

**CARE International in Uganda**



**Partnership Strategy:  
Guidance for  
how we work with others  
in the programme approach**

**Creative Research and Evaluation Centre  
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## Foreword and acknowledgements

Creative Research and Evaluation (CRC) Team would like to acknowledge the learning opportunity provided through the process of developing this Partnership Strategy with Care International in Uganda (CU). Different CU staff were dedicated to support and participate throughout the process, especially John Perry, the Assistant Country Director, Mary Bagumira, the Programme Information Officer, and Heather Munthe-Kaas, programme intern from CARE Norway. CRC also acknowledges the input made by staff of various organisations that have worked with CARE as partners in different ways, and gave their time to useful individual discussions and workshops. It is our hope that this document will provide the needed guidance and offer meaningful opportunities for developing and reviewing partnering relationships and that it can be adapted as thinking evolves in CARE's future programme work.

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### *Acronyms*

AOP .....	Annual Operating Plan	LRSP .....	Long Range Strategic Plan
APR .....	Annual Programme Review	M&E .....	Monitoring and Evaluation
CARE .....	Cooperative for Assistance and Relief Everywhere	MDGs .....	Millennium Development Goals
CBOs .....	Community Based Organisations	MoUs .....	Memorandum of Understanding
CI .....	CARE International	NGDOs .....	Non-governmental development organisation
CO .....	Country Office	NGO .....	Non-Governmental Organisation
CSOs .....	Civil Society Organisations	P/ID .....	Partnering and institutional development
DPs .....	Development Partners	PCC .....	Policy Coordination Committee
GoU .....	Government of Uganda	PP .....	Partnership Policy
IM & K .....	Impact Measurement and Knowledge (system)	PQ&L .....	Programme Quality and Learning
INGOs .....	International Non-Governmental Organisation	P-shift .....	Programme Shift
LNGOs .....	Local non-governmental organisation	QuAM .....	Quality Assessment Mechanism
		WWF .....	World Wildlife Fund

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# Executive summary

Since at least the mid-1980s, there has been a great deal of discussion in the international development community about how to define and strengthen collaborative and partnering relationships between organisations. Partnering has been defined in various ways, and successful partnerships are generally seen as based on shared goals, trust and mutual benefits.

Over the years, CARE International has evolved in its understanding of the purpose of partnering. For a long time, partnerships were viewed as a vehicle for 'efficiency gains', e.g., expanding the coverage, or delivering better services to households. "Partnering" "advocacy" and "rights based approaches" have provided CARE with a useful vocabulary that is leading the organization to expand its programming and partnering roles with a greater focus on the impact and sustainability of social change for the most vulnerable.

In the era of the programme approach, CARE is looking for ways to enhance its partnering with not only local NGOs and CBOs, but also with local government institutions, research institutions, informal local groups, broad social movements and networks. CARE is increasingly looking to develop 'strategic partnerships' where there is great emphasis on shared goals and complementarity, including shared planning, control, risks and benefits. CARE seeks to engage in partnering relationships and alliances where it will have a facilitative role, and a relationship based on equity and mutual learning, rather than always being the 'big brother' or the expert.

## Rationale of the Partnership Strategy

CARE International in Uganda has developed a new Partnership Strategy to encompass the above shifts. CARE has learnt that partnering is indispensable to civil society strengthening and rights-based approaches to development. As such, it is a key to developing the programmatic dimensions of constituency building. Partnership even has the potential to shape CARE's thinking about resource mobilisation, as to increasingly support stakeholders that are working to reorder their societies' investment priorities.

Partnering is both a process and a relationship. It brings the appropriate people together, to work in constructive ways and with good information, so they can create useful and viable visions and strategies for addressing the shared concerns of the impact population and the partner organisations. It is also a mutually beneficial and well-defined relationship entered into by two or more parties to achieve common goals they are more likely to achieve together than alone.

### Goal

We seek to contribute to broad movements for social change through our work with and strengthening of partners including networks and alliances. CARE's engagement in partnering aims to increase the positive impact of the work we contribute to on the lives of the poorest, most marginalised and vulnerable people.

### Purpose

CARE International envisions the organisation becoming "a partner of choice within a worldwide movement dedicated to ending poverty". These aims are expressed in CARE's programming principles, where the second principle is about working with partners:

*"We work with others to maximise the impact of our programs, building alliances and partnerships with those who offer complementary approaches, are able to adopt effective programming approaches on a larger scale, and/or who have responsibility to fulfil rights and reduce poverty through policy change and enforcement."*

CARE International in Uganda has included partnership in its programming strategies in order to achieve three organisational objectives: 1) improve the sustainability of our development efforts, 2) increase the scale and scope of our programmes, and 3) expand and extend our impact by building on the synergies and agendas of partners to promote local ownership.

We believe that partnering with other organisations will bring mutual benefits to both organisations and their capacities through complementing and learning from each other as well as ensuring the effective utilisation of

resources, including knowledge, from both sides. 'Partnering' is a mechanism for building approaches to social, economic and cultural development that are more: **Appropriate** (addressing real needs and priorities); **Integrated** (cooperative rather than competitive) and **Sustainable** (meeting today's needs without compromising the future).

## Core processes of partnering

The core tasks of the partnering strategy have been organised into 12 steps, that are further clustered into 4 stages. These stages and steps are developed in the text of the strategy, and accompanied by an annex with an annotated listing of appropriate tools and their sources for each of the steps. Briefly stated, the stages and steps are:

1. Scoping and building, including 4 steps: (1) Scoping – internally and externally; (2) Identifying and mobilising; (3) Building working relations - agreeing on goals, objectives and core principles; and (4) Planning – for activities and capacity building (of CARE and partners)
2. Managing and maintaining, which includes 3 steps: (5) Managing – developing management systems and structure for partnership; (6) Resourcing - mobilise cash and non-cash resources, arrange for mutual accountability; and (7) Implementing - working together; doing knowledge management, information sharing and mutual learning
3. Reviewing and revising, including 3 steps: (8) Measuring and reporting on impact and effectiveness; also forward accountability; (9) Reviewing – Assessing and reflecting on the partnership; and (10) Revising – making changes in the partnership and/or programme in the light of experience
4. Sustaining and/or moving on, which has 2 steps: (11) Institutionalising - Building appropriate structures and mechanisms for long-term partnering commitment and continuity; and (12) Sustaining or Terminating - Building sustainability or agreeing an appropriate conclusion to the partnership.

The partnering strategy sets out a robust framework, which will enable CARE International in Uganda to manage the ways it works with others. The framework includes mechanisms to regularly and mutually review the partner relationships that CARE is involved in to strengthen accountability, manage risks and continuously improve impacts and outcomes. The framework will set out clear criteria against which partnerships can be evaluated.

## Way forward

The way forward on partnering for CARE International in Uganda includes two major steps. First is developing a systemic capacity building plan, that should be articulated in/with the CO's annual plan (AOP), and addresses four levels – improvements in a) tools; b) skills / knowledge, c) infrastructure / resources, and d) policy / strategy / structure / organisational culture. The second is a process of thoroughly reviewing the draft partnering strategy with all levels of staff and partners, including reviews of past lessons about partnering from the experiences of this CO and its current/potential strategic partners. There are many changes likely to be needed in the deeper levels of organisational thinking and attitudes if CARE is to move beyond the contractual / sub-grant model of partnering with CARE in a dominating role to a mode of strategic partnering based on joint planning, equity, trust and mutual benefits with shared ownership and control in our working with others.

## Developing the strategy

The development of the Partnership Strategy has come this far through a consultative process involving CARE senior programme managers and some CARE stakeholders and partners. Two consultative workshops involving CARE partners and CARE staff were done in Kampala and Kisoro District during the design of the strategy, as well as interviews (internal and external) with key agencies and staff. An extensive literature review was also done, and a library of partnering documents created. The literature that was reviewed has included documents from CARE offices around the globe as well as many non-CARE documents.

# Introduction and background

## *History of partnering in CARE (Uganda & global)*

### **History of partnering in CARE**

CARE's understanding of how partnering can contribute to achieving our mission has evolved over time.

- 1) We began with the assumption that partnering is a useful tool to expand the coverage, impact, and sustainability of CARE's traditional work, i.e., delivering services to help poor people rise above poverty.
- 2) We then realized that partnering helps open the door to reorienting CARE's programs so that they can accomplish more than this. CARE now believes that partnering, combined with institutional capacity building, can lead to stronger institutions and more productive relationships between government, civil society, and the private sector, and that this is an important key to influencing the underlying causes of poverty in society. We have learned that partnering is indispensable to civil society strengthening and rights-based approaches to development. As such, it is critical to developing the programmatic dimensions of constituency building. Partnership even has the potential to shape our thinking about resource mobilisation, as we increasingly support stakeholders that are working to reorder their societies' investment priorities.
- 3) We are now beginning to realize that partnering has importance far beyond this. Partnering intrinsically builds on convergence of interest. The full power of partnering as a development approach goes beyond the limited model of partnerships between CARE and others. Ultimately, it is the capacity of stakeholder organisations to look beyond short-term rivalries, advance mutual interests, and learn to work more productively among themselves that will strengthen the fabric of society. CARE may decide to develop expertise to catalyze and facilitate such processes [53].

### **History of partnership in CARE Uganda Country Office**

Over the years, CARE has formed close relationships with the government, local and international NGOs, academic institutions, and civil society organisations (CSOs), e.g. NGOs, Community Based Organisations (CBOs), networks and coalitions, issue based groups, media, private sector, donors, etc. A wide variety of approaches were also visible in the types of collaborative working that was pursued. Some have had a funding component (CARE either giving funds or receiving funds) and technical support, while others are based on common interest in advocacy, knowledge sharing, fund raising (e.g., consortium), etc. What has been called a 'partnership' in the past has most commonly focussed on project work; however, CARE has also promoted strategic alliances with other organisations [16].

CARE Uganda has always worked very closely with government departments and ministries under different modalities ranging from consultative relationships (formal and informal) to advisory and capacity building of government units, departments and districts in the sectors and projects supported by CARE. CARE Uganda has worked in formal partnerships with the government of Uganda since 1969. Civil strife after the military coup in 1971 forced the organisation to stop its operations until 1979 when it was able to resume and the Country Office Programme has continued since then to evolve through the relief to development continuum. In the years since then, the Government of Uganda has evolved both politically and economically demanding a change in approaches from the NGOs, communities and donors. CARE's work with the government has been significant and well appreciated albeit not as well documented as to clearly show its effects on government operations. At the very least, past projects have sought to establish strong relations with the relevant government ministries and departments at both the headquarters in Kampala and the district levels [15].

CARE Uganda's involvement with the NGOs and especially CBOs has been limited and less developed than working with the government [15]. By the late 90s CARE was working through government agencies; especially, the government extension system, by providing fuel and allowances for extension agents to reach communities and do capacity building. Later, there was a change in the approach to development, with a greater focus on civil society. Thinking and initiatives about civil society partnership really started in CARE Uganda in the mid to late 1990s. A partnership strategy was developed in 1998 in order to guide such initiatives. The MDGs are also affecting development and changing the focus toward greater emphasis on poverty eradication. Development is now focusing on addressing underlying causes, with ultimate aim to have



an impact on the poorest and most vulnerable. Meanwhile, poverty and its causes are complex; one organisation cannot understand all the issues, so we need to partner with various actors [63]

### **Current thinking from CARE Uganda<sup>[63]</sup>**

*Why now? Why should we be working on a partnership strategy at this time?* Developing a partnership strategy for programmes is part of the preparation to contribute to broad movements for social change. We need the partnership strategy to suit the P-shift and inform the on-going design of programmes. It will help us to improve our programming in the P-shift approach, as well as improving our efficiency & effectiveness in the implementation of our programmes. The strategy would help us with sharing ownership, and harmonising development approaches through co-ownership of objectives and interventions and contributing to improving the sustainability of our interventions. In fact, we are taking a corrective action; this is work we should have done before venturing into the programme approach. Partnership has been ad hoc and needs to change. We need to have clarity and understanding about roles and responsibilities within the programmes. We need to refocus our partnership assessment tool to have clear guidance on the selection of strategic partners and performance of our partnerships so that the partnering process is given equal focus and importance as other elements of the program shift process.

*What value? What is the value of a partnership strategy?* It defines the nature of the partnership and provides legitimacy to it. It will streamline collaborative negotiation, arrangements, roles and responsibilities. It provides guidance on how to address issues emerging during the partnership; i.e., having a harmonised way of dealing/working with different partners. It will guide organisational responses and CARE staff on how to manage within the partnering relationship. All along the way, it will enhance mutual accountability.

*So what? What would be different in our work if we had a partnership strategy?* It will improve the harmonisation and outcomes of our work with others and require that we better coordinate our work with others. It would enable us to strategically identify other actors to work with in addressing the aspects of new P-design where CARE doesn't have the expertise. It would enable us to create durable strategic alliances instead of just short-term sub-contractual arrangements. It would lead to better allocation of resources in designing and implementation of our programmes. It will define who we can engage with, and hence, we would have a better understanding of the value addition in working towards our goals. We would have a clear scope of our work within the partnership, and it would provide benchmarks for measuring the effectiveness and efficiency of our engagement with others. Essentially it would mean that we realise we cannot do it on our own and that in many cases we should stop trying to fit partners into the solutions we propose and sometimes be open to taking the "back seat" and that such actions will strengthen the sustainability of our efforts.

### **Lessons learnt from the country office experience in partnership**

**[The following is from CARE Uganda, 1998]**

Partnering with government - The Country Office's past experience in partnership as defined in our preferred working definition has mostly been with government agencies and authorities. The main reasons for partnering with the government agencies have been to facilitate acquisition of approval to implement our work and get exemption from payment of duties and taxes. It has also been to prepare the government to continue with services beyond CARE's period of intervention. To a very limited extent there has been the expectation that the government will make significant contributions to implementation, but this has almost always been limited to short term attachment of GOU staff.

Expectations of CARE in dominant role - The definition of project and programme in the context of partnership has not been commonly understood among CARE staff and potential partners. While the concept should include the goals, outputs, input from all partners, and shared ownership and responsibility by all implementing partners, and while partnership should be seen as a way of pursuing common objectives, there has been some misunderstanding and hence false expectations. CARE assisted efforts have been perceived as CARE's own and the input of the partners as simply assistance to CARE in pursuit of CARE's objectives. This is partly because CARE is contracted by a donor to implement and the partner is not. Based on the above, some potential partners have expected CARE to pay for any contributions they make. This is particularly done by those agencies that have limited resources to provide for their own operations including government agencies. Some potential partners have perceived partnerships as primarily a means to improve their resource base, and

their contribution is only a means to that end. CARE as an international organisation brings with it vast experiences, resources and abilities that tend to intimidate potential partners but at the same time there are instances where there are inadequate mechanisms in CARE to effectively receive and act upon feedback from partners. The potential partners therefore suffer some inferiority complex and do not appreciate or present their best contribution to the implementation, choosing to emphasize their need for resources instead.

Partner involvement in design - The greatest success with partnerships have been those written into the design and agreed upon with the donors and especially where the partners have participated in the design process itself. The design process have usually not involved the staff of the potential partners at the **operative levels**, which should include, the staff at the district and lower levels. Most of the agreements have been negotiated and signed with the leadership of the agencies at their headquarter offices in Kampala and, as a result, staff at the operative levels have not been adequately briefed and have therefore not understood the design or the partnerships envisaged.

Formal versus informal - When CARE Uganda started the process of formalizing partnerships, it tried to sign agreements with all agencies it collaborated with. In this process CARE has learned that it is not necessary to sign agreements with all the collaborators who are not yet partners. Informal relationships seem to work well enough for such collaborations. But partnerships need to be formalized by signing a MoU because their success or failure has a direct influence on the impacts expected with our participants.

Organisational learning - A better job could be done of documenting experiences gained from the various collaborative and partnership efforts. There has been inadequate attention in reports on lessons learned from partnership relationships. All the CO projects and programmes will seek to strengthen and make more objective the section of their reports on collaborations and partnerships [15].

[The following is from CARE USA, 2002]

**Clarity About Partnership** - **Mutuality is the central characteristic of partnership. Successful partnerships are based on mutual dependence, mutual benefit, and mutual accountability.** *When CARE staff clearly understood what was meant by partnership, and had a sense of vision and goals with regard to partnership, the relationships went more smoothly and were more effective. The goals of, and the terms for, the partnerships should be explicitly and mutually defined and understood, with specifics about jointly sharing resources, authority, and ownership of the results. The term should not be used to give a positive cover to or to soften the difficult reality of subordinate relationships.*

**Clarity about CARE's Role in the Development Process** - **The fundamental lesson about development that we are learning from partnering is that ending poverty is not about what CARE or other foreign assistance providers do. It is about people and organisations having the capacity to work together and solve their own problems. This places institutional strengthening center stage.**

**Appropriate Organisational Support Systems** - **As CARE's programming roles change, its organisational systems must also evolve.** *The pace of a partnering approach is slower and more sensitive to the needs and processes of other organisations than that of a direct delivery approach. CARE must decide how much its partnering values are part of its organisational ethos, and then invest substantially to create an organisational culture with support systems that are compatible with its partnering approach.*

#### **Relationship Practices**

**Respect and Nurturing.** *When CARE staff were engaged in supporting the partner's ICB process and dealt with their partners respectfully, the partnership was a far better and more productive relationship. In some of the most successful relationships, CARE staff had extraordinary dedication to nurturing the partner in their weaker areas, while respecting the partner's talents, capabilities, aspirations, culture, and community relationships.*

**Humility and Mutual Learning.** *In the same vein, when CARE staff had the attitude of mutual learning and created a learning environment within the partnership, the relationships had better results. When CARE assumed that "we know the answers" or that "we can do it better ourselves," the partnerships suffered. CARE repeatedly found that partners appreciated the opportunity to discuss their ideas on how CARE could improve its ability to work with them. CARE must learn to ask for this feedback, and be willing to listen.*

**Open Communications, Trust and Transparency.** *case studies have repeatedly highlighted the importance of developing trust between organisations. Where openness, honesty and transparency were practiced, the partnerships could deal forthrightly with problems and obstacles. These are important aspects of communicating with a partner about ideas, operations and money. The best partnerships included open and regular communications such as monthly meetings to resolve problems or sort out fresh issues in the relationship.*

#### **Technical Practices**

**Good Analysis of Local Context.** *When CARE was clear about its role and assessed the local context effectively, the partnership choices – both of partners and what activities to do with them – were more effective. In addition, when CARE understood the local situation in such a way as to assist the local partner in increasing its credibility with the community it served, it bolstered the partnership and helped create a more favourable environment for the local organisation's sustainability. Consideration of political, social, historical, economic, and environmental conditions are important.*

**Careful Partner Identification and Selection.** *Successful partnering was more likely clear criteria were developed for selection and significant time and resources were devoted to screening potential partners. In these circumstances, CARE took the time to get to know the potential partner before a formal partnering relationship began. Given the short time frame of some donors, it is easy to rush this phase. To do so, however, makes for hasty decisions. The case studies highlight the importance of taking the necessary time to get to know potential partners, establishing dialogue, and developing trust. Screening and capacity assessment tools play an important role in careful partner selection, as do on-site acquaintance with the organisation, its staff/members, its board (if it has one), and the communities it serves. Selection is always mutual.*

**Process Orientation and Flexibility.** *The cases illustrate that an important factor for partnership success is a focus on process, wherein CARE supports learning and the development of capacity and helps the partner measure its own progress. This involves the flexibility to adjust to a constantly changing and dynamic relationship and to adjust activities as needed.*

**Limited Grants/Financial Support.** *Experience strongly suggests that when local organisations see CARE as simply a donor, rather than as a partner, their motivation is weighted toward money.*

**Written Agreements.** *Many of the cases point to the importance of developing written partnership agreements. While informal relationships are critical to partnerships, there must be a written document that outlines the goals, expectations, inputs, and timing of the partnership. It may be simple or complex, as the situation may dictate.*

#### **Newer lessons**

One of the key realisations of the partnership learning process in CARE Uganda has been the need to view such relationships as organisational and programme arrangements, rather than limit them to project arrangements. Such a perspective of transformation – a kind of paradigm shift – has indicated the need for CARE to develop mission-wide systems to initiate and maintain partnerships [16].

Partnership is one piece of a larger shift within CARE, which includes advocacy, rights- based programming, and gender equity and diversity. The shift is preparing CARE to assume new roles in the world. These pieces must be integrated to systematically transform the organisation. CARE's systems, processes and procedures were designed for direct implementation. There is a serious disconnection between CARE's new Programme efforts and its Programme Support functions. This is rooted in an institutional bias toward donor accountability, which systematically disregards the need for mutual accountability to partners as well as donors. CARE's understanding of partnering concepts and skills has grown rapidly, but is spotty across the organisation, and is notably rare among non-programming staff [22].

## ***Drivers & benefits, barriers & challenges analysis of partnering***

The promotive (drivers, benefits) and restraining (barriers, challenges) forces affecting partnering are highlighted here to remind CARE of factors that should be encouraged and those that need to be overcome if partnering is to be successful.

Drivers - Broadly taken, this refers to factors or forces that promote successful partnering.

Internal drivers - The following list highlights some of the main internal drivers [38] for partnering:

- Organisational champions pushing for alliances
- Positive past experiences with collaboration
- Leadership support/Political will within the organisation
- Organisational risk-taking/growth orientation or culture
- Organisational plans – e.g., LRSP
- Adoption of the programme approach leading to commitment to become a more programmatic organisation, involving a strong commitment to working differently with partners. In this, CARE is striving to transition from direct implementation to take up more of a facilitator role [13].
- Strong interpersonal, leadership, and management skills (which are often different from the technical skills of staff) combined with a facilitated process [51].

### External drivers

- Governments - Central government is increasingly placing statutory duties on local agencies and organisations to work together in partnership. Governments may want partnering as a strategy to support capacity building for local organisations; i.e., they do not want INGOs to be delivering services forever. However at the same time there is also a general trend in the declining space for CSO participation and the need for like-minded organizations to come together to secure an enabling environment for CSOs.
- Delivering value - The drive to work in partnership is led by the desire to deliver value for money for our stakeholders. We aim to achieve this through new ways of working with others in partnership and by sharing resources [7].
- Complexity - Complex cross cutting issues cut across the boundaries of multiple organisations and multiple disciplines/areas of expertise and it is only through working in partnership that these issues can be properly tackled [7]. CARE cannot operate in isolation from others if it has to bring about broader and sustainable change. Programmes are generally too complex and not possible without partnering and other collaborative working relationships [62].
- Funding streams – Development workers are experiencing tight financial conditions; traditional income streams are under pressure. Everyone is feeling the impact of global economic change [7]; working in partnerships can maximise competitive advantages for bidding [2]
- Potential partners – interest of other organisations to partner with CARE, particularly national CSOs.
- Donor issues - Donor interest in building the capacity of local partners

### ***Benefits (expected outcomes) of partnering***

- Learning - Personal growth and organisational learning; encounter multiple perspectives; Combined insights and wisdom enriches field [55]; Better information sharing
- Motivation - Increased visibility, recognition; Access to resources/additional sources of funding; Enhanced motivation [55]; Improving recruitment, retention and morale [41]; Participating organisations can gain credibility and such partners secure more opportunities to become independent and sustainable;
- Quality - Advanced thinking, creativity; quality of work; Solve more complicated issues [55]; pooling skills and experience, getting a new angle on a problem [61]; More integrated approach; Long-term involvement resulting in long-term impact through programmes stemming from country plans;
- Effectiveness - Increased productivity [55]; Easier access to services for users [41]; Effective means for community empowerment and civil society strengthening [30]; achieving lasting social change.
- Efficiency - Greater efficiency or value for money in the use of resources [41]; cost reduction and increased satisfaction of participants [2]

- Shared ownership of programme objectives - With partnering, objectives are jointly defined and agreed to by all partners; this way they all have a stake in it not only to the extent their margin is affected but their reputation and membership of the partnership [2].
- Shared resources – True partnerships usually will include some level of co-location and joint utilisation of resources, thus leading to efficiency in resource usage, elimination of resource duplication, and opportunity for implementation of “lean” ideology [2].
- Ease of communication flow – Most of the friction between actors in a programme is due to delay, unclear or outright lack of information necessary to progress the programme. Partnerships reduce these frictions by co-generating information in an atmosphere of openness and trust. Parties are also prone to offer true opinions on issues even when it is a negative feedback [2]. Reciprocal, critical dialogue leading to a constructive climate for contextual analysis, ideas, and education [30];
- Elimination of adversarial tendencies and litigations – This is made possible with equitable distribution of risk and joint management of risk by all partners [12].
- Sustainability - building the capacity of local institutions and thus ensuring sustainability [13]

### **Barriers and challenges**

Partnering behaviour is influenced by pre-existing factors in the partnership environment. This includes attitudinal, organisational, and management issues.

The more persistent **attitudinal barriers** of CARE and other organisations include:

- CARE-centric perceptions - CARE can deliver services better than others; CARE is the technical expert, whose role is to teach, not learn [53]; desire to get the job done quickly more important than participation [61]; “Equality” is difficult considering resource flows, institutional capacities, and accountability [63].
- Effort worry - Partnerships are expensive, slow, and frustrating [53]; Having to work with policies and procedures of another organisation can lead to additional work – waiting, meeting(s), discussions, and slower implementation. There may be a real risk to the efficiency of our operations. Some partners may be unable to meet the requirements of CARE and our donors and we may have to fulfil these obligations ourselves [15]; feeling action is not their responsibility [61].
- Control, compliance and credibility worry - CARE would lose control, but still be held accountable [53]; CARE systems and donors expectations may make too much demand on the less developed management systems of the local CBOs and NGOs [15]. Control in partnerships tends to lie with those who have the money, skills and administration — however well-intentioned they may be in seeking to involve others. One of the biggest obstacles to expanding our work in partnership is the fear that we will be held accountable for the mistakes of others [53].
- Cost worry - Many of the potential local CBO and NGO partners are so financially needy that CARE would have to finance some of their operations [13]. The costs of working with a partner raises the overall cost of a programme and the cost of delivering services for the short term. If the effects and impacts are thereby more sustainable and the consideration of this point is in a longer time frame, then the costs incurred in creating the benefits may actually be less [15].

The more enduring **organisational barriers** include

- Organisational policies, systems and culture – CARE’s strict administrative systems and requirements are often a barrier to sound partnership relations [12]. We need an organisational culture that maintains accountability while also rewarding flexibility, responsiveness, innovation and learning [53]. Donors, too, need to shift to a systems view. We have a role to play in lobbying for and piloting innovative approaches, and in documenting and sharing the lessons. We can do this by seeking out more progressive donors and learning from our experiences with them [53].
- Donor dependency - administrative procedures and practices of the donor partner which do not enable proper implementation of partnership principles [6]; the practice of external financing leaves those organisations receiving aid vulnerable to changes in the North. It also results in weakened autonomy, reduced programme ownership, and lack of mutuality, and creates, to varying degrees, identity problems for many partners [30]; the economic melt-down/global recession is reducing donor funding and forcing bigger NGOs (like CARE) to change their attitudes about the acceptability of social entrepreneurship (self-generated funds) by the smaller NGOs/CBOs [63].

# Key concepts

## *Definition of partnering/partnership – way of working with others*

### **Definition**

Although the current definitions found in the literature have evolved from coordination and collaboration to mutual benefits and shared responsibility, there is no international consensus on the meaning of partnership [6]. Partnership is a catchall word – It is confusing language: known by many names, used to mean many things, and part of the common vernacular. It signifies almost any type of inter-organisational or inter-personal relationship, making it difficult to put into practice or evaluate [55].

**“Partnership”** is an equitable *type of institutional relationship in which two or more organisations work together to achieve mutually defined goals on mutually accountable terms* [47]. Authentic partnership means a long-term commitment to agreed upon objectives based on shared values, strategies, and information [30]. Authentic partnership also implies shared responsibility for achievement, reciprocal obligation, equality, mutuality and balance of power [23]. ‘Development partnership’ implies an equitable development relationship based on a shared agenda for change [6]. Partners enjoy a distinctive bond of trust, a shared analysis of existing conditions in society, and thus in general a common orientation of what needs to be done to construct a more just, equitable, and democratic world [44].

Partnership is a relationship that results from putting into practice a set of principles that create trust and mutual accountability. Partnerships are based on a shared vision, values, objectives, risk, benefit, control, and learning. They also involve a joint contribution of resources, whether these are financial, human, or logistical resources. The degree of independence/interdependence is unique to each relationship, depends on context, and evolves over time [4].

### **CARE International in Uganda’s perceptions** <sup>[63]</sup>

In the CARE Uganda workshop that discussed partnering strategy (2011), three major themes emerged, plus smaller numbers of cards on other issues. The major themes were: a) Common vision and purpose - shared vision, values and objectives; respect for each other’s core values; and shared outcome desires; b) Mutually beneficial alliance - mutually beneficial alliances of diverse types; value addition to each other’s objectives and strategies; reciprocity; and mutualistic relationship; and c) Joint commitment with shared control of programme and finances - shared responsibilities for achievement; roles, responsibilities and accountabilities are clearly defined; shared risks; joint contribution of resources; and resource pooling.

The other issues that came up included: trust, accountability, and transparency, local authority; dialogue that meets local peoples’ ambitions, democracy; shared and two-way learning; flexibility, diversity, and creativity; strategic partnering, with increased scale and scope of programme, going beyond contractual agreement between two or more organizations; and objectives toward sustainability, impact, and contributing to a just, equitable and democratic world.

### **Implications**

Agreements that link partners in joint activities also engage their internal procedures, systems and cultures. Literature on development partnerships suggests that organisational partners must be seen as bringing their own complex systems, shaped by internal interests and stakeholder demands, to the partnership; ‘it’s like a marriage, you don’t get just the individual, you get the whole family [6].’

Partnering is both an ‘art’ and a ‘science’. Partnering as an ‘art’ requires: Insight / imagination / feeling, Vision (of the future), People skills, Active listening, and Personal engagement. Partnering as a ‘science’ requires: Knowledge / analysis / thinking, Understanding (of the past), Admin skills, Precise speaking, and Professional detachment [31].

### **What partnering is not:**

**Today’s rule of thumb in many cases in international development is that everybody wants to be a partner with everyone else on everything, everywhere.** This is patently and transparently illogical; multiple and

diverse users mean that the original idea and premise of partnership has been stretched in many directions and interpreted in many ways. In this respect it has become a 'something nothing' word. Authentic partnership implies a joint commitment to long-term interaction, shared responsibility for achievement, reciprocal obligation, equality, mutuality and balance of power. Unfortunately, this is not a common relationship in any walk of life though increasing numbers of INGOs now only work with certain types of CSOs and some multilateral agencies and donors only with governments[23].

Not all relationships between two organisations or entities can be described as partnership even though they may progressively lead to partnership, the highest form of the relationship. In the ladder of relationship towards partnership, relationships may be anything from contractorship to collaboration to networking [1]. Partnership, however, is more than loose cooperation, coordinating separate activities – or contracting for services [61].

The financial component of the relationship is not a central feature of true partnerships [45]. A working relationship that provides access to needed skills but has little or no common ground in terms of core problems or shared vision is a sub-contractual relationship – it is not a partnership [28]. Capacity building is also often confused with partnership. It is different. Capacity building is an ongoing process in which a person, an organisation or a society expands its ability to achieve its purposes [10].

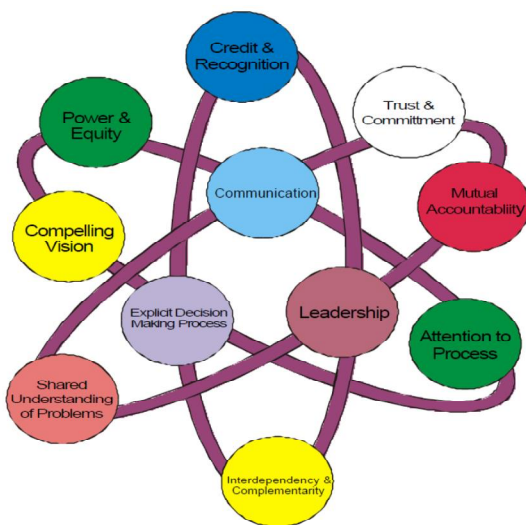
Remember also that not all relationships need to be partnerships. We are also talking about working in **alliances** and **networks**. CARE must choose the right relationship to fit the context and purpose, and the right degree of partnership to fit the relationship [22]. Partnerships describe the way that we relate to each other; they are not determined by the structure of that relationship, e.g., whether we engage in joint ventures, implement sub-contracts, or participate in a consortium or network [4].

### *Core principles of partnering*

#### **From the CARE Uganda workshop [63]**

A set of draft ideas about key principles was developed in the recent CARE workshop session on partnering (2011); these included: a) Accountability – time, resources, commitment to engagements, results, passion, transparency throughout; b) Mutual benefit - value addition, complementarity, win-win, ownership, shared vision, do no harm; c) Equity – respect, meaningful participation, equal rights, communication; and d) Trust – transparency, confidence, openness, believing in what you are doing & the outcome, appreciation

#### **From the literature**



The guiding principles are the foundation upon which partnerships will be built regardless of the partnership mechanism employed. Partnership has a few core principles that are **universal** and 'non-negotiable'. These include: *Equity, Transparency, & Mutual Benefit* as principles that determine organisational/partnering behaviour. *Equity* leads to **mutual respect**; *Transparency* leads to **trust** and mutual accountability; *Mutual benefit* leads to **sustainability** [31].

Additional definitions and content on good principles for partnering and collaborative relationships are included in Annex 4.

**Diagram of inter-connected principles [51]**

## ***Types of collaboration***

Not every relationship in development is a 'partnership', nor should it be. To work well, the development system needs all sorts of relationships; partnership is only one of them [25].

CARE uses a range of collaborative structures to achieve its mission. These include, for example, sub-contract, sub-grant, joint venture, consortium, and network. Some of these structures facilitate the use of partnering principles more than others do, but it is the degree to which partnering principles are used, not the nature of the structure chosen, that determines whether the relationship can be called a partnership. How much "partnership" is appropriate depends entirely on the context, and the needs of the participants [53].

## **Forms of partnering with a strategic focus**

The following sections describe what can be individual forms of partnering but can also represent stages in moving towards more strategic partnerships.

**Partnership of shared vision** - full partnership is where CARE another organisation have identified a common interest at the level of long term vision which can be captured in a shared programme vision or goal. In such situations the problem analysis will yield a set of intermediate and underlying causes that both organisations see value in tackling (although differences in emphasis may remain). In these situations we have the basis of full partnership where we can expect the added value derived from the synergy of the partnership at all levels (skills, strategies, goal) to exceed the higher transaction costs associated with working in partnership. This is the preferred model of partnership [28].

**Development alliance:** In this relationship two (or more) organisations agree on a development agenda or objective they wish to pursue together, typically for an agreed period of time. They can do this, for example, by exchanging information, sharing expertise or employing their respective positions and contacts in co-ordinated ways. While modest financial transfers may occur, they are not the basis of the relationship. A development ally is typically found in NGDO (and wider) networks, coalitions, alliances (for international advocacy) and platforms [25].

**Consortium** - There are no agreed definitions for a consortium. By and large, consortia are formed around the principle of synergy. That is a formal, time-bound arrangement, contractual, legally binding, systematically linking diverse competencies of a group of actors to better reach shared objective. Collaboration needs good communication, but consortia often face a paradox. Member organisations that would otherwise 'compete' for territory, intellectual dominance and so on are now supposed to connect and share, but without the certainty of fairness in what is contributed versus what is gained. But withholding or delaying information exchange can slacken the pace to the slowest member [24].

## **Strategic partnering – conceptual differences from working 'through' others**

As the content in the box below illustrates, strategic partnering involves a much deeper exploration of points of sharing between the partner organisations in pursuit of programme goals than CARE has been accustomed to in the previous project level arrangements with 'implementing partners'.



### **Strategic partnering – finding the convergences and points of sharing**

CARE and WWF have different organisational visions. CARE seeks to eradicate poverty and social injustice; WWF seeks to conserve the environment for the benefit of society as a whole including present and future generations. Clearly it is possible to define common ground here if we focus on the section of society affected by poverty and social injustice. WWF's constituency has been largely in the North and hence the organisation has historically viewed working with the rural poor in the South as more a means to an end than an end in itself. But WWF's is increasingly seeing itself as an environmental organisation serving the interests of all elements of society, and addressing a range of environmental issues well beyond biodiversity conservation, including water, climate change and pollution. In CARE there is also a broadening of scope with growing emphasis on environmental justice as a key dimension of social justice. Hence we see a significant convergence of interest in terms of our vision/longer term goals.

Furthermore, in terms of problem analysis, there is growing recognition that the underlying causes of environmental degradation and poverty in the developing world are to a very considerable extent the same (e.g., issues of governance, property rights, macro-economic policy and market failures), and growing awareness in CARE of the need for intervention to address these problems within the wealthy countries of the north (where WWF has substantial capacity in policy advocacy) as well as within CARE's target countries. Hence there is convergence of interest at a second level – a common concern with a set of core problems that we both need to address.

In addition the rationale for partnerships has a third level – skills. There is growing awareness in WWF of capacity gaps in areas in which CARE is strong, e.g., governance, civil society strengthening, micro-finance. Likewise in CARE there is growing awareness of capacity gaps in areas in which WWF is strong, e.g. global level policy analysis and advocacy, and environmental management.

## **Goal/objective of partnering [for CARE Ug]**

### ***The aims of the Partnership Strategy***

Partnering is both a process and a relationship. As a process, it brings the appropriate groups of people together, to work in constructive ways and with good information, so they can create authentic visions and strategies for addressing the shared concerns of a community, an organisation, an impact population, etc. It is also a mutually beneficial and well-defined relationship entered into by two or more parties to achieve common goals they are more likely to achieve together than alone [32].

The partnering strategy sets out a robust framework, which will enable CARE Uganda to manage the ways it works with others. The framework includes mechanisms to regularly and mutually review the partner relationships that CARE is involved in to strengthen accountability, manage risks and continuously improve impacts and outcomes. The framework will set out clear criteria against which partnerships can be evaluated.

A partnership will not be regarded as an end in itself, rather a means to achieve the shared and respective goals of the partners. The ultimate success of any partnership will be assessed based on whether it has led to the realisation of partners' objectives that they would have not been able to achieve otherwise [6].

### **Goal**

We seek to contribute to broad movements for social change through our work with and strengthening of partners (CBOs, CSOs, government, private sector, learning institutions, networks and alliances). CARE's engagement in partnering aims to increase the positive impact of the work we contribute to on the lives of the poorest, most marginalised and vulnerable people, i.e., our impact groups.

### **Purpose**

CARE International envisions the organisation as “a partner of choice within a worldwide movement dedicated to ending poverty”. CARE's second programming principle is about working with partners [16]:

*We work with others to maximise the impact of our programs, building alliances and partnerships with those who offer complementary approaches, are able to adopt effective programming*

*approaches on a larger scale, and/or who have responsibility to fulfil rights and reduce poverty through policy change and enforcement.*

CARE included partnership in its programming strategies in order to achieve three organisational objectives: 1) improve sustainability of development efforts, 2) increase the scale and scope of programs, and 3) expand impact by building on synergy of effort and the comparative advantages of organisations by contributing also to their agendas and learning from and adapting their experiences. [53].

We believe that partnering with other organisations brings mutual benefits to both organisations' capacity through complementing and learning from each other as well as ensuring the effective utilisation of resources, including knowledge, from both sides [49]. 'Partnering' is a mechanism for building approaches to social, economic and cultural development that are more: **Appropriate** (addressing real needs and priorities); **Integrated** (cooperative rather than competitive) and **Sustainable** (meeting today's needs without compromising the future) [31].

## Partnering process

**The process of partnering and the associated tools to use are described in more detail in the attached Partnering Guidelines.**

### *Scoping and building*

#### **Scoping –**

Understanding the challenge; gathering information; consulting with stakeholders and with potential external resource providers; building a vision of / for the partnering relationships.

#### **Organisational self-assessment**

Identify internal reasons for choosing a collaborative strategy and assess the conditions for partnership vs. another form of relationship [47]. The first step in building a strong collaborative relationship is to take a careful inward look to see how your own organisational systems and structures could support partnership efforts, or could make partnering harder ie done at the program definition level and building on component stakeholder analysis[4].

**Internal organisational asset inventory** - To prepare for effective alliances, you must identify the assets and capabilities your organisation possesses that you could bring to an alliance. By identifying your assets, you can also identify your deficiencies and identify what *and* how partnerships could strengthen your position. Your organisation should revisit its mission and strategic goals, consider objectives that might involve alliances, and assess its readiness to pursue them. You can then decide how to increase capability in any areas and whether to proceed to develop alliances or to wait until improvements are made [37].

**Organisational collaboration inventory** - Developing a comprehensive inventory or "portfolio" of all relationships your organisation has with other entities can be useful to assess the entire picture of collaboration occurring within your agency. It can allow you to identify gaps that can be filled by new partnerships and areas where there is a surplus or overload of collaborative activity. It is important to consider staff time required to maintain the collaboration and other resource investments. This will help avoid duplication of efforts as well as decide whether the benefits outweigh the costs of participation. When identifying relationships, it is important to think of *ALL* types of relationships occurring within your organisation from community level to programme level to portfolio/country office level [37].

**Scan the stakeholder environment** - Identify stakeholders that are potential partners (stakeholders are other agencies that have an interest in the same kind of programs or the same communities). Assess the environment objectively with respect to your programme goals, e.g., with the stakeholder analysis tools that CARE Uganda has been using this year. Map the constituencies of a broad range of stakeholders (a stakeholder map) by exploring their needs, interests and motivations [34]. Consult with selected stakeholders,

websites, and possible external resource providers to explore the potential for alignment with the programme goals and other external factors, such as timing and other existing or planned initiatives [34]

## Identifying –

Identifying potential (or building the capacity of existing relationships) partners (depending on what is foreseen as being most beneficial) and - if suitable - securing their involvement; motivating them and encouraging them to work together

## Identifying appropriate partners

- Use informal communication (e.g., personal or out-of-office contact) along with formal meetings, workshops and organisational assessments to identify the partners most appropriate and likely to collaborate with CARE on a programme [47].
- Identify potential partners from the stakeholder analysis, according to the needs of the programme as validated by preparatory research and consultation. Identify what types of potential partner organisations would add value to the partnership because of their unique attributes, skills, networks, etc.: remember to explore the range of options from both existing contacts and new ones [34].
- The identification of partners shall be based on basic assessments in the following areas: Values, vision, commitment, reputation, experience, development approaches, capacity/competence issues, leadership/governance style, interest and/or the potential to change and develop, and systems for planning, implementation, reporting, monitoring and evaluation including accounting/auditing.
- The identification/selection process works best when it is mutual. Though this not very common it is considered essential for enduring and strategic partnerships. Even in a participatory process, a mindset can arise in which the “larger/donor” agency assesses the capacity of the “smaller/recipient” agency. NGOs and CBOs also should assess – or at least ask questions of – the INGOs and bilateral/multilateral agencies that provide funds and technical assistance. A mutual exploration and selection process is key to building a relationship of transparency and reciprocity [47]. [see Inter-Mediation tool]

## Criteria for partnering

### *Minimum criteria for partnership [1]*

The selection of potential partner organisations should always be based on a thorough analysis of civil society actors/stakeholders in relation to CARE’s strategic priorities. It is expected that new partners are selected according to verifiable criteria in order to make the selection process transparent and credible.

In sum, CARE is seeking evidence that [10]:

**Shared mission** - The potential partner has a similar or complementary mission to CARE’s;

**Complementarity** - The partnership can achieve more toward those missions than either organisation can achieve alone; and

**Mutual respect** - CARE and the potential partner can work in a mutual relationship and together apply partnering principles;

Three key factors affect selection of a partner:

**Institutional commitment:** The leadership of the CARE Country Office and the partner organisation/s must be fully committed to partnership.

**Staff compatibility:** Staff of both organisations must be willing to share decision making, resources, risks, rewards and credit with this partner.

**Similar values:** Both partners must hold similar values including respect, tolerance, fairness and honesty. These values must be reflected in their work styles. Organisational cultures should be comparable [10].

## Preparation for negotiation

Make initial contact with each organisation to understand their working culture, strategy, needs and objectives as well as to assess interest, fit and capacity. Meet with potential partners and determine the role of CARE: partner, facilitator or both? [34] Draft a vision for the partnership but maintain flexibility since it will change with partner input [34].

Partnership should be established only after a thorough process of interaction, exploration, shared understanding between the partners at different levels of organisation over a period of time. This process will include preliminary assessment and dialogue, participatory assessments of the organisation, partnership development workshops, etc. The intensity and depth of interaction, exploration, development of shared understanding and vetting or taking reference will vary according to the duration, scope (local, national and international) and scale of partnership [1].

**Organisational assessment** - To assess the institutional capacity of each potential partner requires an investment of time. But it is a critical step to identifying good partners. CARE and the potential partner can apply one of the many organisational capacity assessments tools; these tools focus on broad organisational issues of governance and leadership, operational capacity, fundraising capacity and relation capacity. Both partners can then assess each other independently and later share that information with each other. We need to exercise due diligence, but even our current sub-agreement policy does not prevent us from partnering with low or high risk organizations as long as we can provide evidence of our assessment and of the measures we are taking to bridge these gaps and build capacity in risk areas.

Conduct an **internal assessment** before entering the negotiations to help understand:

- Benefits, desired objectives, outcomes and risks (shared and for individual organisations): capacity-building; knowledge transfer; money; reputation; positioning; advocacy; core activity delivery and networks
- Anticipated cost and resources available to invest: human, financial and technical resources; contacts; networks; products; services; premises; transport and internal capacity
- Assumptions about the other partners, the programme, time-frames, etc.
- Opportunities and risks: internal as well as for the programme and all the partners [34].

## Numbers

Can depend on context and it is difficult to be too specific. We should not have too many strategic partners, as per definition of partnership, each relationship cannot receive the attention it requires.

## Building –

Partners build their working relationship through agreeing the goals, objectives and core principles that will underpin their partnership

## Enter partnering with eyes open

Partnering is a **complex** business. It takes **time** for partnerships to form, **time** for relationships to build, and **time** to work out how to work together. It takes **commitment** to sustain and grow the partnership beyond the ‘honeymoon’ period. Partnerships can **change** significantly during their life cycle. Managing this requires a **flexibility** of approach in terms of: tasks, roles and skills [31]. Making a partnership effort work successfully means that key people in your organisation need to have an interactive style that minimizes competitiveness and maximizes respect for the other [4].

**Be clear about why?** Only start a relationship if you are clear about why you want it and what you realistically can and cannot put into it. Not achieving a partnership is no failure. As in any other field of life, to be effective the aid system requires a variety of relationships tailored to the actors and their interests, capabilities and purposes. Clarity means honesty about how you can relate. It prevents later accusations of failing to be a partner, with the frustration and loss of credibility that this can engender. In short, do not provide the stick with which you will be beaten [23].

**Create a process for local validation and shared control.** Work against the power asymmetry inherent in aid relationships by establishing joint processes and structures that do produce mutuality and shared control [23].

The challenge is to form robust partnerships efficiently and effectively so that moving from the exploratory phase to programme design, development and implementation is as seamless and speedy as possible without involving compromises in terms of either integrity or sustainability [57].

Once there is mutual agreement between CARE and another organisation to work together, the following actions should be taken in the formation of the partnering relationship:

## Negotiating

The way in which the initial discussions are undertaken will determine how relationships develop, the level of transparency and trust, the power dynamics and the potential success of the partnering. Practice from the start the partnership principles (equity, transparency, mutual benefit, as well as responsibility and complementarity) and establish ground rules for working together, e.g., be transparent about what objectives need to be met for an organisation's participation [34].

**Hold discussions on the fundamental issues of partnership** - A series of discussions, both formal and informal, must be held to enhance knowledge of each other's organisations and reach a consensus on fundamental issues of partnership. This would cover scope of partnership, working principles, codes of conduct, objectives, results, roles and responsibilities, expected benefits, conflict resolution, duration and closure of partnership [see tools annex for examples of discussion guides that can be used].

The key areas that need to be clarified when organisations enter into a partnership are: (i) access to timely and accurate information; (ii) terms of engagement; (iii) the legitimacy of engagement/partnership; and (iv) procedural review and evaluation mechanisms [6].

## Formal arrangements (when needed)

Partners should decide on the appropriate coordinating mechanisms. When the goals are primarily sharing information or coordinating activities, light mechanisms – such as an interagency committee or regular meetings – are sufficient and no formal agreement is required. When the shared goals include resource transfers and joint programme implementation, more elaborate mechanisms – such as a binding agreement in the form of a memorandum of understanding or agreement specifying each agency's rights and responsibilities – are generally needed [47].

**Partnership Agreement or Memorandum of Understanding** - The partner organisations (CARE and others) shall formalise their agreed relationship with a Partnership Agreement or Memorandum of Understanding. This is a written document which specifies the purpose and scope of the partnering relationships, duration of partnership, mutual commitments, responsibilities and obligations, detail of implementation, disclosures, as well as monitoring and evaluation. It also covers relationship issues like personal relationship, communication and culture of negotiation. The partnership agreement is very important for effective partnership [see Annex 2: Tools for examples].

An MOU/Partnership Agreement focuses on the working relationship between the partners. In other words, the MOU guides and regulates how the partnering organisations relate to each other as well as articulating what they want to achieve and how they will reach those goals. In the past, the duration of CARE's MOU was usually linked to project lifespans (e.g., 2-4 years), but CARE is now moving toward much longer duration programmes and will be considering similar durations for strategic partnering relationships [49].

While the format of the MOU/Partnership Agreement should be mutually developed and agreed upon by both parties, CARE will advocate for inclusion of at least the following:

- clear statement of each organisation's responsibilities
- means of ensuring transparency with each other
- regular open communication
- mechanisms to resolve conflict and differences when they emerge
- systems for shared reporting on performance from both organisations, and,
- where funds are involved, mutually accepted financial accountability systems [15].

Partnership agreements should always be approved by the designated authority at least a level higher than the person developing and managing the specific partner or partnership [1]. Generally senior managers sign an agreement authorizing a partnership. Each partner's legal, financial and human resources personnel should

have the opportunity to review the proposed agreement, as necessary [47]. Agreements must be consistent with national law.

Reflect on any informal understandings that have been created.

Trust can sometimes be undermined at this point, especially between INGOs and national NGOs or CBOs. Programme staff may have demonstrated strong interpersonal commitment to the partnership, but if this is contradicted by the imposition of strict organisational requirements and short time frames, cynicism and mistrust are likely to result. Try to achieve consistency and transparency in the relationship [47]. Many INGOs have found that their own organisation's policies and procedures can impact on understandings developed with programme partners. These provisions protect the agency from risk and maintain accountability to the agency's governing body and external donors, and effective partnerships must balance these real needs with the risk sharing that promotes mutual accountability. Although programme support personnel are not commonly involved in programme planning, they are key internal partners in ensuring the success of partnerships [47].

## **Planning –**

Partners plan programme of activities; define any capacity building aims and activities (to/from/with CARE and partners)

## **Build commitment**

When partners come to an understanding of the basis for the relationship (i.e., their shared goals), the institutional representatives need to share this agreed vision with others in their agencies to build a collective commitment [47].

**Productive group interaction:** Use strategies that encourage productive interaction during group meetings. Encourage all members of the group to communicate their problems and comments. For example, you could use facilitators to make your meetings run more efficiently [62].

## **Joint planning**

Successful strategic partnering depends on effective management by both/all organisations. This mutual commitment to performance can be reinforced by partners working together to develop a work plan to manage the alliance [37]. Workshops involving staff from each partner organisation are useful for planning and negotiating. Joint plans are strengthened by the "synergy" that arises from discussion and information sharing [34].

After an agreement in principle (not necessarily a formal agreement) is reached, confirming that partners are willing to work together, partners can initiate a preliminary planning discussion. If there are areas of disagreement at this stage, it should be decided whether they are central and need to be resolved immediately or whether they can be put on hold until a later stage. In the absence of a facilitator, all parties must help the building process and take responsibility for ensuring there is equity, transparency and mutual benefit, and that everyone has an opportunity to contribute and be heard [34].

## **Issues to cover in planning**

Plan for all the stages to come: joint implementation, monitoring and evaluation, and renegotiating or ending the partnership [47].

Key ingredients in developing plans

- A concrete, clear mission combined with quality plans and attainable goals is essential
- Keep focus on the partnership's priorities and reasons for coming together
- Develop short-term goals with high chance of success
- Use open, frequent, predictable communication methods
- Establish fair problem-solving and conflict resolution procedures
- Plan actions that build on the strengths within the partners, community/impact group, and other stakeholders
- Develop actions for change that fit within the community's culture [19].

- Clarify language and terminology (e.g., whether the term 'ownership' refers to branding or responsibility for sustaining outcomes) [34].

### **Capacity building needed for CARE to implement in this area [63]**

- Tools - No tools in place to guide the process; lack data base - Limited information on potential partners
- Skills/knowledge - Strategic thinking; how to review opportunities for partnering presented to us; profile of organisations around the country build a data base
- Infrastructure/resources – talent management; orientation of staff to strategic partnering
- Policy/strategy - Lack of a clear country programme strategy that would guide the process of partnership search; Lack of partnership strategy/policy; No clear communications strategy; Need for alignment with government's development priorities & policies

## ***Managing and maintaining***

### **Managing –**

Partners explore structure and management of their partnership in the medium to long-term

Partnerships frequently find many challenges during this phase; quite often partnering is “learning by doing” [34]. For effective partnerships, having policies and guidelines as well as identifying and selecting the right partners is not enough. Forming and managing the partnership is also very important. Both organisations' staff shall meet their obligations for effective management of the partnership in a timely and qualitative manner [49].

#### **The following features contribute to forming something akin to authentic partnerships [23]**

***Apply the principle of interdependence.*** To be authentic, partnership cannot be an 'add-on'. It must be an intrinsic feature of organisational perspective and behaviour, premised on interdependence with others in a complex, dynamic world. If CARE is the powerful party, and you are not really dependent on the behaviour of your counterpart for your own credibility and viability, you have probably not moved from dependency and patronage.

***Adopt a contextual, systems approach and perspective.*** Do not look at your relationship(s) in isolation from others that you and your counterpart have now and will need to have to be sustainable in the future. Strive for a systemic view of change and the place of your relationship within it.

***Adopt an organisational not project focus.*** Partnership is about gaining a deep organisational relationship, which is not a 'project' or a 'programme'. Look at a programme as a vehicle to explore relationships, not as the basis of them. In doing this, the longer term perspective is to help both parties develop the capability to analyse effectively and address unforeseen problems that will arise in the future, not just in the immediate context - in other words, 'partnership' makes each organisation more agile and adaptive.

***Invest in your own reform.*** Partnership is a two-way, not a one-way process. For donors and stronger partners, it calls for prior investment to set up the internal conditions required to share rather than retain control and to aid the weaker party to become strong enough to move from (inevitable) initial dependency through independence to self-chosen interdependence.

***Employ the achievement of downward accountability as proxy for partnership.*** Increasing the amount of official aid to NGOs brings a relational problem in terms of gaining or retaining 'downward accountability', to those legitimising the organisation's existence. If you cannot demonstrate the ways in which you are held accountable from below for what you do and say, then authentic partnership is unlikely to be present. Downward accountability is a fair proxy for evaluating progress in creating partnering relationships.

## **Making the most of partnership: relationship practices**

**Respect and Mutual Learning** - CARE staff should show that they understand and respect the role that the partner plays in its context. They should treat partner staff as colleagues and equals.

**Trust and Transparency** - To build trust, CARE's words and actions must be consistent with its mission. Decision-making must be entirely transparent.

**Communications** - CARE must communicate openly, clearly and regularly with partners. At the same time, staff must be tactful. It is not just what staff says, but how they say it [10].

### **Resourcing –**

Partners (and other supporters) identify and mobilise cash and non-cash resources; Mutual accountability where there is any transfer or sharing of resources

Map resources and commitments [34]:

- Identify resources needed (skills, logistics, people, facilities, information, distribution, contacts, publicity, money, services, products) – engaging in this activity together ensures a participatory approach and builds the relationship
- Identify how the resources may be sourced firstly within the partnership, then externally if needed – keep an open mind
- Be fair in the distribution of resources, roles and responsibilities, to maintain equity buy-in

**Resourcing** - Partners (and other supporters) identify and mobilise cash and non-cash resources; Mutual accountability where there is any transfer or sharing of resources. Ensure partners keep to their resource commitments and, where necessary, revisit programme needs [34].

**Financial Monitoring** – When CARE is the lead or stronger partner, it must walk a fine line between financial monitoring of any partner—a policing role—and being supportive of its partner for capacity building [10].

### **Implementing -**

The main task of this stage is to put partnership arrangements into operation, including those for decision making, communication, monitoring and evaluation, knowledge management, information sharing and learning. Review the key factors associated with this stage of the partnership: leadership commitment, shared control, mutual trust and joint learning.

Partnership development is a gradual process to be undertaken in piecemeal over short periods albeit, patiently and painstakingly, with a long term perspective. There cannot be quick fixes and results. Thus, in the early days of partnership, great emphasis must be placed on building trust, transparency and strengthening the capacity of the partners. Inevitably, some challenges will be encountered initially and in the long run, which challenges should be tackled swiftly and effectively, without undermining the partner or partnerships [49].

### **Operationalize partnership arrangements.**

- Although senior leaders may have delegated management functions to programme staff, they should continue to demonstrate commitment to the institutional relationship through their words and actions.
- Concerned staff within the partner institutions must have a clear – and shared – understanding of their roles and responsibilities. Workshops or team meetings are useful for building understanding and commitment.
- Set up mechanisms for coordination and communication, e.g., regular meetings, field visits, monitoring and evaluation, etc. Caution, however, that it is common to establish these systems – and fail to employ them out of habit or time constraints. Therefore, it may be helpful to develop flexible mechanisms that will be taken seriously yet not burden staff.
- Consider how the mechanisms promote shared control. How will partners influence decision making? How will information be shared? How will conflicts and problems be addressed?
- Don't overlook assigning responsibilities for monitoring and evaluation [see section on reviewing below].

### **Capacity building for CARE Uganda in order to implement the principles<sup>[63]</sup>**

- Tools - Partner assessment tools; Translation of principles into simple language – & all needed languages needed for easy communication to other partners & impact group
- Skills/knowledge - Mentoring/orientation/training on partnership management; Orientation of all current & new CARE staff on principles; sharing the principles (verbal, written, websites); integrate principles in MoUs (written/verbal)



- Infrastructure - Partnership coordinator & public relations competencies
- Policy/structures/organizational culture - Transform the strategy into CARE-wide policy; Partnerships needs to be negotiated & aligned; mutual monitoring & reporting on implementation of partnerships reflective of shared management; Check other CARE policies to ensure nothing causing conflict or barrier

## *Reviewing and revising*

### **Monitoring and evaluation –**

Measuring and reporting on impact and effectiveness; forward accountability and information sharing

The main tasks are to: 1) establish a joint system for monitoring and evaluation (M&E) and 2) develop a results framework and indicators for both the programme and the institutional relationship. Review the key factors associated with M&E, shared control and joint learning.

### **Establish a joint system for M&E**

- Assess each partner's interest in actively participating in joint M&E. Interest and capacity may well be uneven, so the most interested partner(s) may need to do the lion's share of the work. Experience shows that including partners in M&E builds shared commitment to the relationship.
- Allocate responsibilities for developing a results frameworks and indicators, collecting and analyzing data and reporting results to decision makers for management and planning.
- Balance the requirements of any donor(s) and government agencies with the partners' own requirements. M&E is most effective when it is used by the partners as a tool for achieving *their* goals rather than seen as an external requirement to keep tabs on the program.
- Arrange for community members to take part in M&E processes as much as possible, using established participatory methods.
- Agree on common formats, timing, indicators, etc. Joint approaches to monitoring and evaluation are crucial to building partnerships oriented to achieving strategic outcomes and impacts at scale [47].

### **Develop a results framework and indicators for programme and institutional relationship**

- For program-related (impact) results and indicators, consult CARE's MDI+ indicator guidance (available on the p-shift wiki)
- For partnership-related (process) results and indicators, start by reflecting on your experience of what makes for successful, productive institutional relationships.
- Review the key factors associated with successful partnerships to select guiding principles for identifying results and indicators. It is often difficult to reduce the characteristics of effective partnerships to simple quantifiable indicators, as such, it is important to combine quantitative and qualitative data to enable a holistic assessment.
- Don't overdo it! Develop a clear framework that is easily understood by those who will implement it and manageable considering the time and resources available [47].

### **Reviewing –**

Assessing and reflecting on the partnership: what is the impact of the partnership on partner organisations? Identifying key lessons related to partnering and programmes. Is it time for some partners to leave and / or new partners to join?

The table below shows the aspects that need to be reviewed in partnerships [34]:

ASPECT	WHAT	FOCUS
<b>Programme impacts</b>	Delivery and progress towards objectives	<b>Monitor activities (ongoing):</b> Tracking and performance
	Impact and sustainability of solution /outcome /outputs	<b>Evaluate activities (what was accomplished):</b> Inputs, outputs, outcomes and impact
<b>Partnership relationships &amp; functioning</b>	All partners together evaluate the effectiveness, efficiency and how they work in	<b>Review relationships and operations</b> <ul style="list-style-type: none"> <li>• Decision-making process and governance</li> <li>• Roles and responsibilities</li> </ul>

ASPECT	WHAT	FOCUS
	partnership to achieve the common goals	<ul style="list-style-type: none"> <li>• Communications systems</li> <li>• Working relations and commitment</li> <li>• Financial operations and resources</li> </ul>
<b>Methodology:</b> <b>Using partnership to achieve results</b>	Partners evaluate whether or not the partnership was the best approach for the development goal as well as for themselves as individual organisations	<p><b>Partners reflect on whether benefits outweigh investments</b></p> <p>Assess the value of being in partnership (for partners), such as:</p> <ul style="list-style-type: none"> <li>• Reputation, positioning and credibility</li> <li>• Networks and contacts</li> <li>• Capacity-building, institution building and knowledge transfer</li> <li>• Advocacy</li> <li>• Money and other resources</li> <li>• Core activity delivery</li> </ul> <p>The benefit (added value) for society should also be considered. NB: These benefits should be compared to the resources and transaction costs involved in partnering</p>

**Appraisal and Renewal** - It is important to appraise and renew each alliance/partnership separately and review all of your partnerships together as a portfolio. These processes allow your organisation to maximize the benefits, update operating plans, and incorporate partners' perspectives into long-range organisational planning. During this process, the decision will be made whether to maintain, expand, narrow, or abandon the partnership(s).

Successful strategic partnerships usually grow more successful when both partners commit themselves to appraising the relationship, exploring opportunities, developing innovations, and renewing the partnership periodically. Appraisal provides the opportunity to mark progress, review the purpose statement, the work plan, the milestones, reflect on what each partner is learning about developing an effective alliance, and make further plans. Appraisal is part of the alliance work plan and takes place at intervals appropriate to each alliance [37].

## Revising –

Revising the partnership, programme(s) or initiative(s) in the light of experience

Partnership is like a journey into the distant future, probably broken into shorter periods, and often bound by a signed agreement. Toward the end of the agreed period, it will be time to reflect on what has happened during a given partnership cycle and prepare for an evaluation or assessment. Either side can initiate the discussion at the beginning. The reflection focuses specifically on the partnership performance, areas of improvement and future continuation [49].

Following a review, and in light of experience, decisions should be made regarding: Revisions or changes to the partnership and/or the programme; the continued participation of current partners or the need for new partners; and any other new work to be undertaken as a result of the current achievements and outcomes [34].

## Discuss the future of the partnership

- Don't wait until the last moment. Discuss expectations for the future at the outset, and periodically discuss possible changes.
- Specify when the renegotiation will take place (e.g., one year before the end of the agreement). Allow plenty of time for partners to make alternative arrangements for continuing the activities if necessary.
- Identify who has the authority to make decisions on behalf of partner agencies. Involve the appropriate people in discussions.
- In discussing whether to continue the partnership, ask questions such as: What impact has been achieved? What needs still exist? What resources are available? How well are the partners working together? What new arrangements might improve performance and satisfaction? [47]

## Renegotiate plans and formal agreement or terminate the relationship

- If the partners decide to continue, revisit the terms and conditions in the original agreement.

- Base the next period of partnership on a shared understanding of previous impact, current and future needs and the “fit” of the partnership.
- If the partners decide to end the relationship, try to make it possible for one of the partners or other agencies to continue the programme in order to sustain beneficial results.
- Keep all documentation for future reference (and to maintain institutional memory). A relationship might be re-established at a later time when conditions change [47].

At the point of review and appraisal, partners will need to decide issues around next steps. In all such situations, the partners should discuss next steps together, agree on the way forward and how this will be communicated externally and how experiences and learning will be shared. The main options will be:

**Sustaining** - Continue the work as it is or pursue the partnership but with a re-negotiated focus and scope – refer to the steps described for beginning of the process

**Institutionalizing** - Where necessary, build appropriate structures and mechanisms to ensure longer term commitment and continuity, recognizing that this will change the dynamic of partner collaboration

**Closure** – Most often due to either successful completion of the work or the inability to work together. At this point, it is critical to have clear communication of learning and impact [34].

## *Sustaining and/or moving on*

### **Institutionalising –**

Building appropriate structures and mechanisms for the partnership to ensure longer-term commitment and continuity

Sustaining elements are those actions which maintain the energy, commitment and enthusiasm necessary for the partnership over time. The literature suggests five such elements: Attention to process; communication linkages; explicit decision-making processes; trust and commitment; and credit and recognition.

**Navigating obstacles** - All partnerships encounter obstacles of one type or another during a typical partnering life cycle. Successful partnerships address the challenges different obstacles present robustly rather than ignoring them and simply hoping they will go away. Partnerships may actually flounder if partners fail to address challenges (particularly internal ones) in the mistaken belief that perpetuating a culture of achievement at all costs is the best way to avoid destabilising the partnership. Effective brokering strategies can help partners to feel safe in addressing both internal and external obstacles. Indeed, an early and decisive brokering strategy aimed at dealing with obstacles before they get out of hand, may make all the difference between a partnership that achieves and a partnership that falls short of achieving its sustainable development goals. Obstacles or challenges may come in many different guises and at different levels of seriousness – some of which are directly within the control of the partnership and some of which are to do with the wider context in which the partnership is operating. In the latter situation, the strategy will focus on mitigating impact on the partnership rather than solving the problem, since it is unlikely that the partnership will be in a position to actually change the prevailing external circumstances – at least in the short term, though it may have longer-term impacts and influence [57].

### **Sustaining or Terminating –**

Building sustainability or agreeing an appropriate conclusion

**The Value of a Gradual Transition** - A programme’s impact may not be the only factor guiding partners’ decision whether to continue working together. Each partner’s decision may also be influenced by internal pressures. As mentioned earlier, it is thus essential for partners to communicate with one another about future plans early in the partnership and at appropriate intervals thereafter [47].

#### **How do you know when to end (a partnership)<sup>[63]</sup>**

- Gaps in communication - silence/no participation ‘off the radar’; change in organisation
- Deviation from agreement – change in deliverables; failure to deliver
- Conflict - conflict of interest and values; termination when conflict becomes irreparable
- Concluded - when the task is accomplished; tied to strategic milestones in longer term programme; achieved/arrived to the goal & change in purpose

- Further guidance on strategic exit processes for a partnership are covered in the attached Partnering Guidelines.

### **Need for capacity building for CARE Uganda on this issue<sup>[63]</sup>**

- Tools – partnership assessment tool
- Skills/knowledge – Strategic planning; Proactive monitoring; constructive criticism/supportive feedback
- Infrastructure/resources – Incentives for creativity/ innovations (learning)
- Policy/structures/organizational culture - Public sharing & interaction (joint acknowledgement); Sharing power & decision making; sharing risks; Engaging with strategic partners in each other's strategy planning (e.g., CARE's new LRSP planning – will there be any 'strategic partners' at the table?)

## **Critical linkages**

### ***Policies/strategies of CARE:***

#### **Global:**

The purpose of the 'partnership' framework is to address what recent diagnoses of the aid industry conclude are the critical gaps which accounted in the past for the ineffectiveness of aid. These are identified as: (1) lack of local ownership' of policies and programmes, perceived as the key to good management; (2) inappropriate donor (and INGO) behaviour, including [insufficient] aid co-ordination and the ineffectiveness of conditionality as a surveillance and quality control mechanism and; (3) underlying environment, including the nature of policies, institutions and the political system. Consequently, partnership seeks to address inclusiveness, complementarity, dialogue and shared responsibility as the basis of managing the multiple relationships among stake holders in the aid industry [23].

#### **Partnership principles**

The key elements of CARE USA's partnership principles (from 2002) are: transparency, shared governance, patience, commitment, and flexibility to recognize and adjust to the specific context and dynamic nature of partnership. In more detail, the principles include:

- Weave a fabric of sustainability.
- Acknowledge interdependence.
- Build trust.
- Find shared vision, goals, values and interests.
- Honour the range of resources.
- Generate a culture of mutual support and respect for differences.
- Find opportunities for creative synergy.
- Commit to mutual accountability.
- Address relationship difficulties as they occur.
- See partnering as continuous learning process.

### **CARE International's Programming Principles [13]:**

These principles will guide all what CARE does and are non-negotiable.

Principle 1: Promote Empowerment

***Principle 2: Work with partners***

Principle 3: Ensure accountability and Promote Responsibility

Principle 4: Address Discrimination

Principle 5: Promote the non-violent resolution of conflicts

Principle 6: Seek sustainable results

#### **Definition of a programme:**

A programme is a coherent set of initiatives by CARE and our allies that involves a long term commitment to specific marginalized and vulnerable groups to achieve lasting impact at broad scale on underlying causes of poverty and social injustice. This goes beyond the scope of projects to achieve positive changes in human conditions, in social positions and in the enabling environment.

#### **Programme Characteristics**

1. A clearly defined **goal** for impact on the lives of a specific group, realized at broad scale.

2. A thorough **analysis** of underlying causes of poverty, gender inequality, and social injustice at multiple levels with multiple stakeholders.
3. An explicit **theory of change** that is rigorously tested and adapted to reflect ongoing learning.
4. A **coherent set of initiatives** that enable CARE and our partners to contribute significantly to the transformation articulated in the theory of change.
5. Ability to promote organisational and social learning, to generate **knowledge and evidence** of impact.
6. Contribution to broad movements for social change through our work with and strengthening of partners, networks and alliances.
7. A strategy to leverage and influence the use and allocation of **financial and other resources** within society for maximizing change at a broader scale.
8. **Accountability** systems to internal and external stakeholders that are transparent.

### A Programmatic Approach: The Mind Shift

- It is difficult to shift our mindsets about our work, about what it should be about, and about the scope and scale we need to reach.
- **Projects/initiatives** –are an answer to the question, “What can CARE do?” (even if there are contractual partnerships within the project/initiative). Here we seek to control relationships.
- **Programmes** – when crafted correctly – respond to a different question: “What is the change in society (impact) that we wish to catalyse?” Here we seek to join with others on a collaborative journey.
- A programme is more about CARE articulating a picture and vision of social change – one of course in line with government and MDG strategies – that moves others to join forces with us (and us with them) to achieve something far beyond our sole ability to accomplish. As Diawary says: ‘We are not choosing. It is a negotiation process. How do we give up (our narrow view of) power? How do we work with others on programs that are not just designed by us?’ [22]

### CARE Uganda:

[LRSP and CO mission/vision, PQ&L, IM & K system (to be developed); communication strategy, learning plan, advocacy strategy]

The partnership principles described in this strategy for CARE Uganda will be followed in line with the Programming Principles of CARE International and the core values of CARE Uganda. The concepts are interrelated and are not mutually exclusive [16].

#### CARE Uganda Core Values

CARE Uganda has defined the following core values as its indicators for the culture CARE that needs if it is to succeed in its strategic plan. These are also fundamental core values that CARE will be looking ensure are reflected in its strategic partnering relationships.

**Excellence** - We shall promote learning through organizational systems, M&E and accepting personal challenges.

**Accountability** - We shall continuously challenge ourselves and others to effectively use resources and fulfill agreed-upon roles.

**Respect** - We shall uphold the dignity, value, rights, contributions and potential of every individual.

**Integrity and Transparency** - We shall do our work with honesty & transparency, and accept responsibility for our actions.

### Government of Uganda

[Policies/laws of GoU: Partnership Policy, NGO Act]

The new CSO legislation making it even more critical than ever to work in coalitions and in collaboration with others [13].

## Civil Society Organisations and the GoU Partnership Policy [29]

The Government of Uganda sees civil society organisations as having two key roles: (1) as executing agencies for considerable amounts of development cooperation, and (2) as agents through which citizens can hold Government accountable and promote their interests and rights. The GoU expects that CSOs will:

- i. If undertaking service delivery functions, provide Government with timely information on all such activities;
- ii. Report funding and foreign exchange flows as per statistics and (forthcoming) NGO laws;
- iii. Participate in Policy Coordination Committee (PCC)-donor meetings to present their analysis of Partnership Policy (PP) progress and hold the Government and Development Partners (DPs) to account for implementation;
- iv. Participate in sectoral working groups to maximise mutual learning on best practices in service delivery and sector-level performance monitoring;
- v. Participate in the PP Task Force, to ensure civil society priorities are reflected in the PP implementation agenda.

## Way forward

### *Summary of systemic capacity building needs for CARE to implement partnering<sup>[63]</sup>*

The following content was developed in a participatory way, principally through a one day session devoted to planning for a partnership strategy with the CARE International in Uganda programme team in May, 2011. The content is organised according a systems perspective on capacity building.

### Tools

- No tools currently in place to guide the process; Need partner assessment tools (e.g., Knowledge & information management; Benefit & value addition; communication; resources - cost/funds, skills, information, knowledge; Monitoring & evaluation); Capacity assessment (existing capacity, capacity building activities of partner);
- Need translation of core partnering principles into simple language – & all needed languages needed for easy communication to other partners & impact group
- Lack of a data base; have limited information readily available on potential partners of all kinds, especially strategic partners

### Skills/knowledge

- Strategic thinking – need skills and knowledge building for how to review opportunities for partnering presented to us; how to create a profile of organisations around the country and build a data base
- Partnering principles – need for orientation of all current & new CARE staff on principles; sharing the principles (verbal, written, websites); integrate the principles into all MoUs (written/verbal)
- Partnership management – need orientation/training/mentoring on partnership management; e.g., strategic planning; analysis/assessment skills; negotiating skills; risk analysis reduction / mitigation skills
- M&E for partnering – how to do proactive monitoring; constructive criticism/supportive feedback

### Infrastructure/resources

- Need for orientation of staff to strategic partnering (see above also under skills/knowledge)
- Talent management – need to recognise champions, persons with partnering skills and motivation, people good at negotiating and liaising; good at sharing power and control; need incentives for creativity/innovations (learning)
- Staffing – consider new positions, e.g., partnership coordinator & public relations competencies
- Resources – examine the costs and ways to mobilise the needed resources for good partnering within the shared costs of programmes

## Policy/strategy/structures/organizational culture

- Strategies - Currently lacking an updated partnership strategy/policy relevant to the programme approach; Lack of a clear country programme strategy that would guide the process of partnership search; No clear communications strategy;
- Alignment - Need for alignment with government's development priorities & policies; need for alignment with government and civil society efforts to promote partnering and ensure quality of performance
- Policy – need to transform the partnering strategy into CARE-wide policy; Check other CARE policies to ensure nothing causing conflict or barrier
- Negotiation - Partnerships needs to be negotiated & aligned; mutual monitoring & reporting on implementation of partnerships reflective of shared management;
- Changing attitudes and organisational culture – strategic partnering will require sharing power & decision making (moving away from CARE as the 'expert' to a facilitation and collaborative learning role); sharing risks; and engaging with strategic partners in each other's strategic planning; Public sharing of responsibility and credit/contribution (joint acknowledgement);

## Additional Recommendations

From the RMU - A main lesson in our region in the last three years working on program design has been insufficient attention to stakeholders in depth analysis (as opposed to just mapping / listing stakeholders). I think the partnership strategy must be seen in the context of programs first and foremost and must therefore articulate the different stakeholders roles and contributions to the program (and also the CO portfolio). Investing time in stakeholders analysis is a critical step to formulate the program strategy and identify which relationships and forms of collaborations will be required and which ones are going to be "strategic".

### [needs review and refinement in consultation with CARE Uganda team]

Hire, train and develop staff for skills in holistic context analysis, negotiation, coaching and mentoring, communications, organisational development and conflict resolution. Staff competencies and training must emphasize respect for the knowledge and roles of others and transparency in relationship building.

...

Review practices and processes in Programme, Human Resources, Finance/Administration and External Relations to identify best practices and make changes to align CARE's policies and systems with the requirements for effective partnering, and to recommend issues for donor advocacy. Revise contracting and control procedures for partnerships.

...

Strengthen design processes, information systems, and communications practices to be more inclusive of partners and responsive to their constituents so that information is shared, results are captured and learning is emphasized [53].

Partner capacity requires time and a process approach, with accompaniment to a level of independence and empowerment. A feeling emerged that the staff will need more guidance on the partnership approach and balancing the deadlines and the need to build genuine partner capacity. There is mention of the need to develop clear partnership guidelines. Partners recommend building "*strong partnerships able to work towards undoing the underlying causes of poverty, and building strong alliance of CSOs able to effectively address the underlying causes of poverty*". They recommend that CARE put in place a clear framework as to how it relates with stakeholders [17].

Hence the recommendation to *establish clear principles to guide CARE in the partnership (and the involvement of other partners), notably: understand common and different interests, adopt a flexible approach in design and implementation that accommodates trade-offs, and ensure that agreed strategies are rooted in organisational rather than individuals' perspectives/interests*. This recommendation applies to all types of partnerships but is particularly important for partnerships that lack a strong shared vision [28].

The overarching recommendation must be to *aim for a full partnership of CARE and other organisations based on shared vision, shared decision-making and mutually agreed roles, responsibility and accountability* [28].

Regarding visibility - While working in alliance with partners, CARE staff will be conscious of the need to keep the focus on raising the profile of issues and key actions by rights holders/partners within the public and international spaces created. CARE should not solely use the joint space to raise its own profile at the expense of raising profile of the issues and our partners [1].

### ***Roles and responsibilities for implementing the new Partnering Strategy***

How can this best be done? And, as importantly, who will do it? Who will take the lead in drawing together the partners and help to build and consolidate strong working relationships? Who will ensure that partners agree suitable operating procedures for their partnership? Who will give the partnership itself priority when others are invariably caught up in unrelated tasks? Who will stick with the partnership and help to pull it together if it starts to come apart? Who will assist the partners to hold on to a vision when they risk getting bogged down in navigating major obstacles or simply day-to-day challenges?

Scratch below the surface of any successful partnership and you will invariably find someone (or, indeed, often more than one) who has taken on the role of the partnership's 'broker', even if intuitively and unofficially. Their hard work behind the scenes may not be formally acknowledged and it may not even be obvious, but without it the partnership would have been significantly less successful if, indeed, it had got started at all [57].

### ***Cycle and process for reviewing of the partnering strategy itself***

The partnering strategy should be considered in every annual programme review, with a full scale review/evaluation with every LRSP cycle (i.e., approximately every 5 years). In the annual reviews, there should be a review of the status of all partnerships, e.g., see the tool used for the CARE Ghana APR [XX].



# Results framework

This section provides an outline of important milestones for performance of the partnership strategy. *[draft - for review with CARE team]*

Key task & processes	Expected outputs/milestones	Resources required	Important notes and reflections
<b>Finalising the partnering strategy</b>			
Review draft strategy with staff and partners	<p>Refined document and shared ownership (clear understanding); with a continued focus on strategic partnering within a programme approach</p> <p>Information sharing/dissemination plan for sharing the final document</p>	<p>Senior management of CARE and current / potential partners</p> <p>Staff to read draft strategy; May want a checklist of guiding questions to ensure quality and comprehensiveness in the review. Set dates --- could be joint or in separate workshops OR organised at regional/field office level</p>	<p>Objective of the review - Sharpening the reflections on partnering competence in the office, aims for partnering within the programme approach, and mapping the way ahead in light of other strategies and ambitions</p> <p>Note – this further development process of this strategy as well as the eventual strategy has the potential to strongly influence CARE's partnering work in the whole ECARMU region. As such, it will be appropriate to be sharing the strategy with the RMU, and possibly with other COs to get their feedback.</p> <p>Finalisation – once the strategy has got sufficient input from staff, partners and other stakeholder to be considered 'final', it will be important to have an information sharing strategy – e-copies, hard copies, posting on a web-site, incorporating into the orientation package for new staff, etc., etc.</p>
Selecting and testing tools / templates to be used by the CO	<p>Priority panel of key tools, templates and checklists, linked to a database [that has both tools and tips/experiences of using the tools for continuous organisational learning]</p>	<p>Copies of the tools and templates listed in the suggested tools section of the draft strategy</p> <p>Input from staff (and partners) – possibly by a smaller committee of interested persons, with some allocation of time to actually try out the most promising or needed tools with some partners</p>	<p>Objective of this step is reviewing the tool options, testing or pretesting the promising tools that address the most pressing or urgent issues in partnering, e.g., some of the scoping tools may be very useful in considering potential options for working with others in the next Batwa programme initiative, etc.</p> <p>Also setting up a database and process for continuous learning and improvement of partnering in the office [e.g., restarting the expectation of making comments on partnering in every evaluation, as per the recommendation from the 1998 CARE Uganda partnering strategy]</p>
<b>Partnering 'readiness assessment' (and review/revision of existing partnerships)</b>			
Review of existing partnerships	<p>Organisational partnering 'health check' on current partnering arrangements; with development of key action points to be addressed in the coming year</p> <p>Confirmation on what/which meets expected standards</p> <p>Recommendations for specific partner relationships</p>	<p>Use selected reviewing tools (on CARE and partners) to reflect on status of the partnerships and the collaborative outcomes, relative to the objectives of the partnerships</p>	<p>Apply/test/refine some of the reviewing tools with existing partnerships (with CARE and with the partners) for doing self-assessments and mutual reflections</p> <p>Note – doing this step will hopefully strengthen partnerships, but there is a risk that some poorly performing partnerships will be identified and remedial action or even termination will be needed</p>

Key task & processes	Expected outputs/milestones	Resources required	Important notes and reflections
	Link this to developing a process for on-going annual reviews of partner relationships [clarifying good practice tool/s and process to use annually]		
Capacity / competency assessment for partnering (within CARE) and developing a specific capacity building action plan linked to the AOP (and various IOPs) and the partnering strategy	Systemic and systematic self-assessment (with a broader range of staff and existing/potential partners than was possible in the relatively short period of the strategy development to date), Systemic capacity building plan [more detailed than what is now in the strategy; addressing all four key levels – tools, skills/knowledge, infrastructure/HR, and policy/structures/culture	Tools and checklists for capacity assessment (per the strategy document) Staff time and senior management support for serious reflective sessions that challenge prior thinking and experience with a contract/sub-grant perspective of partnering Plan development may be able to be drafted by a smaller group and then shared for wider response	The assessment and plan should be done from both the bottom up and the top down (as well as laterally with partners), but carried out and presented in a way that will engage senior management support and be feasible [considering all the other tasks in the office]  Note – as per the one day planning workshop, this may entail various investments, and therefore need to be staged carefully, In addition, the organisational cultural changes are not small, and this also means that the process should be carefully planned, with attention to various ways of supporting it and building in appreciation/recognition for positive changes.
<b>Building new partnerships</b>			
Compare CARE Ug capacities and competencies with Programme Strategies to identify partnering priorities, especially at strategic partnering level	Priority list of desired/needed capacities to be sought through new or expanded partnering relationships – linked to programme strategies and theories of change	Completed (or sufficiently advanced) programme designs to be used in this kind of reflection Senior management support for self-critical and strategic reflections	Would be able to use some of the scoping tools for self-assessment; links with the preparatory stages of a stakeholder analysis
Identifying potential new strategic partners	Short listing of potential strategic partners with whom additional exploration would be appropriate	Using scoping and stakeholder analysis tools and strategies to explore opportunities; applying the criteria and principles developed in the partnering strategy document	Will be important to keep core principles of partnering in mind – mutual respect/trust, mutual benefit, equity and transparency; also complementarity and shared goals
Negotiating mutual partnering arrangements	Functional/viable partnering agreements (both 'formal' and 'informal') with at least a minimum number of strategic partners per programme (1-2 ??) and no more than a maximum (3-4 ??) per programme	Will be using some of the relationship building tools, and templates	Developing what are likely to be very long term relationships on a more equitable basis that does not necessarily involve CARE as a funder will be a challenge for staff – and should not be hurried. Will want to be sure that mutual support is there for documentation, knowledge management, information sharing, mutual programmatic accountability, and mutual learning.

# Annexes

## ANNEX 1: Glossary of key concepts for Partnership Strategy support

Term	Definition	Source
<b>Categories of relationships</b>		
<b>Alliance</b>	An arrangement where organisations that share common concerns & have similar goals intentionally synchronize their activities & efforts, & sometimes actually share resources. Alliances tend to be functional & are increasing as NGOs actively seek to complement rather than compete with or duplicate the activities of others. The members may contribute resources & share risks; often associated with social mobilisation, a broad organisational learning agenda, and/or advocacy for social change. Tend to have a well-defined understanding about how they will work together;	3, 21, 50, 52, 56
<b>Coalition</b>	Formal or informal groups or organisations working together towards common ends, engaging in group action or advocacy, normally time limited & with specific social change goals. A specific arrangement or entity where a group of organisations (usually three or more) work together for a defined or explicit goal. Coalitions increase access to resources, & result in an enhanced profile, presence & "leverage". Coalitions often nominate one of the member agencies as a lead (prime or convener) with overall responsibility for facilitating the coalition. Coalitions usually require considerable investment of time & human resources from members but can result in greater strength when voicing shared positions. Partners share information and/or influence policy & strategy.	3, 21, 39, 43, 50
<b>Collaboration (or collaborative)</b>	A general term derived directly from the Latin words for "working together". A process through which parties who see different aspects of a problem can explore constructively their differences & search for (and implement) solutions that go beyond their own limited vision of what is possible. More time is required for collaboration than for cooperation, since activities are shared. Working effectively & cooperatively with others toward shared objectives; establishing & maintaining principle-centered working relationships. The process through which parties who see different aspects of a programme can explore constructively their differences & search for (and implement) solutions that go beyond their own limited vision of what is possible; "Joint work toward a common end". The development of a model of joint planning, joint implementation, & joint evaluation between individuals or organizations all parties working towards a common purpose; To achieve a mutual goal that couldn't be accomplished independently	40, 43, 55, 56, 60,
<b>Collaborative operations</b>	The INGO & NGO share decision-making power over planning & implementation by the NGO with funding & technical support from the INGO.	52
<b>Consortium</b>	An entity created by several organisations, usually for the purpose of increased access to resources. An association of independent organisations usually formed to undertake a specific project that requires skill & resources, which are not fully possessed by any of the participants individually; organisations that operate in collaboration according to formally stated agreement, & in recognition of their enhanced ability to compete for resources as a formal association. Consortia are usually issue-based groupings of three or more organizations which have come together to bring a value-added approach to programs. Each organization has a different role based on what it can contribute to strengthening an assault on the problem.	8, 21, 43
<b>Contracting, contractual partnership</b>	An INGO pays an independent NGO to provide a well-defined package of services under conditions largely established by the INGO. Partners working together to jointly purchase/commission development on an operational basis	52, 39
<b>Cooperation</b>	A process where parties with similar interests plan together, negotiate mutual roles & share resources to achieve joint goals but maintain separate identities. Agreement reached between two organizations whose work together does not progress beyond this level.	56, 60
<b>Coordination</b>	A process of communication, planning, sharing of resources, risks & rewards for purposes of efficiency & effectiveness in achieving the complementary goals of the parties involved. The combination of activities or inputs to achieve the most effective or harmonious results.	56, 60
<b>Dependent franchise</b>	A formally independent NGO functions as a field office of an INGO which undertakes most, if not all, of its direction & functioning.	52
<b>Development allies</b>	In this relationship, two or more organisations agree to co-operate on a mutually agreed agenda, typically for an agreed period of time. They may do this by exchanging information, sharing expertise, or using their respective reputations & contacts in co-ordinated ways. Whilst modest financial transfers may occur, money is not the basis of the relationship.	52
<b>Institutional supporter</b>	Primarily concerned with overall [organisational] effectiveness & viability. Transactions benefit from both what the participant organisations are & what they do. Money as well as information is likely to be transacted but with limited conditionality. Organisational issues that are not directly concerned with the purpose of the organisation – such	52

	as governance & leadership selection – are seldom considered appropriate relational terrain & are unlikely to be included in agreements.	
<b>Joint Venture, joint venture partnership</b>	Two or more organizations come together to design, implement, monitor, evaluate, & manage a programme or a project. Participating organizations pool their resources & roles are determined by strengths that each organization brings to the situation. Partners working together to set up, implement or manage.	8, 39
<b>Lead Agency, Prime</b>	The lead agency is a CSO grantee with one or more CSOs under its direction. Its coverage is usually national or international. The CSOs working under a lead agency are often small CBOs recognised largely through the lead agency. Lead organisation in the consortium; under whose name the proposal is submitted & to whom the donor makes the award; has overall programmatic & financial responsibility for the outcomes.	21, 42
<b>Network, networking</b>	An arrangement where several organisations or institutions share a common interest; the main activity is information sharing. Well-functioning networks usually have an efficient "node" or secretariat. An interconnected system or people or organisations that work collaboratively to increase communication, connections, or to advance development objectives. This is an informal affiliation of institutional and/or individual linkages designed to share information & issues pertinent to their collective interest. The making & using of contacts between individuals or groups, which are useful to all parties in light of their common purpose. These are the loosest form of collaboration as members may be quite dissimilar, the primary function is information sharing. Loosely organised groups of organisations that share some values & ideologies & function primarily on the basis of information exchange;	3, 8, 21, 43, 50, 52, 60
<b>Partner</b>	An organisation from any sector that works in a collaborative arrangement (eg a partnership) with other organisations. Often represented by one individual. All individuals & groups who have actual membership by virtue of joining the partnership. A partner is a stakeholder who is actively involved in partnership activities, on an equal footing with other groups. Partners share central responsibilities for the programme or initiative.	57, 60
<b>Partnership</b>	A relationship that exhibits full mutual support for the identity & all aspects of the work & the well-being of each organisation. It is holistic & comprehensive with no limits – in principle – as to what the relationship would embrace. Usually refers to two individuals or organisations, who share some specific goals, & who commit themselves to work together (or "live together") in a long-term relationship. A cross-sector alliance in which individuals, groups or organisations agree to: work together to fulfil an obligation or undertake a specific task; share the risks as well as the benefits; & review the relationship regularly, revising their agreement as necessary, i.e., to work together in a transparent, equitable & mutually beneficial way. A developmental partnership is a relationship with like-minded development agencies..., based on a shared vision of human society characterised by justice, in which he partners agree to commit resources, share risks as well as benefits in working together towards a sustainable development goal. A partnership is an arrangement where there is: a) Delineation of authority & responsibility among partners. b) Joint investment of resources (such as time, funding, expertise). c) Allocation of risk among partners. d) Mutual or complementary benefits. In a legal sense, a "partnership" means "...to be legally bound by the acts of partners & legally liable for the partnership, on the basis that what one partner does is done as an agent for the other." Partnership denotes a special relationship between equal partners, who enjoy a distinctive bond of trust, a shared analysis of existing conditions in society, & thus in general a common orientation of what needs to be done to construct a more just, equitable, & democratic world. The partnership's rationale is to reinforce each other in order to achieve the best results from the activities undertaken or services offered. Partnering relationships put into practice a set of principles that create trust & mutual accountability. Partnerships are based on shared vision, values, objectives, risk, benefit control, & learning as well as joint contribution of resources. The degree of interdependence is unique to each relationship, depends on context, & evolves over time. Partnership is a way to achieve improved quality of life for more beneficiaries through sustainable service delivery, better responsiveness to local development needs & increased scale & scope of programs. Partnerships facilitate continuous two-way learning. The relationship can be temporary or permanent, informal or structured through contracts or other legal agreements, & can be very limited or quite broad in scope.	3, 5, 8, 10, 20, 21, 42, 43, 44, 50, 52, 57, 60
<b>Partnership unit</b>	A team or department located within an organisation specifically tasked with building & / or developing partnership relationships on the organisation's behalf.	57
<b>Programme supporter</b>	Concentrates on a particular area of work of mutual concern. The focus is often understood in terms of sectors, such as health or education; or a theme such as conflict prevention or human rights. Support could be financial inputs, technical expertise, facilitating access to specialist networks & so on. A programme may correspond to (one of) each organisation's strategic goals.	52
<b>Social Compact</b>	"A jointly prepared, agreed statement of the general principles & shared values which will govern the future development of the relationship between Government & the voluntary & community sector"	50
<b>Social Partnership</b>	Social Partnership is a collaboration among NGOs, the private sector & government to solve community problems in a sustainable way	50
<b>Spin-off NGO</b>	A dependent franchise or INGO field office is expected over time to become organisationally & financially independent of the INGO.	52
<b>Strategic Partnership</b>	Partners working together to set out a specific joint strategy plan, with no specific operational role. Includes those with other actors & organisations that support the organisation in fulfilling its mission. [see also 'development allies' above]	39, 50
<b>Sub-Contract</b>	Two organizations sign a contract for which the sub-contracting organization pays for services provided by the sub-contracted organization. The services provided help the sub-contracting organization to meet its own objectives. As such it is best described as a fee for service relationship. In this relationship, it is then assumed that the	8

	subcontracted organization already possesses some of the necessary qualities & skills to carry out the task for which it has been sub-contracted.	
<b>Stakeholders</b>		
<b>BOO (Beneficiary-Owned Organization)</b>	a new form of partner; An inter-village non-formal organization appropriate for a low level partnership based on indirect service delivery where development & sustainability are not the focus (see CBO).	8
<b>Broker</b>	A person or organisation that acts as an intermediary between, or on behalf of, partners. May be ' <u>external</u> ': Independent third parties contracted by a partner organisation or a partnership to: explore the feasibility of adopting a partnership approach; facilitate negotiations to develop a partnering agreement; maintain or monitor effectiveness of partnerships over time; or build institutional capacity to deliver partnerships. May be ' <u>internal</u> ': Individual from within a partner organisation who prepares their organisation for collaborating in a multi-sector partnership; negotiates their organisation's involvement in a partnership; & / or who plays a key role in managing a partnership.	57
<b>CBO (Community Based Organization)</b>	Non-formal organizations (usually without formal government recognition) created & controlled by the beneficiaries themselves for their own benefit, i.e. the organization target population is resident within the community. Such groups often form federations, associations or regional cooperatives which function to service, support, follow-up or provide political representation. Membership groups can evolve into a subset of support/service NGOs. Support Organizations are usually larger NGOs that have as part of their mission the fostering of smaller groups through training, technical assistance & sometimes small grants.	8 9
<b>Civil Society, civil society organisations (CSOs)</b>	Arenas in which organisations & individuals play intermediary roles between the level of the family on the one hand & the state & the market on the other, but which enjoy a degree of freedom from the state & the market. A term used to include all those organisations & institutions that fill up the gap between the state, the business world, & the household. Parts of civil society are nonprofit or third sector organisationsAn umbrella term that includes all not-for-profit & non-governmental organisations including religious, labour & community-based organisations.	3, 26, 48, 57
<b>Community</b>	The aggregate of persons with common characteristics such as geographic, professional, cultural, racial, religious, or socioeconomic similarities; can be defined by interest in particular problems or outcomes or other common bonds; the areas of action, & the people within the area.	21
<b>Grantee(s)</b>	Grantees are the CSOs that receive grants/programme funds to implement specific activities or provide services in certain technical areas. The grantee includes the lead agency & their partner(s).	42
<b>Impact Group</b>	The specific population group upon which the programme (CARE & its partners) aims to have a positive impact with a long-term commitment to overcome their underlying causes of poverty & social injustice. <i>The scale of the impact on this group is at least at national level.</i> <b>Sub-Impact Group:</b> One of the disaggregated groups that shares the characteristics of the impact group but also has other unique characteristics that differ from those of the impact group as a whole. (See examples in Fig 3). Specific programme initiatives that form part of an overarching programme may need to focus on a subset population.	14
<b>Implementing agency</b>	Reputable, well-qualified & established local, national, and/or international organisations situated in the same area/country, capable of setting up initiatives & establishing a participatory management structure & durable relations with communities; capable of managing financial resources	21
<b>Intermediary</b>	An individual or an organisation whose role is to act as a neutral agent between diverse players who may not be used to working together (e.g., a facilitator, a broker, mediator, moderator). Something that exists between two persons or things, or someone who acts as an agent or mediator between persons or things. An intermediary organization, then, exists between the people with the resources & the organizations needing the resources—namely finances or information.	39, 57
<b>Moderator</b>	An individual assigned to ensure fair play, for example, in a discussion.	57
<b>Stakeholder</b>	Refers to all those linked to a programme or organisation, including shareholders, employees, customers, suppliers & communities in which it operates. Increasingly adopted by partnership initiatives to mean all who are involved with or affected by the activity. One who has a stake or interest in the outcome of the programme or one who is affected by it; could be the sponsor, donor, community, or individual beneficiaries. Those individuals or groups who may affect or be affected by a program. They are recognized for their importance in collaborating or cooperating with the programme but are not "targeted" by activities or initiatives. Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention. All individuals & groups with a stake, or interest, in a particular programme & a commitment to its success. Stakeholders may not all have equal responsibility for the programme but have usually made some financial or resource contribution to it.	14, 21, 50, 57, 60
<b>Target Group</b>	A group of people who are deliberately engaged in a programme as a way for CARE & partners to achieve impact on the intended impact group. While some aspect of their lives may be favorably impacted, it is the "impact group" & its subgroups to whom CARE's commitment is long-term & focused.	14
<b>Processes &amp; characteristics relevant to partnering</b>		
<b>Accountability</b>	The principle of individuals & organisations reporting to a recognized authority & being held responsible for their actions. Accountability is the obligation to answer for the exercise of one's responsibilities. Financial accountability means accounting to sponsors & stakeholders on the efficient & effective use of appropriated resources to achieve programme objectives. Accountability refers to the obligation to demonstrate & take responsibility for the performance in light of agreed expectations, & answers to	5, 21, 33, 41, 57

	question: Who is responsible to whom & for what? Accountability refers to a chain of relationships in which officers are accountable upwards to those that have formal authority over the organisation; downwards (to target groups & beneficiaries but also to other groups & individuals that the organisation might affect directly & indirectly) & inwards (to organisational missions, vision & values). A three level accountability relationship is therefore required in partnerships: accountability of partners to their own stakeholders; accountability of partners to each other & accountability of the partnership to its stakeholders. A defined relationship between at least two actors, expressing their shared values, agenda & commitment to integrity & mutual answerability for an agreed upon set of results.	
<b>Building Commitment</b>	Using appropriate interpersonal styles & techniques to gain acceptance of ideas or plans; modifying one's own behavior to accommodate tasks, situations, & individuals involved.	40
<b>Building Partnerships</b>	Identifying opportunities & establishing effective strategic relationships between one's area & other areas, teams, departments, units, or external organizations to help achieve CARE's objectives	40
<b>Capacity</b>	Is the measure of an NGO's capability to satisfy or influence its stakeholders.	27
<b>Capacity building</b>	Is any support that strengthens an institution's ability to effectively & efficiently design, implement, & evaluate development activities in accordance with its mission. An explicit outside intervention to improve an organization's performance in relation to its mission, context & resources, including support in personnel development, financial systems, strategic planning, management, etc.	8, 9
<b>Comparative Advantage</b>	Comparative advantage refers to the organisational characteristics of CSOs that may provide a service or implement an activity more productively relative to another CSO. For example, a CSO may have a comparative advantage because of experience, access to facilities (transport, equipment), financial base, or human resources. CSOs in partnership are expected to meet & agree on which partner should undertake specific activities based on comparative advantages.	42
<b>Competencies</b>	Are determined by the quality of people (staff) & the way they are organised. Staff quality is determined by their knowledge, skills, motivation & attitudes. Organisational competence comes from how people are focused & enabled to work together. Important factors in making this happen are the identity, mission, vision, systems, structures, etc.	27
<b>Compliance</b>	Partners/organisations acting according to agreed-to & accepted standards; fully meeting the requirements of laws, rules & regulations of the contract; performance according to standards	21
<b>Continuous management improvement process</b>	Applying organisational learning to the financial & programme management of the consortium in order to improve organisational quality & performance; focuses on improving programme outcomes, donor & beneficiary satisfaction through constant & incremental improvements to management processes	21
<b>Due diligence</b>	Investigating the performance of an organisation or person, or the performance of an act with a certain standard of care; the use of agreed-to lenses to analyse financial audits, programme evaluations, & other forms of data collection from local, national & international experts verifying that the individual/organisation can be trusted to deliver on promises.	21
<b>Empowerment</b>	A term referring to a transformation process in which individuals or groups gain power to exercise decision-making. Many development NGOs have the objective to empower the voiceless, the powerless, those who are at the lower strata of the society	48
<b>Enabling environment</b>	The structural environment & value systems that recognize & reinforce mutual rights & obligations. It is made up of interrelated conditions necessary for fostering just societies.	14
<b>Equity</b>	Appreciation of the value of people, groups or sectors understood in terms of their knowledge, skills & reputation, rather than their financial or political power.	57
<b>Excellence (personal work standards)</b>	Setting high standards of performance for self and/or others; assuming responsibility & accountability for successfully completing assignments or tasks; self-imposing standards of excellence rather than having standards imposed; ensuring interactions & transactions are ethical & convey integrity.	40
<b>Facilitating change</b>	Encouraging others to seek & act upon opportunities for different & innovative approaches to addressing problems & opportunities; critically analyzing evolving & fluid situations; facilitating the implementation & acceptance of change within the workplace; actively engaging with resistance to change	40
<b>Financial capacity</b>	Represents available organisational resources & relationships – both internal & external – that enable individual organisations to pursue their missions & fulfil their roles; ability to generate & administer funds; the instruments & mechanisms that structure the relationship between the organisation & funder.	21
<b>Governance</b>	Process for systematic accountability & oversight within & across organisations to ensure ethical practices. Governance refers to the processes & structures through which power & authority are exercised, including decision-making processes, i.e., who participates & how. The planning, influencing & conducting of policies & affairs of an organisation, consortium or project. Governance is concerned with accountability & responsibilities; it describes how the organisation is directed & controlled. In particular, governance is concerned with: a) organisation - the organisational units & structures, groupings, & co-ordinating mechanisms (such as steering groups) established within the organisation & in partnership with external bodies, for the management of change; b) management - the roles & responsibilities established to manage business change	5, 21, 41, 57

	& operational services, & the scope of the power & authority which they exercise; c) policies - the frameworks & boundaries established for making decisions about investment in business change, & the context & constraints within which decisions are taken	
<b>Human Conditions</b>	Aspects of quality of life, well-being, & opportunities. These include the necessary material conditions for a good & healthy life	14
<b>Human dignity</b>	Demonstrating that all human beings possess intrinsic worthiness & deserve unconditional respect, regardless of age, sex, health status, social or ethnic origin, political ideas, sexual orientation, religion, or other visible or invisible characteristics.	21
<b>Institutional strengthening</b>	The provision of training, financial or other support to fortify an institution organizationally, including support in personnel development, financial systems, strategic planning, management, etc. [see also capacity building above]	8
<b>Institutionalising</b>	Formalising a working relationship, including a partnership.	57
<b>Integrity</b>	Maintaining social, ethical, & organizational norms; firmly adhering to codes of conduct & ethical principles inherent to CARE.	40
<b>Learning</b>	Is determined by the way in which an NGO recognises & deals with its own operational experience & analysis of performance in relation to standards & norms which ensure quality & continuous improvement. Ability to learn is strongly related to organisational culture & willingness to take a critical stance towards what it is doing.	27
<b>Licence to operate, legitimacy</b>	The degree to which individuals or organisations have permission (formal or informal) to operate or undertake activities.	57
<b>Management capacity</b>	Represents available organisational systems, structures, & relationships – both internal & external – that enable individual organisations to pursue their missions & fulfil their roles; ability to manage people & processes; instruments & mechanisms that structure relationships between organisation & community & civil society	21
<b>Mapping</b>	The recording of physical features of the earth's surface by geographers; used here to describe a process of recording complex data usually in a scoping exercise or during a brainstorm (see also 'tracking').	57
<b>Mediation</b>	A process that involves working with all parties to address conflict between them & to reach greater understanding & agreement.	57
<b>Mutual benefit</b>	Where involvement or activities are of equal (even if different) value to all those involved.	57
<b>Mutual governance</b>	The INGO & the NGO each have decision-making power, or at least substantial influence, over each other's policies & practices at both the organisational & programme level.	52
<b>Mutual respect</b>	Being treated with consideration & esteem & treating people similarly; having a regard for other peoples' feelings; treating one another with dignity	21
<b>Mutually reinforcing processes</b>	System that allows challenges to be comprehensively addressed in a framework of interlocking responses to address a consortium concern or problem, a means of operating in which one aspect of an organisation's functions are supported & reinforced by another	21
<b>Negotiation</b>	A process of arriving at an agreement where the different interests of those involved are addressed & satisfied – at least enough to proceed. Effectively exploring alternatives & positions to reach outcomes that gain the support & acceptance of all parties, & builds collective support or agreement.	40, 57
<b>Non-negotiable organisational value or policy statements</b>	Positions of a member organisation that are fundamental to their identity & cannot be changed to accommodate the consortium's roles, processes or structure; values, legal, or policy issues that an organisation or consortium determines to be of such significance to the consortium or consortium members that these issues should be addressed prior to the other issues	21
<b>Organisational capacity</b>	The ability of an organisation to undertake their work; to achieve their missions, bring their visions to life, & fulfil their roles; influence public policy; & deliver programmes, services, & activities	21
<b>Organisational development</b>	Is the long-term process of improving the performance & effectiveness of human organisations to better meet their goals. This may involve incorporating new structures, systems, policies, capacities, tools & business practices, among other changes.	21
<b>Organisational learning</b>	Is the application & institutionalisation of learning that comes out of organisational experiences; reflecting an organisation's continuous quest to do business more efficiently & effectively toward greater impact on the organisation's strategic objectives	21
<b>Programme Strengthening</b>	The provision of services to fortify an institutions programme & technical interventions including training or other support in technical issues, M & E, appropriate targeting of populations, improving programme design & evaluation, building & designing databases, etc.	8
<b>Quality, Quality improvement</b>	A degree of excellence. Approaches to quality should cover all customers/donors/providers, both internal & external. The process of developing a quality improvement plan, linked to an organisation's strategy, goals, & objectives, in order to improve or increase the effectiveness of a programme.	21, 39
<b>Respect</b>	Behaves in a manner that reflects a true belief in & appreciation for the dignity & potential of all human beings. Gaining other people's confidence & setting an environment of trust & openness.	40
<b>Risk</b>	The cumulative effect of the chances of uncertain occurrences, which will adversely affect programme objectives; the degree of exposure to negative events & their	21

	probably consequences.	
<b>Risk assessment, risk management</b>	Examination of potential for pitfalls or negative impact prior to undertaking an activity. Determining probability, impact, & materiality of an event happening. Objective is to limit or minimize damage & liability. Risk management assessment / analysis includes identification of potential perils, factors & types of risks, including financial risks, to which programme assets, activities & interests are exposed. There is a need to assess & analyse the risks identified, select safe options, & design & implement cost-effective prevention & control measures. Identify the risks & opportunities that can affect achievement of the objectives. Risk management is the process used by an organisation to: a) Assess the likelihood & probability of the risks actually happening & the impact on the organisation or business unit if they do; b) Decide what to do about the risks (how to treat them); c) Measure the effectiveness of the treatment options implemented.	5, 41, 57
<b>Scoping</b>	The early exploration of an idea, partnership or programme by looking at data from a wide range of sources.	57
<b>Shared (or distributed) governance &amp; accountability</b>	Distributed governance & accountability occurs when the processes & structures for the exercise of power are distributed & the obligations to demonstrate & take responsibility for performance in the areas of policy, programme design or programme delivery are delegated or shared.	5
<b>Social change</b>	Is a long-term, value-driven & participatory process; aiming to move societies towards justice, solidarity, & peace; strategies that target attitudes, behaviours, relationships, systems & structures.	21
<b>Social Positions</b>	Peoples' position in society & their ability to live in dignity. The dynamics & characteristics of marginalization, exclusion, inequality, & powerlessness.	14
<b>Strategic Decision Making</b>	Establishing & supporting a course of action to achieve CARE's long-range objectives or vision after developing alternatives based on logical assumptions, contextual & systems analysis, available resources, constraints, & organizational values.	40
<b>Sustainability, Durability, Sustainable development</b>	The continuation of benefits from a programme or an intervention after assistance has been terminated. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time. Where activities of today do not compromise the health & wellbeing of people or the environment in future. Also used to mean activities that have a way of being resourced that is not dependent on external funding interventions.	11, 50, 57
<b>Synergy</b>	The increased effectiveness or greater achievement that results from combined action & collaboration. (1+1 = 3)	60
<b>Team building</b>	Using appropriate methods & a flexible interpersonal style to help build a cohesive team; facilitating the completion of team objectives	40
<b>Technical Assistance (TA)</b>	Discrete activities & assistance provided to meet specific technical needs. Within CARE this has traditionally been directed towards projects / programs as opposed to organizations. TA might include: training in a variety of sectoral areas, developing a monitoring system, providing systems in administration, marketing & finance, conducting an evaluation & conducting studies to inform projects or organizations.	8
<b>Technical capacity</b>	The ability of consortium members to furnish the technical expertise appropriate to programme requirements; the ability of programme personnel to implement the requisite technical knowledge.	21
<b>Transaction costs</b>	The real cost (in terms of commitment, reputation & time as well as cash) involved in putting together a partnership or proposal (enabling those involved to assess whether the return is worth the investment).	57
<b>Trust</b>	Reliance or certainty in a person or organisation based on experience, believing in the honesty & reliability of others; confidence in a person or a plan	21
<b>Values</b>	Beliefs, standards. Core beliefs of a person, social group or organisation; in which they have an emotional investment; general guiding principles that are to govern all activities; provide a basis for action & communicate expectations for participation	21, 39
<b>Tools</b>		
<b>Accountability Framework</b>	Defines the nature & scope of responsibilities, identification of key results, performance expectations, & the monitoring & reporting strategies. These are often developed in collaboration with partners.	5
<b>Communication protocol</b>	A set of suggestions, regulations, or rules that governs how information is to be exchanged between members of the consortium, based on hierarchy, information needs or other identified criteria.	21
<b>Contract</b>	A financial agreement between an institution & a funding agency to provide development or relief services which meet the objectives of a project.	8
<b>Cooperative Agreement</b>	Two or more autonomous organizations join together in a partnership to achieve common objectives, jointly defining the problem to be solved & deciding how it will be solved. CARE & the partners are "co-owners" of the agenda, & thus the effort. Success is measured by degree to which CARE & partners achieved shared objectives. Note that "agreement" takes on a legal meaning when applied to collaborative relationships with other organizations, i.e., agreements are legally binding.	5, 8
<b>Decision-making protocol</b>	Normally includes arriving at a common understanding of an issue & potential solutions. Achieving clarity on decision-making & who will make the decisions, & the establishing of a schedule for resolving the issue or making decisions	21



<b>Exit strategy</b>	A description widely used by donor agencies, corporations & international agencies to describe a planned phasing-out of their support or involvement.	57
<b>Letter of intent</b>	A document that outlines early intentions to collaborate & creates a foundation for building a partnering relationship.	57
<b>Memorandum of Understanding (MoU), Partnering agreement</b>	A document summarising the terms of a relationship & formalising a commitment by all parties to collaboration signed by all parties. This document is likely to be considered as legally binding even if it not an actual contract. A document reflecting mutual understanding of the parties about why each has entered into the consortium, expectations, & how the parties will engage one another, developed through a process of discussion & negotiation. A document outlining: the objectives of a partnership; detailing planned activities; resource commitments; as well as roles, responsibilities & decision-making procedures.	21, 57
<b>Operations manual</b>	Outlines systems, structures, & strategies to be used in managing the consortium; accounts for the development of operational procedures so that they can be passed on to subsequent programme staff; contains critical organisational information & step-by-step instructions for key operations & procedures	21
<b>Organisational assessment</b>	A process to measure the capacity of an organisation (e.g., structure, resources & staffing) to carry out a proposed programme	21
<b>Scope</b>	The bounded set of verifiable end products or outputs which the programme team undertakes to provide to the sponsor. The required set of results or products with specified physical or functional characteristics.	21
<b>Terms of Reference</b>	The Terms of reference abbreviated to TOR sets specific boundaries & roles within which the partnership can deliver its objectives.	41
<b>DM&amp;E terminology</b>		
<b>Baseline Study</b>	An analysis of the situation prior to a development <i>[or relief]</i> intervention, against which progress can be assessed or comparisons made. In contrast to a diagnostic needs assessment, which provides general information on conditions leading to choices in programme design, a Baseline study measures indicators of the “starting point” of intended outcomes & impact with the same methodology & level of rigor as intended for the final evaluation, for accurate “before-and-after” comparisons.	11
<b>Best practices</b>	The processes, practices, & systems identified in public & private organisations that performed exceptionally well & are widely recognised as improving an organisation's performance & efficiency in specific areas. Successfully identifying & applying best practices can reduce business expenses & improve organisational efficiency in consortium or organisations.	21
<b>Breakthroughs</b>	A change affecting the impact group on the pathway of change that signifies, with a high level of confidence about a point of no return. In its greatest magnitude, it is a structural or systemic change; on a smaller scale, it manifests as a precedent (something that happens for the first), an opportunity that makes change possible for others in the impact group. Breakthroughs should not be limited only to those changes that CARE can do.	14
<b>Domains of Change</b>	Areas in which change is <i>essential</i> to achieving an impact goal. Domains of change are identified based on the underlying causes identified as part of the statement of the current situation (element 1 above).	14
<b>Effective, effectiveness</b>	Producing or capable of producing an intended result or having a striking effect; able to accomplish a purpose, meeting or exceeding programme financial or managerial requirements. The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. “Effectiveness” is also used as an aggregate measure of (or judgment about) the merit or worth of an activity, that is, the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion & with a positive institutional development impact. [CARE]	11, 21, 50
<b>Effects</b>	Intended or unintended changes due directly or indirectly to an intervention. Related terms: results, outcome. At CARE, effects are defined as changes in knowledge, attitude or practices on the part of persons or institutions influenced by CARE's interventions.	11
<b>Efficiency, efficient</b>	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results. Being effective without wasting time, effort, or expense; able to accomplish a purpose; functioning effectively; producing the desired result with the least waste; a process that produces the required product or service at the lowest cost.	21, 50
<b>Evaluation</b>	a systematic inquiry to inform decision-making, judgements & learning. Systematic implies that the evaluation is a thoughtful process of asking critical questions, collecting appropriate information, & then analyzing & interpreting the information for a specific use & purpose. The aim is to determine the appropriateness & fulfilment of objectives, development efficiency, effectiveness, impact & sustainability. A periodic, systematic assessment of a project's relevance, efficiency, effectiveness, & impact on a defined population; draws from data collected during monitoring as well as data from additional surveys or studies to assess programme achievements against set objectives. Evaluation also refers to the process of determining the worth or significance of an activity, policy or programme – an assessment, as systematic & objective as possible, of a planned, ongoing, or completed development intervention.	11, 21, 50, 56
<b>Goal</b>	The higher-order objective to which an intervention is intended to contribute. A term for the longer-term, wider, development change in people's lives or livelihoods to which the programme will contribute. CARE has two levels of goals: a) Programme Goal — A higher-order goal; & b) Project (programme initiative) Goal. A project/programme initiative final goal should be “significant, yet achievable & measurable” (and make a plausible contribution to a higher programme goal).	11, 21, 39, 50

<b>Impacts</b>	Long-term & sustainable social change that occurs at systemic & structural levels & addresses underlying causes of poverty for a specified group of marginalized & vulnerable people. The ultimate social, economic and/or environmental effects or consequences of the collaborative. Impacts tend to be more comprehensive & longer-term achievements. They may be positive, negative and/or neutral. A 10-15 year ambition, & specifies the kind of enduring impact we would like to see achieved in the lives of the impact population group, at broad scale, which means as broad as the definition of the impact group itself. An impact goal should be framed in terms of the desired change, such as women's improved access to & control over assets, & their greater equality in various forms of decision forums, as well as the reshaping of institutions so that women's voice is represented equitably. Positive & negative, primary & secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. CARE defines impact as "equitable & durable improvements in human wellbeing & social justice."	11, 14, 56
<b>Indicator</b>	An expression of what is/will be measured or described; evidence which signals achievements, what you wish to measure. Answers the question, "how will I know it?" An indicator is a specific quantitative and/or qualitative measurement for each aspect of performance (output or outcome) under consideration. Quantitative or qualitative factor or variable that provides a simple & reliable means to measure achievement, results, & to reflect processes as well as changes in the context. There should be indicators at all levels, including those that measure progress of activities, outputs, outcomes, & impact, & even assumptions about external factors.	5, 11, 56
<b>Information Monitoring</b>	Setting up ongoing procedures to collect, review, & synthesize information needed to manage a function, or the work within a function	40
<b>Inputs</b>	Resources, including staff, time, materials, money, equipment, facilities, volunteer time, etc. that go into a collaborative or its programmes. Resources include investments made by an organization, the community, governmental unit, staff, volunteers, collaborative members, and/or participants.	50, 56
<b>Lessons learned</b>	B based on experiences with projects, programs, or policies, these are evaluative generalizations that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, & implementation that affect performance, outcome, & impact. CI Evaluation Policy calls for evaluation reports to include a section on lessons learned that are addressed to others (beyond the project level) to influence future programme design or strategies.	11
<b>Mission</b>	Brief statement of the purpose of an organisation; a clear & succinct representation of the enterprise's purpose for existence.	21
<b>Monitoring</b>	A continuing function that uses systematic collection of data on specified indicators to provide management & stakeholders with indications of the extent of progress & achievement of objectives & progress in the use of allocated funds. CARE includes relief as an intervention. It also specifies that progress should also be indicated for activities & results generated by the use of allocated funds. The process of ensuring people are complying with their commitments.	11, 57
<b>Objectives</b>	The intended physical, financial, institutional, social, environmental or other development results which a programme or initiative is expected to contribute to & which lies in its own sphere of influence. CARE projects may have several objectives. Objectives should be specific, achievable, & measurable. It should contribute to the achievement of the programme final goal.	11
<b>Objectives hierarchy</b>	The vertical arrangement of different levels of objective statements in a results framework & log frame; one objective level is seen as the means to achieving the end which is the next higher level objective.	21
<b>Outcomes</b>	The likely or achieved short-term & medium-term effects of an intervention's outputs. Related terms: result, effect, impacts. The results (often intangible) of an event or activity. The end results; the effects of the collaborative effort. Outcomes answer the question "so what?" what difference has the collaborative made in people's lives? Whose lives? Outcomes may be intended or unintended; positive & negative. Outcomes fall along a continuum from immediate to intermediate to final outcomes, often synonymous with impact. An outcome is an event, occurrence, or condition that is outside the activity or programme itself & has an actual effect on, or is of benefit to, the impact group. A medium-term outcome is expected to lead to a desired end but is not an end in itself. A long-term outcome is the end result that is sought. A programme may have multiple outcomes for each of the different timeframes. It is important to distinguish between outcomes & outputs.	5, 11, 41, 56, 57
<b>Outputs</b>	The tangible products of an event or activity. sector; private sector or civil society. what comes out of a collaborative or its programmes. The activities, events, services, relationships, products generated by the collaborative. Outputs are operational results over which an organization has control. The products, capital goods & services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes. At CARE, outputs are the highest level of the results hierarchy over which programme implementers have direct control.	5, 11, 56, 57
<b>Pathways</b>	A pathway of change is a map that illustrates the series of major breakthroughs & related incremental changes that are needed within a domain of change in order to reach the desired long-term goal. Pathways to change depict what needs to happen in society in order for the desired long-term change to come about.	14
<b>Performance Measurement, performance evaluation</b>	Frequent feedback to staff from managers, or from prime to sub-contractors, in a supportive way that ensures a common understanding of the job, enhances performance & retains staff. Means regular measurement of the results (outputs/outcomes) & efficiency of services or programs. Is the approach used by an organization to demonstrate the extent to which performance expectations have been met. The accomplishments are supported by performance evidence, such as evaluation & audit findings.	5, 21
<b>Performance</b>	Performance management is being clear about setting priorities, establishing proper measures, agreeing specific actions, implementing them & then reviewing the outcome.	41

<b>Management</b>	This means defining: a) what we want to do; b) how we intend to do it; c) how well are we doing; d) what we should do next. Plan - based on current performance, prioritise what needs to be done, identify actions that need to be taken & plan for improvement using appropriate measures & targets. Do - make sure the proper systems & processes are in place to support improvement, take appropriate action, manage risk & help people to achieve better performance. Review - understand the impact of our actions, review performance, speak to users & stakeholders about their experience of performance. Revise - use the lessons learned from the review to change what we do so that future actions are more efficient & effective.	
<b>Programme Evaluation</b>	Evaluation of a set of interventions, marshalled to attain specific global, regional, country, or sector development objectives. Note:	11
<b>Programme Quality</b>	Is a measurable impact that results in lasting & meaningful change in the lives of individuals, communities, & populations. We achieve this by contributing to broad initiatives that improve social positions, human conditions, & enabling environments.	11
<b>Programme</b>	A coherent set of initiatives by CARE & our allies that involves a long-term commitment to specific marginalized & vulnerable groups to achieve lasting impact at broad scale on underlying causes of poverty & social injustice. This goes beyond the scope of projects to achieve positive changes in human conditions, in social positions & in enabling environment. A "programme" revolves around a specific poverty-affected population group. So, a departmental unit, regional unit, Country Office, Care International member, or even the global organization may have a programme if it has defined its population group based on an underlying cause analysis.	11, 14
<b>Programme initiative, project</b>	A programme initiative goes beyond the scope of a project to achieve positive changes in human conditions, in social positions, & in the enabling environment. A project is a unique venture with a beginning & an end; undertaken by people to meet established goals within defined constraints of time, resources & quality	11, 21
<b>Results</b>	Generally measured as outputs or outcomes (see above for the definition of each). The output, outcome, or impact of a programme or project. These terms are inter-related & synonymous; these terms are considered by various persons & agencies.	5, 11
<b>Results framework</b>	An organogram that gives a snapshot of the top three levels of a project's objectives hierarchy in a way that makes it simple to understand the overarching thrust of the project. The programme logic that explains how the development objective is to be achieved, including causal relationships & underlying assumptions. Related terms: results chain, logical framework. At CARE, a programme design is based on an implied or articulated logic model or hypothesis called a Log Frame (or a theory of change logic model). An evaluation assesses how well that model or cause-effect chain actually worked in practice.	11, 21
<b>Review</b>	An assessment of how things are going. In this context used to describe the process of reflecting on the effectiveness, efficiency & value of the partnership.	57
<b>Strategic objectives</b>	The central purpose of the programme described as the noticeable or significant benefits that are actually achieved & enjoyed by impact & target groups by the end of the programme	21
<b>Sustainable outcomes</b>	Where the activities & outcomes are sustained in the long term (eg in this context irrespective of the partnership's own continuation).	57
<b>Targets</b>	Targets are the focus of short-term measures taken to achieve long-term goals.	39
<b>Theory of Change</b>	Generically, a set of hypotheses (if-then statements) & critical assumptions & risks underpinning the design for how the programme goal will be achieved. In the context of a program, this generic definition is represented by the pathways of change which (a) flow from domains of change & (b) are marked by breakthroughs	14
<b>Tracking</b>	A way of observing partnership activity over time to be able to chart progress or patterns of behaviour or activity that may be useful in the future.	57
<b>Value for Money</b>	Value for money (VfM) is defined as 'the optimum combination of whole-life costs & benefits to meet the customers' requirements'. VfM is an assessment of whether or not an organisation has obtained the maximum benefit from goods & services it both acquires & provides, within available resources. It is not just the cost of goods & services, but also takes account of the balance of quality, cost, timeliness & convenience to assess whether good value is achieved.	41
<b>Vision</b>	Concepts, hopes; why an organization wants to do something.	39

## ***ANNEX 2: Tools for partnering***

The tools have been organised according to the following clusters of stages and tasks, based on the work of Ros Tennyson and the IBLF [70]

### **Stage 1: Scoping and building**

- a) Scoping - Understanding the challenge; gathering information; consulting with stakeholders and with potential external resource providers; building a vision of / for the partnering relationships
- b) Identifying - Identifying potential partners and - if suitable - securing their involvement; motivating them and encouraging them to work together
- c) Building - Partners build their working relationship through agreeing the goals, objectives and core principles that will underpin their partnership
- d) Planning - Partners plan programme of activities and begin to outline a coherent project; define capacity building aims and activities (to/from/with CARE and partners)

### **Stage 2: Managing and maintaining**

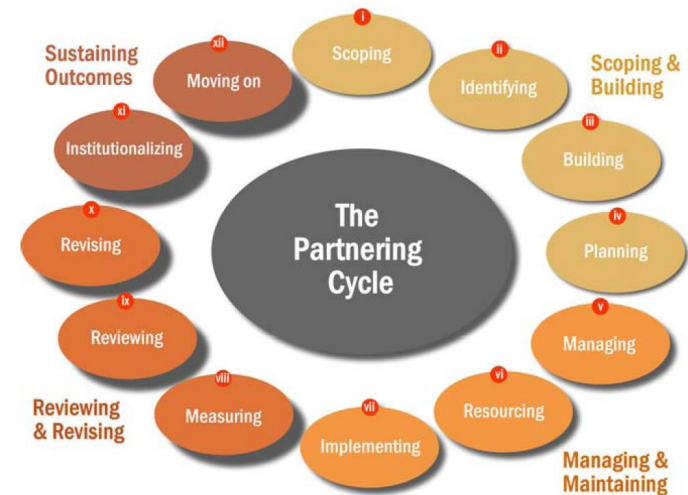
- a) Managing - Partners explore structure and management of their partnership medium to long-term
- b) Resourcing - Partners (and other supporters) identify and mobilise cash and non-cash resources; Mutual accountability where there is any transfer or sharing of resources
- c) Implementing - Once resources are in place and programme details agreed, the implementation process starts - working to a pre-agreed timetable and (ideally) to specific deliverables; handling KM and information/knowledge sharing and learning

### **Stage 3: Reviewing and revising**

- a) Measuring - Measuring and reporting on impact and effectiveness - outputs and outcomes. Is the partnership achieving its goals? Forward accountability and information sharing
- b) Reviewing – Assessing and reflecting on the partnership: what is the impact of the partnership on partner organisations? Identifying key lessons related to partnering and programmes. Is it time for some partners to leave and / or new partners to join?
- c) Revising - Revising the partnership, programme(s) or project(s) in the light of experience

### **Stage 4: Sustaining and/or moving on**

- a) Institutionalising - Building appropriate structures and mechanisms for the partnership to ensure longer-term commitment and continuity
- b) Sustaining or Terminating - Building sustainability or agreeing an appropriate conclusion



Name of tool	Purpose	Citation & file name
<b>Stage 1a) Scoping</b>		
Analysis & management of risks	This tool poses key questions to enable discussion on potential risks, their probability & severity; aiming for exchange & debate between concerned persons. The numbers may serve as indicators, but they are never the objective themselves.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
Determining Strategic Fit & Value	Partners' strategic fit is their compatibility & ability to develop mutually beneficial projects. Start with a collaboration assessment to determine the strengths you bring to the table, the challenges you will need to divulge, & clarifying the intent of a collaboration, will provide a strong basis for deciding whether the time needed to pursue a collaboration will truly benefit your organization.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Forming a partnership: quick start up list	Many efforts at partnering hurry for impact & results, & don't establish the right environment for the partners to work well together. This process involves regular communication, creating a culture of trust & respect, & encouraging the active participation of all the partners. At the beginning, start with small & achievable tasks.	Frearson, A. (2002) Partnership Self-Assessment Toolkit. East Leeds Primary Care Trust. <i>Anna Frearson Partnership Self Assessment Tool.pdf</i>
Organization Collaboration Inventory	Developing a comprehensive inventory or "portfolio" of all relationships your organisation has with other entities can be useful to assess the entire picture of collaboration occurring within your agency.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Organizational Asset Inventory	To prepare for effective alliances, you must identify assets & capabilities your organisation can bring to the alliance. By identifying your assets you can also identify your deficiencies & identify what & how partnerships could strengthen your position.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Portfolio analysis	Evaluation of (programmes) projects, activities, partners, stakeholders; Brainstorm & establish a list of your programmes / projects, partner organisations or important stakeholders with your team. Discuss & classify them according to pre-set criteria.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
Power Mapping	A power map shows the stakeholders who can support a project, those who are neutral & those who can actively oppose a programme/project or an action.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
principle 1: recognise & accept need for partnership	This principle is concerned with two main factors: the extent to which there is a partnership history & the extent to which there is a recognition of the need to work in partnership. Without understanding these factors, genuine partnership working will be very unlikely to develop.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Risks & Rewards of Collaboration	Brainstorming & discussing the risks & rewards before entering a collaborative venture can be useful in assessing strategic fit. It is important to do an informal cost-benefit analysis to determine whether the rewards outweigh the risks.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Stage 1.1) organizational self-assessment	Identify internal reasons for choosing a collaborative strategy & assess the conditions for partnership vs. another form of relationship.	SCF (2002) Partnership Resource Book Volume I. <i>Vol 1-Resource Book and Bibliography.rtf</i>
Stage 1.2) Scan the environment	Identify stakeholders that are potential partners. Assess the environment objectively with respect to your program goals.	SCF (2002) Partnership Resource Book Volume I. <i>Vol 1-Resource Book and Bibliography.rtf</i>
Stakeholder Mapping	Participants assess all stakeholders' level of influence & type of attitudes, & then place them in an analytical matrix.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
<b>Stage 1b) Identifying</b>		
Inventory, ranking & classification of stakeholders	Identifying stakeholders, criteria for ranking, & then analytically ranking; gives examples of criteria	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
NGO Quality Assurance Certification Mechanism (QuAM)	The NGO Quality Assurance Mechanism (QuAM) initiative is a self-assessment initiative developed by NGOs & for NGOs. It aims to enhance the credibility & effectiveness of NGOs & contribute to the overall improvement in the public legitimacy of the sector.	NGO QuAM working group (2011) The NGO Quality Assurance Certification Mechanism (QuAM). DENIVA & NGO Forum. <i>QUAM Assessment for booklet.pdf</i>
Partner information sheet	A template for a partner profile sheet	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
Preparing to Work Together	Meet with all of the members & establish clear, mutual expectations about the alliance's purpose & fit. Written agreements are recommended.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Stage 1: Planning for the partnership & selecting partners	The four main tasks in this stage are to: 1) identify the agency's reasons for wanting to implement programs through partners, 2) scan the environment to identify opportunities, 3) select potential partners & 4) begin joint planning.	SCF (2002) Partnership Resource Book Volume I. <i>Vol 1-Resource Book and Bibliography.rtf</i>

Name of tool	Purpose	Citation & file name
Tool 1: Assessing Partnership Readiness	Organizations should engage in rigorous critical & strategic thinking before agreeing to join a collaborative venture. The human & financial resources of an organization must be carefully focused to achieve the purpose & goals of that organization. Whether or not to join an alliance is often a difficult decision to make.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Tool 1: Partner assessment form	A 'prompter' enabling those creating a partnership to ask systematic questions of any potential partner to ensure a good fit with the goals / needs of the partnership. Use this tool as a starting point to explore a potential relationship by providing a basis for frank discussions with the key players involved at both senior & operational levels. It is designed to raise appropriate questions - not to provide definitive 'screening'.	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 2: Coherence assessment questionnaire	This tool enables mutual exploration & comparison of: individual leader's intentions, attitudes commitments, & behaviours; Partnership's mindsets, values & norms, & structures, systems & strategies	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 2: Identifying Promising Partners	The most effective partnerships are those that have brought together the best set of partner organizations & people. It is important to identify what types of partner organizations would best complement one another to address the challenges at hand.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
<b>Stage 1c) Building</b>		
Defining the basis of the negotiation	Negotiation is fundamental to partnering; have to establish terms of a fruitful collaboration for both stakeholders, in which each side is respected. Is important to know what is & is not negotiable (e.g., ethical values or constraints related to financial or legal obligations). Each stakeholder has own strategies; be prepared to take time needed to negotiate. Balance is important; Too much non-negotiable would mean a position of superiority, too much concession would cause imbalance in the opposite sense.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
Developing a Written Agreement	A written agreement is a document that formalizes a group's commitment to collaborate. A strong written agreement describes the team's shared vision & goals, as well as how the team will act to achieve them.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAFE Collaboration Toolkit.pdf</i>
Forming a partnership: Sample Partnership Agreement	It is a good idea to formally constitute the partnership through signed letters of agreement from each partner organisation or other formal agreements. This is a sample partnership agreement.	Frearson, A. (2002) Partnership Self-Assessment Toolkit. East Leeds Primary Care Trust. <i>Anna Frearson Partnership Self Assessment Tool.pdf</i>
Principle 2 – Develop Clarity & Realism of Purpose	This stage of the assessment assumes that there is a consensus amongst partners on the desirability & importance of joint working. This second principle is concerned with two broad initial areas of 'scoping'. First, considering whether the partners have sufficient common ground to work together, both in terms of a broad set of shared understandings as well as more specific aims & objectives. Second, ensuring that the aims & objectives of the partnership are realistic.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODP. <i>AssessingStrategicPartnership.pdf</i>
Principle 3 – Ensure Commitment & Ownership	Partnership working cannot be guaranteed to be characterised by either spontaneous growth or self-perpetuation, therefore the understandings & agreements developed through the first two principles will need to be supported & reinforced. This Principle is concerned with the ways in which this can be done. It is concerned with ensuring that across the partners there is a widespread commitment to, & ownership of, partnership working; and, especially, a sufficiently senior commitment.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODP. <i>AssessingStrategicPartnership.pdf</i>
Principle 4 – Develop & Maintain Trust	This is simultaneously the most self-evident & most elusive of the principles which underpin successful partnership working. Although joint working is possible with little trust amongst those involved, the development & maintenance of trust is the basis for the closest, most enduring & most successful partnerships. At whatever level – organisational, professional, individual – the more trust there is the better will be the chances for healthy partnership. Trust is, of course, hard won & easily lost.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODP. <i>AssessingStrategicPartnership.pdf</i>
Principle 5 – Create Clear & Robust Partnership Arrangements	Need to ensure that partnership working is not hindered by cumbersome, elaborate & time-consuming arrangements. Unduly complex structures & processes reflect partners' defensiveness & uncertainty about mutual trust. Working arrangements should be as lean as possible, with generally time-limited & task-oriented joint structures. Should also have: (a) a prime focus on processes & outcomes rather than structures & inputs; (b) clarity about partners' areas of responsibility & lines of accountability.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODP. <i>AssessingStrategicPartnership.pdf</i>
Purpose Statement	It is useful to develop a purpose statement that both defines & guides the work of the alliance. This is the collaboration equivalent to the mission statement; it will help focus planning, evaluation, & resources to the mission of the alliance.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAFE Collaboration Toolkit.pdf</i>
Stage 2.2) Collaboration	The reasons for putting shared understandings in writing include documenting the agreement for record-keeping &	SCF (2002) Partnership Resource Book Volume 1. <i>Vol 1- Resource Book and Bibliography.rtf</i>



Name of tool	Purpose	Citation & file name
Agreement (draft template)	dissemination, clarifying the legal rights & responsibilities of the partners & complying with donor terms.	
Stage 2: Making commitments & negotiating formal agreements	The three main tasks of this stage are: 1) finalizing joint plans, 2) negotiating & signing formal agreements and, to the extent possible, 3) reviewing any informal arrangements that have been made. Partners move from discussing possibilities to making firm commitments to specific goals, activities, allocations of resources & responsibilities.	SCF (2002) Partnership Resource Book Volume I. Vol 1- Resource Book and Bibliography.rtf
Tool 3: Delivering an effective partnership start-up meeting	Current literature tells us that how you start an alliance is critically important. Therefore, having a dynamic, positive & productive start-up meeting of all alliance partners is important.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Tool 3: Sample partnering agreement	This is a template for a written agreement	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 4: Creating an alliance Memorandum of Understanding	An MoU captures the spirit of an alliance & focuses on ways to accomplish the common mission & outcomes of alliance partners. It is the commitment to share in the rewards of achievement & to persist in the face of challenge.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Trust: competency & care	A tool for assessing trust. Trust is a combination of two things: competency & caring. Competency alone or caring by itself will not create trust.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
<b>Stage 1d) Planning</b>		
Organize the Effort	How to organize information & use time effectively both AT & INBETWEEN meetings. Ensure everyone shares a common understanding of what the team has accomplished & where it is going.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CafE Collaboration Toolkit.pdf</i>
Tool 5: Crafting an Effective Communication Strategy for Your Alliance	For an alliance to keep donors, stakeholders, partner organizations & others vested in alliance success fully aware of progress, learning & accomplishments, a concerted strategy for communication must be created & deployed.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Work Plan Template	To create a "script" for your improvement effort & to support implementation & evaluation. lists of tasks, resources, & timelines need to be updated regularly. Work plans are useful as a framework for forming working groups around various goals or actions.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CafE Collaboration Toolkit.pdf</i>
<b>Stage 2a) Managing</b>		
Key questions for equitable & accountable partnerships	The accountability of partners to each other requires special attention. It is here where the power imbalance needs to be addressed.	Blagescu, M. & Young, J. (2005) Partnerships & Accountability. ODI-UK. <i>137.pdf</i>
Tool 10: Building Consensus	Collaborative ventures require organizations & individuals to work together to set goals & plan strategy; this needs the ability to reach agreement & build consensus. Consensus building is a process that: a) Results in true agreement about a plan, approach or steps to be taken; b) Actively engages people in the process; & c) Results in people saying "my view has been accurately heard" & "I will support the decision even though it may not be my first preference." It can be surprisingly difficult.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Tool 4: Partnering roles & skills questionnaire	Helps individuals in partnerships to assess their partnering skills & address any weaknesses. Can be used by partners to map competencies in the partnership & to identify which individual is best equipped to undertake which tasks / roles. It can also be a tool for enabling partners to recognise when specific skills might need to be brought in from outside the partnership	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 8: Alliance Member Competencies—Leaders & Staff	An array of competencies are needed by both leadership & staff related to alliance success. Beyond technical expertise, they need abilities & capacities for partnering, collaboration, cooperation & interpersonal fluency. Assessing the presence of a set of "alliance-skills" competencies can be useful benchmarks for creating job-specific roles.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
<b>Stage 2b) Resourcing</b>		
Resource Inventory	What resources (in-kind services, materials, funding, talent/expertise, & connections/ access) can each partner contribute to alleviating this issue? Documentation of all member resource will aid in planning efforts & allocation of roles & responsibilities.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CafE Collaboration Toolkit.pdf</i>
<b>Stage 2c) Implementing</b>		
Guidance Note 5: Record	It is an essential part of any broker's role to ensure that accurate & appropriate records are kept – both general (in terms of the	Tennyson, R. (2005) The Brokering Guidebook. IBLF.

Name of tool	Purpose	Citation & file name
keeping	partnership's evolving history) & specific (decisions & commitments made by partners).	<i>Brokering_Handbook.pdf</i>
Stage 3: Joint implementation of partnership program	Main task of this stage is to put partnership arrangements into operation, especially for decision making, communication & M&E. Key partnership factors to review here are: leadership commitment, shared control, mutual trust & joint learning	SCF (2002) Partnership Resource Book Volume I. Vol 1- Resource Book and Bibliography.rtf
Tool 6: Facilitating & Assessing Effective Alliance Meetings	Meetings are the primary means for cross-alliance information sharing, problem solving & overall communication. When convening, the occasions should be well organized & facilitated to ensure the efficacy & productivity of your meetings.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Tool 8: Communications check list	Questions to guide checking on: Potential audiences; Communications options; & Potential messages	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Guidance Note 10: Assisting with Institutionalisation	Brokers undoubtedly have a key role in working with partners on issues of sustainability. This includes sustaining the partnership itself (if appropriate), programme / project delivery & (most importantly) outcomes.	Tennyson, R. (2005) The Brokering Guidebook. IBLF. <i>Brokering_Handbook.pdf</i>
<b>Stage 3a) Measuring</b>		
Partnership Assessment & Monitoring Tool	A self-assessment of quality of partnership relations from perspectives of the partners. The analysis uses evidence of facts & examples generated throughout partnership to determine its performance, while enhancing partners' collective understanding of effective partnerships. Periodic use of this tool will help guide & track progress in partnership relations as they develop.	ALPI (2006) Ensuring successful partnerships: a toolkit. ALPI. <i>ALPI Partnership Toolkit.pdf</i>
Partnership Self-Assessment Tool	The checklist will help to highlight strengths & weaknesses of your partnership & give some ideas to improve its effectiveness. It is a quick overview & a prompt for discussion. To be completed by several partners & then actions discussed & agreed by whole partnership. The exercise can be repeated in the future as a review mechanism to show improvements.	Frearson, A. (2002) Partnership Self-Assessment Toolkit. East Leeds Primary Care Trust. <i>Anna Frearson Partnership Self Assessment Tool.pdf</i>
Partnerships & Collaboratives: Diagnostic Tool for Evaluating Group Functioning	Use the Tool to help you understand the strengths & weaknesses of your collaboration. Evaluate how your group is functioning by looking at different parts of the group process. If you're frustrated, other members may be too. Ask each member to rate what's happening in the group. Then have a "time out" group discussion about what's happening & what to do about it.	Morton, L. (2000) Purposeful Partnerships in the Community Interest. Iowa State University Extension. <i>PM1844.pdf</i>
Principle 6 – Monitor, Measure & Learn	Refers to reflective component of partnership working; such reviews are an integral part of planning & management; & also very important in partnering where there may be doubts about levels of commitment or about costs & benefits to individual partners. Monitoring, measuring & learning is an essential part of assessing performance, and of cementing commitment & trust.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Reviewing & evaluation partnerships	Partners need to review & evaluate the partnership on two levels: together, as a partnership, & as individual partner organizations. Partners need to distinguish between evaluating partnership (as a relationship & a process) & programme (the focus of partnership's work). Good opportunity to track partnership, how it has developed & why, learning & recommendations	Intergovernmental Committee (2008) The Partnering Process. <i>159802e.pdf</i>
Stage 2: Undertaking the Assessment	independent, although not necessarily external, facilitation is helpful to manage the process & encourage openness. Bring partners together to discuss materials & complete the assessment. Each partner will complete six rapid assessment profile sheets, indicating responses to a set of statements grouped under each partnership principle.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Stage 4: Monitoring & evaluating a partnership & program	The main tasks are to: 1) establish a joint system for monitoring & evaluation (M&E) & 2) develop a results framework & indicators for both program & institutional relationship. Review key factors associated with M&E, shared control & joint learning	SCF (2002) Partnership Resource Book Volume I. Vol 1- Resource Book and Bibliography.rtf
Step 1: the quiz	Representatives of each partner organization gather to complete a pre-partnership assessment quiz. This step will help to orient thinking towards knowledge of your own organization & your partner organization.	ALPI (2006) Ensuring successful partnerships: a toolkit. ALPI. <i>ALPI Partnership Toolkit.pdf</i>
<b>Stage 3b) Reviewing</b>		
Appraisal & Renewal	Appraise & renew each alliance separately & review all your alliances together as a portfolio. This allows your organisation to maximize the benefits of alliances, update the operating plan, & incorporate alliances into long-range organizational planning. In the process, make decision whether to maintain, expand, narrow, or abandon each alliance	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CafE Collaboration Toolkit.pdf</i>
APR Guideline 4: Topics for partnership reviews	The guiding questions may be used as a starting point in annual partnership review meetings to assess the status of partnerships.	CARE Ghana (2010) Annual Programme Report: format & guidance. CARE Ghana. <i>Annual Programme Report notes (Ghana) draft 6.doc</i>



Name of tool	Purpose	Citation & file name
Benchmarking Tool	This is a practical tool for assessing how your collaboration is doing. Groups considering collaboration can use it to see if they have what they need to succeed. Established collaborations can use it to troubleshoot problems, demonstrate successes to funders, & uncover differences in how participating organizations perceive the collaboration.	Johnson, A.E. (2010) Collaboration Toolkit. CafE. <i>CAfE Collaboration Toolkit.pdf</i>
Guidance Note 6: Learning from Experience	It is essential for brokers to learn – both from their own & from others' experiences in the brokering role. This enables them to improve their understanding & their skills as well as to keep up-to-date with new partnering / brokering practices.	Tennyson, R. (2005) The Brokering Guidebook. IBLF. <i>Brokering_Handbook.pdf</i>
Stage 1: Preparation	At the start, partners should agree on reasons for using the tool. Is the process to be mainly developmental, a routine audit or part of a more extensive remedial programme? Opening up this initial debate is an important step in individual partners becoming more honest in their views about the workings of the partnership	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Stage 3: Analysis & Feedback	The next step in the process is the analysis of these responses (using a 'scoring system') & the generation of a partnership profile.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Step 2: the assessment matrix	Compare & discuss responses to the quiz. Then discuss each principle & score individually each indicator or statement. The assessment tool will enable you to review statements—using as many examples as possible to reach a numerical score about how the principle is being achieved in practice.	ALPI (2006) Ensuring successful partnerships: a toolkit. ALPI. <i>ALPI Partnership Toolkit.pdf</i>
Timeline: history of a relationship or a specific cooperation	To generate a timeline indicating significant events, achievements, setbacks & changes in the history of the collaboration. Includes assessing capacity for learning & managing change, & provide a reference point for later assessment of the impact of important changes.	Ziegler, S. (2008) Capacity development and partnership: Handicap International. <i>renf_cap_eng.pdf</i>
Tool 5: Guidelines for partnering conversations	Gives guidance for four kinds of conversations: a) generating possibilities; b) generating opportunities; c) generating action; d) completion	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 6: Partnership review template	This is a tool for reviewing whether the partnership is achieving the goals / expectations of the individual partner organisations. It is a 'health check' of the partnership rather than a more formal audit of the project/programme partners have undertaken.	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 7: Assessing Health of Your Alliance: How Are You Doing?	Successful partnerships need diligent attention to collaboration processes. Alliances are dynamic; it takes preventive maintenance & regular check-ups to sustain overall well-being & productivity. It is wise to engage all alliance partners in regularly scheduled alliance assessments to maintain a clean bill of partnership health.	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
Tool 7: Case study template	Guiding topics & questions to develop a case study/review of a partnership	Tennyson, R. (2003) The Partnering Toolbook. IBLF, GAIN. <i>PartneringToolbook.pdf</i>
Tool 9: Diagnosing Alliance Challenges & Finding Effective Remedies	This diagnostic inventory will enable you to check the challenges facing your alliance. Once you have identified the issue(s), you can check which strategy or strategies might be most effective in addressing that challenge productively	Gormley, W. & Guyer-Miller, L. (2007) Capacity Project Toolkit: Partnership Building.TRG, USAID. <i>capacity project partnership building toolkit.pdf</i>
<b>Stage 3c) Revising</b>		
Guidance Note 3: Navigating Obstacles	What is initially seen as an obstacle may actually provide a partnership with unexpected new opportunities to: address issues more deeply; radically change direction; or meet the challenge so robustly that the partnership itself is significantly strengthened.	Tennyson, R. (2005) The Brokering Guidebook. IBLF. <i>Brokering_Handbook.pdf</i>
Guidance Note 8: Managing Departures & Arrivals	During the life of a partnership, there may be many comings & goings; partners will need to manage these 'arrivals & departures' – wherever possible turning the process into a creative opportunity for taking stock or making creative changes.	Tennyson, R. (2005) The Brokering Guidebook. IBLF. <i>Brokering_Handbook.pdf</i>
Stage 4: Action Planning for Alternative Findings	The analysis can be shared & discussed with partners in a workshop, giving the partners a chance to look in more detail at their assessments & judgements about individual statements. Action planning can identify & agree any remedial action.	Hardy, B. et al (2003) Assessing Strategic Partnership. SPT, Nuffield, ODPM. <i>AssessingStrategicPartnership.pdf</i>
Stage 5: Renegotiating or terminating the relationship	The main tasks of this stage are to: 1) discuss the future of the relationship & 2) renegotiate – or terminate – the relationship.	SCF (2002) Partnership Resource Book Volume I. Vol 1- Resource Book and Bibliography. <i>rtf</i>
Step 3: the action plan	Share their summaries of the assessment results, & facilitate a discussion of the results & the development of an action plan.	ALPI (2006) Ensuring successful partnerships: a toolkit. ALPI. <i>ALPI Partnership Toolkit.pdf</i>

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#### ***ANNEX 4: Supplementary material on principles of partnering***

The content in this annex has been drawn from the literature review, and is offered as supportive guidance, particularly for persons and organisations who wish to delve deeper into these topics. [see also ANNEX 1: Glossary which has very short definitions for many of these concepts]

**Equity** - A recognition that partnership between two organisations comes with differences in resources, information and power and that adherence to principles of mutual respect, equity and justice, and humility is critical to developing genuine partnerships [1]. Partnerships should be founded on principles of equity; acknowledging that inequities often exist as a result of power dynamics, especially in situations of funding relationships, partners should recognize the many elements of mutual responsibility and accountability that will engender a more equitable partnership [45]. Equitable partnerships mutually define rights and responsibilities [21]. All parties in a partnership need to feel they are respected by the other partners and that their contribution is valued. Each organisation needs to feel it can influence the direction and focus of the partnerships' vision and strategy. Often members can feel intimidated by other partners' positions and affiliations. Some important behavioural factors to consider in creating power equity are: active and full participation; information sharing; negotiated priorities; clear assignment of roles and responsibilities; and equitable distribution of funds and other resources [51]. All partnership shall aim for a state of substantial balance of power to the extent possible, though equal partnership is not readily attainable when partners have significant unequivocal differences in capacity, including resource envelopes. Recognising the differences and consciously fostering a close mutual relationship shall be the basis for partnership. This shall include promotion of equitable distribution of power and authority as well as joint decision making based on influencing, persuading, educating, collaborating and negotiating [49].

**Respect** - Mutual respect is essential between partners, irrespective of size and power [59]. Genuine partners respect differences and commit to listen and learn from each other [21]. There shall be mutual respect and recognition of the distinctive competence of the parties as well as mutual respect and recognition for each other's opinion, appreciating differing cultural perspectives, norms, values and principles [49]. Partner organisations should respect one another's autonomy and constraints and strive to foster a climate of mutual trust in all their partnership activities [13]. We must recognize and appreciate the value that partners add to CARE's work and their role in achieving our development goals. These will be demonstrated by respecting the priorities of the partners, creating opportunities for partners to participate in decision making, and valuing their opinions [16].

**Transparency** - A pre-condition will be to establish clear objectives and outcomes of the partnership in a transparent manner to build confidence and trust between partners, with time-bound deliverables [59]. Partners shall strive to deepen their understanding of one another through the regular and transparent sharing of information. The activities of all parties shall be open and accessible to scrutiny by the other parties, respecting individuals' rights to privacy [45].

**Trust** - Trust is an essential foundation for all aspects of participation and partnership. It comes from working together and through that discovering shared values and ways of doing things. In order to develop trust: Draw out and deal with any suspicions from past contacts; Be open and honest about what you are trying to achieve — and about any problems; Be prepared to make mistakes — and admit them; Meet people informally; Deliver what you promise [61]. The mission and vision (agenda) of each potential partner should be clearly described and shared [13]; Mutual trust and respect will exist when partners are able to overcome any party's domination in the relationship. Recognition of our partners' judgment and their work will indicate confidence in their ability [16].

**Mutuality** - Strive for mutuality, recognizing that each partner brings skills, resources, knowledge, and capacities in a spirit of autonomy [21]. Mutuality includes accompaniment, mutual support, competency and capacity strengthening, skill sharing, and professionalism [30]. Mutuality is underscored by a deep sense respect for, and trust between partners. In decision-making, mutuality means sharing power. For example, major decisions affecting partners should not be taken without their participation in the decision whether by their presence when it is made, or by prior consultation [45]. Shared attribution of credit - Communication on the partnerships should acknowledge the work or contribution of all partners [59]. Shared ownership - effective partnerships will result in benefits for both organisations with results owned jointly by both partners

[16]. Partnering is a horizontal relationship. The essential feature of partnership is mutual dependence. Neither party can achieve the desired results by working alone. Even though the partners may be vastly unequal in some aspects of their relationship, at some level their core interests are linked. This gives them the right and duty to speak freely about issues of mutual concern and to make joint decisions. The degree to which the partners can discuss matters as equals is a litmus test for whether the relationship can be called a partnership [53]. Interdependency - Partners need to see their interdependency early on in the formation of the partnership. The interdependency is especially appropriate and necessary when the challenge being addressed is complex and requires a broad knowledge base, new technology and diverse expertise. Members need to see that together the partnership will create new value--something they couldn't do on their own. This is the essence of achieving the collaborative advantage [51]. Complementarity - Each member needs to bring skills, knowledge, or resources to the partnership that complement those of other members [51]. Defined roles and responsibilities should clarify how the parties involved complement each other [30]. Find opportunities for creative synergy. Use asymmetries in skills and power to create synergies that enhance the relationship without detriment to either party [22].

**Mutual Learning and Benefit** - Working in partnership helps organisations to bring together resources, unique competencies and expertise in order to achieve results which none can accomplish alone. Thus, the relationship shall focus on how to make the best out of each other's competence through complementing and learning from each other. The organisational dimension of the relationship shall bring important opportunities and benefits for mutual organisational learning, strengthening and capacity building [49]. Through joint reflection and efforts, all partners (including CARE) will be enabled to become more competent and capable of reaching their missions and goals [30]. Partnership needs to include openness to transformation by the partners involved in the relationship. This requires flexibility and adaptability of institutions in changing social, economic, and political contexts [45]. Joint action should be accompanied by joint reflection and learning as well as open sharing of knowledge as part of good practice in partnership relations [1]. Capacity building is a key element of partnering, but not as an end in itself, but as a means towards promoting the rights and influence of the poor and marginalised. This implies negotiating a balance between building core capacity of organisations and delivery of programmes impacting on poor and excluded people [1]. See partnering as a continuous learning experience [22]. Two-way learning - It will be important to identify and agree on what each partner expects and can learn from the other. The contribution of partners to CARE Uganda's knowledge and experience will be highly valued and appreciated. Good partners can help us to become more integrated with and knowledgeable about the communities we work with. CARE in turn can strengthen partners' analytical capacity, finance and administration systems, strategic planning capabilities, and contribute towards improved governance [16]. Knowledge management and sharing - Throughout a partnership, each party will share, use and safeguard relevant knowledge collected to do the agreed work and the knowledge generated through the work. These will include the knowledge directly linked to the initiatives and the references gathered in the process [16].

**Sustainability** - Commit to a long-term process of local organisational development. Promote sustainability by reinforcing partners' capacity to identify their vulnerabilities and build on their strengths [21]. While the scope of the formal partnership is limited to the specific timeframe of agreed joint activities, the relations and mutual solidarity of the parties often go beyond this period [1]. Support long-term involvement from/with each partner [30]. Partners must be given sufficient time to appraise the possibilities and preconditions before signing a partnership agreement. Likewise time should be allowed for organisational development and capacity building during the partnership. Building trust takes time and most impacts of the relationship are recognised after a long time. Thus, partnership should be seen as a long journey, based on a long-term perspective and broken in short periods, bound by a signed agreement [49].

## **Additional key concepts**

**Accountability** - Developing shared ownership and personal stake in the outcome are strong motivational elements for holding partners mutually accountable. Partnerships with agreed upon norms and sanctions and enough power and authority vested in the group to exercise these sanctions have a greater ability to hold members accountable than those appealing to "good will" [51]. Accountability refers to a chain of relationships in which actors are accountable upwards (to donors and other actors that have formal authority over the organisation), downwards (to target groups and beneficiaries but also to other groups and individuals that the organisation might affect directly and indirectly) and inwards (to organisational missions, vision and

values). A three level accountability relationship is therefore required in partnerships: accountability of partners to their own stakeholders; accountability of partners to each other; and accountability of the partnership to its stakeholders [6]. Transparency shall be developed in organisations in order to allow impact groups and other stakeholders to hold them to account. Success depends upon each of the partners fulfilling their responsibilities and commitments timely and respectful of agreed deadlines [49]. This will imply inclusion of the expectations and achievements for which partners will be held collectively responsible. Each partner is therefore responsible to the other for the tasks they have undertaken, as well as in communicating their perception of the most appropriate strategies to achieve meaningful impact. An open communication process will include ongoing explicit dialogue so that each of the partners has similar perceptions of each other's responsibilities [16].

**Commitment** - The centre line of partnership-building is gaining commitment. It depends on developing a shared vision, and some ownership of the ideas which are to be put into practice [61]. Each partner will participate in the planning, implementation, monitoring and evaluation of the programme as well as the partnership [13]. Commitment will be demonstrated through timely allocation of resources, quick response, and flexibility in approach [16]. Our partnerships will succeed based on principles of equality, despite the differences in strength and resources. All partners will be involved in the relevant decision making processes. Joint participation will also imply an effort to facilitate participation of staff at different levels within each of the organisations [16].

**Flexibility and cultural inclusiveness:** International relationships involve the encountering of cultural differences. These differences can create problems in partnerships but also provide an opportunity for mutual challenge in order to recognize and build on each other's strengths. There must be a willingness to understand each other's perspective, and to seek an on-going dialogue that enables progress in the partnership [45]. It also requires cultural sensitivity [30]. Differences between partners as well as variations in local circumstances, cultural, social, political and economic contexts require differentiated approaches to partnership relations. Partners should understand and respect differences and demonstrate flexibility [49].

**Results-oriented approach and quality:** partnerships should be reality-based and action-oriented, with clear measurable goals. All partners should adhere to quality standards that will guide them through the partnerships [59]. Measurable objectives and outputs of the partnership will be monitored through progress reporting undertaken in programme and programme initiative frameworks, where roles and responsibilities of the partners are outlined [59]. Key to successful partnerships is the ability of the partners to achieve the commitments they have made in the partnership [59]. The partnership should be based on striving to achieve specific measurable and sustainable results that will contribute to lasting change [13].

**Shared values and vision:** Partnerships should be built on shared values, visions and goals for society that imply mutual support and solidarity beyond the implementation of specific programmes and initiatives[45]. Share a vision for addressing people's immediate needs and the underlying causes of suffering and injustice - to help transform unjust structures and systems [21]. Partnerships need members and leaders who can develop compelling visions, a strong sense of purpose, and trust and commitment among the members and their home organisations. A shared vision and sense of purpose is what holds an alliance or partnership together. It defines the problems to be addressed and the strategies to be used. It defines the scope of work, clarifies boundaries, and helps to keep the partnership from straying off the original intent [51]. Partnership demands consensus between partners in regard to goals and objectives, criteria, evaluation and commitment to seeing programmes through to the desired impacts [45]. Shared problem definition and approach - Partners also need to be involved in the initial definition of the problem being addressed. Agreements must be reached on the specific problem to be solved, the analytical framework(s) to be used to solve the problem, and strategies for implementing the research agenda. In order to create a shared definition of the problem, each partner must make an effort to understand the problem from the other partners' point of view. Doing this in an international setting requires time and a commitment to learn how each partners' culture (both organisationally and personally), and professional discipline shapes their cognitive approach and contribution to the problem definition and implementation approach [51].

**Strong Leadership** - From the start leaders need to portray their eagerness to develop a collaborative relationship and build a shared ownership of the problem and outcome. They need to help the partnership develop the shared vision; see the potential for the partnership, address the different interests of the

organisations; and facilitate the management of boundaries and resources. Leadership needs to help the members understand and appreciate the different motivation and interests, concerns, and social and cultural norms of the individual members and their home organisations. Leaders need to model trust-building actions at the onset of the relationship. These actions are: involving others; using others input or opinions; demonstrating a willingness to explore new ideas; being honest; showing a willingness to exchange ideas; exhibiting sensitivity, i.e. cultural, emotional.