

WORKING PAPER

Preliminary Documentation of the Village Profiling Process in North Sulawesi

**Prepared for the Coastal Resources Center, University of Rhode Island,
Proyek Pesisir, Jl. Madiun No. 3, Menteng, Jakarta, Indonesia 10320**

By

Brian R. Crawford

Associate Coastal Resources Manager

Coastal Resources Center

University of Rhode Island

and

Johnnes Tulungen

Field Program Manager

North Sulawesi

Proyek Pesisir

PROYEK PESISIR

(Coastal Resources Management Project)

USAID/BAPPENAS NRM II PROGRAM

May, 1999

PROYEK PESISIR
(Coastal Resources Management Project)

WORKING PAPER

**Preliminary Documentation of
the Village Profiling Process in North Sulawesi**

Prepared for the Coastal Resources Center, University of Rhode Island,
Proyek Pesisir, Jl. Madiun No. 3, Menteng, Jakarta, Indonesia 10320

By
Brian R. Crawford
Associate Coastal Resources Manager
Coastal Resources Center
University of Rhode Island
and
Johnnes Tulungen
Field Program Manager
North Sulawesi
Proyek Pesisir

Citation:

Author : Brian R. Crawford and Johnnes Tulungen
Year : May, 1999
Title : Preliminary Documentation of the Village Profiling Process in North
Sulawesi
Place of
Publication : Jakarta, Indonesia
No of Pages : 9

**Funding for the preparation and printing of this document was
provided by the Coastal Resources Management Project of the
USAID-BAPENAS Natural Resources Management Project.**

Preliminary Documentation of the Village Profiling Process in North Sulawesi

By Brian R. Crawford and Johnnes Tulungen

Background:

Three village-level field sites were selected in North Sulawesi in June of 1997 for pilot development and testing of community-based coastal management models. Socio-economic and environmental baseline surveys were conducted in the field sites between June 1997 and March 1998. Full time field extension officers were assigned to the field sites in October 1997, and in 1998, local assistants from each village were contracted to assist with project activities in the villages.

Extension officers initiated a process of project socialization (orientation for the community of project goals, objectives and activities) upon assignment to the community, followed by a number of other community preparation activities including public education, training, participatory

Project Socialization and Community Preparation Activities

1. Formal & informal meetings/discussions
2. Public education & training events
3. Early implementation actions
4. Community monitoring & assessments

monitoring and implementation of early actions on selected issues of concern. Initial training on coastal management was provided to the extension officers in December 1997, including material on the issue identification and profiling process. Extension officers started to outline issue-based profiles at that time. The profiling activity was then set aside for various reasons, particularly to give more time for socialization of the project at the field sites, and to enable the staff to initiate public education and early action activities to build community support and awareness. In addition, staffing transitions in 1998 (including new field extension officers in Bentenan and Tumbak, a new senior extension officer, and a new field program manager) required additional adjustments and renewed efforts in staff development. As part of staff development, the field program manager underwent a one-month training at the CRC-URI Summer Institute in coastal management in June 1998. Civil unrest within the country also resulted in the departure of the resident technical advisor for a period of over one month in June 1998, and a slow down in field activities occurred during this period..

The Village-Level Profiling Process:

The purpose of the profiling exercise was to identify, assess and prioritize coastal management issues of concern to the local

Steps in the Profiling Process

1. Summarize issues identified from socioeconomic & environmental assessments, community meetings & discussions.
2. Identify a community core group.
3. Assemble a technical support team.
4. Train the core group and support team.
5. Draft a profile document.
6. Review of draft by community and technical team.
7. Revise draft.
8. Produce a final profile document.

community. On return of the field program manager and the technical advisor from the United States in July, 1998, plans for resuming the profiling process were drawn up. This resumption in the profiling effort had a different approach from the initial effort that was started in early 1998. Instead of the profile drafting effort being initiated by a technical team in Manado and the extension officers, a much more participatory approach was chosen. This was in part due to criticisms and feedback received that the baseline survey process was not participatory enough. We also felt that a more participatory approach would help build greater ownership of the process and results by the community and local government.

The Role of Baseline Surveys in the Profiling Process

The purpose of the baseline surveys was to develop a substantial information base using systematic and empirical methods, including control sites, for project impact evaluation. The goal is to document concrete evidence of resulting outcomes from adopting a participatory community-based coastal management approach, and use this information to promote subsequent replication of successful models developed. The socio-economic and environmental baseline surveys, and the ecological and human histories developed during the first year and a half of the project were very instrumental in identifying and assessing coastal management issues in the villages. In addition, much of the information gathered from the baseline survey activities was subsequently used in the profiling process and incorporated into the profile documents.

Types of Baseline Information Collected in Bentenan & Tumbak Villages

1. Socio-Economic
 - household productive activities
 - existing resource use & trends
 - household types & possessions
 - residents perceptions about resources
 - present well being and future outlook
 - perceived problems by the community
 - governance regimes
2. Environmental
 - coral reef condition
 - reef fish abundance
 - coastal habitat location, type & extent
 - beach trash surveys

Developing the Capacity of a Profiling Team:

We decided that in order to develop a issue-based coastal resources profile using a participatory process (issues are defined as an existing or anticipated problem or a development opportunity within the community), a profile development team would have to be formed and their capacity built to undertake the profiling process. The team consisted of a community core group, project extension staff, and personnel from BAPPEDA. In August, 1998, extension officers were asked to identify participants from the community who would become a community core group for profile and plan development. Factors to consider in selecting core group members are: What criteria and process will be used to identify and select core group members? What type of backgrounds and occupations should they have? What formal and informal positions do they hold within the community? What stakeholder groups can they represent?

The community core group participated in an initial one-week training program on coastal management which was conducted in September 1998. In addition to training the core group from the village field sites, the field extension officers were also involved in the training course as participants and training co-facilitators. The course was conducted by the senior extension staff and the Field Program Managers (FPM) from Manado and East Kalimantan. Local government counterparts (BAPPEDA Tk. I and II) also participated in the training course in an effort to involve them more in the profile and plan development phase and to educate them more about the coastal management process. During this one-week training, the basic principles of coastal management were presented, and initial outlines for village profiles and management plans were developed in small groups for each field site. These working groups included the community core group members, local government (BAPPEDA) representatives and project extension officers. The group outputs mentioned above included a list of key management issues, their causes and consequences, location and extent, and trends if known. The outputs also included drafts of (1) a vision statement for the community, (2) objectives for management for a few of the issues identified along with selected actions, and, (3) a recommended process for plan development and approval.

Priority Issues Identified in Talise Village

1. Lack of land tenure
2. Deforestation and loss of wildlife
3. Conflicts between fishers & a pearl farm
4. Poor drinking water supply & sanitation
5. Low agricultural productivity
6. Beach erosion & flooding

At the request of the training participants, a second coastal management training workshop was then held in Tomohon in November for an expanded core group from the villages with participation from BAPPEDA Tk. I and II. At this workshop, the village profiling and planning process was further elaborated and more detailed profile outlines developed, along with specific activities for community review and input of the draft management plans.

Preparation and Review of Draft Profiles:

Extension officers then wrote a draft profile document based on the outlines developed in the training workshops. The draft profiles were then reviewed by the village core groups and other village officers such as the Kepala Desa, and presented to the wider community through formal and informal meetings and discussions. During this process, many corrections were made to the text, and additional issues added. For

Examples of Community Participation for Blongko Village Profiling

1. Core group training & workshops
2. Dusun & village-wide meetings
3. Informal discussions of issues
4. Editing of draft text
5. Taking photographs illustrating issues
6. Coral reef monitoring using manta tow
7. Compiling village statistics

instance, in Bentenan, a section on farming was added. In Talise, two additional issues were added; (1) improving communication between the dusuns and the village government, and (2) the village not being allowed by government to elect their own Kepala Desa. In Blongko, recent storm events resulted in flooding and the wash out

of a culvert along one of the village roads, and severe beach erosion near the small river mouth in Blongko Bay. Subsequently, sections on these topics were added at the request of the community.

For the Blongko profile, the text of the issue descriptions was actually written by the community core group during the training workshops. The format of the Blongko profile is different from the Talise and Bentenan-Tumbak profile. For Blongko, the profile format was to be more pictorial in nature with only a very small amount of text. Core group members then edited initial text statements developed in the training workshops during subsequent review, and most of the photos included in the profile were taken by community members. In the Blongko profile, where appropriate, a short one or two sentence description was included in the issue description which indicated what actions were already being taken by the community or local authorities to address the problem.

The Talise and Bentenan-Tumbak profiles are more text oriented and include a large number of maps developed for the environmental and socio-economic baseline reports. Introductory sections on the village abstracted information from the socioeconomic and environmental baseline reports, ecological histories and from technical studies of local consultants, and some preliminary information from participatory monitoring activities already started.

Draft profiles for all three sites were then brought to CRC-URI by the Field Program Manager (FPM) and were reviewed by the Technical Advisor (TA) and CRC Associate Director for technical content and structure. The CRC Communications Specialist met with the FPM for discussions and advice on layout design, and to show examples of profile designs from around the world.

Due to time constraints, the FPM and TA concentrated on editing, reorganizing and drafting a layout design for the Blongko profile. Minor text edits were made to the issue statements/sections.

The acknowledgements section was revised to acknowledge support and assistance demonstrated by senior officials in the province (BAPPEDA) and at the national level (BANGDA) who have visited Blongko and encouraged the community with respect to the marine sanctuary and early action projects. Parts of the introductory overview section – background on the goals of the project, etc. - were moved into a preface. A one page section which described the

Contents of a Village Coastal Resources Profile

Preface

The Profiling and Planning Process

Village Background:

- geography
- demography
- socio-economics
- environmental context

Priority Issues (problems & opportunities):

- causes & consequences
- trends
- location & extent
- what is being done

Appendix: Key events conducted for project socialization, community preparation, and the profiling process.

coastal management planning and management cycle was added. At the end of the document, the section on community-based management was expanded, and a description of the marine sanctuary (recently established by village ordinance) was expanded and moved into a separate section. We decided that several attachments/annexes should be included: community-generated coral reef map from community manta tow reef monitoring data, map of the location of the marine sanctuary, and a list of key meetings, training and public education events to illustrate the amount of project activities and depth of community participation in the planning and profiling process.

The FPM and TA recommended changes to the Talise and Bentenan-Tumbak profile as well, following along similar changes made to the Blongko profile. This included a revised acknowledgements sections, a preface to be included by the village heads and/or Camat, movement of information on the project into a preface by senior project staff, a preface to be added by our key local counterpart agency (BAPPEDA), a section added on the coastal management cycle, movement of many figures from annexes into appropriate issues sections, and an annex on key events the project had undertaken in the village (meetings, public education, early actions, training, participatory monitoring). It was recommended that where appropriate, a short explanation be included in the issue description which indicated what actions were already being taken by the community or local authorities to address the problem (as was done for the Blongko profile).

The changes and edits made to the profiles were brought back to Manado by the FPM and reviewed with the extension officers. The TA followed-up with a trip two weeks later to Manado. Additional discussions were then held with the field site team on edits and procedures and timelines to finalize the profiles. In the case of the Talise and Bentenan-Tumbak profiles, we decided that further community review of the documents was not needed. Final text and figure editing could continue in Manado by project staff and layout be done by the Jakarta-based project production unit. We decided that no formal approval signatures were needed for the profile documents, as they did not recommend any management objectives or actions. This is in contrast to the management plans to be developed once the profiling process is completed, where management plans will need formal village approval as well as approval at some higher level of government authority.

For the Blongko profile, the pictorial nature of the document meant that the layout style and text were difficult to separate as serial steps, and a very iterative process of parallel editing of text and layout was undertaken in the Manado office with peer inputs from all the extension staff, FPM, TA, local advisor, and BAPPEDA staff undergoing on-the-job training in the Manado office. A final draft layout was brought to the village of Blongko for a last review before production.

Deciding on the Profile Formats and Replication Considerations:

Consideration was given to the style and content of the profiles for the purposes of replication of similar documents in the future by local institutions. We decided that there are two audiences for these initial field site profiles: (1) the local village and selected local government officials within the province to raise awareness of issues of concern in the village and ultimately, for action to be taken on these issues, and (2)

individuals and institutions outside the province and within the province for outreach and dissemination aspects of Proyek Pesisir work.

In a replication program where a local institution is assisting communities with the preparation of community-based issue profiles, large quantities of the profile document are not necessary. In a booklet or spiral bound A4 paper size format (the Talise and Bentenan-Tumbak examples) several copies within the village are probably sufficient (for the Kantor Desa,

**Key Factors for Profile
Format and Production**

1. Audience
2. Numbers produced
3. Content and length
4. Use of photos or color figures
5. Materials-type of paper, cover, binding
6. Cost

and several additional copies for the Kantor Camat, BAPPEDA Tk. II, and a few selected line agencies (public works, fisheries, forestry) is all that is needed. Hence, production runs of between 5 – 20 copies can be produced at very low cost by photocopying and printing off of a laser printer for maps, figures and photo pages in black and white and/or color. Since an important objective of Project Pesisir is to disseminate lessons learned and promote adoption of models developed, an additional audience of several hundred is anticipated both within the province and outside the province. If maps and photos are to be included in the profile, experience has shown that a photocopied style document will be of poor quality and hence of less interest by potential adopters. Therefore, a production run of several hundred printed copies as a special publication is planned for outreach purposes.

For the Blongko profile, a different format is being tested. In this case, the final profile will be printed on A2 paper size with color photos and text in black and white. The pages will then be laminated and produced as a portfolio style (unbound) or atlas style (spiral bound with a hard front and back cover). The unbound print style profile can then have pages hung in a community center, or in the public schools, and can be moved from place to place within the community as needed. One or two copies of this format would be sufficient at the community level, and perhaps one or two more produced for the Camat and BAPPEDA Tk. II. Therefore production runs of between two to four copies can be produced off of a personal computer and wide carriage color printer at very low cost. However, since an important objective of Project Pesisir is to disseminate lessons learned and promote adoption of models developed, an additional audience of several hundred is anticipated both within the province and outside the province. Since many photos are included in the profile, experience has shown that a photocopied style document will be of poor quality and hence of less interest by potential adopters. Therefore, a production run of several hundred printed copies in black and white as a special publication is planned for outreach purposes.

Timing and Resource Considerations:

Village profile development took about nine months in North Sulawesi. It is difficult to speed up this process if a participatory approach is used as public meetings and core group training events take time to arrange, schedule and prepare for. Also, informal discussions and meetings in the community require a substantial amount of

time on-site as they are typically done one-on-one or in groups of ten or less persons. The importance of informal meetings and discussions is one reason why field extension officers need to be assigned on-site and living in the community. Village sizes on average vary between 1000 – 2000 persons, and often involve several geographically dispersed sub-villages (dusuns). Hence the amount of meetings (formal and informal) required and logistics involved to get full inputs and a consensus from a majority of the community on key issues can be substantial. In addition, it takes time to build the capacity of a profiling team as evidenced by the Manado team which had little experience with community-based coastal resources profiling. This profiling time frame also does not include the amount of time prior to initiation of the profiling process which was put into the project socialization, community preparation and issue identification process. Financial resources are also required for (1) public education events, (2) community training and monitoring activities, (3) initiation of early implementation actions, (4) a technical support team to assist and back up activities coordinated by the field extension officer, and (5) travel to and from field sites and the home office by field staff and technical support personnel. There are not yet examples of village-based coastal resources management profiles in Indonesia which could be drawn on for this preliminary effort in North Sulawesi. As a consequence, the process of trial and error in pioneering initial models has taken time.

**Resources Needed for
Community-Based Profiling and Planning**

1. A field extension officer living on site
2. A technical support team for field activities
3. Funds for:
 - public education
 - training
 - early implementation actions
 - extension & technical support team travel
4. Computer and printer
5. Flip chart, bulletin board & related supplies
6. Time

Dissemination of Profiling Results and Next Steps in the ICM Process:

Once the profile is completed, it will need to be distributed within the community and to appropriate local government agencies. Extension officers are planning additional community presentations, as part of a continuing socialization process of the issue findings and to start the plan preparation phase. On completion of the profiles, extension staff are also planning another core group workshop to obtain additional community inputs for plan preparation (objectives for management, policies and

What to do Once the Profile is Completed

1. Distribute and discuss profile contents with the community and local government.
2. Conduct another core group workshop to start plan preparation.
3. Hold community meetings to discuss a draft plan.
4. Ensure technical review of draft plans by a technical support team.
5. Allow review by local government agencies.
6. Obtain formal approval of the plan by the community and local government.
7. Secure a budget and plan annual activities.
8. Implement the plan by the community and local agencies concerned.

actions needed to solve issues or seize opportunities). Then, a similar cycle of draft plan review with the community will occur. However, for plan development, the Kabupaten task Force (KTF) will also be involved in draft plan review as these agencies will need to take responsibility for implementation of many of the actions proposed (those which cannot be done by the community themselves). Also, the management plans will need both official approval by the village government, as well as at some higher level of local government authority (Kecamatan and/or Kabupaten and/or Propinsi).

Conclusions and Lessons Learned:

The primary purpose of the profile is not the document itself, but a process of developing a greater understanding of issues of concern to the community and to build greater awareness within the community and among local government officials concerning these issues. The profile then provides the foundation and beginning consensus for plan preparation.

Technical studies and baseline information are useful to developing a profile document. Key conclusions and information from these reports as well as figures and maps can easily be integrated into a profile document. However, technical studies and baselines should not take up an inordinate amount of time and be tailored to the financial resources and staff capacity available.

Strong attention needs to be given to developing the capacity of a profiling team to conduct the profiling process. Profiling done primarily by outsiders, with little involvement of the community and local government institutions, while perhaps adequately defining the issues, does not build understanding and set a foundation of support for the next step of developing a community-based management plan. Field extension officers, local government officers and community core group members will unlikely have the background, experience or skills needed to undertake this process, and therefore need to be trained and mentored by more senior and experienced technical support staff.

The process of community preparation and profile development takes time. Time is needed for (1) project socialization (project orientation), (2) community preparation (public education, training, and early actions), (3) issue identification (baseline and/or technical studies, or eco-histories, or PRA, combined with formal and informal community meetings and discussions), and (4) capacity building of field extension staff, technical support staff, and the community. Once these activities are well underway, then the profiling process

Key Points to Remember for Village Profiling

1. Plan sufficient time for project socialization and community preparation activities.
2. Build staff and community capacity.
3. Ensure adequate community and local government participation.
4. Use previous studies and secondary information where available for issue identification and profiling.
5. Allow the process to move at a pace which is comfortable for your extension staff and the community.

(issue definition and prioritization) can be initiated. It is highly unlikely that preliminary activities (step one in the ICM cycle) of project socialization, community preparation, issue identification and profiling can be completed in a time frame of less than one year. Depending on staff experience and capacity, and resource availability, this process could take up to two years to thoroughly complete. Attempting to reduce the time required to adequately conduct the process, by reducing participation and/or capacity building activities, increases the likelihood of failure in attempting to address issues through subsequent planning and implementation phases of a community-based management process.

This initial effort at village-level coastal resources profiling in North Sulawesi is to our knowledge, the first effort of its kind in Indonesia. The process and documents produced represent preliminary examples and experience. Subsequent efforts at replication should draw on the lessons learned, but by no means feel constrained in applying creative energy to modify and improve on this first generation of experience. Replication needs to adapt the approaches outlined above to the local socio-cultural and political context, and consider the resources and capacity available to conduct such an effort.