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Community Justice – Relationships/Partnerships

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1. Key Themes (to be explored)

See [5.12](#) In much of the literature, there are cautions that the term "**partnership**" has been misunderstood, misused and over-used.

- While the concept of partnering is not new, the literature suggests that increasingly the most recent trend toward collaboration is characterized by multilateral partnerships; that is, includes representation from public (frequently multiple levels of government or more than one government department), private and the voluntary sectors.
- It should be noted that some observers have questioned the extent to which "partnership" can be accurately used to describe many of the arrangements between government and the not for profit/voluntary sector, when they are often dependent on, not only government funding, but government funding policy as well.
- Some call the term "government partnership" an oxymoron in light of the difficulty that governments frequently have in sharing power and decision-making. **More frequently not for profit/voluntary sector and government undertake "relationships" involving joint programming and consultations.**
- **The need to search for alternative solutions is not only fuelled by fiscal concerns, but also by challenges driven by the social and demographic context.**
 - Issues are becoming more complex and interdependent, with the best solutions often requiring the input and participation of many different parties. Partnerships can be perceived as a way to address gaps in services and to deliver a better quality strategy or product.
- **Concerns:** While the current environment presents a unique opportunity for not for profit/voluntary sector organizations to secure greater involvement and control around a myriad of issues, some of the literature is also cautionary.
 - There is wariness, particularly among those within not for profit/voluntary sector, of treating them as a **replacement for government** – they cannot take on the role of the public sector since most of them have small budgets, few assets and only a few paid staff.
 - Moreover, for them to continue and flourish, they require the kind of stable, reliable and **adequate funding** available from government.
 - Others have voiced concerns that partnerships and other types of relationships with government can potentially **decrease** not for profit/voluntary sector organizations' **independence** from government and, thus, their ability to fulfil their advocacy role.
 - Observers also warn about the potential for organizations to **lose credibility with volunteers, increase the level of bureaucratization to meet accountability requirements**, and the potential for organizations to abandon programs needed by their constituents in order to deliver programs that government deems important.
- Despite these cautions, most observers view the increased interest in not for profit/voluntary/public sector partnerships as a valuable opportunity for the not for profit/voluntary sector to assert and solidify its role in public policy and delivery. They bring **expertise; links to community; speed/flexibility in responding to issues; commitment; and public trust.**
- **Partnering with government** presents some unique challenges.
 - The hallmarks of partnership are flexibility and shared decision-making. Yet, government often may not embody these characteristics by design. Governments are bound by legislation and are fully accountable for the use of public funds. Their reporting lines tend to be structured, hierarchical and mandate-specific.
 - Despite the move toward alternative services delivery, governments may be hampered by internal norms and regulations. Many have noted that governments can be risk-averse, limiting potential new avenues for the partnership and may be slower to respond to evolutions in the partnerships than other partners.
 - Finally, several observers identified the lack of predictability of government agendas and funding as a barrier to partnership -- an erratic commitment to the issue and unpredictable resources can damage the efforts of the partnership.

See [6.1](#) **Collaborations sidelined?** – Are there clear power imbalances between law enforcement agencies, private citizens or company organizations, community agendas? Accordingly are various interests excluded in ostensibly democratic participation efforts? Are 'problematic' individuals, groups or perspectives excluded? In

communities with persistence crime and low resource – is it harder not only to compete for scarce development and public safety resources, but also those that are delivered have so many strings attached to them that community empowerment is undermined?

See 7.3 **Parallel or Integrated or Something in Between:** Is it preferable that restorative community justice programmes: Are community development initiatives which operate outside of the formal criminal justice system with no formal or structural links between the two? Are integrated with the criminal justice system, seeking to inform criminal processes and timed to coincide with those processes?

See 5.4 It has been argued that restorative justice and rehabilitative treatment are rather complementary approaches - the restorative processes could increase victim/offender satisfaction and restitution compliance while the rehabilitative processes could have a significant impact on recidivism.

See 6.2 There has been growing theory and research on the centrality that the **transformation of conflicts or paradoxes plays in the success of a coalition to build community capacity**. Conflict transformation is the process whereby the resolution of a conflict builds the overall capacity of the coalition and actually makes it stronger. Conflicts that coalitions often face and reconcile include mixed loyalties; autonomy versus accountability; means versus model; scarce resources; and dependence-independence. Coalitions need to make available a variety of types of assistance to individuals and institutions – training/consultation; information and referral; communications; and public information/marketing.

Is it the number of provider groups and organizations that is important or greater collaboration among these groups that is required?

2. Research Questions

<p>2.1. Elements in the Relationship/Partnership</p> <p>2.1.1. Objectives/goals</p> <p>Are there common objectives/goals among the stakeholders? If not, is there a possibility that the commonality may evolve over time?</p>
<p>2.1.2. Risk/Benefits</p> <p>Are there shared risks and mutual benefits for the stakeholders? If not, is there a possibility that may accrue with different timeframes?</p>
<p>2.1.3. Contributions</p> <p>Are there contributions from the stakeholders (including both monetary and non-monetary)? If not, is there a possibility that may accrue over time?</p>
<p>2.1.4. Authority, Responsibility and Accountability</p> <p>Is there shared authority, responsibility and accountability between the stakeholders? If not, is there a possibility that they may accrue over time?</p>
<p>2.2. Type of Relationship</p> <p>2.2.1. Method of Change</p> <p>Is the relationship with the stakeholder one for:</p> <ul style="list-style-type: none"> – Public education: to raise awareness around a social, economic or environmental concern – Community investment: stakeholder with greater resources makes a substantive contribution to the community through active involvement engaging in the activities of the community group – Social changes: to provide an important community service or tackle difficult problems such as family violence, unemployment or poverty
<p>2.2.2. Sharing of Power</p> <p>Is the relationship with the stakeholder one for:</p> <ul style="list-style-type: none"> – consultation where the primary purpose for government is to seek advice or obtain input – collaboration where there is joint decision making, pooling of resources/sharing of ownership/risk.
<p>2.2.3. Purpose</p> <p>Is the relationship one for</p> <ul style="list-style-type: none"> – preemption which attempt to diffuse negative situations, – coalescing which brings competitors together to accomplish objectives – exploration established to investigate a concern of mutual interest to partners and – leveraging partnerships which involve shared investment for mutual benefit.
<p>2.2.4. Stakeholders</p> <p>Is the relationship with the stakeholder one: where the relationship/partnership is based on the type of stakeholders that are involved (e.g., government, private sector, non-profit/community groups, educational institutions)</p>
<p>2.2.5. Structures</p> <p>Is the relationship with the stakeholder one focused on structure, involving different levels of formality and function. E.g. contractual, representational and transactional models.</p>
<p>2.3. Capacity for Relationship/Partnership</p> <p>Is there a capacity for the stakeholders in community justice to engage in partnership might include the following kinds of questions.</p>

2.3.1. Aims/Strategy

Are the notions of partnership and capacity development reflected in stakeholder core values and mandate?
How does working through structured partnerships respond to stakeholder strategic objectives?
What other forms of relationships, such as collaboration on an ad-hoc basis, networking and contracting, can address stakeholder needs?
Are there any potential clashes between partnership and other operational modalities within the stakeholder organization, and can these be adequately reconciled?
Is the stakeholder willing to open itself to influence (e.g. priority-setting) by another stakeholder? Which ones?
Is the stakeholder prepared to both defend and promote the partnership approach vis-à-vis funding agencies or other stakeholders, and is the stakeholder internal governance structure fully supportive, and aware of the implications?

2.3.2. Systems/Procedures

Are planning, budgeting and reporting tools sufficiently flexible to accommodate the uncertainties and related characteristics of a partnership?

Is the stakeholder willing and able to take a long-term perspective on partnership development, and on the realisation of results?

Under what conditions and to what extent is the stakeholder prepared to adapt implementation plans and priorities to the needs or preferences of the other stakeholders (i.e. taking the driver's seat versus a place in the waiting room)?

Is the stakeholder willing to engage in a process of joint monitoring and evaluation, based on jointly conceived indicators?

Does the stakeholder recognise and accept the validity of process indicators as legitimate measures of performance? Can it withstand external pressures to generate short-term results, and high disbursement rates?

Is the stakeholder prepared to be transparent and to account openly for decision-making and budgeting to the other stakeholders?

2.3.3. Financial resources

To what extent can the stakeholder make long-term financial commitments to the relationship/partnership?

Is the stakeholder willing and able to finance the up-front costs of investing in relationship/partnership, in particular time and travel?

Is the stakeholder willing to invest in the partner's overhead (i.e. institutional) costs and, if so, under what conditions? (Question for stakeholder with greater resources)

Is the stakeholder willing to jointly fund-raise with the other stakeholders?

Is the stakeholder willing and able to entrust financial resources and to delegate certain financial management responsibilities to the other stakeholders as a mechanism to 'level the playing field'? (Question for stakeholder with great financial resources)

2.3.4. Human Resources

Have provisions been made to train and sensitize staff to the cultural dimensions of partnering and in the skills of negotiation, confidence-building, facilitation and joint working?

Do reward systems and performance assessments adequately acknowledge process-related factors and skills associated with developing institutional relationships?

Is adequate time made available to staff to invest in partnership development?

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2.3.5. Incentives

Does the stakeholder have an enlightened self-interest – motivations to have a relationship/partnership?

3. Relevant Documents, Studies and Practices – Yukon

3.1. Aboriginal Justice Strategy (AJS) Trends - 2000¹

3.1.1. Community Links

Province/Territory	# of Programs Reporting Community Links		
	1996-97	1997-98	1998-99
Yukon	3	3	5
TOTAL	20	37	57

3.2. Best Practices/Lessons Learned: Multidisciplinary/Integrated Justice Projects - 1999²

3.2.1. Reduced Crime / Victimization

A number of the submitted projects reported outcomes and benefits relating to crime prevention, reduced crime and fear of crime, and reduced victimization.

As well, a wide range of projects were designed, in whole or in part, to prevent crime, including:

- Community Based Justice. Yukon.
- Community-Based Approach to Crime Prevention. Yukon.

3.2.2. Holistic Approaches

Three of the projects submitted as best practices and lessons learned were classified as holistic approaches projects (see again Appendix G). These three projects could have been classified within the other three classifications used above; however, they were classified in this fashion because they all, in one manner or another, used language to suggest that one of the central aims was to develop an overall, or holistic approach, to a particular problem.

In the Yukon, the Community Based Justice Project, a complex project involving many components and a number of partners, is also holistically oriented. The specific objectives of the project may be summarized as aiming to minimize people's contact with the traditional justice system by utilizing and developing restorative justice. Restorative justice may or may not be viewed as being holistic in itself; however, in the Yukon project it seems oriented toward holistic responses to justice problems in the sense that *the project affects the community as a whole*.

It is much more difficult to attempt, as above, to categorize targets and outcomes of projects, which attempt holistic approaches to justice problems. In part this is due to the fact that there are only three projects and the projects do not necessarily have much in common other than the holistic nature of the approach. However, there appears to be one commonality worth noting across these projects: they share the similar outcome objective or orientation of reducing people's contact with the traditional justice system. In the case of the B.C. project the social target is mentally disordered offenders. In the Manitoba and Yukon projects, the social target is the First Nations and Aboriginal communities.

¹ Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -

² Department of Justice Canada, Research and Statistics Division, George Kiefl, Best Practices and Lessons Learned: Multidisciplinary and Integrated Justice Projects March 1999, WD1999-2e. <http://canada.justice.gc.ca/en/ps/rs/rep/wd99-2a-e.html>

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3.2.3. Best Practices & Lessons Learned

Project	Best Practices	Lessons Learned
Yukon-1 Community Based Justice	Multidisciplinary Justice project Using the Teslin project as an example, a best practice has been to ensure it is the community who offers the suggestions and procedures. The lesson learned is to provide close monitoring and hence encouragement and advise.	The lesson learned is to provide close monitoring and hence encouragement and advise.
Yukon-2 Coordinating Committee on Family Violence	Multidisciplinary Justice project	Best Practices: All agencies gather at one place and time and on a regular basis. This Lessons Learned: It is cumbersome for a large number of agencies to meet.

3.2.4. Types Of Projects

Type of Multidisciplinary Justice Project	Characteristic Best Practice	Project Title	Project Orientation/ Target	Benefits / Comments
Inter-System Cooperation	. comprehensive response to family violence	Multidisciplinary Justice Coordinating Committee on Family Violence (Yuk-2)	Preventive, Restorative and Educational: family violence	coordinate and evaluate activities toward a comprehensive response to family violence.
Holistic Approaches	. community empowerment / ownership . coordination of all services/ community resources.	Multidisciplinary Justice Community Based Justice (Yuk-1)	Reduce Contact with Justice System: Aboriginal / First Nations Mediation / Restorative Justice: Reduced use of traditional justice system	minimizes people's contact with the traditional justice system. community based justice reduces processing costs to allow greater emphasis on healing individuals, families and the community.

3.3. Building Community Justice Partnerships - 1997^{3 4}

Interagency Advisory Committee

³ Stuart, Barry. 1997. *Building Community Justice Partnerships: Community Peacemaking Circles*. Ottawa: Aboriginal Justice Learning Network, Department of Justice.

⁴ Solicitor General Canada, Rick Linden University of Manitoba and Don Clairmont, Dalhousie University, Making It Work: Planning And Evaluating Community Corrections & Healing Projects In Aboriginal Communities, 1998
<http://www.sgc.gc.ca/epub/Abocor/e199805b/e199805b.htm>

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- Even if local officials participate in, or are members of the justice committee, another committee of managers from all relevant government departments is essential to maintain effective coordination among all major participants in the partnership.
 - This committee should include community representatives and the directors of the community justice project.
 - Unlike the community justice committee, this interagency advisory committee has no line responsibilities.
 - They can meet less frequently, perhaps every two months and even less once the community initiative passes through the difficult start-up period.
 - An advisory committee can contribute the following:
 - a forum for leaders from the private and public sectors to meet and keep abreast of developments
 - a sounding board for issues raised within the partnership
 - another avenue to bring in the larger community and to access their support
 - an ability to identify community resources (eg. businesses willing to donate training or provide work experiences for young people and funding opportunities, or people with valuable skills)
 - support for line workers among senior managers
 - faster responses to resolve problems to anticipate and avoid problems and to coordinate resources and policies in advancing the needs of a community justice project.
 - Managers by being involved at the outset, particularly in setting priorities, in identifying resources, induce a commitment and a sense of shared ownership in community justice.
 - However, all managers must avoid the often irresistible urge to impose their agendas on the community.
 - Their role is to help the community identify what the community wants to do – not to get the community do what they want them to do.
 - In the long run, by assisting with communities' priorities, all agencies will benefit immensely, whereas pressing their priorities upon communities will ultimately dissipate community involvement.
 - Especially during the initial planning and organizing of a community justice initiative, manager either individually or working through an Inter-Agency Committee can make a vital difference in the successful launching and operation of community justice.
 - By helping the community identify resources that can be made available, realized or tailored to be used within community justice processes, by informing, encouraging their line officials to cooperate and support by making it possible for line officials to work with the community (reducing their existing workload, giving them time to spend in communities etc.) by participating in and funding training for community justice and generally by bringing to bear their collective managerial expertise, managers can vividly demonstrate their value to the partnership.
 - There is ample flexibility in the programs and funding of all line agencies to make the partnership work – if there is a will to do so.

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- A will to do so always arises when a full awareness of the direct benefits to all justice agencies following from community justice partnerships is fully appreciated.

4. Relevant Documents, Studies and Practices – Other Northern Territories

4.1. Nunavut (Northern) Justice Issues - 2000⁵

Relationship with the Formal State-Operated Criminal Justice System

- The voices included in this report also address the issue of how a community-based justice initiative in Aboriginal communities may interact with the formal, mainstream Canadian criminal justice system.
 - It is clear that there are a number of issues that must be examined in order to ensure a mutually beneficial working relationship and matched expectations.
- One aspect that must be considered is the level of and type of involvement, as well as the role(s) of the criminal justice system, its agents and agencies. Issues that must be addressed to avoid misunderstanding and distrust from all parties, introduced in the literature, include such things as:
 - ***The support of the criminal justice system*** is vital to the success of any community-based justice initiative.
 - ***Referrals***: who and how? The initiative must address this question and come to an agreement with the justice agents in their community.
 - ***The presence of a 'safety valve'***: when will the larger system become more involved with the initiative in order to protect the larger interests of the community and how will that be negotiated?
 - ***How will the initiative avoid being undermined by the larger system?***
 - ***How will it be ensured that their goals and roles will not be co-opted or that control over the initiative will not shift to an external source?***
 - **Offence threshold**: what offences are too much for the initiative to safely and effectively address?
 - The voices in this collection hold that the community cannot deal with all offences because some serious offences may be too difficult.
 - In such a case, the community can play an important role in the post-adjudication area.
 - For example, they can be involved in sentencing and advising on disposition.
 - Or, individuals and Elders from the community can work with the offender on a one on one basis while incarcerated or once they are re-introduced to the community in order to reintegrate and assist in rehabilitation.
 - Consequently, although this is an important area to explore and understand, community involvement and control, at this point, does not have to be an 'all or nothing' situation.

4.2. A Framework for Community Justice in the Western Arctic – 1999⁶

Relationships with Justice Personnel

- Most community justice committees appear to have relationships with personnel in the existing justice system.
 - These relationships may be with anyone or all of the following:
 - members of the Territorial court party; .
 - judges;
 - the federal Aboriginal Justice Directorate;
 - the Corrections Division of the GNWT Department of Justice;
 - RCMP.
- Where these relationships exist, community respondents generally find them to be helpful in their justice work.

⁵ Department of Justice Canada, Research and Statistics Division, by Naomi Giff, Nunavut Justice Issues: An Annotated Bibliography, March 31, 2000, <http://canada.justice.gc.ca/en/ps/rs/rep/rr00-7a-e.pdf>

⁶ Campbell Research Associates, Kelly & Associates, Smith & Associates, prepared for Government of Northwest Territories, Department of Justice, A Framework for Community Justice in the Western Arctic – June 1999

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- Committee members/coordinators and other respondents involved with community justice committees put a similar emphasis on communication needs when asked whether there are any types of assistance or supports that they have not been able to obtain:
 - o access to networks with other justice coordinators, committees and specialists;
 - o ensuring that the Crown is aware of the diversion process;
 - o opportunities to talk to other justice and related agencies, to participate in joint programs;
 - o information on the outcomes of diversions.
- Relationships between community justice committees/coordinators and justice specialists are not always clearly understood at the community level.
 - o While there is a general feeling among committee and community respondents that specialist services are somewhat helpful to committees, given the important linkage role of the CJSs between the Division and committees, one would hope for an improvement in the extent to which they are seen to be helpful.
 - o Since CJSs are the primary conduit between government, communities/committees and the justice system, every opportunity to maximize relations between justice specialists and community level justice initiatives should be examined.
- Similarly, in a resource-constrained environment, relationships, partnerships, networking and sharing of information and assistance needs to be encouraged among agencies/organizations within communities, at the regional level and with social service networks external to the justice system
- .
- Communication between committees and key justice system agents, especially the RCMP, Crowns and the new probation service, needs to be strengthened so that all parties can work together to advance community justice.
 - o Both the community justice specialists and senior Department management can play an important role in facilitating relations between the program, the Division of Corrections and the justice system at the community, regional and Territorial levels.

4.3. Preventing and Responding to Northern Crime- 1994 ⁷

Preliminary findings - Levels of dependency on the criminal justice system:

- The communities across the Baffin region differ in the demands they place on the criminal justice system agencies and personnel, as well as the expectations they have of what they, as communities, can and cannot accomplish to address crime.
- In other words, while some communities have developed a strong dependency on the criminal justice system and expect it to address their disputes, other communities see the community as the responsible agent for addressing anti-social or criminal behaviour.

⁷ Winther, Neil, Corporal Paul Currie, Ken Bighetty (Resource Persons). "Northern Fly-In Sports Camps: A Self-Responsibility Model for Delinquency Prone Youth", in Preventing and Responding to Northern Crime, Burnaby: Northern Justice Society, Simon Fraser University, 1990 cited in Department of Justice Canada, Research Report, Research and Statistics, Mary Crnkovich and Lisa Addario with Linda Archibald Division, Inuit Women and the Nunavut Justice System, 2000-8e, March 2000, <http://canada.justice.gc.ca/en/ps/rs/rep/rr00-8a-e.pdf>.

5. Relevant Documents, Studies and Practices – Other Canadian

5.1. Commission On The Future Of Health Care in Canada • Interim Report - 2002

Leadership, Collaboration And Responsibility

It will take some “give and take” at both provincial and federal levels to clarify respective roles and responsibilities and establish a more collaborative relationship. There are numerous examples where intergovernmental cooperation is in place and is producing reasonable results. Ministers and deputy ministers of health across the country meet regularly and often share ideas and agree on broad policy directions. The Canadian Institute for Health Information (CIHI), funded by both orders of government, has a mandate to compile and share information about health and health outcomes and to foster common data and information standards. And there are cooperative arrangements in place to look at waiting lists and share information on potential transplant recipients.

The challenge is this: how do we take these examples of collaboration and translate them into a broader framework? How do we set aside years of partisan politics and constant wrangling in favour of real and effective mechanisms that respect jurisdiction and responsibility but put the common good of the health system at the forefront? This challenge needs to be addressed, and soon, by both orders of government. Quite frankly, Canadians are tired of the finger pointing and “hollering from a distance” while both parties squabble over fundamental directions and funding. As part of their September 2000 agreement on health care financing, the federal and provincial-territorial governments agreed to a set of principles (see box below) that would guide future cooperation. As laudable as these principles are, it remains to be seen whether these principles actually provide a sound basis for intergovernmental cooperation.

While governments have sought various means to overcome the fragmentation of Canadian health care, providers have also made some progress in “knitting” the disparate pieces together. Yet it is a role that is largely unrecognized and most would agree that there is still more that could be done. The education, regulation, and practices of health professionals are perhaps the strongest unifying force in health care in Canada today. Physicians, nurses, pharmacists, and many other providers have created strong national structures to standardize practices, disseminate best practice information, and introduce new innovations. Some have independent research capacities and readily contribute to national policy discussions.

As for the degree of collaboration *across* national organizations, current efforts could be expanded so that new policy ideas from national provider organizations better integrate the interests and thinking of a plurality of health professional groups. And despite the influence some national provider organizations have enjoyed on policy, there is no formal or ongoing liaison with governments. As a consequence, contact with governments is ad hoc and often focused on the crisis of the day rather than more long-term issues.

To improve collaboration across and among provider organizations, and between provider organizations and governments, some experts have suggested the creation of external advisory bodies. One of the more structured proposals is for a *Canadian Health Council* that would bring together the leadership of provider organizations with political leaders, leading health policy experts, patient advocates and citizen representatives.

The Council would dialogue, deliberate and make recommendations to governments on major issues in health care. Another option might be the creation of a *Canadian Quality Council*. This type of council would assess progress in improving quality in health care and make recommendations to government on steps needed to achieve better health outcomes. It would be composed of a small team drawn from providers, policy experts, the public and quality experts from other sectors, and would be seen by the broader public as independent and credible.

While these ideas have merit, it must be kept in mind that permanent advisory bodies have had a checkered history in Canada. While providing a stream of ongoing advice to governments, these advisory bodies can develop relationships that are too comfortable with the key players, with the result that their recommendations rarely challenge the status quo.

Initial Observations

Decisions about who leads our health system, how they make decisions, and what responsibilities they have are fundamentally important to the future of our health system. Today, we have a complex and confusing array of decision-makers involved, little clear direction and accountability, and more tension than collaboration among the key players involved. On an initial basis, I suggest that:

- New and more collaborative governance approaches are needed. The existing system too frequently results in mounting tensions between provincial and federal governments with more focus on jurisdiction and authority and less on what is best for the future of the health system. The result is that too many Canadians have lost confidence that we have a clear direction for our health system and that appropriate decisions will be made.
- To put new relationships in place, governments may need to step back from their traditional perspectives, decide what is in the best interests of the health system overall, and develop new relationships and processes to achieve essential goals.
- Canada has no shortage of provider groups and organizations, but greater collaboration among these groups is required. Moreover, direct linkages with governments should be put in place, focused on providing long-term input to shape Canada's health system rather than managing day-to-day crises.

Are any of these issues/lessons learned applicable to justice?

5.2. Social Capital in Situation of Cooperation and Conflict- 2001

- Social capital — the structure of relationships, the mutual trust between stakeholders and participation in associations — can be measured based on the number of contacts that stakeholders have with each other
- This article shows that contacts vary not only in terms of content but also in terms of intensity in that there are weak ties and strong ties.
 - Good connective social capital lies in the proper balance of primary and secondary contacts.
 - It is just as important to consider disconnective social capital and structural holes — situations in which two actors cannot communicate with each other except through an intermediary.
- The article shows that social capital based on connections and disconnections between actors is useful in situations of conflict as well as situations of co-operation between social actors.
- Social capital is special category of resources like economic or human capital.⁸
 - Unlike other types of capital, however, social capital lies in the structure of relationships between individuals or groups.
 - This is the view of social capital presented in this article,[2]⁹ although there is no denying that social capital also lies in the mutual trust between actors and in participation in associations.
 - But if, as Bateson suggests,¹⁰[3] the structure of relationships takes precedence over their content, then a definition of social capital relationships would precede a definition of their content.
- **Measuring social capital by number of contacts** : Coleman offers a simple way to measure social capital.
 - The number of contacts indicates the extent of an actor's social capital.
 - A contact consists of a direct relationship with another actor.
 - Since the number of contacts between persons, groups or organizations varies considerably, social capital is a variable quantity.
 - We see the same thing in our personal lives.
 - We all know people with a very wide network of contacts and others with none.
 - The same is true for groups and organizations.

⁸ J.S. Coleman, "Social capital in the creation of human capital," *American Journal of Sociology*, Vol. 94 (supplement) (1988) S95–S120 in Lemieux, Vincent, Social Capital in Situation of Cooperation and Conflict, ISUMA, Canadian Journal of Policy Research, Volume 2, Number 1, Spring 2001, http://www.isuma.net/v02n01/lemieux/lemieux_e.shtml

⁹ 2. We developed this idea of social capital in our two publications, *Les réseaux d'acteurs sociaux* (Paris: Presses universitaires de France, 1999) and *À quoi servent les réseaux sociaux?* Collection Diagnostic, No. 27 (Sainte-Foy: Les Presses de l'Université Laval, 2000).

¹⁰ 3. G. Bateson, *Mind and Nature* (New York: Dutton, 1979).

- Mathieu Ouimet showed this in his master's thesis on the networks of public and private organizations working with drug addicts in the Quebec region.[4]¹¹
- Dozens of organizations responded to the questionnaire and identified contacts with whom they share information.
- The regional health and social services board maintains contact with almost all the other organizations, whereas small public and private organizations have only a few contacts.
- Ouimet showed that the content of the contact varies as well.
 - It is less demanding and therefore more common for organizations to share information rather than services and joint initiatives.
- **Strong ties, weak ties:** Relationships with contacts, which indicate the social capital of an individual or group actor, vary in their intensity as well as their content.
 - In his now classic article, Granovetter¹² distinguished between strong ties and weak ties.
 - People devote more time to strong ties than weak ones; strong ties are also more varied, more intimate and have greater emotional intensity.
 - Within family networks, people usually maintain strong ties with their immediate family and weaker ties with more distant relatives (uncles and aunts, nephews and nieces, and cousins).
 - Weak ties are just as important a part of an actor's social capital as strong ties, however.
 - There is also a drawback to strong ties in that they are closed off and inward-looking.
 - If A maintains strong ties with B and C, it is quite likely that B and C have strong ties. The same is true in families and groups of friends. In other words, sets of strong ties tend to form complete networks or "cliques," in which participants have direct relationships with each other.

Since we devote a lot of our time to strong ties, the information that circulates is often repetitive and stale. The opposite is true for weak ties. When two friends or former classmates get together for the first time in several years, they have a lot to share. In his doctoral thesis, Granovetter showed that weak ties were more effective than strong ties for obtaining information on employment. Subsequent researchers have confirmed this finding. Weak ties are more commonly used to build bridges between "cliques" made up of strong ties. For example, if an association wants to widen its membership, it should recruit people who belong to close networks made up of strong ties. These people will in turn recruit members from their own networks.

In other words, weak ties are better than strong ties at extending the social capital or contacts of a person or group. However, since these weak ties are less varied and intense than strong ties, there is usually less mutual trust among the actors. Good social capital seems to be based on the right blend of strong and weak ties.

Sources, levers and targets

One of the current uses of social capital is to use contacts to recruit, inform or persuade their own set of contacts. For example, if I want someone whom I scarcely know to apply for a job, I would turn to one of my contacts who has some influence with this person.

Lazega conducted an interesting study on this subject in a law firm of 36 partners.¹³ Using a sociometric questionnaire, Lazega determined whether the lawyers had relationships of consultation, collaboration or friendship with each other. Any two given lawyers had possible two or even three of these types of relationships. A weak tie consisted of only one type of relationship, and a strong tie of two or three types. It was even possible for two lawyers not to have any of the three types of relationships.

Lazega asked each partner (or *source*) the following question: If you were in charge of the firm, which person (or *lever*) would you approach to speak to a partner (or *target*) whose personal problems were threatening office productivity and therefore the common good? Each partner had to answer the question in relation to each of the other lawyers in the office.

¹¹ 4. M. Ouimet, La mise en oeuvre de la politique en matière de drogue dans la région de la Capitale nationale (1999–2000) : une analyse structurale exploratoire, master's thesis, Département de science politique, Université Laval (2000).

¹² 5. M. Granovetter, "The strength of weak ties," American Journal of Sociology, Vol. 78 (1973) pp. 1360–1380.

¹³ 6. See E. Lazega and M.-O. Lebeaux, "Capital social et contrainte latérale," Revue française de sociologie, Vol. 36 (1995) pp. 759–777.

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We are most interested in the partners with whom the source had no ties since the other partners are the source's contacts and make up his or her social capital. The study shows that, in these cases, sources tend to use levers who have weak ties with them but strong ties with the target.

These results confirm that weak ties often serve as bridges to connect actors who have no direct relationship. According to Lazega, they also show that actors tend to make greater use of their contacts' social capital than their own in cases where they have no ties with the targets, and the outcome of their action is uncertain.

When sources have a strong or weak tie with the target, they tend to use contacts with whom they have strong ties and who have strong ties with the target when possible. Sources use more of their own social capital when the outcome is less certain.

Co-operation and conflict

In Lazega's scenarios, sources make more use of their own social capital when they anticipate that the results will not create conflict. When they anticipate that their lever's intervention may fail and spark conflict, sources prefer to save their social capital.

Most of the literature on social capital focuses on co-operative situations. In a local community or organization in which the actors have many strong or weak ties, there seems to be a great deal of co-operation. When each actor's social capital is more limited, co-operation and mutual trust seem to be more limited as well.

This trend appears in many studies of family, affinity or support networks. People experiencing temporary or ongoing difficulties receive more help if their support network is extensive; in other words, if their social capital is made up of many contacts. The same is true for networks to mobilize people. Adrian Mayer's classic study of social networks¹⁴ showed how an Indian politician who wanted to get elected mobilized the support of his contacts belonging either to his caste, profession or party. These contacts mobilized some of their contacts, who reached out to some of their contacts, and so on.

Another study by Boissevain¹⁵ followed an Italian student as he tried to get study materials for an exam. Many of the materials were not available from the library, and the student used his social capital to try to get them. As in the preceding case, the student's contacts used their own contacts to get the books that they did not have.

In both cases, the levers (or intermediaries) are like an extension of the contacts in the source's social capital. In addition, social capital is being used co-operatively but in a basically competitive situation. Although Mayer and Boissevain do not deal with this aspect, the Indian politician is competing against other politicians for support, and the Italian student is competing against others for the required readings. Their social capital may conflict with that of their competitors and thus be limited.

In a remarkable study, Burt focused on the social capital of individuals in competitive situations involving both conflict and co-operation.¹⁶ Using several empirical studies, Burt showed that an actor benefits from having "structural holes" between his contacts in these situations.

There is a structural hole between two actors in relation to a third when they cannot communicate with each other except through this third actor, or when they cannot unite against the third. Burt gave the example of a real estate agent who shows a house to two potential buyers. If the two buyers do not know each other, the agent can exploit the situation by telling the first buyer that the second is ready to offer a higher amount, and by telling the second buyer that the first has made a higher offer.

Structural holes are useful in politics, where they help groups "divide and conquer." For example, it is better for a coalition government to have its members united and its opponents divided among themselves.

¹⁴ A. Mayer, "The significance of quasi-groups in the study of complex societies," pp. 97–122, in M. Banton (ed.), *The Social Anthropology of Complex Societies* (London: Tavistock).

¹⁵ J. Boissevain, *Friends of Friends* (Oxford: Basil Blackwell, 1974) pp. 134–138.

¹⁶ R.S. Burt, *Structural Holes*, (Cambridge Mass.: Harvard University Press, 1992).

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In one of his empirical studies, Burt showed a similar situation in the field of economics. Using data on 77 markets from the U.S. Department of Commerce, Burt employed complex techniques to show the presence or absence of structural holes between producers, suppliers or clients doing business in these markets. He then related the structural holes to the producers' profit margins. Burt pointed out that structural holes between producers reduced profit margins in a given market and structural holes between suppliers and clients increased the profit margins.

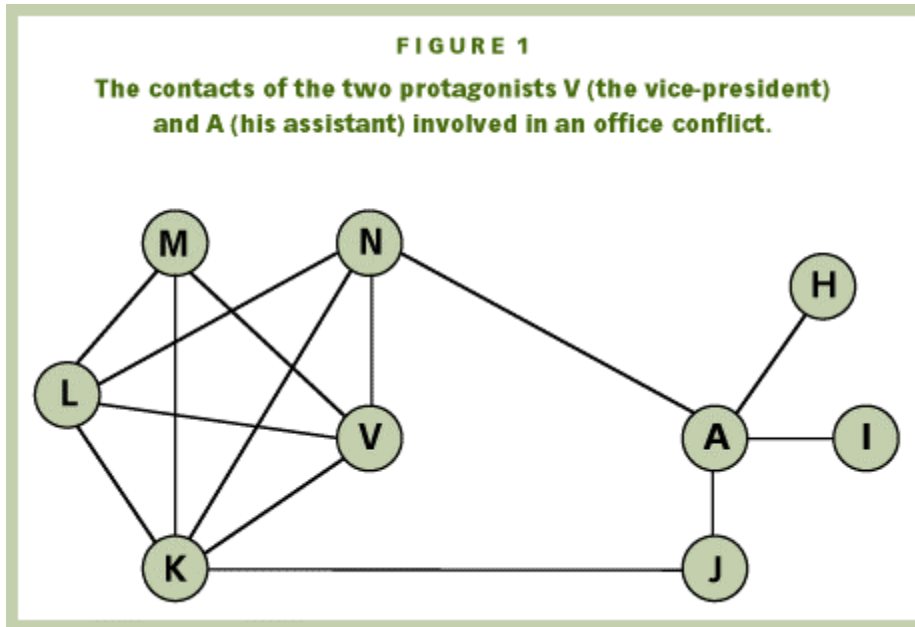
In another empirical study, Burt showed the relationship between “disconnective” social capital— so called because it is based on structural holes— and the promotion of managers in a large American high-tech firm. The relative speed with which they are promoted depends largely on their individual human capital. The cases that cannot be explained by human capital are not the result of chance. They can be explained by the “disconnective” social capital of the managers seeking promotion, particularly the structural holes between their contacts outside the firm.

Two types of social capital

Burt's work on structural holes and disconnective social capital shows the limitations of measuring social capital simply in terms of the number of contacts. We must also consider whether these contacts have relationships. The extent of the source's connective or disconnective social capital is determined by the number of relationships between contacts.

Studies of workplace conflict show that structural holes may help a source prevail over his or her contacts. But they hinder a source when he/she is in conflict with another source with roughly the same connective social capital.

Thurman analyzed this kind of situation in an office in which a very popular vice-president was in conflict with a less popular assistant.[10] ¹⁷Figure 1 is a very simplified representation of the protagonists' principal contacts and the main links between these contacts.



The figure shows that the vice-president (V) has the same number of contacts as his assistant (A) and the only structural hole is between his contacts M and N.

¹⁷ [10](#). B. Thurman, “In the office: networks and coalitions,” *Social Networks*, Vol. 2 (1979) pp. 47–63.

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There are six structural holes between the assistant's contacts. She exerts more control over her allies more than the vice-president. One of her contacts, N, is also a contact of the vice-president. Her contact J is also a contact of K, who is another of the vice-president's contacts.

The two protagonists also have secondary contacts, with whom the primary contacts act as levers or intermediaries. The secondary contacts make the difference in this situation. The assistant has four secondary contacts, one through J and three through N. The vice-president has no less than twelve, four through K, three through L, two through M and three through N.

In conflict situations like the one studied by Thurman, an actor in conflict with another can strengthen support by using primary contacts to establish connections with secondary contacts. Although these secondary contacts are the primary contacts of the other protagonist, the fact that another actor reaches out to them may help them make up their minds. When an actor is a primary contact of each protagonist, as in the case of N, this individual may side with the person with whom he is most often a secondary contact. In Figure 1, N is a secondary contact of the vice-president in two cases, but has no secondary contact with the assistant. This example shows why we should remember that an individual's connective social capital is composed of primary as well as secondary contacts.

Social capital: one of many resources

As Michel Forsé noted in a recent article,^[11]¹⁸ sociologists such as Pierre Bourdieu question whether social capital is a specific resource. They feel that social capital is closely linked to economic and cultural capital. Forsé believes otherwise. His research indicates that social capital is not a function of human, economic or cultural capital but has its own impact.

Whatever the case, social actors clearly use resources other than their social capital to get what they want. Their positions and prestige are factors as well as their human, economic and cultural capital. The recent focus on social capital, supported by studies on social networks, fills a gap that seems surprising in this day and age. It is as if we had long forgotten that the ties between social actors are every bit as much a resource as the ties they have with "things."

However, social capital should not be seen simply as a means of co-operation between actors. In this article, we have tried to show that social capital is also used in situations of conflict or competition and that in these situations it was present both in the connections and disconnections between the protagonists' contacts.

5.3. Law Commission of Canada Performance Report -2001¹⁹

Governance Relationships: Developing New Approaches to Law Reform

The aim of the governance relationships theme is to examine ways to enhance the capacity of citizens to participate meaningfully in the processes of public institutions. Canadians are disengaging from these institutions and are more sceptical about their responsiveness. In its investigation of what kinds and forms of law best meet the notion of citizenship and citizen capacity that underlies a liberal-democratic state, the Commission is studying decision-making and institutions, both public and private, and exploring processes for effective governance in a framework of openness and accountability.

Personal Relationships: Linking Researchers, Decision-makers and the Public

Canadian law now rests on assumptions about how people organize their private lives and how they relate to their partners, parents, children and others with whom they share a close relationship. These assumptions are frequently out of touch with the facts. As a result some legal policies derived from them are obsolete and counter-productive.

Social Relationships: Building a Research Program that is relevant

¹⁸ ¹¹ M. Forsé, "Les relations sociales comme ressources," *Sciences humaines*, No. 104 (April 2000) pp. 34–37.

¹⁹ Law Commission of Canada Performance Report For the period ending March 31, 2001
http://www.tbs-sct.gc.ca/rma/eppi-ibdrp/est-bd/p3dep/dpr_i-m_e.htm#L

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The boundaries that define group identity are shifting as individuals seek to refashion existing social relationships or develop new social relationships with one another. There is a growing perception that group identity has become more heterogeneous, diffuse and complex over the past two decades. Increasingly, Canadians are identifying themselves as members of multiple, overlapping and, sometimes, contradictory groups.

Restorative Justice

The limitations of Canada's justice system in responding to conflict have long been recognized. The civil court experience — for those Canadians who can access the courts — can leave all parties feeling dissatisfied and disenfranchised. The same can be said of the criminal court experience: victims often feel detached from the process and offenders are not always held responsible for the concrete consequences of their behaviour. The Commission has been exploring restorative justice as an alternative method of delivering criminal justice. It is also examining the potential for extension of restorative justice principles to other fields of law, such as family law, labour law and commercial law.

The starting point of restorative justice is the idea that conflicts that find their way into the criminal justice system are not only, or even primarily, transgressions against the state; rather, they represent the rupture of relationships between two or more people. Accordingly, restorative justice focuses on the physical, economic, emotional, psychological and spiritual elements of that conflict. Essentially, restorative justice programs attempt to repair the harm done by crime. This attempt goes beyond simple reparations to victims and involves a healing or therapeutic process for all parties, including offenders and the community. This attempt at social transformation is the strength of restorative justice programs but, as the Commission's research shows, these programs have their own limitations.

For example, sensitivity to victims' needs and concerns is a key feature of restorative justice principles, but, in practice, victims can feel forced into the process and can sometimes feel as if the offender's needs are placed first. In particular, some women who were victims of domestic violence have expressed concerns related to the clearly inappropriate goal of "restoring" a relationship that has been marked by abuse or power imbalances.

Community Forums on Restorative Justice

This year, the Commission invited input and feedback from Canadians on its discussion paper on restorative justice by sponsoring two community forums on the topic — one in Charlottetown and one in Ottawa.

The **Community Forum on Justice** held in Charlottetown was part of a larger event called "Conference 2000: Communities Challenging Violence." The forum attracted more than 100 participants from the community and featured a panel of eight people from diverse backgrounds who talked about their experiences with the criminal justice system and their perspectives on the potential of restorative justice for building stronger communities.

The Ottawa forum also drew more than 100 participants. It featured Nils Christie, Professor of Criminology at the University of Oslo and internationally renowned expert on restorative justice, and James Scott, Program Coordinator of the Collaborative Justice Project in Ottawa.

Community Research Project

Communities are not merely the sites where official policies and programs are only implemented. More and more, communities are being called on to develop and administer policies themselves. The Commission embarked on a research project that will explore the relationship between law and communities.

Several research projects will address the following two sets of questions:

- How and why does the law fix some and undermine or erase other notions of community? Why is it that the law recognises, supports and nurtures some communities and not others?
- What are the implications when there is a variance between communities as social facts and communities as recognised by the law? How does this variance stimulate or block legal reform and innovation?

Economic Relationships: Establishing Productive Research Partnerships

Many of today's most important relationships can be cast as economic relationships, involving the recognition, allocation and distribution of resources. Various changes in patterns of trade, consumption, education and work pose policy challenges because of the dislocation of employment, families and communities that they cause. The Commission believes that understanding market activities as relational will help establish how law should best respond to the human and social disruptions caused by economic transitions. The general intent of the Commission is to explore how best to structure law to enhance economic strength while protecting fundamental social values.

Employment Relationships in Transition

The Commission was one of the sponsors of a research project of the Canadian Policy Research Networks (CPRN). Last year was the final stage of the three-year undertaking, which involved two roundtables, a discussion paper, three studies, a synthesis report and a highlight report. This year CPRN published *What's a Good Job? The Importance of Employment Relationships*, by Graham S. Lowe and Grant Schellenberg.

5.4. The Effectiveness Of Restorative Justice Practices: A Meta-Analysis - 200120

- It has been argued, however, that restorative justice and rehabilitative treatment are rather complementary approaches (Crowe, 1998).
 - o The utilization, therefore, of both restorative justice processes and “appropriate treatment” as a comprehensive response to criminal behaviour would be a valuable and theoretically directed experiment.
 - o This combination would enable both approaches to capitalize on their strengths and minimize their weaknesses.
 - o More specifically, the restorative processes could increase victim/offender satisfaction and restitution compliance while the rehabilitative processes could have a significant impact on recidivism.
-

5.5. Aboriginal Justice Strategy (AJS) Evaluation-2000²¹

5.5.1. Partnership

- Interview results indicated that the AJD and RCMP could partner more on specific projects at the community level. Furthermore AJD Regional Coordinators could work more closely with local officers during the implementation phase of community justice projects and in capacity-building communities.

5.5.2. Relationship with Mainstream Justice Personnel

- ◆ In order to operate a project, there needs to be support from the community as well as from the mainstream justice personnel.
 - ◆ As a method of bridging these two groups, many projects have a *steering committee*, which often includes project staff, Elders, local service providers (eg. representatives from health services, counseling services and schools), and mainstream justice personnel (eg. police officers, Crown attorneys, and probation officers). These committees provide advice and direction for the project, some assume a monitoring role, and some are involved in client monitoring/follow-up.
 - ◆ One project began by having a number of representatives from the Aboriginal community, mainstream justice, federal and provincial governments enter into a six-month period of community development resulting in the design of an alternative measures project that was agreed upon by all parties. The project option was then taken to the community for input and agreement. Consequently, this project has had *support from the Aboriginal community*, which is seen as one indicator of success.
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²⁰ Department of Justice Canada, Research and Statistics Division, Jeff Latimer, Craig Dowden Danielle Muise, “The Effectiveness Of Restorative Justice Practices: A Meta-Analysis”, 2001, <http://canada.justice.gc.ca/en/ps/rs/rep/meta-e.pdf>

²¹ Department of Justice Canada, Evaluation Division, Final Evaluation Aboriginal Justice Strategy, Technical Report, October 2000

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5.6. Aboriginal Justice Strategy (AJS) Trends - 2000²²

5.6.1. Use of Consultation and Foundation Building: Programs in Development

- A number of programs used some of (or all) their funding to lay the groundwork for developing and implementing a community –based justice program.
 - o These programs were not yet accepting person referrals, but instead were consulting with the community, undertaking needs assessment, developing long-term strategic plans and objectives, and ensuring community preparedness.
 - o This has proven to be a very important step in the process and can facilitate the success of the program.

	# Programs		
	1996-97	1997-98	1998-99
Consultations and Community-Based Justice Development Work	11	7	12
Percentage	42%	17%	19%

5.6.2. Community Links

- It is difficult to measure the community links that have been developed by the program and community agencies.
 - o However, for this project there were four broad areas used to capture any community links.
 - o These include links to:
 - Social services/agencies (i.e. social services, education, ministry, housing agencies, employment, community counseling services)
 - Mainstream justice official/agencies (i.e. police, Crown, probation)
 - Aboriginal organizations or programs (NNADAP, sweatlodge, friendship centres, agencies guided by cultural knowledge) or
 - other agencies (i.e. high schools, recreation centres).

Province/Territory	# of Programs Reporting Community Links		
	1996-97	1997-98	1998-99
British Columbia	1	2	7
Saskatchewan	12	14	20
Manitoba	1	3	5
Ontario	2	5	6
Quebec	0	0	1
Nova Scotia	1	1	1
Newfoundland	0	0	0
Nunavut	0	5	6
Northwest Territories	0	5	6
Yukon	3	3	5
TOTAL	20	37	57

	# of Programs Reporting on Community Links by Type		
	1996-97	1997-98	1998-99

²² Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -

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	# of Programs Reporting on Community Links by Type		
	1996-97	1997-98	1998-99
Mainstream Justice Officials/Agencies	18	32	53
Social Services/Agencies	19	28	45
Aboriginal Organizations/Agencies	17	26	39
Other Agencies	12	21	31
TOTAL	66	107	168

- By 1998-99 almost all of the projects in all the jurisdictions report some form of **community links**:
 - mainstream justice officials/agencies
 - police, Crown, probation
 - social services/agencies
 - social services, education ministry, housing agencies, employment, community counselling services
 - aboriginal organizations/agencies
 - NNADP, sweatlodge, friendship centres, agencies guided by cultural knowledge
 - other agencies
 - high schools, recreation centres
- Like many other variables, there is a large amount of overlap with projects reporting having multiple links.
- As of 1998-99 the most commonly reported on community link was to mainstream justice officials/agencies. In fact, as of 1998-99 all the projects in British Columbia, Northwest Territories, Nova Scotia, Ontario and Quebec report links with at least one agency in the mainstream justice system. Following closely is social service agencies, Aboriginal organizations and then ‘others’.

5.6.3. Resistance from the Current Justice System

Saskatchewan: Some of the projects have indicated that resistance from judges, RCMP and/or Crowns have hampered the efforts of the community justice committees. These projects state that lack of communication between justice officials and program officials can have a disastrous effect on referral rates.

5.7. Federal-Provincial-Territorial Working Group on Restorative Justice - 2000²³

Complement Criminal Justice System: For the purpose of this consultation, restorative justice is meant to be a complement and support to the criminal law and the courts so that the justice system can provide a more effective and satisfactory response to crime. This paper does not propose restorative justice as a replacement for the criminal justice system.

5.8. Effects of Restorative Justice Programming – 2000²⁴

Effects of Restorative Justice on the Criminal Justice System: Unfortunately, we could not locate published research on the effects of restorative justice on the criminal justice system.

²³ Federal-Provincial-Territorial Working Group on Restorative Justice Restorative Justice in Canada: A Consultation Paper (May 2000) available from the Department of Justice Canada, <http://canada.justice.gc.ca/en/ps/voc/rijpap.html>.

²⁴ Latimer, Jeff and Steven Kleinknecht, The Effects Of Restorative Justice, Programming: A Review of the Empirical, Department of Justice Canada, Research and Statistics Canada, January 2000. <http://canada.justice.gc.ca/en/ps/rs/rep/rr00-16a-e.html>

- This is a significant gap in our current knowledge. We do not know how the increasing number of restorative justice programs will affect the role of police, attorneys, or court and correctional officers.
 - The formal criminal justice system is, in all probability, experiencing significant changes as we move towards a secondary community-based stream of justice in Canada.
-

5.9. Best Practices/Lessons Learned: Multidisciplinary/Integrated Justice Projects - 1999²⁵

During the June 1996 meetings of Deputy Ministers Responsible for Justice discussions were held concerning the two related topics of multidisciplinary approaches to justice problems and integrated justice, and Deputies asked that work be undertaken in each area. In August 1996, Deputies agreed that the work, and the two groups addressing the work, be merged into what is now known as the Integrated Justice Initiative.

In summary, Deputy Ministers asked officials to undertake the following work:

- produce a compendium of multidisciplinary and integrated justice projects from across the country;
- develop a report on best practices and lessons learned in multidisciplinary and integrated justice;
- explore the possibility of undertaking select evaluations of existing, exemplary multidisciplinary and integrated justice projects;
- explore ways in which non-governmental organizations (NGOs) could be better involved in justice projects; and,
- explore the role of, and potential for, integrated justice in the areas of family, civil and criminal law.

The Multidisciplinary Justice Research Sub-Committee undertook to address elements of three tasks:

- a compendium of multidisciplinary and integrated justice projects;
- a report on best practices and lessons learned; and,
- possible evaluations of promising, exemplary multidisciplinary justice projects.

Initially, the Research Sub-Committee worked in conjunction with the Canadian Centre for Justice Statistics to develop the requested compendium. The Compendium, created using submissions from the jurisdictions on both multidisciplinary and integrated justice projects, was tabled for Deputy Ministers in 1997 and made public by the CCJS as Compendium of Canadian Integrated and Multi-disciplinary Justice Initiatives. The compendium was later up-dated and tabled for Deputy Ministers at their March 1998 meetings in Victoria.

Following the completion of the compendium, the Multidisciplinary Justice Research Sub-Committee began developing the requested report on best practices and lessons learned through an analysis of the submitted projects. This report represents the culmination of that effort, and begins exploring the work on evaluations through a discussion of next steps.

Main Findings

Through an analysis of the responses to the best practices and lessons learned question, it became clear that a majority of responses addressed necessary aspects of undertaking multidisciplinary and integrated justice projects rather than particularly successful or effective practices in developing successful justice projects. Factors such as 'undertaking consultations,' for instance, or 'involving partnerships,' were listed as best

²⁵ Department of Justice Canada, Research and Statistics Division, George Kiefl, Best Practices and Lessons Learned: Multidisciplinary and Integrated Justice Projects March 1999, WD1999-2e. <http://canada.justice.gc.ca/en/ps/rs/rep/wd99-2a-e.html>

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practices for a number of projects. These kinds of activities are necessary elements to developing multidisciplinary and integrated approaches, as opposed to particular practices that lead to effective multidisciplinary and integrated justice projects. As such, it appears that respondents understood the question in terms of providing successful and exemplary projects rather than delineating particularly successful practices. This changed the nature and objectives of the project and this report somewhat; nevertheless, a few projects did provide some information insights into best practices and lessons learned.

1. Best Practices:

Three related elements comprise the best practices (i.e., processes which assist in developing successful multidisciplinary justice projects, as opposed to exemplary projects per se) identified from the submitted projects:

- early consultations play an important role in effectively engaging partners and developing meaningful partnerships where all parties involved assume a degree of ownership over a project;
- in a related manner, partnerships must be genuine in order to be successful. While early consultations will impact a community's likelihood of accepting an invitation to participate in a multidisciplinary or integrated justice project, there is a need to go beyond the formality of consulting by developing genuine partnerships where there is equality amongst partners and openness to allow all partners the opportunity to help determine the role and nature of the project; and,
- the development of successful, genuine partnerships involves effectively engaging communities and partners in the decision making process, and thereby instilling ownership over the project (and justice issues generally). Developing real ownership (or "buy-in") on the part of partners is related to respecting the needs and desires of partners, ensuring that all partners are comfortable with other partners, ensuring that all implicated and involved agencies are seen as credible, and being sensitive to protocols and other related matters that partner agencies may have or may bring to the partnership.

2. Outcomes & Benefits:

Three main kinds of benefits and outcomes emerged from an analysis of the submitted projects:

- multidisciplinary and integrated justice projects have an impact on the community generally, in the form of community development. Community development may be seen as comprising an improved sense of community, an increased community awareness, and increased community interaction;
- a number of multidisciplinary and integrated justice projects reported objectives or results of reduced costs and improved efficiencies in the justice system; and,
- a variety of projects reported outcomes and benefits relating to crime, including reduced crime and fear of crime, and reduced victimization.

3. Partnership Orientations:

As the analysis progressed, it became clear that there were differences in partnership orientation that seemed to be important in further exploring multidisciplinary and integrated justice projects. Based on the apparent primary partner, it was possible to develop a classification system as follows.

- Community Partnership projects represent an initial step in external integration (i.e., integration with non-justice system partners) wherein justice agencies partner with affected and interested communities to address a justice problem.
- Justice System Coordination are projects with an orientation toward internal integration (i.e., integration within the justice system itself) where justice system agencies become more involved with other justice system agencies with the aim cooperating to integrate and coordinate their work.

- Inter-System Cooperation projects, which seek to improve cooperation between the justice system or agencies of the justice system and other public systems (e.g., education), represent a different, perhaps more complex, kind of external integration.
- Holistic Approaches may include elements of community partnerships, justice system coordination and/or inter-system cooperation. They may also have unusual partners such as a very specific community group or may have a very specific target group. However, these projects share a different commonality: they have adopted an orientation toward developing complete and holistic responses to problems rather than adopting an orientation around a particular kind of partnership.

4. Differences Between Multidisciplinary & Integrated Justice Projects:

Looking at the projects within this classification, it is apparent that multidisciplinary projects and integrated projects have different orientations:

- all of the submitted integrated justice projects, except one holistic approach project, were classified under justice system coordination. This finding suggests that integrated justice projects appear to be primarily concerned with internal integration . as noted above, internal integration refers to integration within the justice system; and,
- the submitted multidisciplinary justice projects tended to be classified under the categories of community partnership projects or inter-system cooperation projects. Being more likely classified under community partnership and inter-system cooperation, it seems that multidisciplinary justice projects are more oriented toward external integration . as developed, external integration refers to integration with non-justice system partners be they the community or agencies of other service systems. However, it is true that multidisciplinary justice projects were classified under all four categories of projects, suggesting that multidisciplinary justice may be more flexible in engaging more varied partners than integrated justice projects.

Aside from these differences in orientation, there were nevertheless clear similarities between multidisciplinary and integrated justice projects in terms of the targets and outcomes of projects:

- both multidisciplinary and integrated justice projects had similar justice-system as well as similar social-community targets and objectives. In terms of specific targets, both multidisciplinary and integrated justice projects tended toward the targets of crime prevention, community development, reduced use of the traditional justice system, as well as assisting victims and traditionally disadvantaged groups;
- both multidisciplinary and integrated justice projects may lead to the benefits of a more focused use of the justice system, and some form of reduced costs or improved efficiencies. Regarding specific outcomes, both multidisciplinary and integrated justice projects achieved similar outcomes and benefits, including improved community ownership over justice issues, reduced offending, and improved efficiencies and cost effectiveness.

IMPLICATIONS

1. Access to Justice

Looking at the overall benefits and impacts of multidisciplinary and integrated justice projects, it is possible to see these projects as all contributing to the advancement of access to justice. Access to justice has a long history and includes efforts such as legal aid, public legal education and information programs, as well as court-based efforts such as the native courtworker program. These kinds of efforts all represent attempts to provide individuals and historically disadvantaged groups with better and more equal access to justice and justice-related services.

Multidisciplinary and integrated justice projects also fall within the continuum of efforts to improve access to justice. However, there's a distinction to be made between multidisciplinary and integrated justice approaches

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and the previous programmatic approaches such as legal aid or native courtworker. Multidisciplinary and integrated justice projects are not programmatic approaches and the main objective is not to improve access to justice services. The objectives of multidisciplinary and integrated justice projects, beyond the specific project-determined objectives, are to improve access to the development of justice projects and to decision-making in the justice system.

As such, these kinds of projects are engaging citizens in the development of the justice system which is likely to impact a number of factors of interest to the justice system, including:

- people's respect for the law, the justice system and agencies of the justice system;
- citizen's awareness and understanding of the law and the justice system; and,
- people's willingness to participate in the justice system as witnesses and volunteers.

In this light, multidisciplinary and integrated justice projects have great potential for improving access to justice not just in traditional access to justice areas such as legal aid and courtworker problems, but also in other areas such as:

- restorative justice;
- alternative dispute resolution;
- crime prevention;
- community development; and, generally,
- social cohesion.

2. Comprehensive Integrated Justice

If one thinks about what integrated justice means . leaving aside any formal definition for the moment . there are a number of ways one could view integrated justice. For example, one could see any attempt to work with non-justice system partners in a multidisciplinary fashion as integrated justice, at least to a degree. However, simple or strictly multidisciplinary partnerships fall short of a more complete view of integrated justice. A more complete or comprehensive view of integrated justice would not only involve multidisciplinary partnerships, but would also look beyond project or problem oriented attempts to integrate work and look toward the integration of policy development and decision-making across all agencies involved in social policy issues.

The idea that integrated justice is a process of developing integrated policy development . integrated with community desires and community needs, and integrated with other public service systems such as health, education, social services, et cetera . raises other questions. The projects submitted only rarely represented projects which attempted to develop integrated policy development and decision-making. However, this objective was noted and some problems and questions were either raised or implied about what needs to be known to further integrated policy development and integrated decision-making, including:

- it is problematic to determine who should represent the government, for whom government representatives spoke (the Department?, themselves?), and ensuring accountability for all members / partners. If the desire is to develop mechanisms by which integrated justice can develop, there must be some sort of established or accepted determinations of role and of representation;
- there are difficulties surrounding defining a workable meaning for "inclusivity" and, defining partnership criteria. It is not enough to bring people together with good intentions of developing integrated policies, it is necessary to create parameters for inclusion in this kind of decision-making process and ensuring that there is agreement both on who does and does not get included; and,

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- there are problems in developing a non-hierarchical structure, and establishing a decision making process and criterion. Implicit in the idea that policy making may be addressed through integrated decision-making is the idea that there is some level of equality of importance across involved institutions such that, for example, the justice issues do not necessarily take precedence over the health issues in any one particular social policy area. As such, a non-hierarchical structure is an important element in developing structures, which promote integrated policy development and integrated decision-making process.

This kind of comprehensive integrated justice is therefore more of a process than a project or initiative as traditionally understood in the public sector. In theory at least, any public policy issue could be addressed using an integrated policy development model and employ a multidisciplinary approach to program delivery. As the above noted questions suggest, however, there needs to be more work done to better understand how to develop and overcome some of the barriers and problems in developing integrated decision-making mechanisms.

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5.10. Developing & Evaluating Justice Projects in Aboriginal Communities- 1998²⁶

Collaboration with the Current Justice System: Virtually all Aboriginal justice initiatives will require collaboration with mainstream justice officials.

- Whether it be the judge who facilitates sentencing circles, the prosecutor who channels cases to a diversion program, corrections officials sponsoring various parole alternatives, or the provincial police who provide backup and special services to First Nation police services and/or First Nation communities, mainstream justice officials are crucial contact points and regular networking must be done with them in order to ensure a program's success.
- This is especially the case since there are few on-going funded Aboriginal justice programs and little explicit constitutional basis for most Aboriginal justice initiatives.
 - The evidence from interviews with Aboriginal role players appears to be that most mainstream justice officials are fairly positive about the new initiatives but they are often confused about the project's objectives and procedures, and about the role of their front line staff (e.g. community justice workers).
- The officials often refer to the need for more communication with the projects' staff.
- Successful Aboriginal justice initiatives such as Aboriginal Legal Services, Hollow Water Healing, and Six Nations Police Service all have in common, excellent networks with mainstream justice officials.

5.11. Planning/Evaluating Community Projects - 1998 ²⁷

Relationship with the Formal Justice System

While restorative justice programs are being used more widely, it is important to remember that they only exist within the framework of the broader criminal justice system. While there is provision in law for alternative ways of resolving disputes, restorative justice programs are still discretionary. For example, under Canadian law a judge is not obliged to accept the decision of a sentencing circle and the range of dispositions available to the court is limited by sentencing guidelines established by courts of appeal and by sentencing maximums from the *Criminal Code* (Royal Commission on Aboriginal Peoples, 1996). On the other hand, decisions handed down by judges on behalf of sentencing circles have been upheld in the Saskatchewan court of appeal.

Manitoba's Aboriginal Justice Inquiry noted another limitation. Under the *Young Offenders Act* each provincial attorney general sets guidelines for alternative measures. These guidelines may limit the number and type of young offenders who are eligible for inclusion in alternative justice programs. Because restorative justice programs must be tailored specifically to each community's needs and resources, regulations and guidelines

²⁶ Ministry of the Solicitor General of Canada, Don Clairmont, Dalhousie University and Rick Linden, University of Manitoba, Developing & Evaluating Justice Projects in Aboriginal Communities: A Review of the Literature, 1998
<http://www.sgc.gc.ca/epub/Abocor/e199805/e199805.htm>

²⁷ Solicitor General Canada, Rick Linden University of Manitoba and Don Clairmont, Dalhousie University, Making It Work: Planning And Evaluating Community Corrections & Healing Projects In Aboriginal Communities, 1998
<http://www.sgc.gc.ca/epub/Abocor/e199805b/e199805b.htm>

may impose a degree of standardization that will reduce the effectiveness and legitimacy of these programs.

Because of these legal restrictions, often a community's ability to implement alternative programs depends on whether or not they can negotiate the cooperation of local police and court officials who must agree to change their normal way of dealing with cases. The restorative justice model requires the empowerment of local communities and the involvement of local people, but the mainstream justice system often has difficulty giving up control.

A very different problem can occur if governments encourage restorative justice programs for financial reasons. The system may promote the use of these programs to save money by turning responsibility for offenders over to local communities. If the community is not ready to support the programs or does not have sufficient resources to do so, the programs will fail. In the short term such failure may affect public safety and in the long term could mean the community will not accept alternative programs in the future.

Despite these potential difficulties, there is reason for optimism. In this report we will describe programs where communities have developed viable alternatives to the mainstream system. In most cases, representatives of this system have been willing to work with communities so that they can take control. Also, a recent change in sentencing legislation has made it easier to implement community corrections programs. In addition to the conventional objectives of protection of the public, deterrence, and rehabilitation, the new legislation sets out the objectives of making reparations to victims and to the community and promoting a sense of responsibility in offenders. In announcing the legislation, the government explicitly stated that alternatives to imprisonment should be used where appropriate, particularly for Aboriginal offenders (Department of Justice, 1994). The legislation also added conditional sentences to the *Criminal Code*. Conditional sentences allow convicted offenders to serve their sentences in the community under greater control and represent an important step in the direction of community corrections.

5.12. Lessons Learned on Partnerships – 1998 ²⁸

Defining Partnership

- In much of the literature, there are cautions that the term "partnership" has been misunderstood, misused and over-used. Some recent definitions of partnership are:
 - "an arrangement between two or more parties who have agreed to work cooperatively toward shared and/or compatible objectives and in which there is: shared authority and responsibility; joint investment of resources; shared liability or risk taking; and ideally, mutual benefits." (Rodal & Mulder 1993:28)²⁹.
 - "collaborative arrangements ... made with organizations outside of the government. These arrangements are usually designed to share the costs, risks and benefits of particular initiatives, while at the same time increasing the involvement of the clients being served and enhancing the general level of goodwill with all parties" (Treasury Board 1995b:1)³⁰.
 - "a relationship in which government and other agents work co-operatively to achieve a ... goal at the community level. It requires the sharing of resources, responsibilities, decision-making, risks and benefits, according to a mutually agreed-upon formal or informal arrangement." (New Economy Development Group 1996:16)³¹.
- Taken together, these definitions suggest the following four key elements which distinguish and define partnerships:

²⁸ Ekos Research Associates, **Lessons Learned on Partnerships, Final Report October**, Submitted to: Voluntary Sector Roundtable, 1998, <http://www.vsr-trsb.net/publications/ekosoc98/toc.html>

²⁹ Rodal, Alti and Nick Mulder. 1993. "Partnerships, devolution and power-sharing: issues and implications for management", *Optimum. The Journal of Public Sector Management*, Vol. 24, No. 3, Winter.

³⁰ Treasury Board Secretariat. 1995b. *Stretching the Tax Dollar, The Federal Government as 'Partner': Six Steps to Successful Collaboration*. Ottawa: Minister of Supply and Services, October.

³¹ New Economy Development Group Inc. 1996. *A Study of Innovative Examples of Local Partnerships*. Ottawa: Human Resources Development Canada, July.

- common objectives and goals among partners (objectives may be the impetus of the partnership or they may evolve over time);
 - shared risk and mutual benefits (risks and benefits may be different for each partner and may accrue with different timeframes);
 - contributions from both partners (including both monetary and non-monetary); and
 - shared authority, responsibility and accountability.
- Underlying many of these definitions is also the notion that the partnership represents, to all partners, a *better* strategy to address a specific project or goal than each partner operating independently.
- In other words, the partnership is considered to add value to the efforts of the individual partners.
- While the concept of partnering is not new, the literature suggests that increasingly the most recent trend toward collaboration is characterized by multilateral partnerships; that is, includes representation from public (frequently multiple levels of government or more than one government department), private and the voluntary sectors.

Government-Voluntary Sector

- It should be noted that some observers have questioned the extent to which "partnership" can be accurately used to describe many of the arrangements between government and the voluntary sector, when the voluntary sector is often dependent on, not only government funding, but government funding policy as well (Reke, 1994)³².
- Pascal (1996)³³ calls the term "government partnership" an oxymoron in light of the difficulty that governments frequently have in sharing power and decision-making.
 - More frequently voluntary sector and government undertake "relationships" involving joint programming and consultations.

Types of Partnerships

- The literature on partnerships often includes a typology of partnership models to distinguish among the various practices and activities that are now becoming evident.
- **Based on Method of Change**
 - In a study of partnerships conducted by the Caledon Institute, Torjman organizes partnerships into a typology based on the main method of change (1998: 6-8)³⁴: public education partnerships: "strategic alliances ... which seek to raise awareness around a social, economic or environmental concern";
 - social marketing partnerships: "an arrangement in which a business agrees to promote a social cause as part of its marketing strategy";
 - community investment partnerships: "business makes a substantive contribution to the community through active involvement with a nonprofit organization ... engag[ing] in the activities of the community group"; and
 - social change partnerships: "provide an important community service or tackle difficult problems such as family violence, unemployment or poverty".
 - **Based on Sharing of Power**
 - In another vein, Rodal and Mulder (1993)³⁵ have developed a typology of partnership based on the extent to which power is shared, ranging from
 - consultative partnerships where the primary purpose for government is to seek advice or obtain input to
 - collaborative partnerships or "real" partnerships where there is joint decision making, pooling of resources and sharing of ownership and risk.
 - **Based on Purpose**
 - Long and Arnold (1995)³⁶ (cited in Torjman, 1998)³⁷ prefer to categorize partnerships according to their purpose, ranging from:

³² Reke, Josephine. 1994. "The Hidden Cost of Government Funding", *Front & Centre*. Canadian Centre for Philanthropy, Vol. 1, No. 4, July.

³³ Pascal, Charles, Executive Director of the Atkinson Charitable Foundation, Speech to the Canadian Centre for Philanthropy, Second Annual National Symposium 1996

³⁴ Torjman, Sherri. 1998. *Partnerships: The Good, The Bad and The Uncertain*. Ottawa: The Caledon Institute of Social Policy, June.

³⁵ Rodal, Alti and Nick Mulder. 1993. "Partnerships, devolution and power-sharing: issues and implications for management", *Optimum*. The Journal of Public Sector Management, Vol. 24, No. 3, Winter.

³⁶ Long, F. and M. Arnold, 1995. *The Power of Environmental Partnerships*. Management Institute for Environment and Business, Orlando Florida. Harcourt, Brace and Company.

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- preemptive partnerships which attempt to diffuse negative situations,
 - coalescing partnerships which bring "competitors together to accomplish objectives",
 - exploration partnerships established to investigate a concern of mutual interest to partners and
 - leverage partnerships (being closest to Rodal and Mulder's collaborative partnerships) which involve shared investment for mutual benefit.
- **Based on Type of Partners**
 - Klein (1992³⁸, cited in the New Economy Development Group, 1996³⁹) develops a typology of partnerships based on the type of partners that are involved (e.g., government, private sector, non-profit/community groups, educational institutions)
 - **Based on Type of Partnership Structures**
 - Environment Canada (1992)⁴⁰ has developed a three-part typology which focuses on the partnership structure, involving different levels of formality and function.
 - These include contractual, representational and transactional models.
- Considered together, these typologies offer a number of different "axes" along which to position partnerships:
- purpose,
 - power-sharing,
 - type of funding partner,
 - the structure or mechanism of the partnership.
- The typologies themselves also hint at the great variety of arrangements that can be considered partnerships.

Current Environment

- Our research suggests that the current public sector environment presents some unique opportunities for the voluntary sector to become involved in bilateral or multilateral collaborations involving government.
- The heightened interest and incidence of partnerships between the voluntary sector and government have their roots in a number of trends.
 - Much of the literature in this area points to the climate of fiscal restraint and government withdrawal as a powerful influence.
 - In an effort to tackle mounting debt and deficit, governments have sought to eliminate, or deliver differently, the services which have traditionally been provided to address economic and social needs.
- Partnerships are one avenue among many "alternative service delivery" approaches with which government is experimenting to maintain its presence while reducing expenditures.
- Collaboration with the voluntary sector has been viewed as a way to maximize the effectiveness and efficiency of program investments and, therefore, to maintain or regain services available to Canadians.
 - Flexibility and the sector's access to citizens are also appealing.
 - The voluntary sector and public sector are often natural or logical partners in areas where their common objectives are to serve the community or provide public goods and services.
- The need to search for alternative solutions is not only fuelled by fiscal concerns, but also by challenges driven by the social and demographic context.
- The aging of the population, for example, is expected to increase the demand for health and social services.
 - Also, as Rodal and Mulder (1993)⁴¹ point out, these issues are becoming more complex and interdependent, with the best solutions often requiring the input and participation of many different parties.

³⁷ Torjman, Sherri. 1998. Partnerships: The Good, The Bad and The Uncertain. Ottawa: The Caledon Institute of Social Policy, June.

³⁸ Klein, Juan-Luis. 1992. « Le partenariat : vers une planification flexible du développement local ? » Canadian Journal of Regional Sciences, XV, 3:491-505.

³⁹ New Economy Development Group Inc. 1996. A Study of Innovative Examples of Local Partnerships. Ottawa: Human Resources Development Canada, July.

⁴⁰ Environment Canada. 1992. Environment Canada in Transition; Consultations and Partnerships: Working Together With Canadians, Environment Canada, paper prepared for the Transition Team Steering Committee on Consultations and Partnerships.

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- Partnerships can be perceived as a way to address gaps in services and to deliver a better quality strategy or product.
- Public opinion has also been an important and positive backdrop in encouraging government to reinvent itself and to explore alternatives such as partnerships.
 - Canadians have expressed great concern about the effects of retrenchment, propelling issues such as health care to the top of the government's agenda.
 - As well, there is a lack of public trust in politicians and government institutions.
 - The concept of partnerships receives a high approval rating and the voluntary sector itself garners high levels of public trust.
 - The search for alternative solutions is applauded by Canadians and the involvement of the voluntary sector enhances the perceived responsiveness and cohesion of the solutions.
- The voluntary sector itself has been important in shaping the current environment.
 - The sector has become more sophisticated and cognizant of its potential role in social and economic life.
 - Some study respondents pointed to the strong leadership and a newfound coherence in the voluntary sector as key factors in improving relations with the government.
 - Voluntary organizations are also demonstrating a greater willingness to establish partnerships with other related institutions, including government and the private sector.

Concerns

- While the current environment presents a unique opportunity for voluntary sector organizations to secure greater involvement and control around a myriad of issues, some of the literature is also cautionary.
 - There is wariness, particularly among those within the voluntary sector, of treating the voluntary sector as a replacement for government.
 - Browne (1996)⁴², for example, warns that the voluntary sector cannot take on the role of the public sector since most voluntary organizations are active in only one part of the country, and have small budgets, few assets and only a few paid staff.
 - Moreover, for voluntary sector organizations to continue and flourish, they require the kind of stable, reliable and adequate funding available from government.
- There are also concerns about the effect of partnerships (as well as other less equitable contracting out relationships) on voluntary sector organizations themselves.
 - Rekert (1994)⁴³ and others (Dow, 1997)⁴⁴ have voiced concerns that partnerships and other types of relationships with government can potentially decrease voluntary sector organizations' independence from government and, thus, their ability to fulfil their advocacy role.
- Observers also warn about the potential for organizations to lose credibility with volunteers, increase the level of bureaucratization to meet accountability requirements, and the potential for organizations to abandon programs needed by their constituents in order to deliver programs that government deems important.
- Despite these cautions, most observers view the increased interest in voluntary and public sector partnerships as a valuable opportunity for the voluntary sector to assert and solidify its role in public policy and delivery.
 - Moreover, one respondent noted that given the often volatile environment of government, policies and precedents should be put in place to sustain partnerships in the future.
 - The Caledon Institute (1998)⁴⁵ notes that such partnerships have "helped participants look at the situation holistically, strengthened networking, forced a sense of sharing and integration, led to the realization of a common vision and goals, and promoted understanding, trust, respect and stronger relationships between partners."
 - Other benefits for the sector are to:

⁴¹ Rodal, Alti and Nick Mulder. 1993. "Partnerships, devolution and power-sharing: issues and implications for management", *Optimum. The Journal of Public Sector Management*, Vol. 24, No. 3, Winter.

⁴² Browne, Paul Leduc. 1996. *The Voluntary Sector in an Age of Cuts*. Transcript from speech given June 6, 1996 [<http://infoweb.magi.com/~ccpa/lovelec.html>].

⁴³ Rekert, Josephine. 1994. "The Hidden Cost of Government Funding", *Front & Centre. Canadian Centre for Philanthropy*, Vol. 1, No. 4, July.

⁴⁴ Dow, Warren. 1997. *The Voluntary Sector -- Trends, Challenges and Opportunities for the New Millennium*. Volunteer Vancouver, September.

⁴⁵ Caledon Institute of Social Policy. 1998. *Perspectives on Partnership, Social Partnership Project*. Ottawa: Caledon Institute on Social Policy, June.

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- broaden and strengthen the voluntary sector role and scope of activities and involvement in policy development and services delivery, improving service to constituents;
- enhance the profile and credibility of individual organizations and the voluntary sector as a whole through greater responsibilities and visibility;
- increase access to the information and research that are available through partners -- the vast human resources and infrastructure of government partners, for example, offers opportunities to access intelligence and materials on policy planning, empirical research, program evaluations and research on best practices, marketing/training materials developed and tested for related initiatives); and
- streamline processes and reduce separation of programs and services through partnerships with formerly separate entities (e.g., multiple funding requests simplified into one contribution process, conserving administrative resources).

Voluntary Sector – Attributes & Strengths

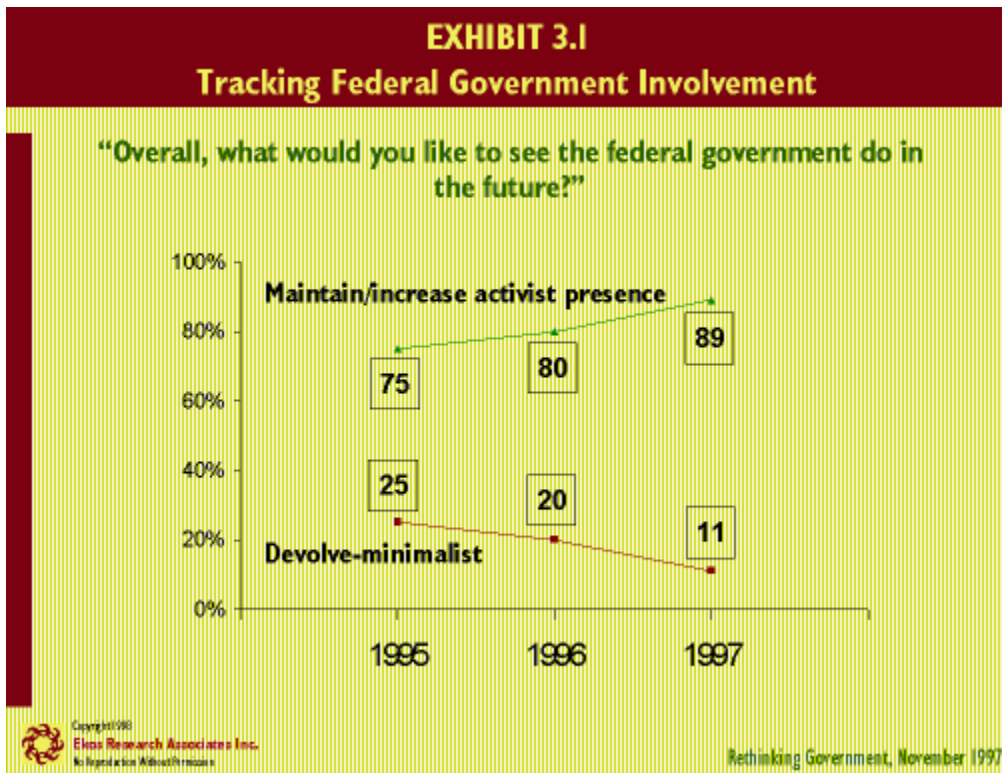
- What do voluntary sector organizations bring to the partnership table?
 - There are many attributes and strengths that distinguish the voluntary sector from the private and public sectors and can make these organizations attractive partners.
 - Voluntary sector organizations possess:
 - **Expertise.** Voluntary sector organizations have broad field or front-line experience as a result of close involvement at the community-level, advocacy on behalf of constituents and consultations in policy development, resulting in a more realistic and reliable understanding of needs and solutions.
 - A capacity for lateral thinking can bring innovative solutions to problems.
 - **Links to the community.** Most voluntary sector organizations have a strong network of affiliated or informal organizations and partners and close ties to their constituents.
 - Community ties offer ways to engage and consult citizens who are affected by public policy, and to use an established infrastructure to enhance awareness and mobilize resources in support of new initiatives.
 - Involvement of the voluntary sector ensures that policy reflects community values and is relevant to needs.
 - **Speed and flexibility in responding to issues.** Voluntary sector organizations are less encumbered by the bureaucratic, managerial and political structures that can impede the public sector in responding quickly to address evolving needs.
 - **Commitment.** Voluntary sector organizations are comprised of professionals and volunteers who are often highly motivated and represent a willing and able force to promote change, advocate, and engage constituents.
 - **Public trust.** A final strength that voluntary sector organizations enjoy is a high level of public trust.
 - Public confidence is a valuable asset that can be translated into other advantages such as broad and swift acceptance of ideas/initiatives among the public and constituents or high interest and participation levels.
 - The following chapter examines the current opinion environment with respect to partnerships and voluntary sector in more detail.

Public Opinion Environment

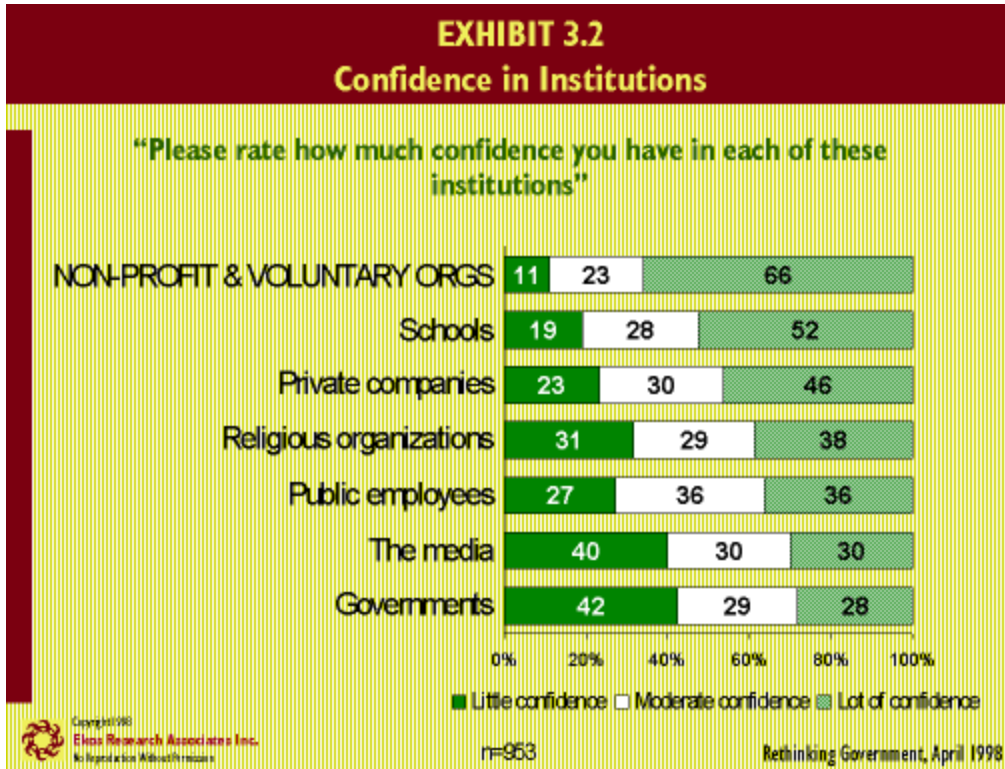
- The interest in and experimentation with partnership models involving the voluntary and public sectors find support in public opinion.
 - This chapter describes the current public opinion environment with respect to the notion of partnership in general and the relevance of the role of the voluntary sector .
 - In general, the data indicate that Canadians are supportive of the concept of partnership, whether this involves government, private sector or voluntary sector organizations.
 - Driving this openness to new approaches is dissatisfaction with current institutions (a lack of trust and confidence in performance of government), as well as hope for both a more constructive and a more efficient approach.
 - However, while the voluntary sector is viewed as credible, trustworthy and a route to a recovery of values in social life, Canadians' connection to government still remains strong.

Expectations for Involvement

- The *Rethinking Government* data show that Canadians' expectations of government have shifted over time.
 - o During the early and middle 1990s, concern around the debt and deficit were paramount.
 - o Not surprisingly, the public expressed caution and scepticism with new spending initiatives.
 - o However, as the government's fiscal situation has improved and the effects of restraint on services such as health care are becoming apparent, there is less interest in minimalist government, a trend that signals greater support for activist social policy.
 - o Over a three-year span, the proportion of Canadians who prefer the government to maintain or increase its presence in various social policy areas has increased substantially (Exhibit 3.1).

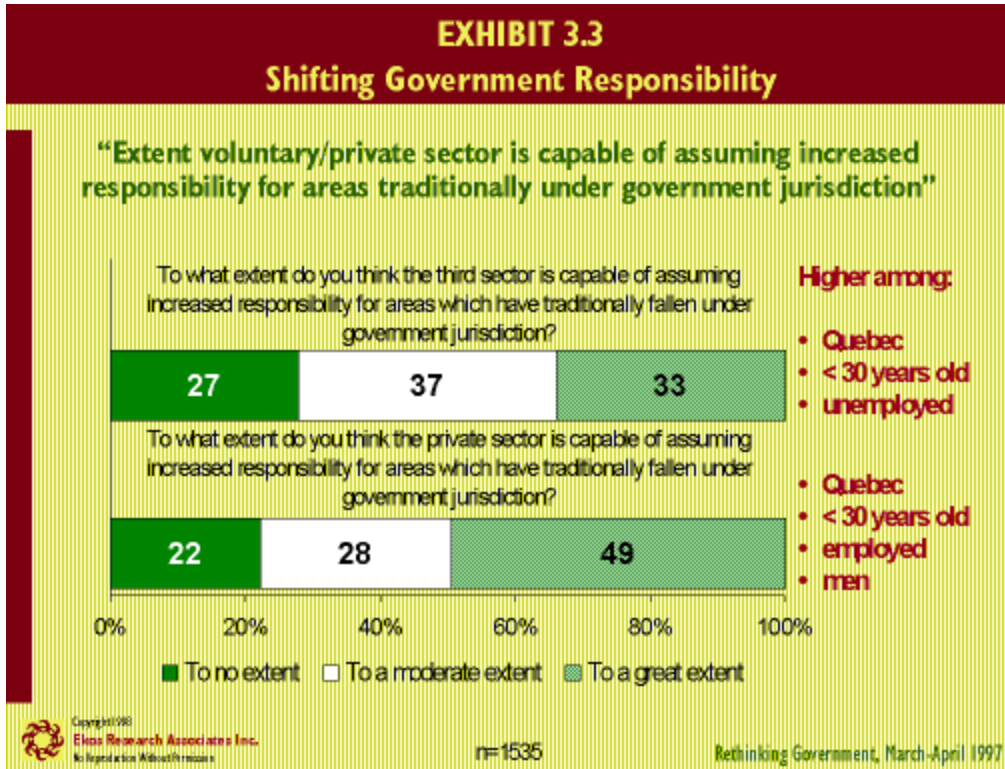


- To what extent does public opinion support a role for the voluntary sector in realising this more activist government social policy?
 - o Canadians express a high degree of confidence in the voluntary sector as a whole (Exhibit 3.2).
 - o Two-thirds of Canadians indicate that they have "a lot of confidence" in non-profit and voluntary organizations, compared to 46 per cent for private companies and 28 per cent for governments.
 - o More than three-quarters of Canadians (77 per cent) rate non-profit and voluntary organizations as serving the public interest (compared to 44 per cent for governments) and the same proportion agree that non-profit and voluntary organizations are contributing to the overall quality of life in Canada.
- The level of confidence in the voluntary sector is likely related to perceived performance; non-profit and voluntary organizations have the highest rated performance compared to other institutions such as government, private sector and the media.
 - o Canadians were also more likely to believe that the performance of voluntary organizations had improved over the last five years compared to other institutions.



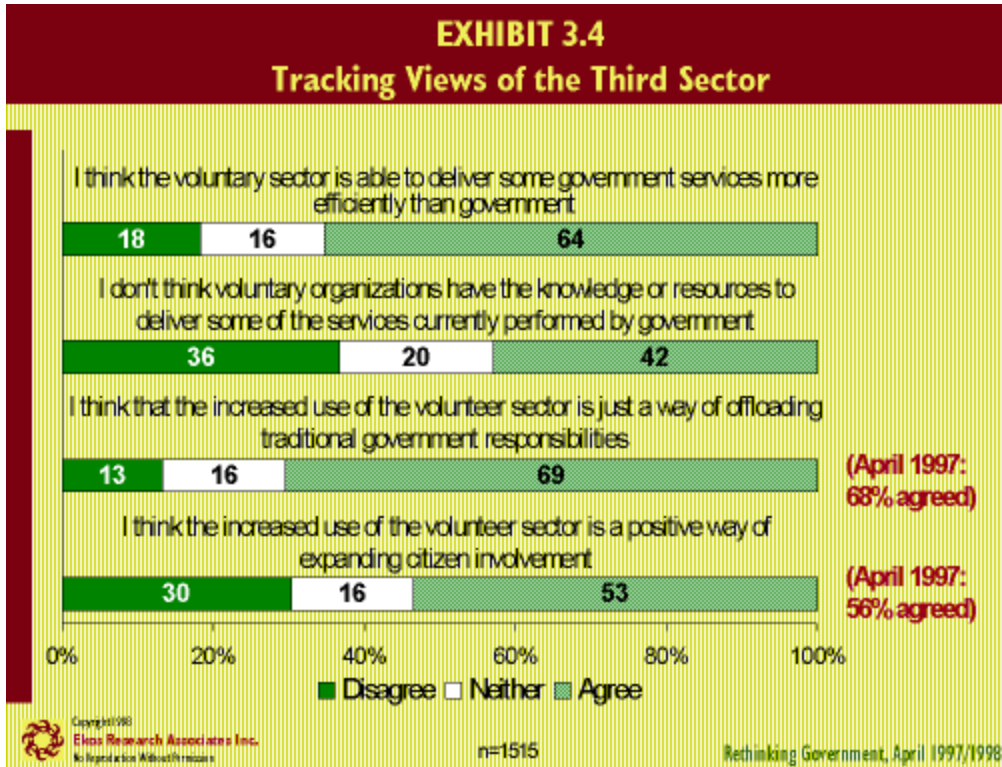
Shifting Responsibility

- Canadians' views are mixed on the extent to which they believe the voluntary sector is capable of assuming additional responsibilities now under government jurisdiction.
 - The proportion of Canadians who are supportive of this notion is roughly equal to those who do not (Exhibit 3.3).
 - Youth, Quebecers and Canadians who are unemployed are more likely to favour third sector assuming greater responsibility for government services.
 - Other Canadians appear more supportive of shifting government responsibility to the private sector.



Perceptions of the Voluntary Sector

- General perceptions of the voluntary sector reveal a modest endorsement for the sector to deliver some services currently provided by government.
 - Almost two in three Canadians (64 per cent) believe that the voluntary sector is able to deliver some government services more efficiently than government; conversely, 42 per cent think voluntary organizations do not have the knowledge or resources to delivery government services (Exhibit 3.4).
 - More than two-thirds of respondents (69 per cent) think that the increased use of the voluntary sector is a positive way of expanding citizen involvement, particularly Quebecers and those under 30 years of age.
 - However, over one-half also think that the increased use of the voluntary sector is "just a way of offloading traditional government responsibility".
 - These numbers have remained largely unchanged over the last year.



Lessons Learned

- The purpose of this chapter is to identify some of the challenges and pitfalls in establishing and maintaining partnerships and also to examine the factors which have been associated with strong partnerships.
 - o These ideas are generated from the literature, as well as the interviews and case studies conducted for this project.

Common Challenges and Barriers

- There are many situations where partnerships may encounter barriers or even fail.
 - o Partnerships are rarely straightforward and require care and attention to flourish.
 - o The literature clearly indicates that, at a minimum, partnerships
 - must be completely *voluntary*,
 - allow *ample time* for mutual trust and understanding to develop and
 - have *continuity* of the key partners who demonstrate a *willingness to compromise*.
 - o Some collaborations do not succeed when partners do not demonstrate respect for the commitment and contributions of others through shared decision-making.
 - If one partner tries to overpower or gain control of the agenda, the partnership will likely falter.
 - Some partners may have difficulty relinquishing control and permitting compromise, particularly when they hold a strong sense of ownership of the issue at hand.
- A related challenge is achieving a balance of power within the partnership.
 - o In voluntary sector-public sector partnerships, government typically assumes the role of funder.
 - Monetary contributions, because they are more tangible or visible, can elevate funding partners into a dominant or authoritative position.
 - Voluntary sector partners may be viewed as less important, or as "doers" rather than "decision-makers".
 - If these views are entrenched, and the partners are not able or willing to view the other as an equal, then the partnership may have difficulty moving forward or become recast as a more traditional (unequal) relationship between voluntary sector and the public sector.

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- Sharing of power may be more successful in multi-lateral partnerships where it is difficult for one partner to retain control when a number of other interests are involved.
- Partnering with government presents some unique challenges.
 - The hallmarks of partnership are flexibility and shared decision-making.
 - Yet, government often may not embody these characteristics by design.
 - "Governments are bound by legislation and are fully accountable for the use of public funds. ...[T]heir reporting lines tend to be structured, hierarchical and mandate-specific" (Torjman 1998:15)⁴⁶.
 - Despite the move toward alternative services delivery, governments may be hampered by internal norms and regulations.
 - Many key informants noted that governments can be risk-averse, limiting potential new avenues for the partnership and may be slower to respond to evolutions in the partnerships than other partners.
 - Finally, several observers identified the lack of predictability of government agendas and funding as a barrier to partnership -- an erratic commitment to the issue and unpredictable resources can damage the efforts of the partnership.

Keys to Success

- While partnerships and the partners themselves are unique, the literature and the field experiences related in this study through the interviews and case studies are suggestive of a number of practices or conditions that are associated with fruitful and enduring partnerships.
- The following sections describe these in more detail.

a) Strong Beginnings

Much of the literature and research suggests that paying attention to the "up-front" work in a partnership can pay significant future dividends. At some level, all partners should feel that they need each other or that the issue or initiative cannot best be solved without the partners; that is, there are benefits to be gained from the loss of autonomy. The literature also strongly advises that all partners be identified, informed and involved in the partnership early in the process. Other factors of success are discussed below:

Choosing the right partners. More and more partnerships involve a multilateral collaboration. In addition to the voluntary sector, the case studies that were examined in this research variously involved multiple levels of government, multiple departments, the private sector, educational institutions and members of the community. Ensuring that all the "right" organizations are involved is a critical first step in the partnership process. This includes not only organizations currently involved, but also those that may become important in later stages.

It is also important to recognize the interpersonal aspects of partnerships -- that is, the skills and approaches to forging relationships among the partners. To be successful, partners must demonstrate a willingness to compromise, to deal honestly with other partners and to be respectful. The mix of skills is also important and those which were often mentioned as important in this context were negotiation and communication skills.

One of the issues raised in some of the case studies was the importance of leadership. In some instances, a lead partner will be formally identified and agreed to by the partnership. In other cases, a leader may simply emerge or the partnership may have several leaders who will steer different activities or phases of the partnership.

Negotiation and agreement upon goals and objectives. Ideally, goals and objectives should be clearly defined and agreed upon by

Choosing the right partners...

Are all organizations affected by the partnership "at the table" early in the process?
Do representatives have the skills and organization support to participate in the partnerships? Should the capacity of organizations be addressed (e.g., through training or staffing)?
Are partners committed to both the process and the outcome?
Do partners have the power to make the decisions necessary to move the partnership forward?
Are there contingency plans for turnover/absences? Is there an adequate paper-trail/timeframe to deal with turnover?
Is there adequate leadership to lead various activities/phases of the partnership?

Goals and objectives...

Has an adequate diagnosis or needs

⁴⁶ Torjman, Sherri. 1998. Partnerships: The Good, The Bad and The Uncertain. Ottawa: The Caledon Institute of Social Policy, June.

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the partners. The goals may be short term or may also evolve over time. The negotiation of partnership goals may also include discussion around the partnership *process* -- for example, how decisions will be made and how responsibilities will be assigned. In many of the cases studies here, the partnership included a formal agreement among partners about the goals of the project, timeframes and investments. The ultimate goals must also be seen to be of value to the partners and worth pursuing, particularly when there are significant costs associated with participation in the partnership. Voluntary sector organizations must pay particular attention to the consistency of the goals of the partnerships with their own organizational mission and values.

assessment been conducted to develop goals and objectives?
Are goals and objectives articulated adequately?
Are goals and objectives agreeable to partners? Do all partners benefit? Do goals accommodate needs of individual partners?
Are goals compatible with the organizations' own mandate? Have boards, committees, staff and volunteers been informed?
Are there merits to defining goals through formal agreements or a facilitated process?

Implementing a structure. Case studies of partnerships reveal a multitude of different organizational arrangements, ranging from largely informal understandings to formal contracts or agreements. Often within one initiative there may be several levels of partnerships featuring different types of agreements. Some observers point out that a more formal agreement can provide partners with an opportunity to clarify goals and roles and responsibilities, and to act as the "glue" to help partnerships through difficult times. It may also be useful to address the eventualities of termination or extension of the partnership in the agreement or the possibility of one or more partners withdrawing from the agreement. Agreements may also need to address the maintenance of the partnership in the longer term -- i.e., what are the ongoing responsibilities of the partners to support the activities or products generated by the partnership.

Implementing a structure...
Do the partnership structures assist partners to define goals and roles?
Are there existing models which may be used to establish an appropriate structure?
Do structures permit flexibility for extension, unanticipated changes in the external environment, or departure of partners?
Are all partners comfortable with the mechanism?

b) **Investment and Recognition**

One of the key defining features of partnerships is shared obligation. All partners must be obliged to invest in the partnership, whether these investments are monetary or non-monetary. Partner investments provides a way to demonstrate commitment and also ensure that those involved in the partnership have a stake in its success. Partnerships should make clear the roles and responsibilities of each of the partners. As mentioned above, one of the challenges of voluntary sector-government partnerships is perceived importance of monetary over non-monetary contributions which often place voluntary sector organizations in a precarious and subordinate position. To the extent that voluntary sector organizations can bring some monetary resources to the partnership, there will be greater equity and goodwill. There is also a need, however, to genuinely and explicitly recognize the value of the contributions of voluntary sector partners -- for example, in terms of expertise, access to infrastructure, credibility among the public or constituents, innovative and flexible approach - that was mentioned by many of those contacted during the study. Recognition of the unique contribution or investment of each partner is a precursor to equality in decision-making. This does not preclude, however, the possibility of having, within an overall partnership, "junior" partners who are involved in discrete aspects or activities.

Investment and recognition...
Have all partners made an appropriate contribution to the partnership?
Are roles and responsibilities of partners clearly articulated?
What is the nature of the investment?
Is the level and nature of investment recognized and appreciated by partners? Is this reflected in decision-making?

c) **Building Trust**

In many cases, partners are not natural allies and, in addition to bringing their strengths to the partnership table, they also bring preconceptions, protectiveness of "turf" and suspicions. According to this research and the literature, the building blocks of trust are time, open communication and transparency. Transparency includes revealing any limitations, competition from related objectives that may affect the partnership, as well as expectations around benefits and results. As mentioned above, the interpersonal skills of the

Building trust...
Is sufficient time available to build the partnership relationships and for information-sharing and debate?
Are resources available to assist partners to participate fully in the partnership?
Are partners willing to be flexible and negotiate compromise?
Have all partners been forthcoming about

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partners and their willingness to compromise can also be key predictors of success. Communication and negotiation skills, as well as attitudinal factors such as a willingness to explore new ideas have been identified as important for participants in partnerships.

their expectations, objectives and limitations?

d) Recognizing Early Successes

Partnerships that become bogged down in process or in striving for long-term goals risk losing momentum. The literature suggests that partnerships with limited objectives are often easier to develop and maintain because they require less time and resources and results are more quickly apparent. In a longer-term initiative, setting short- and medium-term goals enables partners to feel a sense of progress and advancement. Opportunities to celebrate accomplishments should also be taken.

Recognizing early success...

Have short- and medium-term objectives been identified?
Are there opportunities to mark accomplishments?
Are partners taking opportunities to promote the partnership within their own communities/networks?

e) Monitoring Results

The investment of resources and shared responsibility often give rise to issues of accountability. Voluntary sector organizations are accountable to their boards, volunteers and constituents. Government, because it is responsible for public investments, often has special requirements around accountability and performance measurement. Accountability for funds is largely straightforward and handled through established accounting practices. Accountability for delivery and for results is more complicated. Cases where there are large numbers of partners and the implementation of partnership activities is decentralized also present problems. Successfully dealing with this issue requires that accountability expectations are understood and accepted at the outset of the partnership, that all partners accept responsibility for results, and that an agreed-upon strategy be implemented. Strategies for satisfying accountability requirements may vary, but again should be agreed to early and have the full consent of all partners. In some cases, evaluation and performance measurement may require the collection of data through the project or partnership. Steps should be taken to determine early in the process the types of information required, a process for data collection and the individuals/resources dedicated to the task. In the end, the strategy must meet the accountability requirements of all partners.

Monitoring results...

Are the accountability requirements of all partners met?
Are financial systems in place to meet fiscal accountability requirements?
What are the criteria for success?
Are these linked to goals and objectives?
Are partners collectively responsible for both decisions and results?
Are the timeframes for achieving success specified and reasonable?
Are there resources dedicated for measurement of outcomes?
Who is responsible for these activities?
Are there agreements in place as to how public communications will be handled?

5.13. Building Strong and Effective Partnerships - 1996⁴⁷

Key Characteristics of Successful Partnerships

Communication

- Communication between partners needs to be frequent, on-going, and honest.
 - o In the initial stages of developing a partnership, members need to be very forthright about their needs, what they can contribute to the partnership, and what their expectations are.
 - Goals and objectives need to be specific and clearly communicated (Nurss and Rawlston 1994)⁴⁸.

⁴⁷ Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996
<http://www.nald.ca/CLR/partner/cover.htm>

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- Shared or common language is critical to the success of collaboration and partnership (Boavida and Borges 1994,⁴⁹ Fargason 1994⁵⁰, Mitchell and Scott 1993⁵¹).
 - How we understand and interpret language has a very significant impact on how we interact with each other.
 - Members of the partnership must ensure they have a common understanding of key terms and concepts, such as “at risk,” “early intervention,” and “cooperation.”
- Clearly communicating responsibilities and perceived roles is critical from the outset to avoiding misunderstandings and eventual frustration and loss of commitment.
 - Members must have a common understanding of both individual and joint responsibilities.
- As the partnership progresses and the program is delivered, partners need to be kept informed of progress and changes in the program.
 - Communication needs to be a priority between agencies as well as within agencies.
 - Many coordinators stressed the importance of face-to-face contact whenever possible.
- Publicizing and communicating successes within the partnership and within the community is seen as a high priority in sustaining a partnership, keeping people motivated, and drawing new partners into the group (Mawhinney 1993⁵², Seamen 1992⁵³).
 - Both partners are equally involved, with no partner taking a dominant role; coming from a different role and perspective, each appreciated the role and perspective of the other; each was willing to contribute time and to "bracket their respective egos" (3); "both parties must seriously and mutually reflect on how the collaborative nature of the project will be accomplished" (13). Hannay and Stevens in Hord 1986⁵⁴
- Kunesh and Farley⁵⁵ point out the need to establish communication and decision making processes that recognize disagreement among members as part of partnership building, and to establish ways to deal with conflict constructively.

Adequate resources

- Both the literature and people in the field identify adequate resources as essential — “time and money” was a common response from literacy coordinators when asked what was needed for a successful partnership.
 - Adequate time is needed for coordinators and community agency staff to meet and carry out responsibilities, as opposed to relying on volunteer or personal time.
 - A designated coordinator to lead the partnership and to coordinate the family literacy project was seen by many as a key factor.
- The collaborative planning process used in this program took a lot of time and energy to develop and implement.
 - However, the resulting instruction and learning made it worthwhile.

⁴⁸ Nurss, Joanne R. and Susan Rawlston. (1994). Collaborative Planning in a Family English Literacy Program. Center for the Study of Adult Literacy, Georgia State University, Atlanta. ED 372 661. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁴⁹ Boavida, José and Luis Borges. (1994). “Community involvement in early intervention: A Portuguese perspective.” *Infants and Young Children*, 7 (1): 42-50. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁰ Fargason, C.A., Jr. et al. (1994). "Enhancing Multi-Agency Collaboration in the Management of Child Sexual Abuse." *Child Abuse and Neglect*, 18 (10): 859-869. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵¹ Mitchell, Douglas E. and Linda D. Scott. (1993). “Professional and institutional perspectives on inter-agency collaboration.” *Journal of Educational Policy* 8 (5-6): 75-91.

⁵² Mawhinney, Hanne B. (1993) "Discovering Shared Values: ecological models to support inter-agency collaboration." *Journal of Education Policy*. 8(5-6): 33-42 cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵³ Seamen, Don et al. (1992). Partnering for Literacy: An Evaluation of the JTPA Partnership Grants Program. Austin: Texas A and M University and Texas Center for Adult Literacy and Learning. ED 350 479. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁴ Hord, Shirley M. (1986). "A Synthesis of Research on Organizational Collaboration." *Educational Leadership*. 43(5): 22-26. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁵ Kunesh, Linda G. and Joanne Farley. (nd). “Collaboration: The Prerequisite for School Readiness and Success.” ERIC Digest EDO-PS-93-8. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

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- The collaboration made it possible to address the needs and value the strengths of each student in the process.
- It strengthened the goals and methods of the teachers' classroom activities because all were working in concert. Nurss and Rawlston 1994:4⁵⁶
- Resources obviously also includes funding.
 - One literacy coordinator who is interested in finding community partners to help plan a family literacy program asked if all this work developing a partnership happens before or after obtaining funding.
 - Ideally, there would be paid staff time to identify, contact, and bring partners to the table.
 - In reality, many coordinators find that because of their strong commitment to developing a collaborative family literacy program, they are often laying much of the groundwork in their own time.
- Another aspect of having adequate resources in place for the partnership and program development is having agreement between partners on how the resources and funding will be pursued and used. Irwin 1994⁵⁷
- Adequate resources also include the necessary materials and information to support the partnership and develop the program.
 - The bibliography of this manual contains some excellent references to materials on developing and sustaining partnerships.
 - Partnerships can also allow for the sharing of resources through pooling expertise, facilities, and equipment.

Proper planning

- As indicated earlier in this manual, planning begins with identifying a geographic region for service responsibility, not only to identify needs within that community, but potential partners and resources as well.
 - Planning also includes conducting a subsequent systematic needs assessment, or using previous studies that include relevant information (Family Literacy in Illinois⁵⁸).
- Involving key stakeholders in all stages of partnership and program development, including planning, is another necessary step in a successful partnership to support family literacy.
 - One coordinator described this as “community-wide” planning, not only to ensure all relevant needs are being included, but also to raise public awareness and support for the project.
- Having reasonable expectations of what partners can contribute and what the partnership can achieve is another aspect of effective planning.
 - If plans for the project exceed the resources available, goals and objectives will not be met and partners may not remain committed to the project.
- A rather contentious aspect of planning the partnership is whether or not to use a partnership agreement. (See Chapter V.)
 - Rasinski and Padak (1994)⁵⁹ recommend developing firm, written agreements with cooperating agencies during the planning stage that outline exactly what each member will contribute and receive from the overall project.
 - The Canadian Heritage document Partnership Resource Kit (1995)⁶⁰ also provides convincing arguments for the use of written agreements.

⁵⁶ Nurss, Joanne R. and Susan Rawlston. (1994). Collaborative Planning in a Family English Literacy Program. Center for the Study of Adult Literacy, Georgia State University, Atlanta. ED 372 661. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁷ Irwin, Michael et al. (1994). A Collaborative Model for Providing Literacy Training Utilizing the “One Stop Shop” Concept. Paper presented at the Annual Meeting of the NETWORK Conference, Baltimore, MD, April 9-12, 1994. ED 376 896 cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁸ "Family Literacy in Illinois." (1994). Illinois Libraries. 76 (2): 94-96. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁵⁹ Rasinski, Timothy and Nancy Padak. (1994). Turning Points in Even Start Programs. Research Report. ED 374 229. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁰ Partnership Resource Kit. (1995). Ottawa: Government of Canada, Canadian Heritage. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

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- Not all coordinators believe that such a formal approach is necessary or even productive, however.
- Proper planning would also include issues like supervision of staff hired, program evaluation, and coordination (Boavida and Borges 1994⁶¹, Mitchell and Scott 1993⁶²).

Shared values and goals

- Family literacy practitioners and their community partners both agreed that shared values and goals are essential to successfully working together.
 - There must be a set of core values established, based on the values of the community and its residents (Mawhinney 1993⁶³ and Cairney 1994⁶⁴).
- There must also be a commitment by all members to the collective goals of the partnership.
 - Successful efforts at systemic reform to overcome the failures created by fragmented services must adopt a holistic vision that emphasizes building nurturing communities.... (However) there are 'deeper structural failures to confront' when attempting to provide more effective services.... These failings, in turn, stem from a normative problem: the loss of the idea that 'a significant social policy aim is embodied in the notion of community, of a social infrastructure that embodies stability and security and shared values.' Mawhinney 1993: 44⁶⁵

Participation by key stakeholders

- By involving key stakeholders in the partnership, you can ensure that decisions and activities receive widespread support and recognition (Kunesh and Farley⁶⁶).
- Perhaps there needs to be a distinction made between token participation and real participation.
 - Agency members may attend partnership meetings for many reasons (being delegated by a superior, because collaborating with other agencies is required, because they said they would), but this doesn't ensure that they will contribute in a valuable way to the process.
 - Cairney (1994)⁶⁷ points out that participation does not necessarily mean partnership.
 - Again, there needs to be a commitment to the process of collaborating; as Irwin explains (1994: 10)⁶⁸, there must be the belief that the “return” on coalition and participation far outweigh the “cost” of involvement in a partnership.
 - This belief and commitment must be present in all levels of member agencies, and in particular at the administrative or senior management level (Kunesh and Farley⁶⁹, Seamen 1992⁷⁰, Bradford 1993⁷¹).

⁶¹ Boavida, José and Luis Borges. (1994). “Community involvement in early intervention: A Portuguese perspective.” *Infants and Young Children*, 7 (1): 42-50. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶² Mitchell, Douglas E. and Linda D. Scott. (1993). “Professional and institutional perspectives on inter-agency collaboration.” *Journal of Educational Policy* 8 (5-6): 75-91. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶³ Mawhinney, Hanne B. (1993) "Discovering Shared Values: ecological models to support inter-agency collaboration." *Journal of Education Policy*. 8(5-6): 33-42. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁴ Cairney, Trevor H. (1994). "Family Literacy: Moving towards new partnerships in education." Submitted to *Australian Journal of Language and Literacy*, 17 (4). cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁵ Mawhinney, Hanne B. (1993) "Discovering Shared Values: ecological models to support inter-agency collaboration." *Journal of Education Policy*. 8(5-6): 33-42. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁶ Kunesh, Linda G. and Joanne Farley. (nd). “Collaboration: The Prerequisite for School Readiness and Success.” *ERIC Digest EDO-PS-93-8*. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁷ Cairney, Trevor H. (1994). "Family Literacy: Moving towards new partnerships in education." Submitted to *Australian Journal of Language and Literacy*, 17 (4). cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁸ Irwin, Michael et al. (1994). A Collaborative Model for Providing Literacy Training Utilizing the “One Stop Shop” Concept. Paper presented at the Annual Meeting of the NETWORK Conference, Baltimore, MD, April 9-12, 1994. ED 376 896 cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁶⁹ Kunesh, Linda G. and Joanne Farley. (nd). “Collaboration: The Prerequisite for School Readiness and Success.” *ERIC Digest EDO-PS-93-8*. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁰ Seamen, Don et al. (1992). *Partnering for Literacy: An Evaluation of the JTPA Partnership Grants Program*. Austin: Texas A and M University and Texas Center for Adult Literacy and Learning. ED 350 479. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

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- There should also be significant, active roles for all partners. Jeffers and Olebe (1994: 7)⁷² recommend active roles for not just the service agencies but also for the government agencies and businesses that support the project.
 - This way they will “see the problems first-hand, develop a stake in the solution, and deliver more support toward its resolution.”
- Parents are a particularly important stakeholder whose participation is essential.
 - Research in community-based programming tells us that the potential clients of a program are in the best position to identify needs the program should address, and what the best means of delivering the program are.
 - Recruiting parents/families into the partnership may be challenging, but the resulting feelings of ownership and contribution will go a long way towards ensuring that the program developed will be appropriate and effective (Cairney 1994, Atmore 1993, Russo and Lindle 1993⁷³, Rasinski and Padak 1994⁷⁴, Friedman & Glass in *Translating Research into Practice* 1993).⁷⁵
 - Having community agencies help you approach and gain input from their clients, as discussed in Chapter IV, is one means of gaining access to those stakeholders.
 - ... there are differences between teams that actively nurture family involvement and teams that lack avenues for inclusion of parents and a clinical model for building on family strengths and priorities. Teams that nurture parent involvement expressed optimism about, and satisfaction with, the effectiveness of the interventions being planned, the quality of relationships between collaborating parties, and the collaboration process itself. Teams with no avenues for including parents expressed discouragement and demoralization regarding their ability to help highly stressed children and families. Friedman and Glass in *Translating Research into Practice* 1993: 239

Leadership

- Although researchers and community partners emphasize the need for shared responsibility and equality, they also identify a need for one strong lead partner to coordinate and steer the partnership.
 - Especially in the beginning stages of discussing the potential partnership and the proposed project, agency representatives will likely look to the literacy coordinator who called them together for leadership.
 - The person(s) who assumes this responsibility may change as the partnership develops and evolves.
 - As mentioned above in the need for adequate resources, having a designated coordinator will ensure that there is time available to provide this leadership.
 - Whether this is possible or not, the skills and abilities of the person taking on the coordinator’s position are very important.
 - A proven capacity for building strong interpersonal relationships and a high level of initiative are among the qualities required in a coordinator (Russo and Lindle 1993)⁷⁶; as many people point out, partnerships take place between people, not agencies.

Flexibility

- The need for flexibility is strongly emphasized as a key factor in successful partnerships.

⁷¹ Bradford, Roger. (1993). "Promoting inter-agency collaboration in child services." *Child: care, health and development*, 19: 355-367. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷² Jeffers, George J. and Margaret Olebe. (1994). "One Stop Family Service Center: The Community School." *Community Education Journal* 21 (3): 4-7. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷³ Russo, Charles J. and Jane Clark Lindle. (1993). "On the Cutting Edge: Family Resource/Youth Service Centers in Kentucky." *Journal of Education Policy*. 8 (5-6): 179-187. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁴ Rasinski, Timothy and Nancy Padak. (1994). *Turning Points in Even Start Programs*. Research Report. ED 374 229. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁵ *Translating Research into Practice: Implications for Serving Families with Young Children*. (1993). National Head Start Research Conference, Washington, D.C. Summary of Conference Proceedings. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁶ Russo, Charles J. and Jane Clark Lindle. (1993). "On the Cutting Edge: Family Resource/Youth Service Centers in Kentucky." *Journal of Education Policy*. 8 (5-6): 179-187. cited in Sharon Skage, *The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships*, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

- Flexibility is required in terms of scheduling meetings, adjusting roles and responsibilities, being willing to adapt to changes in planning and implementation, and accepting differences in philosophy, management style, and ability to contribute to the project.
- As an example, even “teachers” can have very different frames of reference.
 - Teachers of adults and secondary school students are typically trained in English with an emphasis on language skills, and tend to be subject matter-oriented (Nurss and Rawlston 1994)⁷⁷.
 - Teachers of young children tend to be child-oriented and plan concrete, hands-on activities.
 - Their focus is on appropriate activities as opposed to specific language and literacy skills.
 - In a family literacy partnership that includes both parent- and child-focused components, both groups need to adjust their thinking to accommodate the other group’s approach.
- One means of encouraging flexibility and understanding of each other’s needs is through common inter-disciplinary training to support building a partnership. Mitchell and Scott (1993: 77)⁷⁸ describe how inter-agency collaboration can succeed only if three issues are properly addressed.
 - Profession norms are developed to help staff move beyond application of their expertise, focusing attention on the broader character of their clients’ needs.
 - Inter-disciplinary norms of professional cooperation are developed to help guide consultation and decision making among different types of professionals.
 - Institutional norms are developed to guide both inter-agency case management and organizational resource allocation.
- Many types of formalized training, in-services, and information sharing sessions can benefit and support the partnership, provided they are open to all members, including parents.

Trust and respect

- Finally, trust and respect are cited as essential to building strong and sustainable partnerships.
 - Respect for others as equals, acknowledging others’ areas of expertise, respecting differences between members, and accepting others’ judgment are fundamental to building solid relationships between members.
 - Each organization must realize that the vested interests of other members are as valid as its own (Irwin 1994)⁷⁹.
 - Respect is not only essential between members of the partnership, but between the members of the partnership and the people it is meant to serve as well.
 - Atmore (1993)⁸⁰ speaks of “respectful intervention”-- of being sensitive to the culture, norms, and values of people in the community.

Benefits for Partnership Members

1. Has the partnership resulted in cost savings for its members?
2. Has the partnership facilitated access to the families it was intended to serve?
3. Has the partnership resulted in increased access to services for the families it was intended to serve?
4. Has the partnership increased awareness among member agencies of each other's services and mandates?

Partnership Process

1. Was communication between partners clear and effective?
2. Were roles and responsibilities clearly understood?
3. Were meetings productive and worthwhile?

⁷⁷ Nurss, Joanne R. and Susan Rawlston. (1994). Collaborative Planning in a Family English Literacy Program. Center for the Study of Adult Literacy, Georgia State University, Atlanta. ED 372 661. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁸ Mitchell, Douglas E. and Linda D. Scott. (1993). “Professional and institutional perspectives on inter-agency collaboration.” Journal of Educational Policy 8 (5-6): 75-91. cited in Sharon Skage, The Family Literacy, Action Group of Alberta, Building Strong and Effective Community Partnerships, 1996 <http://www.nald.ca/CLR/partner/cover.htm>

⁷⁹ Irwin, Michael et al. (1994). A Collaborative Model for Providing Literacy Training Utilizing the “One Stop Shop” Concept. Paper presented at the Annual Meeting of the NETWORK Conference, Baltimore, MD, April 9-12, 1994. ED 376 896

⁸⁰ Atmore, Eric. (1993). A Community Development Approach to Early Childhood Educare Intervention in Disadvantaged Communities. Paper presented at the International Early Years Conference, Coventry, England, March 1993. ED 369 496.

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4. Were there difficulties that impaired the partnership process in the beginning?
5. Were those difficulties addressed and alleviated?
6. Did all partners fulfil their responsibilities and obligations?
7. In what ways has the partnership succeeded?
8. In what ways does the partnership need to be improved?

6. Relevant Documents, Studies and Practices – USA

6.1. Community Justice: A Conceptual Framework -2000⁸¹

Some communities are better organized than are others at the outset. They have strong local institutions (for example, schools, churches, civic associations) and viable communication networks that quickly spread the word that a community campaign is under way. The predecessor to the Orange Hats patrol, for example, was a neighborhood watch program organized in conjunction with the police, and this effort created a local network with a block captain (Goldsmith-Hirsch 1998). Community capacity is often dependent on the social organization of communities (Chavis et al. 1993). To what extent do poverty, inequality, mobility, heterogeneity, urban density, family disruption, and other macrolevel variables have an effect on the stake an individual has in the community? To what extent does this stake, in turn, affect mobilization? Owners, for example, are more likely to be mobilized than renters (Skogan 1988). Thus, the ratio of owners to renters and other such macrolevel characteristics may be important predictors of mobilization. However, the same factors that make an area difficult to mobilize are also likely to identify it as in greater need of community justice efforts because of higher crime and related problems.

Even when mobilization is successful, it is important to consider who is being mobilized. Grinc's (1998) evaluation of a community policing program implies that many individuals and interests are typically underrepresented in crime prevention efforts. This may be a result of fear of retaliation from offenders or the historically poor relationship between the community and the police. It may result from perceptions of low efficacy, in part because community members do not have clearly defined roles with regard to crime prevention and in part because of experience with prior failed collective actions. Underrepresentation may also result from both intergroup tension manifest in the homogeneous and competitive organization of local groups in heterogeneous communities (Skogan 1988) and intragroup conflicts that arise between leaders and group members (Grinc 1998).

In collaborations between law enforcement agencies and private citizens or community organizations, community agendas are often sidelined because of clear power imbalances. Crawford (1995) argues that community representatives do not have the professional expertise to compete with their formal criminal justice partners. Accordingly, various interests are excluded even in ostensibly democratic participation efforts. This may occur because of informal and biased leadership or advisory position selection processes that systematically exclude problematic individuals, groups, or perspectives. The result is not simply a violation of democratic values but a failure to meet the needs of disadvantaged and marginalized groups whose views and concerns are excluded from the table. Such power processes may partly explain the persistence of crime in low-resource communities. Not only is it harder to compete for scarce development and public safety resources, but those that are delivered have so many strings attached to them that community empowerment is undermined.

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6.2. It Takes A Just And Capable Village: Prevention Strategies For Community Justice - 1997⁸²

Community Coalitions and other Collaborative Structures

- Coalitions and other forms of community collaboration are being formed as mechanisms for developing community capacity for prevention.

⁸¹ Karp, David and Todd Clear, "Community Justice: A Conceptual Framework" in *Boundary Changes in Criminal Justice Organizations*, Volume 2, p, 323-368, 2000 http://www.ncjrs.org/criminal_justice2000/vol_2/02i2.pdf

⁸² Chavis, David M., Ph.D., Association for the Study and Development of Community, *It Takes A Just And Capable Village: Prevention Strategies For Community Justice*, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

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- Coalitions, partnerships, and other collaborative efforts bring together community leaders and representatives of community institutions in order to combine resources to address threats to the community, such as violence and crime.
 - One of the biggest misconceptions of coalitions and collaborative efforts is that they can develop and manage services and activities in the community.
 - Another misconception is that substantial duplication and poor coordination of services are causing a major impediment to the ability of community's to solve their problems and that coalitions need to address that first.
 - Coalitions are voluntary relations among people and institutions.
 - In most cases participants are feeling overextended before they joined the coalition, and then they are expected to contribute more to the collaboration.
 - Funders expect agency directors and civic leaders to spend hours planning and implementing initiatives for the collaboration.
 - Relatively little can get done in a collaboration when members can only spend four to eight hours per month⁸³ and therefore coalitions most focus on conducting business that will have the greatest impact on their communities without burning out its membership.
 - Coalitions and other collaborative structures are ideal for community capacity building because coalitions are driven by relationships.
 - They have been shown to build capacity of the community through strengthening the organizations and institutions that participate in it^{84 85}
 - Too often the “group think” of a coalition is to more frequently ask what members can do for coalition, than what the coalition can do for its members.
 - Coalitions can build institutional capacity by sharing management, programming, and resource strategies.
 - They also develop relations across sectors and among otherwise alienated agencies, professionals, and community leaders.
 - Often coalition members report that the major benefits of their participation in the coalitions were the things that happened outside of meetings through connections they made participating in the coalition.
 - There has been growing theory and research on the centrality that the transformation of conflicts or paradoxes plays in the success of a coalition to build community capacity ^{86 87}.
 - Conflict transformation is the process whereby the resolution of a conflict builds the overall capacity of the coalition and actually makes it stronger.

⁸³ Join Together. (1990). Learning From the Ground Up. Boston, MA: By author. Knowles, M.S. (1970). The Modern Practice of Adult Education. New York: New York City Press cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁸⁴ Butterfoos, F.D., Goodman, R.M., & Wandersman, A. (1993). Community Coalitions for Prevention and Health Promotion. Health Education Research, 8 (3), 315-330 cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁸⁵ Chavis, D. M., Speer, P., Resnick, I., & Zippay, A. (1993). Building community capacity to address alcohol and drug abuse: Getting to the heart of the problem. In R.C. Davis, A.J. Lurigio, & D. Rosenbaum (Eds.), Drugs and community. Springfield, IL: Charles Thomas. cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁸⁶ Smith, K.K. and Berg, D.N. (1987). Paradoxes of Group Life, San Francisco, CA: Jossey-Bass Publishers cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁸⁷ Chavis, D.M. (1996). Evaluation of Community Partnership Program Process. Dallas, TX: Prevention 96 cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>.

- A study of 86 substance abuse prevention coalitions⁸⁸ showed that conflict transformation was the major contributing internal factor that lead to a coalition's ability to attain its goals.
- Over time coalitions are able to transform these "conflicts" or paradoxes within coalitions into a process of positive change⁸⁹.
- These conflicts reflect larger paradoxes at the community level referred to in the discussion paper.
- The following are the conflicts that coalitions often face and reconcile^{90 91}:
 - Mixed loyalties: Coalition members have a dual commitment--to the coalition and to their own organization.
 - Autonomy versus accountability: The coalition must have enough autonomy to take independent action and accountability to several levels within the coalition (i.e. member organizations);
 - Means versus model: A coalition can be viewed as means to accomplish a specific social change goal for the community as well as a mode; "end" in itself by funders in order to meet their need for demonstration projects and model (i.e., a sustained model of inter-organizational coordination);
 - Unity and diversity coalition members share compatible, but not identical interests. Members struggle to accommodate each other's "self-interests" within the coalition;
 - Scarce resources: Coalitions require people and organizations with limited time and resources to commit them to another organization.
 - Member organizations are asked to contribute more than they receive.
 - Dependence-Independence: The symbiotic relationship between the coalition and the lead agency.

How Coalitions Can Enable Community Capacity Building

- Coalition can provide the system that can enable communities to prevent crime and provide community justice.
 - An enabling system is a coordinated network of organizations, which nurtures the development and maintenance of a grassroots community development process through the provision of resources, incentives and education (Chavis, Florin & Felix; 1993⁹²).

⁸⁸ Chavis, D.M. (1996). Evaluation of Community Partnership Program Process. Dallas, TX: Prevention 96 cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>.

⁸⁹ Managing Dynamic Tensions in Social Change Coalitions. . In T. Mizrahi & J. Morrison (Eds.), Community and Social Administration Advances, Trends and Emerging Principles. Binghamton, NY: Haworth Press cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>.

⁹⁰ Chavis, D. M., Speer, P., Resnick, I., & Zippay, A. (1993). Building community capacity to address alcohol and drug abuse: Getting to the heart of the problem. In R.C. Davis, A.J. Lurigio, & D. Rosenbaum (Eds.), Drugs and community. Springfield, IL: Charles Thomas. cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁹¹ Managing Dynamic Tensions in Social Change Coalitions. . In T. Mizrahi & J. Morrison (Eds.), Community and Social Administration Advances, Trends and Emerging Principles. Binghamton, NY: Haworth Press. cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁹² Chavis, D. M., Florin, P., & Felix, M. R. J. (1992). Nurturing Grassroots Initiatives for Community Development: The Role of Enabling Systems. In T. Mizrahi & J. Morrison (Eds.), Community and Social Administration: Advances, Trends and Emerging Principles. Binghamton, NY: Haworth Press cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, It Takes A Just And Capable Village: Prevention Strategies For Community Justice, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

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- Coalitions can manage sponsor, network or broker the components of this system in order to build community capacity.
 - Coalitions need to make available a variety of types of assistance to individuals and institutions in order to build community capacity.
 - Training and Consultation: Team, staff and leadership training.
 - Consultation on community, organizational and programmatic issues and strategies.
 - Training of local trainers.
 - Information and Referral: Coalitions can disseminate information on model programs, provide data on community conditions, research information, and resources (e.g. funding, training, conferences, consultants, and volunteers).
 - Networking and Coalition Development Assistance can be provided in order to form networks and coalitions at more local levels (e.g. neighborhood) or among institutions and people with common interests and needs (e.g. grassroots organizations, youth workers).
 - Networks consist of organizations and individuals interested in common problems, issues, and strategies that meet to exchange information, common training and technical assistance needs.
 - Coalitions are made up of organizations and institutions working together through communication, coordination, and collaboration in order to solve community problems).
 - Communications: Coalitions can be most effective in capacity building only if they foster communications among members, the public and larger systems.
 - Coalitions can promote communication through newsletters, television and radio programs (e.g. community access cable stations) conferences, and electronic bulletin boards.
 - Incentive Grants And Recognition: Coalitions can encourage innovation, experimentation and diffusion of successful local programs by developing funds to incubate new strategies; and provide public recognition and awards to successful local collective efforts.
 - Public Information And Social Marketing: Coalitions can use the media (electronic and print) to promote public involvement and ownership of initiatives.
 - They can also assist in the identification of public priorities, concerns and resource usage.
 - Coalitions can facilitate the fit between public needs, preferred methods of service delivery, and agency responses.
 - Coalitions have even increased public access to resources by publishing printed or electronic resource directories.
 - Research and Evaluation: Coalitions can facilitate their communities' learning process through research and evaluation services.
 - It is critical for communities to have the ability to generate information for decisionmaking and self-awareness.
 - These research services are generally too expensive and involved for any one agency to provide to the community alone.
 - To differing degrees, all community institutions need to be able to generate and use such information.
- Coalitions can
- sponsor or conduct action research projects;
 - provide evaluation technical assistance;
 - evaluate services and products;
 - facilitate the evaluation of other local programs;
 - train local evaluators to work more effectively and appropriately with community leadership;
 - provide feedback on research findings; develop research-based action principles to guide prevention strategy development.

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- The discussion paper underestimates the strength of the connection between community justice practice and research with regard to evaluation and generalization in the area of prevention.
 - Several national community justice prevention initiatives incorporate sizeable commitments to evaluation for decisionmaking and capacity building at the national and local levels.
 - The Community Prevention Partnerships and Prevention Coalitions programs sponsored by the Center for Substance Abuse Prevention (CSAP) made proportionately large commitment to their national cross-site evaluations.
 - CSAP also required grantees to allocate between 10 and 20 percent of their local budgets on evaluation.
 - Local evaluators are accountable to the local coalition drug and alcohol abuse prevention coalition (and the lead agency).
 - CSAP provides training and consultation assistance to local evaluators on research methods and methods for increasing local use of the information.
 - Partnerships and coalitions reported increasing use of evaluation information for planning and decision making over the five years of the program.
 - The cross-site evaluation teams work collaboratively with local evaluators and also provide technical assistance to them.
- The National Funding Collaborative on Violence Prevention (NFCVP) has developed similar expectations and commitments. NFCVP has more linked its cross-site evaluation and technical assistance providers.
 - The national cross-site and local evaluators have carefully developed an interdependent relationship for data collection and feedback.
 - The cross-site evaluation team has provided workshops for both evaluators and program staff on evaluation and program issues.
 - These programs, the community building programs mentioned earlier, and other initiatives related to community justice have led in the development of new perspectives and methods for useful evaluation, such as cluster evaluation (Jenness and Barley, 1995)⁹³ and empowerment evaluation (Fetterman, Kaftarian, & Wandersman, 1995)⁹⁴ and drawn upon longer practices in participatory evaluation (Whyte, 1991).⁹⁵
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⁹³ Jenness, M. and Barley, Z. (1995). Using Cluster Evaluation in the Context of Science Education Reform. *New Directions in Program Evaluation*, 65, 53-71. cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, *It Takes A Just And Capable Village: Prevention Strategies For Community Justice*, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁹⁴ Fetterman, D. M., Kaftarian, S.J., & Wandersman, A. (1996). *Empowerment Evaluation*. Thousand Oaks, CA: SAGE Publications, Inc cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, *It Takes A Just And Capable Village: Prevention Strategies For Community Justice*, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

⁹⁵ Whyte, W.F. (Ed.). (1991). *Participatory Action Research*. Newbury Park, CA: SAGE Publications. cited in Chavis, David M., Ph.D., Association for the Study and Development of Community, *It Takes A Just And Capable Village: Prevention Strategies For Community Justice*, Paper presented at the Research Seminar on Communities, Crime, and Justice sponsored by the National Institute of Justice, George Washington University, Washington, D.C. March, 1997 <http://www.capablecommunity.com/asdc/pubs.html>

7. Relevant Documents, Studies and Practices – International

7.1. Beyond the Partnership Rhetoric - 2000 ⁹⁶

Introduction

- In 1998, the ECDPM embarked on a new venture to engage in partnerships with selected African, Caribbean and Pacific (ACP) institutions.
 - Spearheaded by the Centre’s capacity-building programme, the partnership initiative sought to nurture regional networks of expertise, and facilitate Southern organisations to become recognised actors in policy dialogue in international cooperation.
 - In this regard, emphasis was placed on the role of partnership in mobilising the capacities of regionally-based policy institutes and institutions engaged in research and learning, including development and funding organisations.
 - From the outset, this initiative was recognised as experimental and likely to face numerous challenges in making the transition from theory to practice ⁹⁷.
- This discussion paper provides an initial ‘stocktaking’ of lessons of experience based on the first few years of operation and discusses the extent to which genuine partnership is a way forward towards the development of capacities.
 - Recognising that the development and sustenance of partnerships requires time, the paper acknowledges that the conclusions drawn and lessons presented are only preliminary ⁹⁸.
 - We also note that the Centre’s venture into partnership has taken place at a time when the concept and practice of partnership have gained widespread attention in international development cooperation, and have become subjects of regular debate and scrutiny.
 - Those who champion the partnership concept see it as reflecting a deliberate policy choice which seeks to establish new roles and relationships between North and South that challenge structural inequalities and the inculcated mind-set of giver and taker in aid relationships.
 - Partnership, in this sense, becomes a development objective and is closely linked to notions of capacity development, ownership and participation, which see the current distribution of roles and relationships between North and South as undermining sustainable development.
 - Genuine partnership provides a framework for building greater equality, for identifying shared development objectives and for accommodating both ‘Northern’ accountability requirements and ‘Southern’ ownership.

⁹⁶ Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

⁹⁷ The terms ‘capacity- *building*’ and ‘capacity *development*’ are used interchangeably in this text and for the sake of convenience are taken to denote the same thing. Researchers and practitioners tend to use one or other of the terms. Capacity *development*, the more recent term, emphasises the notion of an ‘on-going process’ which takes account of existing capacities, rather than focusing solely on ‘building’ new capacities. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

⁹⁸ The ECDPM’s partnership experiences discussed here are based on an earlier paper presented to the Centre’s Forum2000 meeting at which partner organisations (the Municipal Development Programme, East and Southern Africa, and ENDA-Ecopop) discussed and endorsed the key lessons of experience and conclusions drawn. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

- Taking account of these positions, and reflecting on the points of view and lessons of experience at the ECDPM as well as the wider community dealing with partnership, this discussion paper tries to understand what it takes to make ‘genuine’ partnership work at an organisational level in North-South cooperation.
 - In so doing, we hope to encourage policy-makers and practitioners to think about the terminology, concept and practice of partnership, the relationship between partnership and capacity-building, and the implications for development organisations of adopting the partnership approach
- Following a review of some of the issues currently on the table in connection with the policy and practice of North-South development partnerships⁹⁹ (Part 1), the paper reflects on the Centre’s own attempts at developing ‘genuine’ partnerships with organisations in the South, and presents some preliminary lessons of experience (Part 2).
 - To conclude, the paper discusses the extent to which partnership contributes to meeting capacity-building objectives.
 - It finally challenges organisations to reflect on their own abilities to address capacity-building through partnership and reflects more widely on the implications this holds for the aid industry in general (Part 3).

Part 1: Partnership in International Cooperation: the Wider Context

The meaning of partnership

- At a conceptual level, there appears to be general agreement as to what construes ‘genuine’ partnership.
 - As suggested by Mohaddin (1998)¹⁰⁰, partnership can be regarded as the ‘*highest stage of working relationship between different people brought together by commitment to common objectives, bonded by long experience of working together, and sustained by subscription to common visions.*’
 - Moreover, certain key principal characteristics distinguish partnership from other relationships, such as cooperation or collaboration, and present partnership as somehow of a higher order, more virtuous, more fundamental.
 - Typically, partnership is associated with the following characteristics;
 - long-term, shared responsibility, reciprocal obligation, equality, mutuality and balance of power (Fowler, 2000)¹⁰¹.
 - Others also emphasise the elements of trust, respect, and ownership (Mohaddin, 1998)¹⁰².

⁹⁹ Issue 6, June 2000 of Capacity.Org highlighted aspects of the current debate on partnership and its role in institutional and capacity development. It can be accessed on <http://www.capacity.org>, via the archive section. Hard-copy versions of the newsletter may be ordered from the Centre. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹⁰⁰ Mohaddin, A. 1998. Partnership: a new buzz-word or realistic relationship? *Development*, 41(4): 5-12. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹⁰¹ Fowler, A. 2000. Questioning partnership: the reality of aid and NGO relations. *IDS Bulletin*, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹⁰² Mohaddin, A. 1998. Partnership: a new buzz-word or realistic relationship? *Development*, 41(4): 5-12. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

- According to one commentator, equality of decision-making and mutual influence are the key characteristics distinguishing partnership from other types of relationship (Brinkerhoff, 1999)¹⁰³.

Why partnership?

- The partnership rhetoric has now been widely adopted by different parts of the Northern aid industry.
 - It underwrites for instance the desired relationship between the European Union and the ACP group of countries (EU, 2000)¹⁰⁴, and has been adopted by the Development Assistance Committee (DAC) as an underlying vehicle for directing the fight against poverty in the 21st century (DAC, 1996).¹⁰⁵
 - Northern non-governmental organisations (NGO) have embraced the concept for perhaps a longer time, starting even as far back as the 1970s, while in more recent times, it has become a preferred mode of cooperation for Northern municipalities and local government associations.
 - It has also been adopted by the university and research community (KPFPE, 1998¹⁰⁶; Nwamuo, 2000¹⁰⁷) and by policy and training institutes (Helland, 1999)¹⁰⁸.
- Partnership has become a leading concept in international cooperation over the past decade.
 - But why?
 - As one commentator has remarked, ‘...*what does partnership add that is so valuable that it outweighs the many constraints to its operationalisation, especially when other forms of collaboration are available?*’ (Brinkerhoff, 1999)¹⁰⁹.
 - Several explanations can be found to account for the widespread adoption of the partnership paradigm.

A panacea for the shortcomings of development cooperation

- One explanation is that partnership has been presented by Northern donors as a panacea for improving aid effectiveness, and, in so doing, for salvaging the industry from the current wave of aid fatigue (Saxby, 1999).¹¹⁰

¹⁰³ Brinkerhoff, J. 1999. Commentary on concepts, definitions and objectives of partnership. Contribution made to Partnering with civil society: an electronic discussion on partnership for development, World Bank, 29 November 1999 to 28 January 2000. Bethesda: IPC. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁴ European Commission. 2000. Partnership agreement between the members of the African, Caribbean, and Pacific group of states of the one part, and the European Community and its member states, of the other part, signed in Cotonou on 23 June 2000. The ACP-EU Courier, (September). (http://europa.eu.int/comm/development/cotonou/agreement_en.htm) Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁵ Development Assistance Committee. 1996 Shaping the 21st century: the contribution of development cooperation. Paris: OECD. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁶ KPFPE. 1998. Guidelines for research in partnership with developing countries. Berne: Swiss Commission for Research Partnership with Developing Countries. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁷ Nwamuo, C. 2000. Capacity-building through North-South partnership in the African university sector. Capacity.org, (6). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁸ Helland, J. 1999. The co-operation between Institute of Development Management - IDM (Tanzania) and Agder College (Norway). (CMI Working Paper, 4). Bergen: Chr. Michelsen Institute. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹⁰⁹ Brinkerhoff, J. 1999. Commentary on concepts, definitions and objectives of partnership. Contribution made to Partnering with civil society: an electronic discussion on partnership for development, World Bank, 29 November 1999 to 28 January 2000. Bethesda: IPC. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

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- According to Fowler (2000)¹¹¹, partnership represents a ‘relational preference’ which is ‘politically correct’ at a time when the overall aid system has come under fire for non-performance.
- But what is it precisely that partnership offers?
- A key proposition is that partnership between the North and South helps to build local ownership of development initiatives, as well as to improve donor coordination and donor ‘behaviour’ more generally.
 - Through a negotiated process based on dialogue and broad participation, external and internal stakeholders are better able to determine common goals and interests, based on a more complete understanding of the local context (Fowler, 2000)¹¹².
- As argued by the DAC, ‘*in a partnership, development cooperation does not do things for people but with people*’ (1996)¹¹³.
 - In so doing, it provides a framework for a collaborative effort to build capacities so that local partners can do things for themselves on the basis of locally-defined development strategies formulated as a result of a dialogue embracing recognised development stakeholders.
 - In this sense, partnership provides an attractive mode of cooperation to ensure that institutional and capacity development objectives can be achieved.
 - It also implies the need to redress the power ‘asymmetry’ between developing countries and external funding agencies, and to progressively transfer responsibility and ownership to the former.
 - Terminology such as ‘donor’ and ‘recipient’ has accordingly been replaced by terms like ‘development partners’, suggesting a more equitable relationship based on a shared agenda for change.
- At the same time, a more critical perspective suggests that partnership primarily offers donors a mechanism to ensure greater cost-effectiveness in the delivery of aid, while facilitating accountability towards sceptical domestic electorates.
 - While providing the basis for a negotiated framework in which rights, responsibilities and obligations are defined, partnership, in fact, enables funding organisations to re-impose their conditionalities within the framework of a set of contractual ground rules set by the North (Fowler, 2000).¹¹⁴

Ascendancy of neo-liberal ideology

- The language of partnership can also be traced to more fundamental global political and social trends.

¹¹⁰ Saxby, J. 1999. Partnership in question: an issues paper. Hull: CIDA. (mimeo) Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹¹ Fowler, A. 2000. Questioning partnership: the reality of aid and NGO relations. IDS Bulletin, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹² Fowler, A. 2000. Questioning partnership: the reality of aid and NGO relations. IDS Bulletin, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹³ Development Assistance Committee. 1996 Shaping the 21st century: the contribution of development cooperation. Paris: OECD. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹⁴ Fowler, A. 2000. Questioning partnership: the reality of aid and NGO relations. IDS Bulletin, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

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- The ‘mainstreaming’ of neo-liberal ideology in the post-cold war era, and the concomitant reduction in ideological and geo-political differences has given rise to concepts of participatory governance and to the definition of new roles among development actors.
- With the rise of civil society, and the increasing importance of private capital, the notion of development partnerships between the public sector, the private sector and the ‘third sector’ has come to the fore.
- The Comprehensive Development Framework (CDF) which the World Bank is promoting is, for instance, premised on this understanding, and places special emphasis on the role of civil society¹¹⁵.
- Terms such as ‘Smart’ partnerships, public-private partnerships, local joint-action partnerships are all premised on the argument that no single development actor can do it alone, and that there is a convergence of interest among internal and external development stakeholders to attack common agendas.

Crisis of confidence among Northern NGOs

- Within the NGO context, it has been suggested that Northern NGOs have adopted partnership as a way of reasserting their relevance and credibility at a time of diminishing budgets and a growing assertiveness among Southern NGOs, who have begun to question the added value of their Northern counterparts.
 - Southern NGOs, and increasingly Northern donors, too, argue that the intermediary role played by Northern NGOs is perhaps no longer required.
 - Financial and technical assistance can be directly negotiated between the two, leaving little scope for the Northern NGO.
 - Partnership between Northern and Southern NGOs is therefore presented as a response to jointly tackle global issues of concern, such as debt relief, the environment and globalisation, building on earlier North-South solidarity movements.

The reality of partnership

- Unfortunately, as is so often the case, fashionable concepts become over-used and applied loosely, and critics wonder if, under the veneer of the new jargon, anything has really changed.
 - Even where it has been applied with genuine intent, there are doubts as to whether partnership can be achieved in the context of North-South inequalities, and the pervading self-interest of stakeholders.
 - All too often, a common understanding of what lies behind partnership is assumed, even though in reality the partners hold quite different expectations of the relationship they are investing in.
 - As a result, partnership has all but become a ‘...*something, nothing*’ word (quoted in Fowler, 2000)¹¹⁶.
- Led primarily by the NGO community, a healthy debate on the realities of practising partnership has been taking place in recent years.
 - From this debate, two principal areas of concern may be identified, which are relevant to the Centre’s own emerging experience of partnering ¹¹⁷.

¹¹⁵ See background text on Partnering with Civil Society in the Development forum archives:

www.worldbank.org/devforum/forum_civsoc.html. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

¹¹⁶ Fowler, A. 2000. Partnerships: negotiating relationships, a resource for non-governmental development organisations. (OPS, 32). Oxford: Intrac. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

- The first addresses issues of structural inequality which can undermine the realisation of equitable relationships, while
- the second addresses features of the aid system that work against the attainment of long-term capacity development objectives.

Structural inequalities

- Perhaps the strongest and most consistent criticism of partnership is that it is predicated on the notion of common interest and a relationship among equals.
 - However, such ‘genuine’ partnership is rarely if ever attained.
 - Critics challenge the assumptions behind partnership as being naïve and unrealisable even if desirable, because of deep-rooted structural constraints.
 - The partnership language does not therefore face up to reality, and in so doing raises false expectations.
 - Few relationships amount to partnership in the strict sense (Saxby, 1999)¹¹⁸, with the term often being misused to represent a wide range of institutional relationships, which fall well short of partnership as defined above.
 - The conclusion is that, while partnership may serve as an ideal relationship which one should strive towards, reality dictates the use of more pragmatic and adaptive relationships to meet diverse needs and circumstances.
- Several commentators argue that ‘genuine’ partnership simply cannot be realised under conditions of structural inequality where the North (whether in the form of nations or organisations) retains a financial, technological and institutional advantage over the South (James, 2000¹¹⁹, Mohaddin, 1998¹²⁰, Saxby, 1999¹²¹).
 - In the absence of a level playing field, the terms and conditions of partnership will be negotiated to the advantage of the stronger partner, who will also remain in the proverbial ‘driver’s seat’ in terms of the day-to-day management of the relationship.
 - In this context, traditional donor-recipient relations continue behind the veneer of partnership. Fowler (2000)¹²² and Saxby (1999)¹²³ recommend dropping the blanket partnership terminology and instead acknowledging the diverse array of functional relationships that in fact are forged.

¹¹⁷ Opinions and experiences have been collected in two recent initiatives; an on-line discussion forum organised by the World bank’s NGO department entitled: ‘Partnering with Civil Society’ which aimed to examine concepts and approaches to partnership based on practical experiences, and Volume 31, No. 3 issue of the IDS Bulletin entitled ‘Questioning Partnership: The Reality of Aid and NGO Relations’. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹⁸ Saxby, J. 1999. Partnership in question: an issues paper. Hull: CIDA. (mimeo) Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹¹⁹ James, R. 2000. Power, partnership and capacity building. Ontrac Capacity Building News, (4). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹²⁰ Mohiddin, A. 1998. Partnership: a new buzz-word or realistic relationship? Development, 41(4): 5-12. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹²¹ Saxby, J. 1999. Partnership in question: an issues paper. Hull: CIDA. (mimeo) Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹²² Fowler, A. 2000. Partnerships: negotiating relationships, a resource for non-governmental development organisations. (OPS, 32). Oxford: Intrac. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹²³ Saxby, J. 1999. Partnership in question: an issues paper. Hull: CIDA. (mimeo) Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South

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- Examples include terms like ‘counterpart’, ‘collaborator’, ‘contractor’, and ‘ally’ which it is argued carry less ‘normative overload’ and describe more accurately what exists on the ground, rather than what is ‘politically correct’ thinking (Fowler, 2000)¹²⁴.
- For others, this ‘reality’ only reaffirms the desirability of setting partnership as a standard to work towards.
 - According to Ashman (2000)¹²⁵, private voluntary organisations (PVOs) and NGOs in the United States have been looking at ways to make partnership more equitable and effective.
 - Recent research comparing perceptions of Northern and Southern partners suggests that structural factors associated with power asymmetry are indeed perceived as affecting the influence that each side can bring to bear on the relationship.
 - Accordingly, it is in these areas that remedial attention is needed.
- One concern, expressed primarily by Southern partners, is that there is an absence of ‘mutuality’ in their relationship with Northern partners.
 - This plays out in terms of the influence that can be exercised over policy issues and management decisions, and in relation to determining the lines of accountability.
 - This is said to undermine the level of satisfaction with the relationship and can lead to ‘pseudo-partnerships’.

Ambitious capacity-building expectations

- Such power asymmetry can also challenge ostensible capacity development objectives and strategies by undermining the managerial autonomy and performance of the Southern partner (James, 2000)¹²⁶.
 - This reflects a broader contradiction between the pressure placed on donors to demonstrate quick results and the notion of partnership as supporting long-term capacity development processes.
 - This tends to happen because efficiency and effectiveness are held to be the main criteria of success.
 - In other words, partnership is treated essentially as a means to an end.
 - In this regard, a contributor to the on-line discussion forum on partnering with civil society remarked that international agencies often continue to use a conventional project-oriented view of partnership and are less interested in the added value offered by such partnerships in the longer term.
- The funding and reporting imperatives of donors have often been identified as being the root cause.
 - These have been exacerbated by recent trends of shrinking aid budgets, and pressures for results.

Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹²⁴ Fowler, A. 2000. Partnerships: negotiating relationships, a resource for non-governmental development organisations. (OPS, 32). Oxford: Intrac. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹²⁵ Ashman, D. 2000. Strengthening North-South partnerships: addressing structural barriers to mutual influence. IDR Reports, 16 (4), Boston. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹²⁶ James, R. 2000. Power, partnership and capacity building. Ontrac Capacity Building News, (4). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

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- This is reflected in the emphasis given to upward accountability, and to the often rigid adherence to procedures which are not compatible with local circumstances.
 - Strict time-frames and regulations pertaining to the utilisation of resources are often cited as examples of factors that can undermine local efforts to take charge of the process.
 - The high staff turnover and the sheer size of a Northern partner's organisation are also cited as factors which make it difficult to sustain a close, long-term relationship.
- These 'Southern' concerns are often not open to discussion and are treated as 'non-negotiables' from the point of view of the stronger Northern partner, even though they can set the tone of the relationship.
- A contributor to the forum, referring to the difficulties in realising partnership, pointed to '... *the structural issues creating relational pathologies in and beyond the aid system. We have to get our structural house in order.*'
 - From another context, however, we learn that it is possible to redress the balance of power by purposefully empowering Southern partners in areas of decision-making and management (Helland, 2000)¹²⁷.
 - This can be part and parcel of a capacity development strategy, for instance.
 - Meanwhile, according to Ashman (2000)¹²⁸, Northerners prefer to focus on issues related to inter-organisational and inter-personal relations, which, while clearly important, as attested to in the on-line forum¹²⁹ ¹⁶¹, do little to redress more fundamental structural imbalances.
- It is in the context of this wider debate that the ECDPM has taken up the challenge of engaging in partnership with Southern organisations.
- Part 2 provides a brief description of how the ECDPM has approached this challenge, by going beyond the rhetoric of partnership and seeking to practice what has been referred to as 'genuine' partnership.

Part 2: Learning to partner: the ECDPM's experience

- This case study briefly describes the ECDPM's initial experience of engaging in partnership with the Municipal Development Programme of East and Southern Africa (MDP) and with ENDA – Ecopop¹³⁰.
- The study reflects on the process of identifying and negotiating partnership agreements and implementing joint programmes of work.
 - The outputs and outcomes of this joint work are reviewed, and consideration is given to the perceived added value of this mode of cooperation.

¹²⁷ Helland, J. 1999. The co-operation between Institute of Development Management - IDM (Tanzania) and Agder College (Norway). (CMI Working Paper, 4). Bergen: Chr. Michelsen Institute. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹²⁸ Ashman, D. 2000. Strengthening North-South partnerships: addressing structural barriers to mutual influence. IDR Reports, 16 (4), Boston. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

¹²⁹ See summary for week 2 discussions.

¹³⁰ Although less successful partnership experiences are not presented here, they do inform the lessons learned presented in Part 3. Those partnerships experienced considerable delays in the implementation of work plans, or recorded poor results and outputs. Some of these partnership processes were terminated because of non-activity, despite – at times – substantial resource investments. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdp/pubs/dp20_gb.htm#par3

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- The case provides a basis for presenting a set of lessons of experience and for drawing conclusions on the policy and practice of partnership in international cooperation.

The rationale: capacity mobilisation through partnership

- Over the years, the Centre has worked to strengthen the institutional capacities of developing countries to engage effectively in policy management and international cooperation.
 - Different implementation strategies have been used to assist public and non-governmental institutions in developing countries to engage in policy processes with their Northern partners.
 - It has been noted that, while considerable expertise and knowledge exist in the South, the institutional mechanisms for their articulation and consolidation are relatively fragile.
 - Increasingly, the Centre has seen its role as facilitating processes and bridging gaps by capacity development, policy dialogue and information activities.
 - Particular emphasis has been placed on the notion of capacity mobilisation, which is understood to mean a process of linking and utilising the individual and organisational capacities of different stakeholders to participate in policy processes.
- In 1998, following a process of strategic reflection, the Centre identified partnership between itself and comparable organisations in the South as a potentially valid mechanism for capacity mobilisation.
 - In this regard, emphasis was placed on working with regionally-based policy institutes and institutions engaged in research and learning, including development and funding organisations.
 - Together with the Centre, these would function as hubs for mobilising local capacities to address selected topics on a structured basis.
 - With this in mind, the aims of partnership have been threefold:
 - To strengthen the capacities of partners so as to facilitate policy dialogue processes in international cooperation;
 - To jointly deliver with partners, relevant products and services to clients and stakeholders on relevant policy issues in international cooperation;
 - As an innovation in international cooperation, to explore approaches to achieving equitable and sustainable relationships with Southern partners, and to determine the value and appropriateness of such partnerships in mobilising and strengthening capacities in the South.
- The Centre was anxious to achieve what it understood to be ‘genuine’ partnerships, and made a distinction between this type of relationship and others, such as functional collaboration.
 - Accordingly, the basis of partnership was the establishment of equitable working relationships informed by the following principles:
 - Partnership is undertaken in a spirit of experimentation and mutual learning.
 - It is characterised by common interest, joint decision-making and programme execution.
 - Resources are contributed by all sides.
 - The principle of building trust by ‘doing what has been agreed’ leads the process.
 - The division of tasks is based on the comparative strengths of the organisations involved and shared responsibility guides implementation.

Nurturing partnership: the process

- Identifying partner organisations, setting priorities and engaging in joint programming and implementing activities have all been guided by a conceptual framework.
 - But the process has certainly not been straightforward.

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- Space has had to be given to each partnership to develop in its own distinct way.
- There is no doubt that blueprint approaches for establishing equitable partnerships do not exist.

Identifying potential partners

- Finding suitable partner organisations required time and careful consideration.
 - The difficulties started with the question of whom to work with.
 - Although the process was guided by broadly formulated selection criteria (see Box 1), a critical look both at the ECDPM and at potential partners resulted in many options having to be dropped because of the absence of a good mix.
 - In a number of cases, our respective capacities could not match the expectations, whilst in others the mandates were too far apart or the thematic areas covered were too divergent.
 - Nevertheless, contacts were made with organisations working on ACP-EU topics such as trade, governance, decentralised cooperation, and the role of ‘new’ actors in development.
 - From here, discussions were held with a number of organisations.
 - Among these, the most promising were those with the Municipal Development Programme, Eastern and Southern Africa (MDP-ESA), and their partner, Towns and Development (T&D)¹³¹, and, later, with ENDA Ecopop.

Box 1: Selection Criteria

- **Common purpose:** The partner should be geared towards enhancing policy management, through independent study and knowledge networking, and should have some standing among the various actors.
- **Regional orientation:** Since the ECDPM is small, and cannot engage in all ACP countries, the partners should have a clear regional orientation and the potential to grow into a regional role.
- **Institutional strength:** The partner should be established and have adequate resources to enter into an equitable arrangement with the ECDPM.

Defining areas of common interest

- The processes with MDP-ESA and ENDA had to kick off with a period of mutual familiarisation¹³².
 - Meetings were subsequently organised during which the organisations’ respective agendas were sketched out, but not pre-defined.
 - Discussions were held in an atmosphere geared towards finding common ground and defining joint priorities.
 - The processes led to the eventual formulation of joint work programmes (see below), which also meant making concessions, adapting to each other’s priorities and recognising each other’s respective strengths and weaknesses.

¹³¹ Towns and Development is an international network of local authorities, NGOs, and community groups. It promotes joint action on sustainable development between local authorities and NGOs. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

¹³² Contacts between the ECDPM, MDP-ESA and T&D had already existed for some years. These were reinforced by the Centre’s participation in a regional workshop in November 1998, when views were first exchanged about the possibility of a more structured form of cooperation. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

- It was particularly important to clarify areas of self-interest and to debate common interests and the added value represented by this type of approach to our respective organisations.
- A common agenda was identified in relation to the themes of decentralisation, local governance and joint action partnerships.
 - For the ECDPM, this was a priority topic which fitted into its wider programme of work on decentralised cooperation in the framework of EU-ACP cooperation.
- For MDP, partnering with the ECDPM added value to its own operations, and to its work with T&D.
 - It provided opportunities for joint institutional learning and exchange and for enhancing capacities in the area of development policy analysis and management with a regional outreach.
 - ENDA Ecopop viewed the cooperation with the ECDPM as a means of intensifying its institutional learning process with regard to joint action practices, communicating its experiences to other regions in Africa and engaging in bottom-up decentralisation processes.

Box 2: Organisational profiles: MDP and ENDA Ecopop

MDP-ESA works in 25 countries and aims to support the process of decentralisation and to strengthen the capacity of local governments. It provides African institutions and researchers with information and resources for analysing, debating and advancing policies and practices aimed at fostering responsive, democratic, and transparent local government. Its projects are conceived and managed by African experts. With Towns and Development, MDP-ESA has been exploring ways of promoting partnership between local authorities and civil society in order to address local development needs.

ENDA Ecopop is one of several sub-organisations constituting the international development organisation ENDA Tier Monde, based in Dakar, Senegal. ENDA Ecopop is involved in implementing projects with a focus on establishing effective collaboration between municipal governments and civil society in the West African region.

Joint programming and implementation

- At times it was difficult to strike the right balance between holding back on the process, and moving into the driver's seat.
 - The process had to be given space so that it could be nurtured from both sides.
 - Adapting to the partner's working environment and choosing the waiting room rather than pushing the process were difficult decisions in view of high expectations on the part of the ECDPM's Board, which was looking for tangible results and outputs.
- Once the conditions and inputs for joint work had been properly negotiated, the actual implementation of activities proved to be a more straightforward process and the up-front investment in time paid off.
 - The agreements were formalised through Memoranda of Understanding and accompanied by work plans and budgets for a defined period.
 - Ownership was ensured through the engagement of the respective directors in the process, which also helped to build trust and confidence.
 - Activities were implemented on an almost 50/50 funding basis, including the sharing of human resources to manage preparations and perform activities along lines of divided tasks and responsibilities.
 - Commitments in terms of resource-sharing were adhered to, once the – at times painstaking – preparatory phase of joint planning had passed.

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- With MDP-ESA and T&D, it was agreed to work around the theme of joint action between civil society and local government during a pilot phase, to find out whether there really was scope for developing a longer-term partnership.
 - During this phase, a set of case studies from Eastern and Southern Africa on implementing local joint action programmes were commissioned and a regional consultative workshop was held to draw lessons of experience from the case studies.
 - Assuming a positive outcome, a Memorandum of Understanding for intensifying the partnership was signed.
 - It was agreed to pursue this partnership in the medium term on the basis of phased work plans.
 - The writing up of the results of the consultative workshop and the presentation of the publication during the Africities Summit in Windhoek constituted the main activities.
 - Following the successful implementation of the second phase, the partners agreed to enter into a third phase.
- At the time when the contacts with ENDA Ecopop were first made, there was already a framework agreement for partnership between the ECDPM and ENDA TM.
 - As a first familiarisation exercise, Ecopop was invited to participate in the consultative workshop with MDP-ESA.
 - Here, it shared its experiences on joint action in West Africa.
 - In follow-up discussions, it was agreed that a form of closer collaboration between the ECDPM and Ecopop should be established that would develop step by step and would be guided by a spirit of experimentation and mutual learning, based on equity and shared responsibility.
 - For the initial period, the agreed joint work programme comprised:
 - the preparation of two case studies on *local partnerships*, based on the methodology used for the consultative workshop on joint action;
 - the inclusion of one case study in the publication relating to the consultative workshop on joint action, and
 - the co-organisation of a workshop on ‘local partnerships between municipalities and civil society’ during the Africities 2000 Summit.

Recording results

- The achievements of partnership can be measured in relation to three kinds of results, which mirror the aims of partnership.
 - First, the specific products and services generated through the work programmes implemented by the ECDPM and its partners.
 - Second, the institutional capacities mobilised and strengthened through the partnership process.
 - Third, the development of ‘genuine’ partnership relationships valued by both partners as a positive experience, and meriting continuation.

Products and services generated

- In terms of informing policy-makers and practitioners about decentralised cooperation practices between local governments and civil society, the most tangible results to date have been:
 - The organisation of a regional consultative workshop on Joint Action for Poverty Alleviation and Sustainable Development, including the commissioning of ten case studies prepared by local experts for this event.
 - A workshop on local partnerships hosted during the Africities 2000 Summit, and organised jointly by Ecopop and the ECDPM, with inputs from MDP-ESA.

- The workshop formulated recommendations, some of which were incorporated in the resolutions of the Summit.
- These inputs contributed to the decentralisation debate in Africa and sensitised decision-makers to the importance of local government and civil society working in partnership.
- The publication of a joint Policy Management Report written by MDP, T&D and the ECDPM, with inputs from Ecopop.
 - The publication reflected the outcomes of the Mombasa workshop and was officially launched during the Africities Summit.
- The highlighting of the Mombasa workshop on www.capacity.org, a web site and a newsletter dedicated to capacity development in international cooperation, and an ‘on-line’ discussion forum on Joint Action between Local Government and Civil Society (with a synthesis report distributed during the Africities Summit.)

Capacities mobilised

- As two years is hardly long enough to test the sustainability of a new way of working nor to identify sustainable capacity outcomes, only very provisional results can be recorded.
- Experiences have shown that partnership, once established, provided a framework to systematically mobilise Southern capacities to participate in policy dialogue and contribute to policy formulation in international cooperation.
 - For example, the transfer of experiences - gathered during the Mombasa workshop with stakeholders from the eastern and southern African region - to the major regional policy event on local government, the Africities 2000 Summit, was ‘strategised’ and realised through this structured institutional cooperation mechanism.
- In this way, it provided opportunities for mobilising and bringing to bear the respective capacities and viewpoints of the Southern partners, allowing them to get involved in the policy dialogue and formulation process.
 - The ECDPM benefited by gaining access to an extensive pool of local expertise from which it has been able to learn, testing assumptions and ideas.
 - Based on this synergy, it allowed the Centre and its partners, MDP-ESA and ENDA Ecopop, to enhance the quality and character of its products and to communicate viewpoints, experiences and analysis back to Northern and Southern policy-makers.
 - Crucially, a shared vision and a common agenda guided the whole process.

Towards ‘genuine’ partnership

- Partnership has created a framework for mutual learning, influence and trust, creating conditions for longer-term cooperation.
 - Aside from facilitating the mobilisation of existing institutional and individual capacities, partnership has influenced decision-making and priority-setting on both sides.
 - More generally, it has contributed to a re-thinking of development cooperation modalities by providing an opportunity to test out approaches for more balanced relationships between the North and the South.
 - Can these ‘process’ dimensions be verified?
 - For now, at this early stage in the relationship, we can offer a number of ‘process’ indicators of success:
 - the successful negotiation of partnership agreements, reflected in MOUs and work plans, and reflecting a common interest;
 - the implementation of activities defined in work plans, leading to concrete results;
 - an ‘equitable’ contribution of financial resources;
 - an ‘equitable’ division of tasks and a shared responsibility for results;

- the development of flexible management procedures to guide the partnership, respectful of the needs of both sides;
- the building of confidence and trust among partners, and recognition of respective comparative advantages;
- a clear expression of mutual interest in continuing the partnership relationship.

Lessons of experience

- The case study suggests that there is potential in working through partnership and that a number of lessons of experience can be drawn.
 - But the Centre also recognises the long time that is required to develop partnerships. In this regard, the lessons presented here are only preliminary.
- As we have already stated, there is no blueprint approach to partnership.
 - Lessons can only provide an indicative guide to how to approach, manage and proceed with such endeavours.
 - The lessons also make clear that ‘real’ partnerships between organisations in the North and South, often characterised as they are by imbalances in power and resources, are very difficult to achieve and incur high opportunity costs on all sides.
 - This should be a particular consideration for the Southern partner, having normally a much weaker resource base, although it may be of equal concern to Northern institutions which depend on short-term project funding.
 - More generally, the lessons imply that a considerable organisational effort is required if the principles of ‘genuine’ partnership are to be respected.
- The lessons presented in Box 3 are arranged in three clusters.
 - The first cluster reviews issues that need to be considered when initiating partnerships.
 - The second relates to the power relations and organisational considerations which have to be taken into account during the start-up phase and during implementation.
 - The third provides lessons learned relating to the management of the partnership process.

Box 3: Lessons of experience

Getting the process started

Concepts, content & capacities. A partnership is most effective between organisations sharing a sufficiently strong value base and having similar conceptual orientations. Respective interests do not have to be identical, but should be sufficiently close as a base for identifying common interests and facilitating mutual cooperation.

The comparative strengths each partner can bring into the process should be recognised and clarified.

Subsequently formulated programmes of work should reflect these and divide responsibilities between the partners. As a general rule, the principle of ‘not forcing an organisation into partnership work for the sake of partnership’ should be applied.

Incentives for partnering. Partnerships between organisations are normally not entered into for idealistic reasons. Enlightened self-interest should be the starting point for discussion, which implies that respective motivations and self-interest for partnership need to be recognised and taken account of from the outset. The decision to go for partnership should be part and parcel of an organisation’s strategic plan and should not be driven by the motivations of individuals. Partnerships working with hidden agendas are bound to be short-lived.

Formalising partnerships. The negotiation of partnerships should lead to the formulation of agreements, such as letters of intent or memoranda of understanding with attached work plans and budgets. But these agreements should not be too formal, since over-rigid formulations approximating to contracts will be counterproductive.

These memoranda of understanding can surely not be taken as the ultimate indicators of successful organisational relationships. But one has to acknowledge their use in terms of giving expression to an intense inter-organisational process of exchange, serving as a starting-point from which further action can be taken. Such agreements should state the basic reason for partnering, and clarify the partners' respective viewpoints and approaches.

Envisioning the future but starting small. A long-term outlook combined with a shared vision on where the partnership could lead to will be needed from the beginning. But to get the process rolling, it is advisable to start small and progress in a step-by-step manner. Concrete cooperation on very selected topics, or around a fairly specific work agenda, combined with a phasing of activities based on realistic time frames and work plans, has proven to be an effective way of building up joint track-records. Building partnerships should be regarded as a gradual process, requiring a pilot period at the beginning to verify the respective understanding of the partnership concept and to test commitment and capacity on both sides.

Time. Working through a genuine partnership arrangement is more complex and time-consuming than engaging directly with a contracted partner for the execution of specific tasks. Time needs to be reserved for a proper initiation process during which informal individual contacts or ad-hoc collaborations can be nurtured into an organisation-wide partnership, built on trust and common interest. During the process, a relative high level of contact time is needed to keep the process alive. This time dimension is frequently a problem for those partners who are required to stick to rigid planning cycles, reporting procedures or monitoring criteria.

Power and responsibilities

Funding and power relations . In the context of North-South partnerships, the inequality in the distribution of resources has to be recognised and dealt with. Genuine partnerships can only be realised if both partners are able to bring resources to the process, or are able to influence the partnership process through other mechanisms. In the absence of opportunities for funding the process on an equitable basis, alternative ways of establishing mutuality and reciprocity are required. So-called 'power shifts' in favour of Southern organisations in order to keep relations more balanced, e.g. the control and management of budgets, should be considered as a viable option. Alternatively, attention should be given to mechanisms for joint fund-raising in which the Southern partner plays a leading role. Equally important, however, is a more flexible application of financial reporting and accountability procedures, which very often govern a relationship in favour of the North.

Responsibilities and leadership . A 'junior-partner' relationship in which the Southern organisation follows its Northern counterpart is no basis for partnering. Both organisations should be equally involved in the process, based on a division of tasks and responsibilities. In terms of empowering the weaker partner, the equity principle must be given concrete expression, in particular through the ability to control resources. As a consequence, leadership and task management of specific activities must be agreed upon. Sensitivity to organisational cultures and management styles is essential as a basis for making concessions and respecting organisational differences.

Organisational structures and hierarchies . Before a partnership is established, a careful analysis should be made of hierarchies, procedures and management systems of the respective organisations, as a basis for designing a system of programme management that is acceptable to all sides. Both sides should be responsible for performing this self-assessment, as well as analysing their counterpart. Special attention should be given to this aspect in situations in which organisational structures are not transparent – this might be the case with young organisations, or organisations trying to experiment with new forms of organisational structuring.

Build relations with organisations and not individuals. The process of establishing partnerships between organisations tend to lean on the motivation and initiative of individuals. Careful attention should be given to building individual contacts into organisation-wide support and to ensuring that individuals and their particular involvement in a partnership can be replaced by other staff. Thus, the respective organisations should be seen as the basis on which to build relations. This organisation-to-organisation approach, however, should not lead to an overload of work or an additional strain on resources. A careful balance needs to be sought in this regard.

Internals and tension. Partnership arrangements can have an impact on the organisational dynamics of the respective partners and may evolve into major change processes. The greater the intensity of the partnership,

the more likely one partner is to become confronted with or involved in the other partner's internal affairs. Potential internal tensions, conflicts and power struggles within the partner's organisation need to be recognised and taken account of in managing the partnership.

Managing the process

Physical distance and communication. Physical distance between partners is in itself no reason for the success or failure of effective partnering provided that means of communication are found to compensate for the non-availability of personal interaction. If applied properly, new information technology can function as an asset in this regard. It is important that the partners should share a common understanding of effective ways of working, as well as an acceptance of each other's working culture, in particular towards the use of modern information tools for effective communication and information exchange.

Manage the partnership process carefully from both sides. Account should be taken of interpersonal relationships, individual attitudes and potential cultural differences. Do not underestimate small set-backs or misunderstandings caused by whatever reason – these can easily result in suspicion and mistrust and can break the process. Even considerable time inputs and other up-front investments cannot prevent such problems from occurring.

Matching rhetoric and deeds. The partnership concept and terminology is bound to create considerable expectations. 'Doing what has been agreed' is important and is valued as the guiding principle on which to build trust. Consequently, there should not be a long time span between discussing and formalising concepts, and the subsequent realisation of activities. Outputs and outcomes need to be shown after a reasonable period, as the credibility of the approach will otherwise be called into question.

Creating transparency and openness. Partnerships advance best with a continuous flow and sharing of information between the partners without holding back essential facts and figures. This will provide a sound base for reporting on tangible and non-tangible results to the upper levels. In addition, transparency on what has been undertaken and realised should be shared with clients and stakeholders in order to facilitate their feedback on the utility of products and services. Only through this downward accountability can the usefulness of the partnership be judged and decisions be taken on its continuation.

Sharing profits and failures equitably. In order to maintain the partnership process, the respective sides should share profits attributed to the partnerships, but should also take shared responsibility for failures. A potential imbalance in power between the partners should not be misused to shift either a negative result to the weaker side, or to pass on honours to the stronger partner. The setting up and administering of a joint monitoring and evaluation system, with agreed indicators and time frames, might be helpful in this regard.

Part 3: Making the case for 'genuine' partnership

- This discussion paper has highlighted some of the conceptual and practical concerns of implementing partnership in international cooperation.
 - Part 1 reviewed issues emerging from the current debate on partnership, which suggest that behind the rhetoric, there remain fundamental challenges for implementing the approach.
 - Yet the discussion shows that efforts are being made by many different kinds of organisations to live up to the principles of 'genuine' partnership.
 - The case study presented in Part 2 takes up some of the key issues in the debate from a practical 'lived' perspective.
 - From the particular policy and organisational context of the ECDPM, the case illustrates how the Centre has sought to grapple with the inherent challenges of working in partnership.

- The case confirms the reality of many of these documented challenges, but also indicates that some of these can be overcome.
- The lessons learned focus on the ‘how’ of nurturing and managing a genuine partnership relationship – the so-called ‘software’ dimensions – but also reflect on the need to be absolutely clear at the outset on the motives for partnership.
- To round off this discussion paper, we would like to return to what we perceive to be one of the more fundamental issues with regard to partnership, that is, the relationship between partnership and capacity development.
 - The implications of this relationship are addressed from two perspectives.
 - First, from the perspective of organisations which seek to enter into partnership, and
 - second, from the perspective of the wider aid industry which sets the terms and conditions for international development cooperation more generally.
- We hope that these reflections will encourage policy-makers and practitioners to think about the terminology, concept and practice of partnership and the implications for development organisations of adopting the partnership approach.

Partnership and capacity development

‘Capacity-building ... is about changing the relationship between the donor and the recipient ... It means that donors are less benefactors and more like strategic partners in development’. (The Irish minister for overseas development assistance, quoted in IAAC 1999)

- Partnership as a mode of development cooperation has gained popularity at a time when the concept of capacity development has been increasingly embraced by development agencies as a strategic priority even if not as a principal development goal of technical cooperation.
 - The link between partnership and capacity development is no accident.
 - The concept of capacity development has to a large extent emerged from the critique of the failure of technical cooperation over the past forty years in fostering sustainable development.
 - An essential part of the critique points an accusing figure at the relationship between providers and recipients of development assistance and at the approaches used, most notably at supply-driven, expert-led, short-term and project-based technical cooperation.
 - It is argued that these have combined to create dependency on external resources, have failed to be responsive to locally-driven agendas and have been unable to promote and sustain local capacities.
- Yet if capacity development as an approach to development, privileging notions of participation, ownership, demand-driven agendas, and the process approach has come of age, its practice has been beset by difficulties in terms of identifying appropriate mechanisms, methodologies, tools and instruments.
 - More fundamentally, there is concern that Northern agencies are unwilling to accept the full implications of adopting a capacity development approach and to make the necessary reforms within the aid system in order to facilitate its implementation.
- Capacity-building cannot be easily achieved through classic modes of technical cooperation.
 - It challenges Northern agencies to reform the way they do business, and in this regard, partnership emerges as an alternative framework.

- Accordingly, it may be argued that partnership and capacity development are inextricably intertwined.
 - The debate on partnership needs to be seen in this light.
 - It has been heralded as a new way of engaging in development between the North and the South, and as an approach which supports the renewed focus of the development community on capacity development.
 - ‘Genuine’ partnership as discussed in this paper builds on the recognition that development efforts have failed in the past, being too much driven from the North and not recognising the needs of the South.
 - It provides a potentially valid response to the critique of technical cooperation, offering a ‘relational framework’ for North-South organisational cooperation that can facilitate capacity development.
 - The idea of ‘joining’ in order to create common understanding, realise synergies and profit from respective comparative advantages has gained ground, and is reflected in many policy and strategy statements emanating from development organisations.
- Yet we have learned from this paper that the implementation of ‘genuine’ partnership is more probably the exception than the rule.
- Practice shows that partnership is applied in many cases without adequate reflection.
 - So what does this mean for organisations seeking to enter into future engagements along the partnership principle?
 - What are the critical questions policy-makers and practitioners need to ask?

Implications for organisational partners

- Without doubt, building and sustaining partnerships between organisations in the North and the South is complex and challenging.
- It can require organisations to critically review their development priorities and modes of operation.
 - As a guiding principle, policy-makers and practitioners should not force their organisation into partnership for the sake of partnership, unless the implications of doing so are fully taken on board.
 - Otherwise, as Fowler (2000)¹³³ suggests, it is likely that the partnership principle will become the stick that will be used to beat them for their apparent failure to deliver development outcomes.
 - Fundamentally, it seems that any organisation thinking about partnership must ask itself two questions:

Why get involved in partnership?

- What are the strategic objectives of the organisation, and in this regard, what kinds of relationship are most suited to meeting these objectives?
- Here in particular, an organisation must consider the extent to which capacity development is part of its mandate.

¹³³ Fowler, A. 2000. Partnerships: negotiating relationships, a resource for non-governmental development organisations. (OPS, 32). Oxford: Intrac. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpn/pubs/dp20_gb.htm#par3

- Does partnership provide the most appropriate conceptual and operational framework for realising its capacity development mandate?
- This requires a reflection on the inner meaning of partnership and capacity development, an assessment of one's mission and strategy and a willingness to take account of wider trends in development thinking and praxis, as discussed above.
 - From the outset, the organisation's position on this point needs to be clearly articulated.
 - As remarked by Mohaddin (1998)¹³⁴, the onus is especially on the South, as the historically weaker partner, to negotiate its terms and to be explicit as to what it expects from the relationship so as to prevent the partnership from being supply-driven.
- As we have already noted, 'genuine' partnership as defined in the introduction to this paper represents one of several types of inter-organisational relationship.
 - It is the most involved, intense, and binding relationship, and carries many organisational consequences for the partners involved.
 - As one author remarked, partnership challenges normal patterns of behaviour, and therefore calls for an extra special effort.
 - As another commentator questions, given its inherent complexities, why get involved?
 - And what special added value does it bring to justify the necessary investment in the relationship?
 - Contributing to capacity development may be the answer.
- Reflecting on this question is especially pertinent at a time of widespread institutional innovation and rapid change in the development sector, within which different development actors from the North and South, and from the public, private and non-profit sectors are seeking new ways of working together.
 - Partnership may be the appropriate mechanism, under the correct circumstances, but it may equally not be.
 - Many commentators have argued in favour of less binding functional relations based on the principle that form should follow function, and not the other way around.
 - In this regard, adaptability, flexibility and innovation are considered the order of the day where a whole spectrum of options is available.

Is partnership feasible?

- Beyond subscribing to the partnership concept, the ultimate test is whether it can be implemented and sustained.
 - Any organisation thinking about partnership has to take account of the full implications of engaging in partnership.
 - It is not a casual relationship, but an intensive and long-term process.
 - As has been pointed out in the 'Partnering with Civil society' on-line forum, '*.. partnership is not a kind of task or work that can be accomplished once for ever. It is a long dynamic process of cultivation and evolution*'.

¹³⁴ Mohiddin, A. 1998. Partnership: a new buzz-word or realistic relationship? *Development*, 41(4): 5-12. Cited in Hauck, V. and T. Land. 2000. *Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing 'Genuine' Partnerships in North-South Cooperation*. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

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- The associated costs of investing in partnership are thus only recovered over time in terms of sustainability and mutual success.
- The key meanwhile is to recognise that partnership is what is to be aimed for rather than something that one can expect to have in place from the start. In this sense, building partnerships is a process, and engagement in that process is critical to the success of the relationship.
- As noted in the forum discussions, the starting point should be to build a common vision providing a framework for embarking on the process.
- This means that a careful and honest assessment of the capacities, strategic fit and characteristics of the wider enabling environment (i.e. aid system) is required to see if the organisation can live up to the challenges and dilemmas posed by partnership.
 - Can, in particular, the demanding principles which characterise genuine partnership really be adhered to?
 - Moreover, is the organisation willing to challenge structural as well as behavioural factors, which are present both in the organisation and in the wider aid system, and which may influence the achievement of equitable relationships?
- Organisations must especially reflect on the extent to which partnership can achieve mutuality and equality.
 - What deliberate action are Northern partners willing to take to address structural inequalities?
 - In particular, careful consideration needs to be given to the question of transferring the management of financial resources as a mechanism for bringing about a so-called ‘power shift’ in favour of the South.
 - In addition, as suggested by Yonekura (2000)¹³⁵, a key test of partnership, where power is asymmetric, is the willingness and ability of power holders to accept constraints on their choices and behaviours, so as to achieve a relational balance.
 - This is evidently a sensitive issue and has to be handled carefully, but in terms of letting rhetoric and practice meet, there is no way around addressing this topic.
- Finally, stress has to be put on developing mutual trust based on transparency as well as respect for respective values and cultural norms.
 - This has to be carefully nurtured and requires both time and patience.
 - Trust-building places pressure on scarce human and financial resources, but also calls for a good deal of ‘software’, i.e. considerable abilities to create a framework for open and honest dialogue, as well as abilities to put oneself into another’s position.
 - Regular dialogue to facilitate communication, particularly with regard to ensuring that there is a common understanding of what the partnership seeks to achieve and how it will be achieved, is also emphasised.
 - In this way, partnership can develop into a mutual capacity development exercise. It implies a change of roles on both sides, with Northern partners performing the role of an enabler and facilitator, and the Southern partner moving away from being a recipient to a full-scale partner in the process.

¹³⁵ Yonekura, Y. 2000: Partnership for whom? IDS Bulletin, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM: http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

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- An organisational self-assessment (see Box 4 below) addressing the above questions may be a useful tool for helping an organisation to consider the partnership option.
 - We believe that such a self-assessment can help to close the gap between rhetoric and practice and also to avoid the careless application of the partnership principle and terminology.

Implications for the wider aid industry

- What do the partnership experiences emerging from the organisational level signal for the wider aid industry?
 - Perhaps a key conclusion is that the aid industry has to reform itself in ways that enable development organisations to address capacity development through partnership.
 - Implementing partnership challenges the industry to reflect meaningfully on the extent to which it is both willing and able to make the necessary changes.
- In terms of rhetoric, the vision and ambitions are in place, as is reflected for example by the DAC (1996)¹³⁶, the United Nation’s Development Assistance Framework (UNDAF) and more recently by the World Bank’s Comprehensive Development Framework (CDF).
 - But the proof is in the pudding: only the true application and practical testing of these principles can demonstrate the extent to which the donor community can live up to the expectations it has set.
 - What emerges from experiences so far is that further investments are needed to reform the structures, rules, procedures and mindset guiding the management of aid relations.
- As indicated in the discussion above, this calls for a critical rethinking of existing approaches and procedures and a review of the skills and capacities needed.
 - At the policy level, resource allocations and funding strategies have to be reconsidered; the need for allowing institutional processes to develop should be respected; and the need to generate intangible results alongside hard, measurable products, should be recognised.
 - This raises the question of how one should define results, outputs and outcomes.
 - It raises the question as to whether the quality of processes engaged in, and the capacities generated through those processes are legitimate measures of performance and impact for an aid agency.
- The experiences of the ECDPM in this regard are subscribed to by outside commentators such as Pettit (2000)¹³⁷, who stated that ‘most conventional project, funding and evaluation systems will need to be radically changed to accommodate the process-oriented demands of local organisational development....the aid system must be transformed from a top-down chain to a more adaptable and mutually accountable system of relationships among key actors.’

Box 5: Checklist for assessing capacity for partnership¹³⁸

¹³⁶ Development Assistance Committee. 1996 Shaping the 21st century: the contribution of development cooperation. Paris: OECD. Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹³⁷ Pettit, J. 2000. Strengthening local organisation: where the rubber hits the road. IDS Bulletin, 31(3). Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing ‘Genuine’ Partnerships in North-South Cooperation. (European Centre for Development Policy Management (ECDPM) Discussion Paper 20). Maastricht: ECDPM. http://www.oneworld.org/ecdpmpubs/dp20_gb.htm#par3

¹³⁸ The reader may also wish to consult a practical tool written for donors in making a ‘self-assessment’ of their progress in implementing partnership and capacity development principles. See: [Criteria for donor agencies’ self-assessment in capacity development](#). DAC/ OECD report. Feb. 1999. DCD/ DAC (99) 4. . Cited in Hauck, V. and T. Land. 2000. Beyond the Partnership Rhetoric: Reviewing Experiences

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An assessment of an organisation's capacity to engage in partnership might include the following kinds of question (which are applicable to both partners unless otherwise indicated). This assessment might be something that potential partners do separately before engaging in a relationship or it could be done as a joint exercise as part and parcel of building a relationship.

Aims and strategy :

- Are the notions of partnership and capacity development reflected in the organisation's core values and mandate?
- How does working through structured partnerships respond to the organisation's strategic objectives?
- What other forms of partnership, such as collaboration on an ad-hoc basis, networking and contracting, can address the organisation's needs?
- Are there any potential clashes between partnership and other operational modalities within the organisation, and can these be adequately reconciled?
- Is the organisation willing to open itself to influence (e.g. priority-setting) by a partner organisation?
- Is the organisation prepared to both defend and promote the partnership approach vis-à-vis funding agencies or other external stakeholders, and is the organisation's internal governance structure fully supportive, and aware of the implications?

Systems and procedures :

- Are planning, budgeting and reporting tools sufficiently flexible to accommodate the uncertainties and related characteristics of partnership?
- Is the organisation willing and able to take a long-term perspective on partnership development, and on the realisation of results?
- Under what conditions and to what extent is the organisation prepared to adapt implementation plans and priorities to the needs or preferences of the partner (i.e. taking the driver's seat versus a place in the waiting room)?
- Is the organisation willing to engage in a process of joint monitoring and evaluation, based on jointly conceived indicators?
- Does the organisation recognise and accept the validity of process indicators as legitimate measures of performance? Can it withstand external pressures to generate short-term results, and high disbursement rates?
- Is the organisation prepared to be transparent and to account openly for decision-making and budgeting to the partner?

Financial resources

- To what extent can the organisation make long-term financial commitments to the partnership?
- Is the organisation willing and able to finance the up-front costs of investing in partnership, in particular time and travel?

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- Is the organisation willing to invest in the partner's overhead (i.e. institutional) costs and, if so, under what conditions? (Question for Northern partner)
- Is the organisation willing to jointly fund-raise with the partner?
- Is the organisation willing and able to entrust financial resources and to delegate certain financial management responsibilities to the partner as a mechanism to 'level the playing field'? (Question for Northern partner)

Human Resources

- Have provisions been made to train and sensitise staff to the cultural dimensions of partnering and in the skills of negotiation, confidence-building, facilitation and joint working?
- Do reward systems and performance assessments adequately acknowledge process-related factors and skills associated with developing institutional relationships?
- Is adequate time made available to staff to invest in partnership development?

- Equally, the operational level should be placed under scrutiny.
 - The entire 'software' of doing business, and initiating and implementing development programmes, needs careful consideration.
 - Building joint projects requires a high level of 'cooperativity' – skills, attitudes and organisational culture – among the participants, and a willingness to learn, to compromise, and to see and understand the views and concerns of others.
 - Moreover, adequate attention should be given to the webs of relationships which exist and which have to be taken into account in order to perform effectively.

Concluding comments

- Taking seriously the notion of working through partnerships and acknowledging that development work is undertaken with 'partners' rather than 'clients' has implications for the way in which development initiatives in the South are assisted and supported from the North.
 - The kinds of changes implied by the above present a major challenge to the aid industry.
 - In terms of capacity development and partnership, the industry needs to send out the right signals to facilitate effective reform at the organisational level in order to be receptive to the needs as expressed by the South.
 - The call is for development agencies to be willing to listen, to be able to reform themselves as necessary and to be in a position to function as strategic partners in their relationship with Southern counterparts.
- The final word goes to policy-makers and practitioners from the North and South who have to draw their own conclusions from the messages presented in this paper.
 - Engaging in genuine partnership is capable of facilitating the establishment of new roles and relationships between the North and the South, as the case study and the literature review have suggested.
 - But there are serious hurdles to be overcome before such relationships can work.
 - Moreover, policy recommendations should not be applied blindly.

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- A pragmatic approach needs to be followed that is open to experimentation and innovation on both sides.
- Engaging in partnership must be recognised as an ongoing process which calls on the North to adopt the role of an enabler and facilitator and the South to move away from being a recipient to taking up a position in the driver's seat.
- Only the practising of partnerships can show us the way forward.
- The proof is in the pudding.

7.2. Restorative Justice The Public Submissions-1998¹³⁹

Co-ordination and Delivery of Programmes

Co-ordination

The use of government agencies to co-ordinate restorative services was supported in nine submissions. The reasons for this preference were seldom stated although two submissions mentioned a monitoring role for the state. The New Zealand Police, Department for Courts, Department of Corrections and Ministry of Justice were variously suggested as appropriate agencies. Eight submissions supported the co-ordination role being undertaken by community organisations while there was also a proposal for a joint government/community approach.

The establishment of a new government service, accountable to a community-based board, which would be responsible for the initiation and implementation of a restorative process was suggested in one submission.

We do not believe the task should be given to any current government service as fresh energy, innovative thinking and new ideas are paramount if it is to be successful. The old ways are simply not adequate. (Restorative Justice Network, 72)

Delivery

Twenty seven submissions supported the delivery of programmes by community organisations while 15 thought they should be delivered by government agencies.

Resourcing was clearly an issue:

Government agencies currently control the delivery of services within the criminal justice system. We believe to ensure the successful resourcing and development of restorative justice programmes requires provisions of such programmes by government agencies. (Dunedin Community Law Centre, 5)

Mediation services would desirably co-ordinate and deliver mediation services. But it will be necessary for the Crown to assist in the establishment of Community Group Conferences and to pay for them...(Movement for Alternatives to Prison, 20)

It should not matter who is responsible for delivering mediated services as long as ...the mediators have the necessary resources. (Christchurch Community Law Centre, 63)

A further submission suggested that the "best provider of the service" should be used, so that a government agency might have the overall responsibility for service provision, but could contract out to different service deliverers in the community. This idea of contracting out the service delivery to community organisations and other private providers as agents was the favoured option in three other submissions.

¹³⁹ Ministry of Justice – New Zealand - Restorative Justice The Public Submissions First published in June 1998, © Crown Copyright http://www.justice.govt.nz/pubs/reports/1998/restorative_justice/ex_summary.html

Further support was expressed for the restorative process to be delivered at the local level:

It is important that if better justice is to be achieved by all participants the processes must operate at the level of the participants. For too long criminal justice processes have been placed beyond the culture and the means of those most affected by it. (NZ National Catholic Commission for Justice and Peace, 84)

Some took the view that the important issue was not whether delivery was by community organisations or by government agencies, but rather that whoever provided the restorative programmes should be adequately resourced and have the necessary support and expertise, with the mediators being accredited in some way. As such, community-government partnerships would be possible. Other submissions made reference to the provision of mediation services by "professional persons" (who could be working within the criminal justice system, such as community corrections), "trained" facilitators, "experienced and well-trained people" and "skilled professionals", "skilled facilitators/co-ordinators" or "experienced practitioners having some recognised prior training".

Some submissions, while not voicing support for either community groups or government agencies to provide the restorative programmes, expressed concerns over the use of particular persons or groups in the delivery process. For example, one submission cautioned against the use of persons "currently trained and attuned to the correction processes" in any restorative service "without considerable debriefing and retraining". Another identified the potential conflict associated with probation officers' involvement given their offender focus.

7.3. Restorative Justice - 1996¹⁴⁰

Parallel or Integrated Restorative Programmes

Is it preferable that restorative justice programmes:

- Are community development initiatives which operate outside of the formal criminal justice system with no formal or structural links between the two?
- Are integrated with the criminal justice system, seeking to inform criminal processes and timed to coincide with those processes?

Framework for the Development of Restorative Justice Programmes

At the broadest level, programmes can develop in two directions. Parallel programmes operate outside of the formal criminal justice system while integrated restorative programmes are intimately connected to formal criminal justice processes.

Parallel Programmes

These restorative programmes operate outside of the criminal justice system and there are no formal or structural links between the two. As a result, such programmes focus on community interests, and in particular the needs of those involved in the mediation. They are not concerned with the interests of the criminal justice system and do not seek to influence sentencing in individual cases, although they may be informed by criminal proceedings. Examples of parallel programmes are found in:

- Community mediation initiatives;
- Education projects in schools and communities teaching rational problem-solving or mediation; and
- Victim-offender mediation programmes.

¹⁴⁰ New Zealand, Ministry of Justice, Restorative Justice, A Discussion Paper, 1996
<http://www.justice.govt.nz/pubs/reports/1996/restorative/index.html>

Research Framework for a Review of Community Justice in Yukon
Community Justice – Relationships/Partnerships

The objectives of these programmes include the enhancement of the community's ability to respond to conflict or crime, meeting the needs of victims and offenders, or promoting reconciliation and healing for those associated with an offence. Programmes may include general mediation, dispute resolution or other services, and the identity of the disputants as victim and offender may have less significance to the programme than their identities as citizen, parishioner, or client.

Mediators involved in parallel processes consider the victim and offender their clients. Victim-offender mediation initiatives of this nature operate once a need for intervention becomes known to the programme and they are not bound by the time requirements of the criminal justice system.

While some referrals to these victim-offender mediation programmes come from victim support agencies or church organisations, others come through participants in the criminal justice system: police, judges, lawyers, probation officers and other corrections staff. Thus, despite their independent nature, programmes may have informal linkages with the criminal justice system. The criminal justice system may also influence the content of mediations, leading to new issues to resolve between the parties. It may also affect possible outcomes, for instance as a result of the offender's imprisonment.

By remaining outside of the criminal justice system, these programmes remain free of the risk of agency capture, and the attendant risk that their objectives may be subverted to those of the criminal justice system.

They can be developed at the grass-roots level according to local needs and with meeting community interests as the priority. By taking the responsibility for dealing with the offender informally in the community, such programmes may result in fewer offenders entering the formal criminal justice system.

This may occur if victims perceive that such programmes will provide an appropriate response to the offending behaviour without the need for them to lay formal complaints. Parallel programmes also retain maximum operating flexibility, since the timing of mediation is not dictated by the interests of the criminal justice system. This flexibility is particularly likely to serve the interests of the victim.

While parallel programmes may ultimately achieve the diversion of some cases from the criminal justice system, they cannot influence sentencing practice, particularly the use of imprisonment. There is also the possibility that offenders will be less willing to participate in these programmes if their case is also being processed through the criminal justice system. Where a process as part of a parallel programme precedes the disposition of the case in the formal justice system, offenders may perceive they will be punished twice for the same offence. Where it follows acquittal or conviction in the court system, offenders may view the matter as resolved. Disposition in the formal criminal justice system may also affect the degree to which agreements reached in external programmes can be honoured. For instance, an offender sentenced to imprisonment may be unable to complete an informal reparation agreement.

Restorative programmes of this nature may have difficulty in attracting government funding because they may not be sufficiently aligned to any specific state activity, and would probably need to rely on private sources such as charitable institutions for their funding.

Integrated Programmes

Integrated restorative programmes seek to inform and influence criminal justice processes and are timed to coincide with those processes. They may be community-based programmes or located in government agencies or a combination of both.

In many cases, participants in the criminal justice system, including the police, court and probation officials, are the referral source. As these agents pay for the mediation services and receive reports of the outcome, they are also the client of the programme. Many of the Victim-Offender Reconciliation Programmes in the United States and Canada, are predominantly integrated, taking most of their referrals from courts and probation services, though not all of their mediations are aimed at influencing court decisions. Youth justice family group conferences are entirely integrated programmes which may replace the court as the forum for deciding the case's outcome.

Research Framework for a Review of Community Justice in Yukon
Community Justice – Relationships/Partnerships

Integrated programmes are concerned with meeting the victim's and offender's needs within the context of the criminal justice system. Programmes often include general objectives such as reducing imprisonment and re-offending or changing the focus of the criminal justice system through the use of mediation. They seek to influence or provide an alternative to the court's sentencing decision or to use the criminal justice system to resource, monitor or enforce agreements reached through the restorative process.

Integration with the criminal justice system may assist programmes to gain access to cases and resources, provide an avenue to influence case dispositions, and present opportunities to ameliorate the effects of the criminal justice system on victims and offenders. On the other hand, the criminal justice system may gain information to better inform its operations and an assurance that issues between the parties to the offence have been, or can be resolved.

Programmes operating within the criminal justice system must be cognisant of the rights of individuals and not subvert due process. They operate within established ethical and legal systems which afford a variety of protections to participants. On the other hand, they may have to regulate their operations and the outcomes of mediations to suit the objectives, principles and resources of the criminal justice system. This may limit their ability to facilitate creative and individual outcomes.