

**Building effective partnerships :  
a framework and plan of action for CAAP  
(Canada's Aboriginal action plan)**

/ submitted by Moses N. Kiggundu ;  
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# **BUILDING EFFECTIVE PARTNERSHIPS**

## **A Framework and Plan of Action for CAAP**

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## Quotations

“There are no institutions strong enough to do everything. The winners will be those that successfully network and make partnerships work.”

Unknown

“It is no longer... We versus They... now it is Us or nothing”.

Jac Fitz-enz Human Value Management,  
Jossey-Bass, 1990, P. 53.

“This our business has nothing to do with writing and you keep trying to put it down and in the process you ruin it for us”.

An elder of the Ya-Na Tribe  
Quoted from Martin Staniland, *The Lions Dagbon:  
Political Change in Northern Ghana*, Cambridge:  
Cambridge University Press, 1975, p. vii.

“And we thought we were so foolish because we could not write. Yet look, we had all this information inside us”.

A Tembomvura women, Zimbabwe,  
Quoted in Robert Chambers, *Whose Reality Counts:  
Putting the First Last*, Intermediate Technology  
Publications, London, UK, 1997, P. 130.

“Development anthropology... is now prepared to concede that traditional societies could have growth-positive as well as growth-negative factors and elements in its societal and individual psyche; and the skill of development management consists of properly identifying them, describing them, understanding their routes and linkages, and then going about isolating, marginalizing, or removing the negative elements while incorporating, enlisting, and productively utilizing the growth-positive elements. This is the biggest challenge to the managerial revolution so badly needed in the economic development of other cultures.”

Sitakant Mahaptra, “Management of development in tribal cultures: Ideology and leadership.” In Management in Developing Countries, Alfred M. Jaegar and Robindra N. Kanungoeds., London: Routledge, 1990, p. 270.

## Executive Summary

This paper addresses issues of partnership, capacity development, and participation as they relate to the effective implementation of Canada's Aboriginal Action Plan (CAAP). It provides both conceptual definitions and practical applications of these concepts and outlines the conditions necessary for building effective sustaining partnerships. Capacity development, considered critical for CAAP partnerships, is discussed in terms of process, content, and performance. Participation is discussed in terms of key stakeholders and their involvement and influence over partnership policy decisions, resources, and programme implementation.

Several lessons of experience and "best practices" are outlined in the paper to illustrate their practical applications and possible relevancy for CAAP. These experiences are drawn from international development case studies and communities with circumstances similar to those of Canada's Aboriginal people.

The paper also presents a framework and plan of action for guiding in the implementation of CAAP partnerships. The framework has many aspects but the three factors considered most important are:

1. A critical mass of partnership visionary leadership,
2. Common, shared partnership values and understanding, and
3. Community pride, trust, and ownership of CAAP.

These are the three minimum requirements for developing an effective CAAP implementing strategy.

As part of the plan of action, it is recommended that CAAP lead agencies such as INAC should begin with a process of self-assessment to determine their capacity and readiness for the effective implementation of CAAP and to develop implementation strategies accordingly. Quick short term interventions are also recommended to retain long term stakeholders' interests and commitment.

## Section 1

### Building Effective Partnerships

#### 1. Introduction

The Department of Indian and Northern Development has a simple mission statement: Working together to make Canada a better place for First Nations and Northern peoples. As part of the strategy for putting this mission into practice, and as part of the response to the Royal Commission on Aboriginal People (RCAP) Report, the Department has developed Canada's Aboriginal Action Plan (CAAP). CAAP is a complex multidimensional framework for partnership and change: positive, pervasive, participative, sustaining, mutually beneficial and culturally sensitive change. Its four main objectives are: (i) partnerships, (ii) governance, (iii) fiscal relationships, and (iv) strong communities, people and economies.<sup>1</sup>

CAAP is both a challenge and opportunity. In order to translate these ideals into practical realities and achieve its rather ambitious goals, including the attainment of sustaining improvements in the work and lives of all partners and stakeholders, it is necessary to develop individual and collective (groups, organizations, institutions, communities, nations) competencies and capacities for the effective and participative implementation of the partnership. Because of the need for national visionary leadership, CAAP can be conceived as a top down initiative. The challenge now is to transform it into a bottom up participative, democratic, results oriented, community based, community owned, and community driven partnership.

CAAP will be a long and protracted journey. It will require, among other things, major cultural changes including the development of a common shared understanding of partnership, on-going mobilization of resources, developing sustaining capacities and competencies for fulfilling the four objectives above, building new institutions and discarding old ones, reaching out to a wider range of partners and enticing communities, learning new ways of doing business and unlearning old habits, and constantly demonstrating to the partners and their respective constituencies of the value or benefits of the partnership. Above all, it will require long term visionary leadership and strategic management from all parties to the partnership.

#### 2. Purpose:

The purpose of this paper is fourfold:

- A. To provide a brief discussion of the concept of partnership and its current applications in various forms of governance, and to outline key conditions and characteristics of effective partnerships.
- B. Given the need for building new partnerships, the paper briefly discusses the concept of capacity development and its relevancy for CAAP.
- C. The paper provides examples and "best practices" with respect to partnership and capacity development, drawing on experiences from various developing countries and transition economies.



D. Finally, the paper provides a framework for the development of action plans for the effective implementation of CAAP initiatives.

### 3. What is Partnership?

Partnership is in vogue. As a concept and as an organizing instrument, it is used widely to refer to a wide range of different ad hoc and more permanent arrangements designed to bring together resources, individuals, groups, communities, organizations, etc., representing different interests or constituencies with the objective of advancing their individual and collective interests. In the area of governance, the new international order which seems to emphasize cooperation rather than conflict or hegemony, partnership has emerged as the catch-word for the emerging international relationships. In the private sector, however, partnership seems to be driven by economic, technological, managerial and political forces of globalization. Unfortunately, partnership means different things to different partners, and sometimes different things to the same partners at different times.

Table I provides a summary of some of the common areas of application of partnership relationships. It also shows some of the potential CAAP partners. The Table illustrates the richness of the application of the concept of partnership as well as the different forms of partnerships implied in CAAP's "gathering strength". One of the implications is that the agencies listed as potential CAAP partners have the institutional capacity for developing and sustaining effective partnerships or the resources to develop the necessary capacities and competencies.

In the international community, especially North-South discussions, either between donors and recipient governments, or between Northern and Southern NGOs, the use of the concept of partnership is almost passe. Historically, Northern partners are perceived as unable or unwilling to forge and sustain mutually beneficial partnerships. As one Southern leader observed, "Our Northern friends cannot walk the partnership talk. The horse and the rider are partners." Accordingly, attempts are being made by some partners to use different concepts such as collaboration, alliance, etc. which are considered less loaded.

### 4. True Partnership

True partnership is a mutually beneficial relationship between or among groups with identifiable joint rights, responsibilities, and obligations. It is characterized by shared values and a willingness to work together toward common shared goals. Partnership must not be a passing fad or a one-mandate commitment to change. Rather, it must be **built to last** and seen by partners and stakeholders as a long term, on-going, dynamic strategy for positive change. This means that the partners must have the capacity to retain their respective **core values** while at the same time bringing about significant changes in the relationships among partners and stakeholders.<sup>ii</sup>

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**Table I**  
**Select Examples of Partnership Arrangements**

Generic Partnerships	Select CAAP Partners
1. North-South/South-North	1. INAC
2. Settlers – Indigenes	2. First Nations
3. Government – Business	3. Provincial Governments
4. Government – NGOs/CBOs	4. Aboriginal Organizations (NGOs/CBOs)
5. Government – Government	5. NGOs/CBOs
6. University – Industry/NGOs	6. Business Organizations
7. Business – Business/NGOs	7. Aboriginal Business Organizations
8. NGOs – CBOs	8. International Organizations
9. Environmentalists – Developer	9. International Aboriginal
10. Management – Union/Government	10. United Nations Organizations
11. Country – Country (bilateral, multilateral)	11. Federal Departments/Agencies:
12. People – People	- Health Canada
	- HRDC
	- Solicitor General Canada
	- Natural Resources Canada
	- Industry Canada
	- CMHC
	- Dept. of Fisheries and Oceans
	- Industry Canada
	- Environment Canada
	- Dept of Foreign Affairs and International Trade (FAIT)
	- Others

**Note:** NGOs = Non-government organizations; CBOs = Community based organizations; INAC = Indian and Northern Affairs Canada; HRDC = Human Resources Development Canada; CMHC = Canadian Mortgage and Housing Corporation.

In general, partnerships are a good idea when:

- They help to achieve important social, political and economic objectives which the parties alone cannot achieve individually.
- The costs of continued conflict or inaction are too high or unacceptable to the parties or their constituencies.
- Objectives are clearly defined, acceptable to the parties, and are attainable and measurable.
- Consensus is possible or likely, and agendas are compatible, open, clearly defined, and not inherently in conflict.
- The programme of action is considered important but the government does not have the resources, capacity, power, or political will to go it alone.
- Effective partnership institutions are either in place or in the process of being developed and where there is strong visionary committed leadership.



## Box 1

### Tri-Sector Partnerships

The roles and responsibilities of business, civil society and state in development are changing, and becoming more interdependent. We are moving from a world in which the state had sole responsibility for public good and business maximized profits independently of interests of society at large, to a world where success depends on the close synergy of interests among business, civil society and state.

Business is the engine in wealth creation...Civil society's role and influence is expanding...States are reinventing themselves. Faced with these new realities, new forms of synergy, partnerships and alliances are appearing all over the world.

Partnerships can deliver better social development results than any of the three parties attempting the same interventions alone or with just one of the other two parties.

Partnerships build trust, mutual respect, and an expressed commitment to common goals. Increased trust means improved risk management and improved bottom-line performance.

Source: Partnership Opportunities: Business Partners for Development. A Discussion Paper. The World Bank Group, Washington, D.C. December 1997.

## 5. Partnership: Benefits and Risks

Partnerships are as common as they are difficult to implement and sustain effectively. It is important to think through the benefits and risks associated with any proposed partnership. It is also the case that such benefits and risks could change with different partners or stakeholders, and over time. Table II summarizes some of the common benefits, risks and disadvantages associated with partnerships. The Table can be used as a preliminary diagnostic tool for partnership champions and managers in developing strategies to overcome the obstacles and strengthen the benefits. Partnerships also involve different risks for different partners and these need to be properly assessed and managed. These risks can be political, economic, sociocultural, or administrative and CAAP has examples of each of these types of risks.

Box 1 outlines the elements of tri-sector partnerships between the business, civil society and the state as conceived by the World Bank. Table III provides summary guidelines for developing three-way partnerships between indigenous people, corporations and government. These guidelines, though originally developed for environmental projects assessments, are presented here because they are considered relevant for the development of different forms of CAAP partnerships. They are particularly attractive because they were developed with the explicit intention of drawing on traditional knowledge in the assessment of environmental projects. Effective CAAP partnerships will need to draw on traditional knowledge.

**Table II**

**Partnerships: Benefits, Advantages, Risks and Obstacles**

<b>Benefits/Advantages</b>	<b>Risks/Obstacles/Disadvantages</b>
<ol style="list-style-type: none"><li>1. Common and shared vision and purpose directed toward the goals of the partnership.</li><li>2. Pooling together resources, experiences and capacities: Synergy</li><li>3. Building consensus through dialogue and mutual adjustments.</li><li>4. Awareness of stakeholder interests. Focussing on service delivery and greater stakeholder empathy (not sympathy).</li><li>5. Better coordination: Mobilization and utilization of resources.</li><li>6. Development of attitudes and norms that encourage risk taking, innovation and creativity.</li><li>7. Trust, credibility, and legitimacy from partners and stakeholders.</li><li>8. Emergence of strong, supportive organizational infrastructure, visionary, and democratic leadership.</li></ol>	<ol style="list-style-type: none"><li>1. Bad history: Fear, bias, no shared vision, incompatible goals.</li><li>2. Risk of selling out with respect to specific stakeholder interests.</li><li>3. Incompatible cultural or value differences.</li><li>4. Fear of loss of control: Financial risk, legal liability, reduced flexibility in decision making, blurring accountability, systems incompatibility.</li><li>5. Hidden costs and liabilities.</li><li>6. Government reluctance to share power.</li><li>7. Heavy demands for coordination: Extensive consultation.</li><li>8. Challenges of adjusting to new roles, responsibilities, relationships.</li><li>9. Unrealistic expectations, poor communications.</li><li>10. Too much emphasis on process rather than outcomes.</li><li>11. Weak or ineffective partnership structures, systems, rules, procedures, etc.</li><li>12. Weak leadership.</li></ol>

**Table III**

**Guidelines for Developing Three-Way Partnership Projects**

Indigenous Guidelines	Corporate Guidelines	Government Guidelines
<ol style="list-style-type: none"> <li>1. Form a Representative Group</li> <li>2. Predict all the Possible Impacts of the Project</li> <li>3. Don't be Left Out: Get Involved</li> <li>4. Rules: Ask Lots of Questions</li> <li>5. Use Your Traditional Knowledge</li> <li>6. Insist on Your Rights: Know Your Bottom Line</li> <li>7. Find out what Other Partners Know and How They Operate</li> <li>8. Know What Your People Need, Want</li> <li>9. Find Out What They Want From You and Why</li> <li>10. Don't be Outmaneuvered</li> <li>11. Get Other Neighboring Communities Involved</li> <li>12. Communicate Directly with Government Agencies</li> </ol>	<ol style="list-style-type: none"> <li>1. Respect Local Customs and Etiquette</li> <li>2. Predict all the Possible Impacts on the Community</li> <li>3. Don't Leave Indigenous People Out: Get them Involved</li> <li>4. It is to Your Long Term Advantage to Play Straight</li> <li>5. Communicate so that Indigenous People Understand</li> <li>6. Respect Indigenous Intellectual, Cultural and Traditional Rights</li> <li>7. Work with Traditional Knowledge</li> <li>8. Negotiate Based on Equity, Empowerment and Respect: Do Not be Greedy</li> <li>9. Provide Local Community with Complete Information</li> <li>10. Don't be too Legalistic</li> <li>11. Negotiate Mutually Acceptable Dispute Resolution Mechanisms</li> <li>12. Invest in the Development of Partnership Capacity</li> </ol>	<ol style="list-style-type: none"> <li>1. Establish and Enforce Sustainable Policies for Natural Resources in the Interest of the Indigenous People</li> <li>2. Develop Sustainability Strategies by Involving All Stakeholders</li> <li>3. Separate Government Agencies that Exploit from those which Regulate Resources</li> <li>4. Enforce the Traditional Resource Rights of Indigenous People</li> <li>5. Protect Indigenous People from Undue Outside Influence so they can Preserve and Develop their Cultures, Languages, etc.</li> <li>6. Be Aware of Relevant International Statutes and Conventions as they Relate to Indigenous People</li> <li>7. Invest in Capacity Development for Indigenous People, Organizations and Nations</li> </ol>

Source: Guidelines for Environmental Assessments and Traditional Knowledge. Canadian International Development Agency, March 1997, pp 71-74.

Tools are important for building effective partnerships. Accordingly, Annex I is provided here as a checklist for a series of questions individually for Aboriginal partners, INAC, and for the partnership (joint responsibilities). These questions speak to different areas of responsibilities ranging from commitment to partnership objectives to mobilizing resources and fostering democratic participation. For each question, the respondent indicates how much of the particular area of responsibility has been addressed, how important it is for the partnership, and what action plan is being recommended.

Like anything else, partnerships have to be managed. Box 3 lists a number of questions intended to help partnership managers and stakeholders to think strategically about CAAP and its partnerships. Since CAAP is essentially a strategy for change, here the emphasis is on understanding and strategically planning and managing change. CAAP partnership managers must be familiar with change management strategies and leave the necessary competencies for managing complex multidimensional change.

### **Box 2**

#### **Getting Partnership Managers and Stakeholders to Think and Act Strategically for CAAP**

1. WHAT IS THE NATURE OF THE CAAP POLICY CHANGE TO BE IMPLEMENTED
2. WHO IS IN CHARGE? (KEY PARTNERS, STAKEHOLDERS)
3. WHO UNDERSTANDS AND SUPPORTS THE CHANGE?
4. WHO/WHAT COULD PREVENT THE CHANGE FROM HAPPENING? (STAKEHOLDER ANALYSIS)
5. WHAT WILL IT TAKE TO GET KEY ACTORS TO TAKE THE STEPS NEEDED TO IMPLEMENT THE CHANGE?
6. WHO IS RESPONSIBLE FOR WHAT? WHERE DO I FIT IN?
7. WHERE TO BEGIN? WHAT TO DO NEXT?
8. HOW WILL I KNOW IF MY STRATEGY IS WORKING?
9. HOW DO WE CELEBRATE SUCCESS AND LEARN FROM FAILURES?

Most of the partnerships arising out of CAAP are likely to be asymmetrical. This means, among other things, that the different parties to the partnership do not share the same characteristics nor are they equally endowed with resources necessary for developing and sustaining a mutually beneficial partnership. Therefore, the parties to the partnership must work together to build their respective capacities and move to more symmetrical forms of partnership. The concept of capacity development is discussed in more detail later in the paper. It is introduced here in terms of its principles and implications for partnerships.

Box 3 summarizes the results of a recent study of partnership and institutional strengthening between Canadian and African development partners. It lists twelve principles which characterize effective partnerships and points out four areas where partnership capacities were

strengthened. The principles include shared vision, mutual trust and accountability, and sensitivity to each other's political, economic, social and cultural context. The areas of institutional strengthening included management and administration, democratic development, community development, and strategic capacity. These principles are quite relevant for CAAP partnerships and their needs in the areas of capacity development and institutional strengthening.

### **Box 3**

#### **Partnership: Principles and Implications for Capacity Development**

A recent study of partnership and institutional strengthening carried out for Partnership Africa Canada (PAC) found that the following principles characterized effective partnerships:

- Mutual trust and respect
- Long-term commitment of Canadian partners
- Common values, goals and purposes
- Shared vision of development
- Solidity: Unity of purpose, community of interests
- Personal contacts and exchange visits
- Flexibility
- Sensitivity to each others political, economic, social, and cultural context
- Mutual accountability
- Openness and transparency
- Dialogue and sharing of ideas
- Full respect of the autonomy of the southern partners

The study also indicated that these partnerships had direct impact on capacity development in areas such as:

1. Strengthening administrative and management capacity of partners through training workshops, courses, on-the-job training, visitations, etc. Areas of focus include management, professional and technical skills, management systems and processes, accounting financial management, information and communications.
2. Stronger and more democratic relationships between partners and with their respective constituencies through greater participation of constituents in boards, committees, meetings and conferences.
3. Building community capacities through training in organization development, project and resource management, group dynamics, negotiations, problem solving, literacy and income generating or poverty reducing activities.
4. Building strategic capacity through North-South and South-South linkages, international networking, alliance building, policy dialogues and access to several funding sources.

**Source:** Partnership Africa Canada, Report of the Study of Partnership and Institutional Strengthening, prepared by Sulley Gouba, Yusuf Kassam and Louise Thibault of G.A.S. Development, ACCRA, Ghana, and E.T. Jackson and Associates Ltd. Ottawa, 1994. Available from CPB, CIDA, Hull, Quebec ([www.acdi-cida.gc.ca](http://www.acdi-cida.gc.ca)).



## Section 2

### Capacity Development for Effective Partnerships

#### 1. What is Capacity Development?

This is another widely used concept especially in international development which conjures a range of meanings and emotions. To some people, it is synonymous with training, human resource development, organization development, institutional strengthening, infrastructure development, community mobilization, or improvements in administration, management and leadership. Yet to others, it is simply the availability of resources: Money, equipment, machinery, information, etc.<sup>iii</sup>

For purposes of this paper, drawing on the experiences from international development, capacity development, capacity development is defined as the ability and willingness (motivation) of individuals, groups, teams, organizations, communities, partnerships, or nations, drawing on the vision of their leaders to:

1. Define, scan and analyze self and external environment.
2. Identify and formulate key development issues, needs, opportunities and priorities.
3. Formulate appropriate strategies to respond to or meet these needs by setting a development agenda.
4. Devise and implement a plan of action including mobilizing and utilizing resources efficiently, effectively, and with due economy.
5. Establish and maintain partnerships, alliances, and networks with others for mutual understanding and support.
6. Monitor performance, ensure feedback and learning, and make necessary adjustments for revising agenda, acquiring new skills, knowledge and competencies, and strategies, and,
7. Ultimately bring about significant sustaining improvements in the stakeholders' human condition.

Needless to point out, capacity development is a complex multidimensional concept: It is both strategic and operational, long term and immediate, its about content and process, it concerns and deals with people and systems and is concerned with both hard and soft results and outcomes. Whether an intervention or group of interventions (e.g. training, fund raising, computerization) constitutes capacity development depends on whether or not both the process and content of the intervention meet the development objectives as collectively determined by the partnership stakeholders.



There are at least four essential conditions for effective capacity development to take place. These conditions, summarized in Box 4, are: (i) leadership, (ii) resources, (iii) enabling environment, and (iv) local ownership, participation and commitment. Leadership is needed to provide the vision, purpose and goals, resources are needed to move towards goal attainment, the enabling environment provides support to the actors and reinforces the “rules of the game”, and local ownership provides the human sentiments necessary for perseverance.

#### **Box 4**

#### **Essential Conditions for Capacity Development**

1. Leadership:  
Visionary, legitimacy, mandate, political will, charisma, creativity, inclusion, sagacity, confidence, risk management, democratic values, spiritual, strategic, institutional, managerial.
2. Resources:  
Material, financial, informational, organizational, technical, human, political, institutional, spiritual.
3. Enabling Environment:  
Legal, cultural, institutional, political, communal, socioeconomic, ecological, technical, organizational, spiritual, voice.
4. Local Ownership, Participation, and Commitment:  
Stakeholder participation, local pride, symmetrical partnerships, community based beneficiaries, locally impacting benefits, active local leadership involvement, broad-based feedback, community based learning and celebrations.

Both in the areas of governance and macroeconomic management, experiences from developing countries and transition economies show that visionary leadership is very important for developing partnership capacities. As the quotation in Box 5 shows, this visionary political leadership is required at all levels of society, not only at the top. If one reads Box 5 in connection with Table I above, the implications for the need to develop visionary leadership capacities for CAAP partnerships are quite obvious. It is imperative that capacity development initiatives be directed at all levels of partner organizations within the federal government, relevant provincial governments, private sector (profit and nonprofit), as well as Aboriginal organizations, communities, groups, families and individuals.

## Box 5

### Visionary Political Leadership for Partnership Capacity Development

“The most vital element of this is a shared set of values and attitudes: A deep respect for open debate, ethical principles, the rule of law, transparency, and accountability, and a willingness to be publicly challenged if behaviour falls short of proclaimed intent. In addition, such capacity requires a range of management, analytical, strategic, and communications skills that will enable leaders to assess and understand situations, their opportunities and risks, and their likely development. It requires leaders to form a consensus out of diverse interests, to enunciate strategic goals and to transform these into programmes of action, and to manage and evaluate the implementation of action programmes. Such capacities are needed not only within government agencies and productive enterprises; they are just as important among civic groups, professional associations, academic institutions, and community organizations. These capacities set the context for all others and are therefore the most important. They plant the seeds for future self-reliance, stability, sustained growth and development”.

Source: Partnership for Capacity Building in Africa: Strategy and Programme of Action. A Report of the African Governors of the World Bank, Sept. 28, 1996, Washington, D.C.

## 2. Capacity Development: Process Content and Performance

Capacity development can be understood and analyzed using the three phases of (I) process, (ii) content, (iii) system performance. Process refers to the mechanisms and behavioural patterns by which various capacity development initiatives are planned, implemented and assessed. Content refers to the substantive content of the various capacity development initiatives, while system performance refers to the changes in performance resulting from the implementation of various capacity development initiatives. Box 6 summarizes these three phases.

Box 6

Indicators of Capacity Development

<b>Capacity Development</b>	<b>Indicators</b>
<b>Process</b>	<ol style="list-style-type: none"><li>1. Visioning, participation, strategizing, planning</li><li>2. Community organization</li><li>3. Joint decision making, problem solving, conflict management</li><li>4. Resource mobilization</li><li>5. Capacity assessment</li><li>6. Stakeholder/partner analysis</li></ol>
<b>Content</b>	<ol style="list-style-type: none"><li>1. Organizational strengthening</li><li>2. New programmes</li><li>3. New technology, systems, rules, procedures, etc.</li><li>4. Skills, knowledge, competencies</li></ol>
<b>Performance</b>	<ol style="list-style-type: none"><li>1. Strong effective leadership</li><li>2. Competent and motivated members</li><li>3. More effective partnerships</li><li>4. Better service delivery</li><li>5. Money and other resources mobilized</li><li>6. Economic development indicators</li><li>7. Social development indicators</li><li>8. Political, democratic development indicators</li></ol>

It is tempting to ignore questions of process and concentrate on content and performance. However, experience shows that process considerations are important for effective capacity development especially for new partnerships. For example, participation has been found to enhance commitment and ownership and to enhance the quality of project implementation in international development. Where the local partners are not accorded meaningful participation, they lack commitment, and a sense of ownership necessary for sustained effort. By the same token, it must be emphasized that capacity development is not only process. Technical questions of content (what goes into capacity development) and system performance (the results of capacity development) are important and must be fully discussed by the partners. For example, specific capacity development interventions such as training and human development programmes must be assessed against clearly stated goals and outcome indicators of performance.

**3. Capacity Development: Lessons of Experience**

There is a small but growing international development literature documenting field lessons of experience in capacity development, partnership and participation between donors and aid recipients. Tables IV and V summarize the results of a select number of case studies from different countries and sectors. Table V attempts to draw capacity development implications from the lessons of experience.

**Table IV**

**Capacity Development: Lessons of Experience from International Development**

Project	Lessons
1. Peru-Canada Counterpart Fund (1989-1996)	<ol style="list-style-type: none"> <li>1. Clear mission adopted to certain values from the start. Implementation strategy evolved over time.</li> <li>2. The structure of the fund reflected the particularities of the Country (Peru) context.</li> <li>3. Good management was essential to good performance.</li> <li>4. The Fund addressed systemic barriers to poverty alleviation by progressively building critical human, community and institutional capacities.</li> <li>5. Effective poverty reduction through multi-sector programming (food production, marketing, gender, environment, etc.) which is mutually reinforcing, promotes local ownership, and encourages indigenous practices (e.g. Inca and pre-Inca irrigation systems).</li> </ol>
2. Zimbabwe Co-operative Housing: 1991-1999	<ol style="list-style-type: none"> <li>1. The project built on local capacities while making an essential Canadian contribution.</li> <li>2. The project took a systemic, multi-pronged approach adapted to local context.</li> <li>3. The project built capacity in systematic, manageable steps to achieve sustainable co-operative housing.</li> </ol>
3. Environmental Management Development in Indonesia: 1983-1996	<ol style="list-style-type: none"> <li>1. Capacity development initiatives required a strategic approach based on a clear understanding of the context in which the project took place and the initial existing capacities both locally in Indonesia and in Canada.</li> <li>2. Ownership was critical to project sustainability. Ownership derived from commitment, participation and assumption of responsibility by local partners at various stages of the project.</li> <li>3. Project design of such a large, risky project needed to be iterative, adapting to the changing environment and context.</li> <li>4. The project needed a long time perspective in order to gain local self-reliance.</li> <li>5. The Canadian partners may have lacked the capacity to manage a project of this size and complexity.</li> </ol>
4. Egypt Environment Projects: Water, Soil Management: 1997-2004	<ol style="list-style-type: none"> <li>1. Capacity development for different partners began at the project planning, not implementation phase.</li> <li>2. For participatory planning to work, stakeholders must be willing to invest time, including waiting time.</li> <li>3. Participatory practices require attention to sequencing and timing: Involving certain stakeholders too soon or not soon enough can undermine the project.</li> <li>4. The project mix should minimize disbursement pressures or the pressures to deploy resources before local partners have the necessary capacity and commitment.</li> <li>5. Pre-project briefing and team building among the partners proved synergistic and enhanced shared understanding and commitment to the project.</li> </ol>

Source: Canadian International Development Agency, Projects files.

**Table V**

**Early Childhood Development:  
Lessons of Experience and Implications for Capacity Development**

Lessons of Experience	Implications for Capacity Development
<ol style="list-style-type: none"> <li>1. Local culture offers options for implementing and extending ECD</li> <li>2. There needs to be focal point for ECD</li> <li>3. Community participation is the bedrock for ECD and is necessary to attract human, financial and material resources at the local level.</li> <li>4. Localizing ECD initiatives is critical to effectiveness.</li> <li>5. Institutional capacity is key to sustainability.</li> <li>6. It is effective to combine nationwide activities and individual initiatives at local levels.</li> <li>7. Programme quality and impact must be monitored more systematically to assess impact.</li> <li>8. Adopt a long term perspective.</li> </ol>	<ol style="list-style-type: none"> <li>1. Combine traditional culture and healing rites with science based knowledge on ECD. Train professionals, parents and youth teachers and organize them as operational teams.</li> <li>2. Mobilize mass media resources for communication, promotion and education of ECD programmes and benefits.,</li> <li>3. Develop community capacity for participation (organizing, management, fundraising, etc.). Train ECD workers and volunteers in close proximity to the location of their work. This helps instill realistic expectations (RJPs) and boosts trainee confidence.</li> <li>4. Develop and mobilize local ECD awareness, interest, skills and competencies. Employ local people.</li> <li>5. Develop the capacity of local institutions for ECD.</li> <li>6. Develop institutional capacity for policy and operational coordination at the national, subnational and local levels (training, research, advocacy) bringing together public, private and community based organizations. Raise public awareness about value of ECD.</li> <li>7. Develop the capacity at national and local levels for monitoring, evaluation, feedback and drawing lessons of experience for shared learning, flexibility and mutual adjustment. Increase data availability for planning and evaluating ECD.</li> <li>8. Capacity development for strategic planning, long range goal setting, and establishing realistic expectations among all stakeholders and partners. Enhance coordination and mutual support among policy, programmes and research.</li> </ol>

Source: Case Studies in Early Childhood Development. Economic Management and Social Policy, World Bank, Washington, D.C., (Findings: Knowledge Management and Learning Center), December, 1997.



From these case studies, the following lessons of experience are highlighted:

1. The need for a clear mission shared by all the partners.
2. The importance of taking into account the local context and realities on the ground.
3. The effectiveness of multi-sector approaches (de-projectizing development).
4. The importance of local participation, commitment, ownership and pride.
5. The need to undertake capacity development initiatives for all partners including those with resources.
6. The importance of investing in process at the front-end of the partnership (visioning, team building, diagnosis, stakeholder analysis, etc.).
7. Taking a long term strategic approach while at the same time working on short term demonstrative successes.
8. The need for good management, strong leadership, and effective flexible organizations.
9. The traditional institutions, deeply rooted in the character, behaviour and psyche of the people, can continue to enjoy the people's adoration in spite of objective poor performance which is blamed on the government rather than the traditional institution (see Box 6).

#### **Box 6**

#### **Summary Results of a Study of the Institution of Chieftancy in Ghana.**

1. **Institutional Rooting:** Chieftancy as an institution is deeply rooted in the character, behaviour and psyche of Ghanaian society. It has significant influence on the peoples' attitudes and behaviours in their private and public lives and determines their individual and collective responses to development initiatives.
2. **Institutional Performance:** Using objective indicators such as volume, speed, and quality, it was found that the performance of the institution in terms of services to the people was poor. Yet, members' perceptions of chieftancy were surprisingly positive and they blamed poor performance to the antagonism of the national government.
3. **Institutional Relationships:** Relationships with the government, though cordial, have been historically difficult, characterized by a desire for control, neglect, deprivation, hostility, containment and manipulation. Government initiatives were believed to be motivated by a need to subjugate rather than a genuine desire to establish institutional partnership or strategic alliances for good governance and sustaining improvements in peoples' quality of life. Relationships among chieftancies could be violent. There is no synergy between chieftancy and the national government.
4. **Institutional Participation:** Participation in the chieftancy institution is essentially governed by tradition. Women, youths, migrant workers, etc. have limited opportunities to participate in the affairs of the institutions. The "rules of the game" are often unclear and contestable.
5. **Institutional Renewal:** While chieftancy is here to stay and has proven resilient, reliable and rooted, there is little evidence to support the institutions capacity for renewal, flexibility and adaptability, especially in terms of building effective partnerships and alliances with other institutions and meeting the development challenges of the 21<sup>st</sup> Century.

Source: Moses N. Kiggundu and Bernard Z. Dasah. Culture and Development: The Case of the Institution of Chieftancy in Ghana. Draft paper submitted to the World Bank, July, 1993.



#### 4. Changing Capacity Demands with Programme Implementation

Implementation of CAAP requires the development of different programmes with different partners. For example, attempts to improve the social and economic wellbeing of Aboriginal Canadians would require programmes involving federal and provincial agencies, the private sector, chiefs and the Aboriginal people and their families. These programmes go through various stages from inception to design, implementation, monitoring, evaluation, feedback and learning. Each of these stages requires different skills, capacities and capabilities from different partners. These changing capacity demands call for different capacity development strategies for different partners.

Table VI gives an illustration of how capacity requirements could change for different partners at different stages of programme implementation. For example, the Table shows that the demand for both visionary leadership and senior management involvement is high during the initial conceptualization and introduction stages of the programme while the demand for such capacities is low during the maturity and decline stages respectively. On the other hand, the demand for community involvement is high at all stages.

This analysis has several implications. For example it provides information which can be used for developing practical capacity development initiatives for different partners at different stages of different programmes. As well, it gives some indication of what could happen to a new partnership if it finds itself with several programmes downloaded to it at different stages of implementation.

**Table VI**

#### Changing Capacity Demands at Different Stages of Programme Implementation

	Programme Stages				
	Introduction	Growth	Maturity	Decline	Renewal
Visionary Leadership	High	Medium	Low	Medium	High
Senior Management Involvement	High	Medium	Medium	Low	High
Community Involvement	High	High	High	High	High
Financial resources	Low	High	Medium	Low	Medium
Human resources	Medium	High	Medium	Low	Medium
Partner Involvement	High	Medium	Low	Low	High
Programme Delivery	Low	High	Medium	Low	Medium
Marketing/Public Information	High	High	Medium	Medium	High
Research Development, Innovation	High	Medium	Low	High	High
Monitoring and Evaluation	Medium	Low	High	High	Medium
Feedback, Learning, Celebration	High	Medium	Low	Medium	High
Revenue Generation	Low	High	Medium	Low	Medium

## 5. Capacity Development for Individual Partners

It is exceedingly difficult to change a culture, whether it is the culture of federal department, a provincial agency, and Aboriginal council or community organization. If an organization is to be the agency or champion of change, it must first do its own capacity assessment for managing the proposed partnership changes.

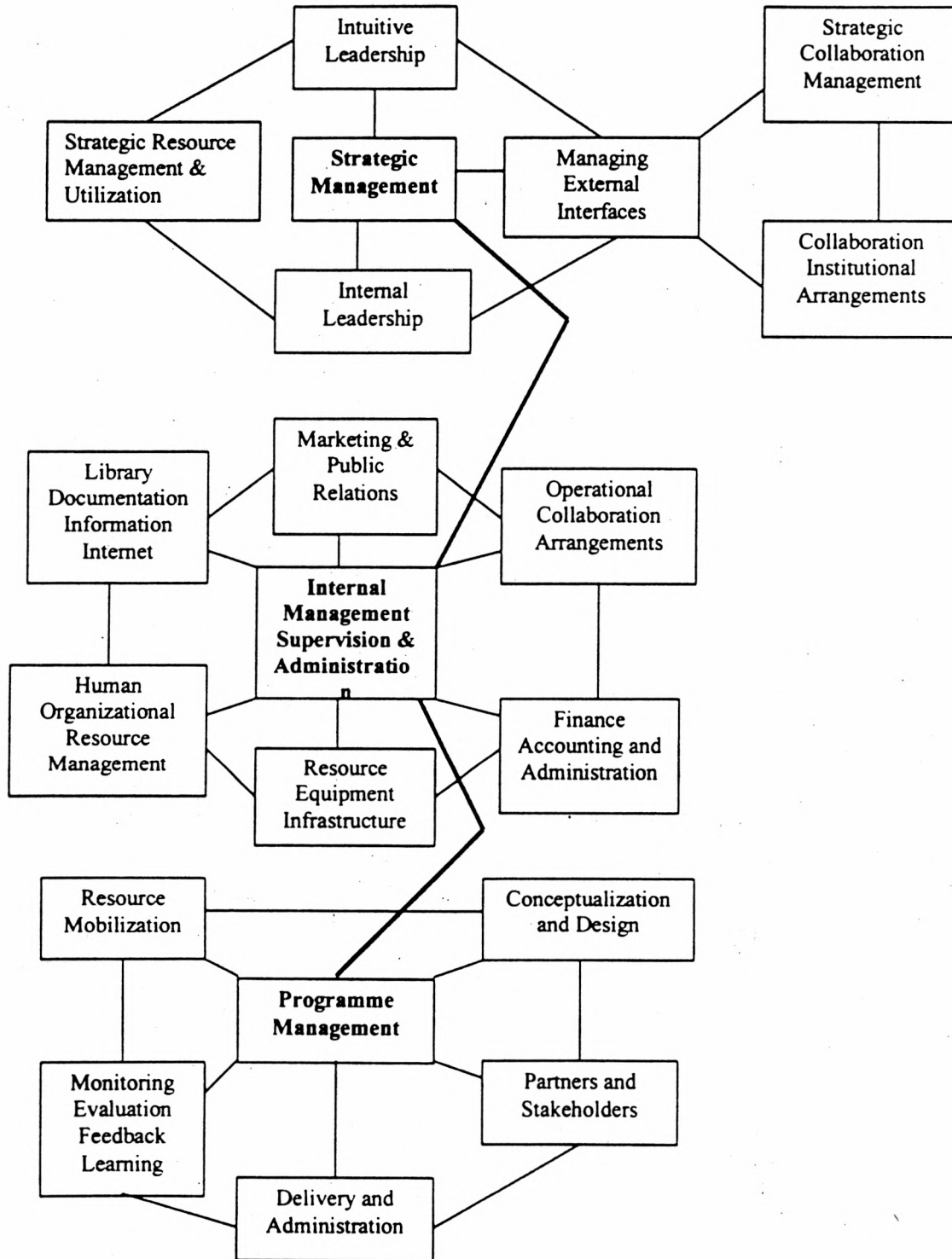
An effective partnership requires strong partners. Partnerships are like trading among nations. There is greater scope and depth of the flow of goods and services among rich than poor countries. This is especially the case where the trading countries enjoy a high level of economic freedom. Likewise, the CAAP partnership is stronger with greater scope and depth when partner organizations are individually strong, both strategically and operationally, innovative, participative and democratic. Weak partner organizations drag the partnership down. Therefore, it is important to pay attention to the assessment and development of capacities and competencies of individual partner organizations, especially those expected to play significant roles in the implementation of the CAAP strategy.

Figure 1 provides a conceptual and diagnostic framework for capacity assessment and development of individual organizations. It is made up of three interrelated parts dealing with (i) strategic management, (ii) internal management supervision and administration, and (iii) programme management. These roughly correspond to the roles and responsibilities of senior management, middle management, and programme delivery (operational) staff, respectively. Each of the three parts has component elements which are also linked among themselves, and with elements of other parts.

As an assessment framework, Figure 1 can be used to assess the structuring, functioning and interrelatedness of the various parts and elements of the target organization. As well, this can be done for two or more partner organizations so as to identify areas of strengths or weaknesses. The results can be used to develop and implement specific capacity development interventions to strengthen the partner organizations in those areas where weaknesses or inadequacies have been identified.

**Figure 1**

**Capacity Assessment of a CAAP Partner Organization**



SC: MNK: PAD vol. 14, 1994 (adopted from)

## Section III

### Participation

One of CAAP's main objectives is to reach out and bring Canadians together, dealing with First Nations and Aboriginal communities in ways different than the past. This can best be done through participative processes. Indeed, the experience from international development shows that participation enhances the quality and richness of partnership and in most cases contributes to improved performance. Therefore, partnership, participation and capacity development are intrinsically linked. This section discusses the practical aspects of participation and highlights a few "best practices" from international development case studies.

#### 1. What is Participation?

The World Bank defines participation as a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them. The UNDP describes a stakeholder as any individual or entity that is involved, directly or indirectly, in any stage of a development programme, including ultimate beneficiaries or potential victims, if any.<sup>iv</sup> Typical stakeholders include programme champions, strategic managers/decision makers, clients, customers or beneficiaries, policy makers, implementers, contractors, funding organizations, sponsors, etc. Participation involves a range of issues including the use of experts, listening and consultation, social learning and intervention, stakeholder analysis and participation, and the challenge of reaching the poor and making their reality count.

In most cases involving stakeholders who have not been involved in participative processes before, it may be necessary to begin by developing the capacity for participation. Box 7 provides some practical methods for enhancing citizen participation. They include using a range of consultative methods, making sure stakeholders have access to and the capacity to use public voice (e.g. media, lobbying, independent study), making resources available in useable form, and enhancing the participative role of the executives of partner organizations (e.g. through administrative or legislative instruments).

Box 7

Some Methods of Enhancing Citizen Participation

1. Using Consultative Methods: Hearings, conferences, townhall meetings, workshops.
2. Enhancing the capacity of the People to Participate: Consciousness-raising, training, civic/political education, community development.
3. Effective Voice: Media, associative norms, access to information, independent study, lobbying.
4. Making Resources Available: Space, time, information, support, budget.
5. Encouraging Collective Responsibility: Public office, volunteer work, consultative processes, decentralization, delegation.
6. Results Based Participation: Focusing on practical, important issues with practical important solutions.
7. Selection of Participants: Include all key stakeholders, exclude others.
8. Enhanced the Consultative Role of Executives: Administrative, legislative.
9. Encourage Growth of Polycentric Systems of Governance: Several decision points checks and balances, appeals.



## 2. Stakeholder Analysis

Every partnership has a specific set of identifiable stakeholders. In order to build a strong, participative partnership, it is important to identify key stakeholders in the early stages of partnership formation. Box 8 provides a list of questions designed to help in identifying stakeholders. The questions are designed to reach out to some of the less obvious or visible stakeholders and those with no “voice”. Sometimes the stakeholders may not be human beings as often happens with environmental assessment projects. It is often said that a successful stakeholder analysis is always associated with surprising results.

All stakeholders need not be represented at the table but their views and interests must be taken into consideration. It is also the case that if two or more groups of stakeholders have irreconcilable conflict, bringing them at the time may be dysfunctional. In that case other forms of interventions may be more appropriate.

### Box 8

#### Questions to Help Identify Stakeholders

- Who makes or influences policy or decisions?
- Who would champion the partnership initiative?
- Who would provide financial, technical, human, political, etc. resources?
- Who would be impacted, positively, negatively, immediately, or in the long run?
- Who are the direct or indirect beneficiaries?
- Who with no “voice” needs special attention?
- Who is the representative of those impacted?
- Who is likely to support or oppose the initiative? What is their stake?
- Who is responsible for implementation including monitoring, evaluation, learning, etc?
- What political forces or interests need be considered?

**Source:** UNDP (1998 January) General Guidelines for Capacity Assessment and Development In a Systems and Strategic Management Context. Version 1.2 ([www.magnet.undp.org/cdrb/default.htm](http://www.magnet.undp.org/cdrb/default.htm)).

Box 9 provides the “why” and “how” of stakeholder analysis. As the box indicates, it is important to clarify the interests, conflicts, coalitions, risks (objective, perceptual), resources, and power or influence associated with various key stakeholders. This information is important for policy makers and implementers because it helps to develop strategies for dealing with opposition and mobilizing support for the partnership. Although these guidelines were



specifically developed for donor funded projects in developing countries and transition economies, it is expected that they are relevant for partnership developments for CAAP.

### **Box 9**

#### **Why do a Stakeholder Analysis?**

Stakeholder analysis helps administrators and advisors to assess a project environment and to inform negotiating positions in project talks. More specifically, doing a stakeholder analysis can:

- Draw out the interests of stakeholders in relation to the problems which the project is seeking to address (at the identification stage) or the purpose of the project (once it has started).
- Identify conflicts of interests between stakeholders, which will influence assessment of a project's riskiness before funds are committed (which is particularly important for proposed process projects).
- Help to identify relations between stakeholders which can be built upon, and may enable "coalitions" of project sponsorship, ownership and cooperation.
- Help to assess the appropriate type of participation by different stakeholders, at successive stages of the project cycle.

#### **How to do a Stakeholder Analysis**

*There are several steps to doing a stakeholder analysis:*

- (1) Draw up a "stakeholder table";
- (2) Do an assessment of each stakeholder's importance to project success and their relative power/influence;
- (3) Identify risks and assumptions which will affect project design and success.

*To draw up a stakeholder table:*

- Identify and list all potential stakeholders.
- Identify their interests (overt and hidden) in relation to the problems being addressed by a project and its objectives. Note that each stakeholder may have several interests.
- Briefly assess the likely impact of the project on each of these interests (positive, negative, or unknown).
- Indicate the relative priority which the project should give to each stakeholder in meeting their interests.

**Source:** Guidance Note on How to Do Stakeholder Analysis of Aid Projects and Programmes. Overseas Development Administration (ODA), Social Development Department, July, 1995.

### 3. Limits to Participation

Participation must not be seen as a panacea for all partnership challenges. In fact there are situations where premature open-ended participation might do more harm than good to the partnership or the relationships among the stakeholders. Part of the challenge is to develop the capacity to use participative processes judiciously and contingently. Box 10 lists several limitations to participation. For example, stakeholders may lack the expertise (content or process) and resources for meaningful participation. Likewise, there may be cultural or institutional barriers or impediments to participation. Lists like this would be useful for the partnership in developing strategies to overcome the limitations for different stakeholders, and facilitate meaningful partnership participation.

#### Box 10

##### Limits to Participation

- Time Pressure
- Lack of Expertise – Process/Content
- Resistance from Strong Interest Groups
- Consensus Cannot be Achieved
- Inability to Identify/Reach Key Stakeholders
- Lack of Resources
- Cultural/Institutional Barriers to Meaningful Participation
- Institutional Weaknesses of the Implementing Agency

### 4. Best Practices

Lessons of experience from various case studies have already been provided in various parts of the paper. Here, the paper draws on the experiences of a rural development project in Northern Pakistan supported by the Agakhan Foundation. The beneficiaries were poor traditional tribal communities living in villages isolated by mountains, snow, and rivers. Box 11 tells part of the story starting with the AKRSP initiating partnerships with participating villages, getting them organized, building community capacity and mobilizing local resources before getting them to decide on their development priorities. The programme has been so successful

that it has attracted resources from other donors including the Canadian International Development Agency and the World Bank. The Government of Pakistan and other governments in the region have used the AKRSP model to develop their own participatory development programmes. The Agakhan Foundation has replicated this model in other countries including India, Sri Lanka, Kenya, Tanzania, and Kirghizstan.

**Box 11**

**Rooted Partnerships Through Village Organizations: AKRSP Experience**

<p>When a village expresses interest and commitment. AKRSP and the village enter into a partnership. AKRSP helps the village to form an organization and elect two officials, a president and a manager. Strong emphasis is put on all members participating in meetings so that the organization is not dominated by a few. Led through a village self-analysis of problems and resources, members are then asked to reach consensus on their priority problem and need. When consensus is reached on what priority problem to solve, AKRSP engineers visit and, with villagers, design the project. Village organization members become the paid project labourers, and the village organization is responsible for project management. Across the North of Pakistan now, remarkable feats of engineering and organization are often seen.</p> <p>Such large physical infrastructure projects serve several purposes: increased agricultural productivity, access to markets and, most importantly, organizational development and the means to further development. While building the channel or road together, villagers are also building a sustainable, multi-purpose institution.</p> <p>A major incentive is that AKRSP helps villagers begin their savings with a one-time only grant. The market rate cost of the project is determined, and then the village organization is granted this amount in instalments on the condition that members commit to saving a percentage of it, no less than 25% of</p>	<p>Trust is built amongst villagers by ensuring that all business, including financial transactions, is conducted only in public at organization meetings.</p> <p>AKRSP regularly offers training to improve village capabilities in, for example, agriculture, forestry, livestock, poultry, marketing, accounts, appropriate technologies, farm machinery operation, hatchery operation and village organization management.</p> <p>As saving build, and demands increase as a result of training, many villages and individuals use their savings as collateral for loans from AKRSP's revolving fund.</p> <p>The social organizers play a crucial role. They are the men and women who form the bridge between villages and AKRSP, working in several languages of the region. They are the continuing facilitators, on the road or in the villages every day of the month.</p> <p>Success of any such programme depends a great deal on cultural understanding and confidence in local people. All of AKRSP's 350 employees are Pakistani. 99% of support staff and 90% of professional staff are themselves from the Northern areas and Chitral.</p> <p>AKRSP helps women to form groups, elect leaders and manage their own organizations in the same way as the men 's village organizations. Women's organizations in the village have begun to bring big changes for women as a group, and to individual women.</p>	<p>Women's organizations are also granted money on the condition of savings and nominate women for the same kinds of technical and management training as the men. In many villages, women are meeting and generating their own incomes for the first time. By end-1993, the 674 women's organizations had savings of 22.99 million rupees.</p> <p>They are also learning to access health and education services available outside AKRSP.</p> <p>On average, incomes have almost doubled from \$150 a year to an estimated \$270. Although still poor, men and women now have new money for farm and home expenses. Many women are spending their incomes on educating their children, and there has been a tremendous rise in demand for girls education.</p> <p>Perhaps most relevant to the future is new sense of self-confidence. The president of one village organization recently explained this to a visitor, "The change in our village is like a miracle. It is mainly a mental change. Before this programme we thought on a subsistence basis. Now we think commercially."</p> <p>Now villages are gaining a voice and are, for the first time, beginning to access resources outside AKRSP, from the government, the United Nations and other NGOs, lessening dependence on AKRSP.</p>
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<p>the total labour cost.</p> <p>In 1992, AKRSP was given recognition when the Government of Pakistan announced the National Rural Support Programme, which intends to replicate the AKERSP concept nationally, and has begun work in eight districts of four provinces.</p> <p>Before AKRSP, living on the Roof of the World meant being outside. Now it means being looked up to.</p>		
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Source: Edited from AKRSP Project Brief, 1994. AKRSP = Agakhan Rural Support Programme.

### **5. Village and Women's Organizations**

If the partnership involves communities or groups which are not adequately organized for meaningful or effective partnership, it may be necessary to begin by developing social or community organizations. The AKRSP started by organizing village organizations in those villages which were underorganized. It was then discovered that because of the traditional and cultural values and practices of these villages, it was necessary to organize separate organizations for women. Box 12 gives a brief description of the characteristics of successful village (VO) and women's (WO) organizations.

As one would expect, these characteristics are similar to the lessons of experience discussed above. For example, Vos and Wos were most successful if they addressed a community felt need rather than focusing on agendas imposed from outside by experts. They were most successful when new methods and techniques were grafted on existing traditional social, cultural, and economic structures. These organizations were endowed with appropriate structures, management systems and honest, hardworking village managers. Finally, the benefits resulting from collective action were not only economic, but also included social capital, individual capacity development, and psychological sense of belonging, self-esteem and confidence.

## Box 12

### What Makes a VO/WO Click?

In 1992-93 the MER section undertook the Institutional Maturity Index (IMI) survey in all three regions of the programme area. The quantitative IMI survey was aimed at measuring the institutional/organizational development of village/women's organizations (VOs/WOs), i.e. increased capacity of village organizations (VOs) towards addressing and realizing their development needs and potential. Although IMI provided much valuable information about VO/WO development and the changes taking place in the region, its quantitative nature did not lend itself to an analysis of the social processes underlying the institutional/organizational development of VOs/WOs. Towards this end the MER section instituted a series of Post IMI case studies to complement and elaborate on the findings of the IMI exercise. The characteristics common to most of the "successful" VOs/WOs which emerged from the IMI and PIMICS are presented as under:

- **The VOs/WOs address a felt need and a common interest.** When the villagers share a common problem which can be best addressed by collective action they are likely to mobilize internal resources and work with support agencies to change the situation.
- **The benefits of collective action outweigh the costs.** Benefits may be economic (savings, income generation, increased production); social capital formation (increased ability to collectively solve village problems); increased individual capacity (knowledge and skills); and/or psychological (sense of belonging, confidence).
- **Grafting of the new on the traditional.** VOs/WOs are most successful when based on existing/traditional social and economic structures.
- **Village led motivator/activists.** Honest, hardworking, informed and respected individuals occupying positions as VO/WO managers.
- **Rules and sanctions.** All successful VOs/WOs are characterized by internalized rules and regulations that are known and abided by all their members. VO/WO members have participated in the formulation of rules and enforcement mechanisms.
- **Management Structure.** Specialized committees are set up to deal with credit, conflict management, education, water supply and sanitation etc.

Source: The Agakhan Rural Support Programme (AKRSP): Twelfth Annual Review, 1994, Incorporating the Forty-Eighth Progress Report. P. 3.



## Section IV

### Proposed Framework and Plan of Action

CAAP is a revolutionary, complex, multidimensional undertaking. It involves many partners, potential partners, and stakeholders of varying capacities, competencies, and readiness for partnering and change. It calls for different levels and types of collaborative efforts among many organizations, some of which are not yet in existence. It calls for First Nations and federal agencies to significantly change historical patterns of behaviour, relationships, and expectations characterized by mistrust, hostility, and asymmetry. It is asking INAC to redefine its business and do it differently. It challenges the rest of Canada and the Aboriginal people, their leadership, organizations, institutions, communities and families to seize the opportunity and meet the challenge. It requires the formation of new partnerships, new organizations, and the reshaping of old institutions. As well, it is about changing individual and collective attitudes, normative behaviour, participative processes, organization development and change management, capacity development and institutional strengthening. It is also about good governance within the broader Canadian values and traditions of accountability, transparency, representation, voice, equity, fairness, and social justice. It is about socioeconomic experimentation and political risk management. Above all, it is about Canada and Canadians especially the Aboriginal people: Their hopes, aspirations, and quality of life.

Such a fundamental change defies "blue print" strategies. There should be no "one-fits-all" approaches to effective CAAP implementation. Instead, different strategies will have to be negotiated for each partnership depending on the key stakeholders and their respective stakes and realities on the ground. This contingency approach can be labour intensive, time consuming, uncertain, and requires lots of patience, slack, and high levels of expertise in sociocultural process skills and competencies. Still, certain principles and guidelines can be outlined which would guide the development and implementation of various CAAP partnerships and interventions. Some of these guidelines have been discussed above in sections dealing with effective partnerships, participation, stakeholder analysis, and capacity development. The case studies and "best practices" summarized throughout the paper help to illustrate these guidelines in action.

#### 1. INAC's Self-Assessment

Before outlining the framework for the implementation of CAAP, it may be useful to reflect on the Department of Indian and Northern Affairs, Canada. This is the lead agency and federal "champion" for CAAP. It therefore has a special role and responsibility to play and CAAP's long term success and fortunes depend on INAC's collective response and institutional behaviour. It is therefore important to assess INAC's readiness for CAAP.

Assessing the Department's capacity for the effective and sustaining implementation of CAAP must be one of the first activities in the development of the implementation strategy and plan of action. Of course, everyone in the Department is not equally important for CAAP. Therefore, key stakeholders and champions must be identified. Second, the Department's capacity must be assessed and any gaps identified must be addressed. Individual and systemic



resistances to change must be identified and strategies to overcome them must be developed. Incentives are important in reinforcing historical patterns of behaviour or initiating and sustaining new forms of behaviour. Looking at the Department's incentive systems and practices in relation to CAAP is highly recommended.

It is unlikely that an old and large agency such as INAC would be homogenous. A careful assessment would reveal differences with some parts or regions showing a higher degree of readiness and support than others. Cross-fertilization can be helpful here with lessons of experience and "best practices" being shared by different parts of the Department. This can help to consolidate and integrate those relationships which have experienced positive partnerships in the past. As part of this self-assessment, it would be very useful for the department to revisit and reaffirm its core values, mission statement, and core business. A high level CAAP task force may be a good starting point.

It is also recommended that First Nations organizations and communities interested in CAAP partnerships should carry out their own self-assessment to determine more objectively their readiness for change and any capacity gaps, individual or systemic resistances or impediments to change.

## **2. Framework and Plan of Action**

Figure 2 provides a conceptual framework and plan of action for the effective implementation of CAAP partnerships. It is shown in circular form to emphasize the point that the framework is not linear but iterative and the all partnerships need not go through the various stages outlined in the framework. However, each stage of the framework implies a set of practical action steps which must be taken either individually by each partner or by partnership itself. The framework, however, does not provide specific tools or techniques for the various stages because it is expected that these will vary across situations and that partners will be in a better position to make better informed choices.

As indicated in Figure 2, visionary partnership leadership is considered the single most important aspect of the framework. Here the emphasis is not on single individuals, but the existence of a critical mass of visionary partnership leaders within INAC, other federal agencies, First Nations, and other organizations or institutions critical to the effective and long term success of CAAP.

The second most important aspect of the framework is the development of common shared partnership values and understanding among key stakeholders. The road CAAP will be bumpy. These shared values and common understanding will be very useful as a consistent reminder of CAAP's purpose and direction and as a reference point for the partnership's fundamental aims and the guide-post for assessing progress and resolving differences.

The third most important aspect of the framework is community pride, trust, commitment and ownership. One can think of the CAAP community made up of individuals and groups in INAC, other federal agencies, First Nations and Aboriginal people and their institutions. This community must develop a sustaining sense of pride, trust, confidence, and ownership of the

CAAP partnerships in which they participate. Without this psychological investment, CAAP partnership will go nowhere.

These three aspects of the framework – leadership, shared values and community ownership – (see Figure 2) constitute the most critical factors and minimum conditions necessary for building effective CAAP partnerships. They are the most difficult to ascertain. If they are lacking or cannot be assured, implementation should be delayed.

The other aspects of the framework such as developing partnership vision and strategy, developing capacities and competencies and implementation are essentially a matter of good management, good governance, and good politics. Given sufficient resources and time, INAC would be able to facilitate their effective implementation.

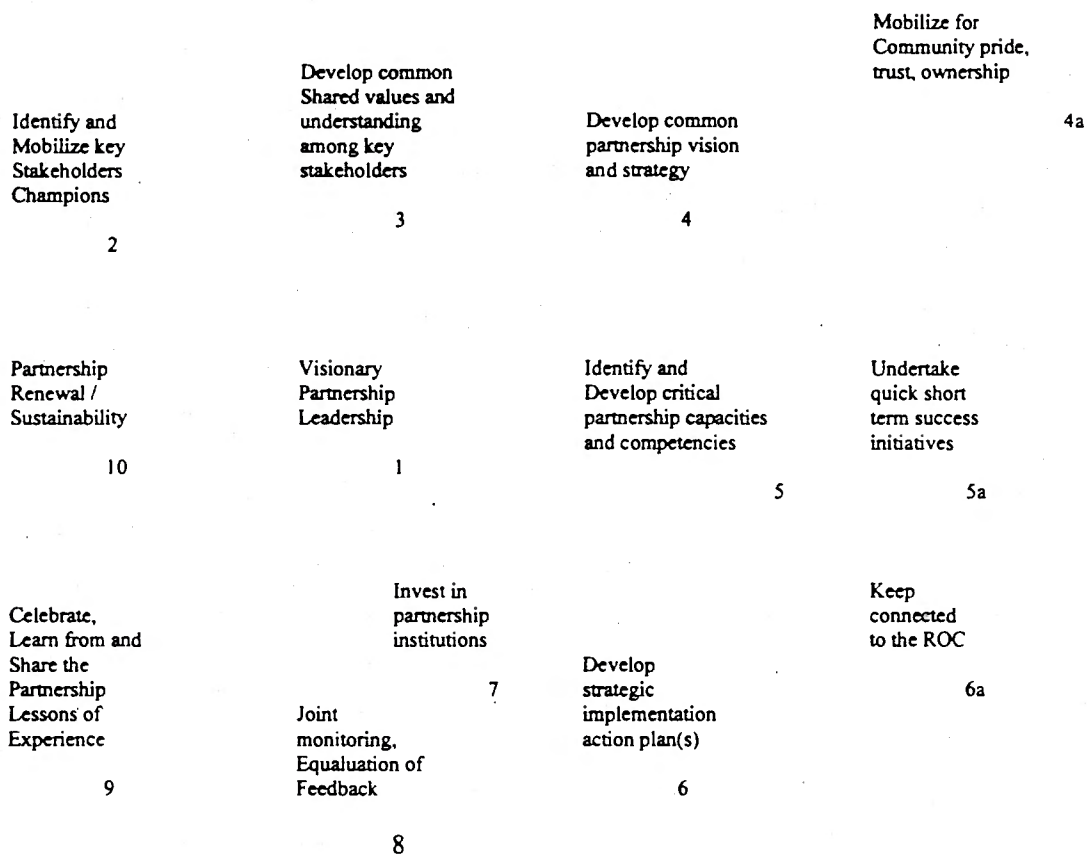
### **3. Tips for Short Term Success**

CAAP is a long term strategy for change. Therefore, in order to retain partner interests and commitments, it may be necessary to undertake small but carefully selected impactful interventions for quick short term success (see Figure 2). Where this is considered necessary, the following steps are recommended:

1. Start with an important project for the stakeholders but easy in that there is the capacity for almost certain success. Use the positive results to build confidence, gain experience, celebrate the partnership, and develop new capacity.
2. Do one project at a time. Start with independent projects with little or no complex inter-agency relationships. Gradually build up capacities, partnerships, alliances and networks for more complex and interdependent projects.
3. Start in areas where the environment is supportive or enabling and the context is benign. These small successes cumulatively and over time should provide the backdrop for the more strategic CAAP initiatives.

**Figure 2**

**Framework for the Effective Implementation of CAAP**



**Note:** ROC = Rest of Canada The numbers and arrows are meant to enhance readability and clarity of the Framework. They are not meant to imply a linear model since the Framework is meant to be nonlinear and interactive.

**Annex 1**

**Checklist for Building Effective Partnerships**

<b>Partners</b>	<b>Areas of Responsibility</b>	<b>How much Is there now?</b>	<b>How Important for the Partnership</b>	<b>Recommended Action Plan</b>
1. Aboriginal Partners	1. Adhere to appropriate political, economic and social policies.	1 2 3 4 5	1 2 3 4 5	
	2. Commit to basic objectives of social development and increased participation including gender equity.	1 2 3 4 5	1 2 3 4 5	
	3. Foster democratic, transparent and accountable government and rule of law.	1 2 3 4 5	1 2 3 4 5	
	4. Strengthen human, organizational, institutional and community capacities and social capital.	1 2 3 4 5	1 2 3 4 5	
	5. Carry out sound financial management, including tax (revenue) systems and productive public expenditure.	1 2 3 4 5	1 2 3 4 5	
	6. Maintain stable, cooperative and peaceful relations with other Canadians.	1 2 3 4 5	1 2 3 4 5	
	7. Others.			
2. INAC Partners	1. Provide a stable resource base and support additional resource mobilization to meet agreed performance targets.	1 2 3 4 5	1 2 3 4 5	
	2. Develop or support public political economic, social and cultural policies which permit full opportunities for Aboriginal peoples.	1 2 3 4 5	1 2 3 4 5	
	3. Adhere to agreed partnership guidelines for effective policy development and implementation.	1 2 3 4 5	1 2 3 4 5	
	4. Support capacity development and increased participation for the Aboriginal people while avoiding dependencies.	1 2 3 4 5	1 2 3 4 5	
	5. Support access to information technology and know-how.	1 2 3 4 5	1 2 3 4 5	
	6. Support culturally appropriate coherent policies for political and community development including respect for the rule of law, human rights and security of the Aboriginal peoples.	1 2 3 4 5	1 2 3 4 5	
	7. Work to improve relationships within the Aboriginal communities and with other Canadians.	1 2 3 4 5	1 2 3 4 5	

3. Joint Responsibilities	8. Others.			
	1. Create conditions conducive to mobilizing political support and adequate resources for the partnership.	1 2 3 4 5	1 2 3 4 5	
	2. Pursue joint policies designed to minimize conflict and violence within the Aboriginal communities and with other Canadians.	1 2 3 4 5	1 2 3 4 5	
	3. Protect the partnership against malevolence, corruption, sabotage, etc.	1 2 3 4 5	1 2 3 4 5	
	4. Actively invite the contributions and participation of Canadian Civil Society in developing the partnerships.	1 2 3 4 5	1 2 3 4 5	
	5. Actively support mutual understanding, cooperation, and exchange of "best practices" within Aboriginal communities and Organizations, and with the rest of Canada.	1 2 3 4 5	1 2 3 4 5	
	6. Celebrate success and learn from failures using culturally appropriate images, symbols, artifacts and incentives.	1 2 3 4 5	1 2 3 4 5	
	7. Institutionalize the partnership beyond individual personalities.	1 2 3 4 5	1 2 3 4 5	
	8. Others.			

Source: Based in part on Shaping the 21<sup>st</sup> Century: The Contributions of Development Co-operation. OECD, DAC, May, 1996.



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## End Notes:

- i See Gathering Strength: Canada's Aboriginal Action Plan. Ministry of Indian Affairs and Northern Development, Ottawa, 1997 ([www.inac.gc.ca/strength/policy.html](http://www.inac.gc.ca/strength/policy.html)), p.21
- ii In their recent book, Built to Last: Successful Habits of Visionary companies (Harper, 1994), James C. Collins and Jerry I. Porras investigated the characteristics of America's long term successful companies. They found that visionary leadership, and the capacity to articulate and retain the organizations core values amidst change are key to long term success.
- iii For a discussion of the concept and issues of capacity development, see Peter Morgan and Victoria Carlan (eds.), Emerging Issues in Capacity Development: Proceedings of a Workshop, November, 22 - 24, 1994, Institute of Governance, Ottawa.
- iv For the World Bank, see The World Bank Participation Source Book, 1996, Washington, D.C. For the UNDP, see General Guidelines for Capacity Assessment and Development in a Systems and Strategic Context. UNDP, BPPS/MDGD and FMP International, version 1.2, January, 1998, New York, New York ([www.magnet.undp.org](http://www.magnet.undp.org)).
- v For a lucid defence of the right of the poor to participate in their own development, see Robert Chambers, Whose Reality Counts? Putting the first last. Intermediate Technology, London, UK, 1997

