the College of Public Affairs and Development (CPAf), University of the Philippines Los Baños (UPLB) in formulating and applying the TD approach to development problems are highlighted. Recommendations are given on the integration of TD in curricular programs of CPAf.

Keywords: *Transdisciplinary (TD) research, public affairs, innovations system, sustainable community development, food security*

I. Introduction

This article expounds on the relevance of transdisciplinary (TD) approach in the field of public affairs and development, which

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is the multidisciplinal anchor of the youngest college of the University of the Philippines Los Baños (UPLB), that is, the College of Public Affairs and Development (CPAf). CPAf aims for distinctive excellence in development studies and governance to support national development goals in the agriculture and rural sectors and in communities in transition. Among its mandates is to develop, refine, and access a body of knowledge, theories, and principles to make public affairs and development a *transdisciplinary field of study* and to position the field at a cutting edge in local and national development efforts. Through transdisciplinary approaches, CPAf shall develop human and institutional capacities in local development policy, governance, and community development consistent with the college's values and traditions while taking into account the demands of globalization (CPAf Creation Document 1998).

For most academics and development researchers in the Philippines, the TD approach is still a novel concept. Thus, this paper will elucidate on the origin and evolution of the term both in theory and in practice; explain the propositions found in the literature to enhance TD research; cite applications of the TD; and discuss how TD approach drives research at CPAf.

II. Origin and Evolution of the Transdisciplinary (TD) Approach

Jean Piaget introduced the use of TD in 1970. In November 1994, the International Center for Transdisciplinary Research (CIRET) adopted the Charter of Transdisciplinarity at the 1st World Congress of Transdisciplinarity in Convento da Arrabida, Portugal (Wikipedia 2012a). CIRET clarifies that transdisciplinarity is radically distinct from interdisciplinarity. Interdisciplinarity is concerned with the transfer of methods from one discipline to

another, allowing research to spill over disciplinary boundaries while staying within the framework of disciplinary research.

TD began with a pessimistic overview of the world in the late 20th century; the world was complex and full of conflicts. Early proponents (Lattanzi 1998; Klein et al. 2001) of the TD approach viewed this as an area of research and education that addresses contemporary issues, which could not be solved by one or even a few points of view. It brings together "academic experts, field practitioners, community members, research scientists, political leaders, and business owners among others to solve some of the pressing problems of the world, from the local to the global levels. TD studies emphasize engagement, investigation, and participation to address present-day issues and problems in a manner that explicitly destabilizes disciplinary boundaries while respecting disciplinary expertise. These studies are built around three key concepts: transformative praxis, constructive problem-solving, and real-world engagement."

The advocates of TD studies argue that their propositions fit naturally into the 21st century world. This world, as claimed, requires a contextualizing of knowledge in order to address complex issues (such as global warming) and a collaboration across academic disciplines that includes non-academics in solving problems (Klein et al. 2001, Nicolescu 2002). Henceforth, current advocates have refined and clarified definitions and practice of TD research.

Transdisciplinarity is defined by Nicolescu (2008), considered to be the father of the TD approach, through three methodological postulates: the existence of levels of reality, the logic of the included middle, and complexity. As the prefix "trans" indicates, transdisciplinarity concerns that which is at once between the disciplines (i.e., the interface), across the different disciplines, and beyond each individual discipline. It addresses complex problems and their diversity of perceptions; it recognizes that

abstract and case-specific knowledge are linked; and it acknowledges that practices promote the common good (Hirsch Hadorn et al. 2008).

Another critical defining characteristic of TD research is the inclusion of stakeholders in defining research objectives and strategies in order to better incorporate the diffusion of learning produced by the research. Collaboration among stakeholders is deemed essential – not merely at an academic or disciplinary collaboration level, but with people affected by the research and community-based stakeholders. This way, TD collaboration becomes uniquely capable of engaging in different ways of knowing the world, in generating new knowledge, and in helping stakeholders understand and incorporate the results or lessons learned from the research (Wickson et al. 2006). Transdisciplinary research is not antagonistic but complementary to multidisciplinary and interdisciplinary research, as explained by Nicolesco (2008).

III. Propositions of TD: A Guiding Framework

The literatures also rightly state that the debate on transdisciplinarity is still fairly young and that the process of TD research is still being developed. A group of like-minded TD professionals had published a handbook with fifteen propositions to enhance TD research (Wiesmann et al. 2008). This was an attempt to stimulate the debate on, and the development of, TD research. These propositions, summarized in Appendix 1, were grouped into three: the definition, scope, and process of TD research; some of the most persistent stumbling blocks in TD practice; and the cornerstones needed to face the scientific, the institutional, and the societal challenges. The following are the highlights of these propositions as formulated by Wiesmann et al. (2008).

a. Scope, Process, and Outcomes of TD Research

TD transgresses boundaries between scientific disciplines and between science and other societal fields. It includes deliberation about facts, practices, and values. It is an appropriate form of research when searching for science-based solutions to problems in the life-world with a high degree of complexity in terms of factual uncertainties, value loads, and societal stakes. TD implies that the precise nature of a problem to be addressed and solved is not predetermined and needs to be defined cooperatively by actors from the science- and the life-world.

Such was practiced in a 1994 research on sustainable agriculture and natural resource management based in the Philippine uplands (Rola 2011). To refine problem definition, as well as the joint commitment in solving or mitigating problems, TD research connects problem identification and structuring, searches for solutions, and brings results to fruition in a recursive research and negotiation process. Current use of adaptive management is an application of this proposition. TD thus dismantles the traditional sequence leading from scientific insight to action.

As for the nature of problems addressed in TD research, the participating disciplines and competencies from the natural, technical and social sciences, and the humanities, as well as from the life-world cannot be pre-defined, thus no blueprint is expected to be drawn. Determined during the research process are the bodies of knowledge that have to be integrated, which account, produce, and integrate systems knowledge, target knowledge, and transformation knowledge (Wiesmann et al. 2008). Just like the interdisciplinary research, TD research is not meaningful without sound disciplinary contributions.

b. Dealing with Stumbling Blocks in TD Practice

Wiesmann et al. (2008) also listed the six stumbling blocks in TD practice: participation and mutual learning; integration and collaboration; values and uncertainties; management and leadership; education and career building; and evaluation and quality control.

According to Wiesmann et al. (2008), participatory processes require carefully structured, sequenced, and selected negotiations and interactions. Building on approaches of mutual learning that bridge roles and positions without dissolving them is a promising entry point to goal-oriented participation. Second, collaborative efforts of integration take into account the recursive nature of TD research. Combining different means of integration, i.e., developing joint theoretical frameworks, applied models, and concrete common outputs – in an iterative or circular process – has proven to be particularly successful. There should also be a productive balance between structured collaboration and vested interests by participating partners and disciplines. Third, in order to give sufficient attention to values and stakes at all stages of TD processes, collaborations and negotiations should be dominated by a mutual learning attitude, not by positions. Reflexivity is also the core means for dealing with uncertainties and the outer boundaries of knowledge resulting from TD endeavors.

Fourth, leading TD projects primarily imply finding a satisfactory balance between periods of intense collaboration with clearly defined joint outputs and periods where deepened disciplinary and multi-disciplinary contributions can be elaborated. This balance of periods is best supported by management services that simultaneously ease administrative tasks for participants; provide clearly structured and timed means of communication, integration and reflexivity; and support internal and external

recognition of all contributors. Fifth, TD training and education are best developed in close connection with the disciplines of origin. Related career building can be supported by careful planning and sequencing of outputs targeting the reference systems of the original discipline and the enhanced peers of transdisciplinarity.

Lastly, Wiesmann et al. (2008) propose that evaluation of TD research has to go beyond traditional reference systems. It should include qualifying integration and collaboration of disciplines and stakeholders, the recursive design of the research process, and the way the project is based on, and can provide input to, scientific knowledge and societal problem handling. To strengthen internal quality control efforts, researchers should concentrate on finding the delicate balance between respecting specific competence and transgressing them in constructive and critical dialogue within TD teams.

c. Cornerstones for Enhancing TD Research

The last set of propositions by Wiesmann et al. (2008) pertains to the cornerstones needed to face scientific, institutional, and societal challenges. It was proposed that good and concrete TD practice must be supplemented by efforts done at its scientific foundations and for scientific recognition. These must go beyond just systematizing TD research procedures and aim at theoretical, methodological, and topical development and innovation at the interface with participating disciplines – to benefit both sides. Furthermore, in order to enhance TD research, its scientific foundations and its innovative potential for participating disciplines, the institutional position in science and academia has to be strengthened. This may mean incorporating aspects of transdisciplinarity into research, curricula, and career building within established disciplinary institutions. It may also include promoting specialist TD institutions (as is the mandate of CPAf).

The growing network of peers will need to play a key role, allowing TD practice to be promoted more proactively by the scientific community.

Wiesmann et al (2008) urged the scientific community to constantly renew the debate on the role of values in research. Contributing to solving life-world problems through TD research, according to Wiesmann et al. (2008), requires science to be conscious and explicit in terms of values and in the boundaries of knowledge and findings.

TD and Participatory Research (PR)

In development studies, one approach that is closely related to TD is the participatory research (PR) approach, though this is also considered to be one of the stumbling blocks in the former. Participatory process is a subset of the whole TD approach. Its practice embedded in the transdisciplinary approach requires carefully structured, sequenced, and selected negotiations and interactions, which sometimes are not met, thus becoming a stumbling block. Its defining characteristic is the involvement of relevant stakeholders (e.g., farmers, fishers, extension officers, policy makers, etc). Stakeholders, for example, may help define problems and issues for research, collaborate in data gathering and analysis, and/or apply the research findings (Neiland et al. 2006). But how participatory is participatory development was also the issue raised by foremost Filipino sociologist Castillo (1983).

The participatory approach to agriculture and development studies, in particular, assumes that rural people have the in-depth local knowledge about their circumstances and production systems and this can be used to identify researchable constraints to development (Turrall n.d.). Proponents of this approach argue that

involving local people in the research process increases the relevance and applicability of research findings and improves their delivery to the end users. Furthermore, literature also cites that participation can change the nature of research, reducing the need for high levels of human and financial resources. Participation also encourages communication and the sharing of information among stakeholders and researchers who facilitate the R&D process.

On the other hand, TD is ideal in dealing with complex problems, such as climate change and food security. TD involves many disciplines and practitioners of various fields in conceptualizing and solving the problem. It needs more than local knowledge, hence the complex models developed from both science and the practitioners are the domains of the solution set. Clearly, participatory research is one of the components of TD.

IV. Applications and Advancement of TD Approach

When can one say that a particular effort is transdisciplinary? The applications shown in the literature note the following elements of a TD approach: 1) it is systems-oriented, thus it combines a variety of frameworks; 2) it is multistakeholder with both academic and non-academic partners solving problems together; 3) it is science-based, thus it depends on scientific information, pointing to the major role of the scientists and their challenge of further developing the TD framework; and 4) it addresses real societal problems.

As a research strategy, TD crosses many disciplinary boundaries to create a holistic approach. It applies to research efforts focused on problems that cross the boundaries of two or more disciplines, such as research on effective information systems

for biomedical research (bioinformatics). It can refer to concepts or methods that were originally developed by one discipline but are now used by several others, such as ethnography. Ethnography is a field research method originally developed in anthropology but now widely used by other disciplines.

This section highlights some applications of TD in various fields.

4.1 Human Sciences: Health and the Social Sciences

Health and social science collaboration is one practical application of TD research. A TD approach can provide a systematic, comprehensive theoretical framework for the definition and analysis of the social, economic, political, environmental, and institutional factors influencing human health and well-being. The academic and career challenges for such researchers, while considerable, may be overcome since there is now a new flexibility in research-supporting organizations to encourage new ideas in international health, such as that of essential national health research (Rosenfield 1992).

TD research would firmly ground the particular health condition under analysis in its social and economic setting. The health decision-maker can reach across sectors and disciplines to work with his or her counterpart in agriculture, education, economics, planning, and finance to strengthen the basis for sustainable health and development policies. This approach and its outcomes could also lead to a new academic enterprise where more intensive and extensive scholarship would be focused. The scholarship will help develop a general conceptual framework as the underpinning for research and educational programs. TD research would not only sustain existing collaboration between social and health scientists. More importantly, it would build a solid branch of knowledge that would continue to extend and illuminate

understanding and improvement of the human condition (Rosenfield 1992).

Another TD initiative in the health sector is the Transdisciplinary Research on Energetics and Cancer (TREC), a major scientific research effort studying obesity and cancer, funded by the National Cancer Institute (NCI) in the US (NCI 2012). This center studies obesity and cancer because existing research shows that many cancers are linked with obesity. Reducing these cancers requires the unfolding of the link between obesity and cancer. Scientists in the center are conducting research to learn how the combined effects of obesity, poor diet, and low levels of physical activity increase cancer risk. They are also searching for effective ways to prevent and control obesity.

4.2 Biodiversity Application

TD is also being practiced in addressing biodiversity issues in Europe. The series of workshops organized by the German-based Institute for Social-Ecological Research (ISOE) in cooperation with the European Platform for Biodiversity Research Strategy (EPBRS) and the Belgian Biodiversity Platform aim to explore ways to further increase the capacities of transdisciplinary biodiversity research in Europe. It brings together researchers and experts, representatives, and decision-makers from European institutions and research funding agencies, as well as members from civil society and the private sector.

A summary of their recommendations to further promote transdisciplinary biodiversity research include: 1) Scientists have a role to play in raising awareness on the importance of biodiversity as a transdisciplinary issue. The biodiversity community needs people who are able to bridge between worlds, both science and advocacy, to get transdisciplinary biodiversity topics on the European research agenda; 2) Environmental policy representatives at national

(Belgium) and European level have to open up to and interact with other sectors to better advocate for global biodiversity agreements and mobilize more funding for transdisciplinary research on biodiversity; 3) Scientific academic training should provide means and opportunities to train new professionals to become the "in-between" links. Current educational and institutional frameworks need to be adapted to provide such training and career opportunities; 4) Innovation should be understood in a broader sense than technology and products with market value. Research is needed on innovative ways to increase sustainable use, recycling of natural resources, and learning from natural processes; and 5) The biodiversity community needs to reinforce its identity and build up larger influential groups to be able to advocate more efficiently at national and European levels (ISOE 2011).

4.3 Agriculture Science and Development

Another noted application of TD research is on agriculture and development. For instance, Hajdu et al. (2012) showed how agricultural interventions in South Africa have failed to deliver the promised poverty reduction for rural smallholders using ecological economics, livelihood studies, complex system methodology, and discourse theory in a TD fashion. These methods and frameworks were used to investigate the underlying reasons behind such failures. The mismatch between local realities and program management was found to be a central cause of failure. Lack of responsiveness to local realities within the program resulted in tractors being sent to plough fields across a river with no bridge, leading locals to comment 'but tractors can't fly.' The neoliberal discourse in South African development policy was found to be a crucial factor behind such omissions (Hajdu et al. 2012).

4.4 Agriculture, Food, and Nutrition Security

The systems approach to the study of food and nutrition security is another application of the TD research. A systems framework consisting of technology and policy analysis in sector governance, access to resources, production, and markets can lead to both food and nutrition security. This approach can also help explain why despite national food security programs, malnutrition and nutrition insecurity at the household level are prevalent. Food and nutrition security can only be achieved through an integrated framework of analysis in food and nutrition security planning and programming (Velasco et al. 2012). The latter study urged for a holistic perspective and for the agriculture, food, and nutrition sectors to come together to solve the problem in a scientific manner.

4.5 Institutional Efforts to Advance TD Research

Continuing TD works are found mostly in Europe, though there are also American and Australian groups engaged in the field. The International Center for Transdisciplinary Research, based in Paris, is a central force in the propagation of transdisciplinary studies. Td-net: network for transdisciplinarity in sciences and humanities, at the Swiss Academy of Sciences, acts as a resource for writing and work on TD topics. The Russian School of Transdisciplinarity is focused on creating a unified methodology for transdisciplinary studies to teaching it in institutions of higher education as an independent scientific discipline (Wikipedia 2012b).

Programs on Transdisciplinary Studies in the United States have been created at the University of North Carolina, Woodbury University, New York University, Claremont Graduate University, and Parsons New School for Design. There is also the Centre of Transdisciplinary Studies for Development at the University of Trás-os-Montes and Alto Douro in Portugal.

In 2009, the University of Vermont (UVM) in the US embarked upon an unprecedented University-wide conversation - the Transdisciplinary Research Initiative, or TRI - to strategically advance its national role as a premier small research university (University of Vermont [UVM] 2012). Led by UVM administrators, the Faculty Senate and faculty experts from across campuses, the TRI helped map UVM's existing and emerging transdisciplinary strengths, develop its distinctive national and international reputation for research and scholarship, and strategically invest resources to create new knowledge, advance economic development, and engage their communities. As a result of the TRI process, three "Spires of Excellence" were named: Complex Systems, Food Systems, and Neuroscience, Behavior and Health.

4.6 Dissemination of TD Research Outputs

At present, there are at least two international journals dedicated to the development of the body of knowledge on TD research. These are the Journal for Transdisciplinary Research in Southern Africa and the International Journal of Transdisciplinary Research.

The Journal for Transdisciplinary Research in Southern Africa aims to create knowledge with the collaboration of the formal sectors of the natural and human sciences as base. Over and above this, it intends to focus on levels of knowledge found at the grassroots level. It is important to explore this knowledge because it becomes the groundwork for further knowledge, which is often not confined to a fixed formal discipline or area of knowledge (North-West University Institutional Repository [NWU] 2012).

On the other hand, the International Journal of Transdisciplinary Research (IJTR) extends and integrates the study

of economics with disciplines within the natural and social sciences, as well as the humanities. IJTR contains materials on alternative frameworks and argues for the development of a unifying vision of an economic paradigm that realistically portrays economic systems. If science wishes to contribute to solving real world issues, transdisciplinary collaboration and communication are necessary.

IJTR topics include epistemological issues such as: 1) sustainability, (2) social multi-criteria evaluations, 3) ecological economics and the biophysical foundations of economics, 4) systems research, and 5) complexity and post normal science. The Journal is for the constructive argument and the development of alternative ways to govern sustainability. Furthermore, the Journal seeks research articles from colleagues in fields other than economics on how economic systems really work (International Journal of Transdisciplinary Research [IJTR] 2012).

V. TD Approach in the Context of the Philippine Public Affairs and Development

5.1 TD and the Innovation Systems Framework

In rural Philippine setting, as in the rest of rural areas in developing countries, the TD approach is most suitably fitted within an innovation systems framework. This framework embeds the institutional changes in response to the overall community level changes now happening in response to urbanization, globalization, and decentralization challenges. The innovation systems framework demonstrates the importance of studying innovation as a process in which knowledge is accumulated and applied by heterogeneous agents through complex interactions that are conditioned by social and economic institutions (Spielman 2005). Within the innovation system perspective, a lot of other factors explain how society generates, disseminates, and utilizes knowledge, and how such

systems can be strengthened for greater social benefit (Hall et al. 2003).

Literatures on the more theoretical innovation systems represent a significant change from the conventional, linear perspectives on agricultural research and development (R&D). These provide a framework for the analysis of complex relationships (a TD element) and innovative processes that occur among multiple agents, social and economic institutions, and endogenously determined technological and institutional opportunities. The emerging body of empirical literature is equally significant in that it provides analysis of different forms of cooperation (e.g., research partnerships, knowledge networks, and industry clusters) among state and non-state actors (e.g., public research organizations, private firms, and producer organizations) in various sectoral, spatial, and temporal contexts (Spielman 2005). There is also a shift in the focus of policy from examining the determinants and consequence of research to capacity development where emphasis is on strengthening networks of users and producers of knowledge (Velho 2002).

TD and Agriculture and Community Development

Experiences in implementing agriculture and rural development programs reveal the limitations of a single disciplinary focus to better appreciate the social dynamics and complexities of interactions of factors that affect change, and ultimately, development. In the past, the role of the social sciences in agriculture and community development was limited to the understanding of farmers' behavior in the adoption of new technologies. Agricultural economists ably dealt with profitability concerns as plot level research centered only on yield and profit comparisons between the new technology and the farmers' practice. Agricultural extension focused mainly on technology diffusion at the farm level. As the unit

of analysis itself has evolved from plot to farm and from households to communities, the approach to complement academic programs in social science will also have to be reconfigured. The contemporary study of community development leads to the understanding of the interrelationships among policies, institutions, and governance of resources that can further lead to social development.

Agricultural managers as development managers must consider the optimal relationship between and among productivity and profit, sustainability, societal needs, and institutions, as illustrated in Figure 1. While one still studies the yield and profit effects, the paradigm has now expanded to include concurrently the impact of modern agriculture on natural resources, and the role of institutions in attaining sustainable community development. Development analysts have long recognized the need for a broader multidisciplinary/interdisciplinary approach. Now, transdisciplinary approach can better understand and explain the interaction of the technical, social, cultural, economic, institutional, and environmental factors that affect agriculture and community development. Decisions to participate in collective action and to maximize the benefits from interventions, as well as social relations among the key development actors/stakeholders, also need unconventional methods of study.

Figure 1. Factors to consider in agriculture and community development decision-making (Hall et al. 2003)

TD Approach to Food Security Research

Integration of the various disciplines to achieve food security is a paramount concern of an agricultural university. In solving food insecurity, one needs the integration of agriculture science, environmental science, and the study of culture, society and people, simultaneously (Figure 2).

Finally, applied social science for agriculture and community development needs to focus on institutional innovations as these social structures hasten or constrain the development process.

Figure 2. Transdisciplinary approach to the study of food security (Hall et al. 2003)

5.2 Formulating the CPAf Transdisciplinary Research Framework

Methodology

The 1998 document creating the College of Public Affairs and Development (CPAf) stipulated the following development issues to be the College's problem foci: food security, land reform and land use, governance, strategic planning, population, environment, education, agrarian and rurban development, and cooperatives. In 2007, the faculty and researchers of the CPAf, through an in-house project, grouped themselves into four themes: institutions, community management strategies, science and technology policy, and social development (Rola 2007). The in-house project guided CPAf in developing a thematic framework that would help determine the niche and the boundary of its academic and research programs. CPAf research is expected to be problem-focused and with solutions derived from stakeholder participation (a TD proposition).

The four teams were tasked to review and analyze using the meta-analysis method, all the researches of CPAf students and faculty members conducted from 1998 to 2008 in each of the four themes. Further processing of identified themes and the subsequent restructuring of the College in 2011 led to a more specific identification of the two "spires of excellence" that CPAf research aims to facilitate, at least in the next five years. These are on food and nutrition systems to be the focus of policy research of the Center for Strategic Planning and Policy Studies (CSPPS) and sustainable community systems to be the transdisciplinary research focus of the Community Innovations Studies Center (CISC). These two centers are the research and extension arm of the restructured CPAf.

The CPAf Transdisciplinary R and E Framework

Two frameworks integrating the levels of expertise in CPAf (Figure 3) and highlighting CPAf's research niche (Figure 4) were also formulated in the various strategic planning workshops of the College (Rola et al. 2011). The R&E agenda of the College as suggested by the faculty should be able to tap 1) transdisciplinary, 2) institutional, and 3) individual expertise.

The first framework identifies the transdisciplinary grid to complement the research framework that will be developed. Each faculty brings his/her individual discipline into the fore. The second layer is the institutional expertise of the institute that he/she belongs to. The research will also be tailored along this, and the individual expertise will be integrated into the institutional disciplinarity. To address development problems, the third layer will be the multi-transdisciplinary approach to problem solving. Now, the individual expertise will be molded through practical applications to fit in this third layer.

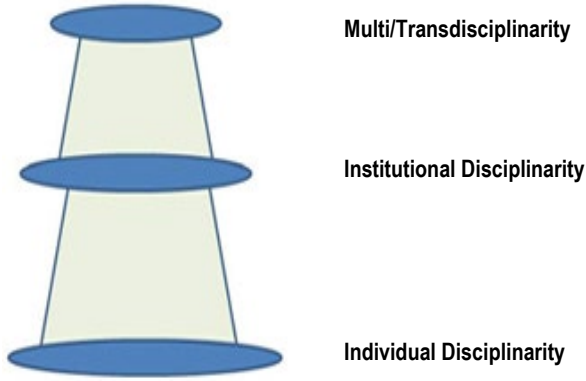

Figure 3. Cake framework: Levels of disciplinarity/expertise combining competencies in CPAf from a systems perspective (CPAf Strategic Planning Workshop Discussions, December 2010)

The second framework (Figure 4) attempts to lay down the relationship of the four themes that were originally identified as CPAf's research niches to contribute to social development.

The framework identifies the type of scholarly response that CPAf needs to develop to be relevant to the demands of developmental problems, specifically on food and nutrition and on sustainable community development. The goal is to achieve social development, and ultimately, sustainable development. The methodological and theoretical development will be in the fields of policy/governance, institutional analysis, and delivery systems. Note that CPAf needs to work with the technical colleges that will formulate technological solutions to the defined development problems. The transdisciplinary expertise grid is indicated as a base of the framework to illustrate complementation of such a basic resource in the research problem formulation and implementation.

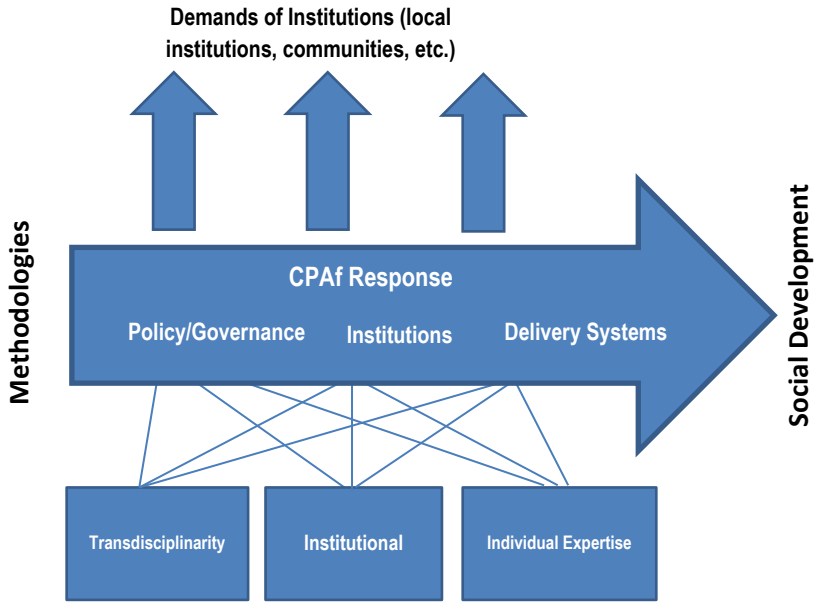

Figure 4. CPAf's Research Framework (CPAf Strategic Planning Workshop Discussions, December 2010)

CPAf needs to nurture more collaborations in research activities, but this can be done through the two centers doing TD research towards the resolution of the two focal development problems described above. Activities such as R&E planning workshops and round table discussions should also be a continuing research exercise. To enhance the TD research capability, CPAf's faculty and staff should get involved in other colleges' researches, and vice-versa. The UPLB management should be facilitative in this aspect.

5.3 Experience of the CPAf: Lessons and Challenges in the Practice of TD

TD research at UPLB started even before CPAf was born. The following are examples of the TD research efforts done by the College in the two realms of food security and sustainable community development.

Sustainable Upland Community Development

This was a study of an upland community in transition chronicled through the aegis of the USAID-sponsored project, Sustainable Agriculture and Natural Resources Management-Collaborative Research Support Program Southeast Asia (SANREM CRSP SEA) conducted from 1994 to 2009 in Bukidnon. The program had four cornerstones or research design principles (Coxhead and Buenavista 2001): a landscape approach, interdisciplinarity, inter-institutional collaboration, and participation. The grant program was designed so that maximum reliance was placed on the "ingenuity of the researchers who will do the work" (NRC 1991:5, as cited in Coxhead and Buenavista 2001). This "lack of blueprint" set the pace for an innovative work that was more process-oriented, long range, and with multiple actors (Northern scientists, Southern scientists, national officials, local officials, indigenous communities, men and women farmers, and others) having one goal in mind: to attain sustainability in upland communities amidst economic and political development.

This project had all the elements of a TD approach. One common application of the TD is the science-policy interface. In other words, TD complements applied research in problem fields characterized by complexity and uncertainty (Hirsch-Hadom et al. 2008), as in the SANREM CRSP SEA research.

Some of the unique components of this particular TD application are as follows (Rola 2011):

a) Beyond Farmer Participation

This research validates the earlier claim that participatory research is a component of TD. The research team was made accountable to the farmers when they presented their proposals to community leaders for assessment of relevance. An annual event enabled the community to learn about the progress of the research. Aside from the research, the program initiated three development activities on natural resource management with the community. Formed were the water watch group; a group that could supply agroforestry seedlings; and a group that promoted soil conservation techniques through farmer groups. In these different models, farmers and community members formed associations to monitor and manage water and soil resources, and explored opportunities for offering their services outside the municipality.

b) Partnership with Local Governments

One of the unique features of the program was the formal way of engaging the local government officials in the project activities. The mayor, chair of the environment committee of the municipal legislative body, municipal planning and development officer, and provincial planning and development officer were all part of the project staff. In this arrangement, the mayor had a clear understanding of the purposes of the project. The local government officials were also amenable to the research recommendations. If feasible, immediate actions were taken. The research alliance with the local government was successful because of the "trust and confidence" that linked the local communities and the research group. The research team exerted great effort to integrate itself into the community, and to partake of the local customs, as expected of

strangers coming to the place. Once the local government became comfortable with the set-up, the partnership flourished.

c) Capacity Building on Local Policy Analysis

Hand-in-hand with the research and development partnership with the various sectors of the community was the conduct of the local capacity building. Capacity building was done not just for generating information on agricultural technologies and management of natural resources but also for policy analysis for environmental management. Both provincial and municipal governments' elective and appointed officials were trained on policy analysis for environmental management. The knowledge from the training was important for their subsequent policy making efforts for environmental management and for program impact sustainability.

Collaborative Research, Development, and Extension for Food Security (CRDES)

This program was started in 2009 and is still an ongoing activity of the CPAf and other UPLB units. The lessons learned from this TD approach are discussed in Amit and Querijero's article (in this volume). In general, forging partnerships and collaboration to implement the program were considered to be most important (Rola et al. 2012). The CPAf professors are theorizing on the lessons and experiences learned by analyzing at least three tiers (Amit and Querijero, 2012 in this volume): 1) the partnership formation among the colleges of the UPLB from both the technical and the social science fields; 2) sustained engagement of the various collaborative institutions with their own particular mandates and activities; and 3) leadership attributes (who is in charge?) of the UPLB as a

national university in coordinating the various institutions mandated to work on food security.

Lessons and Challenges in the Practice of TD: A UPLB Perspective

Some of the lessons that were learned are as follows:

1) Leadership is a sensitive issue. The leader must have the moral ascendancy to be credible. He/she must be a sociable person and most of all, he/she must not assume a dominant force in theorizing and field applications. The leader must know how to blend and must respect all the points raised by the team members and partners.
2) There must be a champion. In each sector, the team can recognize a sector champion to work within the core team. This champion will also be able to relay the message to sector partners and beneficiaries. However, there must be an overall champion, who will sustain the activities in terms of theorizing, advocating results, assessing outputs and outcomes, and thinking forward for the next steps.
3) There must be clear tasking and agreement on timelines. This is to get the commitment of all partners. Ideally, a memorandum of understanding and a memorandum of agreement must be signed by all partners and their agency heads. Timelines must be observed at all times; otherwise, the program outputs will be in jeopardy.
4) There must be utmost respect for individual disciplines and contributions from the other sectors. The partners must be good listeners.
5) The team composition and creation are also tricky issues. It all starts from finding an ideal leader that has already the interdisciplinary perspective and can then just add to the effort the transdisciplinary approach. The team composition

represents the ability of the team leader to recognize what discipline will be needed at a particular stage of the work. The team creation will be the identification of the core team members who will ideally have the initial synergy to work together.

Over all, the challenge of the TD lies not in the identification of the disciplines and sector participants but on how well the team can work to deliver the outputs. This is as experienced by the researchers of CPAf and UPLB in general.

VI. Conclusions and Recommendations

The TD approach has been demonstrated to be a fitting framework for the 21st century problems such as sustainability, globalization, and decentralization. It proposes a systems approach to solving these development problems. Proponents, however, have also warned that scientific, institutional, and societal challenges can hamper the use of this approach. As was mentioned, TD practice must be supplemented by efforts at the levels of its scientific foundations, and it must have scientific recognition. This means that in academic institutions, there is a need to theorize and develop methods, topics, and innovations that can bring us at the interface of participating disciplines as well as the benefits of other societal actors.

The paper also demonstrated CPAf's efforts to use the TD approach into its research programs, highlighting the need for a strong disciplinary base by faculty and the challenge of working with the technical colleges within campus. UPLB as a whole is looking forward to the implementation of a transdisciplinary academic program, the PhD in Development Studies. In this program, the areas of discipline will have technical anchors in agriculture, forestry and the environment, while the cognates will be choices of social science courses. The PhD program aims to theorize on development

pathways of third world countries, unique from the experiences of Western countries. TD methods will also be more robustly formulated and practiced as students will be honed in systems thinking and analysis.

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Appendix 1. Fifteen propositions for enhancing transdisciplinary research (Wiesmann et al. 2008)

Scope, Process and Outcomes of Transdisciplinary Research	
Proposition 1 – Definition	Transdisciplinary research is research that includes cooperation within the scientific community and a debate between research and the society at large. Transdisciplinary research, therefore, transgresses boundaries between scientific disciplines and between science and other societal fields and includes deliberation about facts, practices, and values.
Proposition 2 - Scope and Relevance	Transdisciplinary research is an appropriate form of research when searching for science-based solutions to problems in the life-world with a high degree of complexity in terms of factual uncertainties, value loads, and societal stakes. Through bridging different scientific and social knowledge components, it can significantly improve the quality, acceptance, and sustainability of such solutions. However, deliberation about facts, practices, and values are ongoing when bringing results to fruition in the life-world as well as in scientific communities.
Proposition 3 - Recursive Process	Transdisciplinarity implies that the precise nature of a problem to be addressed and solved is not predetermined and needs to be defined cooperatively by actors from science and the life-world. To enable the refining of problem definition as well as the joint commitment in solving or mitigating problems, transdisciplinary research connects problem identification and structuring, searching for solutions, and bringing results to fruition in a recursive research and negotiation process. Transdisciplinarity thus dismantles the traditional sequence leading from scientific insight to action.
Proposition 4 - Knowledge Forms	In relation to the nature of problems that are addressed in transdisciplinary research, the canon of participating disciplines and competencies from the natural, technical and social sciences, and the humanities, as well as from the life-world cannot be pre-defined. It is to be determined during the research process, which bodies of knowledge have to be integrated to take into account, produce, and integrate systems knowledge, target knowledge, and transformation knowledge.

Appendix 1 continued…

Scope, Process and Outcomes of Transdisciplinary Research	
Proposition 5- Contextuality and Generality	Transdisciplinary research is by necessity shaped by concrete problem contexts and related societal settings, and its results are basically valid for these contexts. However, taking into account the prerequisite of contextualisation, transdisciplinary research also aims at generality by providing insights, models, and approaches that can be transferred to other contextual settings after careful validation and adaptation.
Proposition 6- Specialization and Innovation	The quality of transdisciplinary research is bound by sound conceptions of integration, and thus, requires development of its own form of specialization. However, transdisciplinary research is not meaningful without sound disciplinary contributions, and it has the potential to stimulate innovation in participating disciplines. Bringing this potential to fruition requires an emerging college of peers able to bridge disciplinary and transdisciplinary specialization.
Dealing with Stumbling Blocks in Transdisciplinary Practice	
Proposition 7- Participation and Mutual Learning	Participatory processes in transdisciplinary practice require carefully structured, sequenced, and selected negotiations and interactions. The different resources, goals, and values at stake and their social representation in society and science need to be considered. Building on approaches of mutual learning that bridge roles and positions without dissolving them is a promising entry point to goal-oriented participation.
Proposition 8- Integration and Collaboration	Collaborative efforts of integration have necessarily to take into account the recursive nature of transdisciplinary research. Combining different means of integration, i.e., developing joint theoretical frameworks, applied models, and concrete common outputs – in an iterative or circular process – has proven to be particularly successful. At the same time, transdisciplinary work should be organized in a manner that enables a productive balance between structured collaboration and vested interests by participating partners and disciplines.

Appendix 1 continued…

Scope, Process and Outcomes of Transdisciplinary Research	
Proposition 9 - Values and Uncertainties	In order to give sufficient attention to values and stakes at all stages of transdisciplinary processes, collaborations and negotiations should be dominated by a mutual learning attitude, not by positions. This is best promoted by adequate time allocation, by creating broad ownership of the problems, and by building value-consciousness through reflexive processes among researchers. Reflexivity is also the core means for dealing with uncertainties and the outer boundaries of knowledge resulting from transdisciplinary endeavors.
Proposition 10 - Management and Leadership	The leading of transdisciplinary projects primarily implies finding a satisfactory balance between periods of intense collaboration with clearly defined joint outputs and periods where deepened disciplinary and multi-disciplinary contributions can be elaborated. This balance of periods is best supported by management services that simultaneously ease administrative tasks for participants, provide clearly structured and timed means of communication, integration and reflexivity, and support internal and external recognition of all contributors, i.e., through providing access to extended peers.
Proposition 11 - Education and Career Building	Transdisciplinary training and education is best developed in close connection with the disciplines of origin. Besides building communication and collaboration capacities through practical exposure, emphasis should be put on reflexivity and on methodological, conceptual, and theoretical skills that enable the exploration of boundaries and connections between disciplines. Related career building can be supported by careful planning and sequencing of outputs targeting the reference systems of the original discipline and the enhanced peers of transdisciplinarity.
Proposition 12- Evaluation and Quality Control	Evaluation of transdisciplinary research has to go beyond traditional reference systems. It should include qualifying integration and collaboration of disciplines and stakeholders, the recursive design of the research process, and the way the project is

Appendix 1 continued...

Scope, Process and Outcomes of Transdisciplinary Research	
	based on, and can provide input to scientific knowledge and societal problem handling. In order to strengthen internal quality control efforts, researchers should concentrate on finding the delicate balance between respecting specific competence and transgressing them in constructive and critical dialogue within transdisciplinary teams.
Cornerstones for Enhancing Transdisciplinary Research	
Proposition 13-Facing the Scientific Challenge	Good and concrete transdisciplinary practice must be supplemented by efforts at the levels of its scientific foundations and its scientific recognition. Such efforts must go beyond systematizing transdisciplinary research procedures and aim at theoretical, methodological, and topical development and innovation at the interface with participating disciplines – to the benefit of both sides. Facing these challenges requires development of extended peer networks and other collaborative networks that bridge transdisciplinary and disciplinary reference and quality control systems.
Proposition14 - Facing the Institutional Challenge	To enhance transdisciplinary research, its scientific foundations and its innovative potential for participating disciplines as well as the institutional position in science and academia have to be strengthened. This means incorporating aspects of transdisciplinarity into research, curricula, and career building within established disciplinary institutions. It may also include promoting specialist transdisciplinary institutions. The growing network of peers will need to play a key role, allowing transdisciplinary practice to be promoted more proactively by the scientific community.
Proposition 15 - Facing the Societal Challenge	Efforts to enhance transdisciplinarity should be accompanied by and embedded into a societal debate on the role of science in society, particularly when dealing with factual uncertainties. At the same time, the scientific community is urged to constantly renew the debate on the role of values and stakes in research. Contributing to solving life-world problems through transdisciplinary research requires science to be conscious and explicit in terms of values and in terms of the boundaries of knowledge and findings – and it requires a corresponding image of science in society.

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Lessons in Forging Sustainable Partnerships for Rice Self-Sufficiency in CALABARZON, MIMAROPA, and Bicol Regions

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Abstract. In an era of polyvocality and multi-stakeholder partnership, the authors trace the beginnings of an initiative of the University of the Philippines Los Baños (UPLB) and other program partners in addressing food security concern through a devolved agricultural extension service. Building on inter-organizational relations theory and partnership building, UPLB served as a partnership broker among the provincial governments, municipal governments, Department of Agriculture Regional Field Units, the local state universities and colleges, and civil society organizations. The paper documents the beginnings and nuances in brokering partnerships and cites the challenges associated with promoting transdisciplinarity in UPLB known to protect specialized domains.

Keywords: *partnership, organizations, organizational relations, partnership for rice self-sufficiency*

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I. Introduction

In an era of multidiversity and polyvocality, partnerships matter. While organizational domain claims are arenas for contestation, organizations having set their domain claims would inevitably link with other organizations, making robust not just the notion of specializations but also integration. Hence from a resource scarcity perspective, organizations desirous of other resources - from the more liberal interpretation of it, would link or partner with other organizations. Framed in an agricultural extension setting where multiple service providers exist, the possibilities of establishing and sustaining partnerships for service delivery is enormous. At one end of the spectrum, the public sector has its local government units (LGUs) tasked to do agricultural extension activities under the framework of a decentralized operation. Together with the LGUs are the state universities and colleges (SUCs), which are also mandated to provide support extension services, especially in the broad arena crafted by the Agricultural and Fisheries Modernization Act (AFMA). The private sector, on the other hand, has its multiple service providers driven inevitably by profit motives and to some, corporate citizenship. Last but not the least, are the civil society organizations, specifically the non-government developmental organizations and their locally based people's organizations.

With multiple agricultural extension service providers, what are the areas of complementation that can be pursued? How do organizations behave in such a context? These were some of the primary considerations associated with agricultural extension work seen especially in the light of the rice price crisis of 2008. At that time, market price of rice increased dramatically over a few months, triggered not only by domestic shortfalls in production but also by international scrambling for available surplus. Major rice producing nations were hit by weather variability resulting to a thin tradable

surplus. A question asked then was whether it was possible to pursue new forms of agricultural modernization under the prevailing environment where the Philippines was the largest rice importer of the world, and where domestic policy invoked food security and affirmed the imperative for rice self-sufficiency.

Among the options framed was to put in place mechanisms to reinvigorate Philippine agriculture. This could be done by modernizing the rice supply chain, particularly by making operational dormant mechanisms to improve the collaborative relationships among stakeholders, namely: the provincial government and the SUCs. Under the Local Government Code and the AFMA, possibilities of collaborative relations between the two sector actors are mapped out especially in conducting complementation activities in research, development, and extension.

It is in this policy context that this paper explores modes and practices of building collaborative partnership in an agricultural extension milieu between LGUs and SUCs. It uses the case study of the UPLB project entitled "Collaborative Research, Development, and Extension Services for Food Security (CRDES): The Case of Regions 4a, 4b, and 5". The paper is divided into four sections. The first section traces the conceptual frame of partnership and partnership building. The second section describes the key features of the CRDES project. The third section describes the anatomy and dynamics of the partnership within the CRDES project. Finally, the fourth section draws out opportunities and challenges for partnership modality in achieving rice self-sufficiency.

II. Partnerships and Brokers in Rice Research Development and Extension

The Local Government Code prescribes the responsibilities of local governments (barangay, cities/municipalities, and provinces) in delivering extension and on-site research services and

facilities. Functions include distributing planting materials, maintaining demonstration farms, utilizing and conserving water and soil resources, preventing and controlling plant pests and diseases, assisting in organizing farmers' cooperatives and other collective organizations, and transferring appropriate technologies. The AFMA, meanwhile, ensures a mechanism by which the SUCs' research and extension functions could supplement and complement the Provincial/Municipal/LGUs' on-site research and extension functions. The Department of Agriculture's regional field units (DA-RFU) are mandated to oversee and extend support to LGUs to ensure the bridging of national and local programs. Then, there is UPLB's expressed commitment to play a key role in agriculture and rural development activities being the country's national university and expert in these fields.

Yet, while the enabling policy and institutional framework is present, the primary actors have little interaction with one another. There may have been personal transactions and some inter-organizational relations (IOR) over the past years, but these probably have been intermittent and based on the personal affinity of actors from both organizational and institutional settings. So, the question is, how does one establish IOR? And, would it be possible to establish long-term, sustained, and beneficial relations with one another?

It all starts with the notion of partnering, aided with the notion of brokering. Tennyson (2005) and IBLF (n.d.) underscore the notion of an intermediary who functions as a go-between two or more actors so that they can work well together and that the partnership has maximum effectiveness. The broker who operates as a servant-leader and process manager has these attributes:

- Capacity to create clarity needed in an era with multiple claims and information impulses;

- Skill at convening and facilitating productive interaction among diverse groups of people with differing sets of agenda;
- Willingness to carry a level of risk in behalf of others;
- Ability to inspire others with a vision and passion for work in a cooperative future; and
- A measure of modesty in the brokering so that others become genuinely empowered.

These attributes are tested in the challenge of partnerships, i.e., between the urgency of engagement with one another and the pace of partnership building and development. The partnering cycle has various phases, namely: scoping and building; managing and maintaining; reviewing and revising; and closing, renegotiation, and sustaining (Tennyson 2005). Yet, Franklin (2009) cautions that partnerships do not develop smoothly as envisaged. Partnerships do not merely mean working with one another or working on the same issue. It also means taking a risk by all those involved to work together, to help one another, to trust each other, and to create synergies. Partnership then reflects a dependence on each other.

However, why do organizations collaborate with one another? What makes organizations independent from each other, risk forging and maintaining inter-organizational relations? Bachmann and van Nittleoostuijn (2006) remind that IOR are formal arrangements that bring together assets – whether tangible or intangible – of two or more legally independent organizations with the aim to produce joint value-added. This contract, whether explicit or implicit, formal or informal, is the cornerstone of the relationship. Thus, when two organizations elect to establish a collaborative relationship, they specify the duties, responsibilities, and expectations of each party. Implicit in this is the notion of trust shown by the Global Corporate Citizenship Initiative (2005), Kearney and Sandy (2005), Bachmann & van Nitteloostuijn (2006), Estivalete et al. (2008), Harris (2008), Franklin (2009), and

Mommers & van Wessel (2009). Yet, as Kearney and Candy assert, partnering is being able to meld disparate interests. Trust is an inherent quality that enables people to work together. Aside from trust, reciprocity and a shared purpose are also important dimensions in partnerships. Ashman (n.d.) mentions social capital's role as an ingredient in partnership as well as mutual trust or confidence on the partner's ability and will to carry out the agreement. She further notes that a strategic fit among the following dimensions ensures a successful partnership:

- Project goals address needs and issues perceived to be significant by all of the important participants;
- Project methodology is based on a successful model for addressing social needs that is shared by partners;
- Project represents a meaningful value-added to the organizational portfolio of each partner, thus, together they are able to do the task; and
- Functional roles of the partners where each one contributes in a complementary manner – competencies, resources, assets and tasks; this should also prevent excessive competition and overlap.

Indeed as Estivalete et al. (2008) point out from a Larson et al. study in 1998, trust in IOR has two dimensions. First is the structural/calculative trust based on mutual assistance between partners as they rely on reputational mechanisms so that value-adding and complementation of resources may happen. Second is behavioral, which is based on the belief that organizations will avoid the adoption of opportunistic behaviors, thus, engagement will result in positive and well-intentioned interactions with partner organizations.

Yet for all of these, Bidwell & Ryan (2006), as well as Vlaar et al. (2006a) remind that collaboration is by design an emergent process. In this process, the structure and activities of collaborative

partnerships will vary based on unique participants, history, and other characteristics of the partner and the task. Harris (2008) notes that unequal power relations may emerge. Thus, these authors conclude that collaborative partnerships, in spite of the idiosyncrasies of partners, will find themselves nested within a complex hierarchy of governance mechanisms. Indeed, this is echoed by Estivalete et al. (2008) who opine that organizations in a network undergo a learning process of collaborative relations. These relations evolve over time, further citing Cohen and Levinthal's (1990) notion of absorptive capacity of the organization – in its ability to recognize the value of new knowledge, assimilate it, and apply the knowledge for common ends. On the other hand, Gow & Ross (n.d.) explore the role of social capital and the organizations' aspirations as governance and support mechanisms that ensure enforcement and maintenance of IOR during periods of shock/tension. Such social capital, they say, replaces financial capital in the short-term to indicate the partners' willingness to stay within the network over time.

Yet, Vlaar et al. (2006a,b) assert that a degree of formalization is important in maintaining IOR. Such formalization involves the process of codifying and enforcing inputs, outputs, and behavior attendant to the necessary outcomes signified by contracts, rules, and procedures. This sense-making through a formalized action enables partners to construct and apprehend the world, making them act collectively. This leads to understanding the partner's management system, culture, capabilities, and weaknesses. Hence, these organizations can better understand each other's intention, action, and behavior. Such understandings would eventually lead towards collective consciousness, common reality, and shared understandings of the phenomenon.

Having said these, the next question that needs to be answered is when organizations enter into relations with each other, what are the dimensions implicated in an IOR?

Intriligator (1983) notes three organizational characteristics and properties in IOR. These are existence of potential resources; general cooperative environments consisting of support, incentives, organizational reward system; and congruence between individual organizational goals and the IOR superordinate goal. She further clarifies that three structural characteristics of IOR are important, namely: the type of coordinating mechanisms present; the demographic conditions such as actors' homogeneity, location, and size; and contributions and resources brought into the partnership. Eventually, she asserts that when IOR happens, relational characteristics are important to distinguish individual or personal ties/roles that drive the networked organization or whether a complex, multiple tie at various levels among participating organizations happen. Then, IOR is explored using the process characteristics in reference to the degree of formality each partner brings into the partnerships; the exchange process between members of the network, whether these are reciprocal and voluntary in the sharing of resources; and the patterns of influence present in the relationship. Finally, she notes that organizational analysts of inter-organizational effectiveness should focus on two dimensions: indicators of improved service delivery to clients and indicators of strengthened ties among network partners.

Next, what makes a successful partnership? The Global Corporate Citizenship Initiative (2005) identifies seven success factors of effective partnerships. These are:

- Openness, transparency, and clear communication to build trust and mutual understanding;
- Clarity of roles, responsibilities, goals, and ground rules;
- Commitment of core organizational competencies;
- Application of the same professional rigor and discipline focused on achieving targets and deliverables that would be applied to governing, managing, and evaluating organizations;

- Respect for differences of approach, competence, time frames, and objectives of different partners;
- Focus on achieving mutual benefits in a manner that enables the partners to meet their own objectives as well as common goals; and,
- Understanding the needs of local partners and beneficiaries with a focus on building their own capacity and capability.

Finally, it is said that true partnerships are about shared agenda as well as combined resources, risks, and rewards. IOR is built on voluntary collaborations where respective strengths, core competencies, and assets of each partner are brought to a mutually satisfying result.

III. Key Features of the CRDES Project

The CRDES was conceptualized to strengthen agricultural extension services for food security (rice as initial focus) with particular interest on the role of partnerships and collaboration of various research, development, and extension (RDE) stakeholders - the LGU and SUCs as frontline actors, the DA-RFU, and UPLB as technical support agents. The Program key result areas are: 1) improved seed system, 2) strengthened extension system, and 3) revised provincial rice action plan at the provincial level. Except for result area 3 where all 16 provinces of the three regions are covered, result areas 1 and 2 are dedicated to only five focus provinces. The venue for collaborative partnerships is through technical assistance, training, and governance reform activities as can be gleaned from Figure 1.

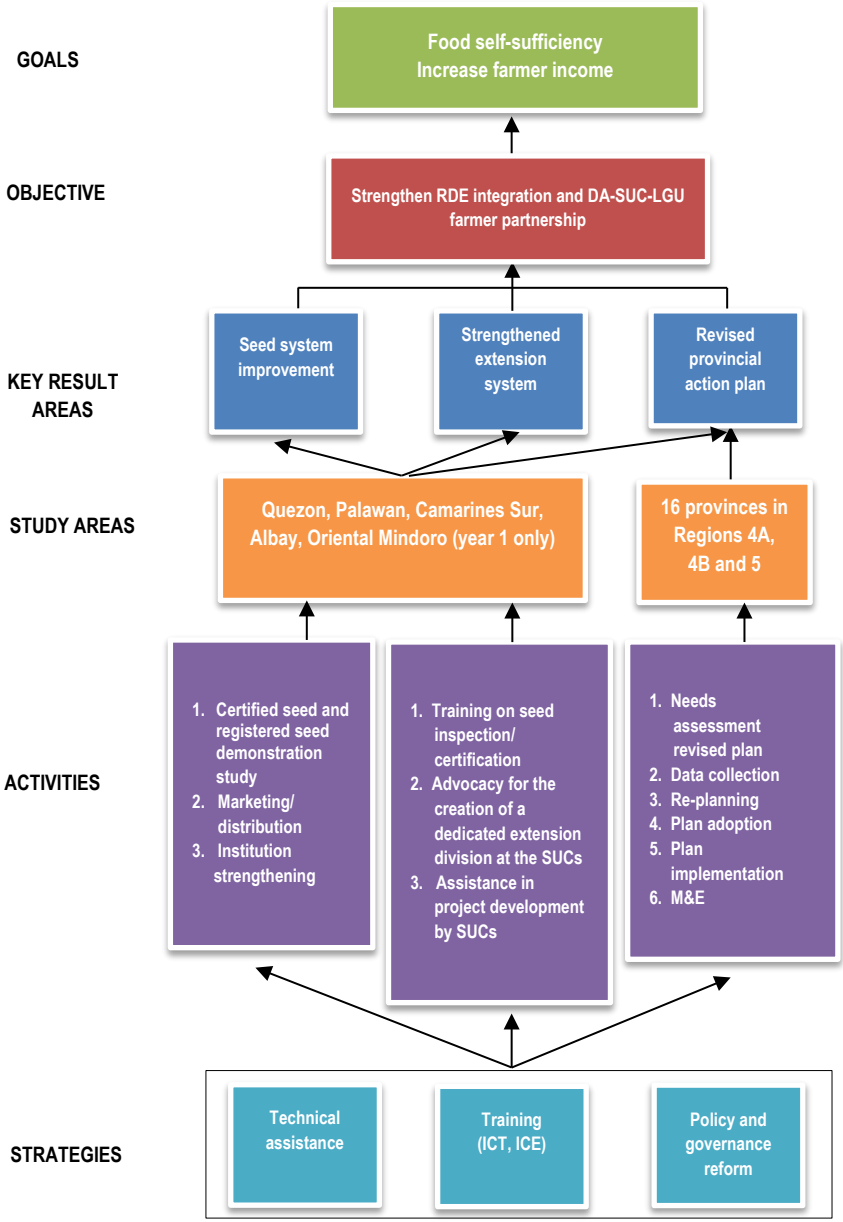

Figure 1. CRDES program framework (Rola et al. 2012)

Role of CRDES partners

Collaboration, partnership, and institutional development are the underlying principles behind the program's delivery strategy. As mentioned previously, the expected role and contribution of each stakeholder were generally guided by the provisions of the Agriculture and Fisheries Modernization Act (AFMA) and the Local Government Code of 1991 (LGC). These two laws provide the general framework for delivering agriculture services to farmers at sub-national levels of government. In particular, Rule V, Article 5 of the LGC and Title 3, Chapters 1 and 2 of the AFMA set a broad direction on LGUs' responsibility for agricultural extension and on-site research including technology transfer to farmers. For SUCs, the AFMA explicitly stipulates that:

> *"SUCs shall focus their extension activities such that their priority clients, aside from students, are the extension personnel of LGUs…by providing degree and non-degree training programs, technical assistance, extension and research activities, M&E of LGU extension projects, and information support services."*

Further, under Rule 92.1, it is stipulated that the RFU is to assume the functions of the Department of Agriculture in the development of regional agriculture (including the rice sector) and fisheries development strategy and program.

Given the prevailing institutional weaknesses in current coordinating mechanisms for agricultural RDE especially at the local level, UPLB was envisioned to identify avenues as well as to initiate and facilitate mechanisms for sustainable interactions among these key actors. These sustainable interactions would usher continuing arrangements for collaborative partnership to support provincial rice self-sufficiency. This affirms UPLB's commitment in contributing to national development especially since agriculture, particularly rice research, is recognized to be among its foundational niches.

Within UPLB, two Colleges – the College of Agriculture and the College of Public Affairs and Development – are at the forefront in responding to the call for promoting transdisciplinary initiatives within the University. They realize the greater potency brought about by combining expertise from the natural and social science disciplines.

Under the CRDES program framework, all key actors share a common aspiration to achieve rice self-sufficiency but with differentiated roles. The LGUs possess the governance machinery that will usher local policy, planning, regulatory framework, and implementation strategy to support self-sufficiency goals. The SUCs hold the distinction of having the primacy over locally-relevant RDE knowledge. The RFUs provide the critical oversight and augmentation support that will ensure coherence of the local and national rice program. And UPLB serves as a facilitator and knowledge builder by understanding inter-organizational dynamics brought about by the science-policy continuum for rice self-sufficiency.

Implementation strategy

Guided by these premises, the CRDES rolled out an implementation strategy in which UPLB mentored its DA-RFU counterparts in effecting sustainable collaborative partnerships between the LGU and SUCs in various activities that contributed to rice self-sufficiency. Covering a period of 30 months, the project activities were strategically clustered in three phases: pre-implementation, implementation, and handover/exit.

The *pre-implementation* phase essentially covered levelling-off activities on the roles and responsibilities of the key actors - LGUs, SUCs, DA-RFUs, and UPLB.

The *implementation phase* included the conduct of baseline studies in four provinces to ascertain the level of agricultural performance of farmers in the study sites and to formulate interventions for the key result areas, especially on seeds. Most importantly, the baseline surveys established data on the farmers' sources of information and the role of extension. An institutional survey was also administered to clarify institutional arrangements that may facilitate or hinder the delivery of services of the national rice program. Through focused group and roundtable discussions (FGDs/RTDs), partner institutions were identified for involvement in the collaborative work.

Solicited from the stakeholders were implications on the nature of partnerships that needed to be formed at their level to improve the delivery system and mechanisms. In short, these information formed part of the planning exercise. Technical demonstration and quick response teams were dispatched to assist farmers with pest and water problems. Various field services to support local seeds adoption, production, and entrepreneurship were undertaken. Seed diagnostic laboratories, other diagnostic kits, and trainings on seed quality testing were provided to four SUCs to improve the quality of instruction as well as to strengthen their capacity to analyze the quality of farmers' seeds. Sixteen provincial representatives from the SUCs and LGUs were also trained on Geographic Information System (GIS)-based soil analysis so they could assess the soil fertility in their respective areas.

Along the result area of governance, the project initiated the results-oriented methodology of planning for rice self-sufficiency. This methodology consists of a two-stage planning process that is goal-oriented, evidence/science-centered, and broad-based in participation. A compendium of summary matrices to capture information requisites for a comprehensive rice sector assessment and planning (the province had an initial plan) have been compiled

by the UPLB team. These information served as guide in the replanning activities.

The planning process also provided the venue for identifying researchable areas unique to the localities for funding. Central to all these processes was the organization of the planning team hosted by the provincial LGU. To assume the lead role in the planning exercise, the team should ideally have representation from the local SUCs, DA-RFUs, and other private sector organizations.

Finally, the *handover/exit* phase included the consolidation and sharing of project findings, outputs, agreements, and the recommendations to sustain the partnership arrangements. In particular, areas for future partnerships were affirmed to include, among others, validation (with sub-provincial and regional/national units), funding, implementation of the rice action plans and the research proposals, and exploration of the possibility of clustering and trading among the regions to achieve sufficiency requirement at the provincial level.

Management strategy

The management structure adopted by UPLB for the CRDES consisted of a core project management unit under the overall direction of a Project Manager and Co-Manager, representing the natural (College of Agriculture or CA) and social science (College of Public Affairs and Development or CPAf) disciplines. A research team assisted the Project Managers in general administration, coordination, and reporting functions. A pool of experts/specialists from various colleges was organized into teams to provide technical support in various project activities. In rolling-out activities with local partners, UPLB directly coordinated with the DA-RFUs that, in turn, served as the coordinating body for the LGUs, SUCs, and other key stakeholder groups in the region.

The partnership arrangement under the CRDES was covered by a Memorandum of Understanding (MOU) between UPLB and each of the partner RFU, LGU, and SUC stipulating the expected contribution of each party. These MOUs were duly signed by the UPLB Chancellor, Heads of Office, or a high ranking official representative of the partner organization, specifically the presidents of the 16 SUCs and 16 provincial governors in the three regions of CALABARZON (Cavite, Laguna, Batangas, Rizal and Quezon), MIMAROPA (Oriental Mindoro, Occidental Mindoro, Marinduque, Romblon, and Palawan) and Bicol (Albay, Camarines Sur, Camarines Norte, Sorsogon, Catanduanes, and Masbate).

IV. Anatomy and Dynamics of Partnerships

On actors and roles

Central to any partnership engagement are the actors involved, the resources and principles they carry (individual and organizational) that influence their actions, and the roles they assume in playing their part as member of a team in a partnership framework. In the CRDES, the conception of the 'team' consisting of agricultural and social scientists emanated from the initiative of the President of the National Academy of Sciences and Technology (NAST), with assistance from the UPLB Chancellor, to find a way out of the rice price crisis in 2008. A collaborative project was to be the venue for this "team" to consolidate and pull their acts together. The elder senior team members from both camps had histories of working relationships also in the field of rice research. For other members of the team, this was probably the first time to work together.

The actor configuration of the core UPLB team was a mix of "elder senior" members and "younger senior" members based on academic positions held. It was an interesting and exciting mix, given the disciplines, principles held, and historicities of each working

member. Thus, when the proposal was being threshed out, competing claims for component and resource allocation became a product of a negotiated exercise managed by the Team Leader. It was a tug-of-war between two poles: Would the project be a technical/demonstration project or an extension/partnership building? This went on for some time given also the conditionalities and expectations set by external stakeholders. With the backing coming from the Office of the Chancellor, the CPAf was identified as the lead unit together with CA. Eventually, CRDES as originally crafted, was established as a modality for extension/partnership building.

Meanwhile, actor configuration at the local level involved several interest groups. Two are the focus in this paper: the LGU and the SUC. The LGU is generally a catch-all label referring to three levels of administration – provincial, municipal/city, and barangay. Each level involves a wide array of offices, which may directly or peripherally, and differentially be predisposed in contributing to food/rice self-sufficiency goals. At the forefront are the offices representing agriculture, planning, and budgeting. These offices consist of staff with diverse backgrounds and inclinations whose actions are heavily influenced by the interplay of personal, professional, and political motivations.

On the other hand, the SUCs serve as the local repository of scientific resources that should underpin self-sufficiency actions carried out by the LGUs and farmers. Through the research-extension continuum, SUCs enable the translation of scientific research outputs to practical usage. The management structure for this continuum may be found under one or separate offices, involving actors and offices of different resource endowments and disciplinal inclinations, which could bear impact on partnering arrangements.

Finally, the RFUs act as the go-between linking the DA Central Office with its local constituency – LGUs and farmer groups.

The linkage is through nationally-initiated projects that augment local resources or provide incentives for agriculture development (rice self-sufficiency included) to achieve national goals. The RFUs, consisting of technical staff, are caught in the challenging role of balancing local and national realities. However, their role is largely to see through the effective roll-out of national programs and to give feedback on the local nuances of implementation.

All these actors share aspirations for rice self-sufficiency carried out through differentiated roles, in varying forms and degree. They stand unique in terms of their organizational history, culture, and resource base, which they bring into the arena of partnership creation, facilitating or possibly constraining collaborative action.

On tiers of engagement

Two levels of collaborative partnership are defined under the CRDES. In one level, UPLB is a focal organization, given the different colleges as sub-system components. CRDES became the venue where a multidisciplinary team of agricultural and natural science-based faculty and researchers partnered with social science researchers. The CRDES UPLB team came from disparate disciplines with different assets/resources/competencies (Figure 2). Aside from individual attributes, each one also came from an organizational level with its own goal, resources, sources of influence, and outputs. Melding the team, while bringing in new collaborators aside from the core group, was a significantly new job. This new job entailed brokering skills (not only from the social scientists but also from the agricultural/natural scientists) while going through the phases of intra- and later on inter-organizational relationships.

The second level was seen from a macro perspective with UPLB as the broker through the RFU, to prime collaborative linkages with the different levels of LGUs and SUCs in the focal provinces. The premise was that there were at present weak links as well as

collaborative and partnership activities (Figure 3). Thus, it was UPLB's task to broker this relationship to happen, to engage the partners, and to ensure that a higher level goal – i.e., rice self-sufficiency and its latent function of priming agricultural modernization - was reached. It was through shared aspirations, resource exchange, a responsive governance structure, clear roles, and an emergent collaborative culture forged by a trusting relationship with each other that service delivery could be improved.

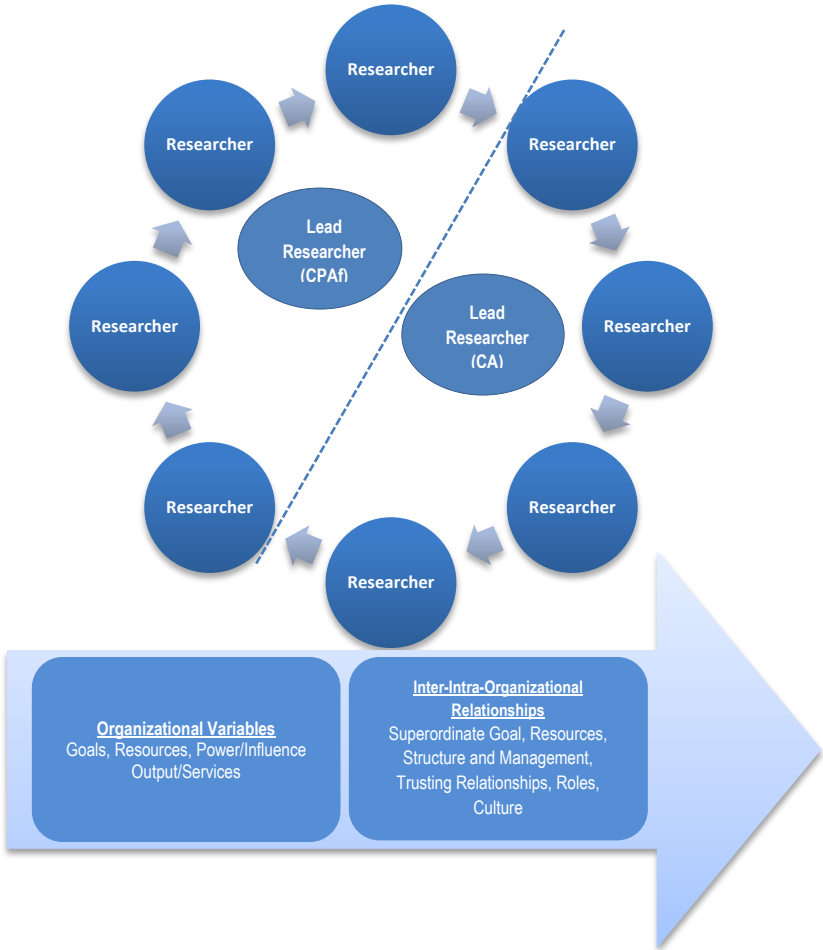

Figure 2. Level 1 Partnership: UPLB project team

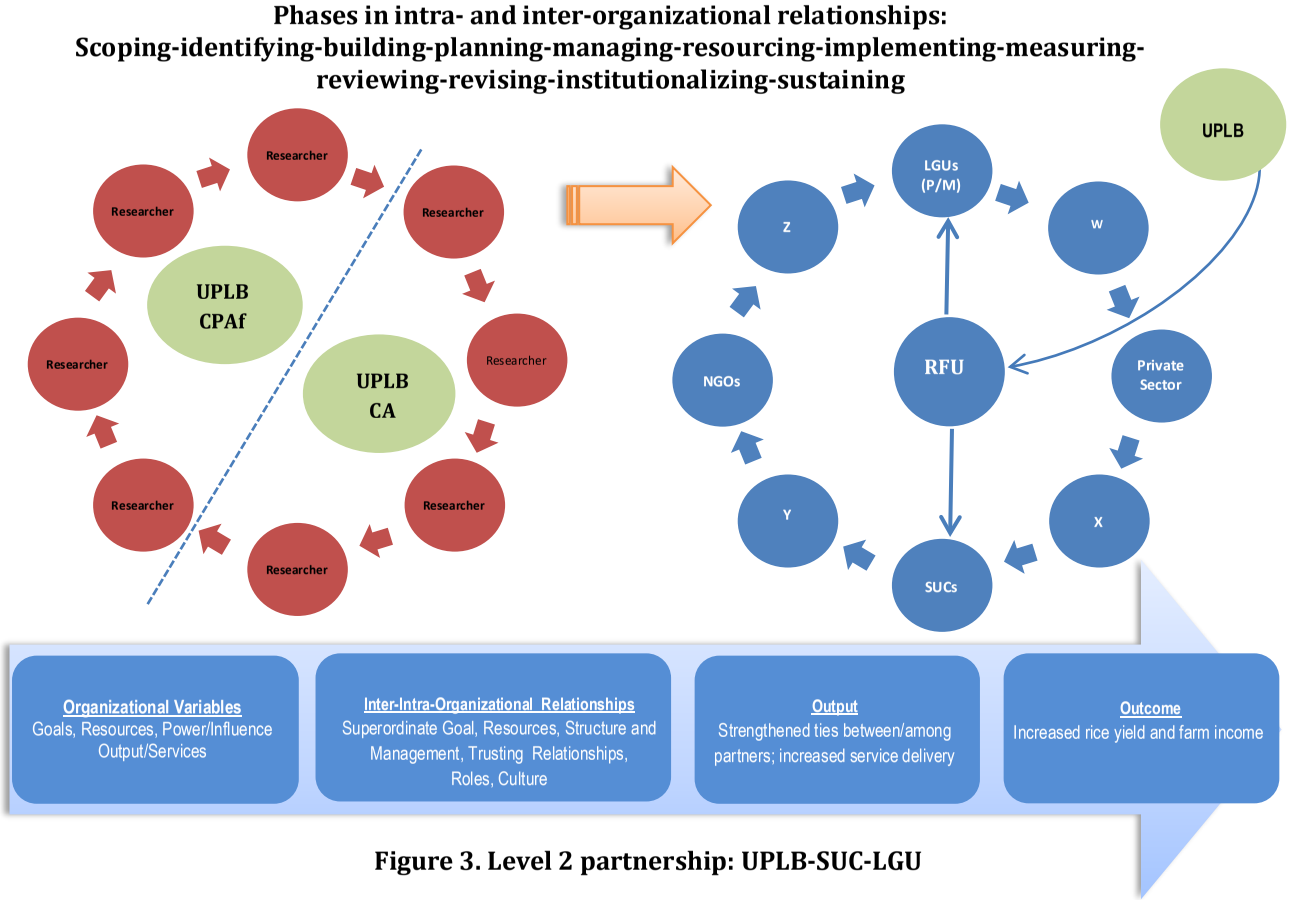

Figure 3. Level 2 partnership: UPLB-SUC-LGU

Multi-actor-goal alignment and consistency

As partnership progresses, frameworks may be revised. Bonifacio (2010), an avid observer in agricultural and institutional development, noted this during the mid-year planning meeting of the CRDES. For one, the rationale for collaboration – i.e., for rice self-sufficiency – was clearly emphasized. In a highly volatile environment, local actors are pressed to harmonize and unify various action agenda amidst the challenges of a globalized agriculture production and distribution system.

While acknowledging individual competencies, Bonifacio called for building a new agricultural knowledge system. This system is performance-based and driven by information-knowledge seeking agents who are able to translate such into an innovative culture of production that is collaborative in nature. The management of such endeavor rests on the kind or nature of the task at hand based on mutually agreed problems and shared solutions or objectives. Suspended are traditionally held idiosyncrasies of experts aiming for self-glory to a commitment and accountability for responsible action. Such shift involves a new framework of action that engenders a community of practice operating on a trusting ethic to achieve rice self- sufficiency.

Managing such collaborative work entails ensuring a results-based resource management to enhance performance effectiveness supported by an enabling environment. Such collaborative activities of local actors aim to overhaul the orientation of agricultural management system from small-scale production to agribusiness. Such reorientation should muster collaborative action based on a revitalized structure and relations of work/roles that are more fluid, networked, and accountable in the end. Thus, Bonifacio saw the movement away from independent domains and ways based on attaining an ordinate goal towards attaining a shared, mutually agreed superordinate goal.

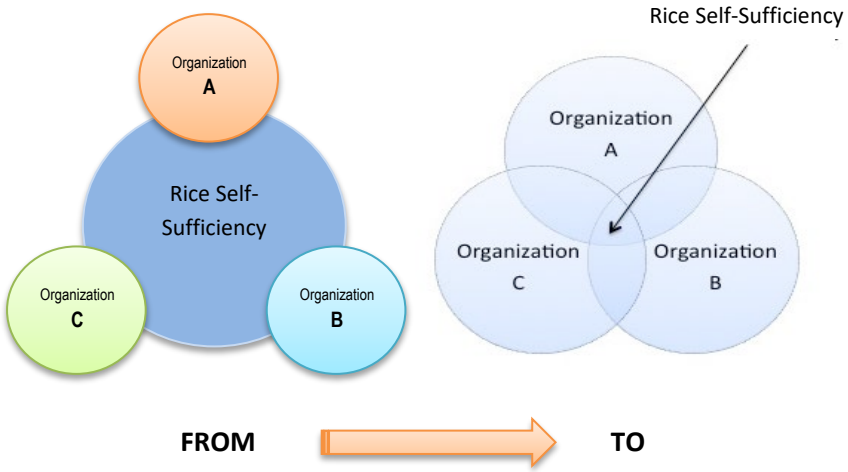

Figure 4. Bonifacio's interpretation of collaborative rice self-sufficiency

As the project was implemented, linking and brokering with the provincial partners, i.e., provincial LGUs and SUCs, was another terrain altogether different from the intra-organizational (i.e., UPLB) milieu. To a certain extent, the parties in the past had very little formal links with one another. Each was doing separate things at the provincial level, and there was very little history of collaborative working arrangements. Also, expectations by the SUCs at the time had to be managed. They asserted during one forum that they were more attuned to what was happening at the provincial level. With intercession from the members of the Senior Technical Advisory Group of the Department of Agriculture and with the "old boys club" culture, the SUCs were convinced to move on into the relationships.

Identifying partner provinces was a balancing act. The UPLB CRDES was pressured to move near Regions 4a, 4b, and 5 as immediate influence areas. The team also knew that they would be working with LGUs whose rice productivity was below the national average of 3.8 mt/ha. Still, selecting the final partner LGUs was a

product of both technical and political considerations. It helped that members of the UPLB team had prior work and personal relationships with potential local partners.

At both the intra- and inter-organizational levels, each organization enrolling into the project had distinct mandates, resources (human, institutional) at their disposal, definite power and influence, and outputs/services. Under the project framework, partners were mobilized and enrolled into the superordinate goal of aiming for rice self-sufficiency. Cognizant of its political and technical ramifications, rice self-sufficiency was possible at a certain level. Partners were serious in making this happen given current enabling factors. This was a desired goal tempered with the scientific and technical capabilities of the stakeholders. The key was ensuring rice sufficiency through a spirited engagement with one another, especially with the farmers and their people's organization. To do this, the Department of Agriculture through the Bureau of Agricultural Research (DA-BAR) provided the CRDES project a sizeable amount of budget. This fund became an issue among the groups. It took about five rounds of consultations spread over three months that the team members finally agreed on the components and resource allocation. The initial structure was more of accommodation of the different partners. It was an extremely inclusive project set-up.

On structure and coordination

A pressing challenge of a multi-actor inter-organizational structure in a partnership framework is the handling of individual and organizational adaptation in areas where shared practices and values need to evolve. The arena of control critically rests on having a clear delineation of tasks and roles within a well-articulated structure and system of coordination and decision-making channels where individual actions are transformed into shared

meanings. Without this, tasking and role delineation can raise perception of unfounded asymmetry. This asymmetry may confuse and undermine quality of action (and consequently, feedback) and compromise trust, leading to disincentives to engage in the partnership.

For example, some project partners both at the intra- and inter-organizational levels - were surprised about the multiple actor configuration, especially when the Quick Response (QR) study team was fielded. These QR teams followed the FIELDS (Fertilizer, Irrigation and Infrastructure, Extension and Education, Loans, Dryers and Postharvest Infrastructure and Seeds) framework of the Department of Agriculture. These had at most technical and social scientists cooperating to understand program implementation at the provincial level. The Provincial LGU partners were swamped with the number of scientists converging in their area at the same time. Initially, there was goodwill among the team members, but the provincial partners later felt deluged by the request for data and interviews from many UPLB-based partners converging all at once in the provinces.

Eventually, role dissonance happened, especially with the research assistants. As implementation of activities peaked, dispatched UPLB teams had to compete for attention in the field. The direct line of authority through the provincial team leader was often broken or bypassed just to accomplish the designated tasks. The research assistants simply accommodated the demands of the senior project staff.

During the rice replanning phase of the project, the LGUs and SUCs had more interaction activities. Plans were also afoot on engaging both partners in building their research base capacities, particularly the SUCs, to support location-specific technologies needed by the farmers. These activities were thought to provide continuing engagement of both partners in the long run.

Early in the project implementation, during the conduct of initial techno-demonstration, socio-economic survey and QR studies with the local partners, the DA-RFU, reminded the project team to adopt a protocol for partnership. This protocol would govern their formative and future interactions with stakeholders. However, there was no documented protocol on partnership building in the CRDES. Time and time again, the project team had to explain its collective faux pas whenever the provincial partners (LGU, SUC, civil society organizations) reminded them that there seemed to be too many uncoordinated activities going on in their areas. The teams for techno-demonstration, baseline surveys, and QR studies were in a sense simultaneously converging in the provinces. Thus, it would have been prudent on CRDES' part to have observed and followed protocols. In fact, the DA-RFU 4 had a working template designed for a different project, but it was hardly given attention.

On hindsight, having a partnership protocol is important. First, it forces partners to observe social and formal courtesies in a multi-player extension system. Second, it enables appreciation of the important roles of each partner, further valuing relationships and cementing social capital. Third, it highlights its instrumental value.

On the brokering role

During the early stages of project implementation, the SUCs reminded UPLB to be cautious in assuming a "big brother" role in the relationship. They asserted that their presence in the province entitled them to assume leadership roles in the partnership instead of UPLB. Past engagements with UPLB had also received mixed responses. Thus, the UPLB team had to be modest in its capacity as a broker. It had to assume the tasks of managing expectations, competing claims to authority (technical or political-administration), joint planning, and brokering.

At the intra-organizational level, CPAF was expected as the lead partner to enjoin the other colleges to join the partnership. The colleges were expected to plan the activities and ensure that even at the sub-system level, partnerships could be enabled, managed, and strengthened following the mantra of the UPLB Chancellor: "TEAM – together everyone achieves more." It was also a way by which transdisciplinary approach could be seen in action.

V. Opportunities and Challenges Toward Rice Self-Sufficiency in a Partnership Modality

Primordial in any inter-organizational relationship is defining a superordinate goal that everyone in the partnership would believe in. This goal becomes the image or icon that will symbolically link everyone in the process as they try to achieve it. Attaining rice self-sufficiency had to be a valid reason for engagement. One, the national rice self-sufficiency plan had incentives for the provinces. Two, the provinces and SUCs would inevitably gain something from the experience. Thus, from both the intra- and inter-organizational system perspectives, a superordinate goal was vital.

Attaining the goal through partnership modality was another matter altogether. How does one broker and manage the relationship so that provincial actors sustain the relations? It was fortunate that there were incentives for joining, i.e., financial fund transfers and capacity building (personnel, farm inputs, and possible mobile seed laboratories). However, a question was also raised on what other instrumental value did partners perceive in the relationships?

Other constant challenges were the process of taking roles and enhancing trust in the partnership. Role-taking was fluid in the project implementation. The project leaders of CRDES had to resort

to this because of the processual nature of the engagement. Admittedly, this resulted to some confusion, and at times, it became a concern among the team members. Trust was also needed to accept unpredictable responses and surprises in field implementation. For instance, the other partner had to take a step back, suspend judgment, and rely on the decisions reached by the actor at that particular point in time. Thus, partnerships engendered a sense of appreciating field-level particularities because one could not always be present in the field.

Another challenge at the intra- and inter-organizational levels was ensuring that the partnership among the LGUs and SUCs remained robust, not only in the rice sector but also in other engagements. While each partner may perceive some gains in the current relationship, scaling up and becoming more inclusive in agricultural governance is a must. Projects are temporary in nature. However, if we are to expect a more institutionalized partnership, the engagement should move beyond a project-based activity and more into problem-solving modality that recognizes individual specializations while fostering synergy through collaborative relations.

As a final note, the paper attempted to appreciate the dynamics of partnership in rice self-sufficiency within the framework of an agriculture service delivery mechanism. This bias necessarily carried significant generalizations with respect to actor interest and motivations on rice self-sufficiency. Other nuances may emerge when viewed from the lens of partnership within specific issues in rice self-sufficiency, i.e. RDE, irrigation, credit, and marketing. There is a wide scope for further study on partnerships within these specific contexts to deepen and enrich the analysis. In addition, processes and behavioral feedbacks on the level of maturity or satisfaction gained from the engagement must be documented. In the CRDES experience, much of the project indicators were on the outputs and activities. While these are

important, projects that highlight partnership as an explicit outcome must necessarily show performance evidence to show progress. Better still, indicators for success must be developed for this purpose to capture, among others, individual actor and institutional awareness and appreciation for sustained partnership engagement.

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Theoretical Concepts and Practice of Community Organizing

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Abstract. Community organizing, one of the methods in community development, is a Western concept adopted in the Philippines. The different definitions of foreign and local authors highlight the nature of community organizing as a process by which a community identifies its problems and finds solutions through collective mobilization of the people and resources. This paper discusses the theoretical concepts of community organizing, which include its ideological background and value orientations, assumptions and propositions, goals, approaches, and principles. Towards the end, the paper discusses the steps involved in community organizing and forwards a conceptual framework of community organizing focused on people empowerment and based on the concept of people-centered participatory development.

Keywords: *Community organizing, empowerment, people-centered development*

I. Introduction

Community organizing is one of the strategies adopted in any community development project that requires the full participation

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of the community. Rivera and Erlich (1992) discuss about community organizing in a diverse society. Community organizing is a Western concept and has been adopted and adapted in the context of Philippine culture. Community development workers/community organizers must fully understand the concept of community organizing to be able to practice it under the Philippine socio-cultural context. This paper discusses the theoretical concepts of community organizing, which include its definitions, ideological background and value orientations, assumptions and propositions, goals, approaches, and principles. In addition, it also discusses the steps in conducting the community organizing process.

II. Definition of Community Organizing

Different authors have defined community organizing in various ways. Ross (1955) provides one of the earliest definitions of community organizing from the Western perspective as:

> *"Process by which a community identifies its needs or objectives, order (or ranks) these needs or objectives, develops confidence and will to work at these needs or objectives, finds the resources (internal or external) to deal with these needs or objectives, takes action in respect to them, and in so doing, extends and develops cooperative and collaborative attitudes and practices in the community" (page 39).*

Kramer and Specht (1975) emphasize the role of a professional change agent when they define community organization as:

> *"Various methods of intervention, whereby a professional change agent helps a community action system composed of individuals, groups, or organization to engage in planned collective action*

> *in order to deal with social problems within a democratic system of values. It is concerned with programs aimed at social change with primary reference to environmental conditions and social institutions" (page 6).*

Meanwhile, Murphy and Cunningham (2003) emphasized place-based community organizing, which they define as:

> *"a process in which local people, united by concern for renewing their own small territory, plan and act together from an organizational base that they control. It is a practice that involves collective human effort centered on mobilization, advocating, planning, and the negotiation of resources" (page 79).*

Several local authors have also defined community organizing, and Manalili (1990) provided one of the early definitions and said that:

> *"Community organizing is a process that revolves around the people's lives, experiences, and aspirations. It is a process that is people-centered and geared towards [the] continuing capability building, self-reliance, and empowerment" (page 65).*

Dela Costa-Ymson (1993) cites that community organizing as a method is a tool for human development. She defines human development in the context of community organizing as:

> *"A process of unfolding the potentialities of persons to the level where they can exercise the faculties that will enable them to create, act and manage resources to live a decent life" (page 32).*

Dacanay (1993), on the other hand, defines community organization as:

> *"the process which builds/mobilizes people and other community resources towards identifying and solving their own problems, establishing people's self-awareness and capacities to stage their own future...taking action collectively considering the bureaucratic structure and restrictive institutional arrangements" (page 8).*

Meanwhile, David's (2004) definition of community organizing highlights it as a major weapon of powerless communities in asserting their demands, holding accountable those who rule and treading their own autonomous path to development.

These definitions highlight the nature of community organizing. It is a process by which a community identifies its problems and finds solutions through collective mobilization of community people and resources. The ultimate goal/objective of community organizing is to effect changes in social and environmental institutions so that people can direct their own lives.

III. Ideological Background and Value Orientation of Community Organizing

Sherrand (1962) believes that community organization/ organizing is firmly based on democratic tradition and emphasizes the realization of the individual's full potential to contribute to society. According to him, while the ultimate concern is the improvement of the individual's life and fulfilment of his/her social role, community organizing emphasizes the development of a creative interrelationship between the individual, the group to which he/she belongs, and the community in which he/she lives.

Ross (1955) lists down comprehensively the articles of faith that characterize the value orientation of community organizing. These are:

- Essential dignity and worth of the individual;
- Individual's potentials and resources for managing his/her own life;
- Importance of freedom to express one's individuality;
- Great capacity for growth within all social beings;
- Individual's right to basic physical necessities;
- Individual's need to struggle and strive to improve his/her own life and environment;
- Individual's right to help in time of need and crisis;
- Importance of social organization for which the individual feels responsible and which is responsive to individual feeling;
- Need of a social climate that encourages individual growth and development;
- Individual's right and responsibility to participate in the affairs of his/her community;
- Practicability of discussion, conference, and consultation as methods of solving individual and social problems; and
- Self-help as the essential base of any aid program.

IV. Assumptions and Propositions of Community Organizing

The practice of community organizing is based on certain assumptions and propositions, which were derived from the ideological background and value orientation of community organizing. Ross (1955) enumerates the following assumptions of community organizing:

1) Communities of people can develop capacity to deal with their own problems.

2) People want change and can change.
3) People should participate in making, adjusting, or controlling the major changes taking place in their communities.
4) Changes in community living that are self-imposed or self-developed have a meaning and a permanence that imposed changes do not have.
5) A holistic approach can deal successfully with problems with which a fragmented approach cannot cope.
6) Democracy requires cooperative participation and action in the affairs of the community, and that people must learn the skills that make this possible.
7) Frequently, communities of people need help in organizing to deal with their needs, just as many individuals require help in coping with their individual problems.

Meanwhile, Sherrand (1962) lays down the following assumptions of community organizing:

1) Conditions of life in the community are subject to improvement, and it is the responsibility of the individuals and the community as a whole to seek solutions to problems and to attempt to prevent problems before they occur.
2) There is not only compatibility but also an imperative relationship between individual self-realization and general community improvement.
3) The greatest possible measure of self-determination should be accorded to local communities and to their residents, and every means should be emphasized to encourage local initiative.
4) Local self-determination is not feasible without broad local participation.
5) Local community improvement must, as far as possible, be carried on within the framework of planning for the larger community or the nation.

Hollnsteiner (1979) and Isles (1981) have the following premises or propositions that underlie community organizing:

1) Unorganized poor people do not participate actively in societal decisions affecting their lives because they are powerless.
2) When weak individuals band together and confront authorities, their collective number can rectify the imbalance between the weak and the strong and allow interaction on an equal basis.
3) The sheer experience of participation in mobilization and group actions develops in ordinarily dependent people a sense of power, which brings about self-reliance, pride in oneself, and dignity.
4) Organizing people for power seeks to establish powerful people's organizations through which the disadvantaged can enter the spheres of decision-making. Power is the means by which ordinary people can find redress for their grievances and act against those conditions that oppress and dehumanize them.

The premises upon which community organizing is based state that lack of participation among the poor is due to powerlessness, but this powerlessness can be overcome if people band together and are mobilized to take group actions, and eventually develop a sense of power among them.

V. Aims /Goals of Community Organizing

Apuan (1988) forwards three aims/goals of community organizing: 1) to achieve effective power for the people so they can determine their own development and shape their own future; 2) to establish and sustain relatively permanent organizational structures, which best serve the people's needs; and 3) to build or join alliances that are useful to the people. She explains that the first goal of

empowerment enables people to overcome the dehumanizing effects of powerlessness and become human beings with dignity, assertive of their rights, and able to determine their destiny. Organizational structures, on the other hand, become the venue for people's participation and linkages with other groups. Lastly, alliances may include sectoral, regional, and national multi-sectoral coalitions, political parties, and international organizations.

The Philippine Business for Social Progress (PBSP 1981) adds three other goals of community organizing, namely: improved quality of life, leadership development and mobilization, and social transformation.

Rubin and Rubin (1986) state four goals of community organizing. These are: 1) enhancement of people's potential and the increased likelihood that they will fulfill their potential, 2) improvement in the quality of life through the resolution of shared problems, 3) exercise and preservation of democratic values, and 4) improvement in overall equity in society.

Chiong-Javier (1987) cites the following objectives of community organizing based on a pilot project of the Upland Development Program (UDP) of the Department of Environment and Natural Resources (DENR), which they implemented in Mindoro: 1) to develop the capability of the community members for participation in the planning, implementation, and evaluation of project activities on a sustained basis, and 2) to assist the farmers in establishing a cohesive and viable community organization that is able to promote the welfare of its members and to manage its physical environment.

Community organizing is essentially providing power to the people, or what is termed as empowerment. Empowerment as a component of Ford's (1987) model of development refers to the "sustained process in which people, through collective action and

reflection, gain deeper understanding of the root causes of their powerlessness and gain self-confidence so that they can become authors of their lives and their destiny in the pursuit of total human development."

Another definition of empowerment involves defining its opposite, powerlessness. According to Wallerstein (1993), powerlessness has both subjective and objective dimensions. Subjective dimension is when people feel powerless because they may learn helplessness, have an external locus of control, or feel alienated from the world in which they live. The objective dimension, on the other hand, arises because people may lack the economic and political power, and live in the conditions of poverty and resource privation, which they internalize as feeling powerless.

Wallerstein (1993) adds that the most commonly cited definition of empowerment focuses only on changing the subjective nature of powerlessness. Based on this, individuals are blamed for not having the skills or motivation to rise out of powerlessness. Hence, empowerment programs that address the subjective nature of powerlessness include promoting self-esteem, job competencies, or literacy.

A much broader definition of empowerment is proposed by Rappaport (1987) and Zimmerman and Rappaport (1988 as cited by Wallerstein 1993). Broadly defined, empowerment is "when people gain control of their own lives in the context of participating with others to change their social and political realities."

Following this definition, Wallerstein cites the characteristics of an empowered community as proposed by several authors:

1. Having abilities to identify their own problems and equity or capacity to solve these problems (Braithwaite and Lythcott 1989 and Naparstek et al. 1982)

2. Having increased participation in community activities (Chavis and Wandersman 1990)
3. Having control over the determinants of health (Health Promotion 1986)

In 1992, Wallerstein came up with her own definition of empowerment as "the social action process that promotes participation of people, who are in positions of perceived and actual powerlessness, towards goals of increased individual and community decision-making and control, equity of resources, and improved quality of life."

Navarro (1993) cites Iglesias' belief (Iglesias 1986) that empowerment can be achieved through viable and effective participation of community organizations in decisions affecting their lives and welfare.

The social action community organizing model discussed by Rothman (1968) seeks to redistribute power, resources, or decision-making in a community. Hollnsteiner (1979) sees community organizing as the method for organizing people for power. It is through community organization that the poor and the powerless can obtain power and become the masters of their fate. Hence, community empowerment can be assumed as one indicator of successful community organizing.

In her empowerment study of selected community organizations, Poblete (1995) operationally defines empowerment as "the process by which local organizations obtain power and authority in managing and controlling local resources and in increasing their capability for decision-making and problem solving through increased membership, linkages, and level of participation." In measuring empowerment levels, Poblete used leadership, financial and manpower growth, linkages, local resource management, and organizational prestige. Based on her findings, the variables that are related significantly to organizations'

empowerment level include type of leadership, size of membership, members' participation level, economic stability, continuity in carrying out development activities, and communication factors such as maximized use of various communication channels and access and utilization of new communication technology.

Meanwhile, Laverack (2001) enumerates the operational domains of community empowerment, which include participation, leadership, organizational structures, problem assessment, resource mobilization, asking questions, links with other people and organization, and program management. According to the author, involvement of individual community members in small groups or in larger organizations must occur in order to attain empowerment. He added that leadership plays an important role in the development of small groups and community organizations, which are part of the continuum of community empowerment. Meanwhile, the presence of organizational structures characterized by cohesion among its members, concern for community issues, and sense of belonging are crucial for the people to socialize and to address their concerns and problems. Problem assessment is most empowering when the community carries out the identification of problems, solutions to the problems, and actions to resolve the problems.

Another ingredient of empowerment is the ability of the community to be able to critically assess the social, political, economic, and contextual causes that contribute to their level of disempowerment. Links or partnerships can be especially effective toward community empowerment because the individual partners share the same responsibilities, tasks, and resources. Lastly, program management that empowers the community includes the control by the primary stakeholders over decisions on planning, implementation, evaluation, finances, administration, reporting, and conflict resolution.

World Bank defines empowerment as "the process of increasing the assets and capabilities of individuals or groups to

make purposive choices and transform these choices into desired actions and outcomes" (World Bank 2002). The Bank identified four elements of the empowerment practice, namely: access to information, inclusion and participation, accountability, and local organizational capacity.

VI. Principles of Community Organizing

Community organizing as a process and a method is based on certain basic principles, which serve as guidelines to sound or effective practice. David (1982) defines the lines according to which community organizing perspective must operate. Community organizing must promote self-reliance instead of dependence; employ evocative instead of provocative organizing methods; engage in facilitation instead of manipulation; balance "felt needs" and "objective needs" of the community; engage in consciousness-raising instead of dole-outs; balance the benefits from immediate economic impacts of projects and long-term political development; aim at non-issue based organizing but realize that issue-based organizing might be initially necessary; aim at building democratic participation, without disregarding the usefulness of identifying potential leaders in the community; and confront the inherent "subversiveness" of community organizing, which offers an alternative social order.

Meanwhile, Apuan (1988) cites the following principles that should guide community organizers:

1) Community organizing involves consciousness-raising through experiential learning. Central to the community organizing process is the development of awareness and motivation among the people to act upon their problems. As conscientization is achieved through practice, community organizing therefore emphasizes learning that emerges from concrete actions.

2) Community organizing is participatory and mass-based. It involves the whole community in organizing experiences and is primarily directed towards and biased in favor of the poor.
3) Community organizing is based on democratic leadership. It is group-centered, not leader-oriented. Leaders emerge and are tested through concrete action, not externally appointed or selected. Hence, leaders are accountable to the people at all times.

The tenets espoused by the International Institute for Rural Reconstruction are what PBSP (1991) use as its guidelines in its community organizing activities. These are:

1) Go to the people, live among the people.
2) Learn, plan, and work with the people.
3) Start with and build on what the people know.
4) Teach by showing, learn by doing.
5) Not piecemeal but an integrated approach.
6) Not relief but release.

These principles, which the IIRR espouses, embody the ethical principles of community organizing (Swanepoel and De Beer 2006). The first principle dwells on human orientation, which says that community organizing must be able to address the people's concrete needs (food, clean water, clothing, and shelter) as well as fulfill their abstract needs (happiness, self-reliance, fulfilment, and human dignity). The second principle, which is about participation, says that people must be mobilized to participate fully in all aspects of community organizing activities. The third emphasizes the concept of empowerment, which must aim to give people the power or the right to make decisions. The fourth principle highlights that community organizing must activate people to take up the responsibilities of ownership and manage their future. Lastly, community organizing is aimed at breaking the deprivation trap so

that people can become free. Transforming efforts attempt to release people from the trap, so that free and self-reliant, they can gradually improve the situation themselves.

Russel-Erlich and Rivera (1987), on the other hand, enumerate the tenets of the so-called radical community organizing, which radical organizers use as guide in their community organizing activities. These are:

1) Community organization must work towards people's empowerment so that they may liberate themselves from their oppression.
2) Community organization must have an integrated sense of social problems' history and how personal concerns develop from a broader historical experience.
3) Community organization must attempt to work with community problems at the primary level of problem severity and magnitude, not the secondary or tertiary.
4) Community organization's political position is based on an ideology that is flexible rather than fixed along a political continuum. What is critical here is the praxis that organizers bring into the community and the subsequent development of a shared consciousness as it emerges.
5) Community organization is education in that it emphasizes social, political, economic, and class dynamics.
6) Community organization's results must not only be those that may be discretely measured, but also community sociotherapy or transformation of the individual personality.
7) Community organization must always see its role as a temporary one. As it works towards people empowerment, it is also working towards reducing the professional presence in the community by training indigenous leadership from the earliest possible time.

8) Community organization should be practiced in such a way that organizational power sharing is to be sought above power consolidation, participatory decision-making is to be sought above leader-controlled decision-making, and cooperation between and among organizers and clients is sought instead of competition.

VII. Approaches and Models of Community Organizing

The literature points to a number of community organizing approaches coined by various authors (Ross 1955; Rothman 1968; Kramer and Specht 1975).

In 1955, Ross came out with three approaches to community organization depending on the objective of the group, namely: specific content objective, general content objective, and process objective. In the specific content objective approach, an individual, an agency, or an organization becomes concerned about a needed reform in the community and launches a program to secure this reform. In the general content objective approach, a group, association, or a council focuses on the coordinated and orderly development of services in a particular area of interest. In the process objective approach, the group aims to initiate and nourish a process in which all the people of a community are involved, through their representatives, in identifying and taking action about their own problems. What is sought is increased motivation, responsibility, and skill in recognizing and securing reforms the community considers desirable. The objective is the development of community integration and capacity to function as a unit with respect to community problems.

Two other major approaches in community organizing, namely: the project approach and the political action approach were later coined. The former attempts to organize communities around

certain projects that aim for community self-reliance, while the latter focuses on collective action in which the community makes known its grievances and its demands to relevant authorities or to the public.

With regard to models of community organizing, Rothman (1968) enumerates three types, i.e., locality development, social planning, and social action. Locality development model holds that community changes can be pursued most effectively by widely involving the local people in determining and achieving goals. Social planning, on the other hand, necessitates the services of experts in effecting planned change processes, especially in solving social problems. Social action is premised on the belief that there are disadvantaged segments in society that need to be organized to enable them to voice out their demands for social justice or democracy. Rothman (1968) gives the following rules of thumb as to which of the three approaches organizers can use. Locality development is used when populations are homogeneous or when consensus exists among various community subparts and interests. Social planning, on the other hand, is adopted when community problems are fairly routinized and can be solved through the application of factual information. When community subgroups are hostile and interests are not reconcilable through usual discussion methods, social action is most suitable.

Rothman's community organizing approaches are summarized in Appendix 1.

In their article entitled "The Process of Community Work," Brager and Specht (1975) define the practice of community organizing as one that consists of what community organizers do (method) in response to particular behaviors (process). Method implies a set of artificially created procedures while process connotes naturalness. According to the authors, the two terms go

together because conceptions of process are necessary to design methods to intervene in them.

In 1975, Kramer and Specht proposed two models of community organization, i. e., community development and social planning. The community development model refers to efforts to mobilize the people directly affected by a community condition into groups and organization to enable them to take action on the social problems and issues that affect them. Social planning model, on the other hand, refers to efforts directed toward integrating and coordinating the efforts of agencies and organizations inside and outside the community. It also involves efforts aimed at bringing about changes in voluntary and public agencies' attitudes, structure, function, resources, decision-making patterns, and policies and practices. The authors believe that these two community organizing prototypes can be conceptualized as forms of purposive, planned, or directed change and related to theories of social change as well as community decision-making.

Aside from Rothman's models, Pyles (2009) cited other approaches such as Mondros and Wilson's models, Fisher's Neighborhood Organizing approaches, and the progressive organizing frameworks, which run from the spectrum of being transformative to being utilitarian. The Mondros and Wilson's models of social action organizations include: a) grassroots, b) lobbying, and c) mobilizing. The grassroots or the populist model aims to organize marginalized citizens into a powerful group with the intention of targeting power holders who tend to resist change. The lobbying model, on the other hand, is based on a pluralist pressure change orientation, which sees the government and the legal system as the mechanisms for change. The mobilizing model is also referred to as the movement approach, which views the government as resistant to change and that change can be achieved through political activism.

Fisher's neighborhood organizing approaches include: a) social welfare, b) political activist, and c) neighborhood maintenance. While the social welfare approach tends to focus on increasing access to social services through coalition building and lobbying, the political activist approach focuses on obtaining and restructuring power. Carried out by middle- and upper-class individuals, neighborhood maintenance aims to maintain the neighborhood status quo and property values.

Regardless of the particular model used, Kramer and Specht (1975) emphasize that all community organizers help people identify problems, develop organizations, plan and carry out programs, and assess their efforts. Bagadion (1993) identifies the roles of community organizers as researchers, managers, and teachers. In relation to these roles, community organizers must possess certain skills, which according to Kenny (2007), should include facilitation, organizational, strategy, networking, communication, and research skills.

Meanwhile, Phillips and Pittman (2009) enumerate the values that community organizers should possess, namely: honesty, loyalty, fairness, courage, caring, respect, tolerance, duty, and lifelong learning. They also provide the ethical standards, which should guide the community organizers, such as establishing and maintaining a professional and objective relationship with the client community and its representatives; always performing in a legal and ethical manner; immediately disengaging from illegal and unethical activities; clearly and accurately detailing the scope of work to be performed and its anticipated outcomes; avoiding conflicts of interest and dual relationships; and disengaging from activities that may result in one group or individual unethically or illegally benefiting at the expense of another.

VIII. Steps in Community Organizing

Several authors (Hollnsteiner 1979; Patron 1987; and Apuan 1988) discussed the different steps in community organizing, which the author integrated in the following discussion. These cover nine steps, namely:

Entry into the community. This step enables the community organizers to introduce themselves to the local community officials and inform the local authorities about the project, its objectives, and the nature of their stay in the community. As a strategy, the community organizers adapt a lifestyle in keeping with the community and choose an appropriate place or family to stay with.

Integration with the people. The purpose of this activity is for the community organizers to imbibe community life and get to know the culture, economy, leadership, history, and lifestyle of the people. It is a means of establishing rapport with the people and building mutual trust and cooperation. It allows the community organizers to be one with the people and learn or understand the people's problems. The community organizers participate in the economic activities, household work, group discussion, and social functions of the community.

Social investigation. Through this step, the community organizers systematically acquire information and analyze the political and socio-cultural structure of the community to identify issues around which to organize the people. The different strategies include gathering and reviewing secondary data sources such as records and documents, holding personal interviews, conducting a survey, and observing.

Problem identification and analysis. The community organizers identify, analyze, and rank the problems and needs of the

community. The component steps include identification of the scope and degree of the problem, investigation of past efforts to solve the problem, analysis of the origin of the problem, and identification of factors that maintain, increase, or eliminate the problem, undertaking consequence analysis, and problem prioritization.

Planning and strategizing. This step is done to translate the goals and objectives into specific activities to solve community problems. Its component activities include identification of the problem, identification of resources, formulation of possible solutions, and setting plans of actions.

Core group formation. The purpose of this step is to form a small group of potential leaders to assist the community organizers in organizing and mobilizing the community. This involves identification of contacts and potential leaders in the community, and conduct of training in leadership and organizing with the core group members as participants.

Organization development and mobilization. Through this step, the community organizers facilitate wider participation and collective action on issues and problems concerning the community. They do this by setting up a formal organizational structure and mobilizing community effort/action to solve community problems.

Evaluation and reflection. The community organizers together with the community members review the course of action that has been undertaken to solve the problems. This can be done by holding of workshops, dialogues, etc.

Turn-over and phase-out. During this step, the community organizers transfer the community organizing roles and responsibilities to the organization as soon as the latter is ready or fully prepared to handle the responsibilities.

The PBSP (1991) divides the steps into three stages, namely: awakening, group empowerment, and group maintenance or institutionalization. The awakening stage comprises entry into the community, integration, social investigation, problem identification, analysis and priority setting, and goal setting. Implementation of plans and evaluation make up the empowerment stage, while organization building and turn-over/phase-out comprises the institutionalization stage.

Three community organizing activities in irrigation system management were documented by Illo and Felix (1981) and Chiong-Javier (1982, 1987). Illo and Felix (1981) and Chiong-Javier (1982) focused on community organizers' integration into the communities and groundworking with farmers. Accordingly, the community organizing experience in Mindoro was composed of the following activities: a) choice of entry point for organizing, b) delineation of basic organizing units, c) formation of an upland farmers' organization, d) integration with the communities, e) groundwork and mobilization, f) farmers' meeting, g) identification and mobilization of *sitio* leaders, and h) tactics session.

In its community organizing, the DENR follows basically the same activities cited by Metin (1993): a) starting from people's needs, b) collective action, c) identification and development of local leaders, d) raising of consciousness among members, and e) establishment of strong and viable organizations.

The examples provided in this paper focused on government and the academe's experiences in community organizing. David (2004) provides an extensive discussion of the community organizing experiences of people's organizations and non-governmental organizations (NGO). Other NGOs that have done community organizing include the Philippine Rural Reconstruction Movement (PRRM).

IX. Community Organizing Practice

Community organizing embodies processes/methods and approaches/strategies in order to attain its goals. The elements of community organizing are discussed in the following sections.

Processes/methods of community organizing

These include social preparation of the community, education and training, value orientation, and mobilization.

Social preparation. This is very much related to community readiness. According to Fellizar (1993), a community is considered ready when an appropriate social preparation has been undertaken. Dela Costa-Ymson (1993) narrates how the Social Development Foundation undertook social preparation among farmers in Pantabangan, Nueva Ecija, which took one year. According to her, social preparation has four stages: 1) general assembly, 2) formation of committees, 3) survey of needs and prioritizing them, and 4) preparation for the training.

In the DENR's Community Forestry Program, the social preparation process involves the development and concretization of the communities' capacities on 1) organizational skills (e.g., establishment of a people's organization, development of conflict resolution skills, and initiation of systems and structures to sustain forest management schemes); 2) technical skills (e.g., training of local people in forest management planning and conservation); and 3) entrepreneurial skills (e.g., development and management of alternative sources of livelihood). All these activities are implemented using the participatory approach.

Education and training. Community organizing is essentially a learning process and central to it is the development of awareness through experiential learning (Apuan 1988). Kwo (1986)

cites Compton's definition of community education as a process whereby members of a community come together to identify their problems and needs and seek solutions amongst themselves, mobilize the necessary resources, and execute a plan of action or learning or both. In the educative process, adults can learn through participation and cooperation with others in community action and community development projects. Practitioners term this "learning by doing" or learning through experience.

Castillo (1983) cites the International Foundation for Development Alternative, which says that education as a community organizing process does not refer to the conventional academic schooling but to a pedagogy of self-reliance: learning to participate, to assume responsibility, to take decisions, to be less dependent, to communicate, to serve others, to receive messages critically, etc.

Paolo Freire, a Brazilian educator laid down the principles of empowerment education. Apuan (1986) discussed Freire's principles in a booklet entitled Organizing People for Power. Freire's first principle states that no education is ever neutral. This means that education can either be designed to maintain the status quo or liberate people, helping them to become critical, creative, free, active, and responsible members of the society. Second, issues must have importance now to people. All education and development projects should start by identifying the relevant/important issues. Third, problem posing as an educational approach allows the animator to raise questions on a common problem for the participants to act, describe, analyze, suggest, and plan. Fourth, dialogue can be a venue for a mutual learning process because in a dialogue everyone shares one's experiences, listens to, and learns from others. Fifth, people learn through a cycle of reflection and action, where they can critically analyze the causes of mistakes and failures and become capable of effective social transformation. Finally, radical transformation of

life in the local communities must parallel the transformation in the whole society.

In support, Wallerstein (1993) defines empowerment education as one that "involves people in group efforts to identify their own problems, and to develop strategies to effect positive changes in their lives and in their communities."

Value orientation. Since the desired ends of community organizing are people's empowerment, self-reliance, and participation, there is a need to transform the negative value of the people from selfish individualism to one that is socially oriented. Value orientation essentially entails value re-orientation or transformation. Value orientation determines desired ends of behavior and prescribes norms or socially acceptable means of attaining the desired ends.

Hossain (1984) cites Rokeach's (1979) definition of value as "an enduring belief that a specific mode of conduct or a state of existence is personally and socially preferable to alternative modes of conduct or end-states of existence." Rokeach emphasizes that once a value is internalized, it becomes a standard for guiding action, for developing and maintaining attitude towards relevant objects and situations. Patanapongsa (1981) cites Hushneret et al.'s (1962) belief that "strong external pressure may produce the appearance of change, but without alteration of character structure, such change will be superficial." The statement implies that in order for change to take place (as in community organizing), people must alter their value orientation.

Mobilization. This refers to the **"**process whereby a group of people have transcended their differences to meet on equal terms in order to facilitate a participatory decision-making process" (Ben-Ali & Carvalho 1996). This means that it is a process, which begins a dialogue among members of the community, to determine who, what, and how issues are decided, and also to provide an

avenue for everyone to participate in decisions that affect their lives. In an organized community, strategizing serves as a means to address its needs. Mobilization arises from a number of factors: (1) presence of expertise amongst the community members, (2) the willingness of the community as a whole to give up individual interests to form a broader cooperative, and (3) presence of available resources to facilitate the mobilization process (Ben-Ali & Carvalho 1996). The presence of pre-existing community groups can potentially serve as the basis for a mobilization strategy.

X. Theoretical Framework of Community Organizing

Majority of the population of the Third World countries in Asia, Latin America, and Africa remain poor despite the implementation of development programs and projects. Korten (1992) explains that this is because many of these programs and policies are a direct consequence of the way human society equates development with economic growth. Growth-centered development, according to him, is not alleviating the deepening poverty and environmental devastation that is happening globally.

Castillo (1983) sees poverty among rural poor as a consequence of being unorganized, marginalized, oppressed, and exploited. Poor people hardly participate in the decision-making regarding their economic and social upliftment. Hollnsteiner (1979) reasons out that unorganized poor people do not participate actively in societal decisions affecting their lives because they are powerless. A theory of poverty along this line looks at poverty as a result of powerlessness due to lack of belief in self, possession of basic skills, organization, and political consciousness. Korten (1992) sees this powerlessness resulting from lack of community inertia and is self-imposed.

Espousing the theory of community inertia, development agents have been implementing community development programs.

However, Hollnsteiner (1979) says that these development programs have proven to be inadequate because the agents found out that powerlessness was not self-imposed but rather externally-imposed and sustained by state/government policies and programs. In this way, these policies and programs deprive the poor access to productive resources and thus maintain them in a state of dependency.

Hollnsteiner (1979) believes that community organizing is the way to empower the people, make them participate, and help them become self-reliant. It is through community organizing whereby relatively permanent organizational structures are established. According to Apuan (1988), these structures ensure maximum people participation. Poblete (1995) adds that it is in the organization where people's talents and resources are pooled and utilized so they can carry out development projects that can respond to their common needs and problems.

Community organizing as a development strategy is anchored on Harbison and Myers' (1964) principle in human resource development. This principle states that "people in the rural areas have the basic capabilities to improve their quality of life and that the problems confronting them can be overcome through their own efforts with assistance and support from development agencies."

In the '90s, community organizing was focused on people empowerment, which is based on the concept of people-centered participatory development (PCD). According to the concept, an outside community organizer may help or facilitate the organizing process, but community organizing must be initiated and sustained by the people themselves since they are the principal actors involved. Navarro (1993) enumerates the characteristics of this development alternative. First, PCD seeks to return control over resources to the people and their communities to be used in meeting their own needs. Essentially, this refers to the empowerment of the

people in controlling their own environment to meet their basic needs. Second, PCD seeks to broaden political participation, building from a base of strong people's organizations and participatory local government, with political and economic democracy as its cornerstones. Third, PCD calls for active mutual self-help among people, working together in their common struggle to deal with their common problems.

The theoretical model shows that poor people who are characteristically powerless, passive, and dependent can be organized. The process of community organizing aims to establish people's organizations, which will serve as the venue to empower people, make them participate, and become self-reliant. All these development goals are primarily aimed at achieving a people-centered development (Figure 1).

XI. Summary

The various definitions of community organizing highlight it as a process of problem identification and solving through collective mobilization of people and resources. The ultimate goal/objective of community organizing is to effect changes in socioeconomic and environmental institutions so that people can direct their own lives.

As a process, community organizing is based on a democratic ideological background and is governed by a certain value orientation. The assumptions and propositions of community organizing are, in turn, based on these two items. The sound and effective practice of community organizing is based on certain basic principles.

Three models of community organizing have been discussed in the paper, namely: locality development, social planning, and social action. There are various steps in community organizing as discussed by different authors; the variation depends on the

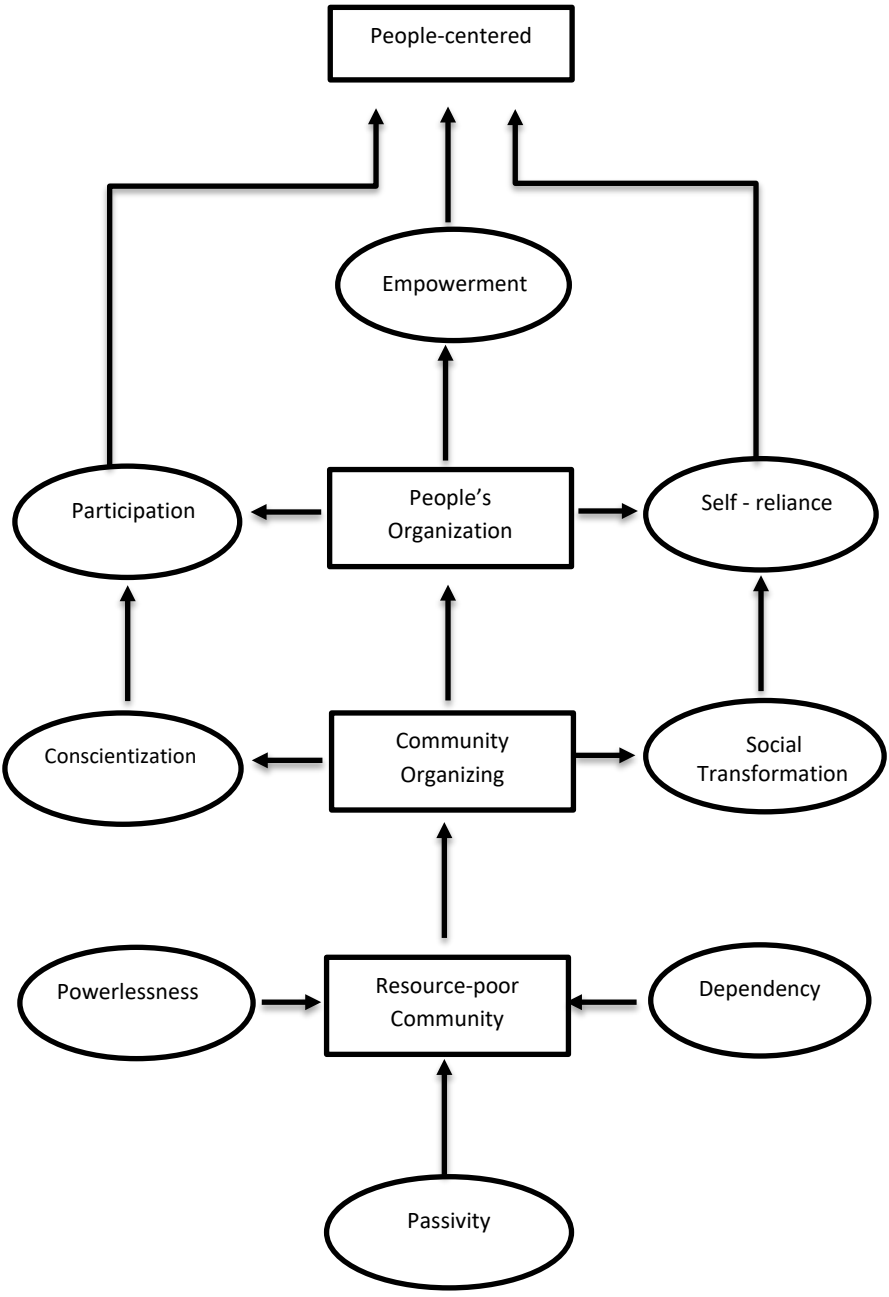

Figure 1. Theoretical framework of community organizing

community setting and the characteristics of the community organizers. Hence, there are no hard and fast rules in community organizing. Whatever steps are followed, three processes/methods of community organizing are present, namely: social preparation, value orientation, and education and training.

The theoretical framework of community organizing as discussed in the paper, provides that community organizing is a process that aims to achieve a people-centered development for resource-poor communities characterized by passivity, dependency, and powerlessness. As shown in Figure 1, this kind of development is only possible if people are conscienticized, socially-transformed, self-reliant, participative, and empowered. These desired characteristics can be achieved through the community organizing process.

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Appendix 1. Community organizing approaches and strategies
(Rothman 1968)

Practice variables	Social planning	Locality development	Social action
1. Community characteristics	Community has substantive social problems/needs such as employment, housing, recreation, etc.	Community lacks relationship and democratic problem-solving skills.	Community is composed of a disadvantaged population, which lacks power and organization and suffers deprivation, social injustice, and inequity.
2. Basic goal of community organizing	Deals with concrete social problems efficiently (task goal).	Strengthen the horizontal pattern of community through community integration, education, group dynamics, and cooperative problem- solving (process goal).	Shift power relationship and resources and develop needed legislation for social change (process and tasks' goal).
3. Basic change strategy	Gathers facts about the problems and makes decisions on the most rational action.	Broad cross-sections of people are involved in determining and solving their own problems.	Issues and organization of people are crystallized to take action against enemy targets.
4. Change tactics and techniques	Conflict or consensus	Consensus, communication, and group discussion	Conflict, confrontation, direct action, and negotiation

Appendix1 continued…

Practice variables	Social planning	Locality development	Social action
5. Orientation toward power structure	Members of the power structure are employers and sponsors.	Members of the power structure are collaborators in a common venture.	Members of the power structure are external targets of action and are considered oppressors.
6. Role of community organizing	Fact gatherer, analyst, program implementer, facilitator	Enabler, catalyst, coordinator, and teacher of problem-solving skills	Activist, advocate, agitator, negotiator

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Perspectives on the Use of Grounded Theory in Social Development Studies

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Abstract. This methodology paper introduces insights and perspectives on Grounded Theory (GT) as a social science research methodology. While GT emanates from the field of education, this paper shows that it can also be potentially used in development studies. The concept of the GT is first explained including the alternative views on its implementation. It has limited application in the Philippine context, and the current application that is cited is based on an education study called *"Becoming Gift: A Classic Grounded Theory of Charism in Sectarian Institutions".* The end goal of the paper is to argue for the application of GT in social development.

Keywords: *Grounded Theory, social development, social science methodology*

I. Introduction

Grounded Theory (GT) is a qualitative research approach developed by sociologists Barney Glaser and Anselm Strauss (1967) in the 1960s. According to them, GT was derived from a systematically-gathered and analyzed data using a certain research

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process. Also, in this method, data collection, analysis and theory are in close relationship with one another. Martin and Turner (1986, as cited by Pandit 1996) also defined GT as an inductive methodology in theory discovery that allows researchers to develop a theoretical account of the general features of the topic while concurrently grounding the account in empirical study of data.

There are three dominant designs for GT. These are the systematic design (Strauss and Corbin 1998), the emerging design (Glaser 1992), and the constructivist approach (Charmaz 2006). The systematic design has three stages of coding, which assist in developing categories from the data collected and creating a visual depiction of the coding paradigm. These categories evolve into theory generation, and subsequently, hypotheses. The emerging design stresses the importance of comparing and connecting categories and emerging theories from the data collected, allowing the researcher to develop a theory and discuss the relationships between categories. On the other hand, the constructivist approach focuses on the importance of meanings that individuals attribute to the focus of the study. Applying active codes, the researcher looks at the participants' thoughts, feelings, stances, viewpoints, assertions etc. and places these information into categories during data collection. Furthermore, this technique allows the researcher to bring some of his/her own views, beliefs, feelings, and questions to the data.

This methodology paper intends to present issues on the GT framework, the GT methodology, and its application in development research. The insights and perspectives presented as bases of discussion were culled from the articles of Glaser and Strauss (1967), Strauss and Corbin (1990), Glaser (2004), Charmaz (2006), and Yin (1989).

II. The GT Methodology

The Original Approach of GT

Glaser and Strauss (1967) published an extended exposition of GT. The publication postulated the principle that researchers must fully understand their subject by entering into its "world". Through the use of the said principle, collection and the analysis of the qualitative data are developed. The basic idea of the GT approach is to read (and re-read) a textual database (such as a body of field notes) and "discover" or label variables (called categories, concepts, and properties) and their interrelationships. The ability to perceive variables and relationships is termed "theoretical sensitivity" and is affected by a number of things including one's reading of the literature and one's use of techniques designed to enhance sensitivity.

Stages in GT (Glaser and Strauss 1967 and Strauss and Corbin 1990 as cited by Borgatti 1996)

A. Identification of an area of interest and research question

The process starts with an area of interest that the researcher wishes to explore further. In most cases, the researcher focuses on topics within his/her own disciplinary background. In some cases, he/she looks into relevant topics that have been relatively ignored in literature or have been given superficial attention. The process also involves the selection of a suitably complex research question. As GT is inductively developed from the phenomenon it represents, and theories emerge from data obtained from the phenomenon under study, the research question should be stated in a form that can be tested by GT.

The core category is the central phenomenon around which all other categories are based. Once this has been identified, the storyline is generated as a restatement of the project in a form that relates to the core category. Validation is done by generating hypothetical relationships between categories and using data from the field to test these hypotheses. Categories may be further refined and reclassified and the storyline may be further refined. This completes the grounding of the theory.

B. Data acquisition

A GT research may be based on a single or multiple sources of data. In GT methodology, data are collected in the same way, using the same techniques as other research methodologies, i.e., interviews, observations, focus groups, life histories, and introspective accounts of experiences. Data may be qualitative or quantitative or a combination of both types. However, the researcher must be cautioned to veer from being too structured in collecting data because this will defeat the objective of getting information from the point of view of the informants.

C. Data analysis

The analysis of data collected in research is often referred to as 'coding'. Data is coded differently depending on the purpose of the data and the stage of the project. Three stages of data analysis are involved in GT. These are open coding, axial coding, and selective coding. The features and uses of these methods are explained below.

To simplify this process, rather than look for any and all kinds of relations, grounded theorists emphasize causal relationships and fit things into a basic frame of generic relationships.

Table1. Elements of the GT framework (Glaser and Strauss 1967 and Strauss and Corbin 1990 as cited by Borgatti, 1996a)

Element	Description
Phenomenon	This is what in schema theory might be called the name of the schema or frame. It is the concept that holds the bits together. In GT, it is sometimes the outcome of interest, or it can be the subject.
Causal Conditions	These are the events or variables that lead to the occurrence or development of the phenomenon. It is a set of causes and their properties.
Context	Hard to distinguish from the causal conditions. It is the specific locations (values) of background variables and a set of conditions influencing the action/strategy. Researchers often make a quaint distinction between active variables (causes) and background variables (context). It has more to do with what the researcher finds interesting (causes) and less interesting (context) than with distinctions out in nature.
Intervening Conditions	Similar to context. If we like, we can identify context with moderating variables and intervening conditions with mediating variables. But it is not clear that grounded theorists cleanly distinguish between these two.
Action Strategies	The purposeful, goal-oriented activities that agents perform in response to the phenomenon and intervening conditions.
Consequences	These are the consequences of the action strategies, intended and unintended.

Note that grounded theorists do not show much interest in the consequences of the phenomenon itself.

It should be noted again that a fallacy of some GT work is that they take the respondents' understanding of what causes what as truth. It sees the informants as insider experts, and the model they create is really the informants' folk model.

Open coding. Open coding is the part of the analysis concerned with identifying, naming, categorizing, and describing

phenomena found in the text. Essentially, each line, sentence, paragraph, etc. is read in search of the answer to the repeated question, "what is this about? What is being referenced here?"

Axial coding. Axial coding is the process of relating codes (categories and properties) to each other via a combination of inductive and deductive thinking.

Selective coding. Selective coding is the process of choosing one category to be the core category, and relating all other categories to that category. The essential idea is to develop a single storyline around which everything else is draped. There is a belief that such a core concept always exists.

Memos. Memos are short documents that one writes to oneself as one proceeds through the analysis of data, namely: the field note and the code note. Equally important is the theoretical note. A theoretical note is anything from a post-it that notes how something in the text or code relates to the literature, to a 5-page paper developing the theoretical implications of something. The final theory and report is typically the integration of several theoretical memos. Writing theoretical memos allows you to think theoretically without the pressure of working on "the" paper.

Process. Strauss and Corbin (1998) consider that paying attention to processes is vital. It is important to note that their usage of "process" is not quite the same as that of Lave and March (n.d. as cited by Borgatti 1996b), who use process as a synonym for "explanatory mechanism". Strauss and Corbin (1998) are really just concerned with describing and coding everything that is dynamic - changing, moving, or occurring over time - in the research setting.

Table 2 shows an example of the relationship between the stages in the GT methodology and the data collected in the final study

Table 2. Relationship between the data collection and analysis stages (Strauss & Corbin 1998)

Stage in the final study	GT stage
Preliminary stage	**Open coding starts**
	Producing a preliminary structure of categories, sub-categories and variables
Involving	Axial coding starts
Data collection	Modification of structure
Questionnaire	
Interviews	
Final study - data collection stage	**Axial coding continues**
Data collection methods	Identification of causal relationships
• Video	
• Interviews	
• Pre-test and post-test	**Selective coding starts**
• Data logging	
• Questionnaire	
• Tasks and questions	Assigning values to variables from data
• Focus groups	Modification of structure based on data
• Staff evaluation	
• Staff diary	Identification of the core category
• Staff interviews	
• Staff report	Generation of theory
• Expert evaluation	
	Validation of theory with data
Final study - data analysis stage	**Selective coding continues**
	Grounding the theory
	Core theme specified
	Emergence of the theory
	Production of narrative
	Presentation of theory
	Validation of theory with data

An Alternative and Extended Methodology of GT

In a more recent proposition of the GT, Pandit (1996) identified five analytic (and not strictly sequential) phases of GT building, namely: research design, data collection, data ordering, data analysis, and literature comparison.

Within these phases, nine procedures or steps are followed (Table 3). These phases and steps are evaluated against four research quality criteria: construct validity, internal validity, external validity, and reliability.

Construct validity is enhanced by establishing clearly specified operational procedures. Internal validity is enhanced by establishing causal relationships whereby certain conditions are shown to lead to other conditions, as distinguished from spurious relationships. In this sense, internal validity addresses the credibility or "truth value" of the study's findings. External validity requires establishing clearly the domain to which the study's findings can be generalized. Here, reference is made to analytic and not to statistical generalization and requires generalizing a particular set of findings to some broader theory and not broader population. Finally, reliability requires demonstrating that the operations of a study - such as data collection procedures - can be repeated with the same results.

Table 3 provides an overview of these phases, steps, and tests and forms the template which moves from a normative or prescriptive account of recommended activities to a descriptive account of how such prescriptions can be applied.

Table 3. The process of building GT (Pandit 1996)

Phases		Activity	Rationale
Research design			
Step 1	Review of technical literature	Definition of research question Definition of a priori constructs	Focuses efforts Constrains irrelevant variation and sharpens external validity
Step 2	Selecting cases	Theoretical, not random sampling	Focuses efforts on theoretically useful cases (e.g., those that test and/or extend theory)
Data collection			
Step 3	Develop rigorous data collection protocol	Create case study database Employ multiple data collection methods Qualitative and quantitative data	Increases reliability Increases construct validity Strengthens grounding of theory by triangulation of evidence Enhances internal validity Synergistic view of evidence
Step 4	Entering the field	Overlap data collection and analysis Flexible and opportunistic data collection methods	Speeds up analysis and reveals helpful adjustments to data collection Allows investigators to take advantage of emergent themes and unique case features
Data ordering			
Step 5	Data ordering	Arraying events chronologically	Facilitates easier data analysis Allows examination of processes

Table 3 continued…

Phases		Activity	Rationale
Data analysis			
Step 6	Analyzing data relating to the first case	Use open coding Use axial coding Use selective coding	Develop concepts, categories, and properties. Develop connections between a category and its sub-categories. Integrate categories to build theoretical framework. All forms of coding enhance internal validity.
Step 7	Theoretical sampling	Literal and theoretical replication across cases (go to step 2 until theoretical saturation)	Confirms, extends, and sharpens theoretical framework
Step 8	Reaching closure	Theoretical saturation when possible	Ends process when marginal improvement becomes small
Literature comparison			
Step 9	Compare emergent theory with extant literature	Comparison with conflicting frameworks Comparison with similar frameworks	Improves construct definitions, and therefore, internal validity Also improves external validity by establishing the domain to which the study's findings can be generalized

The theory develops during the research process itself and is a product of continuous interplay between analysis and data collection (Glaser and Strauss 1967). GT, which is inductively derived from the phenomena, represents and must satisfy four central criteria: fit, understanding, generality, and control.

Morse (1994 as cited by Shannak & Aldhmour 2009) proposes that:

> *"A theory provides the best comprehensive, coherent and simplest model for linking diverse and unrelated facts in a useful and pragmatic way. Theorizing is the process of constructing alternative explanations until a "best fit" that explains the data simply is obtained" (page 123).*

III. Applications of GT

Experiences in Research Practice

The use of GT is summarized through the experiential insights (Table 4) related to characteristics and features of GT, methods and techniques in GT, identified advantages and purposes, related problems/directions/challenges, and GT report requirements.

Table 4. Perspectives of GT methodology

Characteristics/Features
It is used as a method per se extensively in social science.
It is a general method of theory analysis through comparison.
It requires developing a theory from the experience of respondents.
It is aimed at establishing local-specific application instead of universal application.
It is gleaned from theories based on the data. Development of theory from one context (substantive theory) and from numerous contexts (formal).
It is conceptually crowded and grounded in multiplicity of actors in a particular scenario.
Theorizing always involves knowledge or of a development of a theory.
Grounded theories are developed in relation to current perspectives or discourse around a phenomena.

Table 4 continued…

Characteristics/Features
GT is an approach in qualitative data. It is procedural; it is either qualitative or statistical. GT is a dynamic perspective on theory construction. GT is a theory that must be grounded on the data. GT approach is inductive and not deductive. Theory is emergent from the data. Process of theory-building is highly iterative, as *comparative analysis*. It builds upon *theoretical sampling* as a process of data collection and analysis that is driven by concepts that emerge from the study and appear to be of relevance to the nascent theory.
Method/Technique Begins by focusing on an area of study and gathers data from a variety of sources, including interviews and field observations. Interviews usually play a major role. Observations, documents, historical records, videotapes, and anything else of potential relevance to the research question may also be used. Only restriction: the data collected *must* include the perspectives and voices of the people being studied. Data analysis begins almost immediately; the researcher develops categories to classify the data. The aim of subsequent data collection is to saturate the categories and find any disconfirming evidence that might suggest revisions in the categories identified or in interrelationships among them. GT is said to emerge inductively from its data source in accordance with the method of "constant comparison."
Advantages/Purpose GT is versatile. It is helpful for studies involving phenomenon in which current theories are either lacking or do not exist. Many researchers find its objectivity appealing. It provides a structured and relatively systematic way of boiling down a large body of data into a concise conceptual framework that describes and explains a particular phenomenon. It can cover reform projects in the areas of technical, social, health, economic, and ecological development, as well as citizens' participation projects.

Table 4 continued…

Characteristics/Features
The aim is to develop *and not to test* theoretical ideas.
The general goal of GT research is to construct theories in order to understand phenomena.
These include education, nursing studies, political science, and to a very limited extent, psychology.
Problems/Direction/Challenges
Some find the process too structured.
It has the potential to limit a researcher's flexibility.
It might predispose the researcher to identify categories prematurely.
A good GT is one that is: (1) inductively derived from data, (2) subjected to theoretical elaboration, and (3) judged adequate to its domain with respect to a number of evaluative criteria.
Report Requirements
A description of the research question
A review of the related literature
A description of methodology and data analysis
A presentation of one's theory
A discussion of implications

Note: Based on the author's field research practice, acknowledging some GT authors like Annie Norton; Jenifer Fowler; Bro. Hans Steven Moran; Trevor Barker; Sara Jones; Carol Britton; Stefan Seidel; Rahmat M. Samik-Ibrahim; Martyn Hammersley; Jan Fook; Kerry Chamberlain; and Brian D. Haig.

In theory generation, GT also demonstrates some strengths and weaknesses. One of the strengths of the GT is its capacity of building theory from a set of data, which automatically ground the theory on empirical findings. This means that there is a good traceability of the data including categorization and theory building. Thus, it will lead to a transparent process that can make the study credible. Another strength of GT is the encouragement in using an action-oriented paradigm model in axial coding. Realistically, this supports the possibility of achieving a good theory.

A weakness of the GT involves the users; they have to rid themselves of pre-assumptions to be able to let the true nature of a study come out. To do so, researchers shall avoid reading some other literatures until the study is completed. The lack of good illustration techniques is seen as another weakness of GT. In this case, there is a need to further develop illustration techniques to further support axial coding and the final theory.

Developed Theories in the "Becoming Gift"

"Becoming Gift: *A Classic Grounded Theory of Charism in Sectarian Institutions"*, a theory that proposes how stakeholders in charism-driven school organizations and communities become persons who live spiritually-integrated lives, could not have been more significant in its emergence as analyzed from the GT approach (Yasa 2007). Using Glaser and Strauss' (1967) GT methodology, new knowledge was constructed, and a new illumination on how stakeholders in Hijas de Jesus schools and communities manage their "becoming gifts" and charisms to one another and to the world. However, according to Chalmers and O'Donoghue (2001), in their study on "Inclusivity, the Disabled Child, and Teacher Strategies: The Development of a Theory,"

> *"The theory, which was developed in the present study, may stimulate others to explore related areas…with the aim of developing further theory" (page 51).*

In this respect, the analysis of the process for becoming a gift illustrates the value of conducting inductive research to discover "grounded" variables. These variables may become very useful in the long-term quest to understand the phenomenon that is currently referred to as a charism or gift.

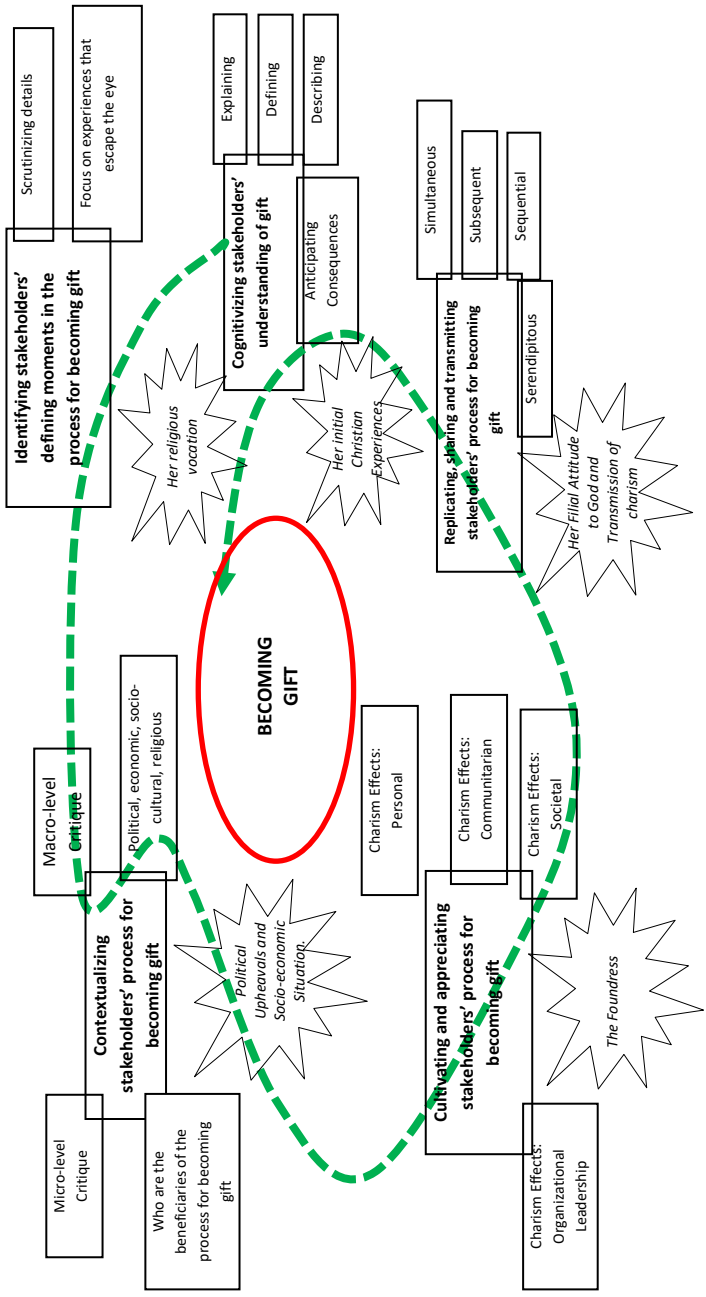
BECOMING GIFT
Identifying stakeholders' defining moments in the process for becoming gift
Scrutinizing details
Focus on experiences that escape the eye
Her religious vocation
Her initial Christian Experiences
Cognitivizing stakeholders' understanding of gift
Explaining
Defining
Describing
Anticipating Consequences
Replicating, sharing and transmitting stakeholders' process for becoming gift
Simultaneous
Subsequent
Sequential
Serendipitous
Her Filial Attitude to God and Transmission of charism
Macro-level Critique
Political, economic, socio-cultural, religious
Contextualizing stakeholders' process for becoming gift
Political Upheavals and Socio-economic Situation
Micro-level Critique
Who are the beneficiaries of the process for becoming gift
Charism Effects: Personal
Charism Effects: Communitarian
Charism Effects: Societal
Cultivating and appreciating stakeholders' process for becoming gift
The Foundress
Charism Effects: Organizational Leadership

Figure 1 shows a diagram on the major categories and their respective emergent properties and how these parallel with significant episodes in the life of Blessed Candida Maria de Jesus. Next category, which is identifying stakeholders' defining moments in a process for becoming gift, is aligned with her process of discovering a religious vocation. It was at this juncture that Blessed Candida made a definitive choice to spend the rest of her life for God. The third category, which is contextualizing stakeholders' process for becoming a gift, fits the external environment which situated Blessed Candida's own process of becoming a gift to the Church and society. In the fourth category, which is cultivating and appreciating stakeholders' process for becoming a gift, God's intervention in the life of Blessed Candida through Fr. Jose Herranz, S.J. was clear to her becoming a Foundress. He helped her cultivate this process as he appreciated the mysterious ways with which God manifested himself to and in her and through the historical circumstances of the time. Finally, the last category, which is a series of replicating, sharing and transmitting stakeholders' process for becoming a gift, fits Blessed Candida's own series of action when she began to concretely manifest her filial attitude to God by building schools that would cater to the needs of women and the youth through Christian education.

GT Versus Traditional Social Science Research Methods

Table 5 compares the GT approach vis-a-vis traditional methodologies such as case study, ethnography, and phenomenology (Guest et al. 2012). A case study provides an in-depth investigation and a basis for generalization. Ethnography assigns a different view of individuals in developing a theory. Phenomenology accepts a different point of view whether a theory is being developed or not.

Table 5. Some insights on GT and case study, ethnography, and phenomenology (Guest et al. 2012)

Case study in GT	**Traditional case study**
Investigation of phenomena at great and narrow depth	Investigation of contemporary phenomena at real-life context
Report is augmented through contextual excerpts.	Multiple sources of evidence are used.
Does not rely upon thick description	Provides thick description
Provides generalized explanation of the process	Provides little basis for generalization
Ethnography in GT	**Traditional ethnography**
Relies on the examination of individuals who may not share a common culture to develop social theory	Relies on the examination of a group of people sharing similar culture to develop social theory
Unconcerned whether guided by implicit or explicit theory; relies on the absence of a theory	Guided by implicit or explicit theory
Does not require a luxury of time	Requires a luxury of time for intensive investigation of data
Phenomenology in GT	**Traditional Phenomenology**
Uses theoretical sampling in selecting individuals who have different perspectives and who complement the accumulating body of knowledge	Provides subjective view of what the participant is experiencing in a given situation

IV. Insights on the Use of GT in Social Development Studies

Grounded theory specifically developed for the study of human behavior can be applied to a broad range of subjects that have a human dimension. GT had been adapted by many different disciplines such as social work, health studies, and psychology and more recently, management. Glaser and Strauss (1967) developed the GT methodology with the vision of having a more defined and systematic procedure for collecting and analyzing qualitative data.

GT offers a method, which could track, check, and validate the development of theory from a qualitative perspective.

One of the research thrusts formulated by the University of the Philippines Los Baños' College of Public Affairs and Development (UPLB-CPAf) is social development. The CPAf can make use of GT as a primary research methodological framework in advancing its thrust on social development. Social development starts with listening to people, understanding their social aspirations, and incorporating their voices in the development process. The less structured and informal method of data collection in GT methodology allows the researcher to collect first-hand information from the informants' points of view. The purpose is to have a balance that allows informants to feel comfortable enough to expound on their experiences, without telling them what to say. Structured data collection sometimes is just an extension of the researchers' expectations, but totally unstructured interviews can result to confusion and incoherence, thus meaningless data (Glaser and Strauss 1967; Yin 1989; Strauss and Corbin 1990; Glaser 2004; and Charmaz 2006).

The idea is to theorize the components of social development through GT methodology. GT can be used to determine the dominant social and structural processes; interaction between subjective experience and social structure; and underlying thought processes (e.g., how information is processed and used); among others (Glaser and Strauss 1967; Yin 1989; Strauss and Corbin 1990; Glaser 2004; and Charmaz 2006).

In GT methodology, the researcher is required to "enter" the world of his/her subjects to observe their environment and the interactions and interpretations that occur. The researcher engaged in symbolic interaction is expected to interpret actions, transcend rich description, and develop a theory that incorporates concepts of "self, language, social setting, and social object" (Schwandt 1994). To

ensure that the emerging framework is grounded on data, the GT process involves an ongoing confirmation and modification of hypothesized relationships through comparison of data already collected or new data. Moreover, the developed theory should be presented in a form that creates an eidetic picture (Glaser and Strauss 1967; Yin 1989; Strauss and Corbin 1990; Glaser 2004; and Charmaz 2006).

This process of theorizing the components of social development will provide a better and unbiased understanding that is grounded on data of the subject (people) – their thought processes and social aspirations – and the existing socio-cultural structure. This better understanding may translate into more appropriate laws, policies, procedures, control, incentives, and intervention. The derived understanding has evolved into various components of social development, such as follows (First CPAf Research and Extension Planning Workshop 2010):

- Social equity/Social justice (access to land and productive resources),
- Social inclusion (gender, physical capability, age, socio-economic status),
- Empowerment (social education, health, nutrition), economic (sustainable livelihoods), political (independence from patronage),
- Knowledge generation and management (learning system, teaching innovations, societal learning environment),
- Human security (social stability, social cohesion),
- Migration,
- Remittances (proportion of remittances to rural income),
- Property rights,
- Knowledge systems (traditional knowledge in a modernizing community),
- New safeguards (traditional insurance system, rural structure),

- Educational system (traditional curriculum vs. market demand),
- Microfinance,
- Community transformation (from rural to urban),
- Multi-enterprise farming system,
- Millennium Development Goals (MDG),
- Climate change, and
- Adjustment in community structures (e.g., family, indigenous people's organization, social exchange).

Theorizing the components of social development will initially emanate from the general notion of development as it evolved in eras shown in Table 6.

Table 6. Meanings of development over time (Pieterse 2010)

Period perspectives	Meanings of development
Classical political economy	Remedy for progress, catching up
Latecomers	Industrialization, catching-up
Colonial economics	Resource management, trusteeship
Development economics	Economic growth – industrialization
Modernization theory	Growth, political, and social modernization
Dependency theory	Accumulation – national, autocentric
Alternative development	Human flourishing
Human development	Capacitation, enlargement of people's choice
Neoliberalism	Economic growth – structural reform, deregulation, liberalization, privatization
Post-development	Authoritarian engineering, disaster
Millennium Development Goals	Structural reforms

According to Pieterse (2010), understanding development theory means being aware of the multiple layers as explained in Table 7. Each development theory can be read on multiple levels and in terms of the on-going and shifting relations among the following

components: practice – research – policy – ideology – image – theory – ideology – policy – practice – theory – ideology – image – policy.

This perspective offers one angle on current trends in development studies. Several trends are linked to these general changes (Table 8), or follow from it, without being reducible to it. Current trends are discussed further with a view to changes in different spheres. In methodology, what stands out is the trend towards interdisciplinarity and the role of discourse analysis. In general sensibilities, the cultural turn is significant. In development policy, significant themes are inter-sectoral cooperation, social diversity, human security, gender and environment, and changes in development cooperation and structural reform.

Table 7. Dimensions of development theories (Pieterse 2010)

Context	**Historical context and political circumstances**
Explanation	Assumptions about causal relationships
Epistemology	Rules of what constitutes knowledge
Methodology	Indicators and research methods
Representation	Articulating or privileging particular interests and cultural preferences
Imagination	Images, evocations, symbols of development, desire
Future	Policy, agenda, future project

Table 8. General trends in development theory over time (Pieterse 2010)

From	**To**
Macro-structures	Actor-orientation, agency, institutions
Structuralism	Constructivism
Determinism	Interpretative turn, contingency
Generalizing, homogenizing	Differentiating
Singular	Plural
Eurocentrism	Polycentrism, multipolarity

GT can be used by researchers and practitioners in issues relating to human behavior in organizations, groups, and other social configurations. One field that possesses these characteristics is leadership. GT is essential to the study of leadership and other similar fields. However, GT does not contribute to the generation of new concepts or patterns; rather, it contributes a better conceptual grasp of basic social processes.

Aside from GT being used in fields like leadership, it can also be used in further data triangulation and methodological triangulation within its analysis. This can be best done through the use of qualitative questionnaires as a complement to quantitative questionnaires. Also, interviews, observation, and participation of respondents can be used. Criticized before because of its insufficient visuals, GT can be seen as a model to visually represent hierarchies of abstraction generated by the analysis. Hence, the huge potential of GT application to development theorizing is recognized.

V. Conclusion

The GT has posed several future research directions, and the following are the stated directions of the theory (Glaser and Strauss 1967, Yin 1989, Strauss and Corbin 1990, Glaser 2004, Charmaz 2006). First, the greater use of biographical, autobiographical, and historical analysis shall be included for a wider coverage of societal phenomena. Second, there is a need for further data triangulation and methodological triangulation within the analysis of the GT. To do this, scholars have proposed the greater use of qualitative questionnaires. GT can also be used in seeking a theoretical explanation of incompatibilities represented by conclusions drawn from the analyses of questionnaires. Third, GT can be used in models that visually represent abstractions generated in the analyses of the theory.

GT can indeed be useful as we theorize development pathways of countries like the Philippines and share these theories with other countries.

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Appendix 1. Excerpts of the coding methodology in the study "Becoming Gift" (Yasa Sr. 2007)

Incidents	**Coding/ Category**	**Coding/Sub-category/ Property**	**Memo**
We are very clear about our charism.	Degree of understanding the meaning of charism	Collective ownership and understanding	There is a very high degree of collective understanding of the meaning of charism among members.
We inherited this charism	Process of becoming charism	Collectively inherited	The charism is something that is collectively inherited and/or is gained through a process.
from Mother Foundress.	Source	Root	A woman-person is the source or root of charism.

Incident	**Coding/ Category**	**Coding/Sub-category/ Property**	**Un-coded memo**
Siding with the truth…	Anticipated consequence of charism	Taking sides	Charism is not politically neutral on issues. Charism takes sides on issues.
Putting deeper meaning to the words of Mother Foundress…	Anticipated consequence of charism	Alignment with the Foundress' values	Charism entails a person's adherence to the root of the gift and eventually to the ultimate source of such gift. Charism creates and makes meaning in one's life.

Appendix 1 continued…

Incident	Coding/ Category	Coding/Sub-category/ Property	Un-coded memo
and go back to her words and see my decisions…	Anticipated consequence of charism	Decision making	Charism moves a person to base decisions on values of the Foundress.
we multiply it…	Anticipated consequence of charism	Involvement in the transmission	Charism gets replicated as person becomes the gift.
Gains the love of people…	Anticipated consequence of charism	Love as reward	Charism is not something that goes without recompense.
Caring attitude, concern for others…	Anticipated consequence of charism	The source's perspectives	Charism evolves perspectives of altruism and caring
Students are trained to be simple…	Anticipated consequence of charism	Training in simplicity	Charism ensues a training in simplicity, a letting go of what is sophisticated and superfluous.
With honest virtues…	Anticipated consequence of charism	Training in the spiritual exercises	Charism involves educating the heart.

Memo	Coding/Process of becoming gift category
Charism at a critical juncture faces challenging and overcoming barriers to becoming gift such as human weakness and limitations.	Process of becoming gift (charism): challenges during process of becoming gift; barriers stage
Charism becomes the same gift and source in the Foundress' disciple.	Process of becoming gift (charism): replication stage

Appendix 1continued…

Memo	**Coding/Category**
Charism and mission originate from God and are bequeathed to the Foundress.	Explanation/description/ultimate source and origin
Charism and Mother Foundress are inseparable.	Explanation/description/ultimate source and origin
Charism comes as a first gift and source in the Foundress.	Explanation/description/source/gift/ Foundress

Defining Moment	**Process Nomenclature**	**What happens here?**
First Moment for Becoming Gift	Incipient stage	A person gets attracted to the values, attitudes, and behavior of Blessed Candida or a replicator. He or she takes moves to get to know Blessed Candida or the replicator more. The first and second behaviors, respectively come out as consequence of a person's longing to be something more or for someone greater than himself or herself.
Second Moment for Becoming Gift	Profundization or intimacy stage	A person takes on Blessed Candida's perspective after understanding the meaning of his or her personal and/or religious identity. He or she learns what it means to make choices the "Candida way," using discernment and subordination to God's will as means.
Third Moment for Becoming Gift	Patterning behavior stage	A person trains in simplicity as well as develops the virtues, attitudes, and values of Blessed Candida such as humility.

Appendix 1 continued…

Defining Moment	Process Nomenclature	What happens here?
Fourth Moment for Becoming Gift	Crises-barriers stage or decision- making stage	A person embraces and faces the difficulties enshrined in the transition towards becoming Blessed Candida (gift). He or she opts to either remain "un-Candidized" or move towards becoming gift.
Fifth Moment for Becoming Gift	Conviction stage	A person is able to take action and integrates suffering as part of becoming a gift and then blooms and fully swings knowing that suffering, death, and resurrection are very much a part of daily life. Here, he or she cooperates and collaborates more deeply in helping others become a gift.
Sixth Moment for Becoming Gift	Leadership development stage	A person develops a low profile leadership but marked with close attention to the marginalized.
Seventh Moment for Becoming Gift	Transmission stage	A person replicates/becomes the gift and shares it with everyone.

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FEATURE ARTICLE

Towards Sustainable Communities and Human Security: Challenges of the College of Public Affairs and Development University of the Philippines Los Baños[1]

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ABSTRACT

The College of Public Affairs (CPAf) in the University of the Philippines Los Baños (UPLB) evolved as a unit of the University with the mandate to raise the bar of applied social science scholarship by developing transdisciplinary methods in the resolution of public issues such as food security, land reform and land use, governance, population, and education. The creation of CPAf in 1998 was prompted "by the need to attune academic programs in the pursuit of UP's mission to promote nationalism and development in the face of profound changes occurring in the global environment." In 2011, it was renamed as the College of Public Affairs and Development.

This paper highlights the integrative framework that summarizes CPAf's plans, innovations, and strategies in helping

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build sustainable communities and attain human security. These targeted impacts are anchored on programs and services that operationalize the major functions of CPAf as an academic unit. Built into these functions are the theoretical foundations for communities of practice on institutional development, policy reform and development, and local governance and development.

In the final section, future challenges are presented. These center on the growing appreciation of students in agriculture in the Philippines and in Southeast Asia of Public Affairs as a discipline and the articulation of the rigor and relevance of transdisciplinary research in an otherwise disciplinary community.

Introduction

Global changes manifested by (1) urbanization, migration, and remittances; (2) trade integration; (3) information access; (4) food and energy prices and bio-fuels; and (5) climate change are significantly affecting agriculture and rural areas (Pingali 2009). Rural communities are now in transition, and the academics together with government, business, and civil society leaders are challenged to build liveable and sustainable communities and ultimately human security. Meanwhile, agriculture, which supports rural communities, is at the crossroad. Apart from its original function of assuring food security, agriculture is now also responsible for protecting biodiversity; generating rural employment and income opportunities; and producing herbal and medicinal plants for the pharmaceutical industry. It is also tasked to produce biofuels to help mitigate climate change and to respond to the continuing price escalation of fossil fuel energy.

Education has a vital role in meeting these changes and challenges. The world needs competent people to assume the

leadership roles in confronting these challenges. Towards this end, agricultural colleges and universities need to innovate and their capacities need to be strengthened, to respond to the requirements of a globalized world economy (Villareal 2009).

More than a decade ago, the University of the Philippines at Los Baños (UPLB) has risen to that challenge by instituting the College of Public Affairs (CPAf) in 1998. The CPAf was created to "attune academic programs of the UP Los Baños in the pursuit of its mission to promote nationalism and development in the face of profound changes occurring in the global environment." Its focus was to establish scholarship that was problem-based to address the following concerns: food security, land reform and land use, governance, strategic planning, population, environment, education, agrarian and rurban development, and cooperatives.

In 2007, CPAf had proposed academic program revisions and structural reforms to address newer realities/challenges, such as survival brought about by new/strengthened academic programs by other graduate schools and the external concern for national food security and development in the agriculture and rural sectors including communities in transition (Rola 2007). This new arrangement was aimed to align the structure of the CPAf to be able to achieve its vision to be center of excellence in governance and development studies. It was also renamed into the College of Public Affairs and Development in 2011.

Guiding the direction of the scholarship of the College are its vision and mission. Its vision is *"to be an academic institution with distinctive excellence in development studies and governance in support of national development goals in the agriculture and rural sector and communities in transition."* Its mission states that *"by means of transdisciplinary approaches, it shall develop human and institutional capacities in the areas of local development policy, governance, and community development consistent with our values*

and traditions while taking into account the demands of globalization".

CPAf Framework

CPAf is building its core staff and human resources based on the basic sciences and expertise that will craft development studies and governance as an area of discipline. The core disciplines of the faculty and researchers will be in the basic sciences such as economics, sociology, psychology, political science, statistics, and anthropology. Meanwhile, the fields of expertise of the faculty members and staff are in law, community development, education, management science, information science, public administration, agricultural sciences, global studies, policy, and development and governance studies.

Programs and services of CPAf help create "communities of practice," where faculty, researchers, students, alumni, partners, and other stakeholders, continually share information and experiences with the aim of building expertise in institutional and policy development, and in local governance and development. "Communities of practice" essentially contribute not only to the field of development and governance as a disciplinal area, but also to the development of individuals, institutions, and institutional performance towards sustainable communities.

The "communities of practice" support its one-faculty, one-college structure where all faculty members are housed in one academic teaching unit. This way, they can have a greater opportunity to engage in joint activities, share mutual interests, and collaborate in various professional engagements. This new organizational structure aims to promote synergy as well as more interdisciplinary, multi-disciplinary, transdisciplinary, and time-bound work.

Human security is placed at the top of the framework, indicating a current paradigm shift from sustainable communities to a higher goal, which is human security or rights-based development. CPAf, along with other UPLB colleges, can focus on this goal. The elements of the framework suggest academic excellence. This has to be complemented with operational excellence, such as administrative efficiency and financial sustainability.

CPAf Programs

The integrative framework of CPAf shows its plans, innovations, and strategies in helping build sustainable communities and attain human security. These targeted impacts are anchored on programs and services that operationalize the major functions of CPAf as an academic unit. Built into these functions are the theoretical foundations for communities of practice on institutional development, policy reform and development, and local governance and development.

Academic Programs

While various colleges or schools of public affairs elsewhere look at public affairs primarily in the context of the government's role to meet societal needs, UPLB CPAf was created with the vision to provide a holistic perspective of public affairs reflective of societal concerns. This holistic perspective necessarily requires partnership of the government, private sector, non-government organizations, and civil society groups. It is also reflected in the nature and type of the target clients of its academic degree programs. These clients primarily possess mid-level managerial skills that include, but are not limited to, development workers and planners, policy analysts,

Figure 1. CPAf framework, 2012

local government executives, educators and education managers, researchers, and extension workers and specialists.

For instance, CPAf's banner program instituted in 1996, the Master in Public Affairs, was intended to train both practitioners serving government and non-government institutions as well as scholars dedicated to the analysis of public issues, particularly on the improvement of public welfare. This non-thesis program has three areas of specialization, namely: Agrarian and Rurban Development Studies, Education Management, and Strategic Planning and Public Policy. The MPAf's program promotes a strong bias to ethical values and integrity in the public service. One core course is Ethics in Public Affairs, which discusses theories, issues, problems, and their implications to ethical behavior in the public service.

Three traditional degree programs offered by CPAf have been drawn from other academic units and were instituted as early as the 1930s. These are the Master of Science/Doctor of Philosophy in Agricultural Education, Master of Science/Doctor of Philosophy in Community Development, and Master of Science/Doctor of Philosophy in Extension Education. Specifically, the Agricultural Education curriculum is a teacher education in agriculture program aimed to prepare teachers of agricultural academic institutions and education development practitioners. The Community Development program prepares individuals to take on the challenge of empowering local communities to develop effective strategies for identifying community goals and maximizing their assets to achieve these goals. Extension Education provides students with grounding on extension science, leadership, adult education strategies, psychology, and participatory tools and techniques required in ensuring stakeholder participation and engagement.

The Master in Development Management and Governance (non-thesis track) and Master of Science in Development Management and Governance (thesis track) programs seek to develop competencies and proficiencies required for new managers

and leaders for governance and development. This multi-entry, multi-exit program features four streams of specialization, namely: Organizational and Institutional Development, Program Management, Governance of Microfinance and Microinsurance Institutions, and Local Governance and Development. The institution of these programs in 2011 was a result of the merging of the Master of Management major in Development Management and Master in Public Affairs major in Local Governance and Development. The merging allows synergistic learning among actors in the development and governance process and promotes transdisciplinary mechanisms that CPAf advocates and promotes.

More recently, CPAf instituted the Doctor of Philosophy (PhD) in Development Studies program. The PhD in Development Studies program prepares graduates for careers in the academe, government and non-government agencies, international agencies and the private sector as development specialists, researchers, or managers. The program combines the analytical rigor required of social science and technical fields to be able to address development issues. These development issues include food security, natural resource management, population, gender and development, and agrarian and rural development. Other issues include the distinctive excellence of UPLB such as agriculture, forestry, and the environment. Graduates of this course have the ability to: articulate systems thinking and apply this to development issues; integrate basic and applied sciences and the technical and social dimensions of development issues; and generate practice-informed theories on development issues, focusing on development pathways of Asian countries.

Apart from these graduate degree programs, CPAf also offers undergraduate foundation service courses in education and agrarian reform to serve its traditional niche. Likewise, the College has expanded its service reach by providing professional programs for those who are already in the workplace. Many of the target clients

for this continuing education for professionals come from the local and national governments as well as from educational institutions, both public and private. In addition, the expertise of CPAf faculty is commonly tapped by the government, private institutions, and people's organizations for coaching and mentoring, capacity building, and institutional development.

In academic programs, in particular, team teaching and relay teaching as modes of teaching are featured in many of its course offerings. Previous discipline boundaries are expected to gradually diminish as more faculty members cross discipline borders. For instance, they teach courses and serve as members of students' guidance and advisory committees, formerly from other disciplines of CPAf. This is likewise strengthened as collaborations of faculty members in interdisciplinary research activities gain popularity. In its off-campus offerings, resource persons with expertise in specific fields of specialization are likewise invited to enrich and provide more vigor to various courses.

Clearly, CPAf academic programs seek to provide public service education and produce graduates equipped with knowledge, skills, and values. These competencies will prepare them to critically examine development from various perspectives with deliberate resolve to provide services and address the needs of target communities. Indeed, the role of CPAf as an academic institution is to provide a learning environment that does not only capacitate its clients as individuals and as groups, but more so to empower them and harness their full capacity. Capacitating would enable CPAf faculty and staff to better understand "who they are" and "what they have" so they can serve and continue the advocacy for public service.

All these are driven by development issues, hence CPAf needs to continue to innovate and respond to emerging trends and changing opportunities. While part of the long-established niche of CPAf has a slant towards agricultural development, the College has

diversified its program offerings with the institution of broader programs in public affairs, development management, social policy, and local governance. This is likewise anchored on the new challenges faced by CPAf in addressing development in the Philippine context. The new challenges are brought about by broader issues such as understanding the pathways of communities in transition and the need for institutions to support climate change adaptation strategies in agriculture and the rural sector.

Research, Development and Extension (RDE) Programs

In general, CPAf aims to generate science-based information in support of policy formulation; institutional reforms and good governance mechanisms in food and nutrition security and safety; integrated natural resource management; and climate change and human aggravated natural disasters.

Specifically, CPAf RDE aims to 1) conduct research and advocacy on agricultural policy and sustainability, science and technology policy, and social and institutional policy; 2) undertake research and development on innovative institutional reforms in communities in transition; and 3) engage the various actors in developing participatory and adaptive collaborative governance mechanisms for rural development.

Among the current research interests of CPAf are water governance, water security under climate risks, building partnership for food security, biotechnology policy, extension strategies, and climate change adaptation strategies. In partnership with professional organizations based at the College and other partners, CPAf has implemented a conference-workshop and symposium on climate change and related concerns like the role of educators and extension workers in climate change.

CPAf also trains various local government personnel for policy and strategic planning. Some of its more recent training programs were on provincial rice action planning; municipal agricultural development planning; and local climate change action planning as off-shoot activities of the program on Collaborative Research Development and Extension Services (CRDES). Modules on policy analysis for watershed management planning are available. One of its successful action-researches is the Community-based Participatory Planning and Extension Management (CBPEM), an extension approach or methodology that refers to the styles of action within an extension system. It is founded on the philosophy that local people, such as farmers and fisherfolks, are teachable. And given the opportunity to help themselves, they could lead more progressive and self-reliant communities. CBPEM is guided by the principles enshrined under Republic Act 8435, otherwise known as the Agriculture and Fisheries Modernization Act (AFMA) of 1997, which include relevance, people's participation, capacity building, and collaboration.

With its RDE activities, CPAf hopes to contribute to individual and institutional performance; the enhancement of development and governance studies; and the development of sustainable communities. These can be achieved through the attainment of food and nutrition security as well as improved capacities for natural resource management and climate risk and disaster management.

Public Services: Town and Gown Activities

The public service commitment of CPAf is expressed in different 'town and gown' modalities. One modality in offering the Master/Master of Science in Development Management and Governance is a graduate program in the workplace of the learners. Under this scheme, the program can be offered in the office of a

government agency; government-owned and controlled corporation; civil society organizations; or corporate social/community relations office. In so doing, the program provides a direct application of the theories and concepts discussed to the very context of the host organizations.

The other modality is *student service learning in the communities*. In this modality, students and/or classes from the Extension Program, Education Program, Community Development Program and Development Management and Governance Program become involved in empowering communities to solve household problems requiring community solutions. Classroom learning is tested or applied in the communities. Problems may relate to poor functional literacy, improper waste management, poor local government planning or fiscal management, low adoption of production technology, etc.

Other "town and gown" modalities are action research and extension services provided by the two centers of the College. A major activity is an extension program that forges partnership of the various actors to achieve food security in three regions of the country. The actors include SUCs, LGUs, the DA Regional Offices, and non-government organizations. All these institutions and organizations have agreed to work together to design adaptation by the agriculture sector to climate changes and insecure markets.

Challenges

Higher education, especially in agriculture and natural resource management, plays a critical role both in preparing and in providing the necessary leadership to innovate for sustainable development. However, the capacity of agricultural tertiary education, especially in Asia, is relatively low. Most of them are modelled from the Western context, heavily focusing on

specialization and less on generalization, diversification, and integration. Furthermore, the EARTH-Salzburg Seminar Series on Sustainability, Education, and the Management of Change in the Tropics (SEMCIT) project as cited by Villareal (2009) noted that the educational system in Asia should address the needs of agricultural development within the Asian context. The educational system, according to Villareal, should also produce leaders of change: high quality, relevant, employable, and innovative graduates. These graduates should also have appropriate knowledge, skills, and attitudes to meet the stakeholders' needs and preferences. The attributes of the new agricultural leaders produced by the higher education system include: 1) social consciousness, 2) high standard of values and ethics, 3) entrepreneurial skills, 4) concern for the environment, 5) solid technical and scientific principles, 6) holistic approach, 7) life-long learners, 8) strong leadership and team building skills; and 9) communication skills.

CPAf graduates are trained to be transformational leaders or leaders of change. Hence, they are expected to possess competent leadership ability (especially in local governance), holistic perspective (in approaches to policy development and reform), social consciousness, and values and ethics (for institutional development). Higher education in agriculture and natural resource management are likewise called to transform/innovate and strengthen science and society interface in promoting sustainable development.

Research and education in agriculture have strongly focused on discipline-oriented as well as on natural science-based approaches to increasing production. This is reflected in how colleges of agriculture are structured: animal and dairy sciences, agricultural system, crop protection, crop science, and food science.

So what are the challenges?

First, the current discipline-oriented focus should be complemented with a holistic, ecological, and transdisciplinary strategy for education and research in the agriculture and food sector. One alternative approach (to the conventional division of research into specialized disciplines) that provides an integrative or holistic view is the integration of agriculture-applied social science (Carada 2009). This approach provides the necessary perspective to deal with the complexity and uncertainty of the agriculture sector and rural communities. Applied social science can prepare students to deal with change; embrace multiple dimensions of the food challenge; and establish participatory interactions with clients, communities, and organizations.

Second, in preparing an interdisciplinary and transdisciplinary graduate program and course syllabi, the following should be considered:

a) *Relation to the disciplines*. The course is issue-based and issue-focused; the issue being appropriate for interdisciplinary and transdisciplinary inquiry. The contribution of various disciplines and schools of thought are necessary to frame the issue/problem and to solve it.

b) *Course structure should provide issues that motivate them to learn*. The syllabus promotes deeper understanding of the issue; the instructor is able to promote the real educational agenda that uphold integration throughout the course. Pedagogical and interdisciplinary integration are also provided in the course.

c) *The level of integration* provided in the program or the course should be identified or differentiated as multidisciplinary, interdisciplinary, or transdisciplinary.

Third, the structure and divisions of the units of the University should be considered. Agriculture-applied social science is being integrated, albeit slowly, in most universities of agriculture

and natural resource management, Brewer (1999) noted that "The world has problems, but universities have departments.''

Conclusion

As the dynamism and expansion of the meanings and domains of sustainable communities and human security are happening globally and in different polity, coping with the magnitude of challenges becomes relatively difficult for any institute or graduate program in public affairs. Thus, one has to be strategic in finding its niche. Situated in a campus (UPLB) with an overarching distinctive excellence in agriculture and natural resource sciences, public affairs at the UPLB has to provide a development and governance framework. This framework must transcend academic disciplines and translate and converge these disciplinal strengths into public affairs institutions, instruments, and processes that will effect sustainable communities and promote the highest level of human security (now rights-based approach).

Specifically, global economic change and local political change interface with the increasing demands for agriculture functions and sustainable natural resource management. Hence, there is pressure to innovate in higher education for an agriculture-based university. UPLB, for instance, needs to adapt and adopt integrative and transdisciplinary research inquiry and education (Carada 2009) to address contemporary issues. Graduates should have a holistic view of the world and should be transformational leaders. Approaches such as participatory, integrated, integrative, collaborative, cross-disciplinary, interdisciplinary, multidisciplinary, and transdisciplinary should be learned and applied in various interventions, researches, and programs/projects in different arenas or settings, such as communities in transition.

CPAf must be inspired to rise up to all these challenges by constantly innovating in its academic programs and research approaches. The University must also provide an enabling environment for this transdisciplinary scholarship to flourish.

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