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**NON-GOVERNMENTAL ORGANIZATIONS AS PARTNERING AGENCIES:
A CASE STUDY OF THE RELATIONSHIP BETWEEN CANADIAN
NGOS WITH CIDA AND KENYAN LOCAL GROUPS**

by

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a thesis submitted to the Faculty of Graduate Studies and Research
in Partial Fulfilment of the Requirements for the degree of
Doctor of Philosophy

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ABSTRACT

This study explores the notion of partnership as an approach to long-term sustainable development in Africa, by examining relationships Canadian non-governmental organizations (NGOs) forge with their donors and with counterpart NGOs in developing countries. A case study methodology was used to examine how Canadian NGOs in general, and CARE Canada in particular, work in partnership with the Canadian International Development Agency (CIDA), and Kenyan local NGOs. The findings indicate that the development themes and agendas of the past three development decades are reflected in the activities and programs of Canadian NGOs. However, very little was learned about the contribution of partnership to African development. CARE Canada's partnership relations seem to be guided by the development priorities of funding agencies such as CIDA, which dictate how CARE relates to its Kenyan partners. Partnership seems only to facilitate an environment for dialogue between organizations, concerning needs, constraints and fiscal accountability. The study proposes that further research on the concept of development partnerships needs to be carried out in-depth to determine how this model can be used in building capacities of African organizations.

RESUME

Cette étude explore la notion de partenariat comme approche à un développement durable en Afrique. L'étude examine les relations que les organisations non-gouvernementales canadiennes (NGOs) entretiennent avec leurs donateurs et leur contrepartie dans les pays développés. L'analyse de cas fut utilisée afin d'examiner la façon avec laquelle les NGOs Canadiennes en général et CARE en particulier oeuvrent en partenariat avec l'Agence Canadienne de Développement International (ACDI) et les NGOs locales au Kenya. Les résultats révèlent que les thèmes de développement et les ordres du jour des trois dernières décennies sont reflétés dans les activités et les programmes des NGOs Canadiennes. Toutefois, on a appris très peu au sujet de la contribution du partenariat dans le développement en Afrique. Les relations de partenariat de CARE canadien semblent être guidées par les priorités de développement des agences subventionnaires telles que CIDA, qui dictent la façon avec laquelle CARE doit être relié à ses partenaires du Kenya. Le partenariat semble seulement faciliter un environnement qui encourage le dialogue entre les organisations au sujet des besoins, des contraintes et la responsabilité fiscale. L'étude propose que plus de recherches soient entreprises au sujet du concept de partenariat dans le développement international afin de déterminer comment ce modèle peut être utilisé pour bâtir les capacités des organisations africaines.

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List of Abbreviations

ADRA	-	Adventist Development and Relief Agency
AEP	-	Agroforestry Extension Project
AIM	-	Africa Inland Mission
AKF	-	Aga Khan Foundation
APEC	-	Asian Pacific Economic Conference
BHN	-	Basic Human Needs
CASID	-	Centre for Advanced Studies in International Development
CCIC	-	Canadian Council for International Co-operation
CCODP	-	Canadian Catholic Organization for Development and Peace
CHF	-	Canadian Hunger Foundation
CIDA	-	Canadian International Development Agency
CNGOs	-	Canadian Non-governmental Organizations
CODE	-	Canadian Organization for Development through Education
CPB	-	Canadian Partnership Branch
DAC	-	Donor Assisting Countries
DAE	-	Donors to African Education
DEC	-	Development Education Centre
ECLA	-	Economic Commission for Latin America
FAO	-	Food and Agriculture Organization
FPP	-	Foster Parents Plan
GAD	-	Gender and Development
GNP	-	Gross National Product
IBDR	-	International Bank for Reconstruction and Development
ICDS	-	Institutional Co-operation and Development Services
ICFID	-	Inter-Church Fund for International Development
ICRAF	-	International Centre for Research in Agriculture
IDRC	-	International Development Research Centre
IFI	-	International Financial Institutions
IMF	-	International Monetary Fund
INC	-	Industrial Cooperation Program
INGO	-	International Non-governmental Organizations
KFRI	-	Kenya Forest Research Institute
KNGOs	-	Kenyan Non-governmental Organizations
KNCSS	-	Kenya National Council of Social Services
LDCs	-	Less Developed Countries
MAF	-	Mission Administered Fund
MFC	-	Management for Change
NGOs	-	Non-governmental Organizations
NISDF	-	New Initiatives for Sustainable Development Fund
ODA	-	Official Development Assistance
OECD	-	Organization for Economic Cooperation and Development

PAC	-	Partnership Africa Canada
PPP	-	Public Participation Program
PVOs	-	Private Voluntary Organizations
SAP	-	South Asia Partnerships
SAP	-	Structural Adjustment Program
SPB	-	Special Programs Branch
UN	-	United Nations
UNDP	-	United Nations Development Programme
UNESCO	-	United Nations Education, Scientific and Cultural Organization
UNICEF	-	United Nations
USAID	-	United State Agency for International Development
WID	-	Women in Development
WIG	-	Women Income Generation
WUSC	-	World University Service of Canada
YIP	-	Youth Initiative Program

This Dissertation is dedicated to
Archbishop Theodhoros Nankyama
of
The Ugandan Orthodox Church

Whose conviction and dedication for the education of a girl child remains an exemplary
symbol of Africa's development.

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1.0 INTRODUCTION

1.1 Background

Development as a field of academic study is relatively new, having gained attention after World War II. Serious theoretical debates begun to emerge around the 1960s, a period which is now referred to as the "First Development Decade". Many of the debates centred around two main themes: 1) defining development, by coming to terms with causes and problems of underdevelopment which engulfed large populations in Third World countries; 2) determining the best agents to address these problems and bring about eradication of absolute poverty. These two themes set the stage of evolutionary thinking in development which continues to this day.

The First Development Decade, 1960s to 1970, upheld the concept of development in terms of economic growth. Development was seen as an end goal, its achievement measured in terms of physical infrastructure such as roads, power grids, irrigation works and industrial installation, accompanied with modern institutions, large capital infusions and transfer of technology from industrialized nations to newly independent agrarian countries. Development thus became synonymous with rapid economic prosperity and urban industrialization measured against the industrialized (or western) lifestyle models. Casual reference to non-economic social indicators, for example, "gains in literacy, schooling, health conditions and services, provision of housing" (Todaro, 1992, p.99), often supplemented the principal economic measures of development. Transfer of resources from developed countries to the Third World countries, through financing and technology delivery was necessary (Trainer, 1989), both to prompt modernization and to maintain it. Outside forces were felt to be

suitable channels of such transfers. These included international donors such as governments, multilateral bodies, in bilateral cooperation with national bureaucracies of Third World countries. To a limited degree, foreign private investors were also encouraged to get involved and bring about the desired growth.

After a decade of top-down development, and centralized decision-making, the "trickle down" concept - where benefits of economic growth would reach the rural masses in the form of jobs, consumer goods and other social amenities - did not materialize. What actually transpired was an elitist model of development, where capital intensive methods of production favoured the urban modern sector at the expense of the rural majority. Third World countries began to witness a proliferation of dual economies and societies. The rural population got poorer and was pushed into production of cash-crops and food products to sustain the needs of the modern sector, while the small percentage of the wealthy urban elite, got richer and consumed more.

The first shift in development thinking occurred when focus was put less on economic growth ends, and more on a multi-dimensional process involving social indicators and attitudinal changes of the poor. Meeting basic human needs, through "the reduction or elimination of poverty, inequality and unemployment within the context of a growing economy" (Todaro, 1992, p. 99) gained popularity. Emphasis was put on provision of education and training, food production and distribution, public health, rural development, shelter and energy.

Foreign governments, through donor agencies, national governments, and private investors, were still perceived as the best agents of bringing about desired development. The

Canadian government, for example, believed that the interests of developing countries were best served by using a variety of means to transfer resources, including program and project aid through international institutions, direct government-to-government relations, and through private agencies - including non-governmental organizations (NGOs) and educational institutions (Canada's Foreign Policy Review, 1970).

By the mid-1980s, it was becoming evident that traditional strategies of the past two decades were incapable of bringing about long-term sustainable development. Calls for "redefining" the meaning of development and identifying other processes of achieving it were heard from various development camps. Donor agencies, experiencing frustration as one strategy after another proved inadequate, devised what they perceived as corrective measures. Structural adjustment programs were initiated by such donor agencies as international financial institutions, multilateral agencies, such as UNDP and UNESCO, and bilateral governments. Third World countries were asked to adopt a number of reforms in their economic, political and social policies. The hardships escalated for the poor, and the rich began to feel the pressure of maintaining the status quo.

Development was no longer understood in terms of economic growth, or meeting basic human needs, but more in terms of "transformation" (Korten, 1990). Concepts such as interdependence, inclusiveness, people-centred development, civic society and voluntary action entered the literature on development.

Non-governmental organizations gained recognition, mostly by large donor and governmental agencies in industrialized countries, as well as among Third World governments. Bilateral donors like the Canadian International Development Agency (CIDA)

wooded NGOs as their partners in development, viewing them as effective and efficient means to deliver development assistance to those who are most in need of it (Brodhead and Herbert-Copley, 1988; Brodhead, 1987; Gorman, 1987).

The notion of "partnership" became a customary term, used to describe an innovative process in development assistance for the 1990s and beyond. The Canadian official document on international development assistance, highlighted partnership as the key concept for the future (see CIDA, 1987). Several sectors in the Canadian society were identified as potential partners including the Canadian non-governmental organizations (CNGOs):

If we have learned anything from four decades of development programs, it must include the lesson that governments alone can't cause development. It will take many partners - both in Canada and overseas - to make our efforts really work. That means getting more partners involved - from the business sector, the voluntary community, the world of education...and may be from other parts of our society that haven't been involved up to now.¹ (Catley-Carlson, 1988, p. 2)

The NGO community in Canada, like other NGO communities in countries belonging to the Organization for Economic Cooperation and Development (OECD), had intensified its commitment to development after the African drought of the late 1970s and the Ethiopian famine of 1984-85 (CCIC, 1988; OECD, 1987; Teigeler, 1986). Bilateral donors like CIDA began to view NGOs as effective channels to deliver the official development assistance (ODA) to the poor people in the Third World (Gorman, 1987; Brodhead and Herbert-Copley, 1988). As responsive bodies, NGOs were perceived to have special features which enabled them to act in sectors and with populations which official aid reached less well (OECD, 1981a; Fox, 1987; Twose, 1987; Brown and Korten, 1988).

However, the relationship between Canadian NGOs (CNGOs) and their counterparts in developing countries, especially Africa, calls for fundamental changes. The debate on a "genuine partnership" and its applications between CNGOs and their counterparts has gained momentum (CCIC, 1988; 1990; PAC, 1989). Also, voices from Africa are calling for a re-definition of the relationship between Northern and African NGOs, from a northern perspective (Kajese, 1987; Tandon, 1991), while others are demanding clarification of the role of NGOs both from the North and Africa (U.N. Special session on African NGOs, 1986; Mulyungi, 1990).

In sum, discussions on constructive, long term and sustainable development in Africa, as elsewhere in Third World countries, are focusing on partnership as the key foundation upon which relationships between various key players can be based. This requires a frame in which an all-encompassing approach to development can be exercised.

1.2 Purpose of the Research

The objective of this study is to explore the concept of partnership as a workable concept espoused by government agencies such as CIDA, and by Canadian non-governmental organizations operating in Kenya. More specifically, the study examines how partnership works between CIDA and CNGOs, and between these (NGOs) with their partners, the Kenyan local groups. In the course of examining partnership relations, the following questions are investigated:

1. What has been the historical nature of the CIDA-NGO relationship in the past 30 years of development thinking?

2. How is "partnership" understood by each partner?
3. What are the long-term commitments of Canadian NGOs to "partnership" with Kenyan non-governmental organizations?
4. In what significant ways has the CIDA-CNGO partnership affected or influenced the CNGO-KNGO relationship?

Canadian NGOs involved in development activities, and supported by CIDA, are the focus of this study. These activities are some of the most prominent domains of NGOs' involvement in Kenya and other African countries and thus, encompass work of various types of NGOs. The study focuses on three types of CNGOs whose goals include promoting long-term sustainable development programs: 1) religious organizations, denominational or non-denominational; 2) secular organizations and; 3) internationally affiliated organizations. Particular attention is given to the mechanisms involved and practices employed in the relationship between government and non-government organizations of various dimensions. Similarly, the study investigates processes of interaction used by individual CNGOs in identifying and dealing with partners in Kenya and the nature of development activities they are involved in.

1.3 The Significance of the Study

Many researchers have studied all types of organizations, their behavior and the environment they operate in. In terms of NGOs, outside of funding, very little research has been conducted to examine how organizations relate to one another, especially in the context

of development. Current rhetoric on partnership for development has emerged as the trend for the 1990s and beyond, yet hardly any research has established an agreed upon definition of partnership in a development conceptual framework.

Currently, non-governmental organizations are lauded as potential agents to foster partnerships and promote people-centred sustainable development in the new world order.² The contemporary policy in Canada is to increasingly use NGOs in especially difficult political areas. Therefore, there is a need to know the historical track record of NGOs in the domain of development, and their capacity to promote genuine partnerships for true development. The study offers an insight into the nature of NGOs through an understanding of their capacities including strengths and weaknesses, their commitments and contribution to long-term development.

The study is likely to be an information source for a large audience, especially policy makers - including international donor agencies, non-governmental organizations, development consortiums and private businesses - looking for joint ventures in the developing and democratizing countries. Finally, the study is helpful as a tool for further research in exploring the notion of partnerships in a constantly changing world.

1.4 Clarification of Terminologies

Various terms are used throughout this study which require clarification. The Third World refers to poor countries of Africa, Asia, and the Americas. Other words such as: developing, underdeveloped, less developed (LDCs), industrializing, low-income, and the South, are used interchangeably, since they are all synonymous terms describing the poor

countries of the world.³ In this study, these words will be used interchangeably, since they are all synonymous terms describing the poor countries of the world.

Similarly, various terms are used synonymously in reference to capitalist countries of Western Europe, North America, Australia, New Zealand and Japan. These include: First World, industrialized, Western, the North, developed and rich countries. The Second World includes countries belonging to the former communist states of Eastern Europe and the former Soviet Union.

Non-governmental organizations (NGOs) are those voluntary, non-profit agencies, which exist to serve the needs of persons who are not themselves members of the organization (Korten, 1991). These agencies pursue a social "mission" and are driven by a commitment to shared values. In this study, NGOs are these voluntary agencies whose primary activity is in the domain of "international development". Private Voluntary Organizations (PVO) is a synonymous terminology used in the United States referring to NGOs. *CNGOs* refers Canadian non-governmental Organizations, and *KNGOs* are the Kenyan non-governmental organizations.

Local groups refers to African community based associations or what Korten labels "people's organizations" (POs) - set up by members to help themselves. These groups will also be referred to as "grassroots organizations" or "indigenous groups". The "state" in an African context, refers to a bureaucratic central government, with top-down governance structures instituted at the achievement of independence.

Official Development Assistance (ODA) refers to foreign aid and technical assistance from industrialized to Third World countries. Private sector, refers to the for profit business

community. Institution, is a term used in the loose sense to mean an established organization, group or academic establishment. Multilateral agencies refers to UN organizations such: FAO, UNESCO, UNDP and others.

1.5 Limitations of the Study

The study has many limitations. The first is the study's theoretical background. The two key notions in this research, partnership and NGOs, fall in the "grey area" of literature. Both are not fields in the literature in their own right. An attempt to reconcile and give direction to the research has resulted in focusing on development theory primarily from the view of economics. When examining the relationship between industrialized and developing countries, one cannot overlook sociological aspects. No attempt has been made to cover a wide range of sociological explanations regarding development, for example, class structures and conflicts within societies. The scope and space of the study would not allow incorporation of all views.

The second relates to the applied research methodology. It was difficult to identify suitable NGOs for the study of partnership relations with Kenyan groups. The task of formulating a framework and determining the most manageable theoretical background has resulted in a less clean and not so well anchored, but descriptive research.

The study therefore, reviews fundamental evolutionary thinking in development theory largely from the economists' perspective tracing the changes in conceptions and assumptions of development in the first, second and third decades of development evolution of the 1960s, '70s and '80s. Subsequently, the study examines the notion of partnership, emerging with a working definition and a conceptual framework within which NGOs as partnering agencies can be analyzed.

2.0 EVOLUTION OF DEVELOPMENT THEORY AND PRACTICE

2.1 Introduction

Since the 1950s, the field of development has been dominated by analysts and policy makers from the discipline of economics, who view development in terms of stages of economic growth. The gross national product (GNP) has been considered by many conventional economists to be the most important indicator of development. In effect, economic theory asserts that the best strategy for development is to promote as much economic growth as possible, disregarding sharp inequalities which arise, because in the long run, such growth would generate much more national wealth which can be spread to the vast majority of the population (Trainer, 1989; Todaro, 1990). After a few years of promoting conventional development theory and practice, it became abundantly clear that the approach was extremely wasteful, inefficient and unjust, since for every extra crumb it provided to the needy, it delivers loaves to the already rich (Trainer, 1989).

Failure to achieve expected outcomes brought about a shift in thinking, and a number of scholars moved away from the earlier conventional views on development. Today a broadly-based interdisciplinary approach which combines technical, economic, political, education, and other social-cultural views, is rather central to development analyses. Instead of focusing solely on causes of underdevelopment, and defining development in narrow economic terms, contemporary debates aim at examining such issues as the injustice of the global economy, the relations between rich and poor countries, and after three decades of failure in development efforts, alternative approaches towards sustainable, long-term development.

This chapter examines the concept of development by tracing it through three decades, the 1960s, '70s and '80s - referred to as the first, second and third development decades (see Uphoff, 1993; Todaro, 1992; Smillie, 1991; Korten, 1991; Trainer, 1989; and Streeten, 1989). Table 1.1 (pp. 32-33) delineates the evolution in development thinking during these three decades. Secondly, the chapter establishes a definition frame from which the notion of partnership can be explored and analyzed as a development concept. Finally, it proposes a conceptual framework on the evolution of development strategies which facilitates a basis for analysing the activities and strategies of Canadian non-governmental organizations as partnering agencies towards African rural development.

2.2 The First Development Decade

2.2.1 Introduction

The term development can be traced to the events and experiences of the Marshall Plan of 1947⁴. This plan was in essence an economic recovery program designed to provide aid and restore the confidence of war-damaged Western Europe (Hartmann, 1968). Not only did the plan become a landmark in American foreign policy, it also established a reference point for other western countries in their attempt to assist newly independent nations of Africa, Asia and Latin America in their struggle to achieve economic potency.

Drawing heavily from the Marshall Plan, the Colombo plan of 1951 set out to address capital aid and technical assistance, which was to be provided by the developed countries to those in less developed regions of the world. Such provisions were to be channelled through multilateral bodies, but by the 1960s the Colombo plan became less multilateral and more of

a bilateral assistance mechanism through government-to-government arrangements. In essence, a developmental model which perceives foreign assistance along the "donor-recipient" dichotomy took root. The model has since been re-examined, criticized and dismissed as a pawn for implicit inequality, power imbalances, and dictatorship of the donor over recipient through tied Aid (Griffin, 1986; Trainer, 1989; Todaro, 1992). For a comprehensive review of the initial objectives and structure of the Colombo Plan, see Hass (1974).

Growing interest in development as a field of study grew out of a number of events: 1) widespread poverty throughout the developing world; 2) the complexities of the cold war; 3) the alarming reality of population explosion; 4) the emergence of new countries which were attaining independence and moving away from de-colonization (Streeten, 1979a; 1979b).

2.2.2 Defining Development

Conventional wisdom of the early 1960s perceived rapid development of the newly independent countries achievable through comprehensive economic planning (Lewis, et al., 1986). This strategy entailed mass production and restructuring interventions by governments. In effect, development was articulated as synonymous with modernization and especially westernization because "it was the west that modernized first and defined today's development terminology" (Sommers, 1977, p. 3). To be modern meant to become rapidly industrialized. Development theorists of that era, a majority of whom were economists, focused on economic growth measured in terms of Gross national product (GNP) (see Lewis, 1954; Ramis and Fei, 1964; Rostow, 1964). The process of development was seen as a series of sequential stages through which all countries must pass. Rostow (1964) delineated these

growth stages as evolving from the traditional society; preconditions for take off; take off; the drive to maturity; and the age of high mass-consumption.

Development was understood less as a process, and more in terms of achievement of certain goals. To develop, Third World countries had to increase their per capita output, increase their productivity and therefore income, acquire literacy, and have a range of occupational structures. To develop also meant to achieve goals such as infrastructure - power grids, roads, modern institutions and irrigation schemes. Such measures leaned towards servicing the urban sectors and catering to the "wants" of the elite, while ignoring the "needs" of the rural majority. Development theorists such as Lewis (1954), favoured the modern sector and suggested that it was this sector of the economy that would spearhead Third World Development.

Since industrialization and thus development was expected to occur through application of market forces, transfers of capital and sophisticated technology were promoted. It was assumed that such transfers would result in low-cost labour, increased incomes and demand for new goods which would enable substitution for imports while increasing exports (Todaro, 1981; Hellinger et al., 1989). However, there were concerns as to whether the new nations had the ability to increase their earnings from exports fast enough to keep pace with import requirements. To offset that deficiency, outside interventions were recommended. These consisted of a mixture of savings, foreign investments, trade, loans and foreign aid - to be supplied by industrialized countries.

2.2.3 Assumptions about Underdevelopment

The most common assumption about the causes of underdevelopment in the Third World was believed to be that of "lack". Third world countries were poor because they lacked the necessary ingredients for development. They did not have enough capital to invest; they lacked adequate skills and work ethics, such as motivation. There were other factors such as difficult geographical conditions, and governments which were usually corrupt. Primarily developing countries lagged behind industrialized nations because they "lacked modern western values and habits" (Trainer, 1989, p. 59). To address problems of underdevelopment, economists emerged with the "human capital theory" focusing upon the productive

capacity of the human manpower in the development process (Schultz, 1961). The human capital theory assumed that the most efficient path to development of any society, especially in developing nations, lied in the improvement of its population.

Another assumption was the belief that poverty in the Third World could be successfully addressed by outsiders - international donors, foreign private investors, multi-national corporations, technical experts and others. With external interventions, and corrective national governments' action, the fruits of economic growth were expected to trickle down to the poor. Creation of more and better jobs would enhance income for all (Sommers, 1977; Todaro, 1981; Trainer, 1989; and Todaro, 1992).

The expected economic growth for all did not take place as envisioned. Instead, a selected "political elite" gained from the process, creating a dual economy. Critics were quick to point out the limitations of defining development in narrow terms of economic growth.

Firstly, market forces were deemed to be inappropriate development since they allowed the relatively few to take most of the resources. Secondly, the wrong types of industries were being developed, mostly to provide crops and consumer goods for the small rich elite, or for export to rich countries.⁶

Development debates centred on failures of the conventional theories of growth; and the economic inequalities which ensued from such strategies. The argument was that the core problem was not lack of development, but the inappropriateness of development; not stagnation, but too much development of the wrong thing (Trainer, 1989; Todaro, 1992). Others argued that it was not lack of capital which kept people poor, however the problem was equal distribution of that capital. Emphasis shifted from growth to policies needed to eradicate poverty, provide more diversified employment opportunities and reduce inequalities (Streeten, 1979a; Lewis and Kallab, 1986; Trainer, 1989).

2.3 The Second Development Decade

2.3.1 *Introduction*

Beset with the failure and realities of the first development decade, the beginning of the 1970s witnessed a shift in development thinking. Still dominated by economists, policy making in the field now considered the concept in terms of growth and equity. Where the first decade of development emphasized rapid economic gains, while neglecting problems of poverty, unemployment and income distribution (Todaro, 1992), strategies of the second decade understood development as the creation of a new social division of labour, the quest for modern institutions, and the spread of attitudes deemed compatible with efficient

production. Reviewing errors in development thinking and policy of the first development decade, Streeten (1979a) pointed out that few problems are narrowly economic ones. The difficulties often lie more with human attitudes, social institutions, political power structure than (or as well as) with scarcities of productive inputs and their corrective allocation.

2.3.2 *Redefining Development*

Three significant theories emerged to address the issue of poverty. One was the international dependence school of thought, which grew out of the traditional school of dependency theory of the late 1940s initiated by the UN Economic Commission for Latin America (ECLA). The dependency theory viewed development in terms of domestic and international power relationships asserting that the economic relations between "center" and "periphery" tended to increase the gap between rich and poor countries (Bloomstrom and Hettne, 1984). Advocates of the dependency theory also saw proliferation of dual economies and societies in developing countries as a result of external and internal institutional constraints on economic development. These constraints led to gross inequalities in land ownership within developing countries, and imbalances in trade relationships between the rich and poor countries. Thus, emphasis in the international dependence school was placed on policies needed to eradicate poverty, to provide more diversified employment opportunities and to reduce income inequalities. Todaro (1992) writes:

Beyond the narrow economic criteria of the first development decade, development became to be conceived as a multi-dimensional process involving changes in structures, attitudes, institutions as well as the acceleration of economic growth, the reduction of inequality as well as the eradication of absolute poverty (p. 100).

The second profound theory to emerge was "modernization theory" which saw a direct casual link between education and factory employment with acquisition of modern values which included: modern institutions, behavior, society and economic development (Inkeles and Smith, 1974). Sociologists like Inkeles argued that to modernize is to develop, and that a society cannot hope to develop until the majority of its population holds modern values. Modernization theory has stimulated a large amount of research and is believed to have been a strong assumption underlying much development funding by governments, national and international foundations and organizations (Fagerlind and Saha, 1992).

The third significant theory was the "Marxist theory" of development, emphasizing the concept of conflict as being implicit in all theories of change and development. According to this theory society is polarized into two classes which are in conflict, the exploiting and the exploited, the bourgeoisie and the proletariat (see Nisbet, 1969). All these theories generated a great deal of debates, yet the reality of poverty and underdevelopment in Third World countries persisted.

Redistribution from growth became a common slogan as policy makers moved away from measuring development in terms of GNP indicators towards measuring levels of poverty, unemployment and inequalities (Seers, 1972). Other analysts noted underdevelopment as lying not in the international system, but in the rural areas of Third World continents - for example Africa. Hyden (1980) asserts that a modern mode of production, like the one in capitalist industrialized countries, had not managed to obliterate the peasant mode of production, regarded as a hinderance to development.

Redefining development, was taken up by other economists who saw development in terms of "meeting human basic needs". The basic human needs (BHN) theory focused on service delivery as a means of redistributing the benefits of economic growth, while preparing people for participation in the economic system (Streeten, 1979b; Ayres, 1983). As it tended to borrow from the conventional theory of growth, with the insertion of social programs, BHN theory has been dubbed as "an add on to classical growth-centred development" (Korten, 1990, p. 4); or more of the same, but at an accelerated pace (Bagicha, 1979).

The assumption was that markets proposed in the economic growth theory do indeed work. However, people in the Third World do not come to the market with adequate education, skills and physical strengths to attract employment on favourable terms (Ayres, 1983; Todaro, 1992). In order to assist the poor to make up their deficiency, proponents of BHN strategy called upon governments to transfer wealth from those who have benefited from growth to finance compensatory services for the poor (Smillie, 1991). At the same time, peoples' participation in the implementation of basic needs strategies tended to be discussed. Focus was on how to get people to participate as co-producers in implementing service delivery projects initiated and controlled from outside.

The concept of "populism" entered the development literature as focus shifted to meeting the needs of the rural majority. Needs were perceived to be both material and non-material. In the material sense, people required more and better food, safe water, health and sanitation, decent shelter, adequate transportation and education. Non-material needs included self-confidence and reliance, dignity, capacity to make and participate in the decisions that affect one's life and work (Streeten, 1979a). Bread and dignity symbolized the era of BHN

(Goulet, 1971). New strategies called once again for changes in: 1) income distribution; 2) structure of production, including distribution of foreign trade; 3) increase in basic goods bought in the market; 4) expansion and restructuring of public services, and 5) encouraging appropriate delivery systems of service (Streeten, 1979).

2.3.3 Response of the Developed Countries

In industrialized countries, most notably the United States, reports were commissioned by donor agencies to re-examine development strategies in light of the failures of the first decade of development. Despite aid efforts, income gaps between rich and poor societies widened while support for development aid waned within donor and recipient nations alike as donor agencies such as the World Bank and governments searched for alternative means to address development.

Up until this point, industrialized countries were still following recommendations from previously commissioned development reports. For example, the Pearson Report (Pearson, 1969) - commissioned by World Bank President, Robert McNamara, to study the consequences of 25 years of development assistance - had emerged with recommendations which centred on expansion of aid, trade and investment. The Peterson Report (1970) commissioned by President Richard Nixon of the U.S., recommended the creation of an aid infrastructure, including a U.S. International Development Bank, which would provide capital, technical assistance and loans to promote trade, investment and growth in the Third World.

As the new directions pointed to promoting and enhancing poor people's control over their own development, the international aid community responded to basic human needs through support for a sectorial approach focused on integrated rural development. The World Bank took on the role of lead agency in addressing poverty in the Third World by funding projects and programs assumed to benefit the poor (Hellinger et al. 1989; The World Bank Report, 1988). Programs and projects, which started and ended with the provision and termination of aid money, focused on human resource development as the cure for issues of health, nutrition, education, and population control. Also, the project and program approach dominated rural development as agriculture was given priority.

Emphasis was put on food production for domestic consumption as opposed to the earlier push for cash crops. Terminologies such as self-reliance, empowerment, dignity, participation, and community development, entered the lexicon of development during the epoch of BHN development strategies. Some analysts at the time pondered, with cynicism, terminologies such as self-reliance as growing out of the view that there was declining commitments and willingness of the rich countries to give aid. Whereas self-reliance rhetoric in the Third World appeared in the nature of an effort to make a virtue out of necessity" (Bagicha, 1979, p. 86).

Rural progress was assumed to reduce the rush to large cities through the provision of: 1) access to markets, 2) development of efficient labour-intensive technologies, and 3) the provision of middle level social services, such as health and family clinics, secondary schools and technical colleges (Streeten, 1979a; Hellinger et al, 1989).

Like the conventional economic growth strategies of the earlier period, basic human needs theory relied on outside agents such as governments, international donors, project officers and others, to deliver development to the rural poor. As power, resources and opportunities were abundant in the urban sector, the reversal transpired. The phenomenon of "rural push-urban pull" became rampant in Third World countries as poor parents in labour-scarce rural households gave their children an urban-biased education as a passport out of rural drudgery, and those technically trained headed for cities to find wage paying employment (Chambers, 1983; Lipton, 1977; Leys, 1975; Rodney, 1972).

2.4 The Third Development Decade

2.4.1 Introduction

A number of analysts have criticized BHN strategies for failing to address social and structural barriers which limit full participation of the intended poor groups, but leave them in a perpetual state of dependence (Korten, 1990; Ayres, 1983; Adleman and Morris, 1973). Korten (1990) portrays BHN strategies as mere relief and welfare programs aimed purely at relieving some of the worst consequences of poverty. "The results are often temporary, and rarely sustainable, seldom do they enhance economic participation" (p. 45). The type of participation alluded to is seen more like mobilization than as empowering of the poor to decide and do for themselves.

By the mid-1980s, it was realized that BHN approaches, like the previous economic growth strategies, were not achieving desirable results. Instead of resolving the problems of development and the poor, both approaches were exasperating the situation. Scholars in the

field of development were disillusioned. "Neither pure growth, nor growth with basic needs strategies have contributed much to dealing with the root causes of poverty" (Korten, 1990, p.

45). Failure of both approaches was attributed to a number of erroneous assumptions:

- 1) That poverty can be successfully addressed in the Third World and rural areas by outsiders - whether national central governments, international donors and so on, without consulting the poor people who experience poor conditions on a daily basis.
- 2) That the poor are a passive group, the target population that receives the benefits of decisions made for their well-being in far away government centres and cities (Hellinger et al., 1989).

Furthermore, there was the difficulty of identifying and accessing the poor. Neither the international donor agencies, nor the national governments were equipped to identify, let alone reach, those poor individuals who were in the most need of anti-poverty programs.

What resulted after two decades of development theory was a state where the poor stayed poor and the rich got richer. Or as an Indonesian observer, Adi Sasono stated, "The rich get richer and the poor get children" (quoted by Korten, 1990, p. 47). Development professionals and analysts began viewing development as a process of ongoing change at the local level. Money, or lack of it, seemed not to be a significant constraint on development. Alternative delivery systems were alluded to as policy makers searched for solutions. "We all have yet to discover how alternative delivery systems can be devised to reach the poor people and obtain their willingness and enthusiastic cooperation" (Hayter 1982, p. 91).

The World Bank commissioned yet more reports. The Willy Brandt Report (1980) explained the development process and goals not in terms of economic growth or basic needs,

but in terms of peace, the environment, the role of women, and the roles that technology can play in development. It also hinted at the crises of debt and energy. At the time of the Brundtland Report, a World Commission on Environment and Development, Third World countries were not only suffering from wide spread poverty; they were also overpowered by foreign debts, and environmental catastrophes such as droughts, floods and famine. Pollution and declining energy and mineral resources accompanied by deforestation and soil erosion, all implied a global crisis (see Brundtland, et al., 1987). In terms of development strategies to address the rampant abject poverty world wide, the report recommended a revival of economic growth as a remedy for poverty.

2.4.2 *A Decade of Structural Adjustment*

Development thinking in industrialized countries was once again governed by earlier assumptions, of the first development decade, about poverty. Poor people in developing countries were suffering because there was not enough growth to be shared. And, as the international debt incurred by developing countries became a major concern for international financial institutions and donors in industrialized countries, initiatives such as Structural Adjustment Programs (SAP) were promoted. In Africa particularly, structural adjustment policies became the central focus of development discussion (see Cornia et al., 1987; Young, 1989; World Bank, 1990).

Structural adjustment programs called for a number of reforms particularly in the policies of Third World governments. Such policies as 1) excessive government intervention in the economies of developing countries; 2) investment in huge, flawed state enterprise; 3)

misguided price control; 4) overvalued currencies which favour import of capital goods over local manufacture were targeted (Smillie, 1991, p. 209). Structural adjustment programs prescribed by the World Bank and the International Monetary Fund (IMF) and supported by Bilateral donors were designed to get the economy going again by putting emphasis on reduction in economic interventions by governments. Adjustment programs pushed for varying degrees of currency devaluation, while bringing domestic prices of key products into line with world prices (Smillie, 1991). These measures meant reduction in "welfare and subsidies on food and housing, holding down or cutting wages, giving the green light to free enterprise, encouraging foreign investment, deflating and restricting credit, and devaluing the currency, thus making exports more competitive" (Trainer, 1989, p. 102).

International donor agencies endorsed structural adjustment programs as the "long-term remedy designed to re-establish a climate of growth in developing countries and ensure the effective management of Third World countries' economies and of foreign aid they receive" (see CIDA's Sharing our Future, 1987, p. 57).

Critics were quick to point out the faults of such initiatives. Adjustment programs were assailed for imposing increased hardships on the already poor and ignoring the prevalent need for equity, poverty alleviation and environment issues, elements which were highlighted in reports commissioned by these same donor agencies (see World Bank, 1988; Brundtland et al., 1987; Winegard Report, 1987). A number of observers perceived such approaches as being particularly inappropriate to some developing countries, especially those in Africa. Academics and non-governmental organizations regarded the concept of structural adjustment as too "economistic and technically abstracted from human reality" (Young, 1989, p. 2).

Non-government organizations in countries like Canada expressed major concerns about their government's support of structural adjustment as a solution to Third World poverty. A study which set out to examine Canadian foreign aid policies four years after publication of the Winegard Report, criticized structural adjustment programs on policy, and ethical grounds. The Inter-Church Fund for International Development (ICFID) noted that economic reforms promoted by Multilateral and Bilateral donor agencies were not consistent with the human development criteria stressed throughout the Winegard report or with the basic human needs approaches of an earlier decade. The report also concluded that apart from imposing major and oppressive new burdens on the already very poor people in developing countries, SAP policies were generating widespread anxiety and dismay both in industrialized and developing countries (ICFID, 1991). Dismay emanated from the fact that, after three decades of development efforts, Third World countries were being forced to reduce services to their populations, while anxiety grew from the realization of eminent international financial collapse from lack of debt payment.

A combination of aid disillusionment on the part of Third World recipients, and aid weariness among developed country donors, plus developing countries' fears that in the 1990s the enormous capital demands of Eastern Europe and from countries of the former Soviet Union, will replace Third World aid (Todaro, 1992), have resulted in a new outlook on development. Terminologies such as global interdependence, partnerships and collaboration are gaining frequent usage in the development domain.

2.5 Development in the 1990s: Building Partnerships

2.5.1 Introduction

In search for alternative systems to reach and serve the poor of developing countries, development specialists from various disciplines are suggesting that outside of governments, other forces can play a useful role in development. Such forces include private business, local market forces, non-governmental organizations (NGOs) as well as people's organizations.

The widespread belief that development is primarily a task of government has legitimated authoritarianism and created a major barrier to true development progress in the South over the past four decades. The people have been expected to put their faith and resources in the hands of government. In return governments have promised to bestow on the people the gift of development. This promise has proven to be a chimera born of a false assessment of the capacity of government and of the nature of development itself.....Step-by-step we have moved to a recognition that government, business and voluntary organizations all have essential roles in development. (Korten, 1990, p. 95).

Advocating for an "equity-led sustainable growth strategy" for the 1990s, Korten (1990) proposes six sequential stages to clarify the issues and priorities related to the new strategy. These stages include: 1) preparation for change as a first stage, involving a number of transformations such as solid commitment to universal literacy and numeracy through basic education, ensuring guarantees of freedom of speech and association, encouraging the development of a strong NGO sector and promoting people's organizations. This first stage is supposed to create a political and institutional context that will allow for the successful implementation of subsequent stages; 2) asset Reform and Rural Infrastructure; 3) agricultural intensification and diversification; 4) rural industrialization; 5) urban industrialization; 6) and export promotion (see Korten, 1990 pp. 78-82). NGOs from

industrialized countries - referred to as Northern NGOs - are accorded an important role of "creating political support for appropriate diplomatic action by Northern governments and the setting of relevant policy conditions by international assistance agencies" (p. 82).

Others (Berg, 1987; Brown and Korten, 1980; 1989; Bratton, 1989; Hellinger et al., 1989; Smillie, 1991; Fowler, 1991; Uphoff, 1993) have also examined and promoted NGOs as essential agents for development in the 1990s. There are a number of reasons why NGOs have attracted attention from traditional institutions, for example governments, and donor agencies, and from development analysts and implementors.

In industrialized countries, support for an NGO role in development is based on a number of factors, particularly: 1) failure of successive development strategies and policies to yield desirable goals, of poverty and hunger alleviation, and to foster sustainable economic growth leading to self-reliance of developing countries (Korten, 1990); 2) preference by donors of the capitalist firm as the organizational model for a reinvigorated private sector, since many Third World countries - most notably in Africa - lack vigorous and large-scale business enterprises, NGOs appear to be acceptable alternatives (Bratton, 1989 ; Fowler, 1991); 3) a need and propensity to push for democratization, human rights and social justice, as well as for pluralization and strengthening of civil society in Third World countries (Bratton, 1988; Fowler, 1991).

From the developing countries' point of view, total ineffectiveness of the state and a need for alternative institutions are at the core of NGO attraction. Finally, NGOs have played an active role in the development struggle of Third World countries, for as long as, and sometimes long before, donor agencies did. It is widely acknowledged that NGOs certainly

have special attributes which enable them to do a number of things which governments cannot do (Hyden, 1983; Gorman, 1987; OECD, 1987; 1988; Cernea, 1988; Brown and Korten, 1988; Bratton, 1989). NGOs seem to possess a mix of characteristics suited to humanizing the implementation of structural adjustment programs (Cornia et al, 1987); and help increase diversity of opportunity in society - a pre-requisite for the success of market-oriented policies which stress competition and freedom of choice and action (Fowler, 1991). Furthermore, observers on African development have endorsed NGOs as a potential force in changing the structures of Africa's governance in favour of greater democratization and institution accountability (Hyden, 1983; Timberlake, 1985; Berg, 1988; World Bank, 1989). As such, NGOs are courted as potential partners of donor agencies and governments - especially in industrialized nations, to accelerate development in the Third World.

2.5.2 Partnership as a Development Concept

The new buzz word in the current discourse by donors and NGO communities, both in industrialized and Third World countries, is "partnership". Though the terminology is widely used in the for-profit business sector with related terminologies such as "strategic alliances", "joint ventures", or "inter-firm cooperative agreements" (Mytelka, 1987; Walmsley 1982) or in the public-private agreements - for example in the welfare state where governments are trying to solve social problems (Kramer, 1981; Salmon, 1987), a clear definition of partnership and its practical manifestation in the domain of development activities has not been extensively explored.

A review of existing definitions on partnership reveals variation in meaning. The

Webster dictionary defines partnership as a legal relation existing between two or more persons contractually associated as joint principals in a business. Or a partnership can involve close cooperation between parties having specified and joint rights and responsibilities (Webster's Ninth New Collegiate Dictionary). A partnership can also be a coalition of agents pursuing different objectives while participating in a joint production (Wang, 1990).

On the other hand a partnership can be a collaborative joint effort to obtain a common goal; or a relationship between partners where resources, power, information and experiences are mutually shared based on equitable arrangements regarding trust, accountability and exchange of information (PAC, 1989; Lamontagne, 1990). Along similar lines, others have defined partnership as a mutually beneficial relationship between individuals and or groups with identified joint rights, responsibilities and obligations characterized by shared values, and a willingness and ability to work together towards a common shared goal (Universalia, n.d.).

Partnerships can vary. They differ in nature and strength. For example, the degree of willingness for partners to work together may vary from a passive acceptance, where the partnership is unequal, to very strong commitment which leads to an equal partnership. Partners however, must be able to work together. Their level of working together may vary in terms of duration of their partnership -long versus short term; the degree of personal contact between partners; and levels of access to financial and human resources, and information, all of which may be similar or dissimilar. In addition, a partnership can be formally constituted, as in most industrialized countries where partnerships are defined by a set of rules and regulations in the context of a written contract, or it can be informal and simply understood with a mere handshake. While there are some who argue that partnerships must be equal - if

not in terms of resource commitments, but in values (Gariba and Jackson, 1993); others have indicated that equality may not be necessary at the initial stage, but must be a long term goal of those involved in the relationship (PAC, 1989).

Focusing on the potential of North-South partnerships in "monitoring and evaluation capacity building", some researchers have introduced qualifiers to the idea of partnership. Gariba and Jackson (1993) examined basic features of "democratic partnerships" between Northern and Southern professionals. Like others who have attempted to define the concept, the authors concluded that democratic partnerships must share resources and power equally. Some of the proposed basic features of a democratic partnership are: "High degree of trust between the partners; shared values concerning development philosophy and strategy; a commitment to operationalize equality and mutual benefit and support in the partnership" (pp. 11-12).

From the above definitions, significant characteristics of partnership emerge. A good partnership entails shared common goals, values and information, mutual benefit, trust and respect, joint responsibility, obligations and rights, as well as equitable decision-making and reciprocity.⁷ As such, a partnership must begin with an examination of the values, strategies, resources and information prospective partners wish to share (PAC, 1989).

It is against this background that the concept of "development partnerships" is reported to have considerable potential for solving problems of large scale development. In this respect, development specialists such as Brown and Korten (1988) contend that multi-sector partnerships that take advantage of the comparative strengths of multiple institutions from different sectors are the key to the solution of many development problems.

These authors see NGOs as having "natural advantages in facilitating the formation of such partnerships by acting as a credible bridge among potential partners who have histories of conflict or mistrust" (p. 16).

To recapitulate, development policies of the past three decades have proven to be a rousing failure. Development strategies for the 1990s calls for - among other strategies - people-centred development, through collective action and partnerships between and among institutions to bring about equity-led and sustainable development of Third World countries. Table 1.1 summarises the evolution in development thinking of the past 30 years, and poses a conceptual frame for development strategies for the 1990s and beyond.

NGOs are lauded as potential agents to foster partnerships and promote people-centred sustainable development. Yet if NGOs are to be accorded a distinct development role in the 1990s, there is a need to ask: Who are the NGOs? How do they work? How effective are they? How can they be best utilized by donor and government agencies? Chapter three explores the evolution of the Canadian NGO community, focusing on the history, operational environment, development strategies and other related attributes which give a special developmental and partnering role to this community.

Table 1.1

Evolution In Development Thinking

Conceptual Framework-1

1. Decade	2. Assumptions about Development	3. Assumptions about Underdevelopment	4. Development Strategies	5. Development Agents	6. Development Model(s)
First 1960s	<p>Development is about Economic Growth: Increase in GNP</p> <p>Development synonymous with Modernization</p> <p>Export-led growth</p> <p>Mass production</p> <p>Market forces are to automatically distribute to all benefits of development</p> <p>Physical infrastructure as indicator of development</p>	<p>Causes of Underdevelopment lie within the Third World</p> <p>The "poor" are a passive group</p> <p>They are a target population in need of assistance</p> <p>They are suffering because there is not enough growth to be shared</p> <p>Poverty & underdevelopment can be successfully addressed by outsiders</p>	<p>Modernization & Industrialization Achievable through:</p> <p>Capital transfers</p> <p>Foreign investments</p> <p>Foreign Aid and Loans</p> <p>Emphasis on physical infrastructure Development</p> <p>Authoritarian Rule - favorable in setting direction of national development</p> <p>Transfer of technology from developed to developing countries</p>	<p>Outsiders</p> <p>Foreign Private Investors</p> <p>International Donors</p> <p>The State (through restructured interventions)</p> <p>Churches</p> <p>Voluntary agencies</p>	<p>Trickle-down-model</p> <p>Top-down development models</p> <p>Centralized decisions</p>
Second 1970s	<p>Development is about Economic Growth with Equity</p> <p>More than economic growth, development embraces human and social factors:</p> <ul style="list-style-type: none"> - Skills, Institutions, Attitudes and Human Resources 	<p>Causes of underdevelopment still lie within the Third World</p> <p>Underdevelopment is due to "lack" and "lag" in the Third World.</p> <p>The poor are a resource but they lack education & good health.</p> <p>Third world lacks strong social delivery services and systems.</p> <p>There are scarce inputs in terms of Capital and Skills.</p> <p>All Third World Countries have similar development needs.</p>	<p>Redistribution of Surpluses and Meeting Basic Human needs of the Poor</p> <p>Changes in Structure and distribution of production</p> <p>Emphasis on food production for domestic consumption.</p> <p>Focus on Agriculture and Integrated rural development.</p> <p>Projectizing foreign aid by focusing of aid projects and programs on the poor.</p> <p>Restructuring of public services.</p>	<p>Outsiders</p> <p>Foreign donor agencies</p> <p>Bilateral and Multilateral agencies.</p> <p>National central governments.</p> <p>Private corporations.</p> <p>Technical experts (through development projects/program).</p> <p>NGOs</p>	<p>Basic Human Needs Models</p> <p>Donor Recipient Model.</p>

Table 1.1 (Cont'd)

Evolution in Development Thinking

Conceptual Framework-1

1. Decade	2. Assumptions about Development	3. Assumptions about Underdevelopment	4. Development Strategies	5. Development Agents	6. Development Model(s)
Third 1980s	<p>Development is about Sustainable Growth</p> <p>At the local level.</p>	<p>Underdevelopment is due to too much Intervention by Central Governments</p> <p>The poor are suffering because there is not enough growth to be shared.</p> <p>Third World Governments are not suitable agents for poverty alleviation.</p> <p>Too much debt due to excessive borrowing and less trade.</p>	<p>Structural Adjustment</p> <p>Wealth Creation versus Redistribution.</p> <p>Reduce government intervention in economy.</p> <p>Reduce Welfare and Government subsidies.</p>	<p>Alternative Delivery Agents</p> <p>Free market forces</p> <p>Voluntary agencies</p>	<p>Free Market Economics</p> <p>Bottom-up development models.</p>
The 1990s and beyond	<p>Development is about People and Interdependence</p> <p>Social Transformation and Multifaced development such as:</p> <p>Respect for Human Rights.</p> <p>Sustain the environment.</p> <p>Reform institutions.</p> <p>Encourage broad-based participation in decision-making.</p> <p>Development is about democratic governance.</p>	<p>Underdevelopment Continues due to factors within & outside of Third World Countries</p> <p>People are not involved in decision-making processes concerning their lives.</p> <p>There are too many authoritarian regimes in poor countries.</p> <p>Underdevelopment is due to:</p> <p>a) Too much over consumerism in industrialized countries.</p> <p>b) Militarization & armament</p> <p>c) Population growth</p> <p>d) Lack of democratic governance.</p> <p>Under development is due to international disorder and global maldistribution of resources.</p>	<p>Equity-led Sustainable Growth: Break-down Structural Dualism</p> <p>Demilitarization and real-location of military resources to poverty issues.</p> <p>Political Democratization.</p> <p>Encourage development of NGO-sector by limiting restriction on NGO formation and funding.</p> <p>Strengthening links between people in industrialized countries with those in the Third World.</p> <p>Emphasize Regional Intergration not through Aid but Trade.</p>	<p>Endogenous and Exogenous</p> <p>Voluntary action especially Third World NGOs and community grassroots groups.</p> <p>Women as key players.</p> <p>International community e.g., (Aid tied to Democratization and demilitarization.</p>	<p>Partnerships</p> <p>Top-down Bottom-up mix.</p> <p>Decentralization.</p> <p>Creation of alliances between NGOs with political & bureaucratic institutions.</p> <p>Alliances between North-South-South NGOs.</p>

3.0 A FRAMEWORK FOR EXPLORING NON-GOVERNMENT ORGANIZATIONS AS PARTNERING AGENCIES

3.1 Introduction

Non-governmental organizations are generally reported to have been active in Third World regions and countries. Their historical evolution, diversity in style and operations, their relationship with donors, as well as their dealings with poor populations in developing countries, have attracted attention of many observers in the field of development (Sommer, 1977; Gorman, 1984; Brodhead and Herbert-Copley, 1988; Korten, 1990).

This chapter is divided into four major sections. The first section starts with a historical description of NGOs in Canada - briefly reviewing their origin, types of activities, and principles of operations in the past three decades. It then examines mechanisms put in place by CIDA to sustain a funder-recipient relationship. The second section explores NGOs in Africa, most particularly in Kenya, and reviews the relationship between these NGOs and their home governments as well as with their Canadian counterparts. The third part looks at models of partnership in the Canadian NGO community. The fourth section formulates a conceptual framework, through which the evolution of Canadian NGOs can be analyzed according to the changes which have occurred during the past three decades of development thinking, as outlined in Chapter two.

3.2 Evolution of Canadian NGOs

3.2.1 *In Canada*

Canadian NGOs, like their counterparts in countries belonging to the donor assisting countries (DAC) are reported to have been in development long before donor agencies (Smith, 1990; Herbert-Copley, 1987). Their presence in the Third World begun with missionary activities, combining relief and pastoral work. The presence of institutionalized NGOs as they exist today took shape after 1945, and grew slowly until about 1960. As Herbert-Copley (1987) points out, the 1960s and '70s witnessed a tremendous expansion of the number of NGOs active in international development most of which were branches of multi-national NGOs. Initially, a number of these Canadian offices of foreign NGOs were opened to raise funds for postwar relief and reconstruction. Oxfam Canada, Canadian Save the Children Fund, CARE Canada are examples. Over the years, the situation changed as indigenous Canadian organizations sprang up, and as some Canadian branches became independent of their former foreign parent to become masters in their own house with the ability to set their own policies and fund-raising strategies. Toward the mid-1980s only one quarter of NGOs in Canada had an international parent or affiliate agency (Herbert-Copley, 1987). The primary function of this small group of NGOs continues to be fundraising and execution of educational programs. However, programming responsibility for overseas projects normally rests outside Canada.

3.2.2 *Dimensions of Canadian NGOs*

NGOs are diverse. They differ in origin, activities, structures and source of finance. Their diversity "is not a statement of fact, but an article of faith, an important element of NGOs "collective philosophy" (Copley, 1987, p.21). Another characteristic of NGOs is that

their actions are very much based on the social, political and economic contexts of the countries in which they operate, mostly in a very privileged relationship with grassroots movements (Sommer, 1977; Lissner, 1977; Gorman, 1984; Drabek, 1987; Landim, 1987). Projects administered by NGOs are declared to be cost-effective due to their low overheads⁸ and lack of cumbersome, bureaucratic procedures (Gorman, 1987; Berg, 1987; Bratton, 1989; Brown and Korten, 1989). As well, projects tend to be small-scale, thus providing an opportunity for experimentation (Lewin, 1986; Hunt, 1985; Schwartz, 1976). Canadian NGOs also tend to be more acceptable to governments of developing countries than do certain bilateral donors. Since they normally do not operate along partisan political lines, they can deal with issues of a political nature - for example, refugees and birth control (Gorman, 1984; 1987; Leelananda de Silva, 1987; Korten 1987). NGOs tend to be distinctive and independent from governments, earning the confidence of the people they work with (OECD, 1981a). Finally, the small-scale status of NGOs is also perceived as an advantage since it permits flexibility and coordination in carrying out development projects.

The fact that NGOs are also private associations and as such represent the concerns of citizens in OECD countries, has led some observers to argue that even without financial contributions from government, they would continue to exist (OECD, 1987).

While the NGO community has earned an impressive reputation globally, some structural weaknesses have been pointed out. For example, some of the organizational weaknesses mentioned by a number of observers such as Smith (1983), Gorman (1987), and Bratton (1989) are: 1) chronic lack of sufficient management capacity; 2) a tendency for projects to be designed and implemented in isolation from broader development strategies in

host countries; 3) lack of replication of the projects; 4) failure of NGOs to better coordinate their resources and strategies among each other; and 5) failure of NGOs to conduct research and evaluation, which results in very little learning of lessons from their experience.

There is also evidence to suggest that many NGO-sponsored projects do not reach the poorest sector in developing countries. Instead, they cater to those who are easier to assist. According to Tendler (1982), grassroots participants, especially women, are often not involved in the planning and design of projects and frequently have little if any effective input into the decision-making process of indigenous NGOs that claim to represent them. Thus, like the assistance efforts of many governments, NGOs are involved in a trickle-down strategy at the local level. However, an evaluation of CIDA's NGO Program revealed that activities of Canadian NGOs contribute highly in the areas of "women-in-development, helping people help themselves, partnerships and poverty alleviation" (SECOMA Report, 1992, p. 43-46).

The innovativeness of NGOs has been challenged as well. Many NGOs claim to be innovative when instead they have merely expanded or slightly adapted existing development approaches (Gorman, 1987). Similarly, the cost-effectiveness and replaceability of NGOs' development projects has been questioned (Ellis, 1984). Other critics have challenged the political neutrality of NGOs suggesting that a number of NGOs, mainly those which are church affiliated, are engaged in political activities overseas by supporting selected political movements (Smith, 1983).

In his critical examination of NGOs and their growth, Annis (1987) raised an interesting argument:

Non-governmental organizations (NGOs) are so frequently lost in self-admiration that they fail to see that the strength for which they are acclaimed can also be serious weaknesses. In the face of pervasive poverty, for example, "small-scale" can merely mean "insignificant". "Politically independent" can mean "powerless" or "disconnected". "Low-cost" can mean "underfinanced" or "poor quality". And "innovative" can mean simply "temporary" or "unsustainable" (p. 129).

Other observers have cautioned that NGOs have yet to overcome their traditional weakness of self-protection and isolationism which emphasizes individual agency initiatives, rather than the indirect effects of fostering the growth of autonomous, community based initiatives. NGOs are advised to begin collaborating and relating more effectively to other actors in the field of development, towards a common goal (Hellinger, et al. 1988); and explore links with governments and make efforts to define what they expect from governments (Clark, 1991). The weakness of isolationism can be surmounted by recognizing the necessity to engage other institutions in solving the more intractable problems of development (Korten, 1987; Korten and Brown, 1988; Korten, 1990).

Despite cited weaknesses of the NGO sector, many observers have come to perceive NGOs as having a comparative advantage over governments and official donor agencies in the delivery of assistance as well as in meeting the basic needs of the poor (Smith, 1990; Bratton, 1989; Korten and Brown, 1988; Cernea, 1988; Drabek, 1987; Sommers, 1977).

3.2.3 *Trends in NGO Activities*

The work of non-governmental organizations in Canada falls into three broad categories: 1) They carry out overseas projects and programs. 2) They offer development

education to the Canadian public - occasionally going beyond provision of factual information to getting involved in the design and production of teaching material for Canadian school curriculum (Brodhead and Herbert-Copley, 1988). Finally, 3) they participate in public policy advocacy. As they are not always in agreement with the policies being pursued by the Canadian government, NGOs sometimes oppose them and attempt to influence them (CCIC, 1988).

Initially, NGOs' overseas activities encompassed such undertakings as sending relief to disaster stricken areas, alleviation of human suffering, and in the case of religious oriented organizations, running missionary schools and hospitals while offering welfare assistance to the needy (Smith, 1990; Herbert-Copley, 1987; and Brodhead and Herbert-Copley, 1988). By the mid-1960s, NGOs began to realize that although short-term relief efforts were necessary in times of disaster, the solutions to deeper causes of human suffering required support for programs that would increase the skills and self-reliance capacities of the poor (Smith, 1990). However, in practical terms, the shift from welfare to a development approach didn't occur until after the African famine crisis of 1984-85. Presently Canadian NGO-work is a mixture of welfare and long term development activities.

During the 1980s, the trend in Canadian NGOs' overseas activities shifted towards support for the local voluntary sector, and away from a direct operational presence. The formation of Partnership Africa Canada (PAC) in 1986, is one of the testimonies to this shift. Also, there was a shift towards new forms of inter-agency cooperation, in order to share skills and coordinate responses (Herbert-Copley, 1987; Brodhead and Herbert-Copley, 1988; Smillie, 1991b).

Given the comparative advantages attributed to NGOs, in their pursuit of long-term development goals, NGOs perform a number of distinct functions. For example, they fund-raise, generating their own resources and disburse them to developing countries. They also act as a channel for disbursing government official development assistance. Fundraising campaigns constitute an important part of development education, which can influence public opinion in favour of government DOA. Observers argue that in the process of development education and public advocacy, NGOs also attempt to influence government policy (Korten and Brown, 1988; Brodhead and Herbert-Copley, 1988; Smith, 1990). Others contend that attempts to influence the Canadian government's policies, for example, have had little success (Clark, 1985).

Clark divides the Canadian NGO community into three groups. The first group is the one he terms "apolitical". These are the NGOs which avoid taking stances, for example, signing petitions or making policy submissions, on political issues and shy away from attempting to influence governmental development policy⁹. He further explains why this group of NGOs avoids trying to influence Canadian policy makers. The group's meaning of development is not clear. In other words, these apolitical NGOs have not attempted to define what is meant by the term development. In addition, this group generates its financial and volunteer support from Canadians who do not see a strong relationship between development and international economy, liberation, militarization and so on. Supporters of this group also tend to be conservatives (politically) who disapprove of their organizations getting involved in any actions which appear to be left wing.

The second group of NGOs is relatively small, involving a number of secular

development organizations and most of the development education groups. This group lacks major constituencies, thus lessening its influence in lobbying. NGOs in this group are perceived by the government as not representing many Canadians. These are the small, locally and regionally based groups, such as those found in the Prairies and Quebec.

The third group of NGOs is the most politically active in Canada. In this group one finds the major churches, for example, the OCCDP (affiliated with the Catholic church), radical development education organizations, such as the Development Educational Centre (DEC) - which is very active in lobbying and publishing a variety of books and educational aids, far more critical of Canadian development policy. NGOs in this group are active in advocacy work because: 1) They supposedly have an understanding of development which goes beyond those of most NGOs. 2) There is an underlying belief that they have a responsibility to promote justice. 3) Finally, they have the resources (Clark, 1985). Smith (1990) further suggests that the long history of their presence in the Third World gives this group an ability to be politically vocal.

Other observers have noted that there is strong disagreement among Canadian NGOs over how to speak out on policy issues fearing that political or controversial activities may impede development effectiveness. For example, by taking a public stance, NGOs may be cut off from those they seek to help. Also, a public stance may be unpopular in Canada and alienate actual or potential supporters (Brodhead and Herbert-Copley, 1988).

The evolution of Canadian NGOs in the field of development somehow parallels Korten's (1987; 1988; 1990) analysis of NGOs' development through generations. For instance, "first generation NGOs" are those organizations whose activities involve relief and

welfare, such as provision of money, food, clothing and basic supplies to the poor in developing countries. These NGOs act as "doers", emphasizing efficient delivery of logistics to get quick help to the passive needy beneficiaries - child sponsorship and care packages, being typical examples of such strategies. The type of assistance offered by this group is often referred to as humanitarian assistance and not development assistance.

Second generation NGOs are those agencies which have shifted from relief and welfare to development activities, with emphasis put on community development. NGOs in this category are seen as "mobilizers", for they tend to help people develop their own capacities and self-reliant means to meet their own needs. Instead of focusing on individuals or family units, second generation NGOs tend to focus on groups within a community - for example, school drop-outs, women, the landless squatters and so on. In the Canadian context, this group tends to favour project funding and is increasingly dependent on government agencies' funds (SECOMA Report, 1992).

Third Generation NGOs tend to look beyond the individual community, and attempt to bring about changes in government policies at local, national and global levels. They tend to favour collective action such as coalitions or consortia. They employ a strategic management approach towards development and see themselves not as doers or mobilizers but as catalysts.

Finally, Fourth Generation NGOs envision social energy as the engine of development. They are driven by shared ideas, and not money; they conceive people's movements and social movements as the development model of the 21st century. For a comprehensive analysis of generations of NGOs refer to Korten (1990, p. 112-128).

Over the past three decades, Canadian NGOs are noted to have fit into a cross-section of these generations. Their performance indicates a move from first generation strategies - of mere relief and welfare provisions towards a second generation development mode. However, some findings demonstrate that many Canadian NGOs which are still first generation agencies have attempted to become second generation while maintaining a relief and welfare approach (SECOMA Report, 1992). The same report notes that a few Canadian NGOs funded by CIDA's-NGO program have shifted, or are starting to shift, into the third generation strategies, those which go beyond mere service delivery and mobilization of community members, towards collective action of consortia and influencing of policy (p. 12). Evidence of fourth generation strategies is not well documented within the Canadian NGO community.

3.2.4 *Canadian Official Development Assistance*

As Canadian NGOs move away from the early romantic era of non-profit and voluntary activities, they are increasingly becoming entrepreneur organizations, doing business with big organizations. The most prominent agency which has been carrying out a funding relationship with Canadian NGOs, is the Canadian International Development Agency (CIDA). In 1960, the Canadian Parliament created an external Aid office to promote Canada as a significant independent actor in global politics (Smith, 1990). In 1968, this office was expanded and renamed the Canadian International Development Agency, in a bid to provide a broader scope for Canadian efforts in international development. At the time, the rationale for Canadian DOA was stated as the concrete expression of Canada's spirit of generosity and profound sense of international responsibility (CIDA, 1969).

By 1975, the objective of the Canadian development assistance program was to support the efforts of developing countries in fostering their economic growth. Priority was to be given to meet the basic needs of the poor in areas of food production and distribution, rural development, education and training, public health and demography, as well as shelter and energy (see Canada's Foreign Policy Review, 1970). The Canadian assistance program was to be delivered through a number of channels: Bilateral - direct government to government relations; multilateral - through international institutions; and non-governmental organizations.

At the time CIDA came into existence, the government of Canada had found that its government-to-government assistance was costlier than expected. CIDA set out to tap the resources and the vast reservoir of expertise and experience then possessed by Canadian NGOs, by creating a division within CIDA to match private contributions with public funds. The Parliamentary Task Force on North-South relations (1981) was impressed by the excellent record of NGOs' innovative ways of addressing basic human needs in developing countries. One of its recommendations was expressed as follows:

The Task Force recommends that the Government direct an increased share of Official Development Assistance to support the activities of Non-governmental Organizations. In addition, we recommend that the Bilateral Programmes Branch of CIDA assign some of the funds it expects to spend on agriculture, health and rural development to small projects which would be operated on its behalf by Canadian NGOs (p. 54).

The creation of CIDA's NGO Division was the first time in the industrial world that a program of cooperation between government and private agencies working in the Third World had been established (Smith, 1990; Brodhead, 1987). The NGO Division was conceived in

such a way as to recognize and respect the integrity and independence of the NGO community (CCIC, 1989; CIDA, 1984). A few years after the creation of CIDA-NGO cooperation, a number of NGOs began to be concerned about their loss of autonomy and independence (Brodhead and Herbert-Copley, 1988; CCIC, 1990). This concern came at the time when the majority of Canadian NGOs were receiving more than half their funding from government sources (CCIC, 1988; 1990).

3.2.5 *Mechanisms of Government Funding of NGOs*

In 1968, when CIDA first began the NGO program, the number of NGOs supported was 20. Five million dollars were distributed to 50 projects operated by these NGOs, amounting to two percent of CIDA's total budget. In 1984-85, CIDA funded approximately 200 Canadian NGOs with a total of \$169 million, or approximately 10% of CIDA's budget. By the mid-1980s the number of Canadian NGOs was estimated at between 220 and 300, and 75% received more than half their funding from government sources (Teigeler, 1986; Brodhead and Herbert-Copley, 1988; CCIC, 1988). As the demand for government funding - from various groups - increased, CIDA strived to put mechanisms in place to allow for an evenhanded way of administering and distributing these funds.

3.2.6 *Funding Patterns*

The traditional patterns of government funding of Canadian NGOs was based on a number of parameters. For example, in the early years, there was a project-by-project examination, and a matching formula of 1:1. In other words, for every dollar an NGO raised

from its constituency, the Canadian government, through CIDA, would match it. Later on, a matching formula of 3:1 became the norm, especially for small agencies without a large constituency base. This pattern was referred to as "matching programmes". Later these programmes were labelled "responsive programmes"- indicating a response by CIDA to an NGO-initiated programme, where the NGO makes a significant commitment of cash, personnel or technical assistance (CCIC, 1982). Basically NGOs were considered the best delivery channels for responsive needs in developing countries. However at the beginning of the 1990s, concerns about the connotation of "responsiveness" begun to surface as many NGOs voiced their concern over what they perceived as a tendency by the CIDA-NGO Division to look at them merely as executing agencies and not partners in the field of development (Smillie, 1990b; SECOMA Report, 1992).

A second pattern of CIDA's funding of NGOs is referred to as "negotiated" programs'. In these instances, an NGO undertakes a special program with CIDA under specific terms and requirements. Negotiated programs are reported to be common under CIDA's country focus programs. A third pattern of funding is referred to as "contracted" programs', where an NGO undertakes to execute a CIDA contract, normally as part of a regular CIDA bilateral programme.

In responsive programs, agency funding is the norm. In other words, an NGO initiates the programme; it has full decision-making control and planning responsibility; CIDA's role is limited to funding only; the matching basis can go up to 5:1; activities are not subject to CIDA's sectoral or country priorities. Responsive programs are perceived by observers to be the most appropriate programs for NGOs (CCIC, 1982). This is due to the fact that NGOs

contribute more to international development when they make their own decisions and relate to their partner groups in the Third World in planning and designing project activities (CCIC, 1990). Negotiated programs' focus is on program funding as opposed to agency funding. The program can be initiated by either CIDA or NGOs, it can be NGO planned or mutually planned with CIDA. In terms of its matching basis, it is greater than 5:1, and is likely to be subjected to CIDA's sectoral and country priorities. Program control, administration and reporting arrangements are negotiated between the two parties. Finally contracted programs are based on CIDA's country funding. Such programs are initiated by CIDA, and planning is normally the responsibility of either CIDA and/or the host government. There is neither NGO control nor funding requirements, and an NGO which undertakes such programs reports directly to CIDA, since the programs are subject to CIDA sectoral and country priorities (CCIC 1982), and are normally awarded through a competitive bidding process (Brodhead et al. 1988).

Until the 1980s, the funding mechanisms utilized by CIDA to Third World countries had been straightforward - that is, CIDA to Third World government (bi-lateral); CIDA to Canadian NGOs; and Canadian NGOs to Third World organizations. By 1990, the funding relationship had shifted significantly CIDA initiated a direct-funding mechanism to some Third World organizations, skipping Canadian NGOs altogether. Direct funding is carried out thorough what was known as the Mission Administered Funds (MAF) program, averaging \$350,000 per year per Mission. MAF is currently referred to as the Canada Fund for Local Initiatives. There is also the Micro-realizations Funds which were implemented (in most cases) in 1984, with a budget of approximately \$3 to \$5 million per country for four to five

years. Micro-realisation Funds are common in French speaking Third World countries (CCIC, 1988). In addition to the above programs through which CIDA funds NGOs, there are other channels put in place to respond to the funding needs of Canadian NGOs. Consortia such as Partnership Africa Canada (PAC), South Asia Partnerships (SAP) and a few others (see SECOMA Report, 1992), were enacted to provide an alternative funding channel for Canadian NGOs with overseas and development education programs.

3.2.7 Current Relationship between CIDA and Canadian NGOs

As mentioned earlier, until the early 1980s, the relationship between the Canadian government and the NGO community was based on the government's recognition of the responsive nature of NGOs. The Canadian voluntary sector made a unique contribution to development by targeting Canadian aid to the neediest and most marginalized populations in the Third World.

Since the 1980s, the relationship has grown more complex due to "country focus" funding which has made bilateral money available to NGOs; some funding decisions have been decentralized to mechanisms such as Partnership Africa Canada (PAC); as well as CIDA's espousal of integrated country planning suggesting a greater wish to see NGOs operating within the overall priorities established by CIDA planners (CCIC, 1990).

3.2.8 Funder-recipient relationship

As alluded to before, a large part of NGO funding - over 75% - comes from government sources (CCIC, 1988; 1990) and some observers wonder whether a high degree of dependence on government funding risks co-opting NGOs:

Since Special Programs Branch has initiated block funding, NGOs are not inclined.....to select projects on the basis of their probable acceptance to CIDA. Other constraints, however remain.....not only is CIDA's contribution to a project subject to CIDA policies but also the funds provided by the NGO. Because of Treasury Board guidelines, the total amount is subject to specific criteria and none of the monies, even those funds raised by the NGO from the public, can be used towards objectives which CIDA cannot support. (CCIC, 1988, p. 37).

Vendorism is another frequently expressed concern. The fear being that government funding can distort NGO missions by enticing agencies to concentrate their efforts in areas that may not coincide with what NGOs think is important or would like to do (Salamon, 1987). In fact, some observers worry that initiative has already shifted noticeably away from the voluntary sector and toward the government (CCIC, 1990). Involvement with the government programs is perceived as producing undesirable degrees of bureaucratization and professionalization in the receiving agency. Coping with the financial accountability standards of government programs and dealing with regulatory provisions of these programs lead NGOs to rely more on professional staff and less on volunteers. Nielsen (1980) portrays the nonprofit organization sector as a "golden age of purity" that has been corrupted by receipt of government funding. As they become more dependent on government funding for their project activities and overhead, NGOs also become more accountable to the government.

Others disagree. Kramer (1980) argues that there is little evidence of the above fears. In his research, Kramer found that government support of NGOs is having the effect of overcoming some of the problems of the voluntary sector. NGOs are doing what they always wanted to do, but for which they previously lacked the resources. Yet others have suggested that a funding relationship between government and NGOs involves a series of trade offs (Smith, 1990). These trade-offs can be either direct or indirect restrictions and

enticements that governmental officials use in an attempt to move NGOs in some directions and away from others. Smith contends that some of the restrictions are mutually agreed upon between governments and NGOs. Governments use NGOs as alternate conduits for influence in developing countries when their own official policy positions or the sensitivities of host country governments prevent them from pursuing certain agendas through normal government-to-government mechanisms.

NGOs therefore, are held to be very helpful as surrogates and allies of government policies. NGOs in return receive substantial funds from governments. On the other hand, enticements and penalties can be used by government policy makers in an attempt to modify or curtail NGOs' strategies - especially those which criticize official administration aid strategies. Closer scrutiny of projects and delay in approving them; diversion of some subsidies away from troublesome NGOs to more politically acceptable ones; plus removing or threatening to remove the tax-exempt status of NGOs that engage in unacceptable partisan political activities, are some of the restrictions used by governments against NGOs. An extreme measure of a government's penalties is cutting off funds to an NGO which refuses to modify its behaviour (Smith, 1990).

3.3 NGOs In Kenya

Kenya, like Canada, has witnessed a surge in the private voluntary sector in the past three decades. By the mid-1980s, Kenya hosted more NGOs than any other African country (USAID, 1989b; KNCSS, 1987b). Growth in number and size of NGOs in Kenya - as elsewhere in Africa - has been partially fuelled by an expansion of official aid in

industrialized countries of the North during the 1980s. This expansion of official aid is a result of a number of developments. Disillusionment with aid-funded projects of larger donor agencies and governments (Fowler, 1991), plus the belief by donor agencies that NGOs are well equipped to implement structural adjustment programs (Cornia et al., 1987).

By 1990 in Kenya, there were approximately 400 NGOs operating in the country. It was estimated that "the number of non-church foreign NGOs grew by 260 per cent - from 37 to 134 during 1978-1987; and local NGOs by 115 per cent - from 57 to 153" (Fowler, 1991, p. 54). The most profound proliferation in numbers was among women's groups as People's organizations. Such grassroots self-help organizations numbered 26,000 in 1988, up from less than 5000 in 1980.

Generally NGOs in Kenya fall into two main categories. There are the "international NGOs" - organizations with their original incorporation in one or more countries other than Kenya, but operating within Kenya under a certificate of registration. Then there are those labelled "national NGOs" - organizations registered exclusively in Kenya with authority to operate within or across two or more districts in Kenya (Kenya Gazette, 1991). Both groups of NGOs can either be funding or operational bodies, or both. Most NGOs however are operational, in the sense that they are engaged in a wide variety of development activities in different parts of the country.

3.3.1 *The Colonial Era*

During the colonial period, churches - the only significant NGO body at the time - collaborated with the colonial government in the pursuit of common goals. They imparted

colonial ideologies through the European type of education and religious indoctrination, as they ministered to the suffering and neglected African. Thus Kenya, as many other African countries, reached independence with very little formal registered non-government organizations outside of the dominant church organizations. Trade unions and co-operatives also played a non-governmental role, albeit at a very insignificant scale (Hyden, 1983). The NGO sector as known today has been traceable to the period of emerging nationalism (Bratton, 1989)¹⁰. Prior to religious organizations and unions, the only significant pattern of voluntary activities surfaced through African cultures and traditions which emphasized philanthropic behaviours among the citizenry. Philanthropic activities were traditional intertwined with the African value of group solidarity, reinforced by a genuine concern for the value of the individual members who together constituted the community (Sempebwa, 1983).

3.3.2 Post Colonial: Independence Era

As independence approached in former colonies, many church organizations - which had up until that point worked in collaboration with colonial administrators - felt the need to distance themselves from the close association they had with colonial policies. Credibility of church missionary activities in independent Africa would greatly depend on their usefulness and assistance in serving the spiritual and social economic needs of these new nations. Thus in the 1960s, churches in Kenya began a gradual shift from relief and welfare activities towards programs that would increase the skills and self-reliance capacities of the poor (Smith, 1990). The emphasis at independence was mainly in the field of education (training teachers), as well as in health, (concentrating on nursing training).

Currently in Kenya, as in other African states, the NGO sector is not very strong, even compared with other Third World countries. Though many have moved into the development field, working with populations at a community development basis - especially with the marginalized rural and urban poor - there are very few indigenous organizations of any significant strength. The majority of the local non-government organizations are local branches (subsidiaries or affiliates) of foreign based organizations. As a result of this affiliation, many are still dependent on outside funding and program control (Hyden, 1983; Smith, 1990).

3.3.3 *NGO-Government Relationship*

NGO activity in Kenya has been recognized and encouraged ever since the country attained its independence in 1963. The government's recognition of the important role NGOs play in national development prompted its creation of the Kenyan National Council for Social Services (KNCSS) as early as 1964. This council was set up to co-ordinate the activities of the NGO community with those of the government, in order to avoid duplication of services (Kenya Gazette Supplement, 1991). The decade of the '70s witnessed an influx and extreme growth in the numbers of operational NGOs. In the National Development Plan for the 1989-1993 period, the government stated:

The independence of NGOs will continue to be respected and they will be encouraged to develop control mechanisms outside of the Government machinery to enable the country to profit from their unhindered presence and functioning (Kenya Gazette, 1988 p. 16).

The KNCSS however, proved unable to monitor and co-ordinate activities effectively within the NGO sector. This created concerns in government circles regarding the viability of activities that are being undertaken and the increasing possibility of wasteful duplication of efforts by NGOs. Perhaps as a result of this concern, the government enacted a *Non-governmental Organizations Co-ordination Act*, 1990. This act established mechanisms such as: the mandatory registration and licensing of all NGOs operating in the country and a coordinating Board to advise the government on the activities of the NGOs. The NGO community in Kenya saw this as means to control and manipulate NGO activities (NGO-Report, 1991). The Standard, a government controlled newspaper, had increased its coverage of NGOs, shortly before a parliamentary act concerning NGOs was enacted.¹¹ A minister from the president's office was quoted in one of the country's leading newspapers:

The minister in the office of the President... said that a law requiring NGOs to be registered under the office of the President is to be enacted soon. This move would enable the government to know how money given to NGOs was used. There are over 400 NGOs operating in the country. They enjoy privileges that are not enjoyed by other organizations. For example they are allowed to import goods duty free provided that such goods are for development purposes (Kenya Times, October 31, 1990).

Up until the end of the 1980s, Kenya had been noted for its open door policy towards NGOs, especially self-help groups. However, the influx of organizations and the suspected abuses have led to stricter regulation and sometimes de-registration of NGOs (Fowler, 1990).

Inclination by governments to legislate and co-ordinate NGO activities is not only unique to Kenya. Other African governments exercise state control over NGOs for a number of reasons. Fowler (1991) notes some of the most common reasons given by African governments for the introduction of NGO legislation: 1) That some NGOs are abusing their

status - as is the case in Kenya; 2) That NGOs need to be coordinated and cannot be left to themselves; 3) That donor funds need to be protected against misuse. 4) NGOs do not relate correctly to the official system of development administration; and 5) NGOs pose a security problem - as in the case of Uganda.

Yet some African leaders have come to a realization that NGOs are not only liabilities, they are also assets. NGOs attract foreign funds and much needed foreign exchange and revenues. Fowler (1991) suggests three basic strategies the state in Africa adopts to capitalize on NGO growth, while maintaining the political status quo. These are: *legislation*, *administrative co-optation* and *political appropriation* (p. 65- 69). Such measures not only create tension and misgivings between governments and NGOs; they also drive the ruling elite to initiate incorporation of new NGOs to serve them. Korten and Brown (1988) refer to such NGOs as GONGOs - government organized non-governmental organizations. As external funds to African governments shrivel, the likelihood of GONGOs created as a way to capturing part of the NGOs' expanding financial system increases (Fowler 1991).

There is another outlook on the proliferation of NGOs in Africa. Focusing on European NGOs and their partnership with African NGOs, Twose (1987) writes:

Some European NGOs have begun to experiment with employing African staff members in Africa, who then have to learn a whole new vocabulary in order to describe project proposals in a way that will satisfy the hang-ups of their mostly white liberal bosses in Paris, Oslo or London. Others are busy establishing African advisory councils, creating a new race of elitist NGO advisors, rushing from one committee meeting to the next, in mirror-image of the European set-up and in most cases just as unrepresentative. (p. 9)

These varying views are important to bear in mind when the question of "what is truly meant by an African NGO?" is posed and when the notion of partnership between NGOs from the North and those in the South, particularly Africa, is explored.

3.4 Relationship between Kenyan and Canadian NGOs

The changing relationship between Northern and Southern NGOs has been extensively addressed (CCIC, 1988; Korten, 1988; Smith, 1987; Elliot, 1987; UN special Session, 1986). In the past, the relationship between Kenyan and Canadian NGOs had been dominated by the financial clout possessed by the Canadian NGOs. Today in Kenya, as in other African countries, Canadian (as well as other Northern NGOs) are being challenged by indigenous groups who are increasingly demanding a re-definition of the relationship (Kajese, 1987). There are different arguments from different camps. For example, there are those who focus on the nature and meaning of development (Hellinger et al, 1988; Korten and Brown, 1988). These authors perceive development as being much more than transferring resources from the North to the South. They criticize NGOs which remain shackled to the "project" and to the donor-recipient relationship which it embodies. Other bases (than funding) are perceived to be more meaningful for development. Shared decision-making power with Southern partners, plus analysis and policy advocacy are among the bases for a new definition of development (CCIC, 1988; Lecomte, 1986).

Suspicious and accusations are not confined only to the relationship between African NGOs and their governments. Similar allegations and debates are common between African and Northern NGOs. For instance, northern NGOs have been accused of being secretive and non-transparent about their decision-making processes, as well as maintaining a non-reciprocal relationship with their Southern NGO partners (Tandon, 1991). There is lack of reciprocal exchanges in the sharing of information generated through evaluations and monitoring procedures. Tandon goes further in attacking Northern NGOs by suggesting that they are

reluctant to be evaluated by their African partners, and are carrying out their (Northern NGOs) own agendas, and not at all those of Africa (p. 75).

in response, Canadian NGOs are putting strong emphasis on the need to facilitate the building of ties between their organizations, and Southern social movements and people's organizations (CCIC, 1990). The mainstay of NGO's contribution to development is argued to be less of financial input, and more of organizational input - that is mobilization of people into organization structures (Brown and Korten, 1988). In CCIC's (1990) discussion paper on the "Critical 90s" the notion of genuine partnership with southern organizations was highlighted:

Over time, strengthening true North/South partnership a partnership founded on principles of reciprocity and mutual trust - would enable us to see that many development issues are common to us all. Such issues include fighting unemployment, preserving and strengthening small farms, making credit available for small businesses, providing housing for the homeless, and improving air and water quality. These are but a few of the many issues which would clearly benefit from a continuing and honest dialogue between North and South. (p. 19)

When reference is made to relationships between Northern NGOs and their counterparts in the south; two concepts are contemplated: the concept of genuine partnership, and the notion of organization (or institutional) strengthening. This compels an exploration of the meaning or definition of partnership, in the context of NGOs and their development activities.

3.5 Canadian NGOs and Partnerships

Literature on Canadian NGOs reveals three distinct categories of organizations with whom partnerships are forged. Canadian NGOs tend to work with: 1) their home government agencies; 2) counterparts in Canada, and 3) counterparts in the South. It appears that the idea of "partnership" within the NGO community took on new meaning ever since the theme became central to the Canadian ODA strategy. In Sharing Our Future (CIDA, 1987), Canadian NGOs were recognized as potential partners with the Canadian government - as project implementors and channels for aid funds. Increased attention towards NGOs as partners is attributed on the one hand to the fact that NGOs have had deep roots in Canada's national heritage. On the other hand, their focus on helping the poorest of the poor made them fitting partners, since poverty alleviation and human resource development are key elements of Canada's ODA strategy.

Within the NGO community, partnerships surfaced in the form of coalitions and consortia in response to the crises in the Third World - most especially the African crisis of the mid-1980s. As government funding to NGOs increased, coalitions and consortia and umbrella organizations involving Canadian NGOs were created. Examples of such inter-agency coalitions are: Partnership Africa Canada (PAC) - a coalition of 85 Canadian NGOs (PAC, 1988); Solidarity Canada Sahel (SCS); Cooperation Canada Mozambique (COCAMO) - with 19 Canadian NGOs; and South Asia Partnership (SAP). These are just a few examples of NGO-NGO partnerships in Canada. Coalitions demonstrated the strategic value of pooling resource and experiences through a coordinated response to a pressing crisis (Brodhead and Herbert-Copley, 1986; PAC, 1989). Outside of project delivery and implementation, Canadian

NGOs, in their relationships with counterparts in developing countries, have shed little light on the meaning of partnership. When the term is used within the Canadian NGO community, descriptive methods such as participatory approach, empowering communities, self-reliance and bottom-up decision making, are voiced in reference to Canadian-Southern NGO partnerships (Brodhead and Herbert-Copley, 1988; PAC, 1989). To summarize, despite growing rhetoric on the importance of partnership as a development notion for the 1990s, and the stated urgent need to enlarge and strengthen the partnership between governments, non-governmental organizations and counterparts in developing countries, little research has been carried out to evaluate the whole concept of partnership, and how it can be meaningfully incorporated in development as proposed for the decade of the 1990s and beyond. Table 2.1 outlines the evolutionary trends in the Canadian NGO community in the past three decades in an effort to meet development needs of populations in the Third World.

Table 2.1

Evolution Of Canadian Non-Governmental Organizations (CNGOS)

Conceptual Framework-2

Decade	Numbers	Organization Structure	Operating Environment	Development Issues	Development Strategies: Programs	Type of Activities	Partnerships with
Before 1960s	Less than 20	Origin Foreign based Affiliation Control Decision making rests outside Canada.		Pastoral and Religious Promotion Evangelism Literacy programs for religious purposes	Sending Missionaries and other Volunteers to Developing countries Providing money; and material goods to offset commodity shortage.	Fund raising for Parent office(s) outside of Canada Converting the indigeneous populations in the Third World. Home economics - cooking, sewing & hygenic activities.	Missionary offices Church related societies/clubs initiated by colonial powers or churches.
1960s	20 +	Foreign Controlled Decision-making & programming responsibilities for overseas programs rests outside Canada	Forging Relationships with: Government funding agencies Working with the poor in the Third world Developing Constituencies in Canada	Modernization and Industrialization Assist the newly independant nations with commodity supply First generation NGO activities	Humanitarian Services Delivery of Relief and Welfare Services Offering direct assistance to individuals and families. Sending Volunteers (e.g. CUSO) (Logistic Management) CNGOs as Doers	Charitable Activities Child Sponsorship Sending Care Packages mostly used clothes and shoes) Building schools & hospitals Fundraising for parent offices Basic Education Health Care activities.	Governments in Canada Counterparts in Third World countries (e.g. local churches) Missionary Hospitals and Schools.

Table 2.1 (Cont'd)

Evolution Of Canadian Non Governmental Organizations (CNGOS)

Conceptual Framework-2

Decade	Numbers	Organization Structure	Operating Environment	Development Issues	Development Strategies:	Type of Activities	Partnerships with
1970s	139 +	<p>Signs of Domestication of Structure</p> <p>Still a limited number of foreign controlled NGOs.</p> <p>Forming of governing boards</p> <p>Acquiring tax exemption from government.</p>	<p>Increase in Government Funding</p> <p>Introduction of government matching grants.</p> <p>Gradual introduction of Project and funding criteria; standardized application forms.</p>	<p>Development Vs. Welfare</p> <p>Self-reliance</p> <p>Redistribution of wealth</p> <p>Empowering</p> <p>Second generation NGO activities</p>	<p>Human Resource Development</p> <p>Community Development</p> <p>Direct assistance to community groups</p> <p>Donor-recipient-project funding (CNGOs as Mobilizers)</p>	<p>Community Development Projects</p> <p>Small scale (self-help activities)</p> <p>Digging wells and elevating pit latrines</p> <p>Introduction of new intermediate technologies in Third World</p> <p>Fund raising for government matching grants.</p>	<p>Field offices in Third World</p> <p>Funding agencies in Canada (e.g. CIDA).</p> <p>Subsidiaries</p>
1980s	over 200	<p>Canadianization of Foreign Controlled NGOs</p> <p>Decrease in parent office, control of decisions</p> <p>Focus on Organization profile (e.g. Mission Statement Governance, Staffing and Programming for overseas activities).</p> <p>Growth in budgets, staff & fund raising.</p>	<p>Proliferation of CNGOs</p> <p>Cost consideration by funding agencies</p> <p>1) Government concern with CNGOs growth & management.</p> <p>2) Decentralization of funding decisions</p> <p>3) Institutional Evaluations initiated (by CIDA)</p>	<p>Structural Adjustment</p> <p>Sustainable development</p> <p>Institutional and Policy changes</p> <p>Inter-Agency Cooperation</p> <p>Direct Funding debate.</p> <p>Third generation NGO activities</p>	<p>Strategic Management</p> <p>Institutional Strengthening</p> <p>Program vs. Project</p> <p>Forging alliances/linkages coalitions/networking</p> <p>Bilateral funds made available to CNGOs (CNGOs as Catalysts)</p>	<p>Long-term Development</p> <p>Building Public awareness in Canada</p> <p>Focus on income generating activities (especially for Women)</p> <p>Providing credit to local grassroots groups.</p> <p>Technical training (skills acquisition).</p>	<p>Funding agencies (CIDA)</p> <p>National NGOs</p> <p>Community groups</p>

Table 2.1 (Cont'd)

Evolution Of Canadian Non Governmental Organizations (CNGOS)

Conceptual Framework-2

Decade	Numbers	Organization Structure	Operating Environment	Development Issues	Development Strategies: Programs	Type of Activities	Partnerships with
1990s	300 +	<p>A move towards Inter-Agency Structures</p> <p>Emphasis on Coalitions and consortiums</p> <p>Professional bureaucracies</p>	<p>New Forms of Cooperation Between:</p> <p>CNGOs and CIDA</p> <p>CNGOs and Third World NGOs</p> <p>CNGOs and Constituencies</p> <p>Budget cuts</p> <p>Changing terms of (CNGO) engagement in Third World</p>	<p>Transformation and Change:</p> <p>Change in Institutions, Values technologies and economies</p> <p>Shift from self-reliance to Interdependence</p> <p>Genuine Partnerships</p> <p>Sustainability and inclusiveness</p> <p>Democratization of economy, society and policy</p> <p>Fourth generation NGO activities</p>	<p>New Forms of Inter-agency Cooperation</p> <p>Networking</p> <p>Influencing Policy change at local, national and global levels</p> <p>Promote popular democracy</p> <p>(NGOs as Activists)</p>	<p>Professional Services</p> <p>Offering specialized credit</p> <p>Providing legal aid to marginalized groups</p> <p>Communicating ideas</p> <p>Providing essential community services</p> <p>Educating constituencies</p> <p>Policy watchdogs</p>	<p>Multi-Sectors (Inclusiveness)</p> <p>People's organizations</p> <p>Social movements</p> <p>Special interest groups</p> <p>Business communities</p> <p>Governments</p>

4.0 METHODOLOGICAL REVIEW OF CASE STUDY RESEARCH

4.1 Introduction

A study, such as the present one, which explores evolving trends of development strategies, and relationships between organizations, demands careful choice of a research methodology.

In the social science field, qualitative research has been widely discussed by numerous scholars and academics (see for example: Junker, 1960; Wax, 1971; Douglas, 1976; Bouchard, 1976; Warren, 1977; Burgess, 1982; Lofland and Lofland, 1984; and Bogdan and Biklen, 1992). Qualitative research methods are suitable for such diverse disciplines as anthropology, history, political science, education and administration. Program evaluators (Cronbach, 1980; Patton, 1980; Guba and Lincoln, 1981) have also promoted using qualitative research strategies, especially in natural settings.

The task of choosing becomes even more complicated and confusing when an investigator is faced with so many qualitative research techniques. Does one, for example, adopt an ethnographic approach, an historical one, an experiment, or a case study? What is the rationale of choosing one investigative technique over another? The decision to choose the case study as a methodological approach for this research, stems from an intensive review of methodological literature, heeding the guidelines offered by such scholars as Yin (1984), Merriam (1988) and Anderson (1990), to mention just a few. These research academics offer useful suggestions on overcoming the stalemate of choosing a research method, by focusing attention on the nature of the research problem, and on the type of "research questions" being asked.

The nature of the research problem and the questions being explored, are the two key reasons for a researcher's selection of a case study design (Yin, 1984; Anderson, 1990). It can be the best plan for answering one's questions, as it offers a means of investigating complex social units involving multiple variables. Writing about case studies Yin (1984) offers a working definition:

A case study is an empirical inquiry that investigates a contemporary phenomenon within its real-life context; where the boundaries between phenomenon and context are not clearly evident and in which multiple sources of evidence are used. (p. 23)

He further explains that case studies are the preferred strategy when "how" or "why" questions are being posed, and when the investigator has little control over events or phenomenon. Development theories, non-governmental organizations, international (donor) agencies' policies towards development, North-South partnerships, are all "contemporary", and "complex societal" issues, demanding methodologies which advance understanding of the current events. A case study emerges as one of the most suitable techniques to explore these phenomena.

This chapter accomplishes a number of things: 1) it offers the rationale for selecting a case study research methodology; 2) it examines theoretical principles of case study research; 3) it outlines the conceptual framework of the research; 4) and delineates how the region of study was determined, CNGOs selected and information generated, specifying sources of data, instruments used and procedures followed.

4.2 Principles of Case Study Research

Case study research has a common ground with other qualitative research methods, in the sense that they all emphasize an understanding of a phenomenon, with no value stance assumed (Merriam, 1988; Anderson, 1990). Case studies, however, differ from histories, for example, as they deal with contemporary, rather than past events. They vary from evaluations since they tend to be concerned with "how things happen and why", than "what happened in relationship to what was planned", as in program evaluation. Also unlike experiments, case studies do not attempt to control events.

In general, case studies can be used to test, refine or extend existing theory, and discover new theoretical constructs. They can also diagnose a problem, formulate policy and offer understanding of specific issues and problems of practice (Merriam, 1988). Due to their atheoretical nature, they are neither guided by established or hypothesized generalization, nor motivated by a desire to formulate general hypotheses (Lijphart, 1971).

4.2.1 *Advantages of the Case Study*

There are many advantages attributed to case study research strategies. Among the most commonly expressed are: 1) Case studies are particularistic, focusing on particular situations, events, or phenomenon (Guba and Lincoln, 1981; Merriam, 1988; Bogdan and Biklen, 1992). 2) They are exploratory, inductive, and holistic, with emphasis on processes rather than ends. They provide rich, thick description of the phenomenon under study, and offer an experimental perspective, ideal for the presentation of the grounded data (Guba and Lincoln, 1981). 3) Case studies are particularly fun to do (Anderson, 1990), and intrinsically

interesting (Merriam, 1988) as one would study a case to achieve as full an understanding of the phenomenon as possible, and gain an insight into how things get to be the way they are. They get as close to the subject as they possibly can, through means of direct observation in natural settings, and access the subjective factors, such as thoughts, feelings and desires of participants (Bromley, 1986). 4) Unlike other research designs, case studies are interpretive in context (Cronbach, 1975), and results are presented qualitatively, using words and pictures rather than numbers and statistical tables, as in quantitative research. 5) Finally, case studies use natural language or conversation like format (Guba and Lincoln, 1988), not scientific jargon, thus, allowing the results of the study to be communicated more easily to non-researchers.

4.2.2 *Limitations of Case Study Research*

The case study research design, compared to other approaches such as experiments and surveys, has a number of perceived weaknesses. Critics of the methodology refer to:

- 1) lack of rigor, where the researcher tends to be sloppy and may allow personal views to influence the findings and conclusions of the study. This weakness raises concerns about reliability and validity.
- 2) Case studies tend to "oversimplify and exaggerate" a situation, leading the reader to erroneous conclusions about the actual state of affairs (Guba and Lincoln, 1981, p. 377).
- 3) Case studies provide little basis for "scientific generalization", as they tend to be one of a kind and not quite representative.

4) Case studies are also perceived to be "subjective", depending heavily on the interpretation of the writer and on his or her selection of the information to be presented (LeCompte, 1987; Guba and Lincoln, 1981).

5) Results are limited to describing the phenomenon rather than predicting future behaviour.

6) Case studies are also reported to be time consuming, costly and result in massive unreadable documents.

These limitations are perceived by proponents of case studies, such as Yin (1984); Bogdan and Biklen (1992) and Guba and Lincoln (1981), as mere "traditional prejudices" many of which are misdirected. For instance, criticism about "lack of rigor" is disputed by a number of observers who argue that in this respect, case studies are not any different from other research approaches:

It is difficult to talk about the validity or reliability of an experiment as a whole, but one can talk about the validity and reliability of the instrumentation, the appropriateness of the data analysis techniques, the degree of relationship between the conclusion drawn and the data upon which they presumably rest (Guba and Lincoln, 1981, p. 378).

In terms of case studies providing little basis for scientific generalization, Bogdan and Biklen (1992), refute the extremely narrow definition of "science", which perceives only research that is deductive and hypothesis testing. These authors argue that scientific research involves rigorous and systematic empirical inquiry that is data-based, "...part of the scientific attitude as we see it is to be open-minded about method and evidence" (p. 43). In their view, qualitative research meets those scientific requirements. The method of adopting multiple sources of collecting evidence which formulates a "reliable rich data base", and offers "a

chain of evidence", counteracts many of the criticisms directed at case study research (Guba and Lincoln, 1981; Yin, 1984; Merriam, 1988; Anderson, 1990). Data based research is gained through the collection and analysis of information gathered from interviewing people, reviewing documents and archival records, direct observation of events or phenomena, participant observation, as well as examining physical artifacts (Yin, 1984, p. 78). The use of triangulation methods assists a case study researcher to interpret converging evidence, deal with problems of validity and reliability, render credibility to the case and emerge with a clear conclusion of the situation being studied (Anderson, 1990). It is against this background, that the present research selects the case study methodology to explore relationships between and among various organizations as they strive to bring about sustainable development in Third World countries. However, it is important to mention that though the principal core of the research is embedded in case study techniques, there is occasional cross-over into other strategies, such as history, primarily because the study examines evolutionary phases of organizations.

4.3 Conceptual Framework of the Research

The conceptual frame of this research is based on two assumptions. First, it is assumed that the work, and therefore contribution of Canadian NGOs towards the developmental needs of Third World countries, have evolved through distinct stages and that the chronology of events within the NGO community corresponds to the thinking in development theory and practices of the same period.

Secondly, it is presumed that in a partnership relationship between Canadian NGOs and other organizations towards the achievement of development objectives, there must exist agreed upon elements of partnership. In this study, such a partnership exists when the following characteristics, based on the available definitions of partnership as exemplified in the second chapter, are taken under consideration:

1. Mutuality - such as mutual benefit, trust, and respect;
2. Commonality - having common values and goals;
3. Sharing - of resource, power, information and experiences;
4. Joint effort - such as responsibility, obligation and rights;
5. Equality - in decision-making and reciprocity.

In exploring the evolution of Canadian NGOs within the development framework (see Tables 1.1 and 2.1 on pp and) this study examines how partnership works between the Canadian International Development Agency (CIDA) and Canadian non-governmental organizations (CNGOs) and between these NGOs and their partners, the Kenyan non-governmental organizations (KNGOs). The following questions are investigated:

1. What has been the historical nature of the CIDA-NGO relationship in the past 30 years of development thinking?
 - 1.1 How has the relationship evolved over the years?
 - 1.2 What has been the funding pattern of NGO projects by CIDA?
 - 1.3 What aspects of the relationship go beyond funding mechanisms?
 - 1.4 What significant benefits does each party accrue from the relationship?

2. How is "partnership" understood by each partner?
 - 2.1 How does each party define development?
 - 2.2 What standards guide the partnership between CIDA and Canadian NGOs?
 - 2.3 What mechanisms are used for partnership dealings?
 - 2.4 What are the obligations of each partner?
 - 2.5 What capacities are being strengthened by the partnership both in the NGO community and at CIDA?
 - 2.6 What influences has partnership between CIDA-CNGOs had on the development activities of CNGOs?
3. What are the long-term commitment of Canadian NGOs to partnership with Kenyan non-governmental organizations?
 - 3.1 How do Canadian NGOs identify development partners in Kenya?
 - 3.2 What is the nature of the relationship between CNGOs and their counterpart in Kenya, in project development and administration?
 - 3.3 How do Canadian NGOs carry out their development activities in Kenya?
 - 3.4 What expectations are there between CNGOs and their counterparts as far as development activities are concerned?
4. In what significant way has the partnership between CIDA and CNGOs affected or influenced the relationship between CNGOs and KNGOs?
 - 4.1 What is the history of partnership relationship between CNGOs and KNGOs?
 - 4.2 What changes have occurred in the organizational structures of KNGOs due to their partnering with CNGOs?
 - 4.3 Are CIDA-NGO obligations reflected in CNGO-KNGO obligations?

4.4 Sources of Data

The idea of "starting where you are" expressed by social scientists such as Lofland and Lofland (1984), is important as it allows a researcher to link his or her personal experiences, interests and emotional state, with the stringent intellectual process implicated in case study data collection.¹² This means that an investigator not only has to be enthused about the project at hand, but also has a plan of action indicating what needs to be done, how and when to get it done. Appropriate training is a fundamental requirement for conducting case study research, as it allows the investigator to gather meaningful information, and emerge with robust conclusions (Bouchard, 1976). Adopting the guidelines of gathering data for the case study suggested by such academics as Yin (1984), Anderson (1990) and Merriam (1988), this study utilizes various sources of evidence: "people" - through interviews and "documents" and "direct observation" - through site visits. By using a variety of sources and resources, a researcher can build on the strengths of each data collection technique, while minimizing the weaknesses of any single approach. This not only increases the validity of data compiled, but it strengthens its reliability (Patton, 1980).

4.4.1 People

The main source of data for this research was people. Interviews were conducted with the following categories of people: 1) nine officials at CIDA; 2) two officers at Partnership Africa Canada (PAC) - the Director and the Program Officer; 3) 12 directors of CNGO in Canada; 4) 10 CNGO officers in Kenya - five field directors, four program officers and one department head; and 5) eight leaders of KNGOs.

Respondents were identified in a number of ways. Initially, "casting the nets" procedure as discussed by Guba and Lincoln (1981, p. 172) was employed. This process allows an investigator to ask initial respondents to identify others who are close to the event or situation or who might be knowledgeable about the area. This process is referred to elsewhere as "snowball sampling" (Bogdan and Biklen, 1992, p. 70). As the processes of data collection progressed, other methods (for example acquisition of organizational directorate) of identifying interviewees were utilized. Details of the procedure used in interviewing individuals in different organizations is described in section 4.6 of this chapter.

4.4.2 Documents

Documents constituted another source of information. These ranged from annual reports of various organizations, project proposals, evaluations, policy papers, memoranda, newspaper reports, speeches by government senior management, to task force reports, as well as application forms for funds. The importance of documents, or secondary sources, in qualitative research has been emphasized by several researchers (see Riley, 1963; Dexter, 1970; Patton, 1980; Burgess, 1982; Goetz and LeCompte, 1984; and Stewart and Kamins, 1993). There are many reasons why documents have an important place in case study research. In some cases documents can yield more and better data at less cost than other techniques (Dexter, 1970). They are easily accessible, frequently free and contain information that would take an investigator enormous time and effort to generate on his or her own (Merriam, 1988). Documents are the most reliable source for studies focusing on historical events, where direct observations are impossible, and informants are inaccessible (Riley,

1963). Not only do documents provide valuable information about the event itself, for example, by tracking change and development, but they can also stimulate thinking "about important questions to pursue through more direct observation or interviewing" (Patton, 1980, p. 152), in effect becoming a useful comparative tool.

Guba and Lincoln (1981), note that documents are a good source for qualitative case studies because they can ground an investigation in the context of the problem being investigated. So crucial are documents that if none exist, or if sparse and seem uninformative, this ought to tell the inquirer something about the context (p. 234-235).

There are problems a researcher has to be aware of in accumulating documents. Determining document authenticity, accuracy, and recency is a fundamental problem. Documents can be incomplete, inaccurate and selective, where only certain aspects of the event are documented. As such, they should not be used in isolation. Burgess (1982) suggests that it is the investigator's responsibility to determine as much as possible about the document, its origins and reasons for being written, its author and the context in which it was written. It is also suggested that, problems with documents are more acute in developing countries. Writing about "international data sources", Stewart and Kamins (1993) note that data collection in many Third World countries either is not done or is of recent origin, often lacking reliability and information tends to reflect the official policies and positions of governments. However, as a supplementary source of data gathering, many documents proved to be useful in putting a number of concepts in perspective.

4.4.3 *Site Visits and Observations*

In order to validate information generated from people interviewed and documents reviewed, site visits to projects in the field were carried out. Through these visits, it was feasible to exercise personal observations of the activities conducted by various groups, and fill in the gaps which interviews and documents would not have provided.

4.5 *Instruments*

4.5.1 *Interviews*

Interviews were central to gathering information from people. In qualitative research, and particularly in case study approach, interviews - which are described as a "conversation with a purpose" (Webb and Webb quoted in Burgess, 1982, p.107) - are widely recognized as having an edge over other approaches, such as questionnaires. The most appealing feature of interviews is flexibility, "allowing questions to be restated if they were not at first understood" by a respondent (Guba and Lincoln, 1981, p. 164). Interviews can be used at different intervals during the course of data collection. They can, for instance be used during the exploratory phase, the course of the research itself, as well as during the analytical phase where they help a researcher to interpret data collected by other means. Disadvantages to the interview approach have also widely been discussed. Inefficiency and cost, the unpredictable nature of the results, doubtful generalizability of results - due to the smallness of the sample, and difficulty in replicating the interview in a separate setting, are some of the drawbacks of interviews (see Bouchard, 1976; Guba and Lincoln, 1981; Bogdan and Biklen, 1992).

However, as alluded to earlier in this chapter, no single source of information can be fully

trusted to provide a thorough perspective of any phenomenon. Therefore, limitations to the interview technique were supplemented with other sources.

Since a person's knowledge of a topic ranges from fact to opinion (Patton, 1980), and good data from interviewing is based on asking good questions, design for interview protocols was carefully planned. The types of interviews considered were a mixture of "structured and semi-structured", or what Bouchard (1976) refers to as "type I and type II" interviews. These types of interviews take a variety of forms, where questions are a mixture of hypothetical suppositions, devil's advocate, ideal position, and interpretive stance. This mixture of questions is advanced by social scientists such as Strauss, et al., (1981), and evaluators such as Patton (1980). Patton lists six types of questions that can be used to get different types of information from a respondent. These questions deal with: experience and behaviour, opinion and values, feeling and sensing as well as background or demographic details. Thus a structured interview protocol incorporates multiple choice, true-false, agree-disagree preferences, and some open-ended or free response questions.

Structured interview protocols were used to generate information from the following categories of people: 1) officials of CIDA and PAC, 2) directors of Canadian NGOs; 3) field directors of Canadian NGOs in Kenya and, 4) leaders of local Kenyan groups (KNGOs) with whom Canadian field directors associated.

4.5.2 *Issues covered in protocols*

Interview protocols (see appendix section for actual protocols) were designed to correspond to research questions raised earlier in this chapter. Generally, protocols gathered information on the following topics: 1) background on organizational administration, governance and managerial structures. 2) programming priorities, including goals towards African development. 3) financial details, budgets, sources of funding (in the cases of CNGOs and KNGOs), disbursement procedures, and accountability. 4) communication channels between, and evaluation processes of organizations; and, 5) finally the conceptual understanding and application of the principle of partnership.

4.5.3 *Informal Interviews*

Unstructured or informal interviews, referred to as "type iv" interviews by Bouchard (1976, p. 372), were another form of interviewing used in data collection. These were casually conducted at sites with individuals who were either full participants in NGO-activities, or those indirectly affected by these activities. Individuals ranged from school children, women's groups, farmers and in some instances magazine editors, all of whom were somehow touched by the activities of the selected CNGOs and KNGOs. In effect, these acted as informants, who not only provided insights into the issues which were being investigated, but also suggested sources of "corroboratory evidence" (Yin, 1984, p. 83). Guba and Lincoln (1981) support the use of unstructured interviews especially when one is interested in pursuing some subject in depth, or when operating in a discovery, rather than a verification mode.¹³ Also if one is interested in uncovering some motivation, intent or explanation as

held by the respondent, unstructured interviews are ideal for the purpose. One of the examples from my field notes exhibits this casual approach. The following is an excerpt from a conversation between myself (interviewer) and a university librarian who had been asked by the university Principal to assist me locate some books:

Librarian: *Did the principal say you are from Canada?*

Interviewer: *Yes, I am from Canada... (after noticing that he was a bit perplexed) ..actually, I live and work in Canada, but I was born and raised in Uganda.*

Librarian: *(Now smiling). The principal said you are a student. Are you a Ugandan student in Canada?*

Interviewer: *Actually I am now a Canadian citizen, and I am exploring the work of Canadian NGOs in partnership with Kenyan NGOs.*

Librarian: *You mean to say patronage between Canadian and Kenyan NGOs?*

Interviewer: *No, not patronage, partnership like in mutual..... (before I could finish he cut me off)*

Librarian: *I know what you are referring to, they say partnerships, but they practice patronage...*

Needless to say, that I seized many opportunities to have casual or informal interviews with this librarian whenever time allowed, for as an informant he revealed a number of interesting views, which were later incorporated as probes in subsequent formal interviews.

4.6 Procedure

Data collection for this study comprised two countries and three distinct phases: Canada (the Northern partner) and Kenya (the Southern partner). Kenya was chosen for the field study basically because the researcher was familiar with the East African region, being a

native of Uganda. Unlike Uganda, however, Kenya has had a relatively calm political atmosphere within which foreign NGOs have thrived. As well, Kenya has witnessed an influx of NGOs in the past decade, making it a preferred country in the region for this research. Phases one and two were carried out between February 1990 and July, 1991. The third and final phase, which constitutes the major part of "Case Study", was conducted in May, 1992.

4.6.1 Phase One

Phase one of the research was a preliminary exploration of Canadian NGOs' involvement in Africa. This phase took place in Canada and it generated information from officials of CIDA, PAC, and CNGOs. The purpose of the preliminary data collection was to:

- 1) ascertain the objectives and long term goals of CNGOs and CIDA in African development;
- 2) identify Canadian NGOs which receive government funding for development activities in Kenya;
- 3) identify other channels through which Canadian official development assistance is delivered to Africa;
- 4) generate background information on the functioning of Canadian NGOs and their involvement in Kenyan development; and
- 5) identify the Kenyan local partners of CNGOs.

The first interview was conducted on February 12, 1990, with the program officer of CIDA's NGO Division (Special Programs Branch) at CIDA headquarters in Hull, Quebec. Using the interview protocol (see Appendix 2A), the focus was on the general objectives of the CIDA-NGO division, the CIDA-PAC relationship; the funding mechanisms of CIDA; and CIDA's evaluation of NGO development activities. Documents acquired from the program officer enabled the researcher to identify a number of Canadian NGOs operating in Kenya

and facilitated subsequent selection of NGOs to be studied in the second phase.

The second interview was conducted on March 14, 1990, with the project officer of CIDA's Bilateral Kenya desk. Using the same interview protocol, the researcher was led to other branches within CIDA which dealt with Canadian NGOs, for example the Africa 2000 branch - one of Canada's responses to the African famine crisis of 1984, a 15 year commitment by the Government of Canada to the recovery and long-term development of Africa (CIDA, 1989).

The third interview was carried out on April 5, 1990, with the Director of Partnership Africa Canada (PAC). The interview protocol for PAC (see Appendix 2B) elicited general background information on the agency and its relationships with CIDA and CNGOs. It also assisted in further identifying the numerous CNGOs operating in Kenya.

Twelve Canadian NGOs were selected for the initial survey. These were selected to represent variations in three aspects:

1) affiliation - religious, secular and international; 2) size - large or small, determined by the organizational annual budget, number of paid personnel as well as number of activities (reflected in projects) the organization executed in Kenya; 3) whether an organization had a local subsidiary or counterpart in Kenya. A counterpart organization was deemed to be locally chartered and generated some local funds for its activities. A subsidiary organization, on the other hand, was considered to be a local office of a Canadian NGO in Kenya, receiving most of its funding from outside of the country.

The following 12 Canadian NGOs were interviewed in the preliminary phase: The Canadian Organization for Development Through Education (CODE); YMCA-CANADA; Canadian Catholic Organization for Development and Peace (OCCDP); Canadian Hunger Foundation (CHF); CARE Canada; World Vision Canada; Foster Parent Plan Canada (FPP); Aga Khan Foundation (AKF); African Inland Mission (AIM); The Salvation Army; Save the Children-Canada; and Adventist Development and Relief Agency (ADRA).

A structured interview protocol (see Appendix 2C) was used in generating information related to the history of the organization, its administrative structure, the nature of the relationship between the organization and CIDA, as well as the Kenyan counterpart or subsidiary.

With all the structured interviews, I started off by introducing myself and stating the objective of conducting the interviews. The interviewee was assured of the confidentiality and anonymity of his/her responses, complying with suggestions of Warren (1977), Wolfe and Tymitz (1977), and Patton (1980). Furthermore, each respondent was informed that where requested, I would share the findings of the study at a later date. The interviewee was then asked if he/she had any questions regarding the interview or the research in general. A respondent was then asked whether he or she would mind if the interview was taped. Taping of responses was deemed necessary due to the fast pace of speech by some respondents. In instances where an interpreter was utilized, the need to record responses was even greater, since different members from different tribes, for example, Luo and Kikuyu, have varying accents when they speak English. Tape recording was complemented with careful listening and taking notes (on a spiral shorthand notebook).

In all settings, the rationale for recording the interviews was based on the fact that it allowed me to listen carefully to respondents without becoming anxious about missing important and relevant information. A respondent was given the tape recorder and shown the on-off button, and was instructed to turn it off if he or she did not feel comfortable having certain responses recorded. This approach generated interesting observational data, and offered nonverbal cues, which I systematically recorded. For instance, I became extremely attentive when a respondent turned off the recorder. This gesture was important data. It was a case of "unobtrusive measures" which alerted me to the sensitivity of the issue being discussed and the concerns the respondent might have. It was a nonverbal cue which could add depth to the case analysis (Guba and Lincoln, 1981). In an instance like this, I intensified "the probing" to gain a full understanding of the issue being discussed. Probes are encouraged in interview schedules as reminders to the investigator to scrutinize for items that might not be mentioned spontaneously (Matthews, 1977; Lofland, 1982). It was important to know when to exercise the notion of "cooling out", the process of lessening the probing (Bouchard, 1976), and to continue with the designed interview questions. When an interviewee exhibited any uneasiness with the tape recorder, it was put back in my briefcase, and a note pad was used instead.

There are varying views in the literature on the issues of "taking notes" and "using tape recorders" during interviews. While some authors encourage tape-recording to ensure that everything said is preserved for analysis (Merriam, 1988), others feel that tape recorders can make a researcher a victim of the "laters", the type of thinking which maintain "later I will listen to those tapes, later I will analyze these data..." (Guba and Lincoln, 1981, p. 173). There is also the cumbersome and costly phase of transcribing recorded interviews, which is

also a major drawback. Similarly, taking notes has its supporters and opponents alike. Proponents argue that note taking helps to minimize devastating consequences of relying solely on taping alone, especially in cases when a mechanical malfunction occurs. Most importantly, however, is the fact that note taking sends a signal to the respondent that what is being said is very important to the interviewer. Lofland and Lofland (1984) write: "Interviewers are usually expected by the people they are interviewing to be taking notes. In fact their failure to do so may communicate lack of seriousness or inattention" (p. 50). Objections to "note taking" is mostly aimed at investigators who are conducting participant observations, when it can be situationally inappropriate or strategically unwise to take notes in the immediate presence of the people being researched (Danziger, 1979; Thorne, 1979 - as quoted by Lofland and Lofland, 1984).

4.6.2 Phase Two

Gathering of data in this phase took place in Kenya, between April and July 1991. The initial design was to interview six Canadian NGOs operating in the country. Unanticipated factors such as poor communication within the country, time lost awaiting research permit, plus prospective interviewees being on holidays or cancelling appointments, permitted five CNGCs to be interviewed. This phase had four main objectives. First, it explored how projects were planned, implemented and monitored. Secondly, it examined the nature of the relationship between CNGO field directors and their partners - the leaders of KNGOs - with emphasis on how local partners were identified. Thirdly, it assisted in identifying who the local groups were, where they were located and how to access them. And finally, it provided

an opportunity to observe first hand, projects and activities of local groups whom CNGOs assisted.

Structured interviews (see Appendix 2D) were conducted with 10 officials of five CNGO field offices in Nairobi. These included the following: Aga Khan Foundation (AKF); World Vision; Canadian Hunger Foundation (CHF); CARE International Kenya; and Adventist Development and Relief Agency (ADRA). Interviews were arranged over the telephone. Initially I would start off asking for the office director. I would either be put through right away to the director or asked to wait - which in many cases seemed infinite. In some instances, the field director would be so new to the job that instead, I would be referred to the assistant. In almost all the five CNGOs, it was necessary to interview the director and the program officers or managers. Some officials requested that I send a formal letter, requesting an interview, clearly stating the objectives of the research. Where requested, such a letter was submitted.

Seven local Kenyan organizations (KNGOs) were identified through interviews with CNGO field officers. Structured interview guides (see Appendix 2E) were used to gather information from leaders of local groups. The seven local organizations interviewed were: 1) Murugi-Mugumango Water Society - identified as a CHF local partner. The organization is situated in Meru District along the Meru-Embu road; approximately two hours drive from Nairobi. 2) Shelter Afrique (partner to AKF) - but which also acted as a funding agency under the umbrella of African Housing Fund (AHF) - has its central office in the centre of Nairobi. It manages numerous housing projects in the city slums on the outskirts of Nairobi. 3) Nyakasumbi Women's group; and 4) Kwegitich Women's group - both partners of CARE

Kenya international - in Siaya District in the South Western part of Kenya. These groups were operating in the township of Bondo, approximately one hour drive from Siaya township, on a dirt road. 5) Ruiru Arahuka Family Development Project was identified as World Vision's partners. The project is located 22 kilometres north of Nairobi, off the main highway to Thika town; in the industrial township of Ruiru. There was an estimated population of 100,000 (according to Community District Commissioner who was present during the visit) - a large number of them employed in the form-mattress and metal factories as well as on the existing coffee estates. 6) Kayole Mihango Muungano Women's group is an AKF - along with Shelter Afrique - partner. The group located just outside of Nairobi boundary, is basically involved in production of building materials, for example, blocks, cement slabs and other items, for providing its members with solid housing, and for business ventures, such as selling of material to non-members. 7) Finally, the Karura Adventist Women's group was identified as ADRA partners. It was an income-generating group, situated on the outskirts of Nairobi.

At the end of each interview, I requested if it would be possible to visit project sites. In order to establish and strengthen the reliability and validity of the interview data, and to move beyond the selective perceptions of those interviewed, direct observation through site visits is recommended. One of the four methods suggested for establishing interview data credibility are "independent observer analysis" (Guba and Lincoln, 1981, p. 185).¹⁴ In all cases, arrangements were made, and sometimes leaders offered to accompany me to various sites. These visits involved touring and observing activities, chatting with people, as builders, farmers, mothers, school children and teachers. The conversation would jump from topic to

topic, trying to make it natural and less of an interview situation. Site visits added tremendously to data collection. As Patton (1980) suggests, many impressions are generated to lend support to (in some cases cast doubt) on information gathered from other sources. There was tremendous demand for "listening skills" during these observational visits. I avoided carrying around note pads or recording any observations at the sites, basically because it seemed so "unnatural". The first time I attempted to script an observation, the informant stopped talking and waited until I finished writing. This disrupted the flow of the casual conversation.

Since the main purpose of these visits was to determine how project activities supported by Canadian NGOs were carried out, and to trace discernable impact of these activities on those who are in the most need of development, I used the camera to capture images of buildings, school children and farms. Taking photographs at the case study has its supporters. For instance, Dabbs (1982) believes that photographs help to convey important case characteristics to outside observers. In visiting sites, I employed "a complete observation" status¹⁵. People at the site knew who I was, what I was trying to do and the types of activities I was interested in observing.

4.6.3 Phase Three

The third and final phase took place in Canada. Once again, revised interview protocols (see Appendices.2F and 2G) were used with: 1) officials of CIDA-NGO Division and Bilateral branch of the Kenya desk; 2) Officers of one Canadian NGO, in this case CARE, - which appeared well organized and rooted - selected from the five NGOs studied in

the field in Kenya. This research therefore constituted a single case study. The purpose of conducting interviews in this phase was to concentrate on one specific NGO, and examine how partnership transpires, in three distinct organizations: 1) a Canadian NGO (CARE), 2) a funding agency (CIDA), and; 3) a local Kenyan group (or groups). The interview questions for CIDA personnel and officials of CNGO (CARE) elicited specific information on organizational goals, decision-making processes, communication channels (between the organizations), evaluation procedures as well as conceptual understanding of partnership.

4.7 Fundamentals in Case Study Analysis

Numerous researchers have written extensively about handling data "inductively" (see Guba and Lincoln, 1981; Patton, 1980; Bogdan and Biklen, 1992; Goetz and LeCompte, 1984; Yin, 1984; and Merriam, 1988). What many of these writers emphasize is the fact that in qualitative research, and in case study particularly, data collection and analysis is a simultaneous process. The final outcome of a case study is shaped by the data that are collected and the analysis that accompanies the entire process (Bogdan and Biklen, 1992). The process helps a researcher to organize the material and emerge with what Yin (1984) calls "the case study data" or "a case record" according to Patton (1980). Patton explains the importance of a case record:

The case record pulls together and organizes the voluminous case data into a comprehensive primary resource package. The case record includes all the major information that will be used in doing the case analysis and case study. Information is edited, redundancies are sorted out, parts are fitted together, and the case record is organized for ready access either chronologically or topically. (p. 313)

The objective of case study data is to assist a researcher in locating specific data during intensive analysis. Since data analysis is the process of making sense out of one's data, "Information is compressed and linked together in a narrative that makes sense to the reader" (Merriam, 1988, p. 127). The goal of data analysis is therefore, "to come up with reasonable conclusions and generalizations based on a preponderance of that data" (Taylor and Bogdan, 1984, p. 139). One can organize case study data in a number of ways. For instance, Goetz and LeCompte (1984) suggest "unitizing the data" by identifying "units of information that will sooner or later, serve as the basis for defining categories" (p. 191). Conceptual categories, typologies, themes or theories can be developed and devised inductively (Guba and Lincoln, 1981). Category construction is a direct form of "content analysis" (Holsti, 1969), which reflects the purpose of the research, its goals and questions. The categories are "exhaustive", "mutually exclusive" and "independent", deriving from a single classification principle (Holsti, 1969, pp.99-100).

Using different levels to organize data for analysis and presentation has also been proposed. At the primary level, information can be sorted, chronologically or according to what Yin (1984) refers to as "time-series analysis" (p. 99). Data can also be organized topically and presented in a narrative and descriptive fashion (Merriam, 1988; Guba and Lincoln, 1981), or in an analogous explanation-building mode suggested by Yin.

At another level, data analysis can blend descriptive narratives and interpretative modes. Finally, analysis can involve a process of making inferences and developing theory (Miles and Huberman, 1984), by moving from "the empirical trenches to a more conceptual overview of the landscape...no longer dealing just with observable but also with

unobservables, and connecting the two with successive layers of inferential glue" (p. 228). Thinking about one's data, becomes a step toward developing a theory that explains some aspect of practice and allows one to "draw inferences" and "generate speculations", which involve playing with ideas, and permit the researcher to go beyond the data and make guesses about what will happen in the future (Merriam, 1988; Strauss, 1987; Goetz and LeCompte, 1984).

The measure of data interpretation which emerges depends on the purpose of the study (Merriam, 1988). Therefore, a review of the original research questions is a good start with data analysis. By reviewing questions, a researcher is reminded not only of what was set out to be done, but also the "audience for whom the study originally was intended" (Goetz and LeCompte, 1984, p. 109).

Presentation of the findings in chapter five employs a mixture of techniques ranging from an "historical organizational" case study as discussed by Bogdan and Biklen, (1992) and Lijphart (1971), to a descriptive and interpretive (or analytical) style of case study analysis noted by Merriam (1988) and Shaw (1978). An analysis of a single case study of the partnership between CIDA and CARE as well as CARE with its KNGO partners is carried out in Chapter Six.

4.8 Limitations

Given the diverse nature of Canadian NGOs - in terms of size, affiliation, objectives and degree of dependency on government funding - one NGO for the case study might not sufficiently provide generalizable conclusions. The dynamics involved in relationships

between organizations, and across cultural and political boundaries are so immense and deviate, that focus on one NGO cannot fairly represent a general trend. This is a major limitation of this case study.

Likewise, the NGO community in Kenya is very far-reaching, encompassing various African networks, and consortia. which were not explored at all by the present study. It is recognized that excluding these important bodies from the study limits a fuller understanding of mechanisms put in place to promote partnership relations between northern (Canadian) and southern (African) NGOs towards Africa's development. For the purpose of this study such an undertaking, although beneficial, would not fit in the time and financial framework of the research.

The relationship between Kenyan NGOs and their home government, as well as relations between Canadian NGOs and the Kenyan government, are important and relevant issues which are not dealt with in depth in this study.

There is, as well, the question of "validity". Since a great deal of information was generated through interviews, there is a probability that respondents offered information in order to: 1) please the researcher; 2) protect their status quo - by putting themselves in a good light; or 3) avoid telling the truth due to lack of trust.¹⁶

Entry into sites, whether KNGO offices or local farms, was at times constrained by the presence of a CNGO field officer from Nairobi. There was a concern in a number of cases that, in spite of my introductions and verification of the purpose of my research, I represented a funding officer from Canada. This perception often resulted in getting guarded responses. It took a great deal of skill to appease respondents' concerns. One of the techniques I used to

validate that I was indeed a student from Canada (my African physical features notwithstanding), was to show my family pictures, of husband and children in our home. This approach seemed to give me credibility, although it meant starting the interview a bit later than previously planned.

Lack of published literature on NGOs in general, and Kenyan NGOs in particular, and accessing unpublished documents, all proved to be a drawbacks to this research. Finally, for a more useful generalization of the findings, it would have been beneficial in the third phase to include two or three CNGOs - as opposed to one - and explore their evolution in development activities as well as their partnership relationships with CIDA and Kenyan partners. Economically, this was not feasible.

5.0 THE CIDA-CNGO-KNGO PARTNERSHIPS

5.1 History of CIDA-CNGO Relationship

5.1.1 *Introduction*

As indicated through interviews with officials of CIDA and CNGOs, and through review of various documents - annual reports, policy statements and task force reports, the relationship between CIDA and many Canadian NGOs dates back to the initial inception of CIDA, in 1968. At that time, there was a realization within the new agency that all types of groups and institutions, both religious and secular, had a lot to offer developmentally. Representatives of churches, charity organizations and other institutions were invited by the Canadian government to contribute their ideas on the role CIDA should play in development.

5.1.2 *CIDA's Role and Initial Objectives*

At CIDA's inception in 1968, the Canadian government was beginning to play an active and independent role in world affairs, mostly as a mediating force through participation in a number of UN peace keeping operations. Also, initiatives such as Lester, B. Pearson's renowned IBRD study (Pearson, 1969), which resulted in the founding of the International Development Research Centre (IDRC), serve as examples of Canada's efforts to join the international scene. Unlike other governments in Europe, and to a certain degree the United States, who had colonial ties with the developing world, Canada lacked previous ties, or channels for disbursement of aid with these countries. The country also lacked military involvement around the Third World, except perhaps its presence in Asia during World War II. Still, Canada needed to establish itself as a significant independent actor in the global politic.

5.1.2.1 *The Role*

CIDA as an agency responsible for Canada's official assistance programs was given a mandate of bringing Canadian resources to bear on the needs of developing countries. Maurice Strong, then the Director General for External Affairs (now Foreign Affairs) - and later the first President of CIDA, summed up the role of CIDA during his speech to the graduating class of the Banff School of Advanced Management: "In the field of development assistance it is at least as important to be doing the right things as it is to be doing them right. Our job is to provide the links and the channels through which the resources can be directed to meeting these needs (of developing countries) effectively" (CIDA Documents, March 14, 1969, p. 10). Fifteen years later, this role was re-affirmed by another CIDA President - Margaret Catley-Carlson. In defining Canada's role in World development at Memorial University in St. John's Newfoundland, Catley-Carlson related: "The Agency which I head, the Canadian International Development Agency, has the mandate to direct a small proportion of our national resources to help alleviate world poverty and stimulate self-sustaining growth among a selected number of developing countries" (CIDA, September, 28, 1984, p. 3-4). She further explained that CIDA was an agency which serves as a "facilitator of development, by receiving and analysing the proposals put forward by developing countries by matching some of them against Canadian capabilities, and by recruiting the best resources Canada can offer - companies, institutions, individuals - and financing their work" (p. 10).

Clearly, CIDA's role in development corresponded suitably to the development trend of the era: transfer of resources to developing countries, alleviation of world poverty, stimulating self-sustaining growth, and so on. Recruiting the best - exogenous - resources was a common practice in addressing development problems of developing countries. In its role as

a "facilitator" CIDA was providing links and channels - including CNGOs - for efficient transfer of resources to developing countries.

5.1.2.2 *CIDA's Initial Objectives*

In order for CIDA to carry out its assigned role, back in 1968 the agency envisioned the following processes :

- 1) Participating in the development process by encouraging the activities of charitable and other non-governmental organizations, including churches and institutions, and linking the development process to what these organizations were doing. Specifically, CIDA strived to expand and improve CNGOs' programs for international development, by creating a new program, the Special Program Branch, of assistance to these organizations.
- 2) Linking development to the government and its External Affairs policy, by increasing the degree of coordinating aid activities with those of the World Bank and other Multilateral agencies.
- 3) And, finally working with Canadian private organizations set up in Canada, to create a direct personal channel of relationship between Canadian citizens, of various sectors, and the people of the developing world.

These objectives have not changed much over the years, even though priorities tend to change as continuing problems, such as global poverty refuse to abate and new concerns, notably the environment and women in development (WID) emerge. Accordingly, the complexities of development demand different strategies and the use of increasing Canadian capacities of all types, including those of CNGOs.

5.1.2.3 Structures within CIDA

The desire by CIDA to see government aid programs complemented and supplemented by an increasing number of private initiatives of non-government organizations and other institutions led, in the 1970s, to a creation of mechanisms and structures which would enable the government to work effectively with a diverse body of private organizations towards a common goal. The following structures were enacted within CIDA:

- 1) The Special Programs Branch (SPB), presently re-named Canada Partnership Branch (CPB) with NGO as its main division. This division started off with a budget of five million dollars to be used by 20 Canadian NGOs in carrying out 50 projects in Asia, Africa and the Americas (CIDA-NGO Division guide, 1986).

The objective behind the creation of SPB was twofold: First, it was intended to stimulate and support the international development efforts of CNGOs; and secondly, to enable CIDA to tap the expertise and experience available in the CNGO sector. The Canadian model of mixing government and private resources towards a common goal of international development was the first model of its kind in industrialized countries with ODA programs. CIDA's president, Margaret Catley-Carlson took pride in this precedent:

Fifteen years have now passed since the pioneering work was done in setting up a program within CIDA to make public funds available to Canadian voluntary agencies..., more than a billion dollars has flowed through this channel... The program is probably Canada's biggest development success story; it has been the pattern for similar programs in other countries; we are all proud of it. (CIDA, September 30, 1983, p. 15)

Towards the end of the third development decade, it was still hailed as "Canada's smash success of development effort", emulated by many other nations (Sharing our Future, 1987, p. 68).

As Canada's motives for development assistance became more and more defined - summarized by CIDA's President, M. F. Strong (CIDA Documents, March 5, 1970) as: philanthropic/humanitarian, economic and political - CIDA and its Special Programs Branch created more mechanisms including the following: 1) "The Public Participation Program (PPP)" initiated to support CNGOs and Canadian institutions working to promote development issues and to create a greater level of awareness among the Canadian public. 2) "The International Non-governmental Organizations (INGO)" division incorporated in the SPB, to strengthen and complement Third World NGOs, by collaborating with them to improve the skills of staff and volunteers and create networks through which member groups share development information on a South-South basis. INGOs also offer a link with Third World NGOs that have no Canadian affiliates (CIDA Annual Report, 1987). 3) "The Industrial Cooperation Program (INC)" was launched and incorporated in the SPB to encourage Canadian firms to establish and expand operations in developing countries by providing increased funding for starter and viability studies, and for the testing of Canadian technology in Third World countries (CIDA Annual Report, 1978-79). This program was established on the foundations of the former Business and Industry Program which had been in operation for seven years. 4) "The Institutional Cooperation and Development services (ICDS)" - which includes the education institutions (colleges and universities), the labour unions and cooperatives - was created to strengthen the institutional infrastructure in developing countries. These were not NGOs as such, since they did not fit the NGO-division category of non-profit making organizations. Nor did they have a constituency where they could raise funds, like the true CNGOs are able to do. However, over time these Canadian

institutions decided to extend their missions to encompass development programs. The motivations varied. For some it was strictly opportunistic and a means of tapping additional revenues; for others, it was to serve, or to benefit by internationalizing the Canadian institutions.

Today, as then, when these institutions approach CIDA for funding, CIDA responds to that challenge. "Sometimes these institutions don't have any cash input for matching funds, instead they offer human resources, which are just as valuable to development" (Interview with Program officer CIDA-NGO Division). 5) "The Management for change (MFC)" program is another division initiated within the SPB which puts emphasis on cooperative activities between executives in Canada and those in developing countries to address management of public and private sectors. This division helps a number of small enterprises in the Third World to set up and acquire knowledge and skills through training and technical assistance. 6) "Africa 2000" was created within the SPB, responding to the enormous effort exhibited by the CNGO community in response to the famine crisis (of 1984-85) in Africa. The program was a 15-year commitment to assist African recovery. A \$150 million fund was established, most of which was to be channelled through the SPB to: i) CNGOs, in order to strengthen African partner NGOs and institutions, as well as carry out development education activities relating to Africa. Partnership Africa Canada (PAC), "an umbrella NGO", was set up as the main channel to direct half of this fund. ii) Canadian universities - for scholarships for African women; and Canadian cooperatives - to support credit schemes for African women; iii) Municipalities to support exchanges of technical and management staff between African and Canadian cities; iv) International NGOs, for health programs and for the

development of small business activities for African women (CIDA Annual Report, 1990-91). For additional mechanisms and a summary of the evolution of these structures within CIDA see Tables 5.1 and 5.2.

2) The "Bilateral Division", also established at the onset of CIDA, took - and still takes - the largest allotment of Canada's official development assistance (ODA). Up until 1980, the bilateral program operated on a government-to-government assistance basis in four regions of the developing world: Anglophone Africa, Francophone Africa, the Americas and Asia.

In 1981, a special delivery mechanism called the "country focus program" was initiated to allow the bilateral division to respond to the identified needs of individual countries, by accessing the resources and expertise of ICDS institutions and CNGOs. The CIDA-NGO Division welcomed this opportunity. "Normally a country focus project touches a very large region in the host country. In order to address a need like that, the funds contributed from the NGO division are not enough. The scope - in terms of budget - gets beyond the ability of the Special Programs Branch. There is a need to access funds from another source, and the most common route to go is through Bilateral" (Interview with Program Officer, CIDA-NGO).

3) "The Multilateral Division" is another structure which takes a large segment of the development budget and channels it through international organizations, such as the UN. Since its inception, this division has brought Canada into the multilateral realms of international cooperation. Through it Canada has taken part in many collective efforts - notably, the global campaigns of eradicating smallpox, immunization of children against

deadly, but preventable diseases, such as measles (for various Multilateral divisions within CIDA see Table 5.3).

4) Others, in addition to the three main divisions - SPB, Bilateral and Multilateral - are the "Food aid" and "Emergency aid" programs which are not developmental in themselves, but are provided as a first step for emergency relief in some developing countries. They are another form of assistance channelled through CNGOs (and other agencies) for delivery to developing countries. "Rehabilitations" and "Reconstruction" is another special program which is normally allocated where there has been a war or an earthquake or any other disaster situation - natural or human. Occasionally food or emergency aid is combined with development and is labelled, "Food for work". This is a mechanism of funding exercised when it is difficult to come up with more funds directly from CIDA's budget. It is operationalized when food aid is sold on the market and the money is used to implement other development activities. All these structures were set up as a result of the reality of dealing with more and more diverse organizations and today, the mandate of all these divisions in the Partnership Branch is to deal directly with the Canadian non-governmental institutions, including CNGOs.

Table 5.1

HISTORICAL MILESTONES IN CIDA STRUCTURES

Year	Milestone
1968	<p>The government of Canadian created a new organization, the Canadian International Development Agency (CIDA) to assist development efforts in the Third World.</p> <p>Four Branches enacted within CIDA:</p> <ul style="list-style-type: none">. The Bilateral Program Branch,. The Special Program Branch (SPB) - with NGO-Division,. The Multilateral Program Branch, and. The Food Aid Program.
1971	<p>The Public Participation Program (PPP) initiated and incorporated in the SPB, to support NGOs working to promote development issues in Canada through development education.</p>
1974	<p>The SPB created an International Non-Governmental Organization (INGO) Division to complement other programs (bilateral, multilateral and NGO), by channelling Canadian assistance to the Third World.</p>
1978	<p>The Industrial Cooperation Program (INC) established within the SPB, to assist the Canadian private sector in its efforts to become involved in the industrial development of Third World countries.</p>
1980	<p>The Institutional Cooperation and Development Services (ICDS) Program created to provide funding for programs which connect Canadian institutions - universities, colleges, unions etc. - with third counterparts in the Third World.</p>
1981	<p>The Country Focus concept established within the Bilateral branch to enable CIDA to tap NGO expertise for the country programming process.</p>

Table 5.1 continued.

Year	Milestone
	<p>Management for Change (MFC) Program initiated within the SPB, to stimulate and support cooperative activities between senior executives in Canada and Third World countries to deal with critical issues in public and private sector management.</p> <p>Adoption of a policy framework and implementation strategy for Women in Development (WID)</p>
1984	<p>The Business Cooperation Branch (BCB) established to add a new dimension to CIDA's social and economic development programs in the Third World.</p> <p>INC shifted from SPB and expanded to become the operating arm of the Business Cooperation Branch.</p>
1985	<p>Africa 2000 created within the SPB as a 15 year commitment by the Government of Canada to the recovery and long-term development of Africa.</p>
1988	<p>Youth Initiative Program (YIP) instituted to increase the awareness of development issues among young Canadians and to build relationships between them and their counterparts in Third World countries.</p> <p>Decentralization of staff and authority - from Hull, Quebec - to the field in the Third World realized.</p>
1992	<p>Special Program Branch becomes Canada Partnership Branch (CPB).</p> <p>Industrial Cooperation Program transferred from Business Cooperation Branch to CPB.</p> <p>The New Initiatives for Sustainable Development Fund (NISDF) initiated in order to encourage and involve Canada's aboriginal people in the process of International Development.</p> <p>The First Nations Participatory Sub-Fund becomes the first organization to receive funds through NISDF).</p>

Table 5.2

Evolution Of CIDA Structures

1968 Structures	1988 Structures	1992 Structures
Special Programs Branch (SPB)	Special Programs Branch (SPB)	Special Programs Branch (SPB)
NGO division	NGO division	NGO division
	Public Participation Program (PPP)	PPP
	International NGOs (INGOs)	INGOS
	ICDS	ICDS
	Management for Change (MFC)	MFC
	Youth Initiative Program (YIP)	YIP
	Africa 2000	NISDF
Bilateral	Bilateral	Bilateral
Commonwealth Africa	Anglophone Africa	Africa and the Middle East Branch
Francophone Africa	Francophone Africa	
Commonwealth Caribbean	Americas	Americas
Latin America	Asia	Asia
Asia		
Multilateral Programs	Multilateral Programs	Multilateral Programs
UN Agencies	International Financial Institutions (IFI)	Multilateral Financial Division (MFD)
Capital and Technical Assistance	Multilateral Humanitarian Assistance (MHA)	Multilateral Food Aid (MFA)
		Multilateral Humanitarian Assistance (MHA)
Other Programs	Food Aid	
Food Aid		
Emergency Relief		
	Business Cooperation Program	
	Industrial Cooperation Division (INC)	
	Consultant and Industrial Relation Division (RPR)	
	Policy and System Division (SPE)	

Source: CIDA's Annual Reports.

Table 5.3

Multilateral Divisions Within CIDA

1. International Financial Institutions (IFI):
 - . African Development Bank (AfDB)
 - . Asian Development Bank (AsDB)
 - . Common Fund for Commodities
 - . Caribbean Development Bank (CDB)
 - . Inter-American Development Bank (IDB)
 - . International Fund for Agricultural Development (IFAD). World Bank Group (International Bank for Reconstruction and Development (IBRD) and International and Association.
 2. Multilateral Technical Cooperation (MTC):
 - . General Fund
 - The United Nations Development Program (UNDP)
 - The United Nations Development Fund for Women (UNIFEM)
 - The United Nations Children's Fund (UNICEF)
 - . Health and Population
 - United Nations Fund for Population Activities (UNFPA)
 - World Health Organization (WHO)
 - Onchocerciasis Control Program (OCP)
 - Tropical Disease Research Program (TDR)
 - . Renewable Natural Resources
 - The Consultative Group on International Agricultural Research (CGIAR)
 - . Commonwealth and Francophone Programs
 3. International Humanitarian Assistance (MHA)
 - . Refugees
 - The United Nations High Commissioner for Refugees (UNHCR)
 - The United Nations Relief and Works Agency for Palestinian Refugees (UNRWA)
 - The UN Boarder Relief Operation (UNBRO)
 - . Emergency Relief
 - Pan-American Health organization (PAHO)
 - Emergency Preparedness Program (EPP)
 - United Nations Disaster Relief Organization (UNDRO)
 - International Committee of the Red Cross (ICRC)
-

Source: CIDA Annual Report, 1987.

5.1.3 *Funding Pattern of CNGOs by CIDA*

In the first fiscal year (1968-69), CIDA's-NGO Division had a budget of \$4.12 million, but very few well-established organizations. So the division started off by looking for potential candidates. Organizations such as OXFAM and CARE which already existed with organizational structures were able to start a partnership with the CIDA-NGO Division almost immediately. The churches were already involved in welfare activities and charitable work, but they were not trained for development as it was envisioned by CIDA. They would later shift their attention to development activities and tap into the funds which were abundant at the time.

The CIDA-NGO budget increased from \$4 million in fiscal year 1968-69, to over \$ 82 million for fiscal year 1980-81. As a result of this influx, CIDA - and the NGO division specifically - found itself forced to establish criteria, priorities, policies and requirements contrived to keep pace with this growth. Table 5.4 provides a summary of some of the requirements the CIDA-NGO Division instituted. A number of forms were developed for the NGOs to fill in and submission of project proposals became the norm. For a summary of NGO Program and Project submission particulars refer to Appendix 3A. The NGO division had to ensure that everything proposed by the applying NGOs was within the policies and priorities of the agency as a whole, and that Treasury Board regulations were respected. Funding of NGOs took on a more complicated dimension.

CIDA Officers interviewed for this research explain that those who started the NGO division understood that NGOs were different from government, that they were to be treated differently, and that they were going to remain their own entities, and outside of CIDA's

structures. This virtually meant that CNGOs were free to work in sectors and regions of their choice in the Third World. CIDA was not going to dictate to them. This recognition is apparent in speeches made by successive presidents of CIDA when addressing CNGOs. For example, President Catley-Carlson, making reference to CIDA's new country focus initiative, noted that for anyone to think "that CIDA is trying to buy out Canada's voluntary sector, or that our NGOs want to become wards of the government, is just plain out of touch with reality... After 15 years and half a billion dollars that CIDA has contributed to NGO development efforts, it is perfectly clear that Canada's NGOs are fiercely independent, and proud of it" (CIDA Documents, September 30, 1983, p. 18). That respect of CNGOs, their nature and programs, is reported to still be true today at CIDA. And it is in this exchange of agreement and set conditions that both CIDA and CNGOs work together.

Yet on the other hand, due to budget cuts and freezes, most notably those which occurred around 1988 and 1990, there is an acknowledgment by some CIDA officials that CNGOs are now looking at CIDA's priorities, and trying to decide how they can access funds related to them. In effect, CNGOs are trying to match their priorities to what CIDA wants. A number of them come close and respond to CIDA's priorities. However, a few have refused to accept government funds, if by so doing it means adopting CIDA's agenda. The Mennonite church is given as one example of those organizations who prefer to remain their own managers without compromising their ideology.

Interviews with officials in the Partnership Branch revealed that CIDA expects more of CNGOs: "With trimmed budgets and with the complexity of development, we need to work with good NGOs, the ones that have shown that they can absorb CIDA funds, and to

manage those and their own funds properly, being accountable, reporting in a timely way, with qualified reports not only narratively but also financially, to report in detail how they have succeeded with their projects or programs. The ability of NGOs to renew themselves and to meet the challenges of the '90s and the 21st century is important" (Program Officer, CIDA-NGO).

CIDA is seemingly pre-occupied with the "absorptive capacity" of CNGOs, as illustrated in NGO program/project submission forms as well as in CIDA's terms of reference for evaluation of CNGOs (see Appendix A.1 and A.2). The ability of CNGOs to absorb funds available to them through various CIDA channels - Partnership Branch, Bilateral and Multilateral programs - is cause for concern. One officer of CIDA-NGO-Division explained: "Since many NGOs have several doors open to them, there is a tendency for a number of them to accumulate large sums, in millions, and yet they are unable to spend that amount in the proposed time frame. In effect, these organizations bite off more than they can chew." By examining CNGOs' financial management and control systems, mostly through evaluations, CIDA is able to detect organizations which are falling into "the biting off more than they can chew" category. A CNGO's failure to increase personnel to handle additional funds, and its fund-raising revenue not increasing, are some of the indicators that an organization is in trouble. To prevent an organization from getting to that dangerous stage - the cases of WUSC and OXFAM Quebec are frequently cited - CIDA tries to reduce the number of doors an organization can knock on for funds.¹⁷

5.1.3.1 *Allocation of Funds*

Formally, CIDA's funding of CNGOs' has been responsive in nature. In other words, CIDA does not attempt to impose its programs on CNGOs, except in cases where CNGOs have a relationship with CIDA's Bilateral Branch, which entails a contracted role similar to that of the private (profit making) sectors. Instead CIDA responds to specific CNGO-initiated projects or programs. In these instances, a CNGO makes a significant commitment of cash, personnel or technical assistance.

There are different types of funding available to CNGOs. The most common ones in CIDA-NGO Division are:

1) Project funding. Generally this is the funding category accessible to new CNGOs. CIDA recommends this type of funding for those CNGOs whose activities are much broader than CIDA's mandate. In this category, matching contributions for overseas costs is the norm. CIDA matches funds raised by a CNGO using different matching formulas for different CNGOs. The matching formula is normally based on a CNGO's fundraising capabilities, positive reputation and lengthy historical relationship with CIDA, as well as the type of program under which a CNGO is accessing funds. For example, when a CNGO responds to CIDA's priority - as in Country Focus programs, it may be eligible for a higher matching ratio. Funds raised by a CNGO for matching projects may include: 1) cash raised by a CNGO from the private sector, and; 2) cash contributed by a provincial government. Federal government funds cannot be used for matching contributions.

Figure I is an example of a matching formula utilized by the Public Participation Program of the Canadian Partnership Branch, as outlined in CIDA/PPP Program/Project Submission Guide (March, 1992).

2) Program funding. In this type of funding, assistance is provided for a CNGO that has established a sound and proven record with CIDA. Funding can be in the form of: 1) sector programming - where, for example, a CNGO may work exclusively on agricultural projects and request funds to support planting of fruit trees in different countries; 2) country programming - in which a CNGO conducts a variety of integrated development activities in a number of different sites within the same country; 3) comprehensive funding - whereby a CNGO's entire overseas development program is supported. Matching formulas mentioned in the project funding similarly apply to program funding. This co-financing arrangement may be annual, or multi-year.

3) Country Focus. Through the Bilateral branch CNGOs can access funds under such initiatives as Country focus and contracted programs. In the bilateral country focus, a matching formula is not a requirement. An NGO can receive as much as a 100 per cent under country focus, although some NGO prefer to make a contribution in order to maintain the "sense of ownership" of the project. Therefore, a matching ratio of 9:1 is sometimes exercised by CNGOs receiving bilateral funds.

5.1.3.2 *Type of NGO-projects funded*

Interviews with CNGO officials - along with CNGOs' annual reports - reveal a range of projects which receive funding. Generally, CIDA funds any project that is socially or economically developmental in nature. These projects range from distribution of books and educational materials to community development activities involving water projects, agriculture, income-generation (mostly for women), primary health care, youth

polytechnic and primary education. Projects that will not be funded are those which deal with military and religious (evangelism) activities, plus anything which is politically unacceptable to the host government. A list of eligible projects which can be considered by CIDA for co-financing is provided in Table 5.4.

Table 5.4

A Summary of CIDA-NGO Division Guide to Project/Program Funding (1992)

Category
<p>1. Eligibility</p> <p>An applying CNGO must:</p> <ul style="list-style-type: none"> . be a private non-profit organization incorporated in Canada. . have a Canadian identity . have a development mandate . be accountable to a membership or constituency . have an established relationship with CIDA . have competent staff and Board . have effective management systems . be administratively efficient . be financially viable . have good track record . have effective partners <p>2. Criteria</p> <ul style="list-style-type: none"> . activities must be developmental in nature rather than relief and welfare . needs analysis must be outlined, indicating involvement of local communities and partners . clear goals and long-term strategy must be indicated . Long term partnership incorporated . Sustainability considered . Impact on women clearly outlined . environmental issue taken under consideration <p>3. Types of Projects/Programs</p> <ul style="list-style-type: none"> . community development . agriculture (food production) fishing and forestry . education and skills training . population and health . provision of clean water . environmental protection or renewal . development of management/organization techniques . development of credit/savings schemes, cooperatives, small business, . appropriate technology.

Figure I

MATCHING FORMULAE
CIDA/PPP funding of up to \$100,000 may be approved on a 3:1 matching ratio - i.e., for every one dollar contributed to the approved program/project, CIDA/PPP may match up to three dollars;
CIDA/PPP funding of \$100,001 to \$200,000 may be approved on a 2:1 matching ratio - i.e., for every one dollar contributed to the approved program/project, CIDA/PPP may match up to two dollars;
CIDA/PPP funding of over \$200,000 may be approved on a 1:1 matching ratio - i.e., for every one dollar contributed to the approved program/project, CIDA/PPP may match up to one dollar.

5.1.3.3 *Changes in the Funding Pattern*

In actual numbers, the projects have increased over the years. This is attributed to: 1) availability of funds; and 2) an influx of CNGOs. In terms of actual funding, CIDA officials explain that there had been a steady climb up until 1988. However due to inflation, national debt, and cut-backs, funding has since levelled off. Existing funds are now moved around, re-allocated and the amount given out has declined. Tables 5.5 and 5.6 reflect ODA disbursement to SPB, and CIDA-NGO Division's allocation of funds to CNGOs - respectively - over the years. Table 5.7 illustrates CIDA-NGO Division's disbursement of funds to the twelve CNGOs surveyed for this study, over a five year period.

5.1.3.4 Funding Channels

Apart from the funding channels set up within CIDA's Partnership, Bi-lateral and Multilateral branches, there are a number of organizations established outside of CIDA for the purpose of assisting CIDA and the Canadian government to improve their delivery of ODA.

During the Ethiopian plight - famine, drought, diseases and internal wars - of the mid '80s, Canadian institutions including NGOs worked well together and showed a will to do more for the needy in Africa. As a result of this tremendous response by the Canadian public, the political leaders, through CIDA, were willing to set up a body to consult with the NGO community. Around 1985, Partnership Africa Canada (PAC) was created as a united force to meet the needs of Africa effectively. PAC, a coalition of Canadian NGOs, had the mandate of supporting long term development in Africa by supporting and strengthening African NGOs, and by increasing the Canadian public understanding of the support for sustainable development in Africa.

Table 5.5

ODA Disbursement 1975 - 1991
(\$ millions)

Fiscal Year	Total ODA	Bilateral Program	Multilateral Program	SPB
1990-1991	3,016.81	1,111.32 (36.8%)	972.22 (33.9%)	256.96 (8.4%)
1989-1990	2,849.86	1,060.30 (37.3%)	954.80 (33.5%)	266.60 (9.4%)
1987-1988	2,624.06	1,101.21 (42.0%)	838.34 (32.0%)	274.90 (10.4%)
1985-1986	2,174.01	816.21 (37.5%)	890.50 (41.0%)	219.36 (10.1%)
1984-1985	2,100.60	875.32 (41.0%)	690.84 (33.3%)	186.64 (9.0%)
1983-1984	1,813.51	678.30 (37.4%)	674.53 (37.3%)	196.16 (11.0%)
1982-1983	1,669.67	716.07 (42.0%)	594.52 (35.0%)	154.18 (9.2%)
1980-1981	1,241.03	508.34 (41.0%)	493.33 (32.4%)	82.93 (6.8%)
1979-1980	1,241.06	415.03 (46.5%)	402.67 (33.0%)	76.19 (6.0%)
1978-1979	1,165.52	466.22 (40.0%)	392.86 (33.7%)	63.09 (5.0%)
1977-1978	1,046.05	413.78 (39.6%)	318.97 (30.6%)	44.31 (4.2%)
1976-1977	963.34	328.29 (34.0%)	329.42 (34.2%)	38.15 (3.9%)
1975-1976	903.51	406.39 (45.0%)	215.35 (23.9%)	31.86 (3.5%)

Source: CIDA Annual Reports for corresponding years.

Table 5.6

CIDA-NGO Division
 Disbursement of Funds To CNGOS 1971-1991
 (\$ millions)

Fiscal Year	Total Number of CNGOs Funded*	Total Amount Disbursed	Increase from Previous Year
1990-91	84	141.69	6.6%
1989-90	79	132.86	3.6%
1988-89	77	128.25	21.0%
1987-88	67	106.16	9.0%
1986-87	N/A	97.41	3.7%
1985-86	72	93.91	25.0%
1984-85	68	74.92	-7.5%
1983-84	N/A	81.01	50.0%
1982-83	52	53.90	7.9%
1981-82	N/A	49.96	56.0%
1975-76	37	32.00	23.0%
1974-75	N/A	26.00	25.0%
1973-74	N/A	20.76	29.0%
1972-73	N/A	16.13	35.2%
1971-72	N/A	11.93	40.3%

* Only those CNGOs receiving more than \$200,000 before fiscal year 1987 and \$300,000 between 1987-1991 are listed in CIDA's annual reports.

** Total amount does not include Food Aid or amount which went to INGOs.

N/A Number of NGOs not clearly identifiable.

Table 5.7

Total CIDA-NGO Division Disbursement To CNGOS Over Five Years
 (Those NGOs surveyed in phase 1)
 (\$ millions)

Organization	Fiscal Year				
	1990-1991	1989-1990	1988-1989	1987-1988	1986-1987
ADRA	1.13	1.09	1.19	0.91	0.79
AIM	0.46	0.39	0.42	0.36	0.44
AKF	2.62	2.19	2.35	1.89	1.50
CCODP	8.87	8.77	9.00	8.32	8.20
CHF	N/A	N/A	0.18	0.32	0.35
CODE	6.05	4.61	4.80	4.65	3.30
Save the Children	2.70	2.26	2.30	1.89	1.80
CARE	5.13	4.48	3.75	3.60	2.00
FPP	5.30	4.87	5.49	5.00	5.70
Salvation Army	0.56	0.45	0.76	0.58	0.68
World Vision	1.35	1.34	1.30	1.34	1.20
YMCA	1.96	1.25	1.31	1.46	1.80
TOTAL	36.13	31.45	32.85	30.32	27.76

Source: CIDA's Annual Reports to corresponding fiscal years (amount does not include Food Aid).

N/A: The organization was not listed in CIDA's Annual Report for those years.

During this period, Canada's Minister for External Relations (the minister then responsible for CIDA), launched the Africa 2000 program with a budget of \$150 million over a five year period. This budget was intended for long-term development in the countries of Sub-saharan Africa. Half of this budget - \$75 million was to be managed by PAC. In essence, PAC provides another door for those CNGOs seeking funds for development activities in Africa. A second mandate - for the same amount - was approved for the next five year period of 1992-97 (reported in the PAC News, Feb. 1992).

For smaller NGOs, either new or those which have remained small over the years, a new channel was opened to accommodate them. It appears that dealing with small NGOs takes just as much time as dealing with large ones in terms of administration. In order to minimize the work load, and at the same time maintain the efficiency of delivery of ODA, CIDA created a number of "decentralized funds". These are funds from the NGO division that are put into the hands of an organization outside of CIDA. For example, CAMROSE One World Institute in the province of Alberta is an organization which was set up mainly because: 1) Alberta had funds to devote to international development, and; 2) a number of people in the province showed the ability and will to get involved in development and as a result small NGOs were created.

The CIDA-NGO division decided that it would be of benefit to all concerned to establish a fund within the Alberta-based organization, CAMROSE, to manage certain funds. As an organization responsible for managing funds for CIDA - roughly \$400,000 annually according to CIDA-NGO Division guide (1986) - CAMROSE receives proposals from Alberta-based (small) NGOs; helps them to get to know CIDA and the process of applying

for funds, without having to travel thousands of kilometres and spend a lot of money making long distance calls.

Based on the positive results which came from Alberta, decentralized funds have been channelled through other organizations, for example, GADI in Quebec, Ontario International Development Program (OIDP) in Toronto, which is managed by the Foundation for International Training (FIT). From CIDA's point of view, the advantage of decentralizing funds is taking a number of small NGOs, keeping them in their regions and making it easier for them to access funds. Other advantages include NGOs' closeness to each other, meeting frequently, having similar experiences and sharing pertinent information.

5.1.4 CIDA-CNGO Relationship: Beyond Funding

There are additional mechanisms which facilitate the relationship between CIDA and CNGOs. Some of these mechanisms are mutually agreed upon by both parties, while a few others are legislated by government requirements.

5.2.4.1 Consultation

Canadian NGOs concede that CIDA invites them to consultations on a regular basis. CNGOs are consulted on issues which have to do with Canadian government policy on pressing issues such as: Human rights in developing countries; environment and development, democratization, gender and so on. Through the consultation process, CIDA has procured valuable insights on many of these development issues. Some specific examples include CNGOs significant contribution to the investigation of the "Special Joint Committee" on

Canada's International Relations - otherwise known as the Simard-Hockin Report (1987) - which led to the creation of an International Centre for Human Rights and Democratic Development (CIDA Documents, January 25, 1988). In February 1992 the Minister responsible for External Relations and International development, launched CIDA's Africa 21. This is CIDA's new Vision of Africa for the 21st century. It focuses on regional economic integration on the African continent and putting emphasis on democratization and entrepreneurship. CIDA invited CNGOs - through PAC, to take part in the Africa 21 consultation process. The objectives of this consultation include ensuring an informed and effective position by Canadian and African NGOs in defining, developing, following-up and evaluating Africa 21 policies.

Through on-going consultations, and dialogue - a process CNGOs believe needs to be improved so that there is real dialogue and not solely a one way flow of information - CNGOs also advise CIDA on various aspects of the relationship. The most frequently voiced advice to CIDA is on the "nature of reporting". Treasury Board has a policy for every government department, for the quantity, quality and timing of reports. While these reporting expectations are feasible in CIDA's context, given its human, financial and technical resources, CNGOs and their partners in developing countries find them strenuous.

One program officer of CIDA-NGO division explained that at one point CIDA management was asked by Treasury Board to request monthly reports, even from the smallest projects and groups who receive government funds. CNGOs' advice to CIDA was unequivocal. "NGOs pointed it out to us and said, O.K. put yourselves in a Third World country, with no electricity, with all the problems that you have to face like in Ethiopia. You

arrive at night, you have no light, you are tired, how are you going to prepare reports? And the next morning when you are going out you are going to face the same problems." So they said this is not applicable, this is not possible, and we made a representation to the Treasury Board and the Board changed its requirements" (Interview with Program officer CIDA-NGO division). Sometimes CNGOs' advice to CIDA surfaces in the form of documents and reports, for example a report commissioned by CCIC Executives on alternative forms of government-CNGO relations contained a list of recommendations, many of them aimed at restructuring within CIDA (see CCIC, December, 1991). Yet another example is CCIC's response to the SECOR Report (March 1992), which more or less attests to the findings of the report.

CIDA's advice to CNGOs is encased in, among other things, evaluation reports, through which CIDA sends a message to NGOs encouraging them to improve their perceived weaknesses. CIDA's evaluations of CNGOs have highlighted a number of structural weaknesses such as the financial systems, accountability and quality of reporting.

5.1.4.2 *Evaluation*

Evaluations are beneficial tools utilized by CIDA, and to a lesser degree, CNGOs. According to CIDA's-NGO Division, evaluations help the division to make informed decisions about future activities of a given CNGO or program. Evaluations are exercises based on constant dialogue, and participatory approaches. There are different types of evaluations aimed at CNGOs: 1) Institutional evaluations, 2) Overseas project or program evaluations, 3) Evaluations for identified weak spots. Though CIDA's stated general purpose of the whole process is "to help a given CNGO to correct its weaknesses", specific objectives

are : 1) To know the "clients" better; 2) to establish a rationale for continuing the "partnership"; 3) to determine channels for efficient and effective development; 4) to determine the impact of CNGOs work and finally, 5) to establish the ability of CNGOs to absorb CIDA funds (See CIDA-NGO Division Evaluation terms of reference, Appendix 3B).

Depending on which division in CIDA a CNGO is dealing with, plus the type of evaluation being conducted, there are various intervals of evaluations. For example, if a CNGO is receiving program funding from the NGO Division, it undergoes a complete evaluation every six years, with an interim three year follow-up review. Upon receipt of the final evaluation report, which CIDA shares with a CNGO under evaluation, a targeted CNGO must prepare a response in the form of a letter, signed by the director of the governing board. This letter indicates the Board's response to the report and to each recommendation made, and the intended follow-up plan of action.

An officer interviewed at CIDA Bilateral (Kenya desk) pointed out that "the tendency for the evaluations, 15 to 20 years ago, was to decide whether the objectives of the projects had been met, but they didn't go beyond that horizon. Nowadays I think the horizons are much broader, and very specific, people look more specifically at impact and general lessons learned". Many CNGOs are reported to have been apprehensive, defensive and cautious about these evaluations, perceiving them as CIDA's agenda being imposed on them, and CIDA's lack of respect for their independence. For years they simply went through the motions, avoiding upsetting "big" CIDA, tabled the evaluations and presented them to CIDA.

Today, CNGOs appear to have benefited greatly from CIDA's evaluations, that now they appreciate the opportunity and sometimes ask for the evaluations which "give them an

opportunity of seeing and discovering themselves like they have never done in the past" (Interview with CIDA officer).¹⁸ One region officer of a CNGO which receives a large portion of its funds from CIDA revealed an understanding of CIDA's evaluations: "Their evaluation is two-fold: firstly, it ensures that tax payers' money is used in an appropriate way within the ODA program; and secondly an equally important reason, is to provide feedback to the implementing agency so that they might improve their work and become more effective and efficient" (Interview with CARE region officer). One important observation concerning CIDA evaluation of CNGOs is the fact that the process is exclusively initiated, contracted and paid for by CIDA. The participatory level of CNGOs appears to be quite passive, since they do not undertake any formal evaluations of their own activities. The closest measure of evaluation reported by most CNGOs, is a process of monitoring of projects and reporting on different stages of progress. There are now signs that this is changing.

CIDA, on the other hand, has been able to learn a number of things that it didn't know about CNGOs, for instance, decision-making within CNGO structures. CIDA discovered that within a given NGO, there are several levels of approval before they present a proposal to CIDA. A neutral, hired consultant, is able to obtain information from CNGOs; and they in turn are willing to accept criticism or recommendations from a stranger who does not represent CIDA. A consultant can on these occasions, ask the right type of questions, and get the right answers.

There are prevalent difficulties encountered by CIDA in evaluating CNGOs. First, CNGOs by nature are different. They differ in their financial and managerial systems as well as their philosophy of development. This diversity extends to the way CNGOs identify and

deal with their partners overseas, and their reporting to CIDA. This requires CIDA to move from the generic terms of reference for the evaluations, to more customized ones in order to accommodate each CNGO.

A second difficulty is attitudinal in nature. A number of CNGOs perceive CIDA's evaluations as a tool used in order to cut the funds or to close the relationship with them. CIDA repudiates this, stating that while this might be the result, it has to be a "very bad NGO to force us to come to such a state" (interview with program officer CIDA-NGO Division). Still other officers interviewed at CIDA, mentioned CNGOs' defensive attitudes - a hardliner stance of "keep out of our business"- as a major problem in the process of evaluation.

CNGOs, especially church organizations, have hired some consultants to evaluate CIDA-NGO division activities. A group of churches have come up with a 60 page document analysing and criticizing CIDA's involvement with "structural adjustment" (ICFID, 1991). The document indicated that structural adjustment had a negative impact on most people in poor countries. Other non-church related NGOs have come up with criticisms of their own concerning CIDA. For example, there has been criticisms concerning lack of involvement (by CIDA) in a dialogue with CNGOs to discuss a number of issues. These issues range from finances - CNGOs being asked to do more yet being given less - to the fact that CIDA is able to evaluate them and they are unable to evaluate CIDA (Interview with CARE Regional Officer).

However joint evaluations and forms of study do take place periodically between CIDA and CNGOs. These are mainly reflected in such development priorities as *women and the environment* and *small enterprise promotion*. Sometimes there are joint forums on issues

of development, where both parties can express their views, through bodies such as Partnership Africa Canada (PAC) and Canadian Council for International Co-operation (CCIC).

5.1.5 Benefits Accrued from the Relationship

Both CNGOs and CIDA have accrued benefits from dealing with each other. The nature and measure of these benefits vary from one organization to another, and are perceived differently by each party.

5.1.5.1 CIDA's Perception of the Benefits

Interviews with CIDA officials reveal that they perceive the relationship as having been mutually beneficial. CNGOs benefit through the workshops which are periodically set up by CIDA on development policies such as women in development, the environment, evaluations, financial analyses and so on. Through discussions and evaluations, CIDA discovers where CNGOs' weaknesses are, leading to organized workshops to which CNGOs are invited. By sending elected representatives to be members on various committees and workshops hosted by CIDA - normally set up to look at the priorities and criteria for choosing projects - CNGOs are acquiring skills in how to deal with structured governmental bodies.

One officer from the Canadian Partnership Branch in CIDA related: "As we make it possible for the staff of CIDA to acquire this knowledge and to develop these qualifications, we offer the same to the NGO community. We feel that if they are partners with us, they

have to move at the same pace as we do." CIDA also offers 'technical expertise'. For instance, CIDA's financial managers attending these workshops illustrate to CNGOs how to prepare and present financial statements, how to be accountable to CIDA and other donors as well as to CNGOs' own constituencies.

There are numerous benefits to CNGOs overseas as well. For instance, many CNGOs do not have the type of "network" that CIDA enjoys through Foreign Affairs (previously called External Affairs), the "diplomatic network". The amount of knowledge CIDA possesses through its exchange with diplomats from other donor countries or diplomats from other Third World countries, is invaluable to CNGOs. "Sometimes NGOs get involved in the country and the host government can make it difficult for them, creating all kinds of problems. Unless they have the Canadian government to back them, to help them solve a problem, they do not know where to go...Some NGOs import equipment and material for their projects, if they want to have the host government wave some of the import duties, sometimes they cannot achieve this, they need the Canadian government" (interview with CIDA program officer).

On the other hand, the Canadian government - and by extension CIDA - tends to deal with host governments. Very often it is not able to go beyond a certain limit to support development activities, simply because it would be against the agreement with the host government. Therefore, the Canadian government welcomes the presence of NGOs. Through an on-going dialogue with CNGOs, CIDA has learned a lot of things about: 1) CNGOs needs, expectations and ways of working - leading to the establishment of mechanisms such Rehabilitation and Reconstruction Fund; Special funds within CCIC; and the setting up of PAC. 2) The development terminology, which originated within the NGO community. The

vocabulary which has become almost a rhetoric at CIDA, for example "partnership", "empowerment", "self- reliance", to mention but a few, had been used by the NGO community as far back as 15 years ago. 3) Outlook on policy within CIDA. A great deal of CIDA policy has been influenced in part by its relationship with CNGOs. An example given in this regard has to do with the stance some NGOs took with the political situation in South Africa. "With the then no trading with South Africa under any circumstance" approach of the Canadian government, many Canadian NGOs felt that assistance should be given for the strengthening and development of local community bases and education for the people. There was a feeling that it is only a question of time, we don't want to see this kind of sudden change while we stand out there and watch it and be so pure....I think it took guts for the minister to say "alright CIDA we would do things like fund organizations such as the "International Defence Fund" for South Africa"...Now that came out of the direct lobbying from the Canadian NGO community to the ministers" (Senior Development Officer: Kenya Desk). 4) The needs of grassroots organizations in developing countries. CIDA has easier access to these groups, through CNGOs' good capabilities (past and present) of identifying and defining issues at the project level. Although CIDA has representation at the posts overseas, and the Canada Fund as a mechanism that brings it in greater contact with grassroots organizations in developing countries, there is recognition that CNGOs' involvement in these communities assists CIDA in reaching these grassroots groups.

5.1.5.2 CNGOs' Perceptions of the Benefits

CNGOs' most notable benefit from their relationship with CIDA appears to be financial. Almost half of the CNGOs surveyed in the preliminary phase of this research mentioned CIDA as a principal source of funding. Fifty-eight percent of these received no less than 30 percent of their total budget from CIDA; while 25 percent received more than 80 percent (see Table 5.8). Outside of the apparent financial advantage to the relationship, CNGOs mentioned exposure to a lot of issues in development as a significant benefit. For example, they are made to be aware and understand the attitudes of the general public and the Canadian tax-payers towards development. There is also a better understanding and appreciation of the complexity of the whole development process. All these have made CNGOs accept the obligation to be accountable and to report in such details and complexity - although they find such obligations sometimes work against their efficiency and effectiveness.

Growth is another benefit accrued by CNGOs. There has been growth in just about every aspect of CNGO organizations: Tremendous growth in terms of budgets (Table 5.7); growth in overseas programs; increase in staff and a boost in fundraising ventures. For growth in overseas programs, see Table 5.9 reflecting CIDA-NGO Division Project funding in Kenya and the changes in numbers of CNGOs and total number of projects and sub-projects.

CNGOs feel that CIDA has benefited from the relationship chiefly by finding an efficient and effective way to deliver assistance to developing countries. Some of CIDA's bilateral programs are increasingly being implemented by CNGOs. While some of these are responsive in nature - entirely conceived and managed by the implementing CNGO - many are contracted out, and CNGOs are acutely aware of the fact that in these programs, CIDA's priorities take precedence.

TABLE 5.8

CNGOS' Annual Budget For 1989 (\$ millions)

Organization	Total Budget	Percentage from CIDA*	Other Sources of Funding
ADRA	2.0	50%	Private donors Business donors Church offerings Annual appeals
AIM	2.8	15%	Private donations Church general Fund
AKF	10.0	30%	The aga Khan himself Endowments Investments Public donations
CCODP	22.0	40%	Fund raising Private donations
CHF	3.0	70%	Public fund raising
CODE	11.0	40%	Private donations Corporate donations Fund raising
Save The Children	9.5	38%	Private donations Fund raising Sales of goods (Christmas cards) Corporate donations
CARE	27.0	80%	General Public Corporations Provincial Governments World Bank WHO
FPP	39.6	18.5%	Private donations Provincial Governments Endowment gifts Bequests
Salvation Army	496.3	Less than 1%	Annual appeals (e.g. Red Shield) Legacies Investment income Private donations Trust funds etc..
World Vision	52.5	11.3%	Private donations provincial Governments Investments Bequests

Source: CNGOs' Annual reports (1988-89) plus data from interviews with directors and officials of CNGO offices.

- * Percentage consists of grants in Cash and Goods (primarily food aid).

Table 5.9

CIDA-NGO Division Disbursements to CNGOs Operating in Kenya
(\$ millions)

Fiscal Year	Number of Projects and Sub-projects	Total Disbursements
1991-1992	48	943,308
1990-1991	70	1,430,831
1989-1990	83	1,735,780
1988-1989	81	2,007,939
1987-1988	84	1,713,017
1986-1987	75	1,506,234
1985-1986	74	1,785,394
1984-1985	39	1,051,992
1983-1984	43	1,678,583
1982-1983	32	2,870,437
1981-1982	24	237,012
1980-1981	5	86,320

Source: CIDA's Canadian Partnership Branch: August 1, 1992.

5.1.6 *Building of Capacities*

The relationship between CIDA and CNGOs is primarily based on each party's recognition that a partner has certain strengths as well as weaknesses. Through partnering both parties presumably draw on each other's strengths and strengthen each other's weaknesses - with joint rights, responsibilities and obligations taken into account.

5.1.6.1 *CNGOs' Strengths*

Interviewed CIDA officials agree that CNGOs' strengths are most evident in the following domain:

- 1) Their delivery of a particular type of program.
- 2) Their ability of attracting good, dedicated staff or technical people to go overseas and work well with counterpart organizations.
- 3) Their capability of identifying good community groups at the grassroots level to work with.
- 4) Their ability to organize and empower communities.
- 5) Their ability to be creative and innovative; to experiment without losing too much.
- 6) Their ability to do so much more, by stretching the dollar and accomplish so much, with so little.

5.1.6.2 CNGOs' Weaknesses

On the other hand, CIDA describes CNGOs as being weak in a number of areas, and it is in these areas that CIDA has taken steps to assist their partners to become stronger:

- 1) CNGOs are not professional enough; they do not have enough qualified people in the areas of evaluation, reporting and finances.
- 2) They lack managerial structures, and display the desire to stay structureless.
- 3) Their attitude of "well we found the way", falling behind the times and not wanting to change, holding on to an old ideological-based view of the world.
- 4) Total suspicion of the government; if the government is doing it, CNGOs will state "it is bad". Total moral superiority evident in their attitude towards anybody that is in the public or private sector.
- 5) An under-estimation of the value of finding allies in bureaucracies. Everything becomes to "what you have to do to get stuff out of CIDA".
- 6) Individuals in CNGOs with "particular sized egos" who often get in the way of getting things done.... "because they do not know when to move back and let other people get on board" (Senior program Officer: Kenya Desk).

CIDA has taken steps to assist CNGOs overcome what is perceived as their weaknesses. Some of these steps include provision of technical expertise, training workshops for CNGO staff, and forms of exchange of personnel - as in the case of secondment. In addition, through institution evaluations, CIDA has established what they refer to as "danger indicators". These are warning systems which alert CIDA of CNGOs which might be in trouble, in other words becoming too dependent on CIDA funding. As mentioned earlier, a

CNGO "absorption capacity" of funds is among the major evaluation issues in CIDA's evaluation of CNGOs. Generally, CNGOs recognize CIDA's wealth of experience in development; as well as the agency's financial resources as major strengths.¹⁹

5.1.7 Discussion

5.1.7.1 CIDA-CNGO Relationship

To understand fully the current relationship between CIDA and Canadian NGOs, it is helpful to examine the evolution of CIDA as an organization, and the root causes and motives behind its present practices through: 1) the conceptual framework of changes which have occurred during the three decades in development thinking; 2) an outline of characteristics and goals of organizations (such as CNGOs) CIDA espouses to work with. The two conceptual frameworks delineated in chapters two and three offer an appropriate model of analysis for this study.

In the initial years of CIDA's establishment, Canada as a nation was struggling to become a contributor to the events and progress that was being made in the world. This desire, coupled with the emerging needs of Third World countries in Asia, Africa and Latin America, set the initial stage for a relationship between the government of Canada (through CIDA) and CNGOs. In order for CIDA to forge a beneficial relationship with CNGOs, it was imperative for CIDA to enact mechanisms and structures. Causes and motives behind the establishment of structures can be examined through:

- 1) The traditional Canadian rationale of giving assistance to Third World countries - a combination of philanthropic/humanitarian motivations, and a mixture of economic and political factors.
- 2) CIDA's need for efficiency in delivery of this assistance - the more partners involved in the field of development the easier the task would become.
- 3) The constant "changing realities" taking place in development thinking - combined with the generic assumptions about development and underdevelopment of each era.

Rationale for ODA: In order to analyze Canada's rationale for ODA, it is necessary to examine the country's involvement in the global scene at different periods. Initially (around the first development decade), Canada as a nation was not a colonial power in countries now referred to as developing. As such, there were no bridges to connect Canada with the poor countries. However, the churches and other Canadian non-government organizations had connections in many of these countries. Since these organizations represented a large constituency of the Canadian public, they partly provided a strategic model for development which CIDA could use as a starting point. At the time, "philanthropic" and "humanitarian" concerns constituted a large part of CNGOs activities. In his speech at the University of Ottawa, CIDA's President, M.F. Strong explained: "...there is little likelihood that a substantial foreign aid program can be maintained without continued appeal to the philanthropic and humanitarian motivations of the public. No other single factor provides in itself an adequate rationale for the aid programs" (CIDA Documents, March 5, 1970, p. 8). Perceived in this light, it is also understandable that CIDA, as an agency responsible for managing ODA,

would seek a close relationship with organizations such as CNGOs. Many of these organizations have been in existence long before CIDA's conception, and their activities in the Third World were more of welfare and relief than of development as currently defined. CNGOs understood well the whole rationale for humanitarian assistance. This might very well explain the immediate creation of the CIDA-NGO division at the initial stage of CIDA's inception. Foreign aid was being "projectized", creating a donor-recipient dichotomy. The most outstanding characteristic of the partnership between CIDA and CNGOs is the former's project/program funding of the later.

The economic concerns played (and to a degree continue to play) a significant part in the establishment of structures within CIDA to deal with a diverse non-governmental community. At the initial stage, CIDA's economic argument for giving assistance was based on two realities:

- 1) At the time economic growth - increase in GNP, building of infrastructure (dams, roads, bridges and so on) was one major indicator of development. Therefore, provision of development assistance to business and agricultural communities, to finance exports of their products to developing countries, was an act taken to keep Canadian private companies at a competitive scale for the new markets opening up in developing countries. This view corresponded well with the policies of most industrialized nations during the first and second development decades. This was a period where emphasis was on capital and technology transfers, foreign investments, aid and loans, as well as on agriculture both for export crops and food production for domestic consumption. All in all, Canada and its private sector had the capacity to play - and did play - a role in developing countries.

2) A great deal of development assistance money - reported by President Catley-Carson in her address to the Electrical and Electronic Manufacturers Association of Canada (EEMAC), to be more than a billion dollars for fiscal year 1983-84 (see CIDA Documents, January 22, 1984) - ends up providing salaries, sales and contracts for Canadians. These two economic reasons - among others - might explain CIDA's creation of the INC Division.

Then there is the political motive behind Canada's provision of ODA, which might also give meaning to structural evolution within CIDA. As an organization, CIDA is answerable to a political body, in the sense that it reported to the Minister for External Relations (now Minister of Foreign Affairs), who in turn reports to the Prime Minister who then reports to his or her Cabinet and Parliament. In essence, structures enacted within the agency tend to reflect policies dictated by the elected government's philosophies as well as cultural realities, for example, Anglophone versus Francophone country programs prevalent in the Bilateral Branch. The recent revival of aboriginal desires for self-government and the demands of aboriginal people for recognition as valuable citizens who have much wisdom and experience to offer developing countries, can very well explain the proposed structure such as the NISDF. It is politically correct to initiate such a structure since "1993 will be the International Year for the World's Indigenous People...I want to ensure that representatives of the aboriginal peoples have access to me and my officials, to afford them the same opportunity as human rights NGOs to influence foreign policy" (Remarks by Monique Landry: CIDA Documents, January 21, 1992, p. 1).

In addition to domestic politics, there is the "traditional internationalism", which sees valid reasons for Canada to cooperate in world development: namely the concern that if

Canada does not do its part in the international arena, then other countries are less likely to take it seriously, listen to its views or respect its interests in world affairs. This concern is reflected in CIDA's position within the international development agency community (the Organization for Economic Co-operation and Development (OECD) and the Development Assistance Committee(DAC), and in its extensive Multilateral programs.²⁰ Table 5.3 exemplifies the political involvement of Canada with internationalism.

Efficiency in delivery: The desire for CIDA to maintain efficient delivery of ODA, and to become effective, might further account for the various structural changes in the organization. As the needs in the developing world are mounting and resources becoming scarce, CIDA seeks out a reservoir of capacities and skills from various institutions - CNGOs, universities, business communities, to mention but a few.

Changing Realities: There are a number of changes which have taken place in world development in the last 25 years of CIDA's existence. First, the development model of the 1960s viewing development in terms of economic growth, had been discredited due to many years of disappointing results. Failure of this model led to a shift in focus towards social development models which gave attention to the effect development has on people's lifestyles, attitudes, values and decision-making. This shift meant incorporation of structures within CIDA which would reflect "new development thinking" - Women in Development, focus on youth, focus on each country's need, academic institutions, and decentralization of decisions.

Secondly, the growing sense of "interdependency" took on a new meaning. Where before interdependency focused on North-South relationships - human basic needs of

developing countries and how industrialized countries can help, donor-receiver connotations - presently, interdependency is viewed in terms of the growth markets of the 21st century which are expected to be in the developing world. Canada, through its ODA, has to build linkages with these markets. Developmentally, this also pre-supposes a different type of relationship between Canada and the developing countries based on partnership and mutuality. There is yet another meaning of interdependency, one between North-North players. CIDA seeks out Canadian partners - CNGOs, private sectors, institutions and so on, primarily due to the complexity of delivering development assistance and continual scrutiny from CIDA critics: "It is difficult for CIDA to concentrate on putting poverty first and encouraging self-reliance while, at the same time, it has commercial and political objectives that do not always lend themselves to dealing with poverty in a direct way (Auditor-general's report quoted in the Montreal Gazette, January, 20, 1994, p. B 3). The great diversity of developing countries - each country has different developmental needs - demands policies and instruments that can match these needs. If CIDA's development efforts were to remain relevant, then the agency had to change to meet the new evolving needs. In essence, CIDA's initiation of a number of channels for delivery of ODA asserts this reality.

Consequently, CIDA has structurally evolved to accommodate various "stakeholders" of which CNGOs are a part. Since each stake-holder or partner has different demands, CIDA as a funding organization creates windows through which stakeholders and CIDA can have an amicable relationship. CIDA's system of "earmarking" its budget to each party is one of the examples of the accommodating measures adopted by CIDA towards its partners (SECOR 1991).

In conclusion, CIDA's assumptions about the development - or underdevelopment - of Third World countries were initially based on the prevailing models of the time: development was about economic growth and strategies used were those which transferred financial and human resources from industrialized to poor countries. For efficiency and effectiveness of delivery, CIDA forged partnerships with CNGOs attracted by their logistic management - as doers and mobilizers - in their efficient delivery of philanthropic and humanitarian assistance. The structures enacted within CIDA were, on the one hand, in direct response to the need for efficiency, yet on the other hand, they were a result of trying to respond to the global development thinking of the time.

5.1.7.2 *CIDA's Funding Pattern of CNGOs*

CIDA's funding of CNGOs is perhaps the one most significant dimension in the relationship which reflects evolving trends in development thinking and poses interesting questions regarding the notion of partnership. Historically, structurally and operationally, CIDA's primary link with CNGOs has been more through funding arrangements than through any other mechanism. There are three primary funding channels accessible by CNGOs: The matching funds, through NGO-Division; Country focus and contracting, through Bilateral Branch; as well as other funds, for example, food aid through Multilateral. Matching funds to CNGOs have a dual purpose: on the one hand they assist CNGOs to carry out their development activities overseas; on the other hand, they encourage CNGOs to reach out to their constituencies to 1) increase public interest and involvement in international development; 2) activate a more informed awareness of development issues by the Canadian

people; and 3) increase the flow of development assistance from the private sector (see CCIC Task Report on Government Funding, 1982).

An analysis of the projects and programs funded, for example, by CIDA-NGO Division, reveals a pattern similar to the development strategies of the second and third development decades. For instance, the criteria for project/program funding as outlined by CIDA-NGO Division suggest activities which are developmental in nature rather than relief and welfare. Emphasis is put, among other things, on long term partnerships. In the second development decade (1970s) meeting basic human needs of the poor dominated development debates. Development agents, of whom CIDA and CNGOs are part, were expected to focus on integrated rural development of developing countries. Activities such as community development, agriculture, provision of clean water, human resource development - through education and skills training - were among the types of projects funded.

Primarily, CIDA funds similar programs to those other donors fund. CNGOs activities are conditioned by CIDA's priorities as evident in the criteria of programs and projects which receive funding. It appears that as development thinking shifts from decade to decade, CNGOs are losing their independence. As Korten (1990) demonstrated, the more an NGO's choice is conditioned by donor priorities and the availability of funds, in contrast to its own social mission, the more appropriate it is to classify it as a "public service contractor" (p.103).

There are interesting observations to be made here: 1) In responding to CIDA priorities and criteria, are CNGOs forfeiting their renowned role as "independent, creative and innovative value - oriented organizations?" 2) When CIDA uses terminologies such as: trimmed budgets, absorptive capacity, self-renewal to meet challenges of the '90s and 21st

century and decentralization; is this an indirect desire on part of CIDA to deal with organizations which can manage large-scale implementation of development projects on behalf of donor agencies?

Let us take the example of Country focus programs awarded to CNGOs. These can be analyzed in a number of ways. Examined closely, a country focus project is undertaken by a CNGO that is big, experienced and with resources - human and financial; one which has a good track record with CIDA. Large sums of funds have been channelled to CNGOs through this route. At the initial stage (1981-82) Country Focus projects reached slightly over three million dollars (\$3.5 million). By 1984-85, these projects stretched to \$33.7 million. By 1988, bilateral transfers in favour of CNGOs are reported to have surpassed \$40 million a year (Brodhead et al., 1988). Although initially these funds were looked upon (by CNGOs) with suspicion, by the mid-1980s the main CNGO concern was to see more funds made available through Country Focus, to enable them to expand from the micro to macro scales (CIDA Documents, January 17, 1986). From CIDA's point of view, Country Focus programs appear to be an added channel of funding that adds flexibility to CNGOs' dealings with CIDA. The programs can be seen as a political manoeuvre which balances demands of a rational system with its excessive bureaucracy and rigidity.

Country Focus can also be a reward for those CNGOs that have performed their development activities suitably with CIDA's expectations - track record being an important component to whether or not a CNGO gets these funds. Since with Country Focus, CIDA's agenda - as opposed to CNGOs' - takes precedence, then such programs are not real CNGO projects, but rather government projects subcontracted to CNGOs.

On the other hand, some observers have concluded that Bilateral programs have not in any way put CNGOs' autonomy at risk; instead they have enabled CNGOs to grow and strengthen their independent delivery abilities, and to develop their projects beyond what could have been accomplished by their own means or through matching grants from Partnership Branch (see Smillie Report, CCIC, 1991).

Paradoxically, the more flexible CIDA attempts to be in its dealing with CNGOs, for example by initiating Bilateral Country Focus or Contracts, and creating decentralized Small Project Funds like those administered by CAMROSE, FIT, PAC and so on, the more bureaucracy CNGOs have to encounter. It is not uncommon for a mid-size CNGO to be dealing with four or five CIDA project and program officers in different branches, as well as with a number of coalitions and consortia. Each funding mechanism has its demands of project/program application forms, monitoring procedures, reporting requirements as well as evaluation schedules. All these demands are time-consuming and frustrating to CNGOs. CIDA management, on the other hand, is also concerned about all these channels opening up for CNGOs - as evidenced in the agency's pre-occupation with the absorptive capacity of CNGOs, and the overall evaluation procedure of CNGOs by CIDA.

CIDA's funding of CNGOs and the processes employed to help ensure that funds do what they are meant to do is resulting in accusations of CIDA spending more management energies on paperwork and becoming over-regulated. Bureaucrats in the agency are devoting more and more attention to process and minimizing risk, than to the substance of development (Auditor General's Report January, 1994).

5.1.7.3 CIDA-CNGO Relationship: Beyond Funding

Although CIDA's funding of CNGOs is the most discernible impetus to the relationship between the two parties there are other mechanisms which bind the two in a push-pull alliance. While both have different roles and responsibilities, and are accountable to different bodies, they nevertheless have an essential identity of long-term objectives and similar goals in world development. These seemingly common development objectives necessitate that the two have an ongoing dialogue. Reasons for CIDA's consultation of CNGOs can be twofold. First and foremost is the fact that when it comes to Third World development, CNGOs have emerged as the experts in the field; recognized for their pioneering spirit and initiative qualities. It is logical that an agency such as CIDA, which structurally creates networks and linkages to achieve its goals, should consult CNGOs on a number of development issues, assumingly for input and constructive criticism.

Consultation can also be a way of CIDA informing CNGOs of policy changes, and outlining the agency's expectations of its partners. But most importantly, it is a way of indicating to CNGOs that in the new directions of international development, there are many actors, for example, business groups, institutions, private organizations, and others currently under the CPB, eager to play their part. Therefore CNGOs are cautioned to play the part that is uniquely theirs - basically to carry out advocacy activities in favour of CIDA and ODA, raise funds from own their constituencies, and be financially accountable - and pull in the same direction as CIDA.

On the other hand, consultation gives special status to CNGOs. CIDA's upper management confers CNGOs with lavish praises for their role in international development.

Speech after speech, either by Presidents of CIDA or by Ministers for External Relations, never fail to mention CNGOs' role - regardless of which group is being addressed. In the conceptual frame of this study, consultation and lavish praises could very well be CIDA's means of exercising new forms of cooperation where genuine partnerships and inclusiveness are the trend of the 1990s.

Evaluation is another dominant, and seemingly most contradictory mechanism in the relationship between CIDA and CNGOs. While on the one hand evaluations emerge as "mutually beneficial" tools to both parties - getting to know CNGOs, providing feedback to CNGOs in order to strengthen their weaknesses and so on - they (evaluations) can also be somewhat intimidating, especially to CNGOs. When CIDA officials use such adjectives as "apprehensive", "defensive" and "cautious", in their description of CNGOs' perception of CIDA evaluations they are revealing genuine CNGO-concern. Even though evaluations are carried out on behalf of CIDA by private consultants - facilitating a non-threatening agent for free expression - they are directly related to an approaching funding period. As the CCIC report indicates, evaluations have become far too important as a check off for justifying the next funding arrangement, and almost useless as a genuine tool for CNGOs to improve upon their work. As a result of the funding focus, a CNGO with a genuine problem is unlikely to expose it willingly to a CIDA-engaged evaluator (CCIC, December 1991).²¹ If this analysis has merit, then it is understandable why some CNGOs are very critical of CIDA's evaluation processes, accusing the agency of interfering too much in CNGOs implementation of development activities (Interviews with CNGO officers). The fact that some CNGOs feel threatened by evaluations conducted on behalf of CIDA, consultations and participatory

involvement notwithstanding, poses interesting questions concerning the relationship, and ridicules the whole notion of partnership - assuming that mutual trust and respect are essential attributes of partnership. General speculation can be raised:

1) CIDA's evaluations of CNGOs may appear to have a hidden agenda, which is an exercise of power and control. Social scientists, for example, Weiss (1980) and Floden and Weiner (1978), have referred to evaluations as something organizations need to do if they are to be viewed as responsible, serious, and well managed. Evaluation data on the other hand can also be used as weapons in political battles or as justification for decisions that would have been made in any event.

2) Another speculation is that CNGOs have shortcomings in their own organizations which they would rather not disclose to CIDA for fear of losing future funding. Some of these shortcomings could be their lack of trained staff in such areas as evaluation - otherwise why is it that CNGOs are very passive when it comes to conducting their own evaluations?

3) CNGOs appreciate - and anxiously await for - CIDA's evaluations of their activities, since this is the one sure avenue for them to become aware of their weaknesses and to improve their programs. CIDA indicates that the process of evaluating CNGOs is "participatory" in nature; this however could merely be a symbolic gesture, making CNGOs feel that they are participating, when they have no power to influence the outcome.

4) And finally, accountability is an added and unavoidable element which rationalizes the evaluation process. Since CIDA is held accountable to Treasury Board - CNGOs are equally accountable to CIDA, to their constituencies, to the Canadian public and (ideally) to their Third World partners - the best testimony for accountability is the content of the

evaluation reports. Floden and Weiner's (1978) argument that evaluation is a ritual whose function is to calm the anxieties of the citizenry and to perpetuate an image of government rationality, efficiency and accountability, lends support to this rationale.

5.1.7.4 *Benefits accrued from the Relationship*

Ostensibly, the relationship between CIDA and CNGOs is mutually beneficial. Again as in every aspect of this relationship, there are conflicting views of each party's contributions to, and gains from the partnership.

CIDA's stated contribution of technical expertise to CNGOs seems to have a dual function. On the one hand it assist CNGOs in becoming more professional at a functional level, in such aspects as report writing, as well as preparation and presentation of financial statements. These skills are essential for organizations such as CNGOs which are presumably accountable to numerous donors - CIDA, CNGO constituencies, and in some cases, international headquarters. On the other hand, this type of technical assistance benefits CIDA by creating a uniform system of reporting and financial accountability for all the stakeholders it has to deal with.

CNGOs, however, perceive technical expertise as another government red tape demand, which obliges them to function as bureaucrats do. Yet as CNGOs become increasingly aware that reporting and funds accountability is part and parcel of dealing with donor agencies they are looking for ways of influencing CIDA to accept reporting formats designed by and for CNGOs only. This would eliminate what CNGOs perceive as delays in decision-making and would result in better CNGO efficiency and effectiveness (CCIC Report,

December, 1991). Influencing policy change is a development strategy which is advocated for in the transformation era of the 1990s and beyond.

While the diplomatic network overseas is perceived by CIDA to be a major benefit to CNGOs, it is criticized (by CNGOs) as giving grounds to Canadian Embassies and CIDA project support unit officials to intrude into areas which are traditionally beyond their view. In an interview, the deputy director of one CNGO argued - in the defence of protecting certain principles such as the needs and integrity of indigenous organizations - that "the Canadian High Commission personnel should know the limits of their involvement, for example, in the Kenya water project where they impose their presence at the local level uninvited". Interestingly enough, what CNGOs perceive as an intrusion, is hailed by CIDA as one of the mutual benefits the relationship has facilitated - easy access to local grassroots organizations. This discrepancy in perceptions once again can be attributable to the fact that both parties are operating in an environment of constant scrutiny by a number of interest groups - from Treasury Board, the media, academics, to taxpayers in Canada and NGO groups in developing countries. While there is a desire for genuine partnerships - common goals, mutual respect and trust, equality and so on - in reality, the relationship is engulfed in mistrust and misunderstandings.

The notion of "growth" in the NGO community is a benefit not even CNGOs can deny. However in a rush to grow, CNGOs could be risking undesirable outcomes. One of the three main areas of CNGO-growth is explicitly in overseas programs. By 1985, the NGO-program was growing at a faster rate than the overall aid budget (CIDA Documents, January, 1986). Since much of the growth in overseas programs is a direct result of proliferation of

funding channels within CIDA, there is a great risk of CNGOs falling into a pattern of dependency on the government. CNGOs not only risk depending on CIDA for funds, but also for other demands which ensue from, a funding relationship, and from working in such a complex field of international development, whose definition and strategies are constantly changing. CNGOs risk total dependence on CIDA's (access to) professional expertise - the main area in which CNGOs are quite weak - in such areas as evaluations, financial management, policy research and so on.

The risk of CNGOs depending too much on the government for funds is already recognised by CIDA. This is evident in the agency's pre-occupation with the absorptive capacities of CNGOs. One of the indicators that a CNGO is in danger of absorbing too much of CIDA funds, is the fact that it increases staff in order to implement CIDA's Bilateral Country Focus programs or contracts. Once these terms of engagement terminate, a CNGO may find itself with less funds and more personnel on its payroll.

There is an added risk to CNGOs' growth. Since CIDA's financial arrangements for CNGO program funding are made on a co-funding basis - government funds matching CNGOs' funds raised from the public - CNGOs are risking becoming just fundraisers for overseas programs. In their campaigns for fundraising, some CNGOs resort to using all types of degrading images of poor people in developing countries, an exercise some observers have termed "the pornography of poverty". Sooner or later this technique is bound to offend CNGO-partners in developing countries and dishearten donors in Canada. Already there are suggestions of "donor fatigue" among the Canadian public.²²

Perhaps the greatest risk of all, is the fact that growth could lead CNGOs to lose their acclaimed autonomy, by increasingly becoming delivery agencies for CIDA. The special role attributed to them - free voice of conscience in society - may disintegrate in the quest to grow. There is already a push for greater cooperation between CNGOs and the private sector. Merging the Industrial Cooperation Division with NGO-Division under one Branch - the Canadian Partnership Branch - is one of CIDA's ways of pushing for this cooperation. While this may not be a direct result of CNGO-growth, or an intended measure on the part of CIDA to eliminate CNGOs' autonomy, nonetheless it signifies a change in perspective within CIDA. This perspective complies with development thinking of the 1990s, where "free market economics" is promoted as the model to guide development cooperation to the 21st century.

CIDA's President, Catley-Carlson, alluded to this change a few years back concerning Canadian NGOs which "still have a problem to resolve in coming to grips with the private sector. I am referring to the continuing tendency to disdain the profit motive. In a world where money is pretty well a universal motivation, this kind of attitude is just plain unrealistic - much better to recognize the role of profit, and come up with resourceful ways of using it as another development tool." (CIDA Documents, January 1986, p. 8). Current income-generating development programs implemented by some CNGOs may very well be the result of heeding this warning.

Lately CNGOs are sensing a great deal of some of the risks mentioned above. Report after report - either commissioned by CNGO umbrella organizations such as CCIC or by CIDA - indicate that CNGOs are in danger of becoming just another flavour of executing agencies. CNGOs are attempting to fight back by pointing out that they are development

organizations in their own right, a part of the Canadian international development effort - albeit on their own terms. To be perceived merely as executing agencies, is to force them to act simply as contractors and less as legitimate partners. This inevitably robs CIDA and Canada of both voice and initiative (CCIC report, December, 1991, p. 18).

5.1.7.5 *Building Capacities*

The section on building of capacities, is perhaps the nerve center of this whole study. It raises specific elements of strengths and weaknesses of each party as perceived by its partners; setting guiding standards upon which a partnership between organizations can be based.

Apart from the symbolic mutual admiration - CIDA's acknowledgement of CNGOs' attributes of dedication, organizing and empowering communities, doing much with less and so on; plus CNGOs' recognition of CIDA's wealth of experience in the domain of development - both CIDA and CNGOs share a great deal of "mutual complaints" towards each other. For instance, lack of professionalism among CNGOs is an interesting complaint raised by CIDA. Since most of the programs and activities executed overseas by CNGOs - and funded by CIDA - require a certain level of professional expertise, what then is behind this stated weakness? It appears that by "professional" CIDA is referring to the proficiency in reporting, financial management and evaluating of programs. These are the main areas in which CIDA and CNGOs constantly have disagreements.

Of the two parties, CIDA has perhaps established more structures to accommodate CNGOs - for example all the structural evolutions mentioned in section 5.1.2.3 - than the

other way around. Yet as mentioned before, CIDA as an organization is inherently very structured. That is the nature of its design. Theoretically, organizations operating in a highly uncertain environment will need a more flexible, less bureaucratic structure than those operating in more stable and predictable settings (see Galbraith, 1973). What is evident throughout this study is the fact that both CIDA and CNGOs definitely operate in a very uncertain environment - international development.

However CIDA, unlike its CNGO partners, is a highly structured and bureaucratic organization whose complex division of labour among its operators increases its level of standardization and functioning. As such, the agency requires to control, in a relatively uniform mode, how it is going to coordinate its activities. Since uniformity is a critical organizational need for CIDA, "vertical coordination" proposed by structural theorists such as Thompson (1967) tends to be applied. Thompson explains how organizations attempt to coordinate and control through the notion of linkages. He suggests that organizations attempt to coordinate and control in two ways: vertical - applied through such mechanisms as funding, application forms, and project proposals and so on; and lateral coordination - through formal and informal letter writing, faxes, telephone calls and meetings, to compensate for the coordination void of vertical strategies.

CNGOs however, are more flexible and function as simple organizations, leading to CIDA's accusation that CNGOs display the desire to stay structureless and falling behind the times, not wanting to change. It is important to note though, that CNGOs' stated strengths, whether listed by CIDA or other observers, have at times made CNGOs think very highly of themselves. In fact, all evidence seems to point to the fact that CNGOs have been taught to

think the way they do. Ten years back, CIDA's upper management was lavishing CNGOs with such tributes as: "Those who work in our NGOs have proved many times over that they know how to make a dollar stretch an amazing distance...they are the people who do understand how things work in the real world especially the Third World" (CIDA Document September 30, 1983 p. 6).

In addition, growth in CIDA's funding of CNGOs, which occurred earlier in the relationship, plus the establishment of structures within CIDA to cater to CNGOs, obliquely indicated that CNGOs were more important for CIDA than the other way around. The concern then becomes whether attempts for CNGOs to eliminate their perceived weaknesses would simultaneously obliterate their acclaimed strengths.

5.2 Commitment of CNGOs to Partnership with KNGOs

5.2.1 *Introduction*

As indicated in chapter four, 10 field officers of five CNGOs were interviewed for this study. Some of these organizations have been operating in Kenya since as early as 1968, for instance, CARE International, while others were established as recently as 1982. Three of the five CNGOs interviewed - these include World Vision, CARE and AKF - started off as relief or missionary agencies. Gradually they moved towards development programs. CHF has restrictively dealt with development since its inception in the country in 1982. ADRA which has operated in neighbouring Uganda since the 1960s, running schools and hospitals, did not start operating in Kenya until 1982. Whereas two of the five CNGOs are mainly funding bodies, providing funds to viable projects proposed by KNGOs, but leave direct

implementation to the local partner, the rest act both as funding and implementing organizations. With the exception of one organization (CHF) whose headquarters are based in Canada, all the other four are affiliates of international networks, whose headquarters are based either in Europe or the United States. Three of these organizations - World Vision, AKF and ADRA - are categorized as "counterparts" - they have a decision making body in the form of a board of directors or national managing committee in Kenya. The other two - CARE and CHF - are identified as subsidiaries, with no governing board in the country, referring their major decisions, for example policy and programs, to their overseas headquarters. Two are fairly large in terms of their staff, as well as the number of projects administered in the country. Staff members range from as few as eight to as many as 160, with current projects - funded and assisted by field office - numbering as low as four for one organization to as high as 137 for another. All of the five organizations are registered, and work in collaboration, with the government of Kenya.

5.2.2 Process of Identifying KNGO Partners

Interviews and documents reveal that CNGOs work with various Kenyan groups. These groups are as diverse in their nature and orientation as their partners in development, the CNGOs. They constitute such groups as: governmental institutions - notably ministries and parastatal bodies as well as development district committees (DDC), local church groups, women's organizations, primary schools and local farmers' co-operatives.

CNGOs reported three main channels of identifying "suitable" local partners:

1) Through the Kenyan government. In this instance, the government, which has conducted surveys throughout the country and has knowledge of where certain needs are most prevalent, would approach a CNGO concerning the needs of a group (or groups) in a given district.

2) Through local groups. In a number of cases, they directly apply to a CNGO for funds. Such initiatives create opportunities for CNGOs to have a dialogue with various organizations without having to go through governmental channels.

3) Through their own CNGOs. CNGOs occasionally take direct initiatives towards a local group, especially if that group is in an area where CNGOs have identified a development need.

5.2.2.1 *Characteristics of KNGOs*

Generally, CNGOs tend to work with local groups which have some (or all) of the following characteristics: 1) Those whose needs are perceived (by CNGOs) to be compatible with the programming goals of CNGOs, and in sectors where CNGOs have human resources and experience. 2) Those whose needs and development objectives are in line with the overall development plans of the Kenyan government, and are registered with the local district offices. 3) Those which essentially focus on "community development", with a community based membership - under the direction of a local governing committee, indicating community involvement and commitment. Tables 5.10 and 5.11 summarize profiles of CNGOs and KNGOs interviewed for this study.

Table 5.10

PROFILE OF SELECTED CNGOS IN KENYA (1991)

Organization	Date of Inception in Kenya	Paid Staff	Number of Projects	Status	Interviewed KNGO Partners	Development Activities/Sectors
CHF	1982	10	4	Subsidiary	- Munugi-Mugomango Water Society	Water development - Agriculture/food production - Income-generation (shops for women)
World Vision	1974	101	137	Counterpart	- Ruiru Community Development	1974 - Child Sponsorship 1978 - Child & Family Sponsorship 1982 - Community Development -Health -Transportation -Water/Socialization -Food production/Agriculture -Forestation
ADRA	1982	10	12	Counterpart	- Kaarura Women's Group	Community based development - improved health - economic & social well being - development of institutions for delivery of essential services Small Enterprise Development (SED) - WID; moving beyond basic base need; increased women's income - Staff training Relief & human disaster response
AKF Kenya	1974	8	5	Counterpart	- Shelter Afrique (a local funding agency) - Kayole Mihango Women's group	Health (Primary Health Care Education (Early childhood) Rural Development Primary Health Care - Water/sanitation - Family planning - Immunization - Income-generation Education (Child to Child) Mother & child health
AKF - Health	N/A	18	2	Counterpart	None	
CARE	1986	160	8	Subsidiary	- Nyakasumbi Women's group - Kwegitich women's group- Agriculture & Natural Resources (food production soil fertility) - Income-generation for women	- Education - Health - Water Supply - Youth employment

Table 5.11

Profile Of Selected KNGOS

Organization	Date Registered	CNGO Partner & Date Partnership initiated	Paid Staff	Annual Budget (1991)	Source of Funds
Murugi-Mugomango Water Society	1982	CHF 1984	17	Shs. 40,000 (\$1,600 Cdn)**	<ul style="list-style-type: none"> • Membership fee • Selling Water • Pipe selling to non-members • Government assistance (limited)
Karura Women's Group	1989	ADRA 1989	None	Shs. 5,000 (\$200 Cdn)	<ul style="list-style-type: none"> • Grant from ADRA • Small profit from Kiosk
Ruiru Arahuka Family Development Project	1984	World Vision 1986	7	Shs. 1.7 million (\$68,000 Cdn)	<ul style="list-style-type: none"> • Funding from World Vision
Kayole Mihango Women's Group	1984	Shelter Afrique (AKF) (1988)	75	Shs. 84,000 (\$3,360 Cdn)	<ul style="list-style-type: none"> • Selling construction material (e.g. blocks, tiles) • Membership fee • Grants • Fee from daycare services
Kwegitich Women's Group	1986	CARE 1986	None	Shs. 2,500 (\$100 Cdn)	<ul style="list-style-type: none"> • Membership fee • Loans from CARE
Nyakasumbi Women's Group	1986	CARE 1986	None	Shs. 3,000 (\$120 Cdn)	<ul style="list-style-type: none"> • Membership fee • Selling of produce • Loans from CARE
Shelter Afrique*	1982	AKF 1990	65	Shs. 45 millions (\$1,800,000 Cdn)	<ul style="list-style-type: none"> • Bilateral Donors (e.g. CIDA, DANIDA, SIDA, NORAD, USAID) • Foundations (e.g. AKF, Ford, etc.)

* Shelter Afrique is a National NGO receiving funds from Donor agencies and acts principally as a funding and implementing NGO.

** At the time of field study the Canadian dollar was equivalent to 25 Kenyan shillings.

5.2.2.2 Administration and Governance of KNGOs

All the KNGOs interviewed for this study were established in the 1980s and had initiated a relationship with the CNGOs within five - or less - years of inception. They all had a governing board, either in the form of an executive committee or managing council. In all cases, a local government representative sat on the board either as a full member or in an advisory role.

The main responsibilities of a KNGO governing board include mobilizing and motivating people in the community towards involvement in development projects, hiring of local staff and making sure the staff is doing its work appropriately, implementing resolutions of community members as determined in general meetings, communicating community ideas (and grievances) to CNGO partners, and coordinating activities between various sub-committees. In most cases, board members receive a set stipend - referred to as a "sitting fee"- for every board meeting they attend, either as a motivating factor or a status symbol of the board.

Of the seven KNGOs interviewed, four had paid staff working for the organization. The number of employees ranged from as few as six to as many as 75. The other three groups were mostly women's groups. They did not have paid staff and their activities were organized and managed by the governing board which acted on a voluntary basis.

5.2.2.3 Development Needs and Objectives of KNGOs

Development objectives of KNGOs parallel basic needs of procuring clean water, whether piped or generated from bore holes, building of decent housing, with better sanitation, in the form of pit latrines, increasing of income - through income-generating activities such as growing and selling food crops and operating of small shops, increase of food surplus - through the introduction of various (and improved) methods of farming. The population served by most KNGOs, and in effect CNGOs, include the landless squatters, the unemployed school drop-outs, illiterate mothers, primary school-age children - mostly in rural or semi-rural areas, as well as local farmers and women's groups.

5.2.3 Program and Project Implementation

In responding to the prevailing needs of the population they serve, CNGOs and their KNGO partners implement projects in traditional sectors of education and training, health, agriculture, and water development. Focus on women and income-generating activities are recently added development programs.

5.2.3.1 Common Sectors

Education and Training: Projects in this sector are aimed at: 1) The very young - pre-schoolers and primary aged children. CNGOs' involvement is limited to assisting communities with funds or materials for the construction of schools and facilitating in-service teacher training, as well as production of curriculum support materials. 2) Young adults - mostly primary or secondary school drop-outs. In these instances technical training centres are

operated to impart appropriate skills for relevant employment in society at large. 3) Women and community leaders who are provided with leadership and managerial skills, as well as proficiency in operating a business.

Health: Projects implemented in the health sector focus mainly on general community health. Numerous activities are conducted at the community level encompassing preventive methods such as mother-child health programs, sanitation, family planning, nutrition and immunization.

Agriculture: Increase in food production is a major objective achieved through the introduction of better planting methods, provision of seeds, fertilizers and implements to local farmers. Tree planting and livestock keeping are added activities which aim - in most cases - at women's groups. Through extension workers, CNGOs reach out to local farmers and their families.

Income-generation: Programs implemented in this category are principally aimed at women's groups. Activities range from simple basket weaving, sewing and operating of small shops (kiosks), to large scale production of construction materials. CNGOs' involvements extend from provision of funds for purchase of land, (especially for urban groups) and materials to training of women in business skills, notably simple bookkeeping, opening of bank accounts, borrowing and re-paying of loans. Generally, project implementation takes place at the project level where project managers, either CNGOs' or KNGOs, are stationed. Local communities have to be stakeholders in the projects before CNGOs could offer assistance. Roles and responsibilities are delegated at the very beginning of the initiation of a working relationship. A typical division of responsibility for example would be KNGO -

community members - contributes manual labour, land, local material or equity contribution. In turn a CNGO would provide funding, technical assistance and other fundamentals. In essence, project implementation becomes a joint effort with a "contributory" factor on all sides.

5.2.3.2 *Communication and Evaluation*

Communication between CNGO offices in Nairobi and their local KNGO partners, rural, urban or semi-urban, is carried out in a number of ways. Both parties communicate on every aspect of program and project design, implementation and evaluation. Problems ranging from community concerns, failure to achieve goals in time to seeking advice on various issues and requests for more funds - constitute a great deal of things to communicate about. Visits and face-to-face meetings, letter writing, and where possible, telephone calls are all routine means of communicating.

Where visits are a common channel of communicating, CNGO officials tend to visit the project sites of KNGOs. Very few KNGO partners reported visiting CNGO offices in Nairobi. When asked why local groups do not visit Nairobi offices, one CNGO respondent related: "Most of the decisions are made at the project sites where the majority of community members are involved in a number of activities, therefore there is no practical reason why our local partners have to come to the Nairobi office" (Interview with Assistant Field Director: CARE Kenya). Those KNGO officers who reported visiting CNGO offices in Nairobi did so in order to "hand in the reports or to drop in for a friendly chat". When asked how they perceived the nature of CNGOs visiting them, KNGOs gave a range of reasons. For instance

CNGOs visited in order to gather information - including field researchers who are taken to KNGO sites by CNGO officers, look at financial books, advise the groups, participate in electing committees and to conduct evaluations.

A number of projects implemented with the assistance of CNGOs have different levels of decision-making. For instance, decisions are made at a CNGO office in Nairobi concerning funding of a particular KNGO project. Those decisions are communicated to the project manager, who is normally an employee or member of a KNGO. The project manager in turn would communicate those decisions to extension workers who directly work at the community level.

Report writing is another added form of communication. These include quarterly reports on the progress of project activities, as well as financial reports. Such reports are required from the KNGOs to CNGO offices. One project manager of a local group explained that he was responsible for writing 44 reports to a CNGO partner. These included: 12 monthly "plan of action" reports, 12 financial reports, one end-of-the year report, 10 committee member minutes, three quarterly reports, two community member meetings and four activity reports. Rarely do KNGOs receive reports from their CNGO partners, except on occasions where an auditor's report - following the process of auditing a particular KNGO - is sent to them.

Evaluations are central to the projects implemented by both CNGOS and KNGOs. The reasons for and frequency of evaluating varies from organization to organization. The most commonly stated reasons for CNGOs' evaluations are: 1) To confirm that the project has succeeded and that objectives have been met; 2) To determine the social economic impact the

activities are having on the population. For example, one CNGO uses a three year evaluation to look at specific indicators, such as increase in household income, management capacities, and uses of latrines. The same organization might use a short term evaluation to assess measurable achievements and milestones, such as number of wells dug, number of people trained and so on; 3) To satisfy donor requirements, for example, money has to be spent by a certain period. Where donor requirements is the reason for evaluating, external evaluators, selected by the donor, would conduct the evaluation; 4) To phase out a project, normally at the end of the funding period, or when a project is deemed problematic and no longer relevant.

The involvement of KNGOs in these evaluations is very much limited to participation, at the project level, in evaluation "day workshops". There are different names for these workshops: Participatory-monitoring Evaluation (PME); Participatory Evaluation Process (PEP) and so on. In these types of evaluation, both groups - CNGOs and KNGOs - would define what needs to be evaluated and determine how to go about it. A typical workshop evaluation would have the following design: A whole day would be allocated for meetings between CNGO and a local community, under the supervision of KNGO leadership. Local people would be interviewed about the project through questions or - in cases of illiterate members - diagrams. Simple questions such as: "Are you happy with the project?" would be asked. In some cases pictures of a happy person versus an unhappy one, would be shown and participants choose the one which best describes their feelings about the project. Participants are also asked what changes - for the better - they could envision. All information and valid points are recorded by the CNGO for consideration.

With the exception of one women's group, all KNGOs interviewed for this study conduct their own evaluations under the guidelines provided by their CNGO partners. On-going evaluations, check point type of evaluations, participatory - which are conducted annually, as well as monthly evaluations are common procedures among those KNGOs who evaluate their work.

5.2.3.3 *Financial Management*

All the internationally affiliated CNGOs operating in Kenya receive their funding from various donors - in addition to the Canadian source. Multiple sources of funding is not as accessible to KNGOs. Outside of CNGOs financial assistance, KNGOs generate funds from a membership fee, which is very minimal; selling of produce - whether food crops, water, or building materials, fundraising (Harambee), or in one case from local embassies - something similar to the Canada Fund for Local Initiatives. In addition, limited financial assistance is received from the Kenyan government and local chapters of world bodies such as UNICEF, AMREF, to mention but a few.

There are mechanisms put in place to facilitate exchange of funds. For instance, transfer of funds from CNGOs to local partners occurs in the form of loans or cash - for the initial stages of setting up specific agreed upon projects. There are a number of application forms outlining funding procedures to partners (for a sample of application and agreement forms see Appendix 4). Disbursement of approved budgets, as well as accountability for funds by a recipient local organization, are features clearly outlined in contractual agreement forms signed by representatives of KNGOs.

Funds accountability is managed through monthly financial reports and audits by CNGO-hired auditors. Where KNGOs do not have the required skills for funds accountability - accounting, bookkeeping, and financial report writing - CNGOs provide them with that training. All CNGOs exhibit strong involvement in financial management and control, insisting on precise financial reporting to their offices. Local groups risk a termination of funding if they fail to submit financial reports. In many cases accompanying receipts, detailing how the allocated funds were spent, are required. Field officers emphasize the urgency of funds accountability by their local partners, primarily because they are equally as accountable to their support offices in donor countries who demand to know in specific time schedules how funds are used.

5.2.4 Discussion

The move by CNGOs in the field from relief and welfare activities towards long-term development programs in the mid 1980s, is a reflection of a number of issues. First and foremost, the persistent problems of abject poverty, population growth, famine, the educated unemployed and landless squatters endured by large populations in Africa, compelled a different approach of intervention. This shift corresponds to the overall change in development thinking which begun a decade earlier. Secondly, changes happening on the home front in Canada - budget cuts, new CIDA strategy of collaborating with many players in the field of development, plus decentralized mechanisms such as PAC - steered CNGOs away from mere response to disaster relief, towards activities which might lead to sustainable increases in the capacity of indigenous institutions. In Kenya, there are striking similarities -

in terms of program priorities, organization governance, and accountability obligations - between CNGOs and the KNGO partners they choose to work with. It seems that in identifying partners, CNGOs are either drawn to those local groups which are clearly well organized, with governing boards - the type of decision making bodies CNGOs can identify with given their own governing structures in Canada; or those with needs that conform to CNGOs' goals and expertise. In cases where a local group has apparent developmental needs which CNGOs can address, but fails to have a governing structure, CNGOs assisted such groups to constitute a governing body - as in the case of three women groups: Karura, Nyakasumbi and Kwegitich. With the exception of a mandatory governmental official sitting on their board of directors, KNGOs' systems of governance are comparable to their CNGO partners - both are decision-making bodies.

In terms of populations served by CNGO-KNGO activities, it is important to note that basically those groups which traditionally have been neglected, either due to lack of resources or due to indifference by African governments, are the very groups CNGOs and in effect KNGOs, have a propensity to serve. These groups include the most marginalized people - the very young (pre-schoolers), rural dwellers, women and school drop-outs. In the process of serving these groups, CNGOs make use of, and at the same time rescue, the educated, but unemployed graduates. Since governments in Africa are the principal employers of school leavers, especially high school and recent college graduates, there is an alarming number in Kenya of the educated unemployed who cannot be assimilated into the limited wage-paying positions in government ministries. The educated unemployed is a direct result of the development strategies of the second development decade - where underdevelopment due to

"lack" and "lag" was addressed (among other strategies) through mass education campaigns and construction of schools.

One CNGO officer prided in his organization's effectiveness: "We know we are effective by observing that we are in places where nobody, not even the government, has been before. We have moved through generations of development - from relief and welfare (the first generation) to institutional support (the second generation); now we are en route to sustainability and self-reliance - the third and ultimate generation" (Interview with Assistant Field Director: World Vision). Evidently, the officer was borrowing Korten's (1987) concept of NGOs becoming value-driven strategic organizations engaged in shaping national policies and institutions. What is also highly apparent is the fact that CNGOs and their KNGO partners seem to be unable to move from the "basic human needs" strategic management activities of the third generation towards an activist's role required for the fourth generation as proposed by Korten (1990). In reality the basic human needs battle has not been won yet, and in many instances - as indicated by the state of projects visited - it has barely begun to take roots. The question - in reference to some African countries - is whether fourth generation NGOs are valid at this point.

It is quite clear, however, that all the efforts put forward by CNGOs, either in their funding or implementation role, are aimed towards "modernizing" the population they serve. When it comes to assessing impact of CNGOs partnering with KNGOs, appraisal is usually in terms of concrete outcomes - such as number of schools built, wells dug, youth educated and employed, and increase in income. What is not so obvious is the KNGOs' ability to influence policy of their national government. The watchdog role commonly attributed to the NGO-

sector "as checks on the relentless tendency of the state to centralize its power and evade civic accountability and control" (Korten, 1990, p. 99) does not emerge in the activities of CNGOs or their KNGO partners.

Another interesting observation is the number of ways in which the CIDA-CNGO relationship influences the CNGO-KNGO alliance. For instance, CNGOs' insistence on the notion of stakeholder - local communities have to contribute something, either land, labour and so on - in the execution of projects, is not different from the contributory element in the funding relationship between CIDA and CNGOs. Comparable to the CIDA-CNGO relationship, CNGO-KNGO partnership is based also on clear guiding standards. From the onset each organization knows: 1) the terms of engagement - including expectations and obligations; 2) the consequences of failure to fulfil obligations and 3) that where there is lack of skills, for example, in financial management, or where the partner overlooks obligations - for instance delays with reports, the partnership has built-in mechanisms to assist each party to keep its end of the bargain. These mechanisms include regular monitoring and dialogue through constant communication channels, as well as visits and evaluations. In essence, partnership becomes a joint effort, with a contributory factor on all sides. Reciprocity, however, is one notable missing element in the partnership between the CIDA-CNGO-KNGO partnership. There is a linear flow of obligations - funds, reports, audits, visits and so on. Figure 2 below epitomises the reciprocal nature - or lack - of the relationship. It clearly indicates that there is a lineal flow of funds in one direction - from CIDA to CNGO and from CNGO to KNGO. Reports, where reciprocity would be highly assumed, given the fact that this is a partnership, also tend to flow lineally. CIDA audits CNGOs and they in turn audit

KNGOs. There are no apparent arrangements for KNGOs to audit CNGOs, or CNGOs to audit CIDA. Data indicate that the aspiration is there for CNGOs to evaluate CIDA, as indicated by one CNGO respondent: "They (CIDA) get to evaluate our activities, but we do not evaluate them..." (Interview with OCCDP Project officer).

Figure 2

Obligations	<u>Partnership Obligations</u>		
	Partners		
	<u>CIDA</u>	<u>CNGO</u>	<u>KNGO</u>
Funding	---->	---->	
Reporting		<----	<----
Evaluating	---->	---->	
Auditing	---->	---->	
Visiting		<---->	<----
Advice	---->	<---->	<----

Accordingly, KNGO leaders express the need to know how funds sent from Canada on their behalf are disbursed.

One committee chairperson of a Water society (a KNGO partner) recounted with regards to funding accountability and reciprocity: "...we asked if we could see the invoice of the material they (CNGO field officers in Nairobi) had purchased on our behalf, because we were told that the amount I mentioned before was allocated for our Society's purchase of materials. Where material is bought there has to be invoices. The Nairobi office got very angry with us, they wanted to know why we were demanding invoices, "what was wrong with the way things were working before?" The only indication of reciprocity is in the categories of "visits" and "advice". CNGOs visit and are visited by KNGOs. KNGO visits seem to be limited to handing in reports, as well as to talk about problems which might have risen at the project site. Clearly there is reciprocal exchange of advice - CIDA advises (and is advised by) CNGOs, and they in turn advise and are advised by KNGOs. KNGOs' complaints over the number of reports which are required - and their advice to CNGOs for a need to lower this demand - is a case in point. CNGOs approach CIDA with same complaint and in turn CIDA makes petitions to Treasury Board.

Another structural similarity between the CIDA-CNGO relationship, and that of the CNGO-KNGO relationship, is in the funding process, as revealed in CNGOs' usage of application and contractual agreement forms towards KNGOs. Interestingly, CNGOs use similar tactics, when it comes to KNGOs' funds accountability, as those used by CIDA towards them. Basically KNGOs risk a termination of funding if they fail to submit financial reports, accompanied with receipts detailing expenditures, to CNGOs. The rigid demands CNGOs complain about in their dealings with CIDA are the very ones they impose on their partners in Kenya.

There are a number of ways to analyze this paradox: 1) As professed "institutional strengthening" organizations, CNGOs are consciously preparing their KNGO partners for the future role which inevitably they will undertake some day. That is the role of advocacy to change policy and to work with national and international governments, or donor agencies - such as CIDA, the World Bank - and other multilateral bodies. These agencies are already showing keen interest in directly funding African groups which have a local decision-making base, and structurally well- established in terms of financial accountability, communication skills, as well as possessing skills in conducting evaluations and writing reports.²³

2) Alternatively, such demands can be examined in the view that development as practised for the past three decades has been promoted by exogenous - bilateral, multilateral and private - forces where information transfer and recall is in the form of documentation, such as reports. In this sense, CNGOs, as part of that exogenous force, practice familiar terms of reference.

3) Lastly, the reality may be that organizations which possess resources, in the form of funds, technical expertise and so on, exercise rigid forms of control over those organizations which happen to be in a dependent position. In this instance, CNGOs depend on CIDA's funding power, and KNGOs in turn count on CNGOs' funding and technical assistance in order to successfully implement their projects.

5.3 Benefits of Partnership

5.3.1 *Introduction*

In spite of some identified weaknesses, the relationship between CNGOs and KNGOs was described as a genuine partnership, by officials interviewed from both camps. Most respondents stated that they had benefitted greatly from the partnership. They also asserted that their partners had benefitted equally from the relationship; and both were able to recognize the strengths a partner brought to the partnership, as well as to denote the perceived weaknesses. Table 5.12 reflects definitions of partnership by CNGOs and KNGOs.

Table 5.12

Definition Of Partnership by 10 CNGO & 8 KNGO Respondents

Organization	Characteristics of Partnership					
	Mutual Benefits/ Trust Respect	Common Goals	Common Values	Shared Resources/Power	Joint Responsibility/ Obligation	Equality/Reciprocity
CNGO	9 (90%)	9 (90%)	2 (20%)	8 (80%)	7 (70%)	8 (80%)
KNGO	7 (77%)	4 (50%)	2 (25%)	5 (63%)	8 (100%)	1 (13%)

5.3.2 KNGOs' Perception of Benefits

When KNGOs were asked what benefits had they accrued from their partnership with CNGOs, all pointed to the project achievements in terms of milestones, structures and so on. Their contribution to CNGOs was commonly reported in terms of land publicity, voluntary labour, efficient implementation of projects, better use of funds, easy entry to communities - due to their knowledge of culture and local politics, farms for experiments, as well as space and facilities for training other interested groups. The majority of KNGO respondents also stated that they gave advice to their CNGO partners on issues of community affairs, budgetary matters and cultural proscriptions in a given site. Asked if they would like to see any changes in the partnership, responses ranged from a desire for clear working arrangements between the groups and CNGO offices in Nairobi, a show of more mutual trust, to more funds, and improvement in communication channels - for example a CNGO to let a local group know in advance of the number of visitors coming and the nature of their visits. There was also a desire for sharing of findings resulting from research conducted on local farms. All KNGOs desired a continued partnership with CNGOs, however a significant number - five or 63 per cent - stated that if a CNGO was ready to pull out of the partnership, the local group was ready to be self-reliant.

5.3.3 CNGOs' Perception of Benefits

When asked how partnership had assisted their organizations, many CNGOs mentioned "publicity and pride" as a major benefit followed by understanding of the concept of "interdependence" and an appreciation of local people as an integral part of the whole development scenario. The following are examples of CNGOs' responses: "The organization is more responsible, never leave the job half done, partnership gives a certain urgency to do

work well" (Interview with field director: ADRA). "Partnership has brought recognition to our organization in terms of public relations, the name is worth talking about. We reach the once unreachable communities" (Interview with Assistant Field Director: World Vision). A lot of experience has been derived from the partnership by doing research on the farms, In return, the organization shares information and knowledge in conferences...the credit eventually comes to the organization, gaining good reputation with the Kenyan government and other organizations interested in the same programs' (Interview with program manager: CARE - WIG section).

5.3.4 *Perceived Strengths and Weaknesses*

CNGO officials were asked to identify their local partners' strengths as well as weaknesses and where weaknesses were perceived, what measures were adopted to strengthen those shortcomings.

5.3.4.1 *KNGOs' Strengths*

A number of positive traits were attributed to local groups by their CNGO partners. The following were more significant than others, in the sense that they were each mentioned or alluded to by many of the officers interviewed:

- 1) The capacity to think and make decisions for themselves and their total display of wisdom and common sense.
- 2) Their automatic trust, willingness to adjust and accommodate diverse views, and respond enthusiastically to training.
- 3) Voluntary spirit, motivated by the needs they have.
- 4) Leadership style reported to be democratic and participative.

- 5) The fact that they are close to the (development) problem.
- 6) Their ability to mobilize people and deal with heterogeneous groups.
- 7) Their consciousness and responsibility as illustrated by their concern for the community at large.
- 8) Knowledge of their social and economic environment.
- 9) Resistance to outside (inappropriate) influences - heavy smoking and drinking and prostitution were among the unsuitable behaviours mentioned.

Other mentioned attributes included ability to articulate needs, being well spoken, their cohesiveness and unity, plus the mere fact of their existence - for without it there would not be much need for CNGOs in that country.

5.3.4.2 KNGOs' Weaknesses

The most commonly reported weaknesses were:

- 1) Lack of education, leading to poor management skills and shortage of technical expertise for development work.
- 2) Low budgets and not enough capital to attract marketable skills required for development work - most notably medical and water specialists.
- 3) Colonial hangovers - looking for top-bottom directions, waiting and accepting hand-outs, most local leaders want everything pre-packaged, they are impatient with tight sets of expectations; wanting to achieve objectives in a set period of time, leading to conflict and resignation if objectives are not achieved at once.

- 4) Cultural factors - they are prone to be influenced and manipulated by political and religious leaders; they are crippled by "clanism", which prevents them from working together.
- 5) Significant imbalances in gender attitudes.
- 6) Views on population growth - failure to pay serious attention to family planning.

5.3.5 *Organizational Strengthening*

In view of the reported organizational weaknesses of KNGOs, officials of CNGOs were asked what structures had been strengthened due to the partnership between them and the local groups. Organizational strengthening was reported in terms of gains made by KNGOs:

- 1) The capacity to make decisions - especially on the part of the women who (now) participate in management and often speak their mind.
- 2) Ability to be more cohesive and confident.
- 3) Acquisition of technical and professional skills such as: financial management, bookkeeping, reporting and banking, income-generation skills and knowledge about credit, appropriate agricultural practices and so on.
- 4) Ability for resource mobilization - they now know how to utilize what is readily available in their immediate environment - for example, clay bricks, without having to wait for outside "imported" material.

- 5) A strong potential for indigenous financial institutions - resulting from skills acquired through the demands of being partners with, and accountable to CNGOs.

5.3.6 Discussion

The general findings concerning CNGOs activities in Kenya reveal that the most significant achievement is in the area of community mobilization and institutional strengthening. Through technical training and skills transfer - for example in the areas of business management, and organizational skills, as well as through the provision of credit for income-generating activities; CNGOs have assisted the poor to set up and strengthen their own structures which might eventually translate into social energies and people's movements for long-term and sustainable development.

The findings also show that CNGOs activities are integrated with limited emphasis on sectorization. One program officer explained that "it is laughable to go in a community of very, very poor women and tell them that we are the water people, or we are the housing people....projects that are too macro-directed or sectorized are not sustainable. You can't sustain a health programme unless you link it to an income-generating activity...when you pull out as a donor or support organization, then the community is not able to sustain the program" (Programme officer: Shelter Afrique).

An intriguing observation is made in CNGOs' characterization of KNGOs' strengths and weaknesses. The "capacity to think and make decisions for themselves (KNGOs) and total display of wisdom and common sense", is contradicted by the reported weaknesses:

Colonial hangovers, where KNGO leadership looks for top-bottom directions, and clanism which presumably cripples KNGOs from working together. These incongruities can perhaps be explained within the historical legacy of policies and strategies of the first development decade.

The top-down policies of that period, where the central government was expected to provide services for people inadvertently robbed citizens of their spirit for initiative. African people got so used to receiving government services and subsidies, no matter how insufficient much of it proved to be - especially for the rural dwellers; that innovative approaches such as those promoted by CNGOs find a population which is used to following orders from above. It will take time and patience to achieve an African civil society which is self-directed. African societies have to unlearn what they have been taught in the past three decades of "dependency development". Possibly the organizational strengthening embarked on by CNGOs, which in this study emerges as the most substantial outcome of the partnership, will lead to a civil society equipped to tackle the development requirements of the 1990s and beyond.

The findings on the definition of partnership, as illustrated in Table 5.12 (p 180), are also quite confounding. While both CNGOs and KNGOs aspire to the concept of partnership - by declaring characteristics such as mutual benefit, trust and respect as being important, but common values not as essential - they differ on a number of other attributes. For instance, while KNGOs attach great value to "joint responsibility and obligations" to a partnership more so than their CNGO partners, they do not seem to aspire to the characteristic of equality and reciprocity in a partnership. In fact, the difference in attitude towards the idea of equality is astoundingly inconsistent with partnership logic. There are two plausible interpretations of

this variance in attitude towards the notion of equality in a partnership. The first one is a "cultural-political component", and the second one is simply "trivial development jargon".

1) The Political and Cultural Realities: Political governance before independence was dominated by two forces: colonialism and missionaries. Both forces held on and did not share power or give equal treatment to the African they claimed to serve. Then came the independency period which saw modern states inheriting the colonial legacy of linking economic and political interests. In Kenya, as elsewhere in Africa, this has always been the case. Those who have the political power have always had the economic privileges and vice versa. Since the central government has always been the sole dispenser of goods and services, citizens learnt early on to look-up to the politically and economically powerful forces as "providers", and citizens saw themselves as beneficiaries. Unfortunately, development strategies and agents of the past three decades have fostered similar viewpoints - as evidenced in the first development decade models of trickle-down, and the basic human needs model of donor-recipient paradigms.

These historical realities have influenced poor peoples' perceptions of "equality". For instance, when asked why a partnership could not be equal, the following rationale was offered: "CNGOs put in more in terms of money, so each person benefits according to the share she/he puts into a partnership, it is not automatic equality" (Interview with Chairlady of Kwegitich Women's Association). Another respondent stated that "people are different...a pupil cannot be equal to a teacher" (Chairlady, Kayole Women's group).

2) Partnership as a Canadian Development Jargon: CNGOs attaching much more importance to equality than their KNGO partners can also be explained from the

organizational realities of the two groups. Partnership, like other terminologies before it: empowerment, self-reliance, participatory decision-making, sustainability and so on, are northern concepts which evolved with each development decade. As failure after failure in achieving development as conceived at the time persisted, new vocabulary was introduced to fit a new strategy. For example, in the case of CIDA-CNGO relationships, the term "partnership" could have been coined to enable CIDA to control funds and to access funds CNGOs raise from their constituencies. It is perhaps not a question of whether CNGOs truly believe in an equal and reciprocal partnership between them and their KNGO partners. It is more a matter of not jeopardizing their own claim to an equal partnership between CIDA and CNGOs. As the partnership obligation shows in Figure 2 (p 177), there are no indications of reciprocity in many of the dealings which go on between CNGOs and their KNGO partners.

The final interesting observation about partnership is the similarity between CNGO and KNGO on the characteristic of "common values". Both partners do not perceive common values as a necessary component to a partnership. Cultural differences can easily explain this aspect. Some of the noted KNGO weaknesses are closely related to values, for example: views on population, imbalances in gender attitudes, family planning and a few others. This has implications for development strategies designed in the North, whose implementation is intended for people in the South. In the African context for example, having many children is a status symbol, yet in terms of development strategies, population growth is one of the main causes of underdevelopment. Likewise, advocating involvement of women in society's decision-making is critical to sustainable development. However, African males see it as an intrusion in African values by foreigners. One CNGO officer observed in regards to common

values on such concepts as gender and development (GAD) or WID: "There may be agreement in principle, but differences in practice. I have sat in very many meetings with African males, where there is a strong difference in terms of procedure and a certain amount of resentment about the north imposing their values on the south" (Interview with CARE Regional Officer in Ottawa). The officer acknowledged though that half of the population in most African countries is very much in agreement with CNGOs which put emphasis on women - being that 52 per cent of African population are women.

6.0 A CASE STUDY OF PARTNERSHIP BETWEEN CARE CANADA, CIDA AND KENYAN LOCAL GROUPS

6.1 Introduction

This study set out to explore the concept of partnership as a development notion embraced by various organizations engaged in bringing about sustainable long-term development in Third World countries. Historical overview of CIDA and its relationship with Canadian NGOs and these with their local partners in Kenya is thoroughly examined in the first part of this chapter. In this segment, the focus is on the relationship between one particular CNGO - CARE - and its partners in development: CIDA and KNGOs. The profile of CARE Canada, its organizational structure, history (including its international affiliation), operating environment, as well as its involvement in Kenyan development is examined and an effort is made to analyze CARE's profile and its relationship with CIDA and KNGOs in the development conceptual framework as well as with respect to the evolutionary framework of Canadian NGOs in general.

CARE was selected for the case study for a number of reasons: 1) First during phase two of field research in Kenya, CARE appeared to be well grounded in the rural communities where it worked. For instance, the organization, as will be shown in the next few pages, has its operational offices situated close to where the grassroots groups are (in Siaya District). Through these offices, a chain of decision-making is readily available through project managers, extension officers, and field workers.

2) CARE Canada emerged as one of the few CNGOs which have a significant closeness to CIDA - in the sense that the organization receives a fair share of bilateral

funding, through contracts and other country focus programming as well as capitalizing on the professional exchanges with CIDA, through secondment.

3) Finally, CARE's belonging to the family of "CARE International" seem to give the agency a wide realm for consultation when it comes to technical advice. Also the fact that the headquarters for CARE Canada is located in Ottawa, made it economical to access by the researcher.

6.1.1 *CARE Canada: Institution Profile*

CARE Canada is a nonprofit and nonsectarian charitable organization founded in 1946. The initial objectives of CARE Canada were to raise funds on behalf of CARE International, for the purpose of bringing emergency relief assistance to the people of Europe after the Second World War. In 1971 CARE Canada formed its own Governing Board, while retaining one member from CARE USA with veto power. However, by 1977 CARE Canada had become completely independent with no US membership or veto.

Today CARE Canada is an operational agency with headquarters in Ottawa and a full member of the CARE International network - consisting of headquarters in 11 countries (Australia, Britain, Canada, Denmark, Deutschland, France, Italy, Japan, Norway, Austria and USA). The agency supports development projects and relief operations around the World. It is the lead agency (among CARE International countries) responsible for coordinating the overall operations in Angola, Cameroon, Indonesia, Kenya, Nicaragua, and Zimbabwe.

6.1.1.2 *The People and Departments*

CARE Canada operates under the guidance of a Board of Directors of 17 men and women who volunteer their time and meet every two months. The Board, as a policy and decision making body, is responsible for approving the budget and project proposals, restructuring programs, and approving new country requests - where CARE Canada is going to be the lead agency. Interviews revealed that there is no specific term of service for members of the board. A few individuals have been on the board for years and years. The board reflects profiles of accomplished individuals from diverse sectorial backgrounds - corporate residents, university professors, researchers and so on. Annual reports (1988-90) also reveal that of the 17 members on the Board there is currently one female representative and two for fiscal year 1987-88.

6.1.1.3 *The Executive*

In terms of management, CARE Canada as an organization operates under an Executive Director, assisted by two deputy Directors and by an immediate support staff. There are three teams under the office of the director: 1) The Personnel - comprising of personnel manager, recruitment officer, personnel administrator and secretary. 2) Media and Public Relations; and 3) Major Gifts - media and major gifts function as fundraising and publicity teams. As of May, 1992 the agency had roughly 65 employees. A large number of them - 95 percent - were full time staff members (as reported in the interviews).

6.1.1.4 *Finance and Administrative Services*

In addition to the office of the Executive Director, CARE Canada comprises a finance and administrative services department. The department is in charge of managing the agency's domestic and overseas financial accounts. It is responsible for the headquarters' activities such as purchasing, benefits administration, general office administration, treasury and payroll functions. Apart from having an overall management information systems responsibility, the department also works with communications and marketing, especially in such areas as donor-based fundraising.

Interviews and annual reports indicate that CARE Canada staff have expertise in a number of areas. The agency's regional manager related in the interview that " We have something like 20 to 25 professionals. The type of professions one would expect in an NGO, I myself I am an agriculturist, we have engineers, we have fundraisers, publicity people, an environmental expert...."

6.1.1.5 *Volunteers*

CARE Canada does not seem to rely heavily on volunteers in running its Ottawa office. Through interviews, it was suggested that volunteers come on the scene during the Major Gifts Team's functions, where letters are sorted and mailed or pamphlets are sent out to donors. Internal documents imply there are volunteers, again during their fundraising efforts.

6.1.2 *Programming Sectors*

Officially, CARE Canada specializes in four principal development sectors - those which address some of the most pressing needs of developing countries. These are listed in CARE-Canada's 1989 Annual Report as: 1) Water and Community Health - involving building and maintaining potable water systems; digging wells; training community workers in basic health care and sanitation. 2) Agroforestry - focusing on creating village tree nurseries to meet the need for forest products; protecting watersheds; preventing soil erosion; and increasing agricultural income. CARE tries to introduce modern (not mechanized) proven techniques, and lessons learnt from different parts of the world. 3) Small Enterprise Development and Income Generation - aiming at reducing poverty through supporting small businesses, particularly in rural area; and providing employment on community-works projects. 4) Emergency Assistance - distributing food and other emergency supplies in a way designed to help communities prevent catastrophes from recurring.

CARE's internal documents - and personal interviews - disclose additional (sub-sectoral) activities. These are: Women in Development (WID); Women's Income Generation (WIG); Gender and Development (GAD); Human Rights and Environment Protection and Enhancement. CARE Canada has a technical unit which provides technical expertise to overseas operations in the four sectoral areas mentioned above.

6.1.2.1 *Programming Principles*

In carrying out its development activities, CARE Canada designs programs which relate to the following key principles:

- 1) Significant Scope - ensuring that the project or program will benefit more than the direct participants, and will address the needs that are common to a large number of people.
- 2) Fundamental Change - focusing on how the program/project will change people's lives and lead to possible self-sufficiency.
- 3) The Neediest - maximizing the chances that the program will benefit those people who need help the most.
- 4) Participation - ensuring that the program (its implementation and evaluation) involve the participation of nationals directly.
- 5) Replicability - designing projects which can offer lessons to other people who are faced with similar problems in other regions or countries.
- 6) Sustainability - making sure that the projects will help participants and their communities to initiate further efforts on their own to address other long-term development issues.

CARE Canada operates in five regions of the developing world: The Americas, Asia and Middle East, Lusophone or Portuguese African countries (for Emergency), as well as Anglophone Africa.

6.1.3 *Funding Sources*

CARE Canada is funded principally through three sources: 1) Donor contributions from the public; 2) Matching funds from CIDA and 3) Funds from provincial governments - notably, Ontario and Alberta. Corporations contribute less than five percent annually to CARE's budget.

6.1.3.1 *Matching Funds*

CARE Canada receives CIDA funding through three channels: 1) The Canadian Partnership Branch - formerly the Special Program Branch. For every CARE dollar donated to projects under this branch, CIDA contributes three dollars - a matching formula of 3:1 ratio. 2) Bilateral Programs - under this Branch, for every dollar donated to projects, CIDA contributes ten dollars - a 10:1 matching ratio. Projects under bilateral are regular government-to-government assistance agreements. They are large in scope and are approved on a longer term - usually five years. Country Focus programs are typical of such funding arrangements. 3) Multilateral Programs. Through this channel CARE receives 100 percent funding. Projects funded through Multilateral Branch are largely humanitarian in nature. CARE uses these funds to respond to the immediate emergency relief needs of disaster victims - for example in war torn Somalia - without having to divert its funds from long-term development projects. Table 6.1 reflects CIDA's funding of CARE Canada over a recent period of five years.

6.2 CARE Canada in Kenya

CARE International started operating in Kenya in 1968, at the invitation of the Kenyan government. For a number of years, CARE had a basic agreement with the Ministry of Culture and Social Services. However, in 1985 a new basic agreement transferred CARE registration with the government of Kenya, from the Ministry of Culture and Social Services to the Ministry of Finance.

Table 6.1

CIDA's Contribution to CARE Canada
(\$ millions)

Fiscal Year	Total Disbursement	NGO Division
1990-91	22.71	5.13
1989-90	14.20	4.48
1988-89	14.30	3.75
1987-88	10.30	3.60
1986-87	8.90	2.00

Source: CARE and CIDA Annual reports for corresponding years.

Table 6.2

CARE Canada Contribution to Kenya Integrated Rural Development Program **
(\$ millions)

Fiscal Year	Total Contribution	CARE Contribution	CIDA Contribution
1991	2.61	0.62	1.98
1990	1.70	0.17	1.53
1989	2.00	0.20	1.80
1988	2.11	N/A	N/A
1987	1.73	0.32	2.05
1986	1.73	N/A	N/A

Source: CARE Canada Annual Reports
CARE International in Kenya: Background Paper

** This Program includes: Women's Income Generation, Agroforestry Extension, Youth Polytechnic and Primary Education

N/A Figures not accessible

Note: Data differs from Table 6.1 as it came from different sources.

6.2.1 *Programming*

In the family of 11 CARE Internationals, there are three which are actually operational. The first, and by far the largest, is CARE USA, the second one is CARE Canada and the third is CARE Australia. All the others raise funds from their governments or public sources and chose (or not) to fund projects implemented by operational CAREs. In March 1987, CARE Canada gained the lead Member status in Kenya, and an operational office referred to as CARE-Kenya was enacted. All monthly and annual financial/budgetary reports

of CARE-Kenya are submitted to CARE Canada in Ottawa as per financial regulations. CARE Canada's involvement in Kenya is primarily limited to the Rural Integrated Community Development Program, first initiated in 1976. This program has received most of its funding from CIDA's bilateral Division (see Table 6.2). The program addresses four separate, but related areas: 1) Women's Income Generation (WIG); 2) Agroforestry Extension; 3) Youth Polytechnic; and 4) Primary Education (see Table 6.3).

6.2.1.1 *Women's Income Generation (WIG)*

This project was initiated in 1983 with the objective of addressing incidences of poverty and related problems - for example, lack of employment and adequate income - of rural women in Kenya. Specifically CARE-Kenya sets out to provide skills training to rural women and to support existing viable group structures in small scale businesses. To-date CARE-Canada supports business activities in the following areas: 1) Livestock raising - for example goats, beekeeping and poultry; 2) agro-business - such as horticulture, oxen ploughing and tree planting for multiple purposes, including animal feed; and 3) small scale business - such as shop keeping, tailoring, corn milling, and fish trading.

Table 6.3

CARE Canada Programming in Kenya

Programmes	Activities	Area of Population Affected
Women's Income Generation (WIG)	<ul style="list-style-type: none"> . Supports livestock raising (e.g. goats, bookkeeping, poultry) . Horticulture; small-scale business . Technical assistance . Revolving funds for business loans . Providing management/ leadership training . Training in business management skills 	<ul style="list-style-type: none"> . Women's groups in rural areas
Agroforestry Extension Project (AEP)	<ul style="list-style-type: none"> . Providing materials (e.g. watering cans, polythene tubing, wheel barrows) . Employing extension workers . Disseminating farming information and techniques . Conducting seminars 	<ul style="list-style-type: none"> . Farmers . Women's group leaders . Primary school teachers . Community leaders
Youth Polytechnic Development (YP)	<ul style="list-style-type: none"> . Provision of building materials for classroom construction, teacher's houses . Provision of hand tools and workshop equipment . Technical advice . Management training 	<ul style="list-style-type: none"> . Rural primary schools . School drop-outs (urban and rural)
Primary Education	<ul style="list-style-type: none"> . Construction of classrooms . In-service teacher training . Production of teaching materials 	<ul style="list-style-type: none"> . Rural community schools (especially upper primary) . Primary school teachers . Teacher training colleges

CARE's overall support to these activities include: 1) Technical assistance, for example in agriculture, demonstrating how to plant, how to run a mill and store grain; 2) Establishing a revolving fund for business loans (see Appendix D, for an example of CARE International Kenya's official group loan application form for WIG); 3) Providing management training, in such skills as leadership and report writing; 4) Training women's groups in proper record and bookkeeping, handling of simple accounts, how to appraise a borrower, identifying of business opportunities, marketing, and how to incorporate and/or formulate a constitution (Association Memorandum).

CARE-Canada's support for activities is based on a co-sharing approach with the group. Women's groups therefore are expected to supply locally available materials and inputs - such as land, labour and day-to-day management of projects. As of March 1991, CARE-Canada was assisting 67 women's groups in Siaya and Baringo Districts in the south western part of Kenya with the revolving loan funds (RLF). CARE's internal evaluation indicates the increase in the gross monthly income for women receiving RLF loans in that period was 310 percent, with repayment rates of individual loans to the group RLFs well over 90 percent (CARE International in Kenya: Semester Evaluation, March, 1991). The Assistant Project Manager of CARE WIG explained : "When you are working with a community, never do something free for them. The community must be stakeholders, they must stand to loose something."

For standardization purposes, CARE provides RLFs to women's groups under specific prerequisites: 1) The group must be registered with local government - with a certificate showing membership (proof of organization effort). Incidentally, the Kenyan government

cannot register a group which is less than 10 members. 2) The group must be doing business - which is not illegal, for example, brewing pombe (a local intoxicant which when taken in excess can prove to be fatal). 3) The group must have a bank account - if they do not have it at the time of application, one must be opened.

Once CARE-Kenya is satisfied with the supporting document - which provides CARE with confidence in the group - the loan is approved. A contract between CARE and the group is signed and a check is issued.

6.2.1.2 *Agroforestry Extension Project (AEP)*

This project was established by CARE International in Kenya in 1984. CARE-Kenya (along with CARE-Canada) worked with the Ministry of Environment and Natural Resources" Forestry Department - as the official counterpart. A year earlier (in 1983) CARE had been partially involved in an agroforestry project, by providing support to Mazingira Institute -a local NGO - which was operating a pilot project with major funding from the Ford Foundation, and technical assistance from the International Centre for Research in Agroforestry (ICRAF).

The main objective of CARE's AEP is to improve farm outputs, nutritional levels, and cash incomes of rural families. To increase the effectiveness of its efforts, CARE tends to work with groups - schools and community organizations, such as farmers - than with individual farmers.

CARE's assistance in these types of projects involves providing material to enable groups/schools to start tree nurseries. To begin a nursery, a community is given a minimal set

of materials: watering can and some polythene tubing. When a group proves that it is able to handle these materials - using them properly and maintaining them in relatively good condition - then buckets, small tools, more polythene tubing, and finally a wheel barrow are added. The rationale behind this distribution strategy is supposedly to discourage materials from becoming a disincentive. When a group is given too much, it might raise too many expectations and the self-determination as well as the self-help base might be undermined.

CARE-Kenya employs Extension Workers who visit farms of participating farmers and primary schools, to discuss specific agroforestry interventions which can be applied to solve local farming problems. Diffusion - that is, disseminating farming information and utilizing new farming methods - is communicated through seminars designed for primary school teachers, women group leaders, community leaders, and through the involvement of the local political administration. CARE's AEP program is focused in Siaya and South Nyanza districts. The 1991 figures indicate that AEP was directly assisting with materials, equipment and technical advice for agroforestry and soil conservation interventions nearly 3000 farmers (organized in 280 women's groups), as well as 300 primary schools (CARE International in Kenya: Internal document).

6.2.1.3 *Youth Polytechnic Development (YP)*

The main objective of the Youth Polytechnic is to reduce rural-urban migration, by strengthening these training institutions (see Ndua, 1989). Youth Polytechnic programs were initiated in 1967 by the National Christian Council of Kenya (NCCCK). The program was later turned over to the Ministry of Culture and Social Services. In 1971, CARE got involved in

the program. This involvement was limited to provision of building materials for construction of classrooms, workshops and teachers' quarters and to the provision of hand tools and workshop equipment.

By 1984, CARE joined other international agencies, such as ILO, Action Aid and the Danish Volunteer Service, to provide in-service training to YP managers and instructors. As of March 1991, 620 youth polytechnics were provided with tools and equipment, roofs for workshops, technical advice and management training. CARE is currently proposing to establish a production unit and work group to assist YP graduates to find employment. The emphasis is expected to be on provision of credit and small business management. For instance, graduates are provided with a means to purchase vehicles in order to transport their produce to markets without having to go through the middle man - usually a business person who owns a transport truck, and charges clients exorbitant fares.

6.2.1.4 *Primary Education*

CARE's assistance towards primary education in Kenya extends to the construction of additional classrooms for community primary schools. Since the government of Kenya shifted to a new educational system - 8-4-4- which brought about an additional primary level to the initial seven year primary cycle - the need for additional classroom space arose. The construction and maintenance of primary schools is a community responsibility achieved through the self-help philosophy of Harambee. The self-help aspect of the community attracted CARE's support.

In addition to classroom construction, CARE assists with in-service teacher training and the development of teaching materials. One of CARE's innovative education projects that was developed and implemented in Kenya is known as the Pied Crow's Environment Special Magazine. This magazine is produced every other month, six times a year - that is, twice every school term. It introduces new materials relevant to environment and health issues in Kenya and East Africa. By 1989 it was estimated that 12,400 Kenyan Primary Schools received at least four copies of each publication of Pied Crow. The target audience in upper primary school - Standards six, seven and eight - was two million students and teachers. In addition, the magazine is circulated to District Education Officers and Teacher Training Colleges throughout the Republic of Kenya (CARE Kenya Internal Document).

All CARE-Kenya projects are implemented by field staff from rural offices in the districts served. Each sectoral project is operated under the leadership of a qualified manager - all those interviewed for this study were Kenyan Nationals, graduates of higher educational institutes - based in the field. Field managers report to the central office in Nairobi. The Nairobi office provides overall supervision, coordination and support to the projects as well as being responsible for liaison with the host government at national levels and with donor agencies. At the time of the field study (March-July 1991), CARE-Kenya directly employed 160 Kenyans - 15 Senior staff (including: project, financial and assistant managers); four internationals (two Canadians and two Americans); and the rest being extension officers and support staff.

6.2.2 *Kenyan Partners*

CARE-Kenya is a branch office of CARE International under the auspices of CARE-Canada. In Kenya it is classified as an "international NGO" - originally incorporated outside of Kenya, but operating within the country under a registration and basic agreement. The mission - as CARE Kenya is known in the country - does not have a board of directors, although it is a bit autonomous in deciding what development activities it should take. Once a project is designed, reference is made to CARE International office for technical screening, and then the proposal is circulated among various CARE countries for funding.

6.2.2.1 *Government Partners*

While the Kenyan Minister of Finance is considered to be CARE's nodal ministry, the agency deals with other Ministries - for example, Ministries of Water Development; Environment and Natural Resources; Culture and Social Services; Education, Science and Technology; and Agriculture and Livestock Development. At the district level, these ministries are considered to be technical (operational) bodies with which CARE negotiates project activity agreements.

6.2.2.2 *Research Institutes*

CARE also works with national and international research centres in various sectors. The International Centre for Research in Agriculture and Forestry (ICRAF), Kenya Forest Research Institute (KFRI) and K-REP - a Kenyan national NGO, are among the various research institutes CARE works with.

6.2.2.3 *Local Groups*

In rural areas, at the district level, CARE works with a number of groups ranging from Women's groups, local farmers to primary schools. These in essence are the genuine partners, by virtue of their group structures and presence at the grassroots level where problems of development (or lack of) are situated. For the present research, two women's groups were identified and interviewed as local group partners for CARE. Both groups - the Nyakasumbi Women's Group and the Kwegitich Women's Group - are assisted under the CARE's Agroforestry Extension Project (AEP) and Women Income-Generating Project (WIG). Both groups were established fairly recently - in 1986. By definition, they are both very small organizations. The Nyakasumbi Women's Group started off with a total of 30 members (men and women), and by the time of the interview (June 1991), had experienced a small growth of about 30 percent - bringing the total number of members to 40. The group had a governing body of four individuals: a chairlady, a secretary, a treasurer and a patron (a husband of the chairlady). Members pay 50 shillings (about \$2.20 Canadian) for registration, and a 30 shilling monthly contribution.

The Kwegitich Women's Group, had a total of 15 members (13 women and two men), with a governing committee of six members including: chair and vice-chair lady, secretary and vice-secretary, treasurer and vice-treasurer. Members are required to pay a membership fee of 20 Kenyan shillings (approximately one Canadian dollar) and a monthly contribution of 10 shillings. In addition to the agricultural programs, the Kwegitich group is also involved in income-generating business, such as selling paraffin, fish and maize.

For groups which are assisted under the AEP, there is no direct financial transfers. CARE's assistance involves: 1) provision of seedlings and introduction of various tree species; 2) provision of materials - for example farming implements (polythene bags, hoes, pangas, drums, wheel burrows, watering cans and so on); 3) technical assistance - for example through seminars and workshops, groups are shown how to plant and leaders are given a "crash course" either in agricultural techniques or in keeping records.

The groups communicate through extension workers and field officers who are the liaison between them and CARE District offices in Siaya. Through frequent visits, field officers visit the groups at least three times a month; however, group members do not visit CARE offices - local members convey their needs to CARE. Where there are questions or problems which arise between visits, letter writing is an added form of communicating.

The two groups indicated that they advise CARE offices on a number of issues. For instance, the Nyakasumbi women's group advised CARE "to cut the lacuna trees at a certain level for the purpose of animal feed. CARE had suggested to use lacuna trees as a stand, and we refused" (interview with the Patron of the Nyakasumbi women's group).

6.3 Partnership Between CIDA and CARE

6.3.1 *Guiding Standards of Partnership*

Ensuing from the defined characteristics of partnership proposed in the second chapter, expressions outlined in Table 6.4 were used to define "partnership" by CIDA and CARE officers interviewed in the third phase of this study - CARE Canada was the only CNGO interviewed in this phase.

6.3.2 *CIDA and CARE's Development Priorities*

From the sectorial point of development activities, CARE and CIDA both share common goals. To a large degree, CIDA's development objectives for Africa are reflected in many of the programs and projects CARE-Canada implements overseas. Table 6.5 summarizes CIDA's current framework of sustainable development, and reflects some of the principles exercised by the operations of CARE in Kenya. Though both CIDA and CARE strive to "take Africa out of its difficulties through poverty alleviation by increasing the participation of women in development, observing and respecting human rights, generating and making energy available, maintaining and protecting the environment, increasing the supply of food, and building up of human resources through education, training and other basic needs. They differ mainly on priorities and methods. To take a recent example, CIDA considers "regionalization" - looking at the needs of each region and its social economic equilibrium as opposed to country by country - to be a promising avenue for the achievement of its goals. CARE, on the other hand, tends to develop programs towards particular countries based on what resources (human and financial) it possess, the historical experience it has had in a given sector, and the needs of a given country.

The officer interviewed for this study recapitulated "all those issues are motherhood and apple pie, we (CIDA and CARE) have all the buzz words in common - WID, GAD, sustainability, we have partnership, we have environmental protection and so on...but that doesn't mean there is not some disagreements as to how and when to achieve these goals." Attaching democratization to development, as it is recently promoted by CIDA, is another approach on which CIDA and CARE seem to differ. Although democracy is important, there

is a feeling that "people in developing countries are penalized for their leaders" political weaknesses. Tying assistance to the democratic nature of a host country is in effect an injustice to the marginalized poor population, development programs are attempting to serve." (Interview with CARE regional officer).

It is also apparent that CARE - as other CNGOs operating in Kenya- focuses mainly on the social and economic elements of development. Some activities also reflect environmental and cultural concerns. However there is a striking lack of an attempt to confront the "political elements" of development, which are becoming increasingly fundamental to development thinking of the 1990s and beyond. What is interesting however, is the fact that in Kenya, CARE lists government ministries as one of their partners in development. It is a type of partnership which requires further investigation.

Table 6.4

Understanding Of Partnership Between CIDA & CARE Canada

Characteristics						
Partner	Mutual Benefits/Trust/Respect	Common Goals	Common Values	Shared Resources & Power	Joint Responsibility/Obligations	Equality/Reciprocity
CIDA	<p>Collegial Mode</p> <p>Transfer of Knowledge</p> <p>Exchange of Information</p> <p>Written agreements to facilitate trust</p> <p>Getting more than you are giving</p>	<p>Having similar objectives</p> <p>Common goals defined within structures</p>	<p>Looking at issues that have similar experiences</p> <p>Not necessary shared vision</p>	<p>It is all about division of labour & tasks</p> <p>Using of collegial mode</p>	<p>Everybody should have responsibilities through structures</p> <p>Doing things together not for or on behalf of someone else</p> <p>Dividing roles of tasks</p>	<p>Agree on what needs to be done and do it according to ability</p> <p>You need structures to facilitate equality</p>
CARE CANADA	<p>Complementing one another; filling in areas where others cannot</p> <p>Trust is necessary to avoid delays & suspicious</p> <p>Structures are necessary to clarify expectations (e.g. Choice of a partner, drawing up of management plans and delineation of responsibilities).</p>	<p>There has to be a common goal in a project implementation</p> <p>Not common goals for the different institutions, but in the projects both parties are working on together</p>	<p>There has to be a large common set of values e.g. sharing of a vision but practise it differently</p>	<p>Ideally, there should be sharing of resources & power</p> <p>Sharing of different attributes</p> <p>There must be in actuality - not just words - where all partners feel they participate fully in the process of decision-making</p>	<p>There must be in actuality - not just words - where all partners feel they are participating fully in the process of decision-making and implementation of projects.</p> <p>It is the ideal concept - but not practically possible due to historical and organizational realities.</p>	<p>Partnership is both an equal and unequal relationships</p> <p>Partners bring very different experiences and expertise</p>

Table 6.5

CIDA'S Framework Of Sustainable Development

ELEMENTS				
1) Environmental Sustainability	2) Economic Sustainability	3) Political Sustainability	4) Social Sustainability	5) Cultural Sustainability
. ECO system integrity	. Appropriate economic policies	. Respect for human rights	. Improved income distribution	. Sensitivity to cultural factors
. Biological diversity	. Efficient resource allocation	. Democratic development	. Gender equity	. Recognition of values conducive to development
. Population	. Equitable access to resources including gender equity	. Good governance	. Investing in basic health and education (Human Resources Development)	. Population issues
	. Increasing productive capacity of the poor		. Emphasizing participation of the beneficiaries	

6.3.3 Mechanisms used for Partnering

As mentioned at the beginning of this chapter, there are a number of structures established to assist CIDA to deal with a diverse CNGO community. Some of these structures are branches within CIDA. These include the Special Program Branch - currently known as Canada Partnership Branch, and its divisions of: NGO, ICDS, INGO, PPP and others plus the Bilateral and Multilateral Branches. Outside of CIDA there are structures such as PAC, CCIC, and a number of provincial organizations (through CIDA's decentralized funds policy) which are accessible to CNGOs. CARE Canada has access to many of these mechanisms, receiving funds through CIDA's CPB, Bilateral and Multilateral Branches, and is member to both CCIC and PAC.

6.3.4 *Communication Channels*

Both CIDA and CARE communicate frequently with each other. Interviews and documents indicate that there are at least two levels of communicating: formal and informal.

Formal level: Communications at this level consist of official meetings which often involve various sectors in CIDA. Here formal negotiations dealing with contracts, contribution agreements and other professional services are handled. These meetings vary depending on what it is that is being negotiated. For example, if CARE is dealing with Bilateral's "country focus", information exchange and formal meetings may take two or more months, meeting weekly or twice a week. Evaluations, at times necessitate formal levels of communicating, where both parties try to come to grips with the terms of reference. In most cases formal letters, facsimiles and telephone calls are used as means of communication at this level.

In instances where CARE and the CIDA-NGO Division are negotiating the possibility of converting CARE from a project to a program funding status, there is an exchange of formal letters to that effect. CARE would send a letter formally expressing interest in converting from project to program, and the CIDA-NGO Division responds with a letter informing CARE that formal consideration to convert the organization to program funding will be initiated.

Informal level: Much of the communication at this level has to do with the decisions reached during formal meetings and issues previously initiated at a formal level. This is where both parties communicate with each other dealing with problems which arise in the process of program/project implementation. There are series of documentation that go on - regular informal reports (financial, narrative accounts of progress and so on) - accompanied

by casual happenings such as personal visits, telephone conversations, facsimiles and memos. In terms of personal visits, CARE reports visiting CIDA offices more frequently than the other way around as would be expected. However on occasions where CIDA visits CARE offices, it is more often to advise CARE on how to do certain things, for example, how to fill the forms appropriately, how to become more accountable to CIDA and how particulars related to projects implemented overseas are carried out.

On the issue of visiting, CIDA's doors are reported to be open to CARE depending on what needs to be done. They are encouraged to visit and talk about specific project matters..."they do not come to see us just to chat, when they come it is to deal with us here within the context of projects" (Senior Development Officer: Kenya desk).

Communications, formal or informal, tend to touch on every aspect of the relationship between the two parties. A CARE officer was asked what they mostly communicate about with CIDA and the response was, "almost everything, the nuts and bolts of the relationship; project proposals, budgets, reports, money, payments and so on."

CARE Canada also communicates with its partners in Kenya (field directors and officers) through electronic mail, telephones and regular visits. These visits assist in program development, identifying new projects, defining policy and administrative managerial decision making. Most of the time, phone calls and letters are not enough, thus there is a need to go in the field, sit around the table and talk with people.

6.3.5 *Professional Exchange*

Both sides acknowledge the fact that exchange of expertise between CIDA and CARE exists. CARE gets professional expertise from CIDA's administrative people (especially overseas) notably in the area of financial management. In addition, some consultants have been paid by CIDA to assist CARE in coming to grips with the changing policies at CIDA, for example, workshops on Gender and development - a current reference to WID. There is also the occasional incidence of secondment where CARE personnel are seconded to CIDA and vice versa. There are many motives on both sides for a secondment. The main idea behind this type of exchange is that both CIDA and CARE benefit in terms of helping the organization (frequently CARE) to function better in a short period of time, without spending a great deal of resources on training. It also provides an opportunity for staff of one organization to understand the perspective of the decision makers of another organization better.

The staff member on secondment is expected to get experience, and a different mode of working at a different level; for example, CARE seeing how CIDA is working in conjunction with government ministries. A Senior Development Officer at CIDA-Bilateral, Kenya desk, related in an interview concerning a CARE staff member who was seconded to CIDA: "This lady has been with CIDA for two years, and I just spoke to her a month ago and she said, "I know now why you were bugging us about reports, this and that". Now she sees it from the side of CIDA".

6.3.6 *Obligations of Each Partner*

Most obligations are reflected in program and project implementation. Elements such as reporting, monitoring of activities, financial accountability and evaluations are specifically addressed and agreed upon in the initial stages of negotiations between CIDA and CARE. These fit well with the criteria set up by CIDA regarding its dealings with CNGOs, most notably in disbursement of funds.

6.3.7 *Reporting*

It is customary that all CNGOs which receive CIDA funds submit reports to the agency. Reporting requirements vary from program to program as from CNGO to CNGO. Generally, there are three types of reports CARE submits to CIDA:

1) Quarterly Financial Reports. CARE sends reports to CIDA every three months. CIDA may not release the next quarterly instalment until these reports have been submitted and accepted by the CIDA-NGO Division. "We are sometimes late, as most agencies are, sometimes we are on time and we don't get a response from CIDA. So it works both ways. But we try as much as we can to be on time. Theoretically if one did not report, funds would be cut, however, that has not happened to us" (Interview with CARE's Regional Officer).

2) Annual Narrative (progress) Reports - describing how the items presented in program/project submission, have been achieved during the preceding year.

3) Program Completion Reports. These reports usually consist of a self-evaluation report, in the case where CARE is applying for continual funding for the same program, so as to avoid time lapse in flow of funds. Sometimes this involves a final report, which provides

information for the entire program duration. A final report explains how goals and objectives presented in the submission proposal were achieved, what problems were encountered and solutions taken; and what types of evaluations (if any) were conducted; and lessons learned.

6.3.8 *Financial Obligations*

As mentioned earlier, the financial arrangements for both program and project funding are based on a co-funding basis or matching ratios - CIDA funds match Canadian source funds raised by CARE to make the whole endeavour a shared venture. CARE's contribution has to be large enough that CARE has a significant stake in the outcome of the program. CIDA's financial contribution consists of: overall "direct costs" of material, equipment, land, technical services, travel monitoring, evaluation and the like and administration costs which normally are those expenses associated with meeting the administrative requirements of CIDA and for CARE's proper accountability - are equally shared, up to a maximum of 15 percent of program cost. CARE concedes however that it is in the area of "overhead costs" that they encounter difficulties in dealing with CIDA. The regional officer explained:

I think, probably the most difficult issue about dealing with CIDA in terms of funding, is to ascertain what kind of overhead costs are legitimate for us to ask for, in running a project.... There is an ongoing lively debate between CIDA and CARE as to what constitutes a legitimate or justifies the amount of operational expenses and so on. When you are accountable to large funding agencies, whether it is CIDA, FAO or the World Bank, you are up against very big complicated bureaucracies. We are sometimes asked to report in such details and complexity, that it works against our efficiency and effectiveness. We have to take on extra people, such as accountants in order to report to them, which cost us money. On the one hand CIDA would say, we want all these details in reporting, on the other, they would want to know why we are asking for all this money for overhead.

Grants that are transfer payments made to a CARE without conditional or reported disbursements are another form in which CIDA provides funding to CARE. Finally there is the contribution payments, otherwise known as advances, which are made after quarterly financial reports have been received and approved.

6.3.9 *Evaluation and Auditing Obligations*

The general rule between CIDA and CNGOs is that all organizations receiving program funding from CIDA and especially from the NGO-Division get evaluated. The 1992 NGO-Division Guide to Program Funding indicates that a CNGO should expect to undergo a complete evaluation every six years, with an interim three-year follow-up review. Focus of these evaluations vary from an institutional assessment or financial management review to a program, country, or sector evaluation. CIDA asserts that these evaluations are intended to be initiated in collaboration with the CNGO and a joint steering committee to oversee the evaluations is usually formed. However, some CNGOs have been described as being "defensive" in their reaction to CIDA's evaluating them. To this, an officer in the Bilateral Branch retorted: "It is a different thing when one is funding most of the activities from the CIDA side. Obviously the leverage goes up because you say 'sorry but this is Canadian public funding, this is the law with the financial administration act, it is not a personal choice'". The central idea communicated to CNGOs by CIDA is that anytime you are dealing with public funds of any government, then those funds are going to be scrutinized in various ways.

Interviews with both CIDA and CARE officers indicated that CIDA evaluates CARE as an institution, but projects that CARE executes overseas are also systematically evaluated. The CARE regional officer interviewed for this study explained: "CIDA's evaluation of us is two fold: one is to ensure that tax payers money is used in an appropriate way within the ODA program. The second and equally important reason, is to provide feedback to us, so that we might improve our work and be more effective and efficient".

From CIDA's bilateral level, mid-term and final evaluations of CARE projects, are carried out. For instance, a mid-project review of CARE's Primary Education (PED) and Youth Polytechnic (YP), part of CARE's Regional Integrated Community Development (RICD) Project, Phase II was conducted in 1989-90 period (CARE Internal Documents). These are independent evaluations conducted by outside contracted consultants. CARE acknowledges that although CIDA evaluates their organization routinely, CARE does not evaluate CIDA.

Similarly, all CNGOs receiving CIDA funds must submit annual audited financial statements with schedules from CIDA divisions, accompanied with an audit certificate. Where a CNGO has overseas partners, CIDA asks that an agreement is in place between them to permit a CNGO to audit the partners' books. Occasionally, in a random fashion, CIDA conducts special audits, normally for financial and operational purposes. In such cases, CNGOs must retain relevant documents such as records, statements, receipts, cancelled cheques and the like in order to provide a clear audit track. Every year CARE submits an annual auditor's report in both official languages (French and English), outlining a summary of the balance sheet, statement of activities and statement of fund balance.

6.4 CARE's Perception of CIDA

CARE refers to its relationship with CIDA as a genuine partnership. However, conflicts and contradictions are constantly present. CARE officers attribute these conflicts of reporting demands, best ways to approach development, costs of keeping people involved in development and the like to the fact that CIDA is a very bureaucratic and inflexible organization. It is bound and constrained by the government of Canada which in turn is constrained by host governments in developing countries. Another constraint in the relationship is the constant changing of program officers and priorities within CIDA. Such changes often mean dealing with different personalities, biases, and repeated explanations of things previously explained. Program officers' personalities are mostly confronted during "financial reporting". CARE complains that there are different demands from different people within CIDA. Some want petty details or breakdowns of expenditures. For example, one officer may demand to know why two drivers, as opposed to one, were needed in the field why three watchmen as opposed to two were needed. Others in CIDA just require general information, and display the attitude of "just follow the guidelines, and don't overwhelm me with particulars".

This type of criticism corresponds to those expressed by a number of other CNGO officers. For example one narrated: "It is not so much for CIDA policy as for constant change in personnel which creates problems in our dealing with them. The way CIDA perceives our needs depends on who it is we are dealing with. Some individuals do understand, others do not. Those who know about our organization and its history in developing countries, perceive our needs very well" (Project information Officer: World Vision).

As for strengths, CARE acknowledges that CIDA has a world wide network of people who are in tune with the aspirations of various governments in developing countries. CIDA also has a wealth of experience at its headquarters. Many of the program officers started off their careers with either CUSO, and other NGOs, or have worked overseas for CIDA. Many of them are extremely competent and experienced in their fields.

6.5 Discussion

The relationship between CIDA and CARE is quite similar to that between CIDA and most CNGOs. It appears to be based on rigid guidelines but interpreted through the varying expectations of individuals. In quantitative terms, CARE receives substantial assistance in cold cash from CIDA. Yet this assistance is accompanied with obligations of timely reporting, financial statements, auditing regulations, and evaluations schedules. All these requirements sustain the relationship in a state of "safeguard". If CARE fails or falls behind in meeting all the obligations it risks losing or disrupting CIDA funding.

In qualitative terms, the relationship has all types of self-contradictory elements. While on the one hand funds enable CARE to carry out its programs, on the other hand obligations exhibit a sponsor-client component, which at times forces CARE to constantly be pre-occupied with the expectations of CIDA. CARE's supposedly qualitative role of enriching CIDA's ideas about development and the commitment, initiative and compassion usually showered over CNGOs by CIDA tend to get lost in the massive effort put towards fulfilling formal partnership obligations. The one-sided flow of reports, evaluations, and audits raises questions about the mutuality and reciprocal nature of the relationship.

These obligations threaten to turn CARE into an agency bent more on pursuing funds with the inherent requisitions and processes which go along with dealing with bureaucratic agencies than focusing on program quality and output. Of the five CNGOs interviewed in phase II, CARE tends to implement more of CIDA's bilateral programs through contracts and country focus programs than any other organization. The officer interviewed for this study was asked if closeness to the Canadian government worries CARE, in terms of relying so much on CIDA funds and risking running into organizational problems, as WUSC did. He conceded:

We are dependent on Canada maintaining the policy of development assistance. We are also depending on ourselves maintaining that relationship between us and CIDA which allows us to be considered eligible for funds in an environment that is bound to change. Yes we are vulnerable. The climate as far as ODA is concerned is changing. There seems to be a hardening of attitudes towards official development assistance on the part of the public - donor fatigue, the recession and so on. This may translate into drying up of funds. That is always a concern. CIDA at any time through no fault of our own, or omission on our part, could turn off funds to Kenya, because Kenya has not met certain requirements from donor countries in terms of procedures towards democratization.

When CARE's relationship with CIDA and its Kenyan partners is analyzed within the two conceptual frameworks of this study, there are a number of interesting observations. First, if the types of development strategies called for in the 1990s and beyond focus on transformation and change of values, institutions and technologies; promotion of popular democracy and activism; provision of legal aid, for example; and utilization of multi-sector forces as agents of development, and the activities carried out by CARE and other CNGOs fall short of achieving that goal. As mentioned earlier, CNGOs are employing more of the strategies advocated for in the second and third development decades, and are involved in third-generation NGO activities. Instead of taking on an activist role, they are still functioning as catalysts.

Likewise, CIDA is calling upon CNGOs to renew themselves in order to meet the challenges of the 1990s among which are elements of political sustainability: respect for human rights, democratic development and good governance. Yet, it is not quite clear how CNGOs are changing to meet these challenges. CARE's dismal display of "political activism" in Kenya suggests a number of inferences, namely:

1) A less generous view could be that CARE one of the keenest CNGOs when it comes to implementing CIDA's bilateral programs is more interested in executing CIDA's priorities and maintaining a good reputation with donor agencies than inciting indigenous groups to political activism. As an NGO it continues to be very "apolitical". Instead of embarking on sensitive political issues, CARE espouses to work within safe, non-controversial parameters of basic needs. It identifies, and in some cases assists in the establishment of local groups which are structurally weak and whose ability to analyze broad development problems is quite limited. Such groups are easier to have a funding relationship with since they are unlikely to challenge the status quo.

2) A more constructive explanation could be that CARE's extensive experience in Africa and elsewhere in the developing world has provided the organization with important lessons. For example: a) Viable political sustainability cannot be solely instigated by outside forces. The desire has to emerge from the citizens who are affected by the political realities of their environment. b) The desire to have political stability cannot be realized until citizens' basic needs are fulfilled. When they are healthy, they can feed themselves, house, clothe and educate their children, then they can respond enthusiastically to political challenges.

3) Experience has also taught CARE that in order for the poor populations of developing countries to have the desire for political sustainability, they need institutions which are strong enough to carry out necessary advocacy for change. CARE and CNGOs in

general perceive "capacity building" and "institutional strengthening" as the foundation upon which transformation and political sustainability can be based. The types of activities supported by CARE in Kenya exemplify this assumption.

Yet if CARE and CNGOs in general have to remain relevant to the development needs of Africa and other developing areas, they may not afford to stay "apolitical". Social movements outlined in the conceptual framework of this study are political forces. If donors and development practitioners are calling for transformation and changes and are looking at the voluntary sector as one of the driving forces behind the required changes, then CNGOs have to adapt. Their characteristics of being creative, initiative, flexible, and people-to-people organizations have to be put to test more than ever before. CNGOs also have to devise techniques of turning local groups those they have identified as partners, and whose capacities they have strengthened into energetic bodies, with analytical competency to influence national policies.

7.0 SUMMARY, CONCLUSIONS AND IMPLICATIONS FOR POLICY

7.1 Summary

The conceptual framework of this research is based on the evolutionary assumptions in development thinking of the past three decades. Failure of various development strategies to achieve the desired results of eradication of absolute poverty in developing countries, compelled development specialists to look for alternative agents, and innovative models to promote sustainable development.

The values claimed by non-governmental organizations (NGOs) of creativity, flexibility, innovativeness, development through community mobilization and so forth captivated the attention of donor governments as well as multilateral agencies in industrialized countries. In the Canadian context, NGOs became development partners to CIDA, an agency responsible for managing Canada's ODA program. Preceding chapters have demonstrated that Canadian NGOs (CNGOs) have also gone through an evolutionary process of their own, which constituted an additional conceptual framework for analysis.

The study set out to explore CNGOs as partnering organizations and to examine the nature of the relationship that exists between CNGOs and the partners they work with in the development domain, namely, government agencies (such as CIDA) and the local groups in Kenya (KNGOs). In the exploration process, a number of individuals in Canada and Kenya were interviewed, documents gathered and project sites visited.

7.2 Findings and Conclusions

7.2.1 The Relationship between CNGOs and CIDA

The findings have disclosed interesting details about CNGOs and their role in the field of development. For instance, CIDA and CNGOs have had a working relationship long before the voluntary sector attracted the attention of international donor agencies, such as the World Bank, around the second development decade. The findings also indicate that whereas in the initial stages of the relationship, CNGOs influenced the development thinking of CIDA, by designing projects which addressed the social dimensions of development as opposed to the rapid economic growth championed by donor agencies at the time. Presently many CNGOs alter their programs in order to comply with the sectoral and geographical program priorities of CIDA. Seemingly, CIDA's priorities and programming are somewhat dictated by the agendas of international multilateral agencies and by the constantly shifting development thinking environment.

The surge in numbers of CNGOs looking for funds in the early and the mid-'70s compelled CIDA to set up structures to accommodate a diverse CNGO community. Proliferation in the CNGO-community significantly affected the organizational structure of CIDA. That restructuring and reorganization is still taking place even today, albeit for budget cuts and reduction of the federal deficit being paramount reasons for the current restructuring. To a large degree this structural reorganization is subsequently influencing CNGOs' programming.

In terms of the CIDA-CNGO relationship, the findings ratify what has long been concluded by other investigators (Smith, 1990; Brodhead and Herbert-Copley, 1988; CCIC, 1988; 1990). There appears to be an increase in the scale of CNGOs' operations due to their partnership with CIDA. This up-scale is in a number of areas, but most significantly in

funding, staffing, and overseas activities. Furthermore, CIDA's funding has compelled CNGOs to adopt complex and institutional methods of functioning in order to fulfil the demands of the government notably the Treasury Board. The partnership obligations have furnished CNGOs with a type of professionalism and operational capacities: proficiency in report writing, evaluations, managing funds, and accountability. CIDA's funding however, has had unequivocal effect on CNGOs' character. In the process of using CNGOs as implementors and delivery channels of (CIDA) programs, CIDA tends to dilute or hamper the innovativeness and experimentation character of CNGOs. The time and effort CNGOs spend on fulfilling CIDA's demands of reporting, evaluations, financial accountability which seem to limit the creative spirit of CNGOs and inadvertently dictates how CNGOs relate to their (KNGO) partners in the Third World.

This reality leads to the conclusion that CNGOs are slowly becoming what Korten (1991) describes as public service contractors (PSCs). Perhaps their claimed distinct characteristics have earned them too much attention and their definition of development is closely becoming tied to the main stream "donors" sense of what development is. This raises a concern as to whether CNGOs which have flourished due to government funding would be able (or want to) reverse their status back to the value-driven, small scale and advocacy role without losing power, prestige, reputation and partners in developing countries. As Korten (1991) argues, it is difficult to be both a PSC and a social catalyst.

What has clearly emerged in this study regarding the relationship between CIDA and CNGOs is the fact that the managerial skills and organization structures of CNGOs are of great interest to CIDA. This attention tends to overshadow CNGOs' potential and notable accomplishments in the field.

Finally in terms of their operating environment, CNGOs tend to work primarily with their home governments and constituencies, multilateral donor agencies, and local grassroots groups in Kenya. There is no clear indication that CNGOs have a working relationship either with the "business sector" in Canada and Kenya or with "large national Kenyan NGOs".

7.2.2 CNGOs Involvement in Kenya

CNGOs have had a number of accomplishments in Kenya. The most notable achievements have been in:

- 1) Focusing on the poor. A large majority of the population served by CNGOs' intervention consist of the very marginalized groups: women, children, the landless urban squatters, the unemployed youth, and rural dwellers.
- 2) Mobilizing and creating new groups. Many local groups, for example, women's groups have clearly come into existence through the efforts of CNGOs who are required by their home funding agencies to indicate local partners with whom they (CNGOs) intend to implement development activities. Local partners therefore, are a prerequisite to accessing CIDA funds, especially for the CIDA-NGO Division. Data has indicated that there is a close relationship between dates of inception for some groups and the period of partnership initiation with CNGOs. Observations on institutional development (see Chopra, 1989; World Bank, 1991c) indicate that the capacity of developing countries can be strengthened in a number of ways including the creation of new institutions or the reorganization of existing ones.
- 3) Strengthening existing groups. Through empowering, training and provision of managerial and organizational skills. Existing groups which are identified by CNGOs as partners, benefit on two fronts: first, they get a boost in terms of technical and/or

financial assistance, and secondly, they receive notice from their home government by the virtue of partnering with CNGOs.

4) Putting emphasis on women. Through the provision of credit, to assist poor women set up their own income-generating activities, and equipping them with leadership and managerial skills. This reality not only puts decision-making in the hands of women, while addressing their financial needs it also (hopefully) obliges governments and local district administrators to pay overdue attention to gender issues.

5) Providing employment to the educated unemployed. Hired as field officers and extension workers. This group could become one of the most promising forces behind transforming and inciting African populations to political activism.

6) Emphasizing participatory development. By involving beneficiaries in program design and implementation. Unfortunately, CNGOs have had as many failures, and among the most pronounced are:

1) Lack of coordinated effort and networking. The proliferation of CNGOs in Canada seem to have a direct effect on proliferation of KNGOs in Kenya. This inclination has resulted in lack of collaboration in the field and localization of activities and services, and arousing government suspicion and regulations which at times put NGOs on the defensive. In reality, CNGOs do not collaborate in the field and some of the people interviewed hinted at the spirit of competitiveness among CNGOs. Likewise, none of the KNGOs had a close working relationship with other local groups or had more than one CNGO as a partner. This piece-meal effort has not resulted in strong, cohesive social forces capable of playing an influential role towards national policy.

2) Lack of political activism. If development in the 1990s and beyond calls for social transformation with NGOs as activists to tackle respect for human rights, reformation of institutions, demilitarization, political democratization and emphasis on regional integration CNGOs and those they identify as partners demonstrate no clear strategies of addressing these issues. Their activities are a cross between second and third generation NGO (logistic and strategic) management effort.

3) Evading large national NGOs and the private sector. All the skills imparted by CNGOs seem to enable local groups (KNGOs) to address immediate basic needs, especially those which fall in the traditional sectors of education, health, housing and food production. KNGOs identified as partners in this study, demonstrated limited analytical skills required for advocacy towards policy change at the national level. The "watchdog" role commonly attributed to the NGO sector as "checks on the relentless tendency of the state to centralize its power and evade civic accountability and control" (Korten, 1991 p. 99), did not seem to be present at the KNGO level. Large national NGOs are possibly better fitted to influence policy, yet they are disturbingly absent from the CNGOs' partnership frame.

Also missing is any indication of initiatives toward a fruitful relationship between CNGOs-KNGOs-private sector. Whereas capacity building focuses on monetary or profit-making skills financial management and accountability, bookkeeping, banking and income-generating, not a single officer (CNGO or KNGO) mentioned any type of partnerships with the private-business sector. It appears that those acquired skills facilitate communications and swift movement of funds between donors, CNGOs and KNGOs.

7.2.3 Findings on the Notion of Partnership

Partnership emerges as a donor concept coined to facilitate funding transactions. Many of the partnership exchanges happening between CNGO-CIDA and CNGO-KNGO have more to do with transfer of funds than anything else. Accordingly, characteristics of partnership proposed in Chapter Four are irrelevant if they are analyzed outside of structures of contractual agreements, project proposals, and financial accountability. Partnership seems to serve those who have the power, either financial or technical knowledge, allowing them to dictate the terms of engagement.

In the case of the CIDA-CNGO and CNGO-KNGO relationships, there is a fair amount of inequality in terms of power. It is a partnership among unequals - reciprocal exchanges are only possible among equals. This observation is supported by authors such as Goulet and Hudson (1971) who argue that the language of partnership employed by the stronger partner in the dialogue is sheer mystification since there cannot be valid partnership without reciprocity. These authors further assert that reciprocity can only be established if the stronger partners are themselves made vulnerable in their relationship with weaker partners. In this study, loss of funding puts CNGOs, in their partnership with CIDA, in a vulnerable position. Likewise, KNGOs are financially vulnerable in their relationship with CNGOs.

Partnership as a development concept, opens doors to encourage dialogue, consultancy and general awareness about constraints and possibilities of achieving seemingly common goals. However as a development model, it proves to be difficult to implement. Proposed characteristics such as mutuality, commonality, sharing, equality and others, though aspired to by most partners, hold little meaning if they are analyzed outside of organization functioning

of reporting, evaluations, and financial accountability. A number of observers, (Elliot, 1987; Korten, 1987) have promoted partnership as a means of bringing about institutional strengthening and empowerment of southern NGOs and peoples to engage in policy dialogue with both northern and the southern governments about the very nature of resource distribution between developed and developing countries. While CNGOs can hope to influence policy in Canada (and this is yet to be substantiated), a large number of their KNGO partners are much too inexperienced and structurally weak to do the same in Kenya.

In conclusion, Canadian NGOs are found to be significant partnering agents when it comes to mobilizing, empowering, promoting of participatory methods and strengthening capacities of African local groups, such as KNGOs. Much of that effort, however, is aimed at achieving the social dimensions of sustainable development that attempt to meet the essential biological, social and physical needs. Consequently, the majority of the projects focus on activities designed to improve the living conditions of the poor in education, health, nutrition, human settlement, housing, sanitation, and others. However, there is no clear evidence of an effort to advance analytical skills, which could enable KNGOs to understand development evolution, to debate issues of policy at the national level and to think of collective means of influencing government policy and decision-making.

This study depicts partnership as an ideological concept, which at the present only enables different cultures in the sense of organizational culture, nations, peoples and groups to have a dialogue and learn about each others potentials and constraints. It is also a type of relationship which is bound to continue for quite some time to come, especially between CNGOs and KNGOs. Since most KNGOs have not demonstrated any capacity for financial

self-reliance, severing of the partnership is not in their immediate or long-term interest. In all probability, KNGOs require the financial, technical and advocacy power of their CNGO partners. As for CNGO-CIDA partnership, much depends on how willful CNGOs are to change with the demands of the times. For instance, CNGOs may find it difficult to remain "apolitical" and to retain the same partners in the field of development. If indeed voluntary action is called for in the transformation spirit of the 1990s and 21st century, then CNGOs have to change on a number of fronts. To ignore this call for change is to risk becoming obsolete.

7.3 Implication for Policy

A number of factors have emerged in this study compelling policy reforms. While it is quite evident that there is a desire and willingness for "continued partnerships" between CNGOs-CIDA and CNGO-KNGO in development activities, there also emerges a feeling that the terms of engagement cannot remain the same. In order to achieve a long-term sustainable development, the relationships can no longer be "business as usual". Changes are required in such areas as understanding pertinent development issues, implementation of suitable strategies and a change in attitudes towards and application of partnership principles.

7.3.1 *CNGO-CIDA Relationship*

There is a need for a high degree of trust between CNGOs and CIDA, an atmosphere of openness towards each other, and a reduction in exercising hidden agendas. Reciprocal evaluations is a good start for CIDA. Thus where there are built-in mechanisms in CIDA

structures to evaluate and influence the functioning of CNGOs, CIDA should encourage CNGOs to officially evaluate the quality of their relationship and the effect it has on Canada's success in development in general. Such an allowance would enable both CIDA and CNGOs to look at their mutual relations in an effort to increase the effectiveness of ODA. CIDA should also ease its demands on CNGOs, regarding reporting, financial accountability and evaluations. These demands inadvertently affect how CNGOs behave towards their KNGO partners, interfering with CNGOs' catalyst role needed for the present development era.

Finally, where Canada suspends its bilateral relations with abusive regimes in the Third World, ordinary citizens of these countries should not suffer the consequences. Instead, CNGOs should be entrusted to channel assistance through their partners (including national NGOs and business) to continue with development assistance to those who need it most. A strong NGO-private business partnership could also be an alternative concession to the seemingly harsh "structural adjustment programs" currently promoted by donor agencies.

7.3.2 *CNGO-KNGO Relationship*

Canadian NGOs should exercise a cooperative spirit and learn how to work with each other in the field. The same collective effort CNGOs make at home in terms of consortia such as PAC, CCIC, SAP and others, must also be reflected in Kenya and other African countries, to eliminate what appears to be "competitiveness" and pursuing individual organizational "agendas". CNGOs are called upon to facilitate formation of consortia among African NGOs such as KNGOs by offering examples of solidarity among themselves in the field.

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APPENDIX 1

List of People and Organizations Interviewed

APPENDIX 1A

LIST OF CIDA & PAC OFFICERS INTERVIEWED

<u>Name</u>	<u>Title</u>	<u>Division</u>	<u>Date Interviewed</u>
CIDA - 1	Program Officer	CIDA-NGO	February 12, 1990
CIDA - 2	Senior Program Officer	ICDS	February 15, 1990
CIDA - 3	Program Analyst	Horn of Africa	February 16, 1990
CIDA - 4	Senior Program Officer	ICDS-Education	February 22, 1990
CIDA - 5	Program Officer	Africa 2000	March 8, 1990
CIDA - 6	Project Officer	Bi-lateral Kenya Desk	March 14, 1990
CIDA - 7	Program Officer	PPP	March 16, 1990
PAC - 1	Program Officer	PAC	April 5, 1990
PAC - 2	Executive Director	PAC	April 8, 1990

APPENDIX 1B

LIST OF CNGO OFFICERS INTERVIEWED

<u>Name</u>	<u>Title</u>	<u>Organization</u>	<u>Date Interviewed</u>
CNGO - 1	Program Officer	CODE	May 22, 1990
CNGO - 2	Executive Director	YMCA-Canada	May 24, 1990
CNGO - 3	Deputy Director	CHF	June 15, 1990
CNGO - 4	Project Director/ Program Officer	CHF	June 18, 1990
CNGO - 5	Regional Manager Anglophone Africa	CARE Canada	June 14, 1990
CNGO - 6	Assistant to Project Officer	OCCDP	June 26, 1990
CNGO - 7	Project Information Officer	World Vision	Sept. 24, 1990
CNGO - 8	Public Relation Officer	FPP	Sept. 25, 1990
CNGO - 9	Executive Director	AKF	Sept. 25, 1990
CNGO - 10	Program Director	AIM	Sept. 26, 1990
CNGO - 11	Director/Overseas Projects	The Salvation Army	Sept. 27, 1990
CNGO - 12	Program Manager	Save the Children- Canada	Sept. 28, 1990
CNGO - 13	Executive Director	Executive Director	Sept. 28, 1990

APPENDIX 1C

CNGO FIELD OFFICERS INTERVIEWED IN KENYA

<u>Name</u>	<u>Title</u>	<u>Organization</u>	<u>Date Interviewed</u>
CNGO-F 1	Department Head	RPSI (CHF)	May 10, 1991
CNGO-F 2	Director	CHF - Nairobi	May 24, 1991
CNGO-F 3	Assistant Field Director	World Vision Kenya	May 20, 1991
CNGO-F 4	Assistant Field Director	CARE International Kenya	May 24, 1991
CNGO-F 5	Managing Director	ADRA-Kenya	June 5, 1991
CNGO-F 6	Program Manager	ADRA-Kenya	June 8, 1991
CNGO-F 7	Program Officer	AKF-Kenya	May 22, 1991
CNGO-F 8	Executive Officer	AKF Health Services	May 22, 1991
CNGO-F 9	Assistant Project Manager	CARE-WIG	June 11, 1991
CNGO-F 10	Project Manager	CARE-AEP	June 12, 1991

APPENDIX 1D

LIST OF KNGO OFFICERS INTERVIEWED

<u>Name</u>	<u>Title</u>	<u>Organization</u>	<u>Date Interviewed</u>
KNGO - 1	Project Manager	Murugi Mugomango Water Society	May 16, 1991
KNGO - 2	Chairman	Murugi Mugomango Water Society	May 17, 1991
KNGO - 3	Chairlady	Kayole Mihango Women's Group	June 24, 1991
KNGO - 4	Project Manager	Ruiru Arahuka Family Development Project	June 20, 1991
KNGO - 5	Chairwoman	Karura Women's Group	June 19, 1991
KNGO - 6	Chairlady	Kwegitich Women's Group	June 24, 1991
KNGO - 7	Secretary	Kwegitich Women's Group	June 24, 1991
KNGO - 8	Project Officer	Shelter Afrique	June 3, 1991

APPENDIX 1E

LIST OF CIDA & CARE OFFICERS INTERVIEWED

<u>Name</u>	<u>Title</u>	<u>Organization</u>	<u>Date Interviewed</u>
CIDA - 1	Program Officer Church related NGOs	CIDA-NGO Division	April 16, 1992
CIDA - 8	Program Officer	Bi-lateral Kenya Desk	May 5, 1992
CARE - 1	Regional Officer	CARE Canada International	May 10, 1992

APPENDIX 2

Interview Protocols

APPENDIX 2A

Interview Protocol for Officials of CIDA

This protocol gathers specific information on the objective of CIDA; its relationship with other funding agencies for example, Partnership Africa Canada (PAC); plus CIDA's funding and evaluation processes of Canadian NGOs.

Interviewee: _____

Date: _____

Position: _____

Time Interview Began: _____

Organization: _____

INTRODUCTION:

I am Sarah Kambites a doctoral student in the department of Administration and Policy Studies in Education at McGill University. I am presently conducting research for my dissertation. The purpose of this research is to explore how Canadian NGOs carry out development projects in Kenya and how they relate to other key players in the domain of development. In exploring these issues, it is essential to examine the relationships these NGOs have with agencies which fund them. CIDA is one of the funding agencies whose officials I am interested in interviewing.

The interview will take approximately one hour, and information will be gathered on the following themes: The objectives of CIDA towards Canadian NGOs; the relationship between CIDA and PAC; and finally the funding and evaluation processes of NGOs by CIDA.

The information you provide will be treated with confidentiality and anonymity. If your department would like to know the findings of this research, I will be happy to share them (at a later date) with you. Do you have any questions regarding this interview?

Objectives:

1. What types of NGO activities is CIDA presently funding in East Africa?
2. Which sectors do these activities fall into?
3. Do these activities reflect the NGO-community's initiatives or are they CIDA's policy?
4. To what extent do the objectives of NGOs reflect the development priorities of CIDA?
5. What are the criteria set up by CIDA regarding disbursement of funds to development projects in Africa?

6. Is CIDA's women in development (WID) program complemented by NGO objectives?
7. How does CIDA ensure the participation of African women at the project level?

CIDA-PAC Relationship:

8. Why was Partnership Africa Canada created?
9. What type of relationship is there between CIDA and PAC?
10. Does CIDA-NGO Division fund any projects in Africa that do not go through PAC?
11. What kinds of projects are they?
12. Why are they funded this way?
13. What was CIDA's contribution to PAC in 1988-89?
14. What advantages are accrued from the CIDA-PAC relationship?
15. Are there any perceived problems in this relationship?
16. What changes have occurred in the NGO community due to the CIDA-PAC relationship?
17. What is the future prospect of this relationship?

Funding:

18. What was CIDA's annual budget for Canadian NGOs for 1988-89?
19. How has the official funding changed over the past ten years?
20. Which non-governmental organizations are entitled to receive CIDA funding?
21. For what specific activities does CIDA allocate funds to NGOs operating in Kenya?
22. What total amount of funds are allocated to Kenya, e.g. fiscal year 1988-89?
23. How much of this amount went to education and training projects?
24. How much was allocated for projects which serve and benefit women?
25. How long can CIDA continue to renew funds to an NGO?
26. When does CIDA cease to fund an NGO project?

27. How does CIDA determine the matching formula for each project?
28. What is the minimum amount of funds would CIDA consider for its matching formula?
29. Is there an overall maximum of funds an NGO can receive?
30. What are the types of NGO activities for which CIDA does not disburse funds?
31. Does CIDA directly disburse funds to local Kenyan NGOs?
32. Under what circumstances are such direct funds applied?
33. How do Canadian NGOs perceive this funding?

CIDA's Evaluation of NGOs

34. How well does CIDA understand the needs of NGOs?
35. What is CIDA's perception of the work of Canadian NGOs?
36. What forms of evaluation does CIDA use to assess the effectiveness of NGO projects?
37. How does CIDA evaluate NGOs' performances in the field?
38. How do NGOs assist the work of CIDA?
39. What influences do Canadian NGOs have on CIDA's policy?
40. What is the future outlook of CIDA-NGO relationship?
41. Do you have any further comments you wish to share?

Thank you for your time and assistance

Time interview ended: _____

APPENDIX 2C

Interview Protocol for Directors of Canadian NGOs

This protocol gathers general information on Canadian NGOs active in Kenya - as they are identified through CIDA-NGOs division and PAC.

Interviewee: _____

Procedure: _____

Position: _____

Date: _____

Organization: _____

Time interview began: _____

INTRODUCTION

I am Sarah Kambites a doctoral student in the department of Administration and Policy Studies in Education at McGill University. I am presently conducting research for my dissertation. The purpose of this research is to explore whether Canadian NGOs carrying out education/training projects in Kenya have had any effect in that country. Part of the research involves interviewing officials of the Canadian NGO community.

The interview will take approximately 40 minutes, and information will be gathered on the following themes: Background history of the organization; its governance, administration and funding; and the actual implementation of projects in Kenya.

Although your views and responses will assist me in data collection and analysis, the information you provide will be treated with confidentiality and anonymity. If you would like me to share findings of this study with your organization, I shall be very happy to do so. Do you have any questions regarding this interview?

Background:

Let me begin with a few background questions about your organization.

1. In which year was your organization established in Canada?
2. How long have you been involved in African development?
3. When did you start operating in Kenya?
4. Why did you decide to work in Kenya?
5. Are you an affiliate of an international organization?

6. (If yes): Is your head office in Canada?
7. Do you have a governing board?
8. How many people sit on this board?
9. How are the members of the board selected?
10. How long is their term of service?
11. What exactly do board of directors do?
12. Does the board approve specific projects?
13. Does it have any programming responsibilities?
14. How often do the board members meet?
15. How many employees are in the organization?
16. How many of these are paid staff?
17. How many are volunteers?
18. Do you have staff members outside of Canada?
19. How many are they?
20. What type of activities are they involved in?
21. Do you have professionals among your staff members?
22. How many are they?
23. What is the annual budget of your organization in 1988-89?
24. Generally, what are your sources of funding?
25. What percentage of your finance resources come from CIDA?
26. What matching formula do you have with CIDA?
27. Are you listed with PAC?
28. Have you received any funds through PAC in 1988-89?
29. How would you characterize your relationship with CIDA-NGO division?

30. How does CIDA perceive the objectives of your organization?
31. How well do agencies such as CIDA and PAC understand your organization's needs?
32. How does your organization's programs and priorities correspond to those of CIDA and PAC?
33. Which activities do you feel are important to carry out for which you couldn't obtain funds?
34. Why didn't you obtain funds for these activities?
35. Does your organization have a component of "women in development"?
36. How does CIDA and PAC's WID program fit in with your objectives?
37. Do you have any affiliates in Kenya?
38. Do they have any responsibilities for managing projects?
39. How many projects is your organization administering in Kenya?
40. How were these projects initiated?
41. What are the objectives of these projects?
42. What is the duration of each project?
43. How much funding have you received for each project?
44. For how many years is this funding?
45. How much of this funding is allocated for education and training in each project?
46. Which government ministries do you work closely with?
47. How are the projects designed?
48. How are the project sites selected?
49. How do you evaluate these projects?
50. What criteria do you use to determine their effectiveness?
51. How well do these criteria correspond to those used by CIDA?
52. Are you planning any new projects for Kenya?
53. Do you have any further comments you wish to add?

Thank you for sharing your time and views with me.

Time interview ended: _____

APPENDIX 2B

Interview Protocol for Officials of Partnership Africa Canada

This protocol gathers specific information on the background and objectives of PAC; its relationship to both CIDA and NGO community; and its funding and evaluation process of the Canadian NGOs.

Introduction:

I am Sarah Kambites a doctoral student in the department of Administration and Policy Studies in Education at McGill University. I am presently conducting research for my dissertation. The purpose of this research is to explore the activities of Canadian NGOs in Kenya and to determine their effectiveness in that country. Part of the research involves interviewing officials of various agencies which assist Canadian NGOs to achieve their goals overseas. PAC has been identified as one of these agencies.

The interview will take approximately 40 minutes, and information will be gathered on the following themes: Background history of your agency; its governance, administration and funding; as well as its relationship with CIDA and Canadian NGOs

Although your views and responses will assist me in data collection and analysis, the information you provide will be treated with confidentiality and anonymity. If you would like me to share findings of this study with your organization, I shall be very happy to do so. Do you have any questions regarding this interview?

Background Information

1. What are the main objectives of PAC?
2. How does PAC operate?
3. How many Canadian NGOs are currently members in PAC coalition?
4. What is the current number of African NGOs involved with PAC?
5. What is the major role played by African NGOs?
6. How many projects were supported by PAC in the fiscal year 1988-89?
7. Were all the projects carried out in Africa?
8. What types of activities do most NGOs supported by PAC carry out?
9. To what extent do the objectives of NGOs reflect the priorities of PAC?

10. What are the requirements for an NGO to be a member of a PAC coalition?
11. Do the projects reflect NGO initiatives or PAC's policy?
12. Does PAC initiate any programs?
13. What are the examples of such initiatives?
14. How does PAC ensure the participation of African women in NGO projects?
15. What types of activities are carried out in projects specifically designed for African women?
16. Is PAC satisfied with the level of participation by African women in development activities.
17. How are PAC's board members chosen?
18. How long is their term in office?
19. What are their main responsibilities?
20. Are there CIDA representatives on the board?
21. What is the main function of a program committee?
22. How are members of this committee chosen?

PAC Relationship with CIDA and NGOs:

23. How would you describe the relationship between PAC and CIDA?
24. How does PAC's existence assist the work of CIDA?
25. Do the objectives of PAC compliment those of CIDA?
26. What influences does PAC have on the policies of CIDA?
27. Does CIDA have any influence on PAC's policies?
28. Are there some issues on which CIDA and PAC disagree?
29. What significant benefits have accrued CIDA-PAC relationship?
30. What is the future outlook of CIDA-PAC relationship?
31. How well does PAC understand the needs of Canadian NGOs?
32. What is the relationship between Canadian NGOs and PAC?

34. About how many Canadian NGOs apply to PAC for funding (e.g. in 1988-89)?
35. How many did receive funds?
36. Are there Canadian NGOs which do not seek funding from PAC?
37. Which NGOs are these?
38. What is the future outlook of PAC and NGO relationship?

FUNDING:

39. What is PAC's overall budget?
40. Apart from CIDA's allocation to PAC's budget, what other sources of funding are there?
41. To whom is PAC accountable?
42. Which NGOs are entitled to receive PAC's funding?
43. What are the types of NGO activities for which PAC does not disburse funds?
44. Does PAC utilize a matching formula for NGO projects?
45. What are the various formulas available?
46. Who qualifies for a given formula?
47. How long can PAC continue to renew funds to an NGO project?
48. When does PAC cease to fund an NGO?
49. Briefly, how has PAC's funding of NGOs changed over the past four years?
50. Is it possible for an NGO to get funding from both CIDA and PAC for the same project?
51. Which region(s) in Africa receive the most funding from PAC?
52. Which region(s) receive the least funding?
53. How many projects has PAC funded in Kenya (e.g. 1988-89)?
54. For what specific activities does PAC allocate funds to NGOs operating in Kenya?
55. What total amount of funds was allocated to Kenyan projects for 1988-89?
56. How much of that amount went to education and training?

57. Does PAC directly disburse funds to a local Kenyan NGO which does not have a Canadian counterpart or partner?
58. Would PAC fund a Canadian NGO (project) which does not have a Kenyan partner?
59. What type of evaluation does PAC use in assessing the effectiveness of Canadian NGOs?
60. What do you perceive to be the future role of Canadian NGOs in African development?

Do you have any further information you wish to share?

Thank you for your time and assistance

Time interview ended _____

APPENDIX 2D

Interview Protocol for Field Directors of Canadian NGOs in Kenya

This Protocol gathers general and specific information from representatives of Canadian NGOs in the field - the Field Directors, and other officials.

Organization _____ Nationality _____
Person contacted _____ Date _____
Title/Position _____ Time begun _____

Introduction

My name is Sarah Kambites a graduate student in the department of Administration and policy studies in Education at McGill university. I am presently conducting field research for my dissertation. The purpose of this research is to explore the notion of partnership frequently used in international development by various key players. Specifically I am examining the relationships between: Canadian NGOs and CIDA, as well as their relationship with counterparts in Kenya.

The interview will take approximately one hour, and the questions will be on: a) general administrative structure of your office, b) relationship with your local Kenyan partners, c) execution of your development activities and d) the influences partnership has on your organization and those you work with.

Your views and responses will assist me greatly in the process of data collection and analysis. The information you provide will be treated with confidentiality and anonymity. If you or your organization would like me to share the findings of this research, I shall be very happy to do so. Do you have any questions regarding the interview? Should we begin?

Background Information

Let me begin with a few general questions about your field office.

1. In which year was your office established in Kenya?
2. What were the initial objectives of its establishment?
3. Have these initial objectives changed over the years?
4. Is your office a Canadian subsidiary or a local counterpart?
5. How many employees does your organization have in Kenya?
 - a) How many are seniors? b) How many are support staff?
 - c) How many are national? d) How many are international?
 - e) How many are Canadians?

6. What development programs do you give priority to?
7. How were these program priorities selected?
8. Which local Kenyan groups do you work with?
9. Are these groups governmental or non-governmental?
10. Are these groups your partners in development?
11. How was the partnership between you and them initiated?
12. What do you have in common with these groups? Probe
 - Are the development goals of your partners similar to those of your organization?
13. What are the development needs of your partners?
14. How were these needs identified by your organization?

PROJECTS

15. How many projects is your organization presently assisting in the country?
16. What sectors do they fall into?
17. Are these traditionally the sectors you have focused on in the past?
18. How are the projects designed?
19. How are the project sites selected?
20. Who is responsible for project implementation?
21. Do the projects you assist require technical expertise?
22. How do you acquire this expertise?

Let us talk about Project monitoring.

23. Do you monitor the projects you fund?
24. What are the monitoring procedures of these projects?
25. What role do your partners play in the monitoring process?

COMMUNICATION

26. What communication channels do you use between you and your partners?
27. What do you mostly communicate about?
28. How often do you communicate?
29. Do you visit project sites?
30. How are the visits arranged?
31. Do your local partners visit your field office?
32. What is the nature of their visits?

EVALUATION

33. How do you evaluate the projects you assist?
34. What input do your partners have in project evaluations?
35. why do these evaluations take place?
36. Are your partners required to write any reports? Probe
 - a) what do they report on?
 - b) To whom are the reports submitted?
 - c) How often are they required to submit these reports?
37. Is your office required to write reports?
 - a) What do you report on?
 - b) To whom do you report?
 - c) How often are you required to submit reports?
38. Do you and your partners ever make joint decisions?
39. On which issues are such decisions made?

FINANCES

40. What criteria are established by your organization to disburse funds to your partners?
41. How much funding does your office allocate to local partners in a given fiscal year?
42. What level of financial management do your partners possess?

43. Apart from financial and material resources, what else do you contribute to your partners?

PARTNERSHIP

Partnership is a term which is currently being used by many people in the domain of development. Let us talk about it.

44. What does partnership mean to you? Probe

- mutual benefit? - mutual trust? - shared goals?
- common set of values?
- Joint responsibility and obligations?

45. In your opinion, is the relationship between you and the local groups you work with a genuine partnership?

46. Based on your experience, what would you say are your partners'
a) perceived strengths? b) perceived weaknesses?

47. What administrative structures have occurred in your partners' organizations due to the partnership?

a) What added skills do they possess as a result of the partnership?
- How did they acquire these skills?

b) What communication systems do they have access to?

c) What technical capacities do they possess?

48. In your opinion, how has the partnership assisted development work in Kenya?

49. How had the partnership assisted your organization?

50. What is the future outlook on partnership between your organization and the local groups?

51. Do you have any further comments you wish to share with me?

Would you suggest a few project sites which I could visit?

Thank you for your time and assistance.

Time Interview ended _____

APPENDIX 2E

Interview Protocol for Leaders of KNGO

This Protocol gathers information on local Kenyan organizations with whom Canadian NGOs collaborate in carrying out development activities in Kenya.

Interviewee: _____ Date: _____

Position: _____ Time Begun _____

Organization: _____

INTRODUCTION

My name is Sarah Kambites a graduate student in the department of Administration and policy studies in Education at McGill university, in Canada. I am presently conducting field research for my dissertation. The purpose of this research is to explore the notion of partnership frequently used in international development by various key players. Specifically I am examining the relationships between Canadian NGOs and CIDA, as well as their relationship with local groups in Kenya. Your organization was recommended by the field officer in Nairobi (mention name).

The interview will take approximately one hour, and the questions will be on: a) general background information on your organization including its administration, b) your programming priority, c) the financing of your activities, d) relationship between your organization with the Canadian NGO office in Nairobi, and the nature of the partnership and influence it has had on your organization .

Your views and responses will assist me greatly in the process of data collection and analysis. The information you provide will be treated with confidentiality and anonymity. If you or your organization would like me to share the findings of this research, I shall be very happy to do so at a later date. Do you have any questions regarding the interview? Should we begin?

Background

Let me begin with a few background questions about your organization.

1. In which year was your organization established in Kenya?
2. What are the main development goals of your organization?
3. How long have you been in this position?
4. Is your organization affiliated with a Canadian organization?

Yes_____ (which one?) No_____

5. How did this affiliation come about?
6. Are you affiliated with more than one Canadian organization?
Yes_____ (name them) No_____
7. Is your organization officially registered with the Kenyan government?
Yes_____ NO_____

Administration

8. How many employees are working for the organization?
9. How many are paid? _____
10. Do you have volunteers working for the organization?
Yes_____ (how many) No_____ (explain)
11. Are there women employees?
Yes ____ # of paid_____ No_____ (explain)
volunteers _____
12. Do you have a governing board?
Yes_____ No _____
13. How are members chosen?
14. What exactly do members of the board do?
15. What is their term of service?
16. What administration positions (other than yours) are there in the organization?

Programming

17. What are the development needs of your organization?
18. What development programs do you give priority to?
19. Why do you give priority to these programs?

20. What types of development activities is your organization involved into?
21. What sectors do these activities fall into?
22. How do your Canadian affiliates assist your work?
23. Are your program priorities similar to those of your Canadian affiliates?
Yes_____ No_____ (how do they differ?)_____
24. Do you have professionals (skilled workers) in your organization?
Yes _____ (What type of skills do they have?)
No_____ (How do you carry out programs which require specific skills?)

Finances:

25. What is your annual budget (e.g. 1990-1991?)
26. Generally, what are your sources of funding?
27. How much funding do you get annually from your Canadian affiliates?
28. How do you access funds from the Canadian affiliates?
29. Are you expected to submit proposals for funding?
Yes___ (do you have a sample of such a proposal?)
No_____
30. How do you account for the funds you receive from your Canadian affiliates?
31. Who decides how the funds are to be spent?
KNGO_____ CNGO_____ Both_____ other_____
32. Do you carry out fund-raising activities?
Yes___ (what type of activities?) No___ (explain)
33. Do you collaborate with other local Kenyan organizations?
Yes ___ (On what issues?) No___ (explain)

Communication

34. How do you communicate with your development partners?

35. What do you mostly communicate about?

36. Are you required to write reports?

Yes____ No____

37. What type of reports do you write?

38. To whom do you submit these reports?

39. How often do you have to write reports?

40. Do you have access to the following:

telephone____ typewriters____
computers____ Ditto machines____
Fax machines____

Evaluation

41. Do you carry out evaluations on your development projects?

42. Why do you carry out these evaluations?

43. Do you get visits from your Canadian partners?

Yes____ No ____ (Why do you think they don't visit?)

44. How are these visits arranged?

45. What is the nature of these visits?

46. Do your Canadian partners evaluate your projects?

47. What feedback do you get from them?

Partnership

48. How do you define partnership? (probe for more)

49. Do you perceive the relationship between you and your Canadian partners as a true partnership?
Yes_____ No_____ (explain)
50. Do you and your Canadian partners ever make joint decisions?
51. On what issues do you make such decisions?
52. Do you give advice to your partners?
53. What type of things do you advise them on?
54. Apart from financial and material assistance, what else do your Canadian partners contribute to your organization?
55. What do you contribute to your Canadian partners?
56. What changes would you like to see taking place in the relationships between your organization and your partners?
57. What is the future perspective of partnership between your organization and Canadian organization(s)?
58. Is there anything else you would like to add?

Thank you for sharing your time and views with me.

Time interview ended: _____

APPENDIX 2F

Interview Protocol for CIDA Officials

This protocol gathered specific information from the CIDA-NGO and the Bi-lateral (Kenya Desk) Divisions respectively. The main objective of these interviews was to ascertain how CIDA personnel defined partnership, and how they put partnership characteristics to use in their dealing with Canadian NGOs. The questions listed below guided the interview leading to more in depth questions to clarify issues related to the notion of partnership.

The official from the CIDA-NGO Division had been interviewed in the earlier exploratory phase of the study. Thus he was familiar with the nature and purpose of the study.

Person Contacted _____ Date _____

Title/Position _____ Division _____

Time begun _____

Background Information on CIDA's dealing with CNGOs

1. How many division within CIDA deal directly with Canadian NGOs?
2. Roughly how many employees are in your division?
3. How many of these are professionals (not counting consultants)?
4. What types of professionals are they?
5. Moving back to 1968 when CIDA was first established, what were the initial objectives of the creation of CIDA-NGO Division?
6. Have these objectives changed over the years?
7. What types of structures were in place to facilitate a government-NGO relationship?

Programs:

8. In terms of programs, what would you say are CIDA's priority areas in African development?
9. What are the development goals of CIDA in Kenya?
10. What types of NGO programs does CIDA fund?
11. Are CIDA's development objectives similar to those of CNGOs?

12. Are there certain NGO activities which CIDA wouldn't fund?
13. How has the pattern of funding changed over the years, for example: a) nature of projects funded? b) volume of funding?
14. Could you tell me a little bit about CIDA's matching formula in funding NGOs?
15. By offering matching formulas - which vary in scale - isn't CIDA forcing some NGOs to compromise their values?
16. Does CIDA sometimes compromise its position to accommodate a diverse NGOs community?
17. Some CNGOs are concerned about losing their local partners in the South due to CIDA's direct funding of local groups. Does CIDA have a direct funding relationship with Kenyan local groups?

Communications:

18. What communication channels exist between CIDA and CNGOs?
19. What is the nature of this communication? In other words what do you communicate about?
20. How often does CIDA communicate with NGOs it funds?
21. Outside of project/program activities, what other information does CIDA exchange with CNGOs?
22. Is there any professional or technical exchanges between CIDA and CNGOs?
23. Are there mutual visits between CIDA and CNGOs?

Evaluations and Monitoring:

24. What types of evaluations does CIDA exercise towards CNGOs?
25. What would you say is the purpose of these evaluations?
26. How often are CNGOs evaluated by CIDA?
27. How are these evaluations arranged?
28. How have the NGOs reacted to these evaluations?
29. What difficulties has CIDA experienced in evaluating CNGOs?

30. Does CIDA get evaluated by CNGOs?
31. Are the evaluations mutually beneficial?

Partnership:

32. Partnership is a principal that many groups - government and non-governmental (or private) organizations have ascribed to recently. What does partnership mean to you? (*Probe re: mutuality, commonality, reciprocity etc..*).
33. In your opinion, is the relationship between you and the Canadian NGOs a genuine partnership?
34. What mechanisms are in place to permit both CIDA and CNGOs to share in policy, program implementation and evaluation?
35. Does CIDA advise CNGOs on development issues?
36. Do CNGOs advise CIDA on various development issues? (If yes), could you give me an example of when CNGOs advised CIDA on developmental issues, and CIDA took it to heart?
37. In your opinion, what organizational skills do CNGOs acquire from their partnership with CIDA?
38. Has the partnership assisted CIDA in any significant way?
39. Based on your experience, what are CNGOs' perceived:
a) strengths? b) weaknesses?
40. What steps has CIDA taken to strengthen CNGO weaknesses?
41. In your opinion, if the partnership between CIDA and CNGOs ceased to exist, which party would be hurt the most?
42. Where is the partnership between CIDA and CNGOs heading? In other words, what do you see in the future?
43. Is there are more information you would like to share?

Thank you for your time and assistance.

Time Interview ended _____

APPENDIX 2G

Interview Protocol with Officials of CARE-Canada

This protocol gathers specific information on CARE's partnership relation with CIDA, including programming, communication and evaluation processes.

Introduction: My name is Sarah Kambites.....

Background Information of the Relationship between CARE and CIDA

1. In which year did your organization start dealing with CIDA?
2. What prompted your organization to deal with CIDA?
3. How was the initial contact made?
4. How long has your organization been receiving funds from CIDA?
5. Which divisions within CIDA do you directly deal with?

Programs:

6. What are CARE's priority areas in African development?
(probe: WID, Environment, HRD etc...)
7. Have these areas always been CARE's priority?
8. what are your organization's goals in Kenya?
9. What development goals does CARE have in common with CIDA?
10. Does CIDA ever consult CARE on development issues?
11. What is the nature of this consultation?
12. Does CIDA advise your organization on certain development issues? Which issues?
13. Does CARE implement some of CIDA's programs? Which programs?
14. Which of the following activities do you jointly conduct with CIDA:
 - a) conduct research related to development?
 - b) plan development project/programs?
 - c) evaluate programs?
 - d) sponsor conferences or forums on development?

c) Other?

Communication:

15. What channels of communication are there between CARE and CIDA? In other words, how do you communicate about?
16. What do you mostly communicate about?
17. How often do you communicate?
18. Apart from project/program activities, what other development information does CARE exchange with CIDA?
19. Does CIDA offer any professional expertise to your organization?
20. Does CARE offer any expertise to CIDA?
21. How often do you communicate with your partners in Kenya?
22. How do you communicate?
23. What do you communicate about?

Evaluation:

24. How does CIDA evaluate your activities?
25. In your opinion, why do these evaluations take place?
26. Does CARE conduct evaluation of its programs?
27. Is CARE required to write and submit reports to CIDA?
28. How often do you submit these reports?
29. What is the nature of these reports?
30. What evaluation arrangements are there between CARE and the partner groups in Kenya?

Partnership:

Partnership is a principle which many groups (governmental and non-governmental) are currently subscribing to in the field of development. Let us talk about it.

31. What does partnership mean to you? (Probe.....)
32. In your opinion, is the relationship between CARE and CIDA a genuine partnership?
33. What exactly do CARE and CIDA have in common?
34. How has CARE benefited from its partnership with CIDA?
35. Has CIDA benefited from its partnership with CARE?
36. Based on your experience, what would you say are CIDA's:
a) perceived strengths? b) perceived weaknesses?
37. How has the partnership affected CARE's budget over the years?
38. Has there been any significant changes in CARE's fund-raising over the years?
39. What are CARE's responsibilities towards CIDA regarding funds movement and control?
40. Has the partnership between CARE and CIDA assisted this organization to gain greater control in managing funds?
41. Does CIDA offer funds to CARE for staff training?
42. What significant changes have occurred in CARE due to the partnership with CIDA?
(probe...administration, programming, fundraising etc..)
43. What is the future outlook on the partnership between CIDA and CARE?
44. Do you have any further comments you would like to add?

Thank you for your time and assistance

Time interview ended _____

APPENDIX 3

List of CIDA Documents



Canadian International
Development Agency

Agence canadienne de
développement international

NGO PROGRAM SUBMISSION SUMMARY PRÉSENTATION SOMMAIRE DE PROGRAMME ONG

Canadian NGO - ONG canadienne

CIDA ref no - N° de ref de CIDA

Program title - Nom du programme

NGO ref no - N° de ref de ONG

Expected starting date
Début prévu pour le

--	--	--	--	--	--	--	--

Expected completion date
Achèvement prévu pour le

--	--	--	--	--	--	--	--

OBJECTIVES AND ANTICIPATED RESULTS - OBJECTIFS ET RÉSULTATS ATTENDUS

List the developmental objectives your program proposes to achieve during its funding period (by country and / or sector as applicable).
As well, list the results expected at the end of the funding period.

Énumérez les objectifs de développement que votre programme est censé atteindre au cours de la période de financement (par pays et / ou par secteur, selon le cas).
Énumérez également les résultats attendus au terme de la période de financement.

INTEGRATION OF WOMEN IN DEVELOPMENT - INTÉGRATION DE LA FEMME DANS LE DÉVELOPPEMENT

What specific objectives in your program proposal pertain to WID (policies, procedures, activities), what results are expected and how will they be achieved?

Quels objectifs touchant l'IFD votre programme vise-t-il (politiques, méthodes, activités), quels sont les résultats attendus et comment parviendrez-vous à ces résultats?

ENVIRONMENT - ENVIRONNEMENT

What specific objectives in your program proposal pertain to the environment (policies, procedures, activities), what results are expected and how will they be achieved?

Quels objectifs touchant l'environnement votre programme vise-t-il (politiques, méthodes, activités), quels sont les résultats attendus et comment parviendrez-vous à ces résultats?

PARTNERSHIP - PARTENARIAT

Describe the role of your overseas partners in the design and implementation of your proposed program and explain how your partners' own programming capacity will be strengthened

Décrivez le rôle de vos partenaires à l'étranger dans la formulation et la mise en oeuvre de votre programme et expliquez comment la capacité de programmation de ces derniers sera renforcée

MONITORING AND EVALUATION - SUIVI ET ÉVALUATION

Describe HOW, WHEN and by WHOM, your program will be monitored and evaluated.

Indiquez COMMENT, QUAND, et PAR QUI le suivi et l'évaluation de votre programme seront effectués.

PRÉPARED / APPROVED BY - PRÉPARÉ / APPROUVÉ PAR

NAME AND TITLE OF CANADIAN NGO REPRESENTATIVE (please print)
NOM ET TITRE DU REPRÉSENTANT DE L'ONG CANADIENNE (en lettres imprimées)

Signature

Date

OBJECTIVES AND ANTICIPATED RESULTS (continued) - OBJECTIFS ET RÉSULTATS ATTENDUS (suite)

Indicate amounts in thousands of Canadian dollars
Indiquez les montants en milliers de dollars canadiens

TOTAL BUDGET BREAKDOWN - DÉTAILS DU BUDGET TOTAL

Effective for the duration of the program - Pour la durée du programme

PROGRAM COSTS COÛTS DU PROGRAMME	AMOUNT MONTANT	ADMINISTRATIVE COSTS FRAIS D'ADMINISTRATION	AMOUNT MONTANT
Small projects fund Fonds de petits projets		Liaison with CIDA (incl. preparation of program submission) Liaison avec l'ACDI (comprend la préparation de la présentation du programme)	
Other projects Autres projets		Financial management / reporting Gestion financière / rapports	
Field technical assistance Assistance technique sur le terrain		Other (specify) Autres (préciser)	
Monitoring / evaluation Suivi / évaluation			
Other (specify) Autres (préciser)			
Sub-total Total partiel		Sub-total Total partiel	
		TOTAL ▶ ▶ ▶ ▶ ▶ ▶ ▶	

FINANCIAL BREAKDOWN - DÉTAILS FINANCIERS

Exclude in-kind contributions - À l'exclusion des contributions en nature

SOURCE	PROGRAM COSTS COÛTS DU PROGRAMME	%	ADMINISTRATIVE COSTS FRAIS D'ADMINISTRATION	%	TOTAL (CAN \$ - \$ CAN)
Canadian NGO ONG canadienne					
Requested from CIDA Demandé à l'ACDI					
Sub-total Total partiel		100		100	
Local contributions Contributions locales					
Other contributions Autres sources					
TOTAL (CAN \$) (\$ CAN) ▶ ▶ ▶					

CIDA PAYMENT SCHEDULE - ÉCHÉANCIER DES PAIEMENTS DE L'ACDI

QUARTER TRIMESTRE	MONTH MOIS	FY AF ▶	FY AF ▶	FY AF ▶	FY AF ▶
1					
2					
3					
4					
TOTAL ▶ ▶ ▶ ▶					



NGO PROJECT SUBMISSION SUMMARY PRÉSENTATION SOMMAIRE DE PROJET ONG

Refer to the "NGO Division Introduction and Guide" Annex "A" for more information.

Pour plus amples renseignements, consulter l'annexe A de la brochure «Direction des ONG - Introduction et guide».

Canadian NGO - ONG canadienne

CIDA ref. no. - N° de réf. de l'ACDI

Name and address of organization and / or person responsible for project in recipient country
Nom et adresse de l'organisation ou de la personne responsable du projet dans le pays bénéficiaire

NGO ref. no. - N° de réf. de l'ONG

Telephone - Téléphone

PROJECT INFORMATION - RENSEIGNEMENTS SUR LE PROJET

Project title - include location (province/state, city, etc.) and phase (if applicable)
Nom du projet - y compris l'endroit (province/état, ville, etc.) et la phase (s'il y a lieu)

Sector - Secteur

Brief summary of objectives and results expected - Brève description des objectifs et des résultats attendus

Country or geographic region
Pays ou région géographique

EXPECTED STARTING DATE
DÉBUT PRÉVU POUR LE

--	--	--	--	--	--	--	--	--	--

EXPECTED COMPLETION DATE
ACHÈVEMENT PRÉVU POUR LE

--	--	--	--	--	--	--	--	--	--

FINANCIAL BREAKDOWN - DÉTAILS FINANCIERS

EXCLUDE IN-KIND CONTRIBUTIONS - À L'EXCLUSION DES CONTRIBUTIONS EN NATURE

SOURCE	PROJECT COSTS COÛTS DU PROJET	%	ADMINISTRATIVE COSTS FRAIS D'ADMINISTRATION	%	TOTAL (CAN \$ - \$ CAN)
Canadian NGO ONG canadienne				50	
Requested from CIDA Demandé à l'ACDI				50	
Sub-total Total partiel		100		100	
Local contributions Sources locales					
Other contributions Autres sources					
TOTAL (CAN \$) (\$ CAN)					

CIDA PAYMENT SCHEDULE - ÉCHEANCIER DES PAIEMENTS DE L'ACDI

QUARTER TRIMESTRE	MONTH MOIS	FY AF	FY AF	FY AF	FY AF
1					
2					
3					
4					
TOTAL					

SPECIAL CONSIDERATIONS - CONSIDÉRATIONS PARTICULIÈRES

Population affected Population touchée	1 <input type="checkbox"/> urban urbaine	2 <input type="checkbox"/> rural rurale	Number of beneficiaries Nombre de bénéficiaires	direct - directs	indirect - indirects	
Target groups Groupes cibles	1 <input type="checkbox"/> children enfants	2 <input type="checkbox"/> women femmes	3 <input type="checkbox"/> the aged personnes âgées	4 <input type="checkbox"/> men hommes	5 <input type="checkbox"/> total community toute la population	6 <input type="checkbox"/> youth jeunes
Indicate how the project relates to women (check one only) Indiquer dans quelle mesure le projet concerne les femmes (cocher une case seulement)			1 <input type="checkbox"/> women specific concerne essentiellement les femmes 2 <input type="checkbox"/> significant to women concerne les femmes de façon significative 3 <input type="checkbox"/> not significantly related to women (<50%) ne vise pas les femmes de façon significative (<50 %)			

Describe the participation of women in the planning and the implementation of the project
Décrire comment les femmes participeront à la planification et à l'exécution du projet

ENVIRONMENTAL ASSESSMENT - ÉVALUATION ENVIRONNEMENTALE

For more information, please refer to the Environmental Assessment documentation already provided by CIDA.

Pour plus de renseignements, consulter la documentation sur le sujet déjà fournie par l'ACDI

Environmental Assessment Screening Code (check one only) - Code d'examen des évaluations de l'environnement (cocher une case seulement)

1 <input type="checkbox"/> Project excluded Projet exclu	4a <input type="checkbox"/> Adverse effects are significant or unknown, therefore a detailed environmental assessment is required Effets négatifs considérables ou inconnus, donc évaluation requise
2 <input type="checkbox"/> Adverse environmental effects are insignificant Effets négatifs négligeables	b Estimate cost of required assessment (attach proposal)
3 <input type="checkbox"/> Adverse effects are significant but can be readily mitigated Effets négatifs considérables mais facilement atténuables	Estimer le coût de l'évaluation (joindre proposition)

Justify your choice of codes - Expliquer le choix du code

EVALUATION AND MONITORING - ÉVALUATION ET SUIVI

Describe HOW, WHEN and BY WHOM this plan will be implemented
Indiquer COMMENT, QUAND et PAR QUI le plan sera mis en œuvre

PARTNERSHIP - PARTENARIAT

Explain how this project will be sustained and how it will strengthen partnership
Expliquer de quelle façon le projet renforcera le partenariat et s'avérera viable

PREPARED / APPROVED BY - PRÉPARÉ / APPROUVÉ PAR

NAME OF CANADIAN NGO REPRESENTATIVE (please print) NOM DU REPRÉSENTANT DE L'ONG CANADIENNE (en lettres moulées)	Signature	Date
--	-----------	------

NON-GOVERNMENTAL
ORGANIZATIONS DIVISION

CANADIAN INTERNATIONAL
DEVELOPMENT AGENCY
(CIDA)

TERMS OF REFERENCE

EVALUATION

OF * * * * *

APPENDIX # 1

THE PURPOSES OF THE EVALUATION

- . To ensure that the project or program is carried out in accordance with the terms of the agreement with CIDA.
- . To assess requests for the extension of funding agreements (ex.: phase II, III, IV).
- . To finance a new program or similar project.
- . To change the nature of the funding agreement with the Non-Governmental Organization (NGO) to multi-year or grant funding.
- . To evaluate the capacity of absorption of the NGO.
- . To assess organizational changes with respect to its eligibility for CIDA funds.
- . To satisfy Treasury Board requirements which stipulate that funded activities be evaluated periodically.
- . To measure the developmental impacts of CIDA-funded activities.
- . To address special concerns.

APPENDIX : 2

THE OBJECTIVES OF EVALUATION

RATIONALE

- . To assess and determine the rationale for and nature of continued program/project funding by CIDA's NGO Division, given CIDA's mandate and the mandate of *****.
- . To determine the rationale for and the nature of funding by CIDA's NGO Division to the organization's development program.
- . To describe the organization's recent history and clarify its future orientation.
- . To assess the use made by the organization of evaluation results in and, more specifically, the implementation of recommendations.
- . To assess the organization's relations with its principal donors and its partners in development activities.
- . To assess the organization's relations with donors and partners, and assess the impact of these relations on the achievement of its program.
- . To evaluate, with respect to CIDA's mandate and objectives, the rationale of CIDA's support to the organization and, more specifically, regarding its mission, long-term objectives, as well as the nature and scope of its constituency.

EFFECTIVENESS

- . To assess the organizational effectiveness of ***** as an agent of international development, special attention being given to its operational strengths and weaknesses.
- . To assess the extent to which the organization has reached its goals and the impact on target beneficiary groups.
- . To assess the effectiveness of the organization's administration in such areas as planning and delivery, decision making, financial and human resources management, reporting system, attribution and the handling/management of CIDA's funds and other sponsors.

EFFICIENCY

- . To document and assess the administrative efficiency of ***** in areas such as program/project planning and delivery, decision making, financial and human resources management, accounting systems, audit trails and the use of funds from CIDA and other sources.
- . Assess the organization's ability to meet its goals and objectives and to make the desired impact on its target clientele or beneficiary groups.
- . To evaluate the organization's efficiency in implementing its international development projects and programs, with special reference to its operations.
- . To increase CIDA's knowledge of ***** and its operations with regard to the major evaluation issues.
- . To describe, in terms of operational strengths and weaknesses, the organization's administrative and supporting financial structures.

CAPACITY OF ABSORPTION

- . To assess the financial management and control systems of ***** and, more specifically, the extent to which it is able to absorb increased funding or changes in the type of funding received (type of program).
- . To assess the organization's ability to manage increased funding or a different type of funding from CIDA/NGO.

IMPACTS

- . To evaluate the impact of projects financed by this organization on target groups.
- . To assess the impact of the organization's development program, concerning:
 - . women's participation in development
 - . the protection of the environment
 - . partnership
 - . the development of human resources
 - . the fight against poverty
 - . food security
 - . sustainable development
 - . structural adjustment
 - . energy availability

-
- . To evaluate several strategic issues on behalf of CIDA, such as environmental concerns, the integration of women in development, the development of human resources, etc.

RISK FACTORS

- . To determine the current and potential risk factors.

APPENDIX # 3

OTHER EVALUATION ISSUES

Evaluation issues detailed in Appendix 3 represent CIDA priorities as expressed in the Development Charter. They will be addressed to the extent in which they are appropriate and relevant to the development conditions met by *** or its partners.

a) Human resources development

Human resources development (HRD) and institutional development are the pillars on which are founded sustainable development. The enhancement of human potential increases the ability to deal with social and economic systems and improves productivity. To cover this aspect, it may be necessary to use key questions listed on page 18 of the "Guide to the Management of Evaluations of SPB-Supported Institutions" (May 1990).

b) Structural adjustment

A considerable number of developing countries are currently faced with the need to undertake extensive and difficult political reforms in order to build a sound economy that would be more favourable to development. In such countries, local and international NGOs are often called on to play a first-hand role in supporting health care and other social services during structural adjustment programs, while promoting the importance of sound development policies on the part of the government. An evaluation of ***** might assess the extent to which its programs complement or conflict with structural adjustment programs.

c) Poverty alleviation

The institutional evaluation of an organization dedicated to grass-roots development must provide information on the extent to which the organization gives priority to poverty eradication in developing countries. For example, it is important to ask how ***** works toward eradicating poverty, what proportion of its resources are allocated to provide assistance to the needy, and how ***** operates within the network of organizations working toward poverty eradication in the Third World. Furthermore, it is important to investigate the ways in which target groups are defined and how improvements made thanks to the the project will be sustained beyond its completion.

d) Food security

Food security is a long-term policy which ensures that food is made available to the needy in developing countries. The objective of projects in this area is to encourage local production and promote sound agricultural policies, thus helping to meet the needs of recipient countries.

As a priority issue, food security will raise questions such as whether one of the organization's stated priorities is fostering food security and, if so, how this priority is reflected in its activities.

e) Energy availability

Organization evaluations may provide information on the extent to which an organization supports efforts to foster energy availability in developing countries. In this context, it will be important to determine whether ***** has the promotion of energy self-sufficiency as one of its stated goals. Energy availability may be fostered through the development of existing local energy resources or sustainable energy alternatives.

f) Other CIDA sources

g) Food assistance

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PREFACE

CIDA's Non-Governmental Organizations (NGO) Division has commissioned an organizational assessment of *****, its programs or projects. This framework proposes general terms of reference (TOR) for this evaluation and includes the following specific elements:

1. A brief description of the organization's institutional profile;
2. The reasons for, objectives and main issues of the evaluation;
3. The management of the evaluation;
4. The budget and schedule; and
5. The products of the evaluation.

This assessment responds to two major objectives of the NGO Division:

- . to increase CIDA's general knowledge of the organization; and
- . to help the organization improve its organization, programs or projects.

1. PROFILE OF THE ORGANIZATION

The agency profile must be appended.

1.1 General information

- . The organization's mission statement;
- . Its history;
- . Its structure (membership, board of directors, volunteers, etc.);
- . The institution's general organization (head office or subsidiary, location of head office and regional/overseas offices, etc.);
- . Partners and institutional networks; and
- . A general description of activities.

1.2 Profile of the organization's international development program

- . Objectives of the development program;
- . Major activities;
- . Expected results;
- . Impact; and
- . Monitoring and evaluation system.

1.3 Financial profile

- . A brief general description of financial systems;
- . The NGO Division's annual funding over the past five years;
- . A detailed list of funds provided by other Divisions of CIDA over the last five years; and
- . A detailed list of funds received by other sources (including those received from the public annually over the last five years).

2. SCOPE OF EVALUATION

2.1 Purposes of the evaluation

CIDA's Non-Governmental Organizations Division of the Canadian Partners Branch will hire a team of evaluators to conduct an organizational assessment of *****. CIDA/NGO has contributed to the organization's development program for over X years. The purpose of this is:

CIDA and ***** have agreed to proceed with a joint organizational evaluation and have approved these terms of reference. The results of the evaluation will be used by CIDA to determine the extent and nature of its future financial support of *****'s development program.

The organization will use the results as a source of expert advice, and from them will develop an action plan aimed at improving or upgrading management and financial systems as required.

2.2 Objectives of the evaluation

3. MAJOR EVALUATION ISSUES

3.1 Evaluation issues and concerns

The evaluation focuses on the overall institutional problematics. It therefore deals with the organization's rationale, efficiency, effectiveness, impact, risk factors and absorption capacity.

The purpose of the brief outline of the above-mentioned issues is to help direct research and is not restrictive in any way.

3.1.1 The organizational rationale

The question asked is whether the organizations's mandate and activities can logically be expected to further CPB and CIDA's objectives. Also addressed here is the degree of congruence between the objectives and developmental philosophy and approach of the organizations concerned. Are the activities that are carried out consistent with *****'s objectives and priorities?

The practice and scope of financial and non-financial support received from the public should also be considered.

3.1.2 The organizational efficiency

It includes two distinct dimensions. The first, on efficiency issues, identifies the ratio of resources used in relation to the outputs produced at a developmental level. This dimension addresses administrative costs and the potential effects of reductions of these costs on the organization's overall effectiveness.

The second dimension - the organization's management and administrative capacity - are critical elements of organizational efficiency. This requires that the evaluation address organizational systems and practices in the areas of:

- . Human resources management;
- . Financial management and control;
- . Planning;
- . Programming;
- . Implementation of activities; and
- . Monitoring and evaluation.

In practice, this aspect of organizational efficiency concerns itself with how ***** plans its own operations and development activities; how it organizes and implements field programs; and how it monitors and evaluates its development-oriented activities. Special attention may also be given to its long-term planning of activities.

3.1.3 The organizational effectiveness

It focuses primarily on the extent to which ***** is able to meet its goals and objectives, and, especially, its operational goals and objectives. Whereas efficiency addresses the level of resources required to implement activities and to manage them, effectiveness deals with the level of program outputs and their relevance to the goals and objectives of *****.

3.1.4 The organizational impact

What effect do sponsored activities of the organization have on target group and on other participating individuals and organizations involved. Impact studies include both positive and negative, as well as expected and unexpected aspects.

The examination of this issue could require on-site project visits which, subsequently, could affect the cost of the evaluation.

3.1.5 Risk factors

The evaluation must consider whether the organization's activities represent a risk to CIDA, and if so, to what extent?

A financial risk may arise if the NGO supported by the Canadian Partnership Branch (CPB) does not have adequate financial control systems to efficiently use the financial resources.

A political risk could arise when a group supported by the CPB is either directly or indirectly involved in political activities which cannot be sustained by the Government of Canada.

A social risk may occur if the NGO's activities or those of its partner agency in developing countries are

undertaken in a manner inconsistent with CIDA's policies in areas such as the environment, the integration of women in development, etc. A social risk may also occur when the organization's field activities are culturally inadequate or inappropriate.

3.1.6 Absorption capacity

This issue deals with the extent to which ***** is able to diversify the activities it undertakes, increase the range of current activities or operate with increased autonomy with regard to CIDA/CPB, without undergoing a loss of effectiveness. The quality of control systems constitutes a major concern under this issue.

The "Guide to the Management of Evaluations of SPB-Supported Institutions" (A Section, pages 10-14, May 1990) may be used by the evaluation team to formulate the evaluation methodology. Both ***** and CIDA may suggest additional key questions for inclusion in the evaluator's workplan.

3.2 Specific issues of concern

In addition to the six key evaluation issues described above, there are several issues of special concern to CIDA which must be considered in every organizational evaluation.

3.2.1 The integration of women in development

The integration of women in development (WID) is a major CIDA priority. CIDA's WID policy is founded on the understanding that, in order to be effective, development must involve both men and women. It is widely recognized that projects which overlook the needs of women are less likely to be successful than projects in which women are involved as both officers and beneficiaries.

For this reason, the participation of women in all phases of projects is viewed as essential.

Annex 2 of the "Guide to the Management of Evaluations of SPB-Supported Institutions" (May 1990) presents a detailed grid of evaluation issues to be addressed under this priority. The key WID issues stated on page 16

(grid 15.2) of the Guide must be addressed in the evaluation.

3.2.2 The environment

Development programs and projects are part of a process of economic development which could cause irreparable harm to the environment. Many developing countries find themselves under great ecological pressure; the effectiveness of external assistance must be judged on the ground of its contribution to the sound management of natural resources. Thus it is essential that the CPB-supported institution cooperate in promoting a development that will be respectful of the environment.

Annex 4 of the "Guide to the Management of Evaluations of SPB-Supported Institutions" (May 1990) presents a more detailed checklist of evaluation questions to be addressed under this priority issue. At the very least, the evaluation must address the key questions listed on page 17 of the Guide.

3.2.3 Sustainable development

Sustainable development has been defined as a way of ensuring that development meets the needs of the present without compromising the ability of future generations to meet their own needs". It is important that CPB-supported organizations contribute to sustainable development.

This issue refers to the ability of local partners to develop and implement activities that are sustainable from an economic and ecological viewpoint. CIDA's goal with respect to local organizations is not to encourage dependency but to promote autonomy and self-sufficiency. Sustainability may be influenced by political, cultural and socio-economic conditions in the country, the availability of financial and human resources, the management ability of the organization, and the strength of the organization's domestic and overseas donor base.

3.3 Other evaluation issues

3.4 CIDA's other financing sources

The organization under evaluation may receive contributions from sources other than NGO division. These contributions may come from a geographic branch (bilateral projects), a multilateral programs or public participation program. In each case, the program officer may assess specific issues. As they get ready to elaborate their evaluation workplan, the evaluators will thus have to meet with the officers of programs involved. For information purposes only, here are the major questions which must be raised for each of these programs.

3.4.1 Bilateral programs (Cf. Evaluation standards of 1990 bilateral projects)

- . **Rationale:** Does the project reflect CIDA's program directions and the beneficiary country's development priorities? Is the project consistent with CIDA's priorities regarding development (ex.: integration of women in development (WID), underprivileged populations in rural regions, environment)? Are the objectives relevant? Does the implementation of the project outputs help in the achievement of its goal and purpose?
- . **Effectiveness:** Has the project achieved the goal and objectives aimed at? To what extent has the project produced the anticipated outputs? Has it achieved the objectives related to CIDA's priorities regarding development (ex.: WID, environment, etc.)? How would an increased production of outputs help to achieve the project goal and objectives?
- . **Efficiency:** How well managed has the project implementation been? Have inputs been provided and, if so, at minimum cost? Were there better ways of achieving the same results at lower costs and in less time? Have other more viable solutions been used throughout the management of the project? How could the project be modified or improved and which financial consequences would this entail?
- . **Effects and impact:** What happened following the implementation of the project? What are the repercussions and effects on women, on underprivileged populations in rural regions and on the environment? What are the unforeseen effects? Why have the anticipated effects not occurred? Which

lesson may be drawn from this project experience?

3.4.2 Multilateral Cooperation Program

The Multilateral Program Branch may give assistance to Canadian NGOs, through multilateral technical cooperation, international humanitarian aid or food assistance. Each of these activities is distinct, either because CIDA is a sponsor, because the assistance is given within a very distinct context (emergency aid), because it entails a particular complexity level (major projects or food assistance), or because of the international affiliation of the Canadian recipient organization.

Given this context, the Multilateral Program Branch conducts periodic assessments which involve the overall organization (institutional evaluation) or the overall program or project. For the evaluator, these assessments constitute a first-hand source of information.

As for the usual evaluation issues (rationale, effectiveness, efficiency, impact), they may be used throughout the evaluation process of these projects. The evaluator will then refer to questions raised regarding bilateral projects.

In spite of these observations, specific questions may also be considered. Following are a few examples.

- Evaluate the quality of relations and degree of cooperation between the NGO and the organization (Background, scope of cooperation, etc.).
- In what way does the contribution granted to the Canadian NGO help in achieving the objectives of the organization and of CIDA?
- How does the Canadian NGO help to achieve CIDA's objectives concerning multilateral cooperation?
- Evaluate the involvement of the Canadian NGO in the identification of the project, its planning, its implementation, its follow-up and its assessment.
- Evaluate the quality of the study of needs that was used in the project/program design/formulation.
- Evaluate the impact on the Canadian organization of its participation in the achievement of this project.

- . How does the food assistance meet the needs of the country and of the target population? What have been the nutritional and development impacts of the food assistance?
- . Has the emergency food assistance given by the NGO played an efficient role in reducing the extent of the crisis or disaster?
- . What has been the social, political, economical and nutritional impacts of the emergency assistance (food or otherwise)?
- . Evaluate the effectiveness of the means implemented to distribute the emergency assistance, taking into account the target groups, local resources and efforts from other sponsors.
- . Has the emergency assistance been distributed efficiently and effectively, under hygienic and adequate safety conditions?

3.4.3 Public Participation Program

The Public Participation Program of the Canadian Partnership Branch lends its financial support to public education activities. In general, the evaluation regarding these activities addresses the same issues as in an institutional evaluation. For information purposes, here are a few general questions that could be considered during an evaluation of public education activities.

- . To what extent is the clientele, directed at by the organization's development education activities, more aware of the various aspects of development?
- . Does the organization convey a realistic and well-balanced view of developing countries?
- . What is the degree of satisfaction of the organization's target publics when they use the resources and services and attend the activities?
- . Is the organization visible in the region where it works actively in areas concerning the Third World and development assistance, as well as in the school and business communities and among unions?

4. MANAGEMENT OF THE EVALUATION

This section outlines the terms under which the evaluation shall be conducted.

4.1 The evaluation management

The evaluation will be conducted collaboratively by a steering committee which will include:

- . the Director of the respective NGO Division, who will act as president;
- . the NGO Division Program Officer (PTL) in charge of CIDA's relations with *****;
- . the Chairman of the Board and/or the NGO Executive Director, and one other NGO representative, preferably a member of the board;
- . one or several representative(s) from other CIDA branches as appropriate and;
- . other persons as required.

The responsibilities of the Steering Committee will be :

- . to review and approve the terms of reference (TORs);
- . to make recommendations regarding the selection of evaluators and approve the team composition;
- . to review and approve the evaluation workplan; and
- . to review and approve the preliminary and final reports.

4.2 The evaluators

4.2.1 The attributes of the evaluation team

The evaluation team will be contracted by the NGO Division of CIDA.

The identification and hiring will be conducted according to and using the following mechanisms:

-
- . the list of standing offers for institutional evaluation by the NGO Division;
 - . the list of standing offers of the Evaluation Division; and
 - . the consultant selection committee.

The consultants should have qualifications in evaluation methodologies concerning development activities, data collection and analysis, as well as concrete experience in the evaluation of NGOs. More specifically, evaluators should have a knowledge of project and organization management, and working experience in developing countries and in NGOs, particularly with respect to overseas projects and volunteer activities in Canada.

In addition to the above-mentioned attributes, the team leader should have a working knowledge of and experience with CIDA and the NGO Division.

The evaluation will be conducted according to an evaluation workplan prepared by the team and presented to the Steering Committee. Any significant change in the workplan and/or TORs must be approved by the Steering Committee.

4.2.2 The composition of the evaluation team

To be completed.

4.3 Roles and responsibilities

4.3.1 CIDA

CIDA's responsibilities will be to:

- . develop the terms of reference and submit them to the organization;
- . organize the evaluation in a general manner;
- . cover all costs of the evaluation, except for the salaries of staff designated by ***** to assist the evaluators;
- . select the evaluation team members and obtain the organization's approval;

-
- . draw up and administer the evaluators' contracts;
 - . chair the Steering Committee;
 - . provide the evaluators with all the necessary information;
 - . assist the evaluators with regard to technical matters and relations with the organization and other intervening parties from CIDA;
 - . consult and inform embassies of forthcoming visits to their countries and explain the evaluation team's mission;
 - . study and submit written comments on the preliminary report;
 - . exercise quality control over the evaluators' work;
 - . receive the final report and, upon its approval by the Management Committee of the NGO Division, take action on the recommendations outlined in the report;
 - . work with the organization to develop an action plan that would reflect the findings, conclusions and recommendations of the final evaluation report; and
 - . ensure a follow-up on the implementation.

4.3.2 The organization

The organization's responsibilities will be to:

- . review and comment the terms of reference;
- . assist CIDA in selecting the evaluators.
- . take part in the Steering Committee;
- . review the evaluation workplan;
- . designate and pay the expenses of the staff assisting the evaluators in the course of their work;
- . provide the access to data and information required by the evaluators in the course of their work,

-
- taking into account time constraints and available resources;
 - . take part in discussions with the evaluators, as required;
 - . participate in interviews, seminars, and other interactive data-gathering exercises;
 - . review and comment in writing on the preliminary report;
 - . provide the necessary information for making corrections in the preliminary report;
 - . receive the final report and respond in writing to CIDA, regarding its recommendations in the evaluation report;
 - . review and respond to the recommendations in the preliminary and final reports; and
 - . develop an action plan that will reflect the findings, conclusions, recommendations and actions that will be taken by the organization and present it to the NGO division.

4.3.3 The evaluation team

The evaluators' responsibilities will be to:

- . review and confirm the terms of reference;
- . prepare the workplan and submit it for approval to the Steering Committee;
- . obtain and study all pertinent information regarding the organization;
- . visit the organization headquarters, projects and embassies, as outlined in the evaluation workplan;
- . apply the methodology detailed in the workplan;
- . submit a preliminary report to NGO division and to the organization and present oral briefings as required;

APPENDIX 3C

SPEECHES BY CIDA'S SENIOR MANAGEMENT

- CIDA (1967). "International Development - Canada's Centennial Challenge". Outline of a speech to the Empire Club, Toronto, Ontario. By M.F. Strong, Director-General, External AID, Government of Canada. January 26th.
- CIDA (1969). "Canada's Role in the Developing World". Lecture to Graduating Class, Banff School of Advanced Management. By M.F. Strong, President, Canadian International Development Agency. March 14th.
- CIDA (1970). "Canada's Assistance to Developing Nations". Speech to the University of Ottawa. By M.F. Strong, President, CIDA. March 5th.
- CIDA (1981). "The Third World: A Canadian Challenge". Notes for an address to the Canadian Club, Toronto. By Marcel Masse, President of CIDA. April 16th.
- CIDA (1981). "North-South: Unfinished Business for Canada". Notes for an address to the Fifth Annual Couchiching Conference, Geneva Park. By Marcel Masse, President of CIDA. August 2nd.
- CIDA (1982). "The Global Development Challenge: The Role of Universities, the Role of CIDA". Notes for an address by Marcel Masse, President of CIDA. At the conference in Ontario Universities and the Global Development Challenge. York University, Downsview, Ontario. January 21st.
- CIDA (1983). "The Future Role of Canadians in International Development". Notes for an address by: Margaret Catley-Carlson, President, CIDA. At the Annual Conference at the Canadian Save the Children Fund (CANSAVE) with the Canadian Hunger Foundation (CHF). Geneva Park, Orillia, Ontario. September 30th.
- CIDA (1983). "Moving Ahead in the Eighties: CIDA and Canadian NGOs". Notes for address by: Margaret Catley-Carlson, President, CIDA. To the Briefing on Government held by the Canadian Council for International Cooperation (CCIC), Hull, Quebec. October 6th.
- CIDA (1984). "Development Assistance: A Worth-while Game to Play? Notes for remarks by: Margaret Catley-Carlson, President, CIDA. To the National Research Council Women's Association. Ottawa, Ontario. January 16th.
- CIDA (1984). "Canadian Power for Developing Countries". Notes for an address by: Margaret Catley-Carlson, President, CIDA. To the Electrical and Electronic Manufacturers Association of Canada (EEMAC), Montebello, Quebec. January 22nd.

- CIDA (1984). "Global Development: The Ultimate Issue". Notes for an address by: Margaret Catley-Carlson, President, CIDA. To the Institute of General Management, Ottawa, Ontario. June 12th.
- CIDA (1984). "World Development: Canada's Role". Notes for an Address: By Margaret Catley-Carlson, President, CIDA. At Memorial University, St. Johns, Newfoundland. September 28th.
- CIDA (1984). "World Development: Dilemmas and Decisions". Notes for an address by: Margaret Catley-Carlson, President, CIDA. At Dalhousie University, Halifax, Nova Scotia. October 1st.
- CIDA (1985). "Development Aid Now and in the Future". Notes for an address by: The Honourable Monique Vezina, Minister for External Relations. At the World Trade Centre, Montreal. February 21st.
- CIDA (1985). "World Development: Putting People First". Notes for an address by: Margaret Catley-Carlson, President, CIDA. On the occasion of the Annual Harshman Lecture at the University of Guelph, Guelph, Ontario, March 18th.
- CIDA (1985). "What can we expect from CIDA?" Notes for an address by: The Honourable Monique Vezina, Minister for External Relations. To the Annual Conference of the International Development Office of the Association of Universities and Colleges of Canada (AUCC), Winnipeg, Manitoba, March 29th.
- CIDA (1985). "Foreign Aid: Coming of Age". Notes for an address by: Margaret Catley-Carlson, President, CIDA. In the Global Current '85 lectures' at Case Western Reserve University, Cleveland, Ohio, October 1st.
- CIDA (1986). "The Role of NGOs". Notes for an address by: Margaret Catley-Carlson, President, CIDA. At Scarborough Campus of the University of Toronto. Toronto, Ontario. January 17th.
- CIDA (1986). "Development: Good news Bad News". Notes for an address by: Margaret Catley-Carlson, President, CIDA. To a faculty meeting at the University of British Columbia. Vancouver, British Columbia, February 11th.
- CIDA (1986). Statement by: The Honourable Monique Vezina, Minister of External Relations. On the Occasion of the Launching of the Africa 2000 initiative. House of Commons, May 6th.
- CIDA (1986). Background notes for an address by: Geoffrey Bruce, Vice-President, CIDA. To the World Commission on Environment and Development. Ottawa, Ontario, May 27th.

- CIDA (1986). "Our Development Dialogue". Notes for remarks by: The Honourable Monique Landry, Minister for External Relations. At a Breakfast Meeting with Representatives of Non-governmental Organization. Ottawa, Ontario. August 19th.
- CIDA (1987). "Entrepreneurship: A global Force". Notes for remarks by: Honourable Monique Landry, Minister for External Relations. To a Collegium Sponsored by la Fondation de l'Entrepreneurship, Montreal, Quebec, January 21st.
- CIDA (1987). "Human Rights and First Principles". Notes for an address by: The Honourable Monique Landry, Minister for External Relations. To the Annual Non-governmental Organization (NGO) Consultations on Human Rights. January 28th.
- CIDA (1987). "New Directions". Notes for remarks by: The Honourable Monique Landry, Minister for External Relations. To members of the International Development Executives' Association (DDEA), Ottawa, Ontario, March 2.
- CIDA (1987). Notes for a Speech by: The Honourable Monique Landry, Minister for External Relations. For delivery at the First Meeting of the Africa 2000 Consultative Committee, Meech Lake, Quebec, April 6th.
- CIDA (1987). "New Development Directions: The Growing Role of the Private Sector". Notes for remarks by: The Honourable Monique Landry, Minister for External Relations. To Canadian Exporter's Association, Ottawa. October 6th.
- CIDA (1987). "The Winegard Report". Talking points for a speech by: Margaret Catley-Carlson, President, CIDA. To a Meeting of the National Capital Branch of the Canadian Institute of International Affairs (CIIA). Ottawa, Ontario, October 20th.
- CIDA (1987). Canada's New Development Strategy: Implications for Africa". Notes for an Address by: The Honourable Monique Landry, Minister for External Relations. To the Africa 2000 Consultative Group. Ottawa, Ontario, November 2nd.
- CIDA (1988). Notes for a Speech by the Honourable Monique Landry, Minister for External Relations and International Development. On the occasion of the Annual Human Rights Consultations with Non-governmental Organizations. January 25th.
- CIDA (1988). "New Directions in Development Cooperation: Canadian Initiatives". Notes for remarks by: Margaret Catley-Carlson, President, CIDA. To a Seminar sponsored by the Society for International Development and Cooperation of the University of Ottawa, Ontario, January 27th.
- CIDA (1988). "A New Vision for Canadian Official Development Assistance". Statement by the Honourable Monique Landry, Minister for External Relations and International Development. On the occasion of the Tabling of the Government's strategy for Canadian Official Development Assistance, Sharing our Future. Ottawa, Ontario, March 3.

- CIDA (1988). "The Donor Response: Canadian Aid Policy Towards 2000". Notes for remarks by: Margaret Catley-Carlson, President, CIDA. To the Society for International Development (SID) North/South Roundtable, Session on Adjustment and Basic Human Needs. New Delhi, India, March 27th.
- CIDA (1990). "Structural Adjustment and the Growth of Nations". Notes for a Speech by: The Honourable Monique Landry, Minister for External Relations. At Carleton University, Ottawa, Ontario, February 12th.
- CIDA (1990). "Canadian Foreign Policy: A Development Perspective". Notes for remarks by: The Honourable Monique Landry, Minister for External Relations and International Development. At Laurentian University, Sudbury, Ontario. February 15th.
- CIDA (1990). "The 1990s and Beyond". Notes for remarks by: The Honourable Monique Landry Minister for External Relations and International Development. To Globe '90, Vancouver, British Columbia, March 23rd.
- CIDA (1991). "CIDA: Update and Outlook for the Future". Notes for remarks by: Marcel Masse, President, CIDA. At the 8th Annual Consultations between the Canadian Exporters' Association (CEA) and CIDA. Ottawa, Ontario, June 4th.
- CIDA (1992). The Annual Consultations on Human Rights with Canadian non-governmental Organizations. Ottawa, Ontario. Notes for Remarks by: The Honourable Monique Landry, Minister for External Relations and International Development, January 21st.
- CIDA (1992). "Canada and Africa: New Challenges". Notes for remarks by the Honourable Monique Landry, Minister for External Relations and International Development. Before the Conseil des Relations Internationales de Montreal (CORIM). Montreal, Quebec, February 10th.

APPENDIX 3D

CIDA INTERNAL DOCUMENTS AND REVIEWED ANNUAL REPORTS

- CIDA (1992). A Draft: Program/Project Submission Guide for the Public Participation Program of the Canadian Partnership Branch.
- CIDA (1992). Introduction and Guide to Program Funding. NGO Division.
- CIDA (1991). "Sustainable Development: Discussion Paper". Policy Branch, July 15th.
- CIDA (1986). "Task Force on Canada's Official Development Assistance Program". A study of the Policy and organization of Canada's official Development Aid: Report to the Minister for External Relations. Hull.

CIDA ANNUAL REPORTS

CIDA Annual Review, 1969.

Canada and the Developing World: CIDA Annual Review 1970-1971.

Canada and Development Cooperation: Annual Report, 1978-1979.

Canada and Development Cooperation: Annual Report, 1979-1980.

CIDA. 1984-1985 Annual Report.

CIDA. Annual Report, 1985-86.

CIDA. Annual Report, 1987-88.

CIDA. Annual Report, 1988-89.

CIDA. Annual Report, 1989-90.

CIDA. Annual Report, 1990-91.

CIDA. Telephone Directory. 06/92 and 11/92.

APPENDIX 4

CARE INTERNATIONAL KENYA: LOAN APPLICATION FORM

CARE INTERNATIONAL IN KENYA
LOAN AGREEMENT

This agreement is signed on19.... between CARE INTERNATIONAL IN KENYA of P.O Box 606 Siaya andWOMEN'S GROUP of P.O. Box

CARE INTERNATIONAL IN KENYA being the lender agrees to advance to Women's Group being the borrower, the sum of KShs to be used as Revolving Loan Fund together with their share contribution of KShs.....

The RLF will be used by the group for the sole purpose of lending to individuals or small groups within the group for expansion of their small scale businesses. The group agrees to accept this fund on the following conditions:

- (a) That the group must up-hold the constitution and operate this fund under its strict guidelines.
- (b) That the group would use the fund for a maximum period of two years and must complete its payment back to CARE in full with interest at% p.a.
- (c) That the first instalment repayment of this loan will be made six months after the receipt of this fund and subsequently after every three months until the whole loan is cleared.

- (d) The loan will be repaid in seven equal instalments with interest accruing at% calculated on a reducing balance.
- (e) That any subsequent loans to the group will heavily rely on the performance of the group with the initial RLF.
- (f) That the group will give CARE the full mandate to supervise the performance of the RLF. avail all the books at request and allow CARE to follow up the individual borrowers where necessary.
- (g) That the borrowers from the fund must be from the group and must have paid their share capital in the group.
- (h) That the borrowers from the fund must have on-going small scale businesses to promote with the borrowed funds.
- (i) That the Loan Review Committee of each group will determine the interest charged to its borrowers.
- (j) That the borrowers must have guarantors whose shares in the group can be utilized to recover the loan in case of default, and they must jointly and severally accepts the liability for the loan.

- (k) That the people whose signatures appear below are the true officials and signatories of the group.