A FRAMEWORK FOR CAPACITY DEVELOPMENT:
CLOSING THE GAP
BETWEEN THEORY AND PRACTICE

Davina Lee Boyd

This thesis is presented for the degree of
Doctor of Philosophy, Murdoch University

January, 2009
I declare that this thesis is my own account of my research and contains as its main content work which has not previously been submitted for a degree at any tertiary education institution.

Davina Lee Boyd
Abstract

Capacity development has long been considered a cornerstone of development. While the development industry’s commitment to capacity development has been fraught with debate about its ambiguous nature and lack of associated success, after more than thirty years of experience, there is now widespread agreement that capacity development is a priority for development. There is also renewed understanding that an alternative development paradigm is at the core of capacity development and core principles and good practice guidelines are emerging. However, while there has been a transformation in thinking, much of the development industry is entrenched in existing practices and there remains a gap between the theory that is espoused and capacity development in practice.

Currently, the development industry is in transition. This transition is necessary and unavoidable if the development challenges faced by billions of people are to be addressed. This research sought to identify ways to facilitate this transition and close the gap between theory and practice. The research was underpinned by a pragmatic philosophical perspective. As such, a central aim of the research was to make a practical contribution to improving practice.

A design-based research methodology was used to carry out research into the practice of delivering two capacity development interventions: 1) the Public Sector Linkages Program (PSLP) Project; and, 2) the Sustainable Sanitation and Wetlands Technology (SSWT) Project. These interventions were designed to develop Indonesian capacity in water and sanitation. In design-based research, practice and research are carried out concurrently. This methodology provided an opportunity to advance understanding of the relationship between capacity development theory based on the alternative paradigm and improved practice.

A Framework for Capacity Development is the main outcome of this research. The Framework provides specific guidance regarding the design of capacity development interventions based on the alternative paradigm. The Framework was found to facilitate the design of interventions with improved processes and outcomes. Further application of the Framework in different contexts is recommended.
Publication List

Aspects of this thesis have been accepted for publication:


This paper won the 2008 *International Award for Excellence* in the area of environmental, cultural, economic and social sustainability.
Table of Contents

Declaration ........................................................................................................................................ii
Abstract ......................................................................................................................................... iii
Publication List ............................................................................................................................... iv
Table of Contents ............................................................................................................................. v
List of Tables ................................................................................................................................... xi
List of Figures ..................................................................................................................................... xiii
List of Abbreviations and Acronyms .............................................................................................. xiv
Glossary .............................................................................................................................................. xvi
Acknowledgements........................................................................................................................ xxi

Chapter 1. Introduction .................................................................................................................. 1
  1.1. A world wide water and sanitation crisis ............................................................................ 1
  1.2. Purpose of this research ...................................................................................................... 2
  1.3. Scope of the research ......................................................................................................... 3
    1.3.1. Definitions ................................................................................................................ 3
    1.3.1.1. Capacity development ............................................................................................ 3
    1.3.1.2. Capacity ................................................................................................................ 5
    1.3.2. The process of developing capacity ........................................................................ 7
    1.3.3. Capacity development interventions ....................................................................... 9
  1.4. Overview of the research approach .................................................................................. 10
  1.5. Research questions and objectives ............................................................................... 11
    1.5.1. Stage 1: PSLP case ................................................................................................ 12
    1.5.2. Stage 2: SSWT case .............................................................................................. 12
    1.5.3. Stage 3: Outcomes assessment ............................................................................. 12
    1.5.4. Stage 4: Expert review ......................................................................................... 13
  1.6. Structure of the thesis ....................................................................................................... 13

Chapter 2. Capacity Development ............................................................................................... 15
  2.1. Introduction ....................................................................................................................... 15
  2.2. The development industry .............................................................................................. 15
  2.3. Well-established practice ............................................................................................... 20
  2.4. Core principles and good practice guidelines .................................................................. 22
    2.4.1. Endogenous, reciprocal and respectful capacity development ................................ 25
    2.4.2. Contextual capacity development .......................................................................... 28
      2.4.2.1. Local context – culture .................................................................................... 29
      2.4.2.2. Local context – corruption ............................................................................. 34
      2.4.2.3. Local needs and existing capacities ............................................................... 35
    2.4.3. Considered capacity development .......................................................................... 36
    2.4.4. Sustainable capacity development ........................................................................ 38
3.8.3.1. Triangulation........................................................................................................ 90
3.8.3.2. Audit trail ........................................................................................................... 91
3.8.3.3. Researcher reflexivity ...................................................................................... 92
3.8.3.4. Prolonged involvement .................................................................................... 92
3.9. Ethics approval ........................................................................................................ 93
3.10. Summary ............................................................................................................... 94

Chapter 4. The PSLP Case ............................................................................................. 95
4.1. Introduction ............................................................................................................. 95
4.2. Overview of the PSLP Project ................................................................................. 95
  4.2.1. Team members .................................................................................................. 95
  4.2.2. Program of activities ......................................................................................... 96
4.3. Overview of the Stage One of the research ............................................................ 97
4.4. Factors impacting on the success of the PSLP Project ............................................ 102
  4.4.1 Phase 1: Understanding IEMT’s existing capacity ............................................ 102
   4.4.1.1 Making decisions regarding the project prior to assessing the local needs 103
   4.4.1.2 Not involving IEMT team members in the project design ......................... 104
   4.4.1.3 The appropriateness of the methods to be used in subsequent activities 105
   4.4.1.4 The relationship between ETC and IEMT team members ......................... 106
   4.4.1.5 The adequacy of the project planning ....................................................... 107
   4.4.1.6 Stakeholder engagement ........................................................................... 108
   4.4.1.7 Indonesian culture and the local context ................................................... 108
   4.4.1.8 A lack of organisational capacity and institutional support ..................... 109
   4.4.1.9 Not taking into consideration the sustainability of the project .................. 110
   4.4.1.10 Conclusion .............................................................................................. 111
  4.4.2 Phase 2: Identifying the needs and priorities of IEMT’s stakeholders ............... 112
   4.4.2.1 Local needs ............................................................................................... 114
   4.4.2.2 Local stakeholder commitment and ownership ......................................... 118
   4.4.2.3 Appropriateness of the capacity development methods ......................... 121
   4.4.2.4 Relationship between IEMT and ETC ..................................................... 123
   4.4.2.5 Project planning ......................................................................................... 123
   4.4.2.6 Stakeholder engagement ........................................................................... 124
   4.4.2.7 Indonesian culture and local context ......................................................... 125
   4.4.2.8 Institutional support .................................................................................... 129
   4.4.2.9 Sustainability of the project ...................................................................... 130
   4.4.2.10 Conclusions ............................................................................................ 132
  4.4.3 Phase 3: Developing IEMT’s capacity to deliver training .................................. 134
   4.4.3.1 Understanding local needs ....................................................................... 135
   4.4.3.2 Commitment and ownership ..................................................................... 139
   4.4.3.3 Existing relationships ................................................................................. 143
   4.4.3.4 Methods ..................................................................................................... 143
   4.4.3.5 Stakeholder engagement .......................................................................... 151
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.2.1. PSLP Case</td>
<td>309</td>
</tr>
<tr>
<td>8.2.2. SSWT Case</td>
<td>311</td>
</tr>
<tr>
<td>8.2.3. Outcomes Assessment</td>
<td>312</td>
</tr>
<tr>
<td>8.2.4. Expert Review</td>
<td>314</td>
</tr>
<tr>
<td>8.3. Legitimacy of the research</td>
<td>315</td>
</tr>
<tr>
<td>8.3.1. Reliability</td>
<td>315</td>
</tr>
<tr>
<td>8.3.2. Descriptive validity</td>
<td>316</td>
</tr>
<tr>
<td>8.3.3. Interpretive validity</td>
<td>318</td>
</tr>
<tr>
<td>8.3.4. Theoretical validity</td>
<td>323</td>
</tr>
<tr>
<td>8.3.5. External and pragmatic validity</td>
<td>325</td>
</tr>
<tr>
<td>8.3.6. Challenges</td>
<td>326</td>
</tr>
<tr>
<td>8.4. Outcomes of the research</td>
<td>327</td>
</tr>
<tr>
<td>8.5. Broader implications of the research findings</td>
<td>328</td>
</tr>
<tr>
<td>8.6. Recommendations for further work</td>
<td>331</td>
</tr>
<tr>
<td>8.7. Final remarks</td>
<td>332</td>
</tr>
</tbody>
</table>

References ..................................................................................................................... 333
Appendices ..................................................................................................................... 349
List of Tables

Table 1.1 Core research questions ..................................................................................... 13
Table 2.1 Core principles and good practice guidelines for capacity development .......... 24
Table 2.2 Dimensions of capacity development practice .................................................. 26
Table 2.3 Comparison of Indonesian and Australasian cultural dimensions ................. 31
Table 2.4 Cultural differences between Australasia and Indonesia in education ............. 34
Table 2.5 Four categories of team problems ..................................................................... 44
Table 2.6 Characteristics of constructivism, adult learning theory ................................... 47
Table 2.7 Assumptions regarding improved capacity development practice ................... 49
Table 3.1 Characteristics of this research ......................................................................... 53
Table 3.2 The common aims and characteristics of design-based research....................... 61
Table 3.3 Overview of participant observation schema .................................................... 73
Table 3.4 The degree of structure or standardisation in interviews .................................. 77
Table 3.5 Interview types and procedures used in this research ....................................... 81
Table 4.1 The PSLP team members ................................................................................. 96
Table 4.2 Research matrix for the PSLP Project ............................................................... 100
Table 4.3 Primary stakeholders’ involvement in PSLP activities ..................................... 101
Table 4.4 Initial factors impacting on the success of the PSLP Project: Phase 1 ............... 111
Table 4.5 Interview schedule: needs assessment interviews with stakeholders .............. 112
Table 4.6 Stakeholders’ training priorities: seminar exercises .......................................... 115
Table 4.7 Factors impacting on the success of the PSLP Project: Phase 2 ......................... 133
Table 4.8 Steps involved in engaging stakeholders .......................................................... 152
Table 4.9 Factors impacting on the success of the PSLP Project: Phase 3 ......................... 161
Table 4.10 Preliminary Framework for Capacity Development ........................................ 170
Table 5.1 The SSWT Project team members and primary stakeholders ......................... 172
Table 5.2 Interview schedule for interviews with team members prior to the workshop .... 174
Table 5.3 Interview schedule for interviews with team members after the workshop ....... 174
Table 5.4 Research matrix for the SSWT Project ............................................................. 177
Table 5.5 Revised Framework for Capacity Development ............................................... 214
Table 6.1 Interview schedule – primary stakeholders ....................................................... 216
Table 6.2 Interview schedule – intermediary stakeholder ............................................... 217
Table 6.3 Research participants’ characteristics ............................................................. 219
Table 6.4 The activities and intentions of government stakeholders relating to sanitation and the PSLP/SSWT Project contributions ........................................ 221
Table 6.5  The actions and intentions of academic stakeholders relating to sanitation and the PSLP/SSWT Project contributions ....................... 226
Table 6.6  The actions and intentions of community stakeholders relating to sanitation and the PSLP/SSWT Project contributions ....................... 229
Table 6.7  Human capacity developed through the interventions .................................................. 235
Table 6.8  Contacts maintained by PSLP Stakeholders, SSWT stakeholders and intermediary stakeholders ........................................................................... 240
Table 6.9  Use of learning resources by stakeholders since the PSLP/SSWT Projects...... 245
Table 6.10 Suggested improvements to the interventions .......................................................... 252

Table 7.1 Reviewer characteristics .................................................................................... 263
Table 7.2 Qualitative risk analysis matrix .............................................................................. 265
Table 7.3 Utility analysis matrix ........................................................................................ 266
Table 7.4 Qualitative measures of impact ........................................................................... 266
Table 7.5 Qualitative measures of ease of application ........................................................ 267
Table 7.6 Design principle analysis: interview schedule ....................................................... 268
Table 7.7 Design principle analysis: impact, ease and utility ratings .................................... 295
List of Figures

Figure 1.1  The capacity development process ................................................................. 8
Figure 3.1  Development research methodology .............................................................. 9
Figure 3.2  Study design .................................................................................................. 66
Figure 4.1  Meeting room for the TOT workshop ............................................................. 147
Figure 5.1  SSWT workshop meeting room (day one) ...................................................... 200
Figure 5.2  SSWT workshop meeting room (day four) .................................................... 200
Figure 6.1  Wetland at stakeholders’ home built after training with USAID ..................... 224
Figure 6.2  Proposed site for wetland system in Kapanjen ............................................. 224
Figure 6.3  Seminary construction plans including wetland ........................................... 232
## List of Abbreviations and Acronyms

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Stakeholder from Academia</td>
</tr>
<tr>
<td>AUS$</td>
<td>Australian Dollar</td>
</tr>
<tr>
<td>AusAID</td>
<td>Australian Agency for International Development</td>
</tr>
<tr>
<td>C</td>
<td>Stakeholder from the Community</td>
</tr>
<tr>
<td>CDRA</td>
<td>Community Development Resource Association</td>
</tr>
<tr>
<td>D</td>
<td>Documentation</td>
</tr>
<tr>
<td>DBR</td>
<td>Design-Based Research</td>
</tr>
<tr>
<td>DE</td>
<td>Documentation – Email</td>
</tr>
<tr>
<td>DI</td>
<td>Documentation – Image</td>
</tr>
<tr>
<td>DF</td>
<td>Documentation – Film</td>
</tr>
<tr>
<td>DFID</td>
<td>UK Department for International Development</td>
</tr>
<tr>
<td>DP</td>
<td>Design Principle</td>
</tr>
<tr>
<td>E</td>
<td>ETC team member</td>
</tr>
<tr>
<td>ECDPM</td>
<td>European Centre for Development Policy Management</td>
</tr>
<tr>
<td>ETC</td>
<td>Environmental Technology Centre</td>
</tr>
<tr>
<td>G</td>
<td>Stakeholder from Government</td>
</tr>
<tr>
<td>GC</td>
<td>Stakeholder from a Government Corporation</td>
</tr>
<tr>
<td>GSDRC</td>
<td>Governance and Social Development Resource Centre</td>
</tr>
<tr>
<td>H</td>
<td>Stakeholder from a Hospital</td>
</tr>
<tr>
<td>IG</td>
<td>Indonesian Guideline</td>
</tr>
<tr>
<td>I</td>
<td>IEMT team member</td>
</tr>
<tr>
<td>IDR</td>
<td>Indonesian Rupiah</td>
</tr>
<tr>
<td>IE</td>
<td>Indonesian Expert</td>
</tr>
<tr>
<td>IEMT</td>
<td>Institute for Environmental Management and Technology</td>
</tr>
<tr>
<td>IN</td>
<td>Stakeholder from Industry</td>
</tr>
<tr>
<td>INTRAC</td>
<td>International NGO Training and Research Centre</td>
</tr>
<tr>
<td>IWA</td>
<td>International Water Association</td>
</tr>
<tr>
<td>IWSA</td>
<td>Indonesian Water and Sanitation Association</td>
</tr>
<tr>
<td>MDG</td>
<td>Millennium Development Goal</td>
</tr>
<tr>
<td>N</td>
<td>Stakeholder from Non Governmental Organisation</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-Governmental Organisation</td>
</tr>
<tr>
<td>O</td>
<td>Observation</td>
</tr>
<tr>
<td>OECD DAC</td>
<td>Organisation for Economic Cooperation and Development – Development Assistance Committee</td>
</tr>
<tr>
<td>P</td>
<td>PSLP Primary Stakeholder</td>
</tr>
<tr>
<td>PS</td>
<td>Primary stakeholder who participated in the PSLP and SSWT Projects</td>
</tr>
<tr>
<td>PSLP</td>
<td>Public Sector Linkages Program</td>
</tr>
<tr>
<td>Q</td>
<td>Questionnaire</td>
</tr>
<tr>
<td>R</td>
<td>Reviewer</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Full Form</td>
</tr>
<tr>
<td>--------------</td>
<td>-----------</td>
</tr>
<tr>
<td>RQ</td>
<td>Research Question</td>
</tr>
<tr>
<td>RWH</td>
<td>Rainwater Harvesting</td>
</tr>
<tr>
<td>S</td>
<td>SSWT Primary Stakeholders</td>
</tr>
<tr>
<td>SI</td>
<td>Structured Interview</td>
</tr>
<tr>
<td>SSI</td>
<td>Semi-structured Interview</td>
</tr>
<tr>
<td>SSWT</td>
<td>Sustainable Sanitation and Wetland Technology</td>
</tr>
<tr>
<td>SuSAN</td>
<td>Sustainable Sanitation</td>
</tr>
<tr>
<td>SWOT</td>
<td>Strengths, Weaknesses, Opportunities and Threats</td>
</tr>
<tr>
<td>T</td>
<td>Stakeholder who is a Teacher</td>
</tr>
<tr>
<td>TDA</td>
<td>Training Demand Assessment</td>
</tr>
<tr>
<td>TM</td>
<td>Team Member</td>
</tr>
<tr>
<td>TOT</td>
<td>Training-of-Trainers</td>
</tr>
<tr>
<td>UI</td>
<td>Unstructured Interview</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Program</td>
</tr>
<tr>
<td>UNEP-IETC</td>
<td>United Nations Environment Program – International Environmental Technology Centre</td>
</tr>
<tr>
<td>UNICEF</td>
<td>United Nations Children Fund</td>
</tr>
<tr>
<td>UNMER</td>
<td>Merdeka University</td>
</tr>
<tr>
<td>US$</td>
<td>United States Dollar</td>
</tr>
<tr>
<td>USAID ESP</td>
<td>United States Agency for International Development – Environmental Services Program</td>
</tr>
<tr>
<td>WDM</td>
<td>Water Demand Management</td>
</tr>
<tr>
<td>WHO</td>
<td>World Health Organisation</td>
</tr>
<tr>
<td>WWF</td>
<td>World Wildlife Fund</td>
</tr>
<tr>
<td>WWR</td>
<td>Wastewater Reuse</td>
</tr>
</tbody>
</table>
Glossary

The glossary is presented in two parts: 1) Development Glossary: this section includes terms used in this research that are specific to the vernacular of the development industry and the case studies presented in this research; and, 2) Indonesian Glossary: this includes Indonesian terms, acronyms and phrases used in this research.

DEVELOPMENT GLOSSARY

From AusAID (n.d.); Chambers (2005); Development Assistance Committee (DAC) (2002); Development Resource Centre (2005); DFID (n.d.); Femmes Africa Solidarite (n.d.); Norwegian People’s Aid (2003); OECD (2003).

Activity
Activities are carried out to achieve the outputs of a project, program or intervention.

Aid
The words “aid” and “assistance” refer to flows of money which qualify as Official Development Assistance (ODA) or Official Aid (OA).

Beneficiary
Individuals, organisations or groups that receive the benefits of a development project, program or intervention. In this research the term stakeholder is used instead of beneficiary.

Bilateral aid
Aid given from the government of one country to the government of another country.

Bilateral agency
Bilateral agencies are government agencies from a single country which provide aid to developing countries (e.g., AusAID, USAID, DFID, JICA, DANIDA, SIDA) they are also referred to as international development agencies.

Capacity building
The term capacity building precedes capacity development; the transition to capacity development began in the 1990s. Capacity building has connotations of construction, building and design which reflect the idea that capacity is built from nothing. Capacity development, on the other hand, recognises that capacity develops from an existing base and can be associated with adaptation, facilitation, improvement and growth. These terms are used interchangeably in this research. See also Chapter One (§ 1.3).
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity development</td>
<td>The process of learning and change that better enables individuals, groups, organisations and societies to respond to development challenges with sustainable outcomes.</td>
</tr>
<tr>
<td>Developed country</td>
<td>High income countries. Also known as Northern countries or the North.</td>
</tr>
<tr>
<td>Developing country</td>
<td>Country in which a large proportion of the population is very poor; may refer to low GDP per capita and/or low measures in other indices such as the Human Development Index (HDI) (refer to <a href="http://hdr.undp.org/en/">http://hdr.undp.org/en/</a>).</td>
</tr>
<tr>
<td>Development practitioner</td>
<td>A person working in the international development sector.</td>
</tr>
<tr>
<td>Donor</td>
<td>Somebody who provides a financial contribution or assistance in kind to organisations such as governments and civil society (local and international). A donor may be a bilateral agency, multilateral agency or a philanthropic organisation.</td>
</tr>
<tr>
<td>Good practice</td>
<td>Implementation cases that can be role models for others.</td>
</tr>
<tr>
<td>Grassroots</td>
<td>An activity driven by the constituents of a community, as opposed to being organised by central power structures.</td>
</tr>
<tr>
<td>Impact</td>
<td>Positive and negative long term effects produced by a development intervention, directly or indirectly, intended or unintended.</td>
</tr>
<tr>
<td>Input</td>
<td>The financial, material and human resources used for a development intervention.</td>
</tr>
<tr>
<td>Intergovernmental organisations</td>
<td>Organisations whose members are sovereign states or other intergovernmental organisations (IGOs); such as the European Union, World Trade Organisation and United Nations.</td>
</tr>
<tr>
<td>Intermediary stakeholder</td>
<td>The individuals, groups or organisations that may facilitate the capacity development process (alternates team member; project member; beneficiary).</td>
</tr>
<tr>
<td>International development agencies</td>
<td>Agencies that work in the area of international development, in particular bilateral agencies such as the Australian International Agency for Aid and Development [AusAID]; Canadian International Development Agency [CIDA] Swedish International Development Agency [SIDA] and Japanese International Cooperation Agency [JICA]).</td>
</tr>
<tr>
<td>Intervention</td>
<td>Any action designed to achieve development outcomes (this includes projects and programs).</td>
</tr>
</tbody>
</table>
### Multilateral aid
Aid that is given by several countries for the benefit of multiple countries. International organisations which coordinate this aid include World Bank, Asian Development Bank, United Nations Development Programme (UNDP), UNICEF, World Food Programme (WFP).

### Multilateral agency
These are international institutions with governmental membership which conduct all or a significant part of their activities in favour of development and aid recipient countries. They include multilateral development banks (e.g. World Bank, regional development banks), United Nations agencies, and regional groupings (e.g. certain European Union and Arab agencies).

### Non-governmental organisations (NGO)
A voluntary, not-for-profit community organisation, which undertakes international development cooperation and/or development education (e.g., Bangladesh Rehabilitation Assistance Committee [BRAC], Oxfam and World Vision).

### North
High-income countries. Also known as Developed Countries (DC).

### Official Development Assistance (ODA) or Official Aid
Flows of official financing administered with the promotion of the economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 percent. By convention, ODA flows comprise contributions of donor government agencies, at all levels, to developing countries (“bilateral ODA”) and to multilateral institutions. ODA receipts comprise disbursements by bilateral donors and multilateral institutions.

### Outcome
The likely or achieved short-term and medium-term effects of an intervention’s outputs.

### Output
The results that can be guaranteed by the project as a consequence of its activities.

### Participant
Individuals who are involved in the activities of an intervention and/or research (alternates stakeholder; intermediary stakeholder; primary stakeholder).

### Primary stakeholder
The individuals, groups, organisations or societies whose capacity is developed through the capacity development process; these stakeholders are locals.
Program
A proposed plan with a medium to long-term horizon and possibly without a defined end, often incorporating strategic objectives, multiple projects and activities.

Project
Activities which have identifiable objectives, outputs, time frames and implementation plans. Projects may be funded on a single year or multi-year time basis (alternate intervention).

South
Low income countries; encompasses Developing Countries (DCs) and Least Developed Countries (LDCs).

Stakeholder
Agencies, groups, organisations or individuals who have a direct or indirect interest in a development intervention, includes primary and intermediary stakeholders (alternates primary stakeholder; intermediary stakeholder; participant; beneficiary; target group)

Technical cooperation/Assistance
Technical co-operation is the provision of advice and/or skills, in the form of specialist personnel, training and scholarship, grants for research and associated costs.

Team member
An individual working on the capacity development interventions (alternates intermediary stakeholder)

INDONESIAN GLOSSARY
From Ecols and Shadily (1991)

ALTRUIS
Local Malang based NGO

Arisan
A regular social gathering whose members contribute to and take turns winning an aggregate sum of money

Batu
City in East Java – 17km from Malang

Bapedal Jatim
Environmental Impact Agency

Bappenas
National Planning and Development Agency

Blitar
City in East Java – approximate 75km from Malang

Bupati
Regent – government officer in charge of a regency

Camat
Sub-district head

Kabupaten
Regency, similar to a district

Kampung
Village (urban and rural)
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>KKN</td>
<td>(Korupsi, Kolusi, Nepotism)</td>
<td>Corruption, collusion and nepotism</td>
</tr>
<tr>
<td>Kota</td>
<td></td>
<td>City, town</td>
</tr>
<tr>
<td>LSM</td>
<td>(Lembaga-lembaga Swadaya Masyarakat)</td>
<td>Non-governmental organisation</td>
</tr>
<tr>
<td>Lurah</td>
<td></td>
<td>Village chief</td>
</tr>
<tr>
<td>Malang</td>
<td></td>
<td>City in East Java – location of case studies</td>
</tr>
<tr>
<td>MCK</td>
<td>(Mandi Cuci Kakus)</td>
<td>Public bathing, washing and toilet facilities</td>
</tr>
<tr>
<td>Microlet</td>
<td></td>
<td>Small motorised vehicle (usually minibus) for public transportation</td>
</tr>
<tr>
<td>Passionis</td>
<td></td>
<td>Catholic seminary in Malang</td>
</tr>
<tr>
<td>PDAM</td>
<td>(Perusahaan Daerah Air Minum)</td>
<td>Government water corporation operating municipal waterworks and water supply services</td>
</tr>
<tr>
<td>PKK</td>
<td>(Pendidikan Kesejahteraan Keluarga)</td>
<td>Program at village level to educate women on various aspects of family welfare</td>
</tr>
<tr>
<td>Propaganda</td>
<td></td>
<td>Publicity, to publicise</td>
</tr>
<tr>
<td>PUSKESMAS</td>
<td>(Pusat Kesehatan Masyarakat)</td>
<td>Local government health clinic</td>
</tr>
<tr>
<td>PU Pusat</td>
<td></td>
<td>Local public works department</td>
</tr>
<tr>
<td>RT</td>
<td>(Rukun Tetangga)</td>
<td>Neighbourhood association, the lowest administrative unit, responsible for managing 100 households</td>
</tr>
<tr>
<td>RW</td>
<td>(Rukun Warga)</td>
<td>Administrative unit at the next-to-lowest level in city, consisting of several RTs</td>
</tr>
<tr>
<td>Salak</td>
<td></td>
<td>Edible spiny plant</td>
</tr>
<tr>
<td>Taman tanaman air</td>
<td></td>
<td>Constructed wetland for waste water treatment</td>
</tr>
<tr>
<td>Uang rokok</td>
<td></td>
<td>Cigarette money, colloquial term for a petty bribe</td>
</tr>
<tr>
<td>Walikota</td>
<td></td>
<td>City mayor</td>
</tr>
</tbody>
</table>
Acknowledgements

I would like to begin by thanking my supervisors, Rob Phillips and Goen Ho. Rob, thank you for your unwavering support and spirited guidance and Goen for your encouragement and astute direction. Thanks also to my third, albeit unofficial, supervisor Jeff Sturman and wife Ange, for your friendship and wisdom.

Thank you to the staff at IEMT as well as other friends and colleagues at Merdeka University and Murdoch University. In particular I would like to extend my heartfelt gratitude to Gunawan and Unggik Wibisono and Enik Wahyuniati for your friendship and invaluable assistance. Many thanks also to Stewart Dallas for your help.

To Peter Devereaux, John Davis, Tony Blythe, Rod Jackson, Jane Hutchinson, Kathryn Choules, Vikki Uhlmann, Subas Dhakal, Robert Letchford and Isabel Blackett, thank you for your important contributions.

To Jonathan, thank you for your love, support and understanding. You have been a constant source of strength and I have enjoyed sharing the journey with you.

Thank you to my family, Niccola and Karl, Dad and Ann, Mum, Nana and Grandad for your faith in me and tireless support.

To Lisa, Kellie, Josh, Lillian, Shona, Paul, Jess, Meg, Janice, Deb and Bron thank you for your friendship, care and laughter. Thanks also to my office mates for their humour and empathy.