



TRANS-LOCAL GOVERNMENT COLLABORATION AS AN APPROACH
FOR INTERNATIONAL DEVELOPMENT ASSISTANCE:
THE SAEMAUL GLOBALIZATION PROJECT IN
BALINCAGUING VILLAGE, PHILIPPINES

BY

MR. MARVIN RENELLE CRUCILLO ROLLO

A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF MASTER OF ARTS (ASIA PACIFIC STUDIES)

THAMMASAT INSTITUTE OF AREA STUDIES

THAMMASAT UNIVERSITY

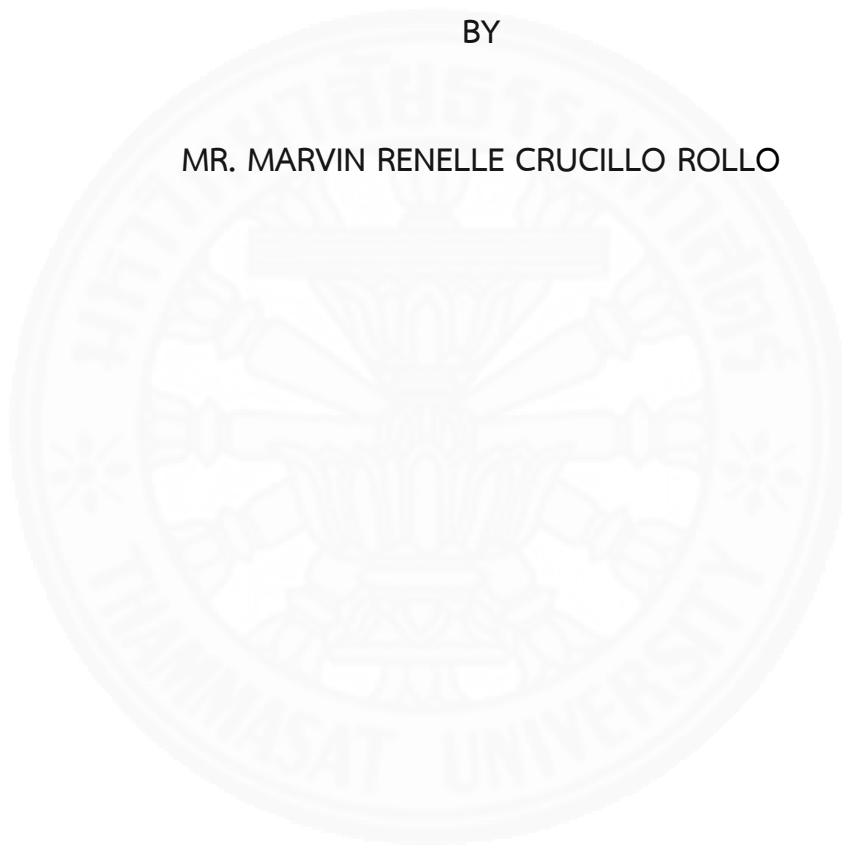
ACADEMIC YEAR 2019

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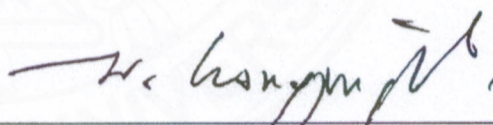
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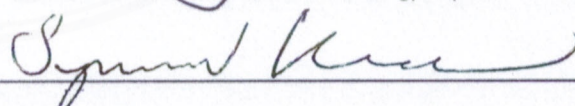
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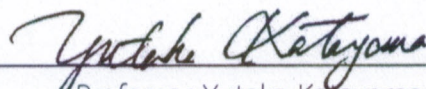
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ABSTRACT

The implementation of development programs in rural areas has continued to be one of the most problematic responsibilities for international assistance and development agencies around the world. Neoliberal development policies have failed to resolve the urgent problems of reducing inequality and eradicating poverty, while current trends in international development assistance are yet to obtain sustainable and beneficial results. Consequently, a non-traditional instrument for international development assistance has drawn attention for researchers and policymakers. This approach is characterized by the active involvement and collaboration of local governments from around the world, otherwise known as ‘decentralized development cooperation’ hereinafter, ‘trans-local government collaboration’. At the very core, this paper aims to examine this approach through the case study of the Saemaul Globalization Project (SGP) in Balincaguing village, collaboratively implemented between the provincial government of North Gyeongsang, South Korea, and the municipal government of San Felipe, Zambales, The Philippines. The SGP is a comprehensive rural

development project that originates from South Korea's *Saemaul Undong* (New Village Movement), promoting sense of ownership and self-reliance among the beneficiaries. In terms of the provision of livelihood opportunities, construction of infrastructures, capacity-building, and skills and technology transfer, the project is deemed as a success during its implementation from 2012 to 2016. Hence, this paper hypothesizes that the successful implementation and administration of SGP in Balincaguing village is a result of the effective trans-local collaboration between the local governments of North Gyeongsang and San Felipe. With the success of SGP in Balincaguing, this paper suggests that an effective trans-local government collaboration may be supplemental approach for international development assistance and a determining factor in the successful implementation of development programs in rural areas.

Keywords: local government, collaborative governance, international development assistance, *Saemaul Undong*, rural development

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Mr. Marvin Renelle Crucillo Rollo

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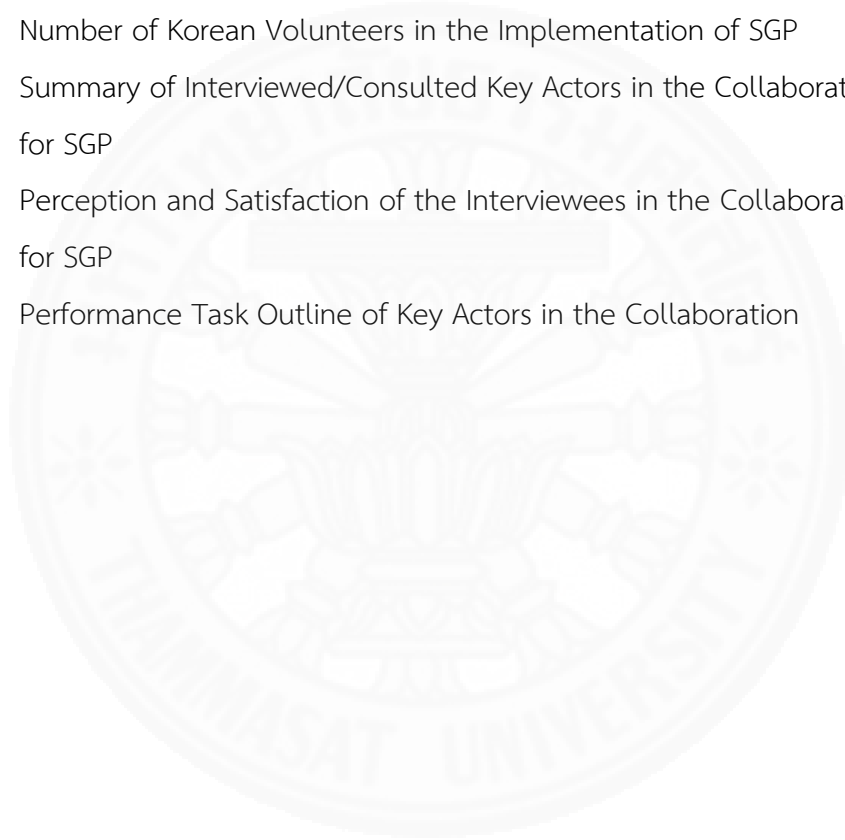
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LIST OF ABBREVIATIONS

Symbols/Abbreviations	Terms
AARNR	Agriculture, Agrarian Reform, and Natural Resources
ADB	Asian Development Bank
ARMM	Autonomous Region in Muslim Mindanao
BLGF	Bureau of Local Government Finance
BRGY	Barangay
BWA	Balincaguing Women's Association
CCA	Climate Change Adaptation
CIDC	Committee for International Development Cooperation
CLAIR	Council of Local Authorities for International Relations
CPS	Country Partnership Strategy
CSOs	Civil Society Organizations
CTCG	Community Tourism Collaborative Governance
DA	Department of Agriculture
DAC	Development Assistance Committee
DC	Decentralized Cooperation
DDRM	Disaster Risk Reduction Management
DENR	Department of Environment and Natural Resources
DAR	Department of Agrarian Reform
DILG	Department of Interior and Local Government
DPWH	Department of Public Works and Highways
DSWD	Department of Social Welfare and Development
EPTA	Expanded Programme of Technical Assistance
EU	European Union
FGD	Focus Group Discussion



GID	Governance and Institutions Development
GIDA	Geographically Isolated and Disadvantaged Areas
GNI	Gross National Income
IFAD	International Fund for Agricultural Development
IFMs	Innovative Financing Mechanisms
ITT	Industry, Trade, and Tourism
INFRA	Infrastructure Development
IRA	Internal Revenue Allotment
ISO	International Standard Organization
JICA	Japan International Cooperation Agency
KOICA	Korea International Cooperation Agency
LGC	Local Government Code
LGUs	Local Government Units
LOGODI	Local Government Officials Development Institute
MDGs	Millennium Development Goals
MOA	Memorandum of Agreement
MOEF	Ministry of Economy and Finance
MOFA	Ministry of Foreign Affairs
MOIS	Ministry of Interior and Safety
MOU	Memorandum of Understanding
NCR	National Capital Region
NEDA	National Economic and Development Authority
NGOs	Non-Governmental Organizations
NPM	New Public Management
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
PHILDHRRRA	Philippine Partnership for the Development of Human Resources in Rural Areas
PRA	Participatory Rural Appraisal

PRSP	Poverty Reduction Strategy Papers
RID	Rural Infrastructure Development
SDGs	Sustainable Development Goals
SGF	Saemaul Globalization Foundation
SGLG	Seal of Good Local Governance
SGP	Saemaul Globalization Project
SMU	Saemaul Undong
SRCD	Social Reform and Community Development
UN	United Nations
UNDEF	United Nations Democracy Fund



CHAPTER 1

THE PROBLEM AND RESEARCH FRAMEWORKS

1.1 Introduction and Statement of the Problem

One of the most challenging and problematic responsibilities not only for state governments and domestic institutions but also for international development agencies is the implementation and administration of development programs in rural areas. According to the International Fund for Agricultural Development (IFAD), there are approximately 250 ongoing programs and projects for rural and agricultural development around the world in 2018. The Asia-Pacific region has the most share of development initiatives consisting of 58 ongoing and 8 new programs and projects (IFAD, 2018). These development efforts, facilitated by IFAD, are implemented in partnership with 20 recipient governments in the region. However, a question remains as to whether these programs and projects are implemented collaboratively by the donors and recipients to alleviate poverty incidence and inequalities in rural communities.

Although the world is in a turning point where the urban population is higher than the rural, poverty is still rampant as the dominant face of rural societies (Kay, 2009). Accordingly, the World Bank stated that 44.73% of the world's population in 2018 lives in rural areas and the majority of global poor are rural community dwellers. In this age of uncertainty and insecurity, neoliberal development policies have failed to resolve the urgent call of reducing inequality and eradicating poverty. At the same time, current and traditional trends in international development assistance are yet to obtain advantageous and sustainable outcomes with long-term benefits.

The regime of traditional international development assistance traces back during the early years after the Second World War (WWII), decolonization period, and the foundation year of the United Nations (UN) in 1945. For the past 70 years, several efforts from the UN and other development institutions were

administered. Among these are the Expanded Programme of Technical Assistance (EPTA) in 1949, the UN development decades during the 1960s to 1990s, the Millennium Development Goals (MDGs) in the 2000s, and the current Sustainable Development Goals (SDGs) in 2015. Despite the success of the MDGs in 2015, the UN has admitted that the progress among countries was uneven and inequalities have worsened. In an attempt to address the issues inherited from the preceding development framework, the UN has strenuously dedicated itself to ‘leave no one behind’ in the enforcement of the SDGs until 2030.

One of the approaches to the attainment of the SDGs is through international development assistance in the form of foreign aid. In particular, Tomlinson (2018) stated that one unique and crucial public resource for the SDGs is the Official Development Assistance (ODA). As the primary organ for the facilitation of international development assistance, the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) defined ODA as the “gold standard” of foreign aid and the main source financing aid for developing countries. While ODA remains as a key instrument for improving the development landscape of poor countries, several studies question the ability of foreign aid, particularly the ODA, in promoting growth and progress. Gulrajani (2015) claimed that the global perception towards the international aid system is equated to a ‘failure’ in the elimination of poverty, and there has been an urgent call for donor organizational and distribution reform. Moreover, overwhelming concerns over the impact and value of traditional approaches in international development assistance have arisen over the years.

As a result of the decreasing efficiency and diversification of traditional foreign aid instruments, new actors and instruments have emerged in the scene. Yoshida & Jain (2003) believed that the landscape of foreign aid has rapidly shifted and evolved from a two-tiered system comprised of the central governments and international organizations to a multi-tiered system involving non-conventional development partners in the form of businesses and private enterprises, non-governmental organizations (NGOs), and the local governments. On one hand, the premise of local governments as aid delivery agents emerged when traditional

donors learned the comparative advantages of the former over non-governmental organizations (NGOs) and private enterprises. In line with this, Nganje (2015) argued that in comparison to NGOs, local authorities are characterized with in-house technical expertise in terms of local service delivery. As established institutions, local governments are involved in international development assistance by choice rather than necessity. This made local governments as a flexible choice or even an alternative for the delivery of aid. On the other hand, as globalization has increased, the power dynamics of sub-national actors have eminently emerged. Fenglian & Narot (2017) argued that there has been a disconnection between theory and reality whereas in principle, local governments are “mere creatures of the state” (Dillon, 2003), but in fact, local governments play more roles and functions other than those mandated to them. Additionally, Yoshida & Jain (2003) mentioned that the world has entered an era wherein the activities of the local governments are gaining significant contributions to the international development assistance regime.

Aid extended by local governments to international development assistance, formally known as “decentralized aid”, has increased from USD 800 million in 2002 to nearly USD 2 billion in 2015 according to the OECD-DAC. Although the ODA of local governments only accounts for 2% of the global bilateral aid, 18 out of 30 countries are engaged in ‘decentralized development cooperation’. According to OECD, the aid contributed by local governments consists of an extensive variety of activities consisted of small projects through cultural co-operation and exchange. Despite the limited amount of aid in numbers, the OECD affirmed that local governments can make significant contributions in international development assistance in terms of transferring know-how experiences and expertise in local administration to its counterpart (OECD, 2005). Subsequently, Perez (2018) pointed out that despite the growing importance of aid activities from local and regional authorities, analyses and debates on such phenomenon remain limited in the literature of development policy.

At the very core, this research aims to examine this non-traditional approach of international development assistance through the collaboration of local governments from different countries formally recognized as ‘decentralized

development cooperation’ but referred to this study as ‘trans-local government collaboration’. In particular, this study cites the case of the collaboration between the Provincial Government of Gyeongsangbukdo (hereinafter referred to as North Gyeongsang), South Korea, and the municipal government of San Felipe, Zambales, Philippines, in the implementation of the Saemaul Globalization Project (SGP) in Barangay¹ Balincaguing, Philippines.

In context, the SGP is a comprehensive rural development project which originated from the *Saemaul Undong* (SMU) or New Village Movement of South Korea. SMU is a community-driven program designed to advance the development of rural areas in the country. The program is considered to be the driving force of the country’s rural development initiated during the administration of President Park Chung Hee in the 1970s (Reed, 2010). In the 1990s, it has started to get attention from other developing countries with the desire of learning the experiences of South Korea who had a successful transition from a poverty-stricken community to an industrialized economy. In 2016, it became an ODA of South Korea to developing countries facilitating collaboration and participation among the donors and recipients consisted of the South Koreans who are expert in SMU and government officials from developing countries who wish to learn the practices of the said rural development project (Doucette & Müller, 2016).

The SGP as a global rural development project is facilitated by the provincial government of North Gyeongsang, South Korea, the Saemaul Globalization Foundation (SGF), and the Korea International Cooperation Agency (KOICA). The SGP is divided into three types of assistance: (1) creation of Saemaul pilot villages (2) Saemaul training programs, and (3) establishment and operation of Saemaul Undong Research Institutes in Korea or recipient countries (J. Heo & Lee, 2016). The Philippines is among the first recipient countries of SGP under the creation of Saemaul pilot village projects in Asia. The first SGP in the Philippines is situated in Brgy. Balincaguing, municipality of San Felipe, province of Zambales. The local

¹ *Barangay* (abbreviated as Brgy.) is the basic political unit and smallest administrative division in the Philippines; referred to this study as ‘village’

governments of North Gyeongsang and San Felipe have collaborated in the implementation of SGP in addressing the rural poverty and inequalities in Brgy. Balincaguig. The creation of Saemaul pilot village was successfully implemented from 2012 until 2016 in terms of provision of livelihood opportunities such as farming, pig breeding, and sewing, construction of infrastructure projects such as concrete roads, village hall, communal toilets, and improvised water system, capacity-building, and value formation of self-help, diligence, and cooperation. The SGP in Balincaguig is participated not only by the project facilitators like the local government institutions of North Gyeongsang and San Felipe, KOICA, and SGF volunteers, but also by Balincaguig residents with the motivation of the improvement of the village in terms of learning new skills, technology transfer, increase in income, and the good intention of the project.

Hence, this study hypothesizes that the successful implementation and administration of the SGP in Balincaguig is a result of the effective trans-local collaboration between the provincial government of North Gyeongsang, South Korea, and the municipal government of San Felipe, Zambales, the Philippines. With the success of SGP, this study suggests that an effective trans-local government collaboration may be a supplemental approach for international development assistance and a determining factor in the successful implementation of development programs in rural areas. In an attempt to measure the effectiveness of the collaboration and determine its influence in the success of the project, this study utilizes the 'Theoretical Model of Collaborative Governance' by Chris Ansell & Alison Gash (2008) which employs five indicators of collaborative process: (1) face-to-face dialogue, (2) trust-building, (3) commitment to process, (4) shared understanding, and (5) intermediate outcomes.

1.2 Research Questions

1.2.1 Main Question

In what way does the collaboration between the key actors and institutions influence the successful implementation and administration of SGP in Brgy. Balincaguig?

1.2.2 Sub-Questions

a. What are the factors that enable the effective collaboration of the key actors and institutions?

b. Why did the provincial government of North Gyeongsang collaborate with the municipal government of San Felipe concerning the implementation of SGP?

c. What are the roles, responsibilities, and commitment of the project participants in terms of planning, negotiation, implementation, and evaluation of the project?

d. How did the project participants address the difficulties and challenges confronted in the collaboration for SGP?

e. What are the impacts of the SGP to the participants of the collaboration?

1.3 Research Objectives

At the very core, the objective of this study is to examine a non-traditional approach of international development assistance in the form of trans-local government collaboration. In particular, this study cites the case of the collaboration between the provincial government of North Gyeongsang, South Korea, and the municipal government of San Felipe, Zambales, Philippines in the implementation of the SGP in Brgy. Balincaguig, Philippines. In consideration of the successful implementation and administration of SGP in Balincaguig and the effective collaboration between the key actors and institutions involved in the project, this study aims to provide potential foundations for further research

regarding the implications of trans-local government collaboration as a supplemental approach for international development assistance. Additionally, this study intends to provide policy recommendations for the key actors and institutions in case of future collaborations concerning the implementation of SGP in the Philippines or other developing countries. Lastly, this study aspires to contribute to the literature of rural development, international development assistance, and the *Saemaul Undong*.

1.4 Thesis Statement

This study hypothesizes that the successful implementation and administration of the SGP in Brgy. Balincaguig is influenced by the effective trans-local collaboration between the provincial government of North Gyeongsang, South Korea, the municipal government of San Felipe, Zambales, The Philippines, and other institutions such as SGF and KOICA. With the success of SGP, this study suggests that an effective trans-local government collaboration may be a supplemental approach for international development assistance and a determining factor in the successful implementation of development programs in rural areas.

1.5 Scope and Limitations

The study is solely dedicated to the purpose of examining the trans-local government collaboration between North Gyeongsang and San Felipe in terms of the implementation of the Saemaul Globalization Project (SGP) in Brgy. Balincaguig, Philippines. In terms of the scope of the literature review, the study employs a thematic analysis of various topics such as governing rural development, international development assistance, and the *Saemaul Undong*. Both foreign and local contexts of the literature are utilized in the study. In terms of the fieldwork, this study is primarily situated in Brgy. Balincaguig. The fieldwork is consisted of semi-structured interviews and focus group discussions (FGD) with the key actors of the project.

The limitation and externality that were faced in this study pertain to the communication with some of the key-informant interviewees. The project was officially concluded in 2017 and the collaboration between the stakeholders has been partially discontinued. The Korean volunteers who collaborated with the Balincaguing citizens are either settled back in South Korea or situated in other pilot villages in the Philippines or Southeast Asian countries. Thus, an FGD participated by all the interviewees, including the Korean volunteers, was not conducted. Instead, an FGD with the village leaders and residents of the project has been administered with equal representation of men and women.

1.6 Theoretical Framework

To measure the effectiveness of trans-local government collaboration and determine its influence in the successful implementation of SGP, this study has utilized the 'Model of Collaborative Governance' by Chris Ansell and Alison Gash (2008). Figure 1.1 presents the theoretical model of the study.

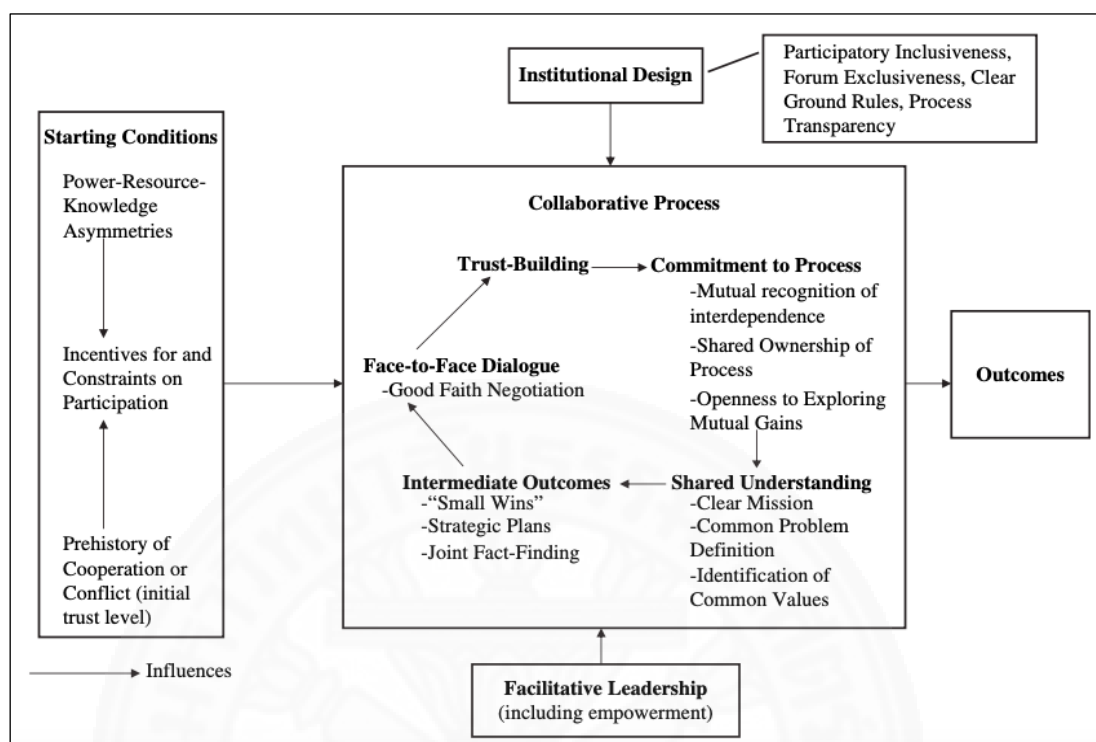


Figure 1.1 Theoretical Model of Collaborative Governance

Source: "Collaborative governance in theory and practice," by C. Ansell & A. Gash, 2008, *Journal of Public Administration Research and Theory*, retrieved from <https://doi.org/10.1093/jopart/mum032>

Collaborative governance is a mode of governance that brings multiple stakeholders together in common forums which facilitates two-way communication and consensus-oriented decision-making. The definition of Ansell & Gash (2008) requires six important criteria to categorize collaborative governance. Firstly, the forum must be initiated by public agencies or institutions. Secondly, non-state actors are valid participants of the forum. Thirdly, the participants must engage directly in the decision-making process, and the activities shall not be consultative in nature. Fourthly, the forum must be formally organized, and the participants must meet collectively. Fifthly, the decisions of the participants shall be made in consensus. Lastly, the focus of the collaboration is on public policy or public management (Ansell & Gash, 2008).

Based on the theoretical model developed by Ansell & Gash (2008), collaborative governance has four broad variables – starting conditions, institutional design, facilitative leadership, and collaborative process. Ansell & Gash (2008) added that the collaborative process is the core of the model while the rest of the variables are treated as critical contributions for the collaboration to pursue. In this study, the variables in the collaborative process served as indicators of effective collaboration between the project participants.

The starting conditions pertain to the preliminary causes and antecedents that may either initiate or discourage the collaborative process to happen. Ansell & Gash (2008) have narrowed down the starting conditions into three variables: (1) imbalances between the resources or power of different stakeholders, (2) the incentives for the stakeholders to collaborate, and (3) history of conflict or cooperation among the stakeholders. These variables are critical at the starting point of the collaboration and are expected to determine whether the process will promote or restrain cooperation between the stakeholders.

Facilitative leadership pertains to the process of bringing the stakeholders together and getting them engaged in a collaborative spirit. Ansell & Gash (2008) provided three components of ‘effective’ collaborative leadership: (1) adequate management of the collaborative process, (2) maintaining technical credibility, and (3) empowerment. Facilitative leaders are expected to encourage the participants to listen to each other and voice out their concerns about the collaboration. Ansell & Gash (2008) noted that the possibility of an effective collaborative process depends on the extent and influence of facilitative leadership.

The institutional design refers to the basic rules and protocols for collaboration which are significant to the procedural legitimacy of the process. Ansell & Gash (2008) stated that the stakeholders in the collaborative process are expected to perform their roles and responsibilities based on legal and formal institutional design. The rules and protocols formulated by the stakeholders must be inclusive to all participants and consensus-oriented. Moreover, Ansell & Gash (2008) noted that an effective institutional design must incorporate the use of deadlines since collaborative meetings can be endless.

The collaborative process is considered as the core of the Theoretical Model of Collaborative Governance. Ansell & Gash (2008) identified the key variables of the collaborative process: (1) face-to-face dialogue, (2) trust-building, (3) commitment to the process, (4) shared understanding, and (5) intermediate outcomes.

First of all, face-to-face dialogue refers to the “thick communication” between the stakeholders. Effective collaboration is possible if there is a direct dialogue between the participants. This will allow the stakeholders to personally identify the opportunities and barriers in the collaboration. Ansell & Gash (2008) believed that it is difficult to imagine an effective collaboration with the absence of face-to-face dialogue.

Second, absence or lack of trust among the participants is a common starting point for collaborative governance. Existing literature has mentioned that a collaborative process must not only be about negotiation or consultation but also about building trust among the participants. Ansell & Gash (2008) stated that an effective collaborative process is facilitated by leaders who recognize the necessity of trust-building.

Third, the literature says that the level of commitment to collaboration is a critical factor to determine success or failure. Ansell & Gash (2008) stated that effective collaboration requires committed participants who are willing to abide by the rules and protocols of the process.

Fourth, shared understanding refers to the ‘common mission’, ‘common ground’, ‘common purpose’, and ‘common objectives’ of the stakeholders. Ansell & Gash (2008) believed that effective collaboration is a ‘learning process’ for the participants.

The last critical variable of the collaborative process is the intermediate outcomes. Ansell & Gash (2008) mentioned that collaboration is more likely to continue when the advantages of the process are identified. These advantages are the “small wins” and fundamental outputs in collaborating. These small wins may dictate whether the collaborative process will proceed and develop to a virtuous

cycle of trust-building, commitment, and shared understanding among the participants.

1.7 Methodological Framework

1.7.1 Research Design

This research has utilized exploratory qualitative case study approach. This study opted for a qualitative research design since studying the implications of the collaboration between the key actors and institutions can be best understood using a method that produces bias-free, open-ended, and clear interpretative outcomes.

Moreover, an in-depth case study of the implementation of North Gyeongsang, South Korea's Saemaul Globalization Project in Brgy. Balincaguig, San Felipe, Zambales, Philippines has been employed in examining trans-local local government collaboration. The author prefers to make use of case study approach to analyze a variety of data and multi-faceted evidence from real-life situations and firsthand observations particularly in Balincaguig, the recipient of the said development project. Most importantly, a case study approach is expected to stimulate and develop new research in support of the limited amount of literature available regarding the topic of this study.

1.7.2 Sample and Setting of the Study

The target population of this study is determined through non-probability sampling. This research utilized a non-probability type of sampling since the participants of this study are individuals selected purposely based on their role and influence in the collaboration. Specifically, this study used purposive sampling which selects the participants based on a judgment that is of particular interest to the author and the subject of the study.

The key-informant participants of this study are the key actors and institutions involved in the collaboration, as follows: (1) a representative from the local government of North Gyeongsang; (2) project manager from the Saemaul Globalization Foundation; (3) one representative from Korea International

Cooperation Agency (KOICA); (4) a Korean volunteer (5) the Municipal Mayor of San Felipe, Zambales; (6) Brgy. Balincaguing leaders (captains); and (7) Balincaguing residents. The criteria for the selection of the participants are based on their direct involvement, roles, and responsibilities in the collaboration for the project. For the citizens, a focus group discussion (FGD) has been conducted. (See Appendix A for complete list and details of the key-informant interviewees.)

The setting or the locale of the study is primarily based at Brgy. Balincaguing, the first pilot village of *Saemaul* Globalization Project in the Philippines. Brgy. Balincaguing is situated in the municipality of San Felipe in Zambales province. The main occupation of the village is farming, and rice is the major agricultural product of the area. According to the municipal office of San Felipe, Balincaguing is one of the poorest villages in the municipality in which 76% of the total number of households are living below the poverty threshold with an annual income lower than 109,680 PHP (approx. 2,129 USD) in 2014.

1.7.3 Data Collection Instruments

The data for the study were collected from the literature review, fieldwork, interviews, focus group discussion (FGD), and supporting documents. In terms of the scope of the literature review, the study consulted on three themes: (1) governing rural development, (2) international development assistance, and (3) *Saemaul Undong*. The literature review was conducted from January to June 2019. In terms of the fieldwork, the study is based in Brgy. Balincaguing in San Felipe, Zambales. The fieldwork lasted for two days of observation (August 16-17, 2019) in the locale, and interaction with the villagers in Brgy. Balincaguing. For the interview, the questions are semi-structured and open-ended which allowed free discussion with the interviewees. The interviews were recorded with the permission of the interviewees. Meanwhile, the FGD was conducted with the citizens based on their involvement in the project, occupation, and availability during the fieldwork. (See Appendix B for a complete list of the interview questions) Lastly, documents and archives from the stakeholders especially with the local governments and other stakeholders were consulted.

1.7.4 Data Presentation and Analysis Plan

For the data presentation and analysis, this study has applied comparative qualitative analysis, content analysis, and document analysis. For the data presentation, the responses of the interviewees are summarized and presented in table form since there are similar questions asked to the interviewees and require comparison based on the responses. This type of analysis describes the similar and dissimilar factors and conditions which highlight their input and commitment to their collaboration towards the project. Moreover, content analysis is used to interpret the conducted interviews. Content analysis allows the author to examine the perception of stakeholders which later revealed their relations and commitment to the project. Meanwhile, document analysis is used to analyze the supporting documents provided by the key actors which are vital to the expected outcomes of the study. Overall, the data analysis is expected to generate conclusions for the study.

1.8 Structure of the Thesis

The first chapter introduces the background of the study, statement of the problem, research questions, objectives, hypothesis, scope and limitations, theoretical framework, and methodology.

The succeeding chapters discuss the body and conclusion of the study. The second chapter provides a review of related literature and studies in thematic analysis. The themes consist of (1) governing rural development, (2) international development assistance, and (3) Saemaul Undong.

The third chapter covers the background of the case study, the Saemaul Globalization Project. Moreover, the local government systems and international development cooperation of South Korea and The Philippines are highlighted in this chapter.

The fourth chapter discusses the results of the data collection and research fieldwork. This chapter examines the collaboration between the local government of North Gyeongsang and San Felipe through the application of the Theoretical Model of Collaborative Governance by Ansell and Gash (2008).

The fifth chapter offers the analyses and findings presented in the preceding chapter. In this section, the analyses and findings are presented based on the research questions posed in this study.

Finally, the sixth chapter refers to the conclusion, recommendations, and implications of the study.



CHAPTER 2

REVIEW OF RELATED LITERATURE AND STUDIES

2.1 Introduction

Much research on the impacts of development programs and international assistance in rural areas has been published. However, most of the previous studies do not take into account the processes involved in the implementation of such programs or the manner and strategy of its administration. Thus, this study aims to fill these gaps through thematic literature review with three major themes: (1) governing rural development; (2) international development assistance; and (3) *Saemaul Undong* (SMU). The first theme discusses related studies concerning the administration and implementation of conventional rural development programs. The theme consults on case study research about the rural development mechanisms and strategies around the world. Meanwhile, the second theme explores the trends in international development assistance highlighting its traditional approaches. Also, related studies about trans-local government collaboration are discussed in this section. Then, theories about collaboration are also elaborated in this section. Lastly, the third theme focuses on related studies about the globalization of *Saemaul Undong* (SMU), the origin of the Saemaul Globalization Project (SGP).

2.2 Governing Rural Development

2.2.1 History and Contextual Background

In understanding the concept of rural development, there is a need to define what “rural” means and what “development” entails. Evans, Lasen, & Tsey (2015) argued that the initial challenge in studying the enterprise of rural development is the ambiguous and complex definition of what ‘rural’ or ‘rurality’ conveys. For instance, Van Der Ploeg (1997) demonstrated that in recent times, the

term is increasingly associated with a question mark, 'rurality?'. He added that in public debate, "rurality" is correlated to terms such as "transiency", "remoteness", and "far removed from modernity" (Van Der Ploeg, 1997). Aside from a general definition, Cromartie & Bucholtz (2008) indicated that the term "rural" depicts varieties of physical attribution such as farms, ranches, small towns, villages, and even open spaces; yet when compared to 'urban places', researchers and policymakers find difficulty in distinguishing the two. Meanwhile, Ward & Brown (2009) provided an in-depth interpretation of rural areas in regional development as "passive recipients" of urban-driven growth instead of being "active contributors" to the relevant progress of the region. The use of such definitions justifies the premise that the term 'rural' conveys multidimensional concepts and its essence continuously changes over time. As a result, rural studies have covered a wide range of subject matter, be it health, education, gender, and development.

In terms of the meaning of 'development' in rural development, Van Assche & Hornidge (2015) argued that the development of rural areas is always a "redevelopment". In aiming for development, one cannot disregard or erase the past situation of rural communities as it is vital to the stability, quality of life, and identity of the rural populace. Aside from dwelling with the past, Van Assche & Hornidge (2015) also indicated that the analysis of the present or current state of rural areas is the next step in understanding what development conveys in the enterprise of rural development.

Rural development is only among one of the many approaches to the whole enterprise of development. Van Assche & Hornidge (2015) stated that the approaches in rural development vary in terms of scope and functions. It is argued that rural development is not restricted to the developing world as it is a pertinent issue in North America and Europe (Van Assche & Hornidge, 2015). Moreover, rural development does not only cover matters on agriculture but also certain issues about community development, sustainable livelihood, poverty reduction, and governance. Evans et al. (2015) stated that the approaches in reviewing the literature review on rural development are concentrated in varying degrees of discussion about education, gender, health, and economic development. However, it is stated that

these approaches were not able to produce overall analyses of the trends, characteristics, and quality output which are useful to comprehend a wider perception of the field (Evans et al., 2015). Meanwhile, Ellis & Biggs (2001) provided an overview of the major themes of rural development thinking over the last sixty years. The study stated that the context of rural development encompasses deeper and multi-sectoral themes that are evolving such as small farm-growth, modernization, state intervention, market liberalization, participation and empowerment, sustainable livelihood, and eradication of poverty.

The themes and ideas in the context of rural development started to emerge in the mid-twentieth century. Ellis & Biggs (2001) argued that the themes of rural development have evolved for the past decades beginning with its emphasis on small-farm growth in the 1950s. Later on, it evolved as an integration of state-led rural development in the 1970s and moved to market liberalization in the 1980s. Sustainable livelihood and empowerment approaches were undertaken in the 1990s. Finally, rural development as a strategy for reducing poverty became a mainstream plan of action in the 2000s (Ellis & Biggs, 2001).

2.2.2 Conventional Strategies

The difficulties and obstacles in understanding rural development by different scholars and practitioners vary in terms of approaches and strategies. There are several approaches in terms of governing rural development. Among these are the state-mobilized approach, local participation, community development, network governance, and sectoral approach. All of these conventional strategies in rural development are conducted either in top-down or bottom-up methods. Most of the top-down strategies are mobilized and controlled by the state while the bottom-up methods are spearheaded through local participation and community development.

According to JICA (1996), endogenous development and participatory development are among the conventional approaches for rural development. The former aims to emphasize comprehensive local development of living standards with the goal of environmental conservation and sustainable social development (JICA, 1996). Meanwhile, the latter states that the promotion of human

development recognizes the fact that the local people themselves must be the main implementors of development projects. However, it is argued that the effectiveness of the rural development approaches today has been questionable and needs to be improved in terms of maximizing the use of human and material resources in rural areas.

Hodge & Midmore (2008) stated that among the predominant models of rural development are the sectoral approach, multi-sectoral approach, territorial approach, and local approach. The first approach represents the major sector in the rural economy which is the agricultural sector and the means of meeting a variety of objectives in terms of food security, rural development, and the like. The second approach to rural development is the multi-sectoral approach which does not only involve the agricultural sector but also the alternative means of development through recreation, tourism, and other non-agricultural economic activities. Thirdly, the territorial approach pertains to rural development policy which looks at more actual and potential roles for other sectors in rural areas. This includes the establishment of a new modern economic activity such as information technology, and other new types of employment. Lastly, the local approach refers to the social capital of the rural areas which plays an important role in dealing with the complexity of policy implementation of development projects and promotes networking among participants and coordination of activities. (Hodge & Midmore, 2008)

Oni (2015) stated that the most common approaches or strategies in rural development are as follows: growth pole center model, “big rush” policy, selective approach, protectionist approach, top-down approach, decentralized territorial approach, “laissez-faire” policy, key settlement strategy, adaptive approach, and bottom-up approach.

The growth pole center model involves a ‘domino effect’ in which the development is focused only in strategic sectors and assumes that the growth among the selected towns, communities, and industries will activate the progress of the others (Darwent, 1969). Meanwhile, the key settlement strategy is a model related to the growth pole center model except that the focus is in terms of

settlement. This approach suggests that there should be a focal point in a given rural area in which all the resources are concentrated or settled, and other regions are expected to be connected in the development process through networks of roads and communications (Oni, 2015).

The “big rush” policy is almost similar to the growth pole center except that it is more concentrated, and the focus is on the growth of a selected few. Thus, the allocation of the resources is provided to the selected sectors with the assumption that the effects will later multiply to others and improve the whole economy. Meanwhile, the selective approach in rural development involves the selection of certain sectors for development regardless of their relations or interconnectedness based on economic, political, social, and religious grounds (Oni, 2015).

The top-down or top-bottom approach in rural development is a strategy wherein the government institutions pass down certain policies or programs to the rural population. Meanwhile, the bottom-up approach implies development that starts with the people which in turn promotes self-reliance and self-consciousness among the rural population (Oni, 2015). On one hand, the protectionist approach in rural development is a special case of the top-down approach wherein the government carries out development efforts on behalf of the rural communities, but the rural populace is unable to participate in the management of their development process. On the other hand, the decentralized territorial approach is an example of a bottom-up approach wherein the benefits to the rural populace are dispersed through services and market sectors.

The “laissez-faire” policy in rural development involves the use of a free-market mechanism to manage the economy by the authorities with the aspiration that the “invisible hand” would guarantee the economic success of the whole society (Oni, 2015). Meanwhile, the adaptive approach is a combination of the laissez-faire policy and other approaches which gives people the convenience to make decisions for their own lives, but at some point, the guidance of the government and other authorities is necessary (Oni, 2015).

In consideration of the abovementioned development strategies in rural areas, several studies have accounted for the inefficiency of traditional approaches. Hence, this study aims to examine a non-conventional form of rural development assistance through the collaborative governance of different key actors and institutions.

2.2.3 Collaborative Governance in Rural Development

A study about the possibility of a collaborative governance model as a mechanism for rural and regional development has been conducted by Robert Gibson in 2014. He has identified the lack of responses from the central government in Ireland, Newfoundland, and Labrador to prioritize regional and rural development (Gibson, 2014). At the same time, Gibson (2014) has recommended the application of New Public Management (NPM) and collaborative governance theories as methods to replace the conventional set-up of governance and suggested that the central government should seek partnership with other stakeholders both private and public in terms of delivering public services in a decentralized manner.

A relevant study was published by Parhad Keyim in 2016 which examined the role of collaborative governance in rural community development in terms of tourism sectors in China and Finland. It is believed that a specific model of rural community development called Community Tourism Collaborative Governance (CTCG) contributes to the village community in Lieska, Finland whereas different stakeholders, both public and private, collaborate in its tourism advancement (Keyim, 2018). However, the benefits that the community has received were limited due to their role in the decision-making and implementation process. Meanwhile, the applicability of the CTCG model in China is heavily challenged by the socio-economic and institutional structure of the country whereas the implementation of the programs is hierarchical top-down, the private sectors have constrained involvement in the collaboration, and the citizens are merely recipient of the program with no participation at all (Keyim, 2018).

2.3 International Development Assistance

2.3.1 Trends and Strategies

The regime of today's international development assistance dates back from the early years after the Second World War (WWII) and the foundation of the United Nations (UN) in 1945. Stokke (2019) stated that the conception of international development assistance was aligned in the decolonization efforts of the UN during the post-WWII years. Along the process, several efforts from the UN were conceived such as the Expanded Programme of Technical Assistance (EPTA) and UN development decades (DDI) of the 1960-1990s. In the 2000s, the Millennium Development Goals (MDGs) were adopted by 147 presidents, prime ministers, and monarchs, committing to a series of international development approaches to be reached by 2015. Hailed as the "most successful anti-poverty movement in history", the UN, as per Secretary-General Ban Ki-moon, admitted that despite the remarkable gains of MDGs, progress among the countries was uneven, and inequalities have persisted (World Vision, 2015). Subsequently, the 2030 Agenda was put into action through the framework of the 17 Sustainable Development Goals grouped into 5 clusters: people, planet, prosperity, peace, and partnership, otherwise known as 5Ps. However, Bowen et al. (2017) stated that the realization of SDGs is a grand challenge for sectors like the government, civil society, and sustainability science in terms of collective action, trade-offs, and accountability.

Mychajlyszyn & Shaw (2005) stated that international development assistance continues to be controversial in the twenty-first century. There is a considerable amount of literature that critiques the impact, efficiency, strengths, and weaknesses of development assistance to recipient countries. Thérien & Lloyd (2000) stated that development assistance seems to have been deprioritized by policymakers in the developed countries in which the generosity of donors has receded. Meanwhile, Tomlinson (2018) stated that years after the implementation of the "ambitious" set of 17 SDGs, the development landscape in the world is rapidly shifting from the conventional poverty reduction strategies to mechanisms such as climate financing and private sector mobilization among others. Moreover, Kharas &

Rogerson (2017) argue that there is no enough indication that SDGs are transforming the development industry and if it has generated direct impacts after its implementation in 2015.

International development assistance is mobilized through foreign aid. Aid is defined conventionally as ‘financial flows, technical assistance, and commodities designed to promote economic development and welfare provided as either grants or subsidized loans’ from the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC, n.d.). Moreover, financial aid can be either concessional or non-concessional wherein the former refers to grants or subsidized loans while the latter refers to loans near market terms. Additionally, there is also project aid, program aid, food aid, and humanitarian and technical assistance, etc. (Sumner & Mallett, 2013). The most widely recognized form of aid is the Official Development Assistance (ODA). ODA is defined by OECD-DAC as a government aid that caters to the economic development and welfare of developing countries. It is adopted by the DAC as the “gold standard” of foreign aid and the main source of development aid finance (OECD-DAC, n.d.).

Several studies have been carried out concerning the impact and efficiency of traditional foreign aid, ODA for instance, and doubted its ability to foster development and economic growth. Arndt, Jones, & Tarp (2010) recognized that foreign aid remains a key tool for augmenting development initiatives particularly at the microeconomic level, but not at the macro perspective. While aid seems to be efficient when applied to micro-level, large-scale impact is unrecognizable. Gulrajani (2015) argued that the world remains to discern international development assistance through the foreign aid system as a ‘failure’ in the elimination of poverty which led to organizational reform among aid donors.

Sumner & Mallett (2013) claimed that there has been a revolution in the landscape of foreign aid wherein goals, players, and instruments are evolving and rapidly shifting to non-conventional approaches. As aid faces many challenges, there has been a widespread call for foreign aid agencies and government donors to redevelop its mechanism. Sato, Shiga, Kobayashi, & Kondoh (2011) stated that traditional aid donors are no longer dominant in terms of aid volume. As a

consequence, “emerging donors” have started to become more influential. Additionally, Lawson (2011) mentioned the need for an improvement in the coordination among donor governments and multilateral aid organizations so that global development assistance becomes more efficient and effective.

A chronology of the evolution of aid instruments was provided by Sumner & Mallett (2013) and grouped it into three typologies: traditional, new, and innovative. The traditional instruments refer to the aid mechanisms from the 1950s – 1990s such as project and program aid and technical assistance projects. The new instruments are from the 1990s to present which include sector-wide approach arrangement, sector investment program, structural adjustment programs, Poverty Reduction Strategy Papers (PRSP), civil society and capacity building, social protection, and cash transfer programs. Lastly, innovative aid mechanisms consist of Innovative Financing Mechanisms (IFMs), global public goods, regional public goods, and policy coherence.

The increase in innovation for foreign aid distribution also means the involvement of new players in the field of international development assistance. The emergence of non-conventional actors such as private foundations and businesses provides an array of different sources of aid channels. Among these emerging actors are the local, subnational, or state governments (herein referred after as local government). Yoshida & Jain (2003) affirmed that the two-tier system of central governments and international organizations, as far as development assistance is concerned, has shifted towards a multi-tiered system involving non-conventional actors. Yoshida & Jain (2003) added that we are entering an era wherein the actions and initiatives of the local governments become significant in the field of international relations and development.

According to the Commission of the European Communities (2008), local authorities are an emerging dimension for development policy and actors for development. In fact, the role of local governments in foreign relations has been formally recognized in the Rio de Janeiro (1992) and Istanbul (1996) UN conferences on Environment and Development and Human settlements, the 2000 Millennium Summit, and the 2002 Johannesburg World Summit on Sustainable Development. In

some EU Member States, local authorities allocate financial assistance to ODA. For instance, the Catalan Agency for Development Assistance based in Catalonia, Spain, has been responsible for the development cooperation efforts of the local government to 11 priority countries with particular emphasis on the sector of health, environment, drinking water, doos sovereignty, education, peacebuilding human rights, gender, and governance.

2.3.2 Trans-Local Government Collaboration

Trans-local Government Collaboration is a non-traditional approach for international development assistance. Although cross-border partnerships in regions with adjacent territories have been a common practice in terms of building diplomatic and economic relations, collaboration among local governments from different countries has emerged as a new trend for development assistance fostering and yielding favorable outcomes both for donors and recipients. The trend started with a theoretical discussion about the role of local governments in international relations. However, studies on such possibilities are still lacking and under research.

Coined in the 1980s, decentralized cooperation (DC) is defined by the World Bank as a formal partnership between local authorities from different countries consist of series of exchanges and collaborations promoting social and economic development among the actors (Schep, 2010). Derived from the evolution of the ODA regime, DC has emerged when the traditional donors of aid have emphasized on institutionalization as a key challenge to the inefficiency of ODA instruments. Looking for alternatives, Hafteck (2003) reported that traditional donors have turned to local governments as project managers of local development since they possess in-house expertise and consist of benefactors who are experts in decision making and delivery of local services. Additionally, Hafteck (2003) highlighted that since local governments are established institutions, they can engage in activities fostering development cooperation by choice and not by necessity.

Nganje (2015) has recognized the rising prominence of non-state and sub-state actors in global affairs captured through the perspective of 'complex of interdependence' by Keohane and Nye (1997) in which contemporary international affairs is characterized by a combination of traditional relations of states

and a network of trans-governmental exchanges involving diverse cast of actors. As a non-conventional aid delivery mechanism, decentralized cooperation (DCs) has evolved into a multifaceted mode of development cooperation. Although most of the prominent DCs are channels for financial and material donations, Nganje (2015) affirmed that there are trans-local government collaborations that promote peer-to-peer learning, exchange of know-how expertise and experiences, provision of technical assistance, and capacity building and development.

European countries are known for incorporating cross-border relationships through cross-border regions, often called as Euroregions, or “Euregio”. Such cross-border initiative is one organization form of cross-border governance, which is common for the European Union (EU) member states (Pikner, 2008). The first Euregio was founded in 1958 between the Netherlands and Germany. However, such cross-border efforts do not always guarantee the involvement of local institutions particularly the citizens in the development process of participating countries in the Euregio.

Fenglian & Narot (2017) argued that local government actors have become actively engaged and interactive in foreign relations. It has been indicated that the locally initiated “friendship city partnership” is one of the common practices for local government units around the world (Fenglian & Narot, 2017). In the study, Khon Kaen City in Thailand and Nanning City in China have formally signed a friendly partnership since 2002 to promote cultural exchanges between the two cities and improve each other influence (Fenglian & Narot, 2017). The results of the study suggest that through the partnership, the bilateral relations of Khon Kaen City and Nanning City have developed rapidly through the cultural, educational, and youth exchanges conducted between the two cities. However, existing problems and obstacles have been identified between the partnership of the two cities such as “insufficient substance and non-smooth communication, narrow restriction of the communication field, and insufficient non-government exchange” (Fenglian & Narot, 2017).

A study published by Nakamura, Elder, & Mori (2011) also stated that local governments have been actively involved in international cooperation

even if it is not usually considered as the mandated functions of local governments. The study shows that some local governments in Japan both from the prefecture and city levels have been collaborating with local governments in developing countries in Asia to improve environmental management (Nakamura et al., 2011). This case study of international environmental management collaborated through trans-local government collaboration is seen as a potential motivation for industrialized countries to contribute to the international environmental development of developing countries (Nakamura et al., 2011). The study concluded that the motivation behind the international environmental cooperation by Japanese local governments can be interpreted as an environmental-related initiative and international orientation to contribute to the overall development of developing countries. The study offers further implications on the possibility of other countries to conduct international environmental cooperation such as the People's Republic of China and the Republic of Korea who are both active in promoting sustainable development practices in Asia.

2.3.3 Governance Theories of Collaboration

Aldrich (1976) claims that organizations relate or collaborate with their environments to obtain resources for survival. The theory of resource dependency argues that organizations engage in inter-organizational relations to achieve specific aims and assets. In understanding the relationship between resource dependency and inter-organizational collaboration, existing literature mentioned that the motivation to partner with other non-profit organizations reflects the need for resources for survival.

Fischer (2016) explains participatory governance as a subset of governance theory that is aimed at democratic engagement through deliberative practices. It is seen that participatory governance is more than just democratic participation but it also involves the development of communication skills and citizen competence and empowerment.

Rhodes (2007) defines network governance as a combination of two separate terms of policy networks and governance. The former refers to the sets of formal and informal institutional linkages among governmental and other actors

characterized by shared interests in public policymaking and implementation. Meanwhile, the latter speaks about the interdependence between organizations including non-state actors and the continuing interactions between network members.

Ansell & Gash (2008) states that collaborative governance is a mode of governance that brings multiple stakeholders together in common forums which facilitates two-way communication and consensus-oriented decision-making. Based on the theoretical model developed by Ansell & Gash (2008), collaborative governance has four broad variables – starting conditions, institutional design, facilitative leadership, and collaborative process.

2.4 Saemaul Undong: South Korea's Rural Development Program

2.4.1 History and Contextual Background

The *Saemaul Undong* (New Village Movement) is a community-driven development program initiated during the 1970s in the Republic of Korea. The *Saemaul Undong* (SMU) is a successful model of rural community development and considered as the driving force in South Korea's rural development and growth (Asian Development Bank, 2012). According to Korea Saemaul Undong Center, the literal translation of the term *Saemaul* came from the combination of the word “*sae*” which means new or better, and the word “*maul*” which means community or neighbor. Meanwhile, the word *Undong* means movement. When combined, the word *Saemaul Undong* is translated to new community movement, officially translated as ‘New Village Movement’. The SMU has three stages of development. The first stage of the movement happened during the 1970s which made remarkable progress for the community development of the rural South Korea (Asian Development Bank, 2012).

Scholars of SMU stated that the success of the movement in the early stage can be attributed to several determining factors. Choe (2005) argued that key factors related to the achievements of SMU in rural South Korea are the support and guidance of the national government, people's participation during the

implementation process, community leadership of rural residents, and the spiritual reform of the residents with the emphasis on the values of diligence, self-reliance, and cooperation. Meanwhile, Park (2012) stated that the success of SMU can be attributed to the implementation of strategies like poverty reduction using the Korean context of 'promoting opportunities and facilitating empowerment' for the people in rural communities. A study published by the Asian Development Bank (2012) stated that the favorable outcomes of SMU are accredited to factors like the modernization of gender-biased society empowering women through male-female leadership and provision of microfinance institutions.

Governance is also a key to the progress of SMU. Choe (2005) stated that the movement was conducted through an integrated approach combining top-down and bottom-up approaches. The movement started with an official plan from the government and then the initiative was applied in rural villages through the help of the local government. Overall, the implementation of the movement was a combination of the efforts of the national government and local communities. At the same time, Lew (2012) argued that the implementation of SMU was successful through the hybridization between top-down and bottom-up strategies. The implementation scheme of the movement was bottom-up in terms of execution while top-down in terms of mobilization and coordination (Lew, 2012). The rural villagers provided the contents of the framework while the national government officially formulated the plan to be implemented.

The success of the SMU has contributed to the overall growth of the rural regions in South Korea. Among the achievements of the SMU projects at the beginning of the implementation phase are the expansion of village roads, construction of new agricultural roads, installation of small villages and village centers, building of warehouses, improvement of houses and sewage system, and provision of village-wide electricity supply (Choe, 2005). The income of the farming household has also increased significantly in the first ten years of the implementation of the project. At the end of the 1970s, the farming household income of rural South Korea increased six times from 255,800 won in 1970 to 1,531,300 won in 1979 (Choe, 2005). Strengthening the spiritual reform of rural South

Korea through self-help, diligence, and cooperation has successfully changed the mindset of residents. Baek, Kim, & Lee (2012) stated that the goal of SMU is to shift the people's view of the world rooted in extreme poverty to a more optimistic and independent attitude. In doing so, experiencing a significant improvement in the lives of rural residents is vital in changing their mindset. The implementation of SMU has provided ways for rural residents to strengthen their cooperation, trust, and mutuality among each other (Baek et al., 2012).

The second stage of the development of SMU has expanded in urban South Korea during the 1980s. The movement has extended its goals and ambitions nationwide and provided a new pace of development scheme not just for the rural areas but also in cities and urbanized regions. The installation of SMU belief in the corporations and institutions of urban South Korea has significantly affected the discipline of the residents (Asian Development Bank, 2012). Aside from corporations and institutions, the movement was also adopted in factories, schools, and the military. According to the Korea Saemaul Undong Center, the movement has helped the factories in terms of spiritual training and cooperation between labor and management. Meanwhile, school activities and research centers have adopted the mechanisms of SMU. Lastly, the military conducted *Saemaul* spirit training and later on supported the regional *Saemaul* projects.

2.4.2 Global Saemaul Undong

The third and current stage of the development of Saemaul Undong has not only expanded to urban South Korea but also around the world particularly in developing countries during the 1990s. Heo & Lee (2016) stated that there has been significant attention from developing countries dedicated to learning SMU related programs. The global spread of the movement has started to emerge during the 1990s and since then more than 50 countries from Asia, Africa, and Latin America have partnered with South Korea to adopt the development policies of SMU.

In September 2015, the SMU was officially proposed as a new mechanism for international development and cooperation during the United Nations General Assembly (Pramadha & Lee, 2018). Later on, the Korean government

formally released the Plan for Global Spread of Saemaul Undong on May 3, 2016 (J. Heo & Lee, 2016). However, in pursuing SMU as a formal mechanism of international development, there are five key challenges to encounter and these include the clarification of the concept of SMU as an ODA, establishment of strategies based on the situation of each country, improvement of procedures and methods, enhancement of implementation policies, and consolidation of partnerships between stakeholders (J. Heo & Lee, 2016).

Reed (2010) examined the lessons of the SMU program and offered varied implications for the development policies of developing countries. The results offered by Reed (2010) suggest that SMU should not be reproduced as a 'transplant-ready' model to other countries. The success factors of the movement in rural South Korea might be different from the situation of other developing countries. It is best for non-Koreans to study the program and partake in training programs and related education. The same study was conducted by Kwon (2010) and examine the Saemaul Undong whether it could suffice the lack of relationship between market and state-oriented development policies. The study revealed that it is necessary to analyze SMU from a structural perspective and take into consideration the socioeconomic conditions of countries who would want to pursue the development policy of South Korea (Reed, 2010). To transfer the experience of South Korea in its successful rural development, other countries must understand its own socio-economic situation.

2.4.3 Saemaul Globalization Project

The heightened interest of the international society and the growing requests of developing countries regarding the experience of South Korea in SMU resulted in the creation of different rural development projects patterned after the movement. As part of the globalization of the movement, several government institutions and agencies have participated in implementing rural development projects in other countries. The provincial government of North Gyeongsang is one of the participating institutions which conducted training programs inside and outside South Korea for the recipient countries. Since 2005, the provincial government implemented the Saemaul Globalization Project (SGP) which is aimed at the creation

of pilot villages, development of self-reliance in the community, local governance as the basis of effective and sustainable implementation, and localization of SMU through research institutes (J. Heo & Lee, 2016).

The SGP created by the provincial government of North Gyeongsang was supported by the Saemaul Globalization Foundation (SGF) established within the province. The SGF serves as the technical arm of the provincial government which is tasked to make plans, operate, and manage the project in coordination with the Gyeongsangbuk-do Agricultural Research and Extension Services, National Agricultural Cooperative Federation, Pohang Iron and Steel Company (POSCO), Daegu Bank, and the Saemaul Academy at Kyungwoon University (J. Heo & Lee, 2016). The SGF spearheads the application of the project in recipient countries by conducting training programs and dispatching volunteers in each pilot village. The creation of pilot villages formally started in 2010 situated in African countries such as Rwanda, Ethiopia, and Tanzania. Then, it expanded in Asia starting in 2012 in countries like the Philippines, Vietnam, and China. The operation of the project lasts for five years for each village. The first recipient of the Saemaul pilot village in Southeast Asia is the Balincaguing village situated in the municipality of San Felipe, Zambales province in the Philippines.

There are only limited studies about the application of the SGP from the provincial government of North Gyeongsang in recipient countries. Anwar (2017) has provided reflections of the SMU in the Special Region of Yogyakarta, Indonesia and stated that one of the key factors to the success of the project in the province is the good understanding of the local government of Yogyakarta in SMU. This implies that the local government of Yogyakarta has collaborated efficiently with the local government of North Gyeongsang. However, Anwar (2017) also identified some challenges of the movement in such as the sustainment of the commitment and leadership of the local government officials, improvement of community understanding about SMU values and principles, provision of a standardized criteria in selecting the location for the recipient of the projects, and the understanding of Koreans in the cultural and historical values of the recipient country.

A similar study conducted by Pramadha & Lee (2018) stated that the application Global Saemaul Undong Project in Ponjong village in the Special Region of Yogyakarta has a direct positive impact on the Village Fund Program of Indonesia and it has improved the participation of communities in the development stages. Despite the synchronization of the SGP with the Village Fund Program, it is argued that there is an indirect impact in terms of the participation aspect whereas the villagers participate more in Global Saemaul Undong rather than in Village Fund Program (Pramadha & Lee, 2018). This implies that participation has an influence on the success of the project but the question lies on what are the factors that drive the villagers to participate in the implementation of the project.

Many scholars focus their research on either the applicability and implication of the movement as an international development policy or the assessment of the impacts of Global Saemaul Undong projects in recipient countries. However, only a few research has emphasized on the factors contributing to the success of such projects, particularly in the implementation aspect. Thus, this study aims to fill in the gaps by examining the role and influence of trans-local government collaboration, in the successful implementation of rural development projects like the Saemaul Globalization Project.

CHAPTER 3

BACKGROUND OF THE STUDY

3.1 Introduction

In order to examine trans-local government collaboration as a supplemental approach for international development assistance and determine its influence in the implementation and administration of development programs in rural areas, this study cites the case of the Saemaul Globalization Project (SGP) in Brgy. Balincaguing. Thus, this chapter is intended to introduce the history and contextual background of the case study.

The first sub-chapter discusses the international development cooperation system of South Korea. The second section consults on the background of the local government systems in South Korea and the Philippines. This section discusses the mandate of local governments, particularly Gyeongsangbukdo and San Felipe, in terms of the development initiatives inside and outside their jurisdiction. Meanwhile, the third sub-chapter introduces the background of the rural development in the Philippines for the last 50 years including the initiatives, programs, and projects in rural areas in the country. The fourth section outlines the international development assistance in the Philippines particularly in the rural and agricultural development sector, and South Korea's development assistance. Finally, the fifth sub-chapter particularly explores the background of the SGP in general and in Brgy. Balincaguing including the impacts of the project to the beneficiaries and the key actors and institutions involved in the project.

3.2 International Development Cooperation System of South Korea

The history of Korea's international development cooperation is two-fold: as a recipient and as a donor. As a recipient country, South Korea has received Official Development Assistance (ODA) from foreign countries with a total amount of

12 billion USD consisted of economic and social development programs ranging from emergency relief to structural readjustment programs. According to the Korea Official Development Assistance, ODA was the only source of capital of the country after the Korean war. In 1995, South Korea became the first recipient-turned-donor country years after its redevelopment process. The country ended its dependence on the World Bank and was excluded from the DAC list of ODA recipients in 2000, then became the 24th member of the DAC in 2010. At present, South Korea is the 15th largest donor country with USD 2.4 billion spendings in 2018. Although South Korea is a small yet growing donor, the government plans to expand its ODA volume by 0.2% in the country's gross national income (GNI) by 2020. Promoting rural development has remained to be the main priority of South Korea in its development initiatives. The 'Framework Act on International Development Cooperation' recently amended in 2018, outlines six primary goals for development namely (1) poverty reduction, (2) human rights, (3) gender equality, (4) sustainable development and humanitarianism, (5) economic cooperation, and (6) peace and prosperity. The Framework Act is translated into concrete strategic priorities through the 'Strategic Plan for International Development Cooperation' which is a medium-term development policy of the South Korean government. In promoting inclusive and sustainable rural development in South Korea, the central government adopts the *Saemaul Undong* (SMU) as an official development initiative based on its success in the 1990s. The movement is not only applied within the country, but also serves as a foreign aid mechanism for developing countries jointly implemented by KOICA, Ministry of Public Administration, and other regional governments. Although the movement is an initiative from the impeached President Park Geun Hye, associated with her father President Park Chung Hee, the SMU approach has retained support from the current administration of President Moon Jae In and will likely remain as the key instrument for promoting the rural development in some regions in South Korea and developing countries.

The main actors of the overall policy and decision-making of South Korea's international development cooperation consist of the president of South Korea, the Ministry of Foreign Affairs (MOFA), and the Ministry of Economy and

Finance (MOEF). Meanwhile, the strategic guidelines pertaining to ODA-related policies are decided by the Committee for International Development Cooperation (CIDC). The prime minister chairs the CIDC, while the members are composed of 14 cabinet members, the president of KOICA, the chair of Export-Import Bank of Korea, and seven experts. Just like any institution, there are limitations and challenges in the implementation of ODA-related policies. This has led to the inefficiency of aid instruments and a call for donor organization reform. In its commitment to increase the ODA volume, the South Korean government has pledged to improve its ODA system and integrate strategies and complementary mechanisms for better facilitation of foreign aid. To meet this end, South Korea has recognized other partners for development cooperation such as the NGOs, private companies, academia, international organizations, and subnational or local governments.

3.3 Local Government in South Korea and the Philippines

3.3.1 Local Government System of South Korea

South Korea is a unitary state wherein the central government delegates governmental power to subnational governments with constitutional autonomy. Although the system of South Korea generally follows a centralization system, local governments are semi-autonomous and consist of its own legislative and executive systems. In terms of the administrative divisions of South Korea, the country is comprised of 17 first-tier administrative divisions which makes up six metropolitan cities, one special autonomous city, nine provinces, and one special autonomous province. These divisions are subdivided into smaller entities which include cities, counties, districts, towns, townships, neighborhoods, and villages.

The decentralization system in the country is said to be born out of the June 29, 1987 Declaration, officially titled as Special Declaration for Grand National Harmony Towards a Great Nation, by then-presidential candidate turned president Roh Tae-Woo (U. Heo & Roehrig, 2012). The Declaration is comprised of eight points and the emphasis on decentralization was to “strengthen local and education autonomy”. In 1988, it gained momentum through the enactment of the

Local Autonomy Act and the Local Finance Act. Three years after, the first local elections for local councilors were held, followed by local executives' elections in 1995. "The local autonomous system is very significant as a means of realizing the goal of grassroots democracy through local residents' participation" (Korean Culture and Information Service, n.d.).

The purpose of the Local Autonomy Act recently amended in 2007, is to "promote democracy and efficiency" and "ensure balanced development" among the local territorial subdivisions and the development of the country as a whole. Although the functions of local governments in South Korea are not clearly defined by law, the Article 9 "Scope of Affairs of Local Governments" of the Local Autonomy Act distinguishes the mandates delegated by the central government to those which are local by nature. The jurisdiction of local governments is under the control of the councils, otherwise known as local councils. According to Section 3, Article 39, of the Local Autonomy Act, matters concerning exchanges and cooperation with foreign local governments shall be under the authority of the local councils.

The Ministry of Interior and Safety (MOIS) is the central institution that is responsible for the general affairs of the State Council, the chief executive body and the national cabinet of South Korea. Among the mandated functions of the ministry pertains to "promulgation of Acts and subordinate statutes and treaties, government organization and prescribed number of public officials, awards and decorations, government innovation, administrative efficiency, e-government, personal information protection, management of government buildings and support for elections and referendums" (MOIS, n.d.). Furthermore, the MOIS spearheads the promotion of local autonomy and decentralization in the country by supporting business, finance, taxation of local governments, and mediating disputes among local governments. Under the MOIS, the Local Government Officials Development Institute (LOGODI) is a training institute that conducts training to South Korean local government officials for hosting international programs promoting capacity building to local governments in other countries. LOGODI's international programs aim to contribute to better local governance in the world. In fact, the programs are designed exclusively for foreign local government officials to share South Korea's

local administrative system and regional development experience. Most importantly, LOGODI and MOIS support the attainment and realization of sustainable development strategies in partner countries through on-site training and seminars.

The activities of South Korean local governments and other public institutions in international development cooperation account for about 10-20% of the annual grant aid budget within bilateral ODA (Korea ODA, n.d.). In 2010, the ODA share of provinces such as Gangwon-do, Gyeonggi-do, Gyeongsangbuk-do, Jeollanam-do, Chungcheongnam-do, and Chungcheongbuk-do accounted for 2.38 million USD or 0.20% of the total bilateral and multilateral aid of South Korea. Meanwhile, metropolitan cities such as Daegu, Busan, Seoul, Ulsan, and Incheon accounted for 0.91 million USD or 0.07% of the total ODA (Korea ODA, n.d.). Although the numbers are small compared to the contribution of central agencies and private institutions, the ODA net distribution amounts of South Korean provinces and cities are not only limited to financial aid and donations, but also technical assistance and capacity development.

In terms of local government international exchange, South Korea has been engaged in a trilateral exchange with China and Japan. According to the Council of Local Authorities for International Relations (CLAIR), the trilateral local government exchange aims to bring the three nations, historically and closely related, to strengthen exchange and cooperation at the local government level. Being held annually and on a rotational basis, the conference intends to provide a platform among Korean, Chinese, and Japanese local governments to proceed with cooperative networks and practical exchange projects concerning regional tourism, localization of global development goals, environmental protection, and the establishment of smart cities in rural areas. The first symposium was hosted by Seoul, South Korea in 1999. Meanwhile, the other South Korean local governments who hosted the conference were Gangwon-do (2005), Jeollanam-do (2008), Jeollabuk-do (2011), Gumi (2014), and Ulsan Metropolitan City (2017).

3.3.2 North Gyeongsang, South Korea

The Gyeongsangbuk-do Province (hereinafter, North Gyeongsang) is located in the southeastern region of the country bounded by the East Sea on the

east, Gangwondo and Chungcheongbuk-do on the north, Chungcheongbuk-do, and Jeollabuk-do on the west, and Gyeongsangnam-do and Ulsan on the south. The province is 19.1% of the total land area of South Korea with a size of 19,029 km² which makes it the largest region in Korea. Its administrative districts composed of 10 cities and 13 counties, and 337 *eup-myeon-dong*². In terms of population, North Gyeongsang is composed of 1,207,351 households. As of 2018, the population of the province is 2,733,800 with a population density of 143.65 people/ km². The province is approximately 300 km away from Seoul. Figure 3.1 shows the geographical location and administrative divisions of the province.

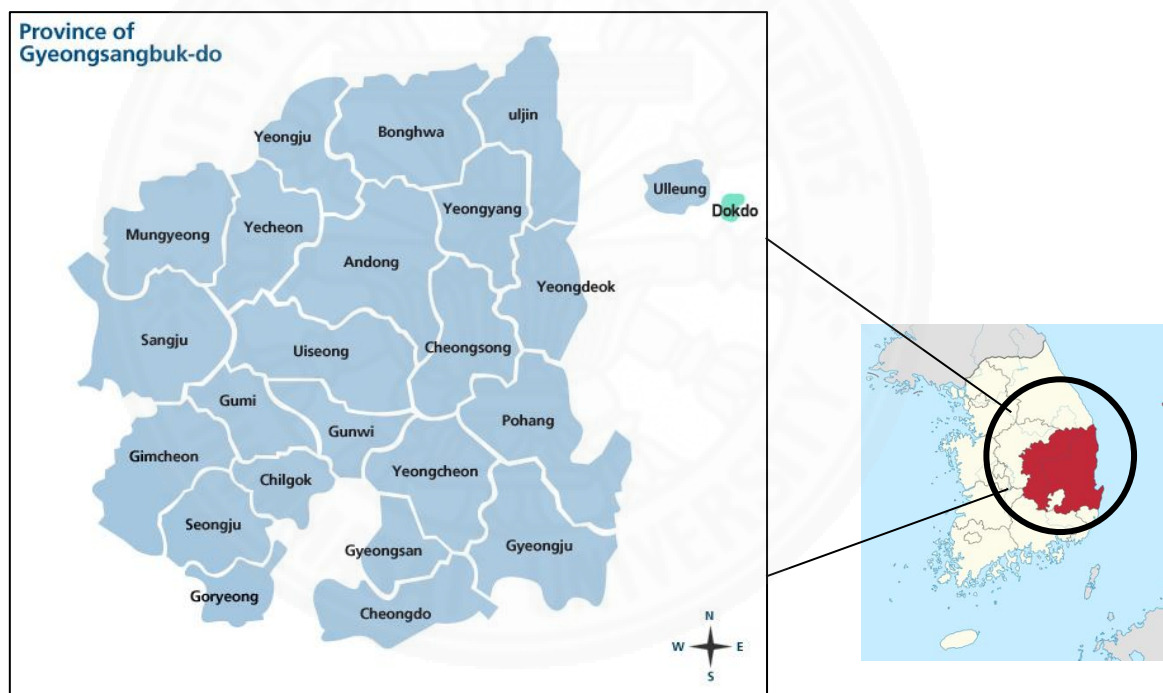


Figure 3.1 Map of North Gyeongsang Province

Source: Gyeongsangbukdo Province Website

In terms of international development cooperation, North Gyeongsang is one of the most active local government authorities in South Korea that provide ODA to developing countries. While the Provincial Government of North

² *eup* (town); *myeon* (township); *dong* (village)

Gyeongsang has not developed any particular institutional or legal system for ODA, the province has enacted the ‘Gyeongsangbukdo Province Ordinance for International Exchange Cooperation Promotion’ in 2016 which states that the province shall pursue its ODA activities to developing countries as part of its ‘international exchange cooperation’ initiatives. To facilitate foreign aid, the provincial government of North Gyeongsang has set up the ‘Gyeongsangbukdo Province International Cooperation Fund’ which is used for international development cooperation activities of the province.

The Provincial Government North Gyeongsang is one of the most active local authorities in the facilitation of SMU in developing countries. During the rapid development of rural areas in South Korea during the 1970s, North Gyeongsang is one of the main regions in the country which benefited from the movement. Moreover, former President Park Chung Hee used the case of North Gyeongsang as the model for the national implementation of SMU during the 1970s (Lim & Jung, 2019). On May 31, 2012, the Provincial Government of North Gyeongsang has enacted the ‘Ordinance for Operation of Saemaul Globalization Foundation’ to share the experiences of SMU to the international community contributing to the prosperity of humanity. The Saemaul Globalization Foundation (SGF) is established to promote the international cooperation activities of the province through the realization of the Saemaul Globalization Project (SGP) further discussed in the succeeding sections. Most of the ODA budget of North Gyeongsang province is dedicated to the internationalization of SMU through SGP. Table 3.1 shows the ODA activities of the province from 2013 to 2019 highlighting activities, recipient countries, and the budget.

Table 3.1

North Gyeongsang Province ODA Activities from 2012-2019

Year	Source (Provider Administration within the Province)	Activity	Recipient Country	Budget (KRW; million)
2012-2016	Gyeongsangbukdo	Global Saemaul Pilot Village	Philippines	924
2013	Gyeongsangbukdo	Training and In-Kinds Support	Multiple Countries	450
2013	Gyeongsangbukdo	Global Saemaul Pilot Village	Multiple Countries	150
2013-2016	Gyeongsangbukdo	Global Saemaul Pilot Village	Rwanda	450
2013-2016	Gyeongsangbukdo	Global Saemaul Pilot Village	Tanzania	1,534
2013-2017	Gyeongsangbukdo	Global Saemaul Pilot Village	Ethiopia	2,212
2013-2018	Gyeongsangbukdo	Global Saemaul Pilot Village	Senegal	1,204
2014-2016	Gyeongsangbukdo	Saemaul Model Village Leader Training in Korea	Multiple Countries	1,182
2014-2016	Gyeongsangbukdo	Saemaul Training in Korea	Multiple Countries	515
2014-2016	Gyeongsangbukdo	Saemaul Student Training in Korea	Multiple Countries	125
2014-2016	Gyeongsangbukdo	Saemaul Training with the Ministry of the Interior and Safety (MOIS).	Multiple Countries	171
2014-2019	Andong-Si	Global Saemaul Pilot Village	Uzbekistan	450
2014-2019	Cheongsong-Gun	Global Saemaul Pilot Village	Philippines	450
2014-2019	Yecheon-Gun	Global Saemaul Pilot Village	Vietnam	450
2014-2019	Yeongcheon-Si	Global Saemaul Pilot Village	Vietnam	450
2014-2019	Cheongdo-Gun	Global Saemaul Pilot Village	Sri Lanka	450
2014-2019	Gumi-Si	Global Saemaul Pilot Village	Sri Lanka	450
2014-2019	Pohang-Si	Global Saemaul Pilot Village	Indonesia	300

Source: Lim and Jung (2019). International Institute of Korean Studies

3.3.3 Local Government System of the Philippines

The Philippines has been under the system of centralization from the colonial Spanish until the regime of the late dictator, Ferdinand Marcos. It was in 1986, when the Philippines, during the administration of the late president Corazon Aquino, adopted the system of decentralization as the development framework of the national government and local government units (Legaspi, 2006). Due to the powers, authority, and autonomy devolved to the local government in the country, the local government units (hereinafter referred to as LGUs) were equipped to undertake wider and more comprehensive functions in local governance. Moreover, LGUs are expected to organize more activities that promote the economic development of the community and search for alternative mechanisms to respond to the growing needs and developing demands of the populace.

The LGUs are under the general supervision of the President of the Philippines. According to Article X of the 1987 Constitution of the Philippines, the LGUs are sub-divided into territorial and political subdivisions such as autonomous regions, provinces, cities, municipalities, *barangays*. All of these divisions shall enjoy local autonomy. In line with the 1987 Constitution, the House of Representatives of the Philippines, or the Congress, has enacted the Local Government Code (LGC) of 1991 which provided a more responsive and accountable local government structure through a system of decentralization. The Local Government Code of the Philippines was enacted by the Congress in 1991 in declaration that the territorial and political subdivisions in the LGUs shall enjoy “genuine and meaningful local autonomy to enable them to attain their fullest development as self-reliant communities and make them more effective partners in the attainment of national goals” (Section 2, Book I, Local Government Code of 1991).

According to the Section 16 of the Code which states the General Welfare of the LGUs, “within their respective territorial jurisdictions, LGUs shall ensure and support the development of appropriate and self-reliant scientific and technological capabilities, improve public morals, enhance economic prosperity and social justice, promote full employment among their residents, maintain peace and order, and preserve the comfort and convenience of their inhabitants”. Meanwhile,

the Section 23 of the Code, “Authority to Negotiate and Secure Grants”, states that local chief executives may, upon the authority of the board members of the LGU, or the *Sanggunian*, “negotiate and secure financial grants or donations in kind.” These grants or donations can be obtained from local and foreign assistance agencies without the approval of any department, agency, or office of the national government or any higher LGU. However, when these projects financed by grants and donations in kind concerns the national security and sovereignty of the country as a whole, it shall be approved by the central government or any department agencies involved.

The Department of Interior and Local Government (DILG) is the central government department that is responsible for ensuring public safety, promoting peace and order, and reinforcing local government capabilities in terms of the effective delivery of services to its constituents. Among the functions delegated to DILG are as follows: (1) assist the President in the exercise of general supervision over local governments; (2) advice the President in the enactment of policies rules, regulations, and other issuances to local governments; (3) establish rules and regulations for public order and safety and the promotion of local autonomy and community empowerment; (4) establish and prescribe plans, policies, programs, and projects to further strengthen the administrative, technical, and fiscal capabilities of local government units and officials, and (5) formulate plans, policies, and programs for local emergencies arising from natural man-made disasters (DILG, n.d.).

In terms of the access of LGUs to ODA, Llanto, Brillantes, & Alonzo (2010) stated that the statistics on the distribution of ODA loans in the Philippines show that the LGU sector is the smallest direct recipient of the funding source. In 2006, only 1% of the total ODA was shared with the LGUs. Meanwhile, the biggest share at 65% went to national government agencies, 22% for government-owned and controlled corporations, and 13% for government financing institutions. Llanto et al. (2010) argued that the major factor behind the limited access of LGUs to ODA is the inadequate capacity of the sector to prepare feasibility studies, access and manage ODA funds, and lack of information to availing ODA. Although the Section 23 of the LGC grants LGUs the authority to negotiate and secure grants from foreign

agencies without the clearance from the national government, Llanto et al. (2010) state that in reality, there are not many ODA funds to utilize in the first place. At the same time, the number of LGUs are growing which results in competition not only among LGUs but also with a large number of agencies from the national government. Among the LGUs who secured grants from 2012 to 2016 through foreign assistance is the municipality of San Felipe in Zambales, Philippines.

3.3.4 Municipality of San Felipe, Zambales, Philippines

The municipality of San Felipe is located in the central part of Zambales province in Luzon island, Philippines. It is bounded by the municipality of Cabangan on the north, municipality of San Narciso on the south, the West Philippine Sea on the west, and the municipalities of San Marcelino and Botolan on the east. It is 200 kilometers away from Manila (city capital of the Philippines) by land and transportation. The land area of the municipality is 111.60 km² which is 3.10% of the whole area of Zambales province. As of 2015, the population of the San Felipe is 23,183. In terms of administrative divisions, San Felipe is divided into 11 *barangays*, 6 of which are urban while the rest are rural. Figure 3.2 shows the geographical location of San Felipe.

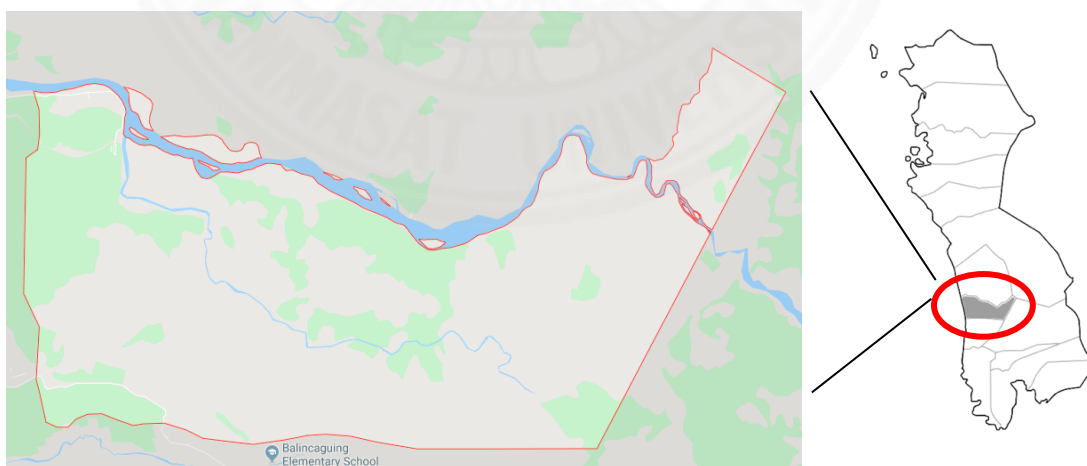


Figure 3.2 Map of the Municipality of San Felipe, Zambales Province, Philippines

Source: Google Maps

According to the Bureau of Local Government Finance, the annual regular revenue of San Felipe for the fiscal year of 2016 was PHP 80.25 million (approx. USD 1.5 million). In 2012, the operating income of San Felipe from its local sources such as real property tax, business tax, regulatory fee, service/user charges, and income from economic enterprises amounted to PHP 11.65 million (approx. USD 227,000). The municipality relies heavily upon financing from external sources amounted to PHP 43.35 million (approx. USD 846,000) from Internal Revenue Allotment (IRA) of the national government, shares from national tax collections, inter-local transfers from Zambales provincial government, and donations or grants.

The mission of the municipal government of San Felipe is to have a transparent, dedicated, concerned, and consultative leadership to enable an efficient implementation of plans and programs for the citizens of the municipal. San Felipe also aims to maintain a just, prosperous, healthy, peaceful, and environment-friendly community. The municipality also envisions itself as a business hub, environment model, and premier center of Zambales province for agriculture, meat processing, and tourism (San Felipe Government, n.d).

Under the leadership of Atty. Carolyn S. Fariñas (2010-2018), San Felipe received awards and recognition in the sector of good local governance, sustainable environment, information technology, and leadership. From 2010 to 2012, San Felipe is conferred by the Central Luzon Growth Corridor Foundation, Inc. with the first-place award in the implementation of its 'Documented Streamlined Procedures on the Issuance of Mayors/Business Permit'. With its vision to be a business hub of Zambales province, San Felipe was awarded as the 'Most Business-Friendly LGU' for the year 2012. The following year, the municipality is awarded the 'Best in Information Technology Innovation' by the Central Luzon Growth Corridor Foundation, Inc. In 2015, San Felipe became an International Standard Organization (ISO) Certified Awardee. In 2016 and 2018, the municipality received the Seal of Good Local Governance (SGLG) which is an award, incentive, honor, and recognition-based program for all Local Government Units (LGUs) in the Philippines. In terms of the SGLG, San Felipe is recognized with its transparency and accountability measures, disaster preparedness, social protection, business friendliness and competitiveness,

peace and order, and environmental management. In 2017, the municipality is one of the *Galing Pook* awardees recognized by its innovation and excellence in local governance. San Felipe is acknowledged as one of the ten outstanding LGUs in local governance programs in the entire country.

3.4 Rural Development in the Philippines

Bautista (1994) stated that rural development as a social goal for development has long been a major concern for politicians and policymakers in the Philippines. In the beginning, the primary aim of the country is to further improve economic growth through labor-intensive industrialization. However, during the late 1970s, the development planning of the government has changed to an entirely new concept. The National Development Plan for 1978-1982 has embodied a new approach of putting more emphasis on identifying feasible solutions for problems such as mass poverty, unemployment, and underemployment, and social injustice. The 1978-1982 development plan of the country is the first official proposal of the country that particularly deals with rural development.

In the 1990s, the total population of the rural people in the Philippines is 32 million which is 51% of the total population of the country. In the 2000s, the percentage decreased to 41.5% but the population remains to 32 million. Ten years later, the percentage decreased to 33.6% but the population continued to be constant. In 2014, the population of the rural people dramatically increased to 56 million which is 56% of the total population of the country. In 2016, the percentage remains the same, but the population increased to 57 million. Despite the decrease in percentage, the population of the rural poor significantly increased over time. Hence, the government has persistently implemented programs, policies, and projects to address the needs of the rural poor in terms of economic and social development.

During the 1990s, the approaches of the national government and agencies to improve rural development consist of participatory rural appraisal (PRA), and agricultural and environmental related projects. In 1992, the Philippine Congress

passed the Republic Act 7607 or the Magna Carta of Small Farmers wherein the government prohibited the importation of agricultural products so that the locally produced goods are protected. Another government program officially launched in 1988, and implemented for 10 years, is the Comprehensive Agrarian Reform Program (CARP) known as Republic Act 6657. The program covers the welfare of the landless farmers receiving the highest consideration in agricultural activities to promote social justice and move the nation to rural development and industrialization. Although such projects have considerably alleviated poverty at some levels, progress was uneven and only short-term solutions were generated. As a consequence, poverty incidence in rural areas remained high and rose to 39.6 million in 1999. Balicasan (1998) mentioned that poor agricultural performance during the 1990s has constrained the overall agenda of the country to reduce poverty in rural areas.

The Medium-Term Philippine Development Plan of 2001-2004 of former President Gloria Macapagal-Arroyo (2001-2010) banners the rural development strategy of "Agriculture and Fisheries Modernization with Social Equity". This strategy aimed to raise the agricultural productivity and household incomes of the rural Filipinos (Dionisio and Reyes-Cantos, 2002). Moreover, the strategy promoted the skill-acquisition program for farm workers and provided access to modern agricultural inputs and robust support for infrastructure. However, during this decade, the Philippines has transformed from a self-sufficient rice producer into one of the world's top importers of rice due to lack of commitment to agricultural development (Rood, 2010). This has led to the broader underdevelopment of the rural sector contributing to the adverse pattern of growth wherein millions of Filipinos were left behind in the overall progress of the country. Despite the quantity in terms of rural development programs, the quality stayed disputed.

During the administration of former President Benigno Simeon Aquino III (2010-2016), civil society organizations (CSOs) were recognized as partners for development in the rural Philippines. To facilitate the engagement of CSOs, the Philippine Partnership for the Development of Human Resources in Rural Areas (PHILDHARRA) was established. The PHILDHARRA is a multilateral development project coordinated by the national government of the Philippines funded by the United

Nations Democracy Fund (UNDEF). The project aims to incorporate gender, climate change adaptation (CCA) and disaster risk reduction management (DDRM) responsive agenda through programs and activities involving community planning and social enterprise.

Presently, the administration of President Rodrigo Duterte has pledged to revisit the existing rural development policies of the country. In his 10-point socioeconomic agenda, Duterte vows to promote rural and value chain development toward increasing agricultural and rural enterprise productivity and rural tourism. Under the Department of Agriculture, Duterte also established the Rural Infrastructure Development (RID) with an additional fund allocation of PHP 20.9 million for farm-to-market roads, bridges, communal irrigation systems, and water supply and sanitation. However, these projects are yet to produce beneficial and long-term results for the rural Filipinos.

Despite the development efforts in the rural and agricultural sector, there has been a gap in the accessibility of LGUs to the programs and projects provided by the central government, and the quality of its administration and implementation. The three central government agencies that coordinate for the improvement of the rural development sector in the country are the Department of Agriculture (DA), Department of Agrarian Reform (DAR), and Department of Environment and Natural Resources (DENR). According to a study published by the Asian Development Bank (2009), there has been a functional overlap among the three institutions despite their mandated functions defined by the law. Moreover, the coordination of all these bodies with the LGUs lacks proper institutional arrangement due to capacity constraints and administrative limitations. Also, the overall share of DA, DAR, and DENR in the total government expenses remain small in spite of the initiatives to advance agricultural and rural development in the country. Due to the functional and organizational misalignment among the national government agencies and LGUs, the coordination and cooperation among these bodies remain poor. Although linked orientation towards poverty reduction and rural development are existent, joint strategies and approaches are lacking. Such limitations leave no choice for the Philippine government to continuously depend on foreign assistance for rural

development. Although the Philippines is one of the fastest-growing economies in the Southeast Asian region for the last decade, the Philippines is still an active recipient of ODA with Japan as the biggest provider amounting to 5.17 billion USD (42%) of the loans portfolio, followed by World Bank, and Asian Development Bank. In terms of ODA grants, the USA, Australia, and the UN System were the three leading providers on the total grants portfolio.

3.5 International Development Assistance in the Philippines

3.5.1 Foreign Assistance through ODA

As of December 2017, the total ODA portfolio of the Philippines amounted to 14.77 billion USD consisting of 70 loans and 352 grants. According to the 2017 ODA Portfolio Review of the National Economic Development Authority (NEDA), ODA programs and projects assisted in the Philippines are classified into five sectors: (1) Agriculture, Agrarian Reform, and Natural Resources (AARNR); (2) Governance and Institutions Development (GID); (3) Industry, Trade, and Tourism (ITT); (4) Infrastructure Development (INFRA); and (5) Social Reform and Community Development (SRCD). The INFRA sector consists of the largest share of active ODA portfolios with 45% (6.62 billion for 63 loans/grants) while AARNR has the third-largest allocation with 14% (2.08 billion USD for 141 loans/grants). In terms of implementing agency, the Department of Transportation (DOTr) had the largest share of the active ODA loans and grants, followed by the Department of Public Works and Highways (DPWH), and Department of Social Welfare Development (DSWD). Meanwhile, LGU-implemented loans and grants only share 0.44% or 65.31 million USD of the total amount of ODA. As of 2018, there are currently 17 loans and 97 grants ODA projects for the sector of Agriculture, Agrarian Reform, and Natural Resources (AARNR). Among the active ODA grants, there are 8 projects which are implemented by LGUs. Table 3.2 shows the list of active ODAs with LGUs as the implementing agencies.

Table 3.2

List of Active ODA Grants (AARNR Sector) implemented by LGUs

Project Title	Development Partner	Region	Total Amount in million USD
Water Security Under Climate Risks: A Philippine Climate Change Adaptation Strategy for the Agriculture Sector	USA	5	1.50
Peace Corps Small Project Assistance	USA	4B, 5, 6	0.56
Logistics Support for Mindanao Activities (LOGISTICS)	USA	9, 10, 11, 12, 13, ARMM, NCR	7.91
Building Capacity to Endure Severe Shocks	USA	Manila, Campostella Valley, Northern	6.35
Northern Iloilo Comprehensive Fishery Rehabilitation and Development Project	Korea	6	5.50
Quirino Integrated Rural Development Project Phase II	Korea	2	9.50
2017 PAMANA in ARMM	UN System	ARMM	19.00
Safe Cities Quezon City – Phase 2 under the Safe Cities Metro Manila Programme (Project ID 103842)	UN System	NCR	0.07

Source: National Economic Development Authority (NEDA), 2018

3.5.2 Foreign Assistance by South Korea

South Korea is the 6th top provider of ODA loans and grants to the Philippines. As of 2017, South Korea has delivered 5 loans and 15 grants with an

amount of 480.4 million USD and 89.86 million USD, respectively. In total, South Korea provided an amount of 570.60 million USD which accounts for a 3.86% share on total ODA of the Philippines in 2017. Based on the Country Partnership Strategy (CPS) of South Korea to the Philippines, the three priority areas covered for the years 2012-2016 are as follows: (1) promoting sustainable economic growth through transport infrastructure development, (2) supporting food security and rural poverty alleviation through agriculture and water resources development, and (3) strengthening national health systems and local health services. For the years 2016-2020, the same priorities are covered with the addition of disaster prevention and preparedness.

The implementation strategy of the Government of South Korea in terms of development cooperation projects in the Philippines is based on its past and present experiences of rural and agricultural development projects which aims to continue the engagement with LGUs. In order to contribute to the rural development of the Philippines, the focus of the CPS intends to increase agricultural productivity and household income through the expansion of agricultural infrastructure and technology. Moreover, the South Korean government aims to promote climate change adaptation and disaster risk reduction in its rural development projects for the understanding and preparedness of farmers and fisherfolks. Another strategy is the conservation of natural resources by applying forest and watershed rehabilitation methods with irrigation components. Finally, the Korean government fully supports the development of geographically isolated and disadvantaged areas (GIDA) through the utilization of the *Saemaul Undong* model localized and adapted in the Philippine context.

3.6 The Saemaul Globalization Project

3.6.1 Background

Originated in the rural development project of South Korea, *Saemaul Undong* (SMU), the Saemaul Globalization Project (SGP) is aimed at establishing cooperation among different public institutions, organizations specializing

in technology and education, and private enterprises. The SGP promotes sense of ownership and self-reliance among the recipients through localizing SMU values of self-help, discipline, and mutual cooperation. Also, the SGP aspires to increase the effectiveness and sustainability of projects based on local governance and stakeholder collaboration.

The SGP is an initiative established by the Saemaul Globalization Foundation (SGF) situated in the province of North Gyeongsang. With its effort to foster international development cooperation, the provincial government of North Gyeongsang is in cooperation with the North Gyeongsang Agricultural Research and Extension Services, local centers of the National Agricultural Cooperative Federation, POSCO, Daegu Bank, and the Saemaul Academy at Kyungwoon University (Heo and Lee, 2016).

The SGP consists of three categories as follows: (1) Saemaul training programs, (2) establishment and operation of SMU Research Institutes, and the (3) creation of *Saemaul* pilot villages.

The first category, the *Saemaul* training programs, is conducted for 12 weeks with the involvement of public officials, residents, and international students. The training program consists of core activities regarding the theory of SMU, on-site cases in Korea and recipient countries, agricultural techniques, and on-the-job training. The *Saemaul* training program commenced in 2005 with the participants from two countries, China and Vietnam. As of 2015, over 4,300 trainees have completed the program in South Korea participated by selected individuals from 86 partner beneficiaries. In 2014, the training program started to be held in recipient countries. (J. Heo & Lee, 2016)

The second category pertains to the establishment and operation of SMU Research Institutes. This project is conducted in cooperation with relevant institutions from recipient countries. The research institute consists of research on local policies, academic events, consultation services for pilot services, and the like. The SMU Research Institutes was first established in two recipient countries in 2015, Indonesia and Senegal. In 2016, three more locations in Vietnam, Kyrgyzstan, and Ethiopia were added.

The last category is the promotion and establishment of global *Saemaul* pilot villages around the world. The operation of *Saemaul* pilot villages is implemented for five years in partner countries with the goal of nurturing *Saemaul* community groups, promoting spiritual enlightenment, improving living conditions, and increasing the income of beneficiaries. Selected volunteers from South Korea are dispatched in different countries starting from Africa in 2010 and extending to Asian countries in 2013. As of 2016, 46 *Saemaul* pilot villages are established within 16 different countries such as Cambodia, Cameroon, Côte d'Ivoire (Ivory Coast), Ethiopia, India, Indonesia, Kyrgyzstan, Laos, Papua New Guinea, Rwanda, Senegal, Sri Lanka, Tanzania, The Philippines, Uzbekistan, and Vietnam (Saemaul Globalization Foundation, n.d.). In 2018, 17 projects have been concluded in different countries in Africa, and 11 projects in various parts of Asia.

3.6.2 The Saemaul Globalization Project in Brgy. Balincaguig

The Philippines is the first recipient of the *Saemaul* pilot village project of the SGP in Southeast Asia. As of 2018, there are three pilot villages situated in different parts of the country. Two of the pilot villages which are currently ongoing projects are situated in (1) Brgy. Lomboy, municipality of Sta. Cruz, Province of Zambales, and (2) Brgy. Guadalupe, municipality of Libacao, province of Aklan. Meanwhile, the first pilot village project in the country was successfully implemented from 2012 to 2016 in Brgy. Balincaguig, municipality of San Felipe, province of Zambales.

According to the fiscal information by the Bureau of Local Government Finance, the Internal Revenue Allotment (IRA) shared with the Balincaguig is PHP 1 million (approx. 19,500 USD) in 2012. In the 2015 census, the total population of the village is 1,348 with 746 males and 602 females and comprised of 229 households. The major economic source of the village is agriculture. The basic utilities situated in Balincaguig includes electricity distributor, public water system, and transportation vehicles such as tricycles and motorcycles. The main occupation of the populace is farming. Rice is the major agricultural product followed by corn, sweet potato, and vegetables. In fact, Balincaguig is considered as the rice granary of San Felipe. Livestock raising, backyard gardening,

public transportation, and retail selling are the other sources of income in the municipality.

According to the research published by the College of Social Work and Development from the University of the Philippines, 76% of the total number of households in Balincaguig is living below the poverty threshold with an annual income lower than 109,680 PHP (approx. 2,129 USD). A survey conducted by Vallejos et al. (2016) stated that 33% or 15 of the 46 household-respondents earn less than 20,000 PHP (approx. 388 USD) annually. Among the major problems identified by the people of Balincaguig are lack of job opportunities, insufficient irrigation system, disaster risks management, lack of health facilities, food insecurity, and lack of capital for farming (Vallejos et al., 2016).

The trans-local government relations of the municipality of San Felipe in the Philippines and the provincial government of North Gyeongsang, South Korea started in 2012 when the governor of North Gyeongsang visited San Felipe and offered assistance in developing one of the poorest villages in the municipality, Balincaguig. According to the study published by Vallejos et al. (2016) of the University of the Philippines College of Social Work and Development, ninety-one percent (91%) of the Balincaguig villagers are familiar with the SGP and SGF. “Generally, the perception of the people (Balincaguig villagers) with the project is positive” (Vallejos et al. (2016). Moreover, the people of Balincaguig stated that SGF helps the village by providing livelihood opportunities and infrastructure projects. Most importantly, the values instilled in the SMU philosophy such as self-help, diligence, and cooperation are recognized emphatically by the village. However, Vallejos et al. (2016) stated that there are some residents in the village who worry about the intentions of the SGF such as fear of a Korean invasion in the community.

The projects initiated by SGF were implemented for five years. It started in 2012 with the construction of community hall, library, kindergarten, and piggery. The formation of local Saemaul Organization was established within Balincaguig and the villagers frequently attended Saemaul training with the guidance of six dispatched volunteers from South Korea. In 2013, the expansion of drinking water wells, construction of village roads, installation of public toilets, pig

breeding, and organic fertilizing were among the projects collaborated by the villagers and the volunteers. In 2014, cow banking was added to the projects initiated by the Foundation. In 2015, organic farming was introduced and computer education for the villagers was offered. In the last year of implementation in 2016, the water supply system was developed further, more farming techniques were introduced, and training in sewing was held. Finally, the project was successfully completed at the beginning of 2017. A total of 25 South Korean volunteers were dispatched in the Balincaguig village for five years. The Korean volunteers, SGF and KOICA leaders, the LGU officials, and the villagers collaborated in the successful implementation of the SGP. Table 3.2 summarizes the projects implemented through SGP in the Balincaguig village. (See Appendix C for the complete details of the projects)

Table 3.3

List of Implemented Saemaul projects in Balincaguig village

Year	Projects or Activities
2012	Construction of community hall Construct of library and kindergarten Pig breeding Formation of Saemaul Organization and conducting Saemaul training
2013	Expansion of drinking water wells Paving village roads Installation public toilets Organic fertilizer and breeding earthworm projects Pig breeding Formation of Saemaul Organization and conducting Saemaul training
2014	Paving village roads Install public toilets Organic fertilizer and breeding earthworm projects Pig breeding

Table 3.3

List of Implemented Saemaul projects in Balincaguing village (cont.)

Year	Projects or Activities
	Cow banking projects Introduce organic farming Formation of Saemaul Organization and conducting Saemaul training
2015	Paving village roads Installation public toilets Organic fertilizer and breeding earthworm projects Introduction of organic farming Offering of computer education Formation of Saemaul Organization and conducting Saemaul training
2016	Drinking water supply development Farming technique education Organic fertilizer and breeding earthworm projects Introduction of organic farming Sewing training Formation of Saemaul Organization and conducting Saemaul training
2017	SGP successfully completed

Source: Saemaul Globalization Foundation (2017)

The projects initiated by SGF were participated by the villagers of Balincaguing due to factors such as increase of income, learning new skills and technology, good intention of the foundation, and the overall improvement of the village. However, there are also some factors that hindered the participation of the people such as the overlapping priorities, loss of interest, the demand for instant benefits, miscommunication due to language barriers, and cultural differences (Vallejos, et al., 2016).

3.6.3 Key Actors and Institutions in the Implementation of Saemaul Globalization Project

The key actors and institutions involved in the administration and implementation of the SGP are multilayered. In the bigger picture, there are institutions that are involved in the external process of the SGP in terms of funding. Meanwhile, there are stakeholders who are involved in the internal matters of the project. On one hand, the institutions partnering with the provincial government of North Gyeongsang and the SGF in terms of the funding and sustainability of the project are the North Gyeongsang Agricultural Research and Extension Services, local centers of the National Agricultural Cooperative Federation, POSCO, Daegu Bank, and the Saemaul Academy at Kyungwoon University (J. Heo & Lee, 2016). On the other hand, the project proponents and facilitators involved in the implementation of the project are as follows:

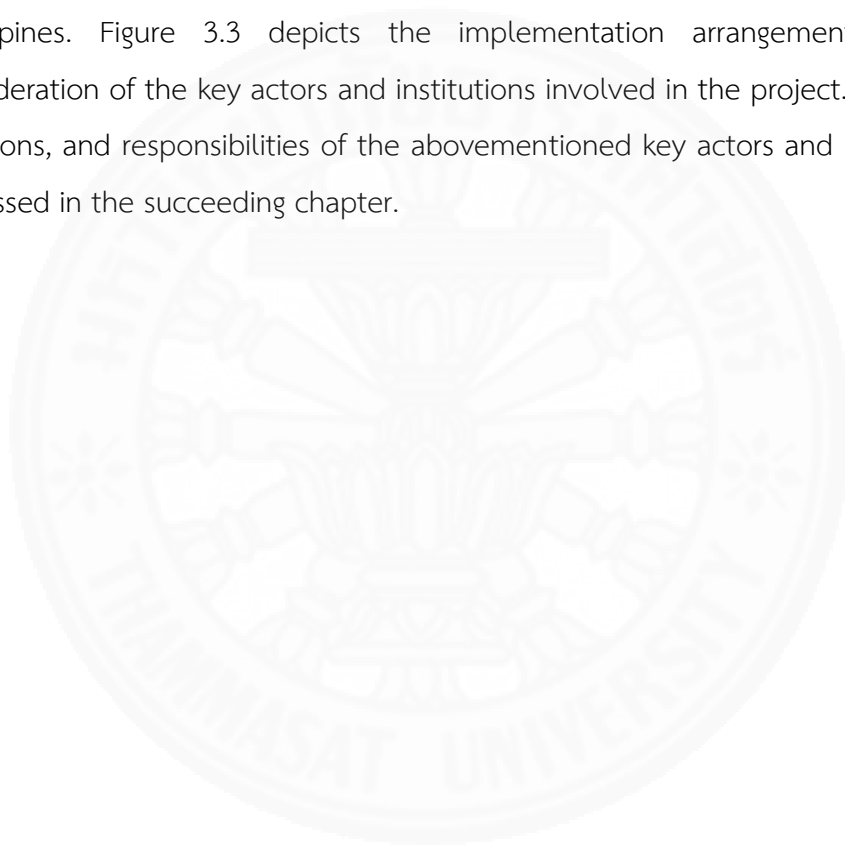
The provincial government of North Gyeongsang is the forerunner in the implementation of SMU related projects. Through the Division of Saemaeul Service and SGF, the provincial government is in constant partnership with different local and subnational governments across Asia and Africa.

The Saemaul Globalization Foundation (SGF) is a non-profit organization established by the provincial government of North Gyeongsang with the aim of giving solutions to the poverty and famine of developing countries by sharing the knowledge and experiences of SMU, the driving force of the rural development in South Korea. As of recent, the SGF works with 34 villages in eight countries and continues to train *Saemaul* leaders to facilitate the *Saemaul* globalization projects around the world (Saemaul Globalization Foundation, n.d.)

The Korea International Cooperation Agency (KOICA) is the main institution of South Korea in its extension of the country's Official Development Assistance (ODA). In terms of its partnership with the Philippines, KOICA is active in the implementation of programs that concern the health and sanitation, transportation, disaster prevention and preparedness, and rural development of the Filipino people.

The Office of the Mayor, together with the Social Welfare and Development Office and Agricultural Office, of the municipality of San Felipe, is the main institution that deals with the partnership between the provincial government of North Gyeongsang and KOICA in so far as the implementation of the SGP is concerned.

Lastly, the Balincaguing village leader and citizens are the main and first recipient of the Saemaul Globalization Project in Southeast Asia and the Philippines. Figure 3.3 depicts the implementation arrangement of SGP in consideration of the key actors and institutions involved in the project. Specific roles, functions, and responsibilities of the abovementioned key actors and institutions are discussed in the succeeding chapter.



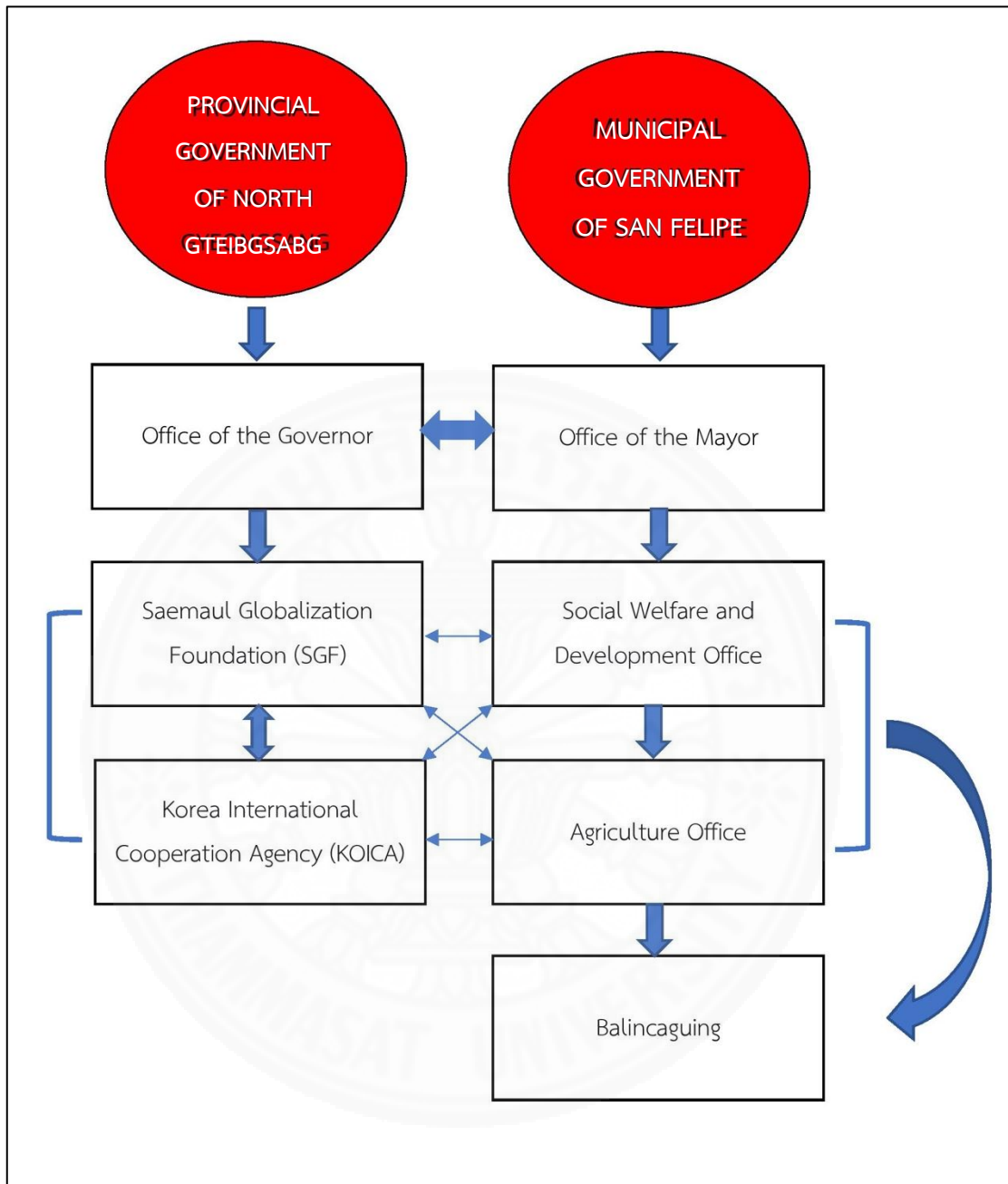


Figure 3.3 Key Institutions in the Implementation of SGP

Source: Author's diagram based on the existing literature and conducted interviews (Rollo, 2019)

CHAPTER 4

TRANS-LOCAL GOVERNMENT COLLABORATION BETWEEN NORTH GYEONGSANG AND SAN FELIPE

4.1 Introduction

This chapter is intended to discuss the results of the data collection and research fieldwork. This section examines the collaboration between the local government of North Gyeongsang and the local government of San Felipe and determines its influence in the implementation of the Saemaul Globalization Project (SGP). The fieldwork, which consists of on-site observation, face-to-face dialogue, and focus-group-discussion (FGD), was primarily based in Balincaguing, the first Saemaul pilot village in the Philippines and Southeast Asia. Online interviews were conducted and consulted from the provincial government of North Gyeongsang, KOICA, and the Saemaul Globalization Foundation (SGF).

In this regard, the discussion and data presented in this chapter are based on the variables of the Theoretical Model of Collaborative Governance by Ansell and Gash (2007). The variables are starting conditions, facilitative leadership, institutional design, and collaborative process. The variables in the collaborative process which consist of face-to-face dialogue, trust-building, commitment to process, shared understanding, and intermediate outcomes, are used as the measurement indicators in the effective collaboration of the key actors and institutions.

4.2 Collaborative Governance in the Implementation of the Saemaul Globalization Project (SGP)

In the selected case study, the variables in the Theoretical Model of Collaboration by Ansell and Gash (2008), such as the starting conditions, collaborative process, institutional design, and facilitative leadership, correspond in

the implementation of the Saemaul Globalization Project (SGP). First of all, this study consults on the six criteria provided by Ansell and Gash to prove if the implementation of SGP is a type of collaboration.

Table 4.1

Correspondence of SGP to the Criteria for Collaboration

Criteria for Collaboration formulated by Ansell and Gash(2008)	Correspondence to Saemaul Globalization Project (SGP)
“The forum is initiated by public agencies or institutions”.	Yes
“Participants in the forum include non-state actors”.	Yes
“Participants engage directly in decision-making and are not merely“ consulted ”by public agencies”.	Yes
“The forum is formally organized and meets collectively”.	Yes
“The forum aims to make decisions by consensus”.	Yes
“The focus of the collaboration is on public policy or public management”.	Yes

In the table above, it has been identified that the implementation of SGP is classified as a collaboration as per the six criteria aforementioned. SGP is a public policy-oriented program designed to develop the rural village of Balincaguig in the Philippines. Most importantly, the implementation of SGP is participated by different actors consisting of private institutions, public agencies, and local government units, and the village citizens as non-state actors.

4.2.1 Facilitative Leadership: Roles and Responsibilities of Key Actors and Institutions

The facilitative leadership is equated to the roles, functions, and responsibilities of the key actors and institutions and their direct involvement in the

collaboration. In line with this, face-to-face dialogue and focus-group-discussion (FGD) were conducted with the key-informants settled in San Felipe and Brgy. Balincaguang, Philippines. Meanwhile, online interviews were facilitated with the representatives from the Saemaul Globalization Foundation (SGF) and the Korea International Cooperation Agency (KOICA). Unfortunately, the author was unable to interview any representative from the provincial government of North Gyeongsang due to administrative constraints. However, secondary sources which include interviews and publications were consulted from the aforementioned institution.

4.2.1.1 Municipal Government of San Felipe

In an interview conducted with the mayor of San Felipe, Atty. Carolyn S. Fariñas indicated that the role of the Local Government Unit (LGU) of the municipality was concentrated in the administrative duties and communication with its counterpart in South Korea. Mayor Fariñas stated that as the executive-chief of the municipality, she was assigned to engage and participate in different leadership seminars and training designed to learn and understand the objectives and emphasis of SGP. She mentioned that before the actual implementation of the project, the LGU officials of San Felipe have traveled to North Gyeongsang, South Korea, to firsthand observe and experience SGP from its home country. During the implementation phase, the role of Mayor Fariñas remained to be the main representative of the LGU of San Felipe and acted as the main communication channel and mediator between the Korean volunteers and Balincaguang villagers. She has formally organized meetings and forums participated by all the actors involved in the project implementation. During the post-implementation of SGP, Mayor Fariñas acted as the main actor in the evaluation and monitoring of SGP in her locale, and she has constantly reported the outcomes and impacts of the project to SGF and KOICA even after the five-year implementation.

A separate interview was conducted with Mr. Conrado Aldaba Jr. and Mr. Rowel Villanueva. Both are LGU officials in San Felipe and have contributed to the collaboration for the implementation of SGP. Mr. Aldaba acted as the project coordinator for SGP in the municipality. His main task was to communicate with SGF and KOICA leaders in terms of the actual implementation of

livelihood and infrastructure projects in Balincaguing village. Meanwhile, Mr. Villanueva also took a significant role in the implementation of SGP as a registered social worker of the LGU. He served as the coordinator for all the social development projects conducted in the village such as leadership training and capacity-building programs. He spearheaded some of the meetings and forums between KOICA, SGF, and Balincaguing villagers. As the representatives of San Felipe, both Mr. Aldaba and Mr. Villanueva attended leadership training in North Gyeongsang, South Korea before the actual implementation of SGP.

4.2.1.2 Balincaguing village leaders

In a focus-group-discussion conducted with the Balincaguing village leaders (captains) and citizens, Mr. Napoleon Domingo, Mr. Jesse Dansalan, Ms. Cynthia Abdon, and Ms. Evelyn Farala stated that their role in the implementation of SGP focused in the capacity-building and empowerment of their constituents, the Balincaguing citizens or residents. As village and association leaders in Balincaguing, the interviewees stated that the initial task they have accomplished was to share all the important lessons and information they have acquired during the leadership training and seminars they have attended in North Gyeongsang, South Korea. At the same time, the village leaders were also entrusted to motivate and empower their people in terms of participation in the implementation of SGP.

As the first *barangay* captain of Balincaguing during the implementation of SGP, Mr. Domingo stated that he was part of the first batch of people who were sent to North Gyeongsang, South Korea, to attend seminars and training about SMU. Mr. Domingo was the executive chief of Balincaguing when the SGP was inaugurated and he was mandated to ensure the delivery of services to his constituents through the assistance of the Korean institutions. As the the captain, Mr. Domingo presided over the meetings and forums conducted with the project facilitators.

When Mr. Domingo decided to run for a higher position in 2016, Ms. Abdon assumed the captainship of the village. In terms of the implementation of SGP, Ms. Abdon was part of the first evaluators of the project after its completion in 2016. At the same time, Ms. Abdon stated that she took part

in creating the 5-year progress report of SGP and submitted it to higher authorities. Ms. Abdon also mentioned that as the captain, she managed the projects herself, and monitored them during and after the implementation of SGP.

As the present *barangay* captain, Mr. Dansalan stated that his primary task is to ensure that the projects implemented are sustained and monitored regularly. Mr. Dansalan indicated that since the conclusion of SGP in 2017, the *barangay* officials and citizens are still actively involved in the maintenance of the livelihood projects. Meanwhile, as the leader of the Balincaguing Women's Association (BWA), Ms. Farala stated the role of women in the *barangay* has been empowered by the implementation of SGP in which income-generating projects were provided for them. As the leader of BWA, her primary task during the implementation of SGP is to assure that women are also participants of the project and that they are actively involved in the initiatives of SGP.

4.2.1.3 Saemaul Globalization Foundation

In an online interview conducted with Mr. Lee Kyung Bok, Project Manager of the Saemaul Globalization Foundation, he stated that the primary role of the Saemaul Globalization Foundation (SGF) is to assist the Provincial Government of North Gyeongsang in the operation of development assistance projects to local governments and Saemaul pilot village. According to Mr. Lee, there are two ways in selecting the location of SGP. First, the provincial government of North Gyeongsang and SGF contact Korean Embassies in developing countries and ask for any information that can be helpful in the selection of the pilot village. The second option is for the foreign local governments to directly request assistance to the provincial government of North Gyeongsang, then SGF examines their eligibility as the location of the Saemaul project. Mr. Lee reported that in the case of Balincaguing, the *barangay* was selected by SGF through the information given to them by the Korean Embassy in the Philippines.

Mr. Lee indicated that it is also the role of SGF to select the volunteers who are dispatched in Saemaul pilot villages. According to Mr. Lee, 25 Korean volunteers assisted and collaborated in the implementation of SGP. The selected volunteers are from World Friends Korea (WFK), a South Korean

government-run overseas volunteer institution. In an online interview conducted with Mr. Kyung Soon Park, one of the first volunteers for SGP in Balincaguig village, he stated the role of the Korean volunteers is to assist SGF and KOICA officials in the execution of development projects. Mr. Kyung explained that there are different volunteers per year to ensure that the projects run smoothly and there is a cultural exchange between the Koreans and Filipinos. The table below shows the number of volunteers per year in the implementation of SGP in Balincaguig village.

Table 4.2.

Number of Korean Volunteers in the Implementation of SGP

Year	2012	2013	2014	2015	2016	Total
Number of Volunteers	6	5	6	4	4	25

Source: Saemaul Globalization Foundation (2016)

4.2.1.4 Korea International Cooperation Agency (KOICA)

KOICA is the leading organization of South Korea in terms of international development and cooperation. In an online interview consulted with Mr. Son Tae Kyun, KOICA Director for the Philippines (2012-2016), he stated that the role of KOICA is to monitor and evaluate the collaboration between the other actors. KOICA served as the mediator in SGP which brought SGF and Balincaguig villagers together and engage them in collaborative action. The institution also acted as the facilitative actor between the two local governments in terms of consensus-building, mediation, and nonbinding arbitration. Mr. Son mentioned that during the implementation of SGP, KOICA visited Brgy. Balincaguig monthly and assessed the collaboration of the actors involved and the impacts of the project itself. However, KOICA has not been actively involved in the monitoring of the project beginning in 2017 due to the change in administration and priorities in assistance. Also, KOICA has a different platform in expanding *Saemaul Undong* as development assistance which made them less associated with SGF.

4.2.1.5 Provincial Government of North Gyeongsang

The provincial government of North Gyeongsang initially promoted SGP beginning in 2005. According to the interview of Arirang TV with Hon. Kim Kwan Young, provincial governor of North Gyeongsang (2006-2018), the establishment of SGP undergoes different stages: (1) selection of pilot villages, (2) Saemaul training, (3) dispatch of Saemaul volunteers, (4) establishment of annual action plan, and (5) implementation of the project. As the executive-chief of North Gyeongsang, Hon. Kim Kwan Young spearheads the overall process of SGP implementation in developing countries which includes training, finances, and research. Hon. Kim mentioned that SGP is different from traditional ODA since the former is recipient oriented while the latter is donor oriented. He added that ODA usually focuses on materialistic or financial aid, while SGP deals with technical assistance and collaboration among actors up to the village level. Moreover, SGP acts as an avenue to help villagers build a sense of ownership and become self-reliant and independent. The table below summarizes the roles, functions, and responsibilities of the key actors and institutions involved in the implementation of SGP in Balincaguing village.

Table 4.3
 Summary of Interviewed/Consulted Key Actors in the Collaboration for SGP

Institution	Name of Key-Informant(s) Interviewed/Consulted	Role/Function	Responsibilities
Municipal Government of San Felipe (Zambales, Philippines)	Atty. Carolyn S. Fariñas	Municipal Mayor (2016 – 2010)	<ul style="list-style-type: none"> - Engaged and participated in different leadership training and seminars organized by the provincial government of North Gyeongsang; - Acted as the main communication channel and mediator between the Korean volunteers and Balincaguing villagers - Coordinated with the SGF officials and KOICA leaders in the provision of livelihood opportunities and infrastructure projects - Coordinated with the Korean volunteers in the implementation of social development projects and leadership training
Balincaguing village Saemaul organization	Mr. Napoleon Domingo	Village Captain (2012 – 2016)	<ul style="list-style-type: none"> - Shared the lessons learned/acquired during the training in South Korea to constituents - Motivated and empowered the citizens to participate in the implementation of SGP - Issued evaluation and progress report - Monitored the livelihood projects
	Mr. Conrado Aldaba Jr.	Project Coordinator	
	Mr. Rowel Villanueva	Social Worker	
	Ms. Cynthia Abdon	Village Captain (2018 – 2016)	

Table 4.3

Summary of Interviewed/Consulted Key Actors in the Collaboration for SGP (cont.)

Institution	Name of Key-Informant(s) Interviewed/Consulted	Role/Function	Responsibilities
	Mr. Jesse Dansalan	Village Captain (2018 – present)	<ul style="list-style-type: none"> - Post-implementation monitoring and evaluation - Update SGF about the sustainability of the project from 2017 onwards
	Ms. Evelyn Farala	Leader, Balincaguig Women's Association	<ul style="list-style-type: none"> - Ensured that Balincaguig women are well-represented and take part in the operation of the projects
Provincial Government of North Gyeongsang (South Korea)	Hon .Kim Kwan Young*	Provincial Governor (2018 – 2006)	<ul style="list-style-type: none"> - The“ brain ”in the expansion of SGP to developing countries - Spearheads the overall process of SGP implementation
Saemaul Globalization Foundation (SGF)	Mr. Lee Kyung Bok	Project Manager	<ul style="list-style-type: none"> - The “arm” in the expansion of SGP - Examines potential Saemaul pilot village - Publish research about the evaluation of SGP in Balincaguig village
	Mr. Park Kyung Soon	Volunteer	<ul style="list-style-type: none"> - Execution of development projects - Cultural exchange with the villagers
Korea International Cooperation Agency (KOICA)	Mr. Son Tae Kyun	KOICA Team Leader for the Philippines (2016-2012)	<ul style="list-style-type: none"> - Monitored and evaluated the collaboration between SGF and Balincaguig villagers - Served as the facilitative actor in terms of consensus-building, mediation, and nonbinding arbitration

*Source: Arirang Special M60 - Kim Kwan-yong Interview (Arirang TV, 2015); Interview by Rollo (2019)

An effective facilitative leadership is measured based on the commitment of the actors involved in the collaborative process. In the case of the SGP, this study has determined that among the actors involved, there was adequate management of the collaboration, maintenance of technical credibility, and empowerment among the project facilitators. This instance is highlighted in the leadership training, seminars, meetings, and forums conducted before, during, and after the implementation of SGP.

4.2.2 Institutional Design for the Collaboration

The institutional design corresponds to the ground rules and protocols in the collaboration of the participants. As highlighted in the facilitative leadership among the participants in the SGP, the roles, functions, and responsibilities of the collaborators were made effective through the guidance of the institutional design.

In consideration of the ground rules and protocols, the author of this study was unable to obtain a copy of any Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) signed and authorized by the collaborators of the project due to administrative constraints. However, based on the implementation arrangement of the project, there is sufficient execution of roles and responsibilities guided by the facilitative leadership for SGP. Based on the interviews with the key actors, the collaboration for SGP was effective due to the completion of tasks and enforcement of implementation rules. Mr. Lee Kyung Bok stated that the collaboration was successful due to the comprehensive understanding of each participant on their roles and responsibilities in the project. Likewise, Mayor Carolyn Fariñas stated that all the participants from the highest to lowest tier were properly informed with the protocols and procedures of the collaboration. Most importantly, there was no overlapping of responsibilities as the participants were concentrated in their designated roles during the collaborative process.

4.2.3 Starting Conditions: Motivations behind the Partnership

Among the starting conditions and motivation behind the collaboration for the implementation of SGP are as follows: (1) power/resource imbalances, (2) incentives to participate, (3) prehistory of antagonism and

cooperation. The following are the critical and driving factors that motivate the key actors to collaborate for SGP.

First, the power/resource imbalances in the implementation of the SGP in Balincaguing village pertain to the hierarchy of organization among the project proponents and facilitators. Based on the facilitative leadership and institutional design of SGP, the executive chiefs and officials of North Gyeongsang province and the municipality of San Felipe are in the top-tier of the project implementation followed by SGF and KOICA in the mid-tier, then the Balincaguing village leaders and citizens in the lowest tier. Despite this vertical set-up of organization or capacity to participate, there was still equal footing among the participants of the collaboration. Ansell & Gash (2008) suggested that the commitment of top officials in the empowerment and representation of the participants in the lowest-tier of the hierarchy is what defines effective collaborative governance. In the case of SGP, it is evident that the project beneficiaries partook in the implementation of the project in terms of leadership training, meetings, forums, construction of infrastructures, and evaluation. Thus, the power/resource imbalances may be existent in terms of the institutional design per se, but not in the implementation process.

The incentives of the collaborators to participate in the implementation of SGP are highlighted dually. On one hand, the Provincial Government of North Gyeongsang in coordination with SGF and KOICA are motivated to sponsor the collaborative governance in SGP due to the globalization of *Saemaul Undong* values, the campaign to share the development narratives of South Korea to developing countries, and exchange of intangible resources such as cultural exchange and governance legitimacy. On the other hand, the municipal government of San Felipe and the villagers of Balincaguing are driven to participate in the collaborative governance for SGP due to the pre-existing economic situation of the village. Balincaguing is the poorest village in the municipality of San Felipe before the arrival of the SGP. Additionally, the leadership of former Mayor Carolyn Fariñas has significantly ignited the collaboration for SGP and stated,

“If you really want to improve your community, you really need partners. You can’t always rely on your own fund, it will always be

lacking. There are just so many partners along the way. They will discover you and will support you” (Fariñas, 2019).

In an interview consulted from both the local governments of North Gyeongsang and San Felipe, there was no prehistory of antagonism between the collaborators of SGP in Balincaguing village. However, SGP was not the first development assistance given by the provincial government of North Gyeongsang to the municipality of San Felipe. Early in 2012, San Felipe was awarded a multi-purpose hall construction project funded by North Gyeongsang. Governor Kim Kwan Young personally inaugurated the project with Mayor Carolyn Fariñas in the municipal office of San Felipe. This instance is considered as the first encounter of collaboration between the two local governments. Out of gratitude to the assistance given by the Koreans, Mayor Fariñas delightfully welcomed the government officials and stated that “We don’t have money, but I felt honored to welcome them” (Fariñas, 2012). Later in the same year, Governor Kim went back to San Felipe and officially granted the SGP to Mayor Fariñas and Brgy. Balincaguing.

4.2.4 Collaborative Process in the Implementation of SGP

The collaborative process represents the implementation phase and procedures in the planning, negotiation, operation, and evaluation of the SGP. In the implementation of SGP, it has been determined that the collaborative process is cyclical or iterative, rather than linear. The project was conducted for 5 years with cycles of preparation, planning, decision making, implementation, monitoring, and evaluation.

In consideration of the successful implementation of the project, this study uses the variables of the collaborative process as the measurement indicators of the effective collaboration between the stakeholders. This study highlights the face-to-face dialogue, trust-building, commitment to the process, shared understanding, and intermediate outcomes observed or performed in the implementation of the project.

4.2.4.1 Face-to-face Dialogue

Communication is at the heart of collaboration and face-to-face dialogue is the most fundamental indicator of effective collaboration. This

includes regular meetings, gatherings, and discussions among the project participants and facilitators. In the case of SGP, this study considers the number of formal meetings, informal gatherings, and other modes of discussion between the key actors by consulting on the minutes of the meetings and other related documentation.

According to the interview with the project participants, the face-to-face dialogue is divided into committee meetings and open forums. On one hand, committee meetings were participated by the top and mid-tier collaborators such as the government officials from San Felipe, SGF volunteers, and KOICA leaders. On the other hand, the open forums were attended by all the involved actors in the implementation including the Brgy. Balincaguig leaders and citizens. After consulting both the local governments of North Gyeongsang and San Felipe, the institutions were unable to provide the recorded minutes of the meetings. However, the government officials of San Felipe highlighted that most often, the open forums and committee meetings were held spontaneously and with varying frequency. Mr. Rowel Villanueva stated that there are weeks in which open forums, participated by the Balincaguig villagers and Korean volunteers, were conducted every day, or sometimes once a month. Mr. Conrado Aldaba Jr. added that the spontaneous meetings characterized by freedom of speech and informal consultations were the key components in the effective collaboration among the project participants. The figures below are some of the committee meetings and open forums conducted in the implementation of SGP.



Figure 4.1 Meeting with Mr. Kim, Han-Soo (Director of Saemaul Global Team) and Miss Hwang Bo (Assistant Director of Saemaul Global Team); September 3, 2012

Source: San Felipe Municipal Government Website



Figure 4.2 Meeting with Mayor Carolyn Fariñas (San Felipe) and Balincaguing Village Leaders

Source: San Felipe Municipal Government Website



Figure 4.3 Meeting with Balincaguing women villagers

Source: San Felipe Municipal Government Website

In the selection of the development projects to be implemented in the village, preliminary meetings and open forums were conducted participated by SGF and KOICA leaders, LGU officials of San Felipe, and Balincaguing leaders and residents. The questions asked by the Koreans are as follows: (1) what livelihood programs does the village want, (2) how can the villagers increase their household income, (3) what are the responsibilities of the each key actor in the collaboration, (4) where are projects situated, (4) how to determine the shares in income, (6) how to expand the existing livelihood businesses in the village, and finally (7) what specific projects does the village need? However, the projects were not given right away. There were series of consultation, planning, and research regarding the implementation of the projects. The livelihood opportunities were given proportionally to the village in which all the residents have benefited, and share of income was even. Although the Balincaguing villagers requested the projects that they need, the implementation process was not conducted alone by the Koreans. Instead, the realization of SGP was a collaborative effort among the key actors and institutions.

4.2.4.2 Trust-Building

As far as SGP is concerned, trust-building is measured based on the perceived relations of the key actors. The interviewees were individually asked about their perception and satisfaction while working with the other participants in the collaboration. In terms of perception, the interviewees were given two options: positive or negative. Meanwhile, the satisfaction rating is based on three choices: highly satisfied, satisfied, unsatisfied.

Table 4.4

Perception and Satisfaction of the Interviewees in the Collaboration for SGP

Key Actor	Perception	Satisfaction
Atty. Carolyn S. Fariñas	Positive	Highly Satisfied
Mr. Conrado Aldaba Jr.	Positive	Highly Satisfied
Mr. Rowel Villanueva	Positive	Highly Satisfied
Mr. Napeleon Domingo	Positive	Highly Satisfied
Ms. Cynthia Abdon	Positive	Highly Satisfied
Mr. Jesse Dansalan	Positive	Highly Satisfied
Ms. Evelyn Farala	Positive	Highly Satisfied
Mr. Lee Kyung Bok	Positive	Highly Satisfied
Mr. Park Kyung Soon	Positive	Highly Satisfied

Source: Author's compilation based on key-informant interviews (Rollo, 2019)

Based on the feedback of the interviewees about their perception and satisfaction in the collaboration of SGP, the government officials of San Felipe, Balincaguig village leaders, and Korean volunteers have recognized the process positively and all were highly satisfied in the cooperative management and administration of SGP. Mayor Carolyn Fariñas highlighted the instance when the two local government executive-chiefs signed the formal agreement, she has already committed to trusting her counterpart prior to the implementation of SGP. Meanwhile, Mr. Lee Kyung Bok stated that the trust-building in the collaboration of

SGF begins during the selection of the project beneficiaries in which the potentials of Balincaguing village to be developed were observed. During the implementation, both Mr. Rowel Villanueva and Mr. Conrado Aldaba Jr. were pleased and gratified with the cooperation between the Filipinos and Koreans and mentioned that trust-building is a long-term commitment throughout the collaborative process.

4.2.4.3 Commitment to Process

Aside from trust-building, commitment to the process is an indicator that is challenging to measure. In consideration of SGP, this study highlights the performance of the tasks of the stakeholders as an indicator of commitment to process. It is measured based on the responsibilities executed by the stakeholders and the functions they have performed in the negotiation, planning, implementation, and evaluation of the project.

The performances of the members of the collaboration are monitored by each actor. To ensure that there is a commitment among the participants, a system of checks and balances was employed. Each actor checks the performance of other members to make sure that the institutional guidelines are strictly followed and power/resource imbalances are prevented. The engagement level of the collaborators is measured on their task performance. Below is an overview of the tasks performed by the key participants in the collaboration.

Table 4.5

Performance Task Outline of Key Actors in the Collaboration

Actor/Role	Planning	Negotiation	Implementation	Evaluation
Mayor Carolyn Farinas / Mayor of San Felipe	Attended leadership and Saemaul training in North Gyeongsang, South Korea	Signed agreement with the provincial government of North Gyeongsang	Communication channel and mediator between the Korean volunteers and Filipino beneficiaries	Monitoring and submission of overall progress report
Mr. Conrado Aldaba Jr / Project Coordinator	Attended leadership and Saemaul training in North Gyeongsang, South Korea	Discussion of infrastructure projects to be implemented	Construction of infrastructure projects such as community hall, village roads, public toilets, water wells, and piggeries.	Monitoring and submission progress report concerning infrastructure projects
Mr. Rowel Villanueva / Social Worker	Attended leadership and Saemaul training in North Gyeongsang, South Korea	Consultation on social development and capacity building programs	Supervised social development and capacity building programs such as technology education, sewing training, and farming technique education.	Monitoring and submission progress report concerning social development and capacity building programs
Mr. Napoleon Domingo / Village Leader	Attended leadership and Saemaul training in North Gyeongsang, South Korea	Deliberation of development projects with Balincaguing village citizens	Empowerment and transparency among the villagers	Monitoring and submission of progress reports from the perspective of the beneficiaries
Mr. Lee Kyung Bok / Project Manager	Selection of pilot village	Dispatch of Korean volunteers	Formation of Saemaul Undong values of self-help, diligence, and cooperation	Publication of progress report under SGF

Source: Author's compilation based on key-informant interviews (Rollo, 2019)

4.2.4.4 Shared Understanding

Shared understanding refers to the common mission, ground, purpose, aims, and objectives among the participants in the collaboration. In the case of SGP, the commonalities among the key actors refer to the improvement of aid effectiveness, self-reliance, achievement of sustainable growth, active participation, and generation of livelihood opportunities.

As the first recipient-turned-donor country, South Korea aims to be a global partner for development cooperation among developing countries. In this regard, the country has adopted the SMU as an avenue of growth and development for project beneficiaries highlighting the core values of self-help, diligence, and cooperation. These values are the spiritual components behind the success of SMU in South Korea. In its application in Balincaguig, Philippines, the local government officials and villagers highlighted that SGP has brought changes in their town not only in terms of infrastructures and livelihood but also in the formation of values such as participation and empowerment.

As Mayor Carolyn Fariñas stated, the citizens of Balincaguig are known to be laidback, poor, and lacking in motivation, but the arrival of the Koreans made a huge impact on the mentality and perception of life among the villagers. Meanwhile, Ms. Cynthia Abdon mentioned that before the implementation of SGP, women in the village are only limited to household opportunities. In the arrival of the project, women were given different income-generating jobs such as sewing, waterlily weaving, organic farming, and the like. At the same time, Mr. Jesse Dansalan mentioned that gambling is a popular leisure activity for the villagers before the implementation of SGP, most especially during the non-farming seasons of the year, but the provision of livelihood projects from the Koreans changed the recreational endeavors of the Balincaguig people into a more productive and income-generating venture.

4.2.4.5 Intermediate Outcomes

The intermediate outcomes refer to the initial benefits observed and earned in the collaboration that dictated the success of the project. The key actors were asked about the gains and assistance they have attained in the

implementation of SGP which motivated them in their continuous pursuance in participating in the project. According to an interview with Mr. Rowel Villanueva, the initial benefits he obtained during the first years of the implementation of the project pertains to the leadership training of SGF and the value formation of self-help, diligence, and cooperation. As a social worker, he gained experience in conducting social development projects not only in the Philippine perspective but also from the Korean setting. Meanwhile, Mr. Napoleon Domingo affirmed that the reason for his continuous collaboration in the project is not because he is mandated to do so but rather his willingness to help Balincaguing village develop under the leadership of SMU. As a volunteer, Mr. Park Kyung Soon stated that his engagement in the collaboration is a life fulfillment and experience that cannot be replaced by any material possession.



CHAPTER 5

ANALYSES AND FINDINGS

5.1 Introduction

This chapter provides the analyses and findings of the data collected and interpreted in the preceding chapters. Data were analyzed to find out how does the collaboration between the key actors and institutions influence the successful implementation of SGP in Balincaguig village. Other analyses and findings relate to the research questions posed in this study and the correspondence of the Theoretical Model of Collaborative Governance by Ansell & Gash (2008) in the implementation of SGP.

This chapter is divided into three sections. First, the Theoretical Model of Collaborative Governance by Ansell & Gash (2008) is applied in the case of the collaboration for SGP. The variables in the model correspond to the overall implementation and administration of the project. Second, an evaluation of the collaboration for SGP highlighting its benefits and limitations is analyzed. Third, a comparison between SGP and other rural development programs is provided. This sub-section highlights the distinctiveness of SGP to other development programs in rural areas implemented domestically and internationally. Fourth, the role of the central government in the administration of SGP is considered. Lastly, the findings related to the outcomes of the collaboration are discussed such as capacity-building, empowerment and participation, and adoption of Saemaul Undong values of self-help, diligence, and cooperation.

5.2 Application of the Theoretical Model in the Collaboration for SGP

In the application of the variables of the Theoretical Model of Collaboration by Ansell & Gash (2008) towards the implementation of the Saemaul Globalization Project, figure 4.4 illustrates the operational framework of this study.

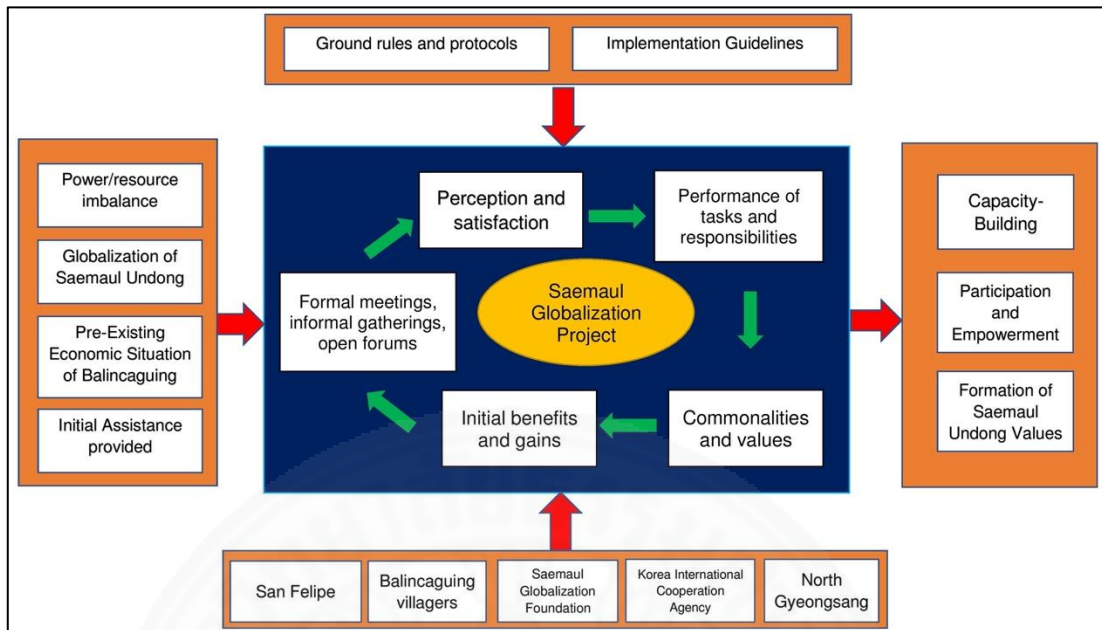


Figure 5.1 Collaborative Governance Model in the Implementation of Saemaul Globalization Project in Brgy. Balincaguig

Source: Author's depiction of the collaborative process for the implementation of SGP in Brgy. Balincaguig

The model above depicts the collaborative governance that took place in the implementation of the Saemaul Globalization Project (SGP) in Brgy. Balincaguig, Philippines. The starting conditions that generate the collaboration refer to the hierarchy in the organization, globalization of SMU, pre-existing socio-economic condition of Balincaguig, and the initial development assistance of North Gyeongsang province to the municipality of San Felipe. These antecedents served as the motivation and grounds for the trans-local government collaboration of North Gyeongsang and San Felipe to pursue.

The facilitative leaders in the collaboration are composed of the municipal government of San Felipe, Brgy. Balincaguig leaders and residents, SGF, KOICA, and the provincial government of North Gyeongsang. These key actors and institutions are the enablers and catalysts of the collaboration and the project proponents and managers of SGP.

The institutional design of the collaboration for SGP pertains to the ground rules and protocols and implementation guidelines that allowed and authorized the collaborative process. The rules and protocols are in the form of formal documents such as Memorandum of Agreement (MOA) and Memorandum of Understanding (MOU), and other informal arrangements among the participants of the collaboration.

In terms of the collaborative process, the factors behind the successful implementation of SGP pertains to the variables of the model. The face-to-face dialogue refers to the formal meetings, informal gatherings, and open forums among the members of the collaboration. Trust-building in the implementation of SGP is measured based on high satisfaction and positive perception of the project facilitators. Commitment to process is assessed through the performance of tasks and responsibilities among the stakeholders. The shared understanding pertains to the commonalities and values learned and acquired during the collaboration. Finally, the intermediate outcomes include the initial benefits and gains of the project participants which determined the recurrence of the collaboration after a series of monitoring and evaluation. These factors enable the collaboration among the participants to be dynamic and effective.

5.3 Evaluation of the Collaboration

In evaluating the collaboration for the implementation of SGP in Brgy. Balincaguing, an assessment and limitation of relationships, processes, and outcomes are considered. In this study, the measurement indicators of effective collaboration are based on the Theoretical Model of Collaborative Governance by Ansell & Gash (2008). Based on the data presented in the preceding chapter, the collaboration in the implementation of SGP is effective in terms of communication, perception, satisfaction, commitment, and understanding among the participants.

One measurement indicator for effective collaboration among the participants is face-to-face dialogue. Based on the interviews, all of the respondents stated that there was an adequate amount of committee meetings and open forums

among the participants of the collaboration. It has been found that the discussions were inclusive and participated by the involved actors from the top to lowest-tier such as the government officials of San Felipe, SGF and KOICA leaders, Korean volunteers, and Balincaguing residents. In addition, the interviewees stated that despite the varying frequency and spontaneity of the meetings and gatherings, the overall implementation of SGP was successful. It is revealed that the forums and gatherings were effective communication channels among the participants of the collaboration to identify the projects to be implemented and to assess the impact and issues of SGP.

In this study, trust-building is measured based on the satisfaction and perception of the collaborators. In accordance with the interview and focus group discussions (FGD), it appears that the project participants are highly satisfied with the collaboration and perceive the project positively. All of the respondents recognized the importance of trust as a long-term commitment throughout the 5-year implementation of SGP. With these in mind, the collaboration of SGP is considered effective due to the trust among the participants characterized by a strong bond, commitment, and relations among the participants.

Commitment to the collaborative process is measured based on the executed responsibilities and performed functions in the implementation of SGP. The tasks are sub-divided into four critical components: planning, negotiation, implementation, and evaluation. Based on the performance task outline of the project participants, the collaboration for SGP is effective due to the usage of checks and balances system. Through the system, each member was able to monitor and evaluate the commitment of other members.

Another critical factor that is vital in the evaluation of the collaboration for SGP is the shared understanding among the project proponents and facilitators. It is revealed that the collaboration is effective due to the common mission, ground, purpose, aims, and objectives that guided the key actors in the successful implementation of the project. Due to shared vision, ideology, and strategic direction in the implementation process, the collaboration went smoothly and favorable outcomes were generated.

The intermediate outcomes signify the continuous flow of the collaboration. It has been found that the initial benefits of the collaboration for SGP made the overall implementation of the project continuous and cyclical. According to the interviewees, the benefits and gains from the collaboration are both in material and ideational forms. The material gains consist of the infrastructures and livelihood opportunities while the ideational benefits pertain to the Saemaul Undong values of self-help, diligence, and cooperation learned by the project recipients. Overall, the collaboration in the implementation of SGP is successful. Based on the interviews conducted with the key actors of the project, SGP is successfully implemented due to their effective collaboration. However, there are challenges and limitations which are inevitable in a collaborative process. The interviewees highlighted such difficulties as follows: (1) overlapping priorities, (2) lost of interest due to the demand for instant benefits, (3) miscommunication due to language barriers, (4) cultural differences.

Overlapping of priorities became inevitable among Balincaguing residents since aside from participating in the implementation of SGP, they also have to attend to their primary source of income. Aside from their occupation, some of the villagers have no time to participate in the collaboration due to multiple household responsibilities.

Lost of interest due to demand for instant benefits also influenced the initial participation and non-participation of the villagers. There were some Balincaguing residents who lacked enthusiasm in the collaborative process since they demand immediate outcomes due to their pre-existing economic situation. However, the latter years of the implementation of SGP were participated by the villagers regardless of their priorities and multiple responsibilities.

The interviewees particularly the Balincaguing village leaders and citizens also noted that there are differences in language and culture which made the project implementation slightly complicated. It is found out that English is not the first language of all the participants of the collaboration. Some of the Korean volunteers and Balincaguing villagers cannot converse in English. Meanwhile, in terms of culture, Koreans are known to be hands-on and meticulous in their work ethics. On the

contrary, Balincaguig residents are laid back and lacks dynamism due to their economic conditions. Despite such complications, the other actors made efforts to resolve the barriers and acted as mediator between the volunteers and the villagers.

5.4 Comparison between Conventional Rural Development Programs and the SGP

Compared to other conventional rural development programs both domestic and international, the SGP seems to be unique in its approach and all-encompassing in its scope. Originated as the rural development program of South Korea, it is not an easy task for the *Saemaul Undong* advocates and policy experts to expand the ideas and values of the project to other developing countries since there are differences in the socio-economic conditions of the recipients. It is true that what might have worked in South Korea may not be totally applicable to others. However, the unusual approach of SMU, through the facilitation of SGP, made such difficulty elapsed. The scope of SGP applied to developing countries is an enhanced version of what has been practiced in rural South Korea. Despite the modernized improvements, SGP remains devoted to the value formation of SMU which employs self-help, diligence, and cooperation. These three values are what made SGP different from other conventional development programs.

As highlighted in the interview with the project members of SGP in Balincaguig, the respondents stated that the values of self-help, diligence, and cooperation were the most critical element that made the collaboration effective and the implementation successful. Compared to the projects implemented in Balincaguig, the villagers positively assessed SGP as non-conventional since it did not only assist the village in the material forms, but also in ideational means. Although the projects implemented in Balincaguig through SGP were common in its form, the technical assistance and capacity-building that were granted through the recipients are out of the ordinary.

5.5 Role of Central Government in the Administration of SGP

In line with the central government initiatives, the SGP has become a supplemental project since its implementation from 2012 until 2016. It is the role of the LGU of San Felipe to align the projects of the Koreans to those implemented by the central government. For instance, the agricultural projects provided by the SGP are assisted by the Department of Agriculture (DA) in terms of technical capacity and human resource training. Alongside the implementation of SGP, the DA conducted training and seminars to Balincaguing farmers. Meanwhile, the sanitation and solid waste management projects of SGP corresponds to the initiatives of the Department of Health (DOH) in terms of public health and sanitation practices.

While the national government has no direct role and function in the collaboration for SGP, certain central government agencies took responsibility in the administration of the project after its 5-year implementation. For the last three years, the central government, through the DA, has been engaged in the sustenance and monitoring of the development projects implemented through SGP in Balincaguing.

With its mandate to promote agricultural development in the rural areas in the Philippines, DA has initiated the support in terms of policy framework, public investments, and support services needed to sustain and maintain SGP in Balincaguing village. It has been found through the interview with Atty. Carolyn S. Fariñas that even during the implementation of SGP, DA has supported San Felipe indirectly through the alignment of national sponsored projects in the method of the application of SGP. Since 2012, the DA has allocated 60 million PHP for various projects such as irrigation repairs and community seed banks to support agricultural production in Balincaguing village (Desiderio, 2012). Initiatives on irrigation included communal irrigation projects (CIP) and pump irrigation projects (PIP). For the community seed bank, the purpose of the project is to provide farmers seeds in the event that their crops would be affected by typhoons.

5.6 Outcomes of the Collaboration

5.6.1 Capacity-Building

Through the interviews conducted, it has been determined that the successful implementation of SGP is a result of the effective collaboration between members of the project. Among the outcomes that contributed the participants of the collaboration is the capacity-building in terms of skills, knowledge, equipment, and other resources. The capacity-building for SGP is a two-way setting not only participated by the Koreans but also the Filipinos. On one hand, the Korean volunteers, KOICA leaders, and SGF officials have offered capacity-building to Balincaguig villagers through leadership training, seminar, provision of livelihood opportunities, and construction of infrastructure projects. On the other hand, the Filipinos have provided cultural exchange with the Koreans and also legitimize the application of SGP to developing countries.

Although the capacity-building attained by the Koreans and Filipinos are short-term and characterized by technical assistance, its scope is multi-dimensional. Among the activities shared in SGP are training and education, capital resourcing, strategic planning, and fiscal management. The core capacities acquired in the collaboration are as follows: (1) leadership capacity, (2) adaptive capacity, (3) management capacity, (4) technical capacity, (5) human resource capacity, and (6) fiscal capacity. Leadership capacity pertains to the ability of the collaborators of SGP to sustain and prioritize the vision and achieve the mission of the project. The adaptive capacity is observed through the ability of the SGP participants to monitor, assess, and respond to the challenges and limitations of the collaboration. The management capacity refers to the potentials of the project facilitators to ensure the effective utilization of resources. The technical capacity signifies the means of the key actors and institutions of SGP to implement their organizational and programmatic functions. The human resource capacity pertains to the ability of the LGU officials of San Felipe to effectively conduct the social development projects particularly the Social Welfare Office. Lastly, the fiscal capacity refers to means of the Balincaguig citizens to generate additional income sources through the

implementation of the SGP. Overall, the capacity-building as an outcome of the collaboration for SGP is effective due to its comprehensive, customized, assessment-based, and peer-connected approach.

5.6.2 Participation and Empowerment

The active participation and collective empowerment are other favorable outcomes in the successful implementation and effective collaboration for SGP. The motivations to participate in the collaboration pertains to the socio-economic condition of Balincaguing and the globalization of the *Saemaul Undong* rural development project. The members of the collaboration participated in the implementation of SGP through these antecedents or starting conditions. During the collaborative process, the members of the collaboration for SGP were empowered due to the initial gains and benefits. The empowerment also dictated the flow and cycle of the collaboration.

In the post-implementation of SGP, Balincaguing villagers have transformed from passive recipients to active participants of development projects. Although the SGP in Balincaguing has been concluded, the flow of projects sponsored by national government and LGUs have been continuous. Compared before, the Balincaguing villagers are now partners of development and they have been maximizing and utilizing the projects for the benefit of the community.

5.6.3 Saemaul Spirit

Exporting the *Saemaul Undong* values is the main goal of the facilitation of SGP in developing countries. The values of self-help, diligence, and cooperation are the guiding principles of the project. It is stated that the unique characteristic of SGP compared to other rural development projects is the spiritual reform brought by the SMU values to the project beneficiaries. The *Saemaul* spirit has provided for the ideological guidance among the participants of the collaboration. The “can do” mindset was endorsed through SGP and has encouraged consistent thinking of optimism towards the achievement of goals. Moreover, the SMU values have converted the selfish, self-defeat, and helpless behavior of the villagers.

In terms of self-help, the SGP has taught Brgy. Balincaguig the sense of ownership and responsibility to carry out the projects assisted by South Korea. The project has transformed the dependency of the villagers into a mindset of self-assurance and self-sufficiency. Meanwhile, the value of diligence has guided the members of the collaboration towards strong work ethics. The value of diligence acquired by the members of the collaboration resulted in the sincerity, perseverance, and frugality. Lastly, cooperation refers to the sense of community for mutual help among the project participants. Cooperation also resulted in the notion of synergy and productivity in the behavior of the key actors.



CHAPTER 6

CONCLUSION, RECOMMENDATIONS, AND IMPLICATIONS

6.1 Conclusion

At the very core, this study aims to examine a non-traditional approach of international development assistance in the form of trans-local government collaboration. Specifically, this study cited the case of the Saemaul Globalization Project (SGP) collaborated by the local governments of North Gyeongsang, South Korea, and San Felipe, the Philippines. The SGP is successfully implemented from 2012 to 2016 in Brgy. Balincaguig. Hence, the collaboration of the project participants is measured based on five critical variables: face-to-face dialogue, trust-building, commitment to process, shared understanding, and intermediate outcomes. Based on the analysis and findings, the successful implementation and administration of SGP in Balincaguig is influenced by the effective trans-local government collaboration of North Gyeongsang and San Felipe in terms of the following: (1) constant and consultative communication through adequate number of formal meetings and open forums, (2) positive perception and high satisfaction among key actors in the collaboration, (3) commitment to perform of tasks and functions, (4) value formation and common understanding, and (5) the initial gains and benefits from the project which made the collaboration iterative and cyclical. With these in mind, it is concluded that an effective trans-local government collaboration may be a supplemental approach for international development assistance and a determining factor in the successful implementation of rural development programs.

6.2 Recommendations

In terms of theoretical recommendations, this study has utilized the Theoretical Model of Collaborative Governance by Ansell & Gash (2008) in consideration of the variables necessary and applicable in the case of the Saemaul

Globalization Project in Balincaguing village, Philippines. Hence, this study recommends to take into consideration the other critical factors when the Collaborative Governance Model for SGP Brgy. Balincaguing (Rollo, 2019) is applied in other *Saemaul* pilot villages. What has worked in Balincaguing may not be successful in other *Saemaul* pilot villages. Moreover, this study is not limited to ‘collaborative governance’ as the theoretical explanation of the collaboration for the implementation of SGP or other rural development projects. Thus, this study recommends the use of other theories or models explaining the phenomena of trans-local government collaboration as a supplemental approach for international development assistance.

For policy recommendations, this study advises the central government to continuously improve the development of the rural sector in the Philippines. Although the population of the Filipinos residing in rural areas has been decreasing incrementally, the country’s growth and progress is uneven and there are regions that are still underdeveloped. Given the reform in the rural development sector, local governments would not need to resort to foreign assistance and heavy dependence on external funds. Also, it is recommended for the central government to develop the human resource and fiscal capacities of local governments in local planning and project development, and utilization of public investment funds other than direct ODA grants.

6.3 Implications

Examining trans-local government collaboration as an approach for international development assistance for rural development entails significance in three aspects: (1) further studies, (2) practical application, (3) self.

First of all, the results of this study will be theoretically beneficial to the literature and studies of rural development, international development, local governance, and *Saemaul Undong*. Moreover, this study has justified the validity and reliability of the Model of Collaborative Governance of Ansell & Gash (2008) as the framework of effective trans-local government collaboration. Additionally, this study

has offered a potential foundation for further research of trans-local government collaboration as a non-traditional and supplemental approach for international development assistance.

Secondly, the results of this study aim to contribute to the key actors and institutions who were interviewed in terms of their practice and application of collaborative governance in their policies and programs. This study aims to be beneficial to the policymakers of the Philippines to improve the administration of rural development programs so that local governments will not to seek for foreign assistance with their counterparts from other countries. Also, this study is beneficial to South Korea in terms of its promotion of Saemaul Undong as an Official Development Assistance (ODA) in terms of rural development.

Lastly, this study is beneficial to the author in terms of his academic interest and career. The author of this research aspires to develop his interests and core competencies in international development and cooperation, collaborative governance in the Asia-Pacific region, and social policy. Moreover, this research is expected to contribute to the career of the author in his pursuance to be affiliated in social development institutions or international assistance agencies.

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APPENDICES

APPENDIX A
LIST OF KEY-INFORMANT INTERVIEWEES

Interviewee/ Respondent	Position	Institution	Method/Place of Interview
Atty. Carolyn S. Farinas	Municipal Mayor (2010-2016)	Municipal Government of San Felipe (Zambales, Philippines)	Face-to-face interview at Olongapo City, Philippines
Mr. Conrado Aldaba Jr.	Project Coordinator	Municipal Government of San Felipe (Zambales, Philippines)	Face-to-face interview at San Felipe, Zambales, Philippines
Mr. Rowel Villanueva	Social Worker	Municipal Government of San Felipe (Zambales, Philippines)	Face-to-face interview at San Felipe, Zambales, Philippines
Mr. Napoleon Domingo	Barangay Captain (2012-2016)	Brgy. Balincaguing	FGD at Brgy. Balincaguing
Ms. Cynthia Abdon	Barangay Captain (2016-2018)	Brgy. Balincaguing	FGD at Brgy. Balincaguing
Mr. Jesse Dansalan	Barangay Captain (2018-present)	Brgy. Balincaguing	FGD at Brgy. Balincaguing
Ms. Evelyn Farala	Leader	Balincaguing Women's Association	FGD at Brgy. Balincaguing
Mr. Lee Kyung Bok	Project Manager	Saemaul Globalization Foundation (SGF)	Online interview through Line Messenger
Mr. Park Kyung Soon	Volunteer		Online interview through Facebook Messenger

APPENDIX B

LIST OF SEMI-STRUCTURED INTERVIEW QUESTIONS

- A. Questions for the Provincial Government of North Gyeongsang and Municipal Government of San Felipe
1. What is the motivation behind the collaboration and partnership of the provincial government of North Gyeongsang (Gyeongsangbuk-do) of South Korea, with the municipal government of San Felipe, Zambales province, Philippines in so far as rural development and Saemaul Globalization Project (SGP) are concerned?
 2. What are the roles and responsibilities of the stakeholders in the implementation of the project in terms of the following aspects?
 - a. Planning
 - b. Negotiation
 - c. Implementation
 - d. Evaluation
 3. How did the stakeholders address the difficulties and challenges confronted before, during, and after the collaboration?
 4. Why did the two local governments (North Gyeongsang and San Felipe) choose Balincaguig village as the first recipient of SGP in the Philippines and Southeast Asia?
 5. How did the two local governments measure the success of the SGP after its implementation in 2017?
- B. Questions for the Saemaul Globalization Foundation (SGF)
1. How did SGF collaborate with the two local governments in the implementation of the SGP?
 2. How did SGF select the volunteers for the project?
 3. What are the roles and responsibilities of SGF and its volunteers in the implementation of the project in terms of the following aspects?

- a. Planning
 - b. Negotiation
 - c. Implementation
 - d. Evaluation
4. How did SGF measure the success of SGP after its implementation in 2017
 5. How did SGP address the difficulties and challenges confronted before, during, and after the collaboration?

C. Questions for the Korea International Cooperation Agency (KOICA)

1. What are the roles and responsibilities of KOICA in so far as the implementation of Saemaul Globalization Project in Balincaguing village is concerned?
2. How did KOICA collaborate with the two local governments of North Gyeongsang, South Korea and San Felipe, Zambales, Philippines?
3. What are the roles and responsibilities of the stakeholders in the implementation of the project in terms of the following aspects?
 - a. Planning
 - b. Negotiation
 - c. Implementation
 - d. Evaluation

D. Questions for the leaders (Barangay Captains) of Balincaguing village and citizens for focus group discussion

1. How did the two local governments (North Gyeongsang and San Felipe) collaborate with the officials of Balincaguing village?
2. What are the impacts of SGP to the village citizens?
3. How did the SGF volunteers collaborated with the village citizens?
4. How did the village citizens collaborate with the stakeholders in terms of the planning, negotiation, implementation, and evaluation of the SGP?
5. What are the difficulties and challenges confronted by the villagers before, during, and after the implementation of SGP?

APPENDIX C
DETAILS OF THE SAEMAUL GLOBALIZATION PROJECT
IN BALINCAGUING VILLAGE

Total Budget for the Implementation of SGP in Balincaguing:

924,000,000 KRW or approx. 800,000 USD

Source: Lim & Jung (2019); Saemaul Globalization Foundation (SGF)

2012 Priority Projects



Construction of community hall (before and after)



Construction of kindergarten center (left) and library (right)



Pig Breeding



Formation of Saemaul Organization and Saemaul training

2013 Priority Projects



Expansion of drinking water wells



Paving village roads



Installation of public toilet

2014 Priority Projects



Organic farming and vegetable gardening



Chicken poultry

2015 Priority Projects



Organic fertilizer and breeding earthwork projects



Mushroom production

2016 Priority Projects



Sewing



Computer Literacy Training

Other programs/projects: waterlily weaving, taekwondo class, construction of playground, provision of disposable bins, irrigation and post-harvest facilities, cultural exchange, provision of sports equipment, and cowbanking

BIOGRAPHY

Name	Mr. Marvin Renelle Crucillo Rollo
Date of Birth	December 27, 1997
Educational Attainment	Academic Year 2020: Master of Arts (Asia Pacific Studies) Thammasat University, Thailand Academic Year 2018: Bachelor of Arts (Political Science) University of Santo Tomas, Manila, Philippines
Scholarship	2018-2020: Thailand International Cooperation Agency (TICA) Royal Thai Government Scholarship
Publications	Rollo, M. R., & Areta, K. (2019). Collaborative Governance in Batangas, Philippines: A Manifestation of the Implementation of SALINTUBIG (Sagana at Ligtas Na Tubig Para Sa Lahat) Program. <i>Journal of Asian Review of Public Affairs and Policy</i> , 4(3), 37–59.
Work Experience	2019: Leadership Associate Civic Concepts International