



**Final Report**

# **Organizational Performance Evaluation**

 **Forum of Federations**  
THE GLOBAL NETWORK ON FEDERALISM

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# **PGF**





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## EXECUTIVE SUMMARY

### EVALUATION MANDATE AND METHODOLOGY

Within the three-month mandate of conducting a formative Organizational Performance Evaluation of the Forum of Federations relative to the objectives set out in its 2005-2010 Grant Agreement with the Government of Canada, PGF Consultants Inc. consulted the organization's documentation and data, interviewed its management and staff as well as representatives of the Department of Foreign Affairs and International Trade, surveyed 11 partners and collaborators through a written questionnaire, and interviewed 14 stakeholders during field visits to Brazil and Mexico.

The consultations sought to determine whether and to what extent the Forum had progressed, since 2005-2006, toward the attainment of the objectives set in the Grant Agreement, primarily:

- Building international networks fostering the exchange of experience on federal governance;
- Enhancing mutual learning and understanding among practitioners of federalism; and,
- Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions.

Based on the various sources consulted, key evaluation findings indicate that, overall, the Forum has made significant progress toward the attainment of these objectives. The Forum, with its programs and services, is considered by various sources to be both successful and relevant. Some questions have, however, been raised with respect to its effectiveness in terms of sustained programming in certain countries, as well as with respect to monitoring the outcomes and impacts of its programs, and reporting on the initiatives it has led and/or contributed to.

### EVALUATION OBSERVATIONS ON GRANT AGREEMENT OBJECTIVES AND MANAGEMENT

#### BUILDING INTERNATIONAL NETWORKS

Based on the review of the data and documentation provided, as well as the various consultations, it is clear that the Forum has made significant progress in building international networks fostering the exchange of experience on federal governance.

Since embarking on a multi-sectoral internationalization process in 2005-2006, the Forum has succeeded in establishing nine formal partnerships with governments including Canada; diversifying its funding with financial and in-kind contributions from other governments, leveraging its Canadian core funding; enhancing its international profile by expanding its activities on different continents; and, increasing access to its information and education products with more translated written material, the re-design of *Federations* magazine and the Forum website, the revamping of its newsletter, the production and distribution of supporting audio-visual products and the publication of more introductory and scholarly materials.

According to various interlocutors, the Forum is a unique organization, occupying a niche by fostering, with a comparative perspective, mutual learning and understanding of federalism among both academics and practitioners. In the words of one stakeholder, "There has long been interest in international comparisons and the Forum essentially acts as a catalyst, filling the gap by providing a networking infrastructure that has been lacking." This unique status facilitates the enhancement of international distinction and recognition, and attests to the Forum's relevance as an organization.

## **ENHANCING MUTUAL LEARNING AND UNDERSTANDING**

The Forum's International Conferences, Global Dialogue Roundtables, and public information and education materials, as well as its comparative approaches to some governance programming activities such as study tours, give practitioners of federalism, in and among various countries, opportunities for the enhancement of mutual learning and understanding.

The Fourth International Conference on Federalism held in Delhi, India, in November, 2007, nearly doubled participation over the previous conference held in Brussels, Belgium, in 2005. Participation in Global Dialogue Roundtables has increased since 2005. Participants surveyed internally and externally with respect to Global Dialogue activities and publications indicated a high degree of satisfaction, finding them both useful and relevant.

According to Forum stakeholders, its activities with European or established countries and organizations provide examples of its greatest success in the facilitation of mutual learning.

## **DISSEMINATING KNOWLEDGE AND TECHNICAL ADVICE**

The consultations indicated that the Forum's greatest contribution in this area comes from its governance programming in post-conflict societies that need basic information and assistance regarding federalism. Demand for and provision of knowledge transfer and technical advice in these countries has expanded considerably in the last three years, notably in Ethiopia, Iraq, Sri Lanka, and Sudan. The Forum's Public Information and Education Division has also contributed to meeting this demand by producing and offering comparative introductory and reference materials in numerous languages, including Arabic.

Sustained and far reaching activity in country-specific programming that facilitates the dissemination of knowledge and provision of technical advice has, however, varied in other countries. It has been more constant in some countries than others. Consistent with this observation, is the sense among some of the consulted country partners and collaborators that the Forum has been somewhat less successful in attaining this objective.

## **FINANCE AND OPERATIONS**

A compliance audit was being completed at the time of the evaluation. The results of this audit indicate that the Forum is in full compliance with most of the articles concerned; however, the Forum is in partial compliance with regard to planning and reporting, including schedules. The Forum has recognized this weakness and indicated its intention to enhance the detail provided in its annual reporting packages.

Available financial information and data consulted during the evaluation indicated that while the use of core funding provided under the Grant Agreement has remained generally constant since 2005-2006, total funding had increased due to additional external funding.

With respect to expenses, an increase in activities and project costs was noted, without a correspondingly significant increase in overhead. This observation suggests the realization of greater efficiencies in the Forum's operations and management. This was corroborated in the consultations as various stakeholders indicated that the Forum was working to heighten synergies between programs and activities which can contribute to enhanced efficiencies and impacts.



## RECOMMENDATIONS

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Based on the findings of the organizational performance evaluation, it is recommended that:

- The Forum develop a new five-year strategic plan, including a three-year operational plan, that clearly states its mission, mandate and strategic objectives with a defined action plan under which integrated longer-term programming should fall, including the country-specific three-year plans that are currently being developed.
- The Forum take appropriate measures to demonstrate and communicate the international leveraging of the funding it receives from the Government of Canada.
- In order to further develop an organizational culture committed to results-based management, the Forum take measures to develop and implement appropriate policies, systems and tools enabling it to monitor, record and report activities held and programs conducted, including their shorter-term outcomes and longer-term impacts in a systematic and consistent manner.
- The Forum, in addition to concluding the general Framework Arrangement with its Partner Countries, should seek to strike bilateral contribution agreements with its partners so as to better define and align countries' contributions with attainable and measurable objectives. Also, as a complement to the annual 50 000 \$USD remittance contributed by its partner countries, the Forum should seek additional financial support mainly from OECD federations, which could be based on an agreed upon formula.

## INTRODUCTION

### EVALUATION MANDATE AND METHODOLOGY

PGF Consultants Inc. was mandated by the Forum of Federations (the Forum) to conduct a formative (mid-term) independent Organizational Performance Evaluation, as required by its Grant Agreement with the Government of Canada 2005-2011. The evaluation was conducted between mid-January and the end of March, 2008, and examined the period spanning 2005-2006 and 2007-2008.

The purpose of the evaluation was to assess the Forum's use of the grant in realizing its prescribed outcomes as well as the appropriateness and effectiveness of its longer-term financing mechanisms. The specific objectives were to evaluate the extent to which the Forum has:

- Used the grant toward the achievement of the goals and objectives defined in its mission statement;
- Aligned its objectives with the interests of the Government of Canada;
- Diversified its funding and resource base, established partnerships and enhanced its international profile, including attracting the financial support of at least 11 national governments in addition to Canada; and,
- Succeeded in attaining contributions from individuals, organizations and institutions.

In the course of its evaluation, PGF designed an evaluation framework and logical model, reviewed relevant Forum of Federations documentation and data, and consulted different categories of stakeholders.

### EVALUATION FRAMEWORK

The Evaluation Framework is provided in Appendix A. This framework takes into account the horizontal nature of the Forum's programs and services, such as Internationalization, Global Programs, Governance Programs, and Public Information and Education Services, as they contribute to the three complementary strategic objectives set out in the Grant Agreement between the Minister of Foreign Affairs and the Forum of Federations (2005-2011).

The three strategic objectives in the Grant Agreement are drawn from the Forum's Mission Statement as articulated in its *Strategic Plan 2004-2010*. Article 2.2 of the Grant Agreement states that the Forum will use the fund generally to further its objectives as outlined in its Mission Statement:

"The Forum is concerned with the contribution federalism makes and can make to the maintenance and construction of democratic societies and governments. It pursues this goal by:

- Building international networks fostering the exchange of experience on federal governance;
- Enhancing mutual learning and understanding among practitioners of federalism; and,
- Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions."

The Grant Agreement also includes a variety of sub-objectives as follows:

- 2.3) In addition, the Forum agrees to pursue objectives which are of particular interest to the Government of Canada and which are reflected in the Forum's Strategic Plan:
  - 2.3.1) To continue to foster mutual learning about the operation of federal systems through active dialogue among practitioners and including youth by providing the opportunity to engage in mutual learning processes;
  - 2.3.2) To increase global awareness and knowledge of federalism by sharing and making accessible information and comparative perspectives;
  - 2.3.3) To pursue an expanded series of initiatives and activities in Canada and in other countries designed to increase public awareness and understanding of federalism and to provide advice and assistance to governments with the respect to the practice of federalism and intergovernmental relations. This may include working in collaboration with other Canadian organizations that focus on the study and practice of federalism and intergovernmental relations;
  - 2.3.4) To pursue an expanded series of initiatives and activities in collaboration with other federations designed to increase public awareness and understanding of federalism and to provide advice and assistance to governments with respect to the practice of federalism and intergovernmental relations, including country-specific programs currently underway in India, Mexico, Nigeria and Brazil, and as may in future be adapted in other countries, such as Argentina;
  - 2.3.5) To provide information and advice specifically to societies engaged in post-conflict discussions and peace-building activities that seek to incorporate federal features in their governance arrangements, [such as]:
    - 2.3.5.1) Indonesia;
    - 2.3.5.1) Sri Lanka;
    - 2.3.5.1) Iraq;
    - 2.3.5.1) Sudan and Democratic Republic of Congo; and,
    - 2.3.5.1) Others which may emerge as new priorities
  - 2.3.6) To acquire experience in the Middle-East and North Africa
  - 2.3.7) To organize and support a major Conference on selected issues common to Canada, the United-States and Mexico, before August 31, 2007;
- 2.4) To undertake to diversify its funding and resource base, build partnerships and enhance its international profile and secure, by March 31, 2011, the financial support of at least 12 national governments, including Canada, under the auspices of the Framework Arrangement, and that of a number of sub-national governments through sub-arrangements;
- 2.5) To undertake and to augment the resources available for its activities;
- 2.6) To disclose all sources of funding where other Canadian governmental project-specific support is obtained;
- 2.7) To pursue an expanded series of initiatives and activities in Canada and in other countries designed to increase public awareness and understanding of federalism and to provide advice and assistance to governments with respect to the practice of federalism and intergovernmental relations.

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## REVIEW OF FORUM DOCUMENTATION AND DATA

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PGF reviewed and analysed relevant documentation and data provided by the Forum including the following:

- Forum of Federations reports:
  - Annual Reports;
  - Reports to the Board;
  - Reports to Committees;
  - Mission Reports;
- Previous evaluations:
  - *Formative Evaluation of the Forum of Federations – Draft Report*, Goss Gilroy, March 2004;
  - *Global Dialogue on Federalism – Program Evaluation*, J. Peter Meekison, March 2007;
- Strategic planning documents:
  - *Strategic Plan 2004-2010*, October 2004;
  - *Concept Paper on the Forum’s Role, Programs and Methods*, 2006;
  - *Annual Corporate Plan 2006-2007*
  - *Annual Corporate Plan 2007-2008*
- Other data:
  - Lists of activities for the period from 2005-2006 to 2007-2008, including global programs, governance programs, and public information and education services.

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## CONSULTATIONS

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PGF consulted a broad spectrum of the Forum’s stakeholders through a combination of personal interviews, questionnaires and field visits as follows:

- **Stakeholder Interviews:** 13 interviewees with Forum of Federations’ management and staff, members of its Board of Directors, and officials with the Department of Foreign Affairs and International Trade (DFAIT) participated in face-to-face consultations;
- **Partners and Collaborators Questionnaire:** 11 respondents representing various countries and organizations that partner or otherwise collaborate with the Forum completed written questionnaires; and,
- **Field Visits:** 14 stakeholders knowledgeable of the Forum’s work in their countries participated in personal interviews during PGF’s missions to Brazil (7 stakeholders) and Mexico (7 stakeholders).

These consultations were designed to obtain information on the stakeholders’ perceptions of the success, relevance and effectiveness of the Forum’ activities relative to the contexts and objectives of the collaborating organizations and countries, as well as those of the Forum. The questionnaire and all of the interview guides were designed to ensure conformity with the Evaluation Framework and structured to provide consistency between the various consultations.

## EVALUATION SCOPE AND LIMITATIONS

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The evaluation sought to measure, from quantitative data and qualitative information, the performance, relevance and effectiveness of Forum's activities in both attaining the Grant Agreement's objectives and addressing the needs of its partners.

As this evaluation demonstrates, the Forum has increased and expanded both the reach of its activities throughout the world and the scope of its various programs and services. Given that the time allowed for the evaluation mandate was limited, the consultations targeted potential respondents who were deemed most knowledgeable of the Forum and its activities.

It should also be noted that although this evaluation touches on all of the Forum's services and programs (Internationalization; Governance Programs; Global Programs; Public Information and Education Services and Products; and, Finance and Operations), each of these in itself could constitute the subject of an in-depth evaluation, as was the case with the 2007 *Global Dialogue on Federalism – Program Evaluation*.

## EVALUATION REPORT STRUCTURE AND PRESENTATION

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This evaluation report is structured and presented in the following sections:

- Quantitative Evaluation: Data on Forum Services and Programs;
- Qualitative Evaluation: Stakeholder Perceptions and Field Visits;
- Conclusions and Recommendations; and,
- Appendices.

## QUANTITATIVE EVALUATION: DATA ON FORUM SERVICES AND PROGRAMS

PGF reviewed and analysed relevant documentation and data provided by the Forum including reports, previous evaluations, strategic planning documents and other data. In compiling the findings from this analysis, PGF applied the Evaluation Framework, linking the objectives and sub-objectives specified in the Grant Agreement with the Forum's five categories of programs and services: Internationalization; Governance Programs; Global Programs; Public Information and Education Services and Products; and, Finance and Operations. The following sections present the evaluation's findings in each of these areas.

### INTERNATIONALIZATION

The first strategic objective set out in Article 2.2 of the Grant Agreement is "Building international networks fostering the exchange of experience on federal governance." As well, Article 2.4 of the Grant Agreement requires that the Forum "undertake to diversify its funding and resource base, build partnerships and enhance its international profile and secure, by March 31, 2011, the financial support of at least 12 national governments, including Canada, under the auspices of the Framework Arrangement, and that of a number of sub-national governments through sub-arrangements."

Following the 2004-2005 fiscal year, the Forum began an important internationalization process which has seen it evolve from being a Canadian institution with a strong international focus to an international non-governmental organization (NGO).<sup>1</sup> This process has been multi-faceted, impacting the Forum's governance and organizational structures, partnerships, funding and programming. The following sections present the Forum's internationalization progress and achievements during the evaluation period with respect to each of these dimensions, using 2004-2005 as a baseline.

### GOVERNANCE AND ORGANIZATIONAL STRUCTURES

The Forum has achieved concrete results in this area by redesigning its governance and organizational structures so as to foster more active participation by its Partner Countries at all levels of the decision making process.

#### Board of Directors

The Forum's highest decision-making body is its Board of Directors which determines the Forum's overall policy and strategic direction. The standard term of office for all Board members, including the Chair, is four years. In 2004-2005, the Forum implemented a Framework Arrangement through which countries commit to support, and participate in, the Forum's work. Among the benefits for Partner Countries in signing the Arrangement, is representation on the Board of Directors and the Strategic Council.

#### Executive Committee

The Executive Committee, composed of executive-level staff members, is mandated by the Board of Directors to monitor and make decisions, on day-to-day basis, regarding the implementation of the Forum's internal policies.

<sup>1</sup> Forum of Federations, *Annual Report 2004-2005*, page 2.

## **President**

The Forum is managed on a day-to-day basis by its President, who is the Forum's Chief Executive Officer responsible for the implementation of Board decisions, and for the overall planning and supervision of the Forum's work.

The Forum's Formative Evaluation in March, 2004, noted that the positions of President and Board Chair were held by the same person.

## **Vice Presidents, Senior Directors and Staff**

The President is assisted in his executive responsibilities by the Vice President of Programs and Research. At the time of the Forum's 2004 Formative Evaluation, there was both a Vice President, Programs and Research, as well as a Vice President, Global Programs.

The 2007-2008 organizational structure includes: a Vice President Research and Governance Programs assisted by five continental directors, one program manager, and two program officers; a Senior Director, Global Programs and Head, International Conferences; a Senior Director, Public Information and Education Services, assisted by technical expertise; and a Senior Director, Finance and Operations, assisted by technical expertise in finance and human resources.

## **Beneficiaries**

The Forum's target group is composed of experts and practitioners of federalism, including academics, researchers, students, youth, parliamentarians, politicians, civil servants from all levels of government, and representatives of other governance organizations.

## **Organizational Transformations and Achievements**

### **2004-2005**

In February, 2004 (the 2003-2004 fiscal year), Arnold Koller, former President of Switzerland, succeeded Bob Rae, the former Premier of Ontario, as Chair of the Forum of Federations.

In 2004-2005, a new advisory body, the Strategic Council, was established and made up of individuals designated by the Forum's Partner Countries. The Council's role was to provide broad, general policy and orientation guidelines to the Forum.

During that year, the Forum developed a Framework Arrangement through which countries could commit to support and participate in the Forum's work. Four countries signed arrangements at that time: Austria, Canada, Nigeria and Switzerland.

During the 2004-2005 fiscal year, the Board of Directors was comprised of 13 directors from Canada (5), Australia (young professional), Brazil, Germany, India, Mexico, Nigeria, South Africa, and Switzerland.

### **2005-2006**

In 2005-2006, George Anderson, a former high-ranking official with the Government of Canada, was hired as the Forum's President and Chief Executive Officer. During that year, the Forum further progressed in its internationalization process when three new partner governments signed Framework Agreements: Australia, India and Mexico.

Mr. Anderson's opening note in the *Annual Report 2005-2006* summarized the Forum's achievements with respect to internationalization, saying the Forum was progressing "towards becoming a truly international non-governmental organization. This is most evident in the support it now receives from the six Partner Countries that have joined Canada in providing core support. It can be seen in the international character of [the Forum's] teams and events and in [the Forum's] partnerships with the United Nations, the World Bank and development assistance agencies. It explains the continuation of the large international conferences on federalism...." Mr. Anderson also noted that the Forum was surprised by the demand for its assistance in countries which were considering federalism or which had recently adopted federal regimes, often deeply divided societies with a history of conflict.

Also during 2005-2006, the Strategic Council held its first meeting and the Board of Directors held two face-to-face meetings (in addition to teleconferences) in response to the Forum's increased activities. As of July 2005, the Forum's Board of Directors included 14 members from Canada (4), Switzerland (2), Australia (2), Austria, Brazil, India, Nigeria, Mexico, and Spain.

### **2006-2007**

During the 2006-2007 fiscal year, an eighth government, Ethiopia, became a partner of the Forum of Federations and Germany expressed its intention to join as well.

The Strategic Council held its second meeting, with discussions focussed on the Forum's strategic direction and approaches to obtaining additional Partner Countries.

The Forum's Board of Directors and its committees held two general meetings by teleconference. As of July 2006, the Forum's Board of Directors included 10 members from Canada (4), Switzerland (2), Australia, Austria, India and Nigeria.

The Forum's major undertakings that year included preparations for the Fourth International Conference on Federalism in India in the fall of 2007, as well as the launch of three new Global Dialogue on Federalism publications (Book 3 and Booklets 4 and 5).

### **2007-2008**

In October, 2007, Germany officially became the Forum's ninth Partner Government in addition to Canada. Other potential partnerships were being explored with Argentina and Brazil, as well as possible associations with Spain and South Africa.

As of November 2007, the Forum's Board of Directors was comprised of 11 high-profile members, including a former head of state, professors, and other high-ranking practitioners of federalism from Canada (4), Switzerland (2), Australia, Austria, Ethiopia, India, and a young professional from Spain.



## BUILDING PARTNERSHIPS

### Partner Government Framework Arrangements

In 2004-2005, the Forum developed a Framework Arrangement through which countries could commit to support, and participate in, the Forum's work.<sup>2</sup> These arrangements articulate objectives for improving governance, and enhancing democracy, by promoting dialogue on the practices, principles, and possibilities of federalism. They also specify the Partner Country's benefits such as representation on the Board of Directors and in the Strategic Council, receipt of Forum publications, and information on Forum activities.

Partner Countries are required to make a minimum annual contribution of \$50,000 USD, in cash or in kind, per year for three years to the Forum. These contributions are allocated to existing programs or work approved by the Board.<sup>3</sup> However, these contributions are modest relative to the scope of the objectives defined in the Framework Arrangements with respect to their objectives of improving governance and enhancing democracy

As summarized in the table below, over the evaluation period, five new countries signed Framework Agreements and became Partner Countries to the Forum. This brings the total number of Partner Countries contributing a minimum of \$50,000 annually toward the Forum's core funding to nine. As the number of federal countries is currently estimated at approximately thirty, the Forum has established partnerships with almost a full third of these governments.

**Table 1: Growth in Partner Country Commitments (2004-2005 through 2007-2008)**

	2004-2005	2005-2006	2006-2007	2007-2008
Countries Signing Framework Arrangements with the Forum	Canada Austria Switzerland Nigeria	Australia India Mexico	Ethiopia	Germany
Total Number of Partner Countries	4	7	8	9

Building formal partnerships is an ongoing exercise. The Forum is currently exploring possible new partnerships with the governments of Argentina, Brazil, Spain and South Africa.<sup>4</sup> As well, six of the nine existing partnerships will be due for renewal in 2008.<sup>5</sup>

Overall, having more than doubled the number of Partner Countries in three years represents a significant achievement for the Forum. With this growth, the Forum is now strongly positioned to achieve its objective of securing, by 2011, the financial support of at least 12 national governments as stated in Article 2.4 of the Grant Agreement.

### Liaison Partners

In addition to the nine Partner Governments having signed Framework Arrangements, the Forum also works in close collaboration with Liaison Partners: institutions, agencies or associations who share information and advice with the Forum. Liaison Partners serve as the Forum's eyes and ears on the ground in federal countries around the world. The Forum works closely with its Liaison Partners on project development and implementation. The Forum's website provides a list of its current 23 Liaison Partners and demonstrates the high level at which the Forum collaborates with the key institutions, agencies and associations interested in federalism internationally.<sup>6</sup>

<sup>2</sup> Forum of Federations, *Annual Report 2004-2005*, page 2.

<sup>3</sup> Forum of Federations, *Framework Arrangement*.

<sup>4</sup> Forum of Federations, *Review of Partnerships and Status of Renewals*.

<sup>5</sup> Forum of Federations, *Review of Partnerships and Status of Renewals*.

<sup>6</sup> A list of the Forum's Liaison Partners can be found at [www.forumfed.org/en/partners/liaisonpartners.php](http://www.forumfed.org/en/partners/liaisonpartners.php).

## DIVERSIFICATION OF FUNDING

### Partner Governments' Contributions within Framework Arrangements

The table below summarizes the cash and in kind contributions committed by the Forum's Partner Countries over the evaluation period, with 2004-2005 included as a baseline.

In the 2004-2005 fiscal year, Switzerland was the only country other than Canada contributing to the Forum's core funding (\$158,940). Three years later, the Forum has eight Partner Countries contributing more than four times that amount (\$862,000), in addition to its funding from Canada.

**Table 2: Growth in Partner Country Contributions (2004-2005 through 2007-2008)<sup>7</sup>**

	2004-2005	2005-2006	2006-2007	2007-2008
Canada-DFAIT Grant Agreement	\$4,102,815	\$3,287,900	\$4,346,667	\$4,100,000
Switzerland	\$158,940	\$388,384	\$391,786	\$400,000
Germany				\$150,000
Austria		\$58,400	\$56,169	\$52,000
Australia		\$62,156	\$55,722	\$52,000
Ethiopia			\$58,757	\$52,000
India			\$214,058	\$52,000
Mexico			\$55,129	\$52,000
Nigeria				\$52,000
<b>Total Expenses</b>	<b>\$4,261,755</b>	<b>\$3,796,840</b>	<b>\$5,178,288</b>	<b>\$4,962,000</b>

Over the last three years, the Forum has achieved significant results in this area, enhancing its diversification of funding both through increases in the number of Partner Countries and through increases in contributions in excess of the minimum annual amount. Most notably, Switzerland has more than doubled its contribution over the last three years, while India provided substantial support related to the 2007 International Conference on Federalism.

<sup>7</sup> Forum of Federations Board of Directors, *Discussion Paper*, Delhi, November 2007. The figures for 2007-2008 are budgeted amounts; all other amounts are actual.

### Sources of Funding by Program

The table below summarizes the costs of the Forum's programs and the sources of funding for 2005-2006 and 2006-2007. At the time of the evaluation, this information was not available for 2007-2008.

**Table 3: Total Cost of Programs**

	Forum Cash	In Kind	Spent by Others	Total
<b>2005-2006<sup>8</sup></b>				
Internationalization	\$306,592	\$20,000	\$44,000	\$370,592
Governance Programs	\$1,576,965		\$537,500	\$2,114,465
Global Programs	\$674,739	\$160,000	\$411,300	\$1,246,039
Large Conference Support	N/A	N/A	N/A	N/A
Public Information	\$627,268	\$110,000	\$71,375	\$808,643
Operations	\$1,030,666	\$20,000		\$1,050,666
<b>Total</b>	<b>\$4,216,230</b>	<b>\$310,000</b>	<b>\$1,064,175</b>	<b>\$5,590,405</b>
<b>2006-2007<sup>9</sup></b>				
Internationalization	\$217,080			\$217,080
Governance Programs	\$2,303,136		\$1,093,088	\$3,396,224
Global Programs	\$1,047,821	\$350,000	\$42,000	\$1,439,821
Large Conference Support			\$1,152,900	\$1,152,900*
Public Information	\$962,228	\$100,000	\$24,250	\$1,086,478
Operations	\$841,328	\$10,000		\$851,328
<b>Total</b>	<b>\$5,371,593</b>	<b>\$460,000</b>	<b>\$2,312,238</b>	<b>\$8,143,831</b>

### Ability to Leverage Funding

These figures provide some indication of the Forum's success in leveraging the funds provided under the Grant Agreement by attracting support, both cash and in kind, from other sources. In 2005-2006, the Forum's cash contribution of \$4,216,230 represented only 75% of the total value of the programming delivered. Similarly, in 2006-2007, the Forum incurred 65% of the total cost, with cash and in kind contributions from partners and other governments making up the balance.

Through field visits, interviews and document review, PGF Consultants Inc. was able to observe that the institutions and governments from the participating countries assumed most of the cost of events sponsored or jointly organized by the Forum, and that a significant amount of these costs have not been captured in these tables.

\* Figure represents the Government of India's 2006-07 financial year contribution towards the Fourth International Conference in November 2007. For the total amount contributed by the Government of India, see Page 20.

<sup>8</sup> Forum of Federations, *Annual Report 2005-2006*, p. 16.

<sup>9</sup> Forum of Federations, *Annual Report 2006-2007*, p. 23.

## ENHANCEMENT OF THE FORUM'S INTERNATIONAL PROFILE

Since 2004-2005, the Forum has achieved significant progress in enhancing its international profile as required under Articles 2.2 and 2.4 of the Grant Agreement. As demonstrated in the table that follows, the Forum has increased the total number of activities in its various programs<sup>10</sup> per country and per year, thereby expanding its international involvement (Appendix B provides additional detail on the number and nature of activities for specific countries and programs). This list is not exhaustive as the Forum also contributes to initiatives undertaken or led by other organizations; however, as these contributions are not accounted for by the Forum, they could not be included in this compilation.

**Table 4: International Expansion of the Forum's Activities (2004-2005 through 2007-2008)<sup>11</sup>**

	2004-2005	2005-2006	2006-2007	2007-2008
Argentina	1		4	4
Australia	2	3	1	2
Austria	1		2	4
St. Kitts-Nevis	1			
Belgium	4		3	1
Brazil	3	6	3	4
Canada	6	9	13	16
China		1		
Ethiopia		1	6	7
Germany		1	3	6
India	4	6	3	10
Iraq		8	8	3
Malaysia		1	1	
Mexico	6		7	5
Nepal				1
Nigeria	2	3	2	3
Philippines		1		
Russia	1	2		1
South Africa	1	2	3	
Spain	1	2	3	1
Sri Lanka	3	2	2	8
Sudan		4	13	4
Switzerland	2	5	5	4
United States	1	3	2	2
<b>Total Number of Events</b>	<b>39</b>	<b>60</b>	<b>84</b>	<b>83</b>
<b>Total Number of Countries</b>	<b>16</b>	<b>18</b>	<b>19</b>	<b>19</b>

In the 2004-2005 fiscal year, the Forum organized and/or held activities in 16 countries. Over the next three years, the Forum increased the number of countries in which it was active to 19. As well, the Forum doubled the number of activities it organized and/or held from nearly 40 in 2004-2005 to over 80 in each of the last two years of the evaluation period.

<sup>10</sup> Governance Programs include activities such as workshops, conferences, and seminars, as well as executive or high-level missions, presentations, visits and the provision of technical assistance. Global Programs include Global Dialogue Roundtables and publication launches, large international conferences, Youth or Young Professionals Programs.

<sup>11</sup> Table 4 is compiled from the Forum's annual reports, other available data and information provided by Program Directors.

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## GOVERNANCE PROGRAMS

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The Forum's Governance Programs are designed for public servants, elected officials and staff of civil society organizations in federal countries. These programs focus on issues related to governing in federal countries, ranging from how laws are made and enforced by the central government and the provinces, states or cantons, to how services such as health care, environmental protection or public security are delivered to the public.<sup>12</sup>

The Forum's Governance Programs are most directly linked to the third objective of the Grant Agreement, "Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions." However, Governance Programs also contribute to the second objective of the Grant Agreement, "Enhancing mutual learning and understanding among practitioners of federalism," in that they promote a comparative approach (for example, informing countries of relevant best practices and thereby helping federal countries learn from each other).<sup>13</sup> The Forum's governance programming also contributes to the Grant Agreement's first objective, "Building international networks fostering the exchange of experience on federal governance."

### OVERVIEW OF ACTIVITIES

Governance programming includes activities such as workshops, conferences, seminars, and study tours as well as executive missions, meetings and visits, and the provision of technical assistance.

Based on the list provided in Appendix B, under governance events in the 2004-2005 fiscal year, the Forum conducted governance programming activities in 7 countries. By 2007-2008, this number had more than doubled, with the Forum conducting governance programming activities in 17 countries.

Similarly, over the evaluation period, the Forum increased the number of governance programming activities it conducted from nearly 20 in 2004-2005 to 70 in 2007-2008. As well, in some countries, activities have at the same time expanded in nature and in scope (for example, in Ethiopia, India, Iraq, Sri Lanka, and Sudan).

Clearly, the Forum has achieved significant success in the development of its Governance Programs over the evaluation period, both in expanding programming activities and in broadening the participating countries. These advances contribute to the Forum's progress toward its achievement of the Grant Agreement's second and third objectives.

### MAJOR GOVERNANCE PROGRAMMING ACTIVITIES

The following sections draw on information provided by the Forum to illustrate the variety and scope of its major governance programming activities over the evaluation period.

#### Africa

##### *Sudan*

Since 2005-2006, the Forum has organized several workshops, technical advice missions, and public awareness sessions on issues ranging from fiscal federalism to core principles of federalism. Also, the Forum held civil society roundtables and launched a course on Federalism and Peace in Sudan, in addition to conducting assessment, planning and project operations missions. Participants attending these events included government officials at various jurisdictional levels, representatives from political parties, academics, civil servants, young professionals, and representatives of women's groups.

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<sup>12</sup> Forum of Federations, <http://www.forumfed.org/en/governance/index.php>.

<sup>13</sup> Forum of Federations, <http://www.forumfed.org/en/governance/index.php>.

The Forum contributed expert advice and technical training to parties at the Darfur talks including the GONU, SPLM/A, JEM and international and national observers. The Forum also conducted institutional needs assessments and provided technical assistance to both the Ministry of Federal Governance and the Fiscal and Financial Allocation and Monitoring Commission. Participants included senior officials from Khartoum and the states (including the Minister of Finance) and led to an extensive set of recommendations for the development of the Ministry and the Commission. The Forum designed and tested core training on federalism that emphasized Sudan content with a cross section of state government officials, civil servants, academics, political party leaders, media representatives, leaders of national NGOs, and representatives of international and women's organizations. Trainers and advisors involved in Forum activities included experts from India, South Africa, Nigeria, Canada and the United States. During the course of the project, the Forum established a project advisory committee composed of ambassadors from the Forum's Partner Countries and a civil society advisory committee. In 2008, the Forum conducted three missions to Sudan, both in the north and south, and met with Ministers, Ambassadors, and the Vice chancellors of the Universities of Khartoum and Juba, as well as other prominent leaders from civil society and various organizations, and developed a strategic proposal for a second phase of the project.

### **Ethiopia**

The Forum has conducted extensive governance programming in Ethiopia since 2005-2006.

In 2005-2006, the Forum began its activities in Ethiopia with an assessment mission conducted by the Forum President. The Forum also received and met with a delegation of six Ethiopian political leaders and senior government officials from central and state governments, in Ottawa. The delegation included the Ethiopian Ministers of Federal Affairs and Revenue, as well as the Presidents of the Afar and Somali state governments and other officials.

During 2006-2007, a conference on Managing Conflicts in a Federal System was co-organized with GTZ, the Swiss Embassy, in partnership with the House of the Federation in Addis Ababa. Participants included all members of the House of Federation (the central government's upper chamber) as well as some members of the opposition parties from the House of People's Representatives (the lower house), academics and members of the international community.

During that year, Ethiopia signed a partnership arrangement with the Forum, becoming the 8th Partner Country. At the end of that fiscal year, local workshops on fiscal federalism were held with state and federal government representatives. A Swiss expert also conducted a technical assessment mission on fiscal federalism to advise the House of Federation and regional governments on revising the revenue sharing formula. The revised formula was then successfully adopted and the results published in various languages and distributed throughout Ethiopia.

Also, at the end of the 2006-2007 fiscal year, planning began for the launch of a Master of Arts program in Federalism. Discussions focused on the curriculum, staffing and related needs for the creation of the Federalism program to be offered at Addis Ababa University (AAU). The Forum provided books and other institutional material to support the establishment of the new Institute of Federalism at the AAU.

As planned, during the fall of 2007-2008, the new interdisciplinary Master of Arts program in Federal Studies was launched at the Institute of Federalism at Addis Ababa University. Students in the course ranged from politicians and civil servants to journalists and recent graduates from other disciplines. An inaugural public lecture was delivered at the Institute of Federal Studies. The event was attended by approximately 50 academics, civil society activists, government functionaries and politicians, including several members of Parliament from the House of People's Representatives, the Chairman of the Nationalities Standing Committee of the House of the Federation, the Speaker of Southern Nations' Council of Nationalities and the Leader of the Opposition in parliament. Senior officers and department heads of the Ministry of Federal Affairs also attended, as well as staff, students and faculty from the University of Addis Ababa and the Civil Service College.

### ***Other Countries – Africa***

Activities in Nigeria over the evaluation period included, in 2006-2007, meetings between the Forum and Nigerian academics, civil society leaders and members of the international community regarding program development. As well, the Forum's President delivered a presentation on Federalism in the 21<sup>st</sup> Century and delivered a keynote address at a special Governor's Retreat in Abuja, Nigeria on fiscal challenges, with comparisons to other federations. In March, 2008, a seminar on Fiscal Federalism was held with the Federal Ministry of Finance, the Governors Forum and the Forum of Federations on Challenges and Opportunities in Fiscal Federalism. Participants included top level officials from the states, key federal ministries and the Minister of Finance.

### **Asia-Pacific**

#### ***India***

Since 2005-2006, the Forum's governance programming in India has been increasing, including a national conclave on India's energy security, a workshop on the impact of globalization on Fiscal Federalism in Transition Economies, conferences on Federalism, democracy, devolution and development, and capital cities, and support to the institutional development of a Centre for Good Governance. In addition to these governance programming activities, during this period India was also host to the Fourth International Conference on Federalism.

#### ***Sri Lanka***

The Forum's governance programming in Sri Lanka during the evaluation period has been extensive. Since 2005-2006, a series of workshops on power-sharing options for Sri Lanka and the federal idea have involved more than 150 participants, including academics, members of the legal profession, civil society representatives, members of different Provincial Councils, government officials and politicians, Sri Lankan women, peace activists, and representatives from NGOs with diverse ethnic and professional backgrounds.

Lexicons on power-sharing and federalism for Sri Lanka have been created with the participation of 42 Sri Lankans, including constitutional scholars, political scientists, journalists, and language and translation experts. Also, a series of workshops on power-sharing options for Sri Lanka and the federal idea have involved more than 100 participants. The first workshop had 43 participants, including provincial councillors, members of the Bar, academics, religious leaders, representatives of women's organizations and a journalist. The second workshop had 52 participants, including members of professional associations, academics, journalists, and various representatives of civil society, political parties and women's organizations. The third workshop involved 33 Sri Lankan women from all three levels of government and various provinces.

### ***Other Countries – Asia-Pacific***

Other Asian-Pacific countries where the Forum has also conducted governance programming since 2005-2006 include Australia, with conferences on federalism in Asia and health, China, with participation in an international conference, and the Philippines where a workshop on Federalism was held.

## Europe

Among European countries, the Forum has been most active in its Partner Countries, Austria, Switzerland and Germany, in terms of its governance programming.

In Switzerland, the Forum has been involved in a study tour by 12 Iraqi parliamentarians and judges to learn about federalism in Canada and Switzerland, a presentation at a seminar on contemporary governance (“Gouverner aujourd’hui”), and meetings with federal and cantonal governments, and participated in Parliamentary Committee hearings on Swiss European policy and a national conference on federalism. As well, the Forum has recently organized a hearing for the foreign affairs committee of the Swiss Council of States on the role of constituent units in shaping their country’s EU policy.

In Austria, the Forum governance programming included a conference on the management of constitutional reform with 90 participants and a parallel book launch, as well as a panel discussion on the prospects of the state.

In Germany, the Forum took part in an international conference on “Competition versus Cooperation”, focusing on the first stage of the current federalism reform in Germany and, as part of the second stage of federal reform, an international workshop on public policy benchmarking in federations. The Forum also launched a publication based on the “Competition versus Cooperation” conference.

In Spain, the Forum was involved in high-level meetings on intergovernmental relations and water, and delivered a presentation on federalism to the Gimenez Abad Foundation,

## Middle East

### *Iraq*

The Forum’s governance programming in Iraq over the evaluation period included: presentations to the elected Iraqi Transitional National Assembly by Forum experts; secondment of one Forum staff to the Baghdad office of the National Democratic Institute; a study tour to Switzerland and Canada by a dozen Iraqi parliamentarians; participation in and/or co-chairing of three United Nations Assistance Mission in Iraq (UNAMI) conferences with Iraqi government officials; a needs assessment mission to Baghdad; a three-day federalism training workshop for Iraqi and Arab regional media representatives in Baghdad; a federalism course curriculum development session with Iraqi education administrators, university presidents and deans; the design, launch and delivery of three federalism courses for 70 Iraqi professors of law and political science; and, presentations at two UNAMI events for members of the Constitutional Review Committee.

Several key experts and practitioners participated in these activities, including: over fifteen of the Forum’s national and international experts; representatives of various federal embassies in Jordan (Brazil, South Africa, India, Belgium, and Switzerland); over 70 Iraqi academics; over 30 Sunni Arab officials and academics; representatives from key International organizations and NGOs such as UNAMI, NDI, USIP, UNDP, No Peace Without Justice, and International Crisis Group; and, several dozen Iraqi government officials, parliamentarians and journalists.

## North America

### *Canada*

Since 2005-2006, the Forum’s governance programming in Canada is geared primarily toward enhancing its international profile, as well as strategic positioning and networking. Governing experiences from Canada have been shared during: meetings with dignitaries and officials from Mexico and Pakistan; the hosting of officials and/or delegations from Mexico, Australia, Sudan, Sri Lanka, Germany, Russia, and Brazil; presentations to Ethiopian, Australian, and Swiss interlocutors; and, through participation in international conferences. Workshops, round tables and conferences held in Canada during this period have addressed post-secondary education, electricity, citizenship and immigration, fiscal federalism, foreign relations and indigenous land titling.



### **Mexico**

The Forum's governance programming in Mexico since 2005-2006 continues to engage practitioners from many sectors in the three orders of government, recognizing the need to maintain regional and political balance in its Mexico activities. The Forum has supported local partners in the organization of an international seminar on inter-municipal management of urban services; a forum on innovation and good governance; and several regional workshops on decentralization and intergovernmental institutions in federal systems, public security, and foreign relations. The Forum has also provided ongoing technical support to Mexico during its Presidency and Vice-Presidency of the "High Level Network on Decentralization" (RIAD), an initiative of the Organization of American States.

### **United States**

The Forum's governance programming in the United States has been limited to mainly strategic initiatives with potentially broad implications. These activities included an energy security meeting, a liaison mission by the Forum's President to the World Bank, US Institute of Peace, National Endowment for Democracy, and National Democratic Institute, and a discussion with the World Bank and the International Monetary Fund.

### **South America**

#### **Brazil**

Following the signing of a cooperation agreement in 2003 with the National Council on Fiscal Policy, the Forum's governance programming in Brazil since 2005-2006 has consisted of developing and delivering a program on fiscal federalism. A first seminar, in 2005-2006, focused on Fiscal Competition and Regional Imbalance and was attended by State officials as well as Forum experts from Australia and Canada. A second seminar, in March, 2008, was an international seminar on Tax Reform and Fiscal Federalism with approximately 250 participants including representatives of the Federal, State and Municipal governments, ambassadors, media, and representatives of various NGOs and research institutes. As well, the Forum held a World Forum on Fiscal Federalism in 2005-2006 in which over 200 participants (representatives from the State and Central governments, private organizations, the Forum, and the World Bank) took part. Since 2003, the Forum has also provided support and technical expertise to the Council of Finance Ministers of Brazil in their fiscal reforms in areas such as; Fiscal Harmonization; Sub-National Taxation; Public Budgeting; and Intergovernmental Cooperation, as well as Fiscal responsibility (in cooperation with the Getulio Vargas Foundation, the IMF and the World Bank).

#### **Argentina**

The Forum's governance programming in Argentina since 2005-2006 has included a workshop on Federal Reforms and Fiscal Responsibility in Federal Countries (with presentations by experts from Australia, Brazil, Canada, Germany, Mexico, and Argentina) and comparative programming on themes such as energy management, labour issues and High Courts in federal countries.

## GLOBAL PROGRAMS

The Forum's Global Programs are focused opportunities for participants from around the world to learn from the experiences of others as they work toward solving problems in their own countries. These initiatives include the Forum's International Conferences, the Young Professionals program and the Global Dialogue on Federalism program.

The Forum's Global Programs are linked, in various ways and degrees, to all three of the Grant Agreement's objectives: building international networks fostering the exchange of experience on federal governance, enhancing mutual learning among practitioners of federalism, and disseminating knowledge and technical advice to existing and emerging federations.

### INTERNATIONAL CONFERENCES

The Forum of Federation's International Conferences are held every three years and bring together practitioners of federalism, academics and representatives of NGOs to interact and learn from one another.

The Fourth International Conference on Federalism was a two-and-a-half-day event held in New Delhi in November, 2007. The Forum worked closely with the Indian Government's Inter-State Council Secretariat and the organizing committee to identify advisors from seven countries, integrate a youth component, develop the conference themes and format, and produce the pre- and post-conference publications.

The conference had four broad themes developed by leading Indian and international authorities on federalism:

- Building on and Accommodating Diversities
- Emerging Issues in Fiscal Federalism
- Interaction in a Federal System
- Local Government and Federal Systems

The table below summarizes statistics from the 2007 International Conference in comparison to the three preceding events.

**Table 5: Comparison of the International Conferences (1999 through 2007)**

	Tremblant 1999	St. Gallen 2002	Brussels 2005	New Delhi 2007
Total Number of Countries	24	60	80	116
Total Number of Participants	600	600	800	1,300
Youth	100	50	50	50
Keynote Speakers	38	24	39	38
W.S. Role Speakers	66	260	120	240
Total Cost (US \$)	\$1,735,000	\$3,142,000	\$2,324,000	\$5,605,000

The New Delhi event was clearly the largest of the Forum's International Conferences to date. With 1,300 participants, attendance was up more than 60% from the Brussels conference. The number of countries represented also increased significantly (up by 45%) from the previous event.

The International Conferences are clearly successful in furthering the Forum's objectives as defined in the Grant Agreement. The high attendance levels confirm that the Forum is reaching numerous and diverse beneficiaries. This contributes to building its international network, and enables the Forum to reach a broader audience with its efforts to enhance mutual learning and understanding, and disseminate knowledge and technical advice.

In addition, there is consistent growth in the numbers of participants and participating countries from each conference to the next. This is evidence that the conferences are relevant and engaging to practitioners of federalism. It also suggests that the Forum is having an impact in increasing global awareness of federalism.

While the cost of the 2007 International Conference was the highest to date, nearly \$500,000 of the expenses were funded by the host country, India. In addition, ensuing from the success of this event, India has expressed an interest in significantly increasing its support to the Forum. This represents an important development for the Forum in attracting and leveraging the resources of its Partner Countries.

Youth attendance at the 2007 International Conference remained unchanged from the previous two events (50 participants) while overall attendance increased. However, as explained in the next section, in the last two years, the Forum has re-defined its approach by targeting young professionals, a more select group, rather than youth at large.

## **YOUNG PROFESSIONALS PROGRAM**

Throughout the evaluation period, the Forum of Federations has been actively engaged in assessing and redesigning its approach toward youth and young professionals.

Until 2006-2007, the Forum offered its Youth Program, consisting mainly of: the International Youth Network, the Summer Sessions, Youth Internships, and the Carrefour Suisse Program.

Based on an internal review conducted in 2006-2007, the Forum judged that the Youth Program, "constituted as such, had proven difficult to manage and too heavy a draw on the core budget, given the benefits".<sup>14</sup> With regard to its specific components, the evaluation found that:

- The International Youth Network should be replaced with a new organizational matrix.
- The Summer Sessions should be terminated due to high operational costs, staff labour intensity and low funding. As an alternative, the launch of a post-graduate educational program based on existing summer programs, was considered.
- The Youth Internship Program had been too heavily subsidized and an increase in CIDA-funded interns to a minimum of five was essential to bringing administrative costs down, if the program was to continue. It was proposed that, in the longer-term, young professionals from Partner Countries would be invited to work for the Forum for short assignments.
- The Carrefour Swiss Program should be terminated.

Moving forward, the Forum decided to focus its programming for youth on activities aimed at a smaller and higher-level group of young professionals with a demonstrated interest in federalism – typically, these would be individuals between 25 and 35 years old, rather than students.

In the last two years, the Forum has been developing its Young Professionals Program to engage young politicians, academics, journalists, and officials from around the world in dialogue on federalism for mutual learning. Activities in this program are designed to integrate future leaders into the Forum's international network and to provide a young professionals perspective on the practice of federalism.

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<sup>14</sup> Forum of Federations, *The Forum of Federations Annual Plan 2006-2007*, page 5.

The table below summarizes the Forum's programming aimed at youth and young professionals over the evaluation period. Given the major changes to this programming, and the two distinct programs pursued over the period from 2005-2006 to 2007-2008, this period is considered without comparative analysis to 2004-2005 as a baseline.

**Table 6: Youth and Young Professionals Programming (2005-2006 through 2007-2008)<sup>15</sup>**

2005-2006	2006-2007	2007-2008
<p><u>International Youth Network</u></p> <ul style="list-style-type: none"> <li>▪ Meeting of 8 representatives from 6 countries on the International Youth Network Committee</li> </ul> <p><u>Internships</u></p> <ul style="list-style-type: none"> <li>▪ Participation by 3 young Canadian graduate students in internships at: the Community Law Centre of the University of Western Cape, South Africa; the Institute of Governance and Social Research in Jos, Nigeria; and, the Centre of Policy Alternatives in Colombo, Sir Lanka</li> </ul> <p><u>Carrefour Suisse Program</u></p> <ul style="list-style-type: none"> <li>▪ College students from Quebec and Switzerland share their interests in politics, economics and international culture</li> </ul> <p><u>Triumvirate</u></p> <ul style="list-style-type: none"> <li>▪ First North American interparliamentary simulation held in the Senate of Canada, with participation of 70 students from 10 different universities in Canada, Mexico and United States</li> </ul>	<p><u>Young Professionals Steering Committee</u></p> <ul style="list-style-type: none"> <li>▪ Founding meeting of the Committee composed of 5 international representatives re: planning of the Fourth International Conference on Federalism in India</li> </ul> <p><u>Internships</u></p> <ul style="list-style-type: none"> <li>▪ 3 interns went on 6-month work terms in 2 agencies in South Africa: the Community Law Centre at University of Western Cape and the Centre for Land-related, Regional and Development Law and Policy at University of Pretoria</li> </ul> <p><u>Presentations at Universities</u></p> <ul style="list-style-type: none"> <li>▪ Université Libre de Bruxelles</li> <li>▪ University of Khartoum</li> <li>▪ Addis Ababa University (M.A. planning)</li> </ul>	<p><u>Young Professionals Steering Committee</u></p> <ul style="list-style-type: none"> <li>▪ Asia-Pacific Roundtable of Young Professionals</li> <li>▪ European Roundtable of Young Professionals</li> </ul> <p><u>Presentations at Universities</u></p> <ul style="list-style-type: none"> <li>▪ Concordia University</li> </ul> <p><u>International Conference</u></p> <ul style="list-style-type: none"> <li>▪ 50 young professionals participated in the young professionals component of the conference</li> </ul>

As the events enumerated in the table indicate, the Forum has made efforts over the evaluation period to involve first youth and, later, young professionals in its organizational and programming activities, even as it redesigned its approach. The diversity of the programming demonstrates that the Forum is working to provide youth with opportunities to engage in mutual learning processes, as stated in Article 2.3.1 of the Grant Agreement. Conscious of cost efficiency issues involved in its original youth programming, the Forum has redesigned its approach to be more targeted toward the most concerned candidates, young professionals. In this way, the Forum has strengthened its position. However, this is a developing area for the Forum at this time.

<sup>15</sup> Forum of Federations, *Annual Report 2005-2006, Annual Report 2006-2007, and Events Lists 2005-2006 to 2007-2008*.

## GLOBAL DIALOGUE ON FEDERALISM PROGRAM

A Global Dialogue is a program<sup>16</sup> of workshops, conferences and related discussion forums and publications on different themes in federalism. The program creates ongoing opportunities for practitioners, scholars, and young professionals to share their experiences and academic research and to produce enduring comparative resources about current and emerging issues on federalism.

By involving practitioners (those elected and those non-elected in the civil service, civil society, business community and youth) and experts (academic community)<sup>17</sup> in national and international settings, the Global Dialogue Program is linked to the Grant Agreement's first objective, "building international networks fostering the exchange of experience on federal governance," as well as to its sub-objective of "enhancing the Forum's international profile."

As well, the Global Dialogue Program is linked to the Grant Agreement's second objective of "enhancing mutual learning and understanding among practitioners of federalism." It may also contribute to the third objective of "disseminating knowledge and technical advice of interest to existing and [emerging] federations..." by initiating participants and fostering their future interest.

The Global Dialogue Program is based on a "knowledge spiral" model<sup>18</sup> which involves a multi-stage and multi-level process of shared oral discussions among practitioners and experts (Country and International Roundtables) combined with written observations and reflections ("practical" and "concise" Global Dialogue Booklets published from country roundtables followed by "academic" and "in-depth" peer-reviewed comparative analyses contained in Global Dialogue Books published with insight from international roundtables).<sup>19</sup>

Initially, the Forum received core funding to establish the Global Dialogue on Federalism Program from the International Association of Centers for Federal Studies (IACFS) in early 2002. Since that time, the Forum has established collaborative agreements with 61 other prominent organizations that provide direct or in-kind contributions to the program. These collaborating organizations (governmental, academic or institutional) are represented by high-level authorities and personnel.<sup>20</sup> This attests to the Forum's wide range and high level of collaborations throughout the world, evidence of its success in building international networks and enhancing its international profile.

The next section presents this evaluation's own assessment of the Global Dialogue on Federalism Program with respect to the objectives set out in the Grant Agreement. The subsequent section ties in relevant findings from the Global Dialogue Program Evaluation from 2007.

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<sup>16</sup> Forum of Federations, <http://www.forumfed.org/en/global/dialogue.php>.

<sup>17</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 7.

<sup>18</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 5.

<sup>19</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 26-27.

<sup>20</sup> Forum of Federations, <http://www.forumfed.org/en/global/gdpartners.php>.

## GLOBAL DIALOGUE PROGRAM EVALUATION: 2008

### Global Dialogue Roundtables

The table below summarizes the country and international roundtables held on the seven themes<sup>21</sup> from 2002 through 2008 with the estimated number of participants per year. Participation estimates for the 2008 roundtables are not yet available.

**Table 7: Global Dialogue Roundtables (2002 through 2008)**

	Theme 1 2002	Theme 2 2003	Theme 3 2004	Theme 4 2005	Theme 5 2006	Theme 6 2007	Theme 7 2008
Argentina			✓		✓		
Australia	✓	✓	✓	✓	✓	✓	✓
Austria			✓		✓	✓	
Belgium	✓	✓			✓		✓
Brazil	✓	✓		✓		✓	✓
Canada	✓	✓	✓	✓	✓	✓	✓
China				✓			
Ethiopia							✓
Germany	✓	✓	✓	✓	✓	✓	✓
India	✓	✓	✓	✓	✓	✓	✓
Malaysia				✓	✓		
Mexico	✓	✓				✓	
Nigeria	✓	✓	✓	✓		✓	✓
Russia	✓		✓	✓			✓
South Africa	✓		✓	✓	✓	✓	
Spain		✓		✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓	✓
United States	✓	✓	✓	✓	✓	✓	✓
<b>Number of Countries</b>	<b>12</b>	<b>11</b>	<b>11</b>	<b>13</b>	<b>12</b>	<b>12</b>	<b>12</b>
<b>Estimated Number of Participants</b>	<b>183</b>	<b>181</b>	<b>179</b>	<b>280</b>	<b>219</b>	<b>263</b>	

✓ Country Roundtables

✓ International Roundtables

On average, 12 Global Dialogue roundtable sessions are held per year and to date a total of 18 countries have hosted these events. More than half of these countries have continued their participation through five or more of the themes. Interest in the Global Dialogue roundtables has grown as themes have been added: the average number of participants for Themes 1 through 3 was approximately 180 while Themes 4 through 5 averaged 250 participants. By the end of 2008, approximately 1,500 participants will have taken part in the Forum's Global Dialogue roundtables.

<sup>21</sup> Theme 1: Constitutional Origins, Structure, and Change in Federal Countries (2002); Theme 2: Distribution of Powers and Responsibilities in Federal Countries (2003); Theme 3: Legislative, Executive and Judicial Governance in Federal Countries (2004); Theme 4: The Practice of Fiscal Federalism: Comparative Perspectives (2005); Theme 5: Foreign Relations in Federal Countries (2006); Theme 6: Local Governments and Metropolitan Regions in Federal Countries (2007); Theme 7: Diversity in Federal Systems (2008)

The high participation levels confirm that the Forum's Global Dialogue roundtables are engaging numerous and diverse beneficiaries. This contributes to building its international network, and enables the Forum to reach a broader audience with its efforts to enhance mutual learning and understanding, and disseminate knowledge and technical advice.

In addition, there is consistent growth in the number of participants and strong continued participation by host countries from one theme to the next. This is evidence that the roundtables are relevant, effective and engaging to practitioners of federalism. It also suggests that the Forum is having an impact in increasing global awareness of federalism.

### Global Dialogue Publications

Global Dialogue Publications include the Global Dialogue Booklets and Books which are lasting by-products of the roundtable sessions. Each Global Dialogue theme is accompanied by a booklet and a book. The booklet is an overview of the key insights and issues raised at the roundtable while the book explores the theme in greater detail. The first of these publications were newly launched at the beginning of the evaluation period. The table below summarizes their distribution to date.

**Table 8: Global Dialogue Booklets and Books (2005 through 2007)**

	Booklets						Books			
	1	2	3	4	5	6	Vol. 1	Vol. 2	Vol. 3	Vol. 4
Launched	Feb-05	Feb-05	Jan-06	Jun-06	Feb-07	Oct-07	Feb-05	Jan-06	Sep-06	Sep-07
Argentina	87	87	87	112	62		25	25		5
Australia	70	70	45	20			70	25		
Austria	160	160	160	135	115		45	25		
Belgium	25	25	25				25	25		
Bolivia	20	20	20	20	20					
Brazil	125	125	85	430			115	30		
Canada	192	242	109	111	28		126	83	8	
China							1			
Ethiopia	64	64	64	64	180		48	48	44	44
Germany	175	175	150	125	100		142	27	2	
India	90	90	50	25			317	25		
Iraq	68	68	8	8	8					
Malaysia	55	55	25				55	25		
Mexico	40	40	40	40			40			
Nigeria	65	55	25	135			55	10		110
Philippines	20	20					14			
Russia	20	20					20			
South Africa	95	95	75	75			95	25		
Spain	73	73	45	20			70	25		
Sri Lanka	82	82	60	60	60	60	62	60	60	60
Sudan	270	438	320	302			96	112		
Switzerland	96	96	50	25	30		82	25		
United States	101	101	75	50			95	25		
<b>Total</b>	<b>1,992</b>	<b>2,200</b>	<b>1,518</b>	<b>1,757</b>	<b>603</b>	<b>60</b>	<b>1,597</b>	<b>620</b>	<b>114</b>	<b>219</b>
Number of Languages	5	5	5	5	5	5	2	1	1	2

Naturally, the earlier volumes in each series have higher distribution totals as they have been available longer. As well, the publications available at the time were promoted at the 2007 International Conference.

To date, the Booklets and Books have been distributed in 22 and 21 countries respectively. There is clearly interest in these publications that extends far beyond attendees at the roundtable sessions. For example, Booklets 1 and 2 have an average distribution of approximately 2,100 copies each while the number of participants at the roundtables for Themes 1 and 2 averaged only 180 each.

Further evidence of the relevance and impact of these publications is found in the demand for translation. To date, the Booklets have been translated in up to five languages (English, French, German, Spanish and Arabic) and the Books are available in English. The French version of Book 1 is available on the Forum's website, and Book 4 has been translated into Portuguese. Going forward, the availability of these publications in a variety of languages increases their accessibility and usefulness in the Forum's international context.

The accessibility of the Global Dialogue Booklets and Books was also aided by a new contract with McGill-Queen's University Press beginning with the publication of Volume 3 that gave the Forum "the right to sell [the publications] from its website, in either hardcopy or electronic form."<sup>22</sup> The Forum is evaluating whether it is cost-effective for it to sell publications off its website.

Over the last three years, through its development of these publications, the Forum has made a significant effort toward its objectives of disseminating knowledge on federalism, enhancing mutual learning and understanding, and building international networks fostering the exchange of experience. The distribution figures are evidence of the Forum's success in reaching a large number of beneficiaries with these publications, with the likely result that the Forum is having an impact in increasing global awareness of federalism.

## **GLOBAL DIALOGUE PROGRAM EVALUATION: 2007**

### **Internal and External Evaluation Methodologies**

The 2007 Evaluation of the Global Dialogue Program was conducted on two levels: internally since the beginning by the Forum through one-page evaluation forms to roundtable participants and externally by an independent evaluator (Peter Meekison) in late 2006-early 2007.

### **Internal Evaluation Results**

Between 2002 and 2006, addressing Themes 1 to 5, the Forum collected 349 total evaluation forms from participants to country roundtables (269) and international roundtables (80).<sup>23</sup>

### **Overall Satisfaction**

Responses from the 349 internal evaluation forms indicated consistently favourable answers to the question on overall satisfaction with the country and international roundtables attended. Combined average scores for the Themes ranged from 4.52 to 4.77 (4 points = good, 5 points = very good).

### **Roundtable Organization**

According to the presentation of comments and observations in the Meekison Evaluation, "The mix and diversity of participants was appreciated for having allowed a more multidisciplinary approach and was seen as differing from the 'usual academic meeting'. There were several comments on the usefulness and value of a comparative analysis. However, there were a few questions raised on the time allowed for discussion and the need for more comparative discussion."<sup>24</sup>

<sup>22</sup> Peter Meekison, *A Global Dialogue on Federalism : Program Evaluation*, March 2007, p. 26

<sup>23</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 10-11.

<sup>24</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 12.



### **Most Important Issues Discussed**

In essence, the most important issues discussed according to roundtable participants were: executive federalism; globalization; centralization vs. decentralization; power sharing structures in various countries (Switzerland, Nigeria, India); accountability, transparency and fiscal federalism; allocation and control of natural resources revenues; equalization and/or fiscal imbalance; fiscal arrangements for aboriginal peoples; allocation of taxing authority; intergovernmental relations; sub-national governments in foreign relations; immigration; and, overall relationship between federal and state governments.<sup>25</sup>

### **Stimulation of New Ideas**

Answers to an open-ended question on the contribution of the event to the stimulation of new ideas, identified the following: impact of globalization on federalism; importance of comparative analysis; and, issues of accountability. Comments offered included:<sup>26</sup>

“Collectively, learning about the practices and features of federations unknown to me stood out as very valuable.”

“During the discussions, I got a much better understanding of the variations (and the flexibility) of federalism, enabling federal states to adapt to varying circumstances and social conditions.”

“Yes, it helped me a great deal in appreciating distinctive aspects of my own country.”

### **External Evaluation Results: Country Roundtables**

Within the independent evaluation, more than 300 questionnaires were sent out to all country theme coordinators, the Editorial Board, the Strategic Council, the Forum Board and a random sample of country roundtable participants. The response rate to the questionnaire was approximately 40%.<sup>27</sup>

### **Overall Satisfaction**

According to the Meekison Evaluation, “The overall judgment of the Global Dialogue Program from the perspective of participants in the country roundtables was very favourable.”<sup>28</sup>

### **Roundtable Organization**

Approximately 90% of respondents from country roundtables either agreed or strongly agreed with what had been done with respect to the organization, the materials distributed and their timelines, the size of the roundtable and the range of views presented. Furthermore, there was definite agreement on the strong level of knowledge and experience of the roundtable participants, on the range of different experiences and on the balance between practitioners and academics. The report adds that a significant number of respondents learned about both the Forum and the IACFS at the roundtables. Visits to both the Forum and IACFS websites increased after the events.<sup>29</sup>

These results indicate, for the purposes of the Forum’s present evaluation:

- Effectiveness in the logistical organization of country roundtables;
- Success in attracting relevant participants both in terms of their background as practitioners or academics and with respect to their level of knowledge; and,
- Effectiveness in enhancing the Forum’s profile with participants.

<sup>25</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 12-14.

<sup>26</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 14.

<sup>27</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 10-11.

<sup>28</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 15.

<sup>29</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 16.

## Networking

According to the Meekison Report, responses indicate that country roundtables were reasonably successful in achieving one of the main objectives of the program: stimulating networking among individuals with common interests in the study and practice of federalism. Although two thirds of respondents knew either most or at least some of the other participants, the vast majority also indicated that they made new acquaintances and had made further contact with other roundtable participants.

With respect to differences between Global Dialogue roundtables and other events where they meet with similar groups of people, respondents replied that the difference was the combination of practitioners and academics. Comments included the following:<sup>30</sup>

“It is a rare opportunity where scholars and practitioners, legislators, executives and ministerial bureaucracies meet to exchange ideas.”

“Most conferences or workshops that I attend are academically oriented with no interdisciplinary or practitioner content. They are unique from that perspective.”

Others found the roundtables, assisted by theme templates, particularly focused and structured. Several commented on the fact that no papers were presented which allowed more interaction and discussions.

These observations indicate, for the purposes of the Forum’s present evaluation:

- Effectiveness of country roundtables in stimulating, to a certain degree, networking among participants;
- Relevance of country roundtables with respect to their unique formula bringing together practitioners and experts or academics to discuss “in an informal, confidential, frank manner”<sup>31</sup>, issues of federalism; and,
- Effectiveness of the semi-structured format with theme templates guiding free discussion and dialogue among all participants, rather than formal presentations and question periods which often involve only a few.

## Roundtable Themes

Respondents agreed with the choice of themes selected for the five roundtables. They also found the themes sufficiently defined which can partly be attributed to the theme templates.

Suggestions for future themes were numerous, including: focusing on sectoral issues in federal systems (education, health, environment, etc.); focusing on policy fields (health, economic development, environmental protection, energy, etc.); focusing on issues (managing economic, linguistic, religious and ethnic diversity); and, implementing federalism in aspiring or emerging federations such as Iraq or Sudan.

## Impacts of Country Roundtables

Regarding the likelihood of the Global Dialogue Program having an impact<sup>32</sup> on decision-makers in the participants’ countries, half of the respondents were undecided while the others were divided between “likely”, and “unlikely”. Among those who responded “unlikely”, comments were made to the effect that: impact on decision-makers was not the aim of the program; decision-makers were unfortunately not much affected by comparative perspectives; and the program can only have a long-term influence. However, one respondent indicated that Global Dialogue Books could contribute to shaping policy options. Suggestions for program modifications included greater participation of elected representatives and senior policy makers, as well as more policy-related research on federalism.

<sup>30</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 17.

<sup>31</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 19.

<sup>32</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 19-20.

With respect to the value added by the program to the study and understanding of comparative federalism, the vast majority either “strongly agreed” or “agreed” that the program added value.

Concerning program development, some respondents indicated the need to expand the reach of the program including greater publicity, more coverage and opinion pieces in the mass media, and availability of publications in other languages.

The vast majority of respondents clearly indicated that the program had an impact on their work, with respect to advancement of research, increase of knowledge, and ability to envision comparative perspectives.

These observations indicate, for the purposes of the Forum’s present evaluation:

- Good performance in producing desired impacts on:
  - Enhancement of mutual learning and understanding among participants; and,
  - Dissemination of knowledge among participants.
- Questionable capacity in producing desired impacts on:
  - Decision-makers’ approaches; and,
  - Decision-making policies.

### **Additional Comments**

In general, comments made were very supportive of the program. Among additional comments made by country roundtable participants were.<sup>33</sup>

“Their success depends greatly on their subject matter and the expertise that they draw on.”

“Country coordinators are an important resource for the Forum to utilize in other activities.”

## **External Evaluation Results: International Roundtables**

### **Roundtable Organization**

All 26 respondents either strongly agreed or agreed that they had received the support and information necessary to participate in the roundtables. The vast majority indicated that they received the materials well in advance, the size of the roundtable was appropriate for the purpose of the discussion, and that there was adequate time for discussion.<sup>34</sup>

A quarter of the respondents thought that there should be more diversity amongst participants, and hence that their number should increase. It is, however, indicated in the report that, as the program evolved, the size of the international roundtables was decreased due to cost considerations.

These results indicate, for the purposes of the Forum’s present evaluation:

- Effectiveness in the logistical organization of international roundtables.

### **Networking**

The majority of respondents knew at least a few people at the roundtable. At the same time, the majority had also made new acquaintances and further contacts with other roundtable participants. Most respondents considered that there was sufficient time for networking; however, nearly half suggested that contact information of participants should be circulated after the event.

<sup>33</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 21.

<sup>34</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 21.

Regarding differences between international roundtables and other events, respondents thought the audience was more specialized and the conference more focused, convivial and interactive. Comments included the following<sup>35</sup>:

“There were differences in perspectives from developing and developed countries and large and small federations.”

“The presence of practitioners distinguishes these from purely academic gatherings and introduces more concern about practicalities than just theories.”

These observations indicate, for the purposes of the Forum’s present evaluation:

- Effectiveness of international roundtables in facilitating networking among participants;
- Relevance of international roundtables with respect to their unique formula bringing together practitioners and experts or academics to discuss not only theories but also practicalities of federalism; and,
- Effectiveness of the semi-structured format which allows for structured yet convivial interaction amongst a highly specialized audience.

### ***Impacts of International Roundtables***

The majority of respondents indicated that the roundtable had an impact on their work, three of which stated that it was important to their future research, and one of which commented that the discussions provide insights on specific problems faced by federal regimes under different circumstances. Also, half of the respondents had participated in other Forum-sponsored events.<sup>36</sup>

### ***Additional Comments***

Of the 26 respondents, five gave additional comments. Three thought that the presentations were very useful. One thought that the roundtables afforded the opportunity to discuss, in a comparative perspective, issues that are often ignored, but that are important. A few others raised questions regarding: the descriptive aspect of presentations; value for money; and, the selection of coordinators, commentators, paper-writers, discussants and reviewers.<sup>37</sup>

## **External Evaluation Results: Global Dialogue Publications**

### ***Readership***

Respondents to the survey thought that the booklets would have greater appeal to the general public and elected officials than the books, whereas the books were perceived to have greater appeal to academics, students and libraries. “This distinction does not come as a surprise given the more academic nature of the books.”<sup>38</sup>

Country roundtable respondents were familiar with the publications with some having looked at them all and others having looked only at the publication resulting from their roundtable.

The vast majority answered “do not know” as to whether the booklet and book series are reaching their respective audiences. Nevertheless, the vast majority also agreed or strongly agreed that both publication series were worth collecting.

Interestingly, an important majority indicated that they had not seen any advertisements for the Global Dialogue publications, although most had indicated having visited the Forum’s website after the roundtable.

<sup>35</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 22.

<sup>36</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 23.

<sup>37</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 23.

<sup>38</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 26.

### **Usefulness**

A vast majority of respondents either agreed or strongly agreed that both the booklet and book series were useful.<sup>39</sup>

The booklets were described as: a good overview; concise; a very readable introduction to the topic; practical; and, a mechanism for interesting readers in the longer publications. For example, booklets were said to be useful for parliament newcomers and MPs, for teaching, and reading in a seminar. Others stated that the booklets would be useful for practitioners, whereas the books would be more useful for academics.

Largely the books were described as an excellent resource for academic research and policy-makers, providing an authoritative picture of each country with in-depth coverage of particular aspects of federalism in a very useful comparative format.

### **Publication Process**

Regarding the writing/editorial/review process, respondents' commented on such challenges as the length of time to produce book volumes especially when they are peer-reviewed and translated, as well as the quality and time necessary for translation.

### **Distribution**

The books and booklets purchased by the Forum are distributed in a variety of ways. They are given to the authors, sent out to be reviewed, sold at Forum events, presented to distinguished visitors or used for promotional purposes. Data reveals that sales figures for Volume 1 in the book series increased significantly after Volume 2 was published. "It would appear that, as additional volumes in the series become available, sales of previous volumes could increase."<sup>40</sup>

"Book and booklet sales figures as of November 2006 are very respectable for this type of specialized publication. As the book series serves more as a reference, the volumes are more likely to be included as supplementary reading material as opposed to being adopted as textbooks. Individual volumes are likely to be placed in a reserve reading room in the library. In addition, students can be directed to the Forum's website to access the material. There are few university courses offered on comparative federalism and they usually are at the senior or graduate level where enrolments tend to be smaller. Once the full series is developed, they could very well act as a stimulant for the development of such courses or as a unit in a course on comparative politics."<sup>41</sup>

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<sup>39</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, pages 27-29.

<sup>40</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 29.

<sup>41</sup> Peter Meekison, *A Global Dialogue on Federalism: Program Evaluation*, March 2007, page 29.

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## PUBLIC INFORMATION AND EDUCATION SERVICES AND PRODUCTS

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The Public Information and Education Services Division of the Forum is responsible for the production, diffusion and distribution of its information, communication and educational tools and materials such as: *Federations* magazine; the Forum's website; various audio-visual and educational materials; and, manuals and publications.<sup>42</sup>

These tools and materials contribute, in various ways and degrees, to all three of the Grant Agreement's objectives: building international networks fostering the exchange of experience on federal governance, enhancing mutual learning among practitioners of federalism, and disseminating knowledge and technical advice to existing and emerging federations.

Furthermore, the Division plays a key role in the Forum's effort to meet its objectives under Article 2.3.2 of the Grant Agreement with respect to increasing global awareness and knowledge of federalism by sharing and making accessible information and comparative perspectives. It also makes a significant contribution toward the objectives in Article 2.4 with respect to enhancing the Forum's international profile.

The subsequent sections present and analyze the available information and data on these tools and materials to assess their contribution to the Forum's efforts to meet its objectives under the Grant Agreement.

### **FEDERATIONS MAGAZINE**

*Federations* magazine carries articles on current developments in federal systems of government and related thematic issues. It is available on the Forum's website in HTML and PDF formats or in print by subscription. The magazine represents an important element of the Forum's corporate image and gives it visibility, thus contributing to the enhancement of the Forum's international profile.

*Federations* magazine is currently published three times a year with 32 pages. It has recently been re-designed, with content oriented toward more thematic issues and an on-line edition. About half of the content is devoted to a theme of federal governance (such as fiscal federalism, post-secondary education in federal countries or diversity and intergovernmental relations in federal systems); the other half presents news, events and developments in federal countries.<sup>43</sup>

On average, *Federations* magazine is distributed to approximately 10,000 recipients each year. The magazine is mailed to 6,408 recipients from Canada (2,588), the United States (1,065), and other countries (2,755).<sup>44</sup> The magazine is also distributed at all Forum events. According to data provided by the Forum (Table 9), *Federations* magazine has reached at least 3,400 additional recipients in each year of the evaluation period through distribution at the Forum's promotional and programming events (including Governance and Global Programs). These events were held in 22 different countries hence fluctuations in regional distribution of the magazine coincide with the locations hosting Forum activities. For example, the spike in distribution in India, in 2007-2008, coincides with the International Conference.

*Federations* magazine is routinely published in English, French, Spanish and Russian. There have also been special editions translated in Arabic, Tamil and Sinhala using funds from development assistance contracts.<sup>45</sup>

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<sup>42</sup> The Division is also responsible for the publication and distribution of the Booklets and Books for the Global Dialogue on Federalism Program which were discussed in the preceding section Global Programs.

<sup>43</sup> Forum of Federations, *Topic: Federations Magazine: Frequency of Publication and Languages of Publication.*

<sup>44</sup> Forum of Federations, *Topic: Federations Magazine: Frequency of Publication and Languages of Publication.*

<sup>45</sup> Forum of Federations, *Topic: Federations Magazine: Frequency of Publication and Languages of Publication,.*

These findings attest to the Forum's efforts to expand the availability of the magazine to a wider audience, ensure that its content is relevant and foster its accessibility. These are key considerations in the Forum's pursuit of its objectives with respect to enhancing its international profile, contributing to building international networks, enhancing mutual learning, and disseminating knowledge.

**Table 9: Distribution of *Federations Magazine* at Forum Events (2005-2006 through 2007-2008)**

	2005-2006	2006-2007	2007-2008
Argentina		25	80
Australia	50	20	
Austria		45	115
Belgium		25	
Bolivia			40
Brazil	310	280	250
Canada	321	259	436
Ethiopia		250	100
Germany	25	57	30
India	40	50	2,000
Iraq	2,120	290	12
Malaysia	30	25	
Mexico		1,790	1,500
Nigeria	30	25	120
Philippines	200		
Russia	30		
South Africa	20	25	50
Spain	25	25	20
Sri Lanka	72		2,500
Sudan	110	45	70
Switzerland	75	50	30
US		75	
<b>Total</b>	<b>3,458</b>	<b>3,361</b>	<b>7,353</b>

## WEBSITE

The Forum's website was re-designed in 2006-2007 to showcase the organization's dynamism including its own governance structure and Annual Reports on results achieved, its array of Governance and Global Programs, upcoming and past events, and its resources (the Federalism Library with approximately 1,000 documents and the Forum's many products such as *Federations* magazine, the newsletter, publications, and multimedia and educational materials). This is expected to result in improved recognition of the Forum among stakeholders and the general public.

The website has both promotional and educational uses. For instance, within its training project on democratic federalism with 12 Iraqi academics in August, 2007, the Forum presented and used its newly re-designed website, including educational materials in Arabic.

Since the launch of the new website in June, 2007, the Forum has been compiling statistics on its use including average page views per day, the country the visit originates from, etc. Between July, 2007, and March, 2008, the average number of unique visitors whose visits exceeded 30 seconds, according to Primus Urchin statistical reports, went from 182 per day at the time of the launch, to 180 per day in November, 2007, and to 193 per day in March, 2008. Tracking these statistics will allow the Forum to

monitor important trends (for example, fluctuations in page views before and after major events) and verify the relevance of the site's content and the effectiveness of its visual format.

The Forum's website also offers access to its newsletter, *@forumfed*. The Forum began publishing a revamped edition of this newsletter in 2007-2008 to keep stakeholders better informed of its activities and events. The newsletter is distributed quarterly to nearly 5,000 recipients.

## AUDIO-VISUAL AND EDUCATIONAL MATERIALS

The Forum produces and offers audio-visual educational material derived from its activities. According to figures provided by the Forum, at events held since 2005-2006, these products have been distributed to over 560 people in the various countries. These products include:

- Exploring Federalism: The Kingston Sessions  
Ten DVD modules on federal themes, based on footage from an Iraq study tour to Canada in 2006.
- The Challenge of Diversity: The Federal Experience  
A video describing how five countries (India, Switzerland, Belgium, Spain and Canada) deal with their diverse ethnic and linguistic characteristics through their federal systems. Available in two versions: bilingual (English and French) and trilingual (Arabic, Sorani-Kurdish and English). The bilingual version is available on the Forum's website via streaming video.
- Speaking of Federalism  
An exploration of the ideas that were generated at the International Conference on Federalism in Saint Gallen, Switzerland in 2002, as expressed in the words of the participants.
- Mont-Tremblant CD-ROM  
A CD-ROM was designed to disseminate the lessons learned at the 1999 Mont-Tremblant conference on federalism containing speeches and background papers, as well as video and audio clips.

These educational materials are a developing area for the Forum through which it can leverage the content of its events and the accessibility of its website to further enhance its dissemination of knowledge and technical advice.

## OTHER PUBLICATIONS

In addition to its Global Dialogue on Federalism Booklets and Books, the Forum also produces other publications offering either introductory information or in-depth analysis of federalism in comparative and international perspectives. The Forum has financed the production of key publications from its externally-funded development assistance activities. During the evaluation period, the Forum launched six new titles, mainly available in English and French. According to data provided by the Forum, the top three in terms of distribution at Forum events are:

- Handbook of Federal Countries (over 3,300 copies);
- Federalism: An Introduction, written by Forum President George Anderson (over 1,000 copies of the English edition, with publication in four other languages and translation in to eight languages); and,
- Fiscal Relations in Federal Countries (over 1,000).

As well, in keeping with the recent direction of the Forum's programming, there has been a marked increase in Forum publications in Arabic.

The following table summarizes the Forum's other publications produced during the evaluation period with other publications from before 2005-2006 listed comparison.



**Table 10: Other Forum Publications (through 2007-2008)**

Prior to 2005	2005-2008
<b>Other Publications</b>	
<ul style="list-style-type: none"> <li>▪ <i>Handbook of Federal Countries</i>, published by McGill-Queen's University Press (2002, English and French)</li> <li>▪ <i>Fiscal Relations in Federal Countries</i>, published by the Forum (2003, English, French, Spanish and Portuguese)</li> <li>▪ <i>Intergovernmental Relations in Federal Countries</i>, published by the Forum (2002, English, French and Portuguese)</li> <li>▪ <i>The Art of Negotiation</i>, published by Broadview Press, (2002, English, French and Spanish)</li> <li>▪ <i>Federalismo y politicas de salude: descentralizacion y relaciones intergubernamentales</i> (Spanish)</li> </ul>	<ul style="list-style-type: none"> <li>▪ <i>Federalism: An Introduction</i> by George Anderson (2007)</li> <li>▪ <i>Können Verfassungsreformen gelingen? Can Constitutional Reform Succeed</i>, published by the Austrian publishing house Braumuller and edited by the Forum (2008)</li> <li>▪ <i>Competition vs. Co-operation, German Federalism in Need of Reform</i>, published by Nomos, Germany (2007, English and German)</li> <li>▪ <i>Handbook of Federal Countries</i>, published by McGill-Queen's University Press (revised 2005, English and French)</li> <li>▪ <i>Health Care Issues in Large Federal Countries</i>, published by The Observer Research Foundation, New Delhi (2005, English)</li> <li>▪ <i>The States and Moods of Federalism</i>, Published by Les Editions Yvon Blais (2005, English and French)</li> </ul>
<b>Arabic Publications</b>	
<ul style="list-style-type: none"> <li>▪ Constitutional Options for Post-War Iraq (2003)</li> <li>▪ <i>Comparing Federal Systems</i>, published by the Forum (2006, Arabic)</li> <li>▪ Key Terms in Federalism (2005)</li> <li>▪ Models of Federal Power Sharing (2005)</li> <li>▪ United Nations Assistance Mission for Iraq – Office for Constitutional Support, commentary on the Constitutional Review Committee's Draft Report</li> </ul>	<ul style="list-style-type: none"> <li>▪ Federalism Course Materials (2007)</li> <li>▪ Education Materials for Iraqi Federalism Course (2007)</li> <li>▪ Iraq Constitutional Review Committee Report (2007)</li> <li>▪ Iraq Constitutional Review Committee Report (2007)</li> <li>▪ <i>Federalism: An Introduction</i> (2007)</li> <li>▪ <i>Federalism and the Accommodation of Diversity in Ethiopia</i> (2007)</li> <li>▪ <i>Making Federalism Work in Iraq</i>, David Cameron (2006)</li> <li>▪ <i>Fiscal Instruments in Oil and Gas Regimes</i>, by George Anderson (2006)</li> <li>▪ <i>Oil and Gas Institutional Issues</i>, by George Anderson (2006)</li> <li>▪ <i>Comparing Federal Systems</i> (translated and printed in Arabic by the Forum)</li> <li>▪ <i>Regulation of Upstream and Downstream Oil and Gas Operations</i>, by George Anderson (2006)</li> <li>▪ Dialogues on Distribution of Powers and Responsibilities in Federal Countries (2005)</li> <li>▪ Federalism Overview (2005)</li> <li>▪ Federal Options and Other Means of Accommodating Diversity (2005)</li> <li>▪ Resurgence of the Federal Idea (2005)</li> <li>▪ A Short Guide to Fiscal Arrangements in Federal Countries (2005)</li> <li>▪ <i>Federations Magazine</i> – Autumn 2005</li> </ul>

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## FINANCE AND OPERATIONS

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With the signature of the Grant Agreement with DFAIT in March 2005, the Forum received \$20 million in funding for the period spanning the 2005-2006 to 2010-2011 fiscal years, while an additional \$1.8 million remained from the 2001 grant. The Grant Agreement included a planned draw-down schedule indicating the maximum amount of capital that could be drawn every year, following the principle of a decreasing scale. The intention was that these funds would provide additional support for the Forum's programs and activities, thereby assisting the Forum in realizing a more secure source of revenue.

### COMPLIANCE AUDIT: 2005-2006

Under the terms of the Grant Agreement, the Minister of Foreign Affairs has the right to conduct annual audits of the Forum's activities and financial records to assess compliance with the terms of the Grant Agreement. The first such audit was conducted in the fall of 2006, covering the first fiscal year of the Grant Agreement (2005-2006), and the findings were reviewed as part of the current evaluation process.

The compliance audit reviewed 34 individual clauses of the Grant Agreement and found the Forum to be in compliance with 24 clauses, partially compliant with eight clauses and non-compliant with two clauses. The term "partially compliant" was applied where a clause contained sub-requirements, of which the Forum was found to be compliant with some but not all.

Key areas of full compliance with the terms of the Grant Agreement included "that the Forum had segregated the grant funds as required under the agreement; that the funds had been invested and managed according to the agreement requirements; that the grant funds had been used to support the Forum's programs and activities and that these activities were consistent with the objectives of the Forum's Mission Statement; that the Forum was making efforts to secure funding from other sources as per the grant requirements; that grant funds used to support the Forum's overhead costs did not exceed the limitations set out in the agreement; that the financial audit requirements of the agreement were being adhered to; and that the Forum had met most of its reporting requirements to DFAIT."<sup>46</sup>

With respect to the 10 clauses deemed partially or non-compliant, the audit report made more than a dozen specific recommendations, the majority of which the Forum has already agreed to implement.

For the purposes of the Forum's present evaluation, the most significant finding from the compliance audit was the assessment of compliance with Article 7.3 of the Grant Agreement, pertaining to annual reporting. The audit found that the 2005-2006 reporting package submitted by the Forum to the Minister was missing or deficient in its presentation of:

- The Forum's fundraising efforts (actual efforts, specific results achieved and plans for the next fiscal year);
- Agreements entered into by the Forum with other national and sub-national governments and with other institutions (the nature and objectives of the agreements); and,
- The Forum's performance relative to plans.

Following the recommendations made in the compliance audit report, the Forum has agreed that future annual reporting packages will include more precision on fundraising efforts and other agreements, and report on performance relative to plans. Such enhancements to the Forum's planning and reporting functions are key to its ability to plan and measure its achievements relative to Articles 2.4, 2.5 and 2.6 of the Grant Agreement.

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<sup>46</sup> *Forum of Federations: Compliance Audit Report (Draft)*, Foreign Affairs and International Trade Canada, Office of the Inspector General, Audit Division, January 2008, page 1.

## REVENUES AND EXPENSES: 2005-2006 TO 2007-2008

The table below summarizes the Forum's Revenues and Expenses for the evaluation period. The table includes the 2004-2005 figures as a baseline for the identification of key trends.

**Table 11: Forum Revenue and Expenses (2004-2005 through 2007-2008)**

	2004-2005 <sup>47</sup>	2005-2006 <sup>48</sup>	2006-2007 <sup>49</sup>	2007-2008 <sup>50</sup>
<b>Revenue</b>				
DFAIT-Grant Agreement (2005-2011)	\$4,102,815	\$3,287,900	\$4,346,667	\$4,100,000
DFAIT-Projects	\$80,000	\$171,401	\$357,534	\$290,882
CIDA	\$329,067	\$117,223	\$367,794	\$1,246,794
Government of India Project			\$214,058	
Government of Switzerland Project	\$158,940	\$81,800	\$84,405	\$109,307
Government of Norway Project			\$73,221	\$247,387
Other projects	\$35,010	\$33,280	\$65,351	\$131,583
Other foreign country contributions		\$177,140	\$283,158	\$250,693
National Democratic Institute		\$633,678		
Interest/foreign exchange/other	\$35,169	\$15,496	\$68,358	\$4,727
<b>Total Revenue</b>	<b>\$4,741,001</b>	<b>\$4,517,918</b>	<b>\$5,860,546</b>	<b>\$6,381,373</b>
<b>Expenses</b>				
Advertising and promotion	\$11,437	\$9,641	\$2,491	
Consultants	\$118,128	\$117,807	\$149,097	\$146,153
Grants and honorariums			\$36,000	\$40,000
General operating expenses	\$295,336	\$335,784	\$346,832	\$277,045
Professional fees	\$23,637	\$26,803	\$65,132	\$25,902
Projects	\$3,342,256	\$3,082,620	\$4,471,277	\$5,213,490
Salaries and benefits	\$791,755	\$504,688	\$387,642	\$402,287
Travel	\$40,251	\$105,468	\$15,085	\$91,067
<b>Total Expenses</b>	<b>\$4,622,800</b>	<b>\$4,182,811</b>	<b>\$5,473,556</b>	<b>\$6,195,944</b>

\*General operating expenses consolidates Leased equipment, Meetings and facilities, Office and general, Printing and publications, Rent and Telephone and Internet.

The Forum's annual revenue has increased significantly since 2004-2005. This is primarily due to increases in other Canadian contributions (aside from the funds provided under the Grant Agreement) and increases in contributions from foreign governments.

In keeping with this growth, the Forum's expenses have also increased over the evaluation period, with the increases almost entirely related to additional project costs. The Forum is managing a substantially greater number of activities with no correspondingly significant increase in overhead. In the short-term, this is indicative of the greater efficiencies that the Forum has realized in its management of projects. In the longer-term, the Forum may eventually reach a limit where it cannot continue to extend its administrative capacity without incurring greater overhead costs.

<sup>47</sup> Forum of Federations Audited Financial Statements, March 31, 2005, p. 1.

<sup>48</sup> Forum of Federations Audited Financial Statements, March 31, 2006, p. 3.

<sup>49</sup> Forum of Federations Audited Financial Statements, March 31, 2007, p. 3.

<sup>50</sup> 2007-2008 are preliminary figures provided by the Forum as the fiscal year ending March 31, 2008, is still in the processes of being closed and audited.

## QUALITATIVE EVALUATION: STAKEHOLDER PERCEPTIONS AND FIELD VISITS

PGF Consultants conducted face-to-face stakeholder consultations with Forum of Federations' management and staff, members of its Board of Directors, and officials with the Department of Foreign Affairs and International Trade. Forum Partners and Collaborators representing various countries and organizations were consulted through a written questionnaire. As well, PGF conducted field visits to Brazil and Mexico to meet with stakeholders who are aware and knowledgeable of the Forum's work in their countries. The following sections present the findings of these consultations.

### STAKEHOLDER INTERVIEWS

PGF conducted a total of 13 face-to-face interviews with Forum of Federations' management and staff, members of its Board of Directors, and officials with the Department of Foreign Affairs and International Trade. To ensure consistency as well as conformity with the Evaluation Framework, the interviews followed a structured guide (Appendix C). The responses and comments offered by the interviewees regarding the Forum's performance over the period from 2005-2006 to 2007-2008 have been consolidated and summarized in the sections that follow, both to synthesize the findings and to maintain confidentiality.

#### BUILDING INTERNATIONAL NETWORKS

##### Internationalization

On the whole, the interviewees feel that the Forum has been successful in its pursuit of increased internationalization, citing the new partnership arrangements established over the evaluation period (India, Mexico, Ethiopia, Australia and Germany). Interviewees reflected that challenges remain in reaching the Forum's target of partnerships with 11 national governments in addition to Canada but also expressed optimism for new arrangements in the near future (ex. Brazil).

##### Enhancing the Forum's International Profile

The interviewees agreed that the Forum has substantially enhanced its international profile over the evaluation period. Examples mentioned to support this sentiment included:

- The success of the International Conferences (the steady and significant growth seen in both the number of participants and the number of participating countries);
- The countries add to the Forum's governance and global dialogue programs; and,
- Certain high-visibility activities (ex. the Forum's participation in United Nations conferences on Iraq and its work in Brazil with the finance ministers in the area of fiscal federalism).

The interviewees also referenced increased indications that the news media and universities in other countries are taking notice of Forum events; for example, one host country has indicated that it intends to carry upcoming Forum events on its public broadcasting station.

The interviewees acknowledged that the Forum's international profile has increased the most within countries where activities are held, with relatively less exposure in countries where the Forum is not conducting events. Along these lines, it was noted that the Forum could be making greater inroads with the countries of the European Union.

In conclusion, the interviewees remarked that enhancement of the Forum's international profile must be measured within its context: the Forum is a small organization, conducting a wide scope of activities, spread across the entire globe.

### **Diversification of Funding**

With respect to diversification of funding, the interviewees felt that the Forum had achieved some improvements over the evaluation period (ex. increased commitments from Switzerland and Germany) and noted that additional opportunities exist as evidenced by interest shown by other countries (ex. India).

Some interviewees referred to the Forum's informal 50% target for diversification of its core funding and felt that, in spite of the progress, it might be difficult to achieve as each contributing country wants to contribute on its own basis. In general, additional contributions to the Forum's core funding have come with conditions attached by the contributing country.

Furthermore, the interviewees also noted that the potential for diversification of funding is sometimes limited by the Forum's point of entry with a Partner Country: interior ministries do not have funds for this type of activity, while foreign ministries have larger budgets but face the complications of going through parliamentary processes.

The status of the Forum as a non-governmental organization was also mentioned as an issue for some potential contributing countries (ex. this issue has been raised by both India and Brazil).

In assessing options and opportunities, the interviewees noted that the pool of countries that could be full Forum partners is limited and that most partner countries only contribute the minimum \$50,000 USD annually to the Forum's core funding. As a result, it was felt that the Forum should also be seeking to expand the group of countries holding associate status.

The interviewees confirmed the importance of diversifying the Forum's funding, stating that it cannot afford to be overly reliant on the Government of Canada for its funding as this leaves the Forum vulnerable to political decisions made by Canada. It was agreed that attracting new sources of funding is critical to the Forum's long-term sustainability.

### **Accounting for Contributions from Partners, Collaborators and Stakeholders**

With respect to contributions from partners, collaborators and stakeholders, the interviewees agreed that there is a clear lack of empirical data to support their impressions.

As a group, the interviewees expressed a sense that the Forum's contribution to any given event is usually the smaller portion of its total cost, with the larger portion funded through contributions from partners, collaborators and stakeholders. There was some agreement that state governments, as opposed to federal, usually make up the bulk of the contributions.

In fact, the interviewees explained that the Forum participates in some events that are completely externally funded and that these contributions go unaccounted for. For example, a recent event in Brazil was completely externally funded, with no cost whatsoever to the Forum. The international round tables (each with 100-150 participants) have, to date, been almost 100% externally funded by host governments interested in the subject matter (the Forum's cost for each event is usually limited to honorariums for approximately a dozen experts).

The interviewees agreed that the Forum could improve its accounting for partners' contributions and that this would be somewhat easier with respect to cash contributions than for in-kind contributions.

The interviewees also affirmed that the Forum's contribution is clearly a fraction of its partners' contributions and speculated that this could be captured by developing a formula to estimate the proportions. While this formula would vary by the type of event, by country, and by the number and nature of partners involved, the interviewees felt that it would provide interesting information that would be useful to the Forum for both evaluation and planning purposes.

Some interviewees offered simplified estimates of the likely split between Forum and partner contributions, such as:

- For any given event, the Forum contributes \$3 for every \$10 that is spent in total; and,
- For an International Conference, the Forum contributes \$1 for every \$10 that is spent in total.

## **ENHANCEMENT OF MUTUAL LEARNING AND UNDERSTANDING**

### **Programs and Public Information and Educational Services**

The interviewees feel that the Forum has been generally successful in this area over the evaluation period but also recognize that it is an ongoing challenge.

In enhancing mutual learning and understanding, the Forum faces biases (ex. national, developed versus developing countries, mature versus emerging federations, etc.) and is perceived by the interviewees to be diligent in considering these predispositions when identifying relevant experiences. As well, the Forum is seen to be successful in recognizing the need to encourage and promote wider learning experiences in the face of preconceptions (ex. Mexico has a preference for hearing experts from Germany so it is necessary for the Forum to encourage the inclusion of experts from India or South Africa).

The Forum's awareness of these sensitivities and its proactive approach to mitigating biases was cited by the interviewees as evidence that it successfully seeks to enhance mutual learning and understanding.

The interviewees also signalled that it is not the Forum's role to make recommendations and measure its own success by their implementation; rather, the Forum seeks to make a rich diversity of information available and the success in terms of mutual learning and understanding is seen in the extent to which this information impacts debate or opens up possibilities for the recipient countries and organizations the Forum works with. As such, the Forum's success with respect to the enhancement of mutual learning and understanding is highly qualitative and difficult to measure.

Forum activities with European countries and organizations were mentioned by the interviewees as examples of its greatest success in the facilitation of mutual learning. In contrast, it was noted that the Forum's work in some other countries (ex. Iraq) actually centres – by necessity – more on knowledge transfer with respect to basic information on federalism.

## **DISSEMINATION OF KNOWLEDGE AND TECHNICAL ADVICE**

### **Programs**

The interviewees collectively view the Forum as successful in its efforts to disseminate knowledge and technical advice. They cited the Forum's well-established and growing network, as well as the International Conferences, with the increased interest shown by high-level practitioners, heads of state and heads of government, as evidence to support of their perceptions.

The interviewees felt that the Forum's greatest contribution in this area is in post-conflict societies where there is a dearth of basic information on federalism.

In general, the interviewees believe that the success of the Forum's programs stems from its efforts to adapt its programs and recognize the needs of different silos among the countries it works in. This approach is seen by the interviewees as key to the Forum's effort to ensure that each region receives relevant programs. As an example, interviewees referred to Europe, which requires a different type of programming than post-conflict societies or emerging federations, and needs a specialized program if the Forum is to be relevant to its European partners and attract funding from them.

Increased interest and participation in the Forum's global dialogue programs was cited by the interviewees as evidence of the Forum's success in disseminating knowledge and technical advice through this medium. Similarly, with respect to the Forum's governance programs, the interviewees again reported increases both in requests for interventions and offers to collaborate (ex. the Government of Norway's funding of the Forum's work in Sri Lanka, funding from the World Bank and the National Democratic Institute, etc.) to support their perception of the Forum's success.

In discussing the Forum's global dialogue programs, the interviewees pointed out that the Forum's work is as much about the process as the content: transferring theoretical knowledge (from academics with state of the art knowledge) to the people who will realize the greatest benefit from it. In producing the global dialogue booklets, the Forum is perceived by the interviewees to place the emphasis on creating a synthesis of the discussions, thereby making the booklets as relevant as possible, not just to academics, but to policy makers as well.

### **Public Information and Educational Services and Products**

The interviewees noted that the dissemination of knowledge and technical advice through the Forum's public information and educational services is both one of its greatest strengths (given the high quality materials it produces) and a developing area (given the opportunities that exist for expansion).

In the assessment of the interviewees, the Forum is now creating the types of products that are relevant for educational purpose (ex. recent videos), as well as courses targeted to particular levels of understanding.

Global dialogue publications are the Forum's most sustained effort with respect to the dissemination of knowledge and technical advice. The interviewees agree that these publications make an important contribution to niche, specialist communities and their relevance is validated by brisk sales and increased requests for translations. Similarly, the Forum's global dialogue booklets are also perceived to be popular and accessible, again with demand for translation to other languages taken as indicative of their relevance.

The interviewees reported that the Forum's website gets about 180 hits a day, mostly Canadian (85%), with a visible spike in hits from different countries when the Forum is involved in an event. The Forum approaches its website as a means of making information accessible to those who are interested in it rather than creating interest in the information. Accordingly, the interviewees feel that the Forum is effective in considering the technological limitations of developing countries, and strives to keep its website simple to facilitate the dissemination of information to those who need it the most.

Areas of the Forum's website reported to be frequently accessed and, therefore, deemed by the interviewees to be evidence of the Forum's successful dissemination of the information, include the Federalism Library of over 1,000 documents (with 3,000 different page views since the new website was launched in July 2007) and the Forum's series of ten 20-minute videos on teaching federalism.

The interviewees indicated that publications play a greater role in promoting knowledge transfer initiatives than in accomplishing the actual transfer. For example, an article in *Federations* magazine may promote the knowledge exchange undertaken by a Forum event, rather than disseminating the actual knowledge. As well, the beneficiaries of the knowledge exchange and technical assistance are often small, specific groups that the Forum reaches directly.

The Forum is also seen to be proactive in evaluating its publications to assess their relevance and effectiveness. Interviewees referenced a 2007 survey of *Federations* magazine readers which revealed that they would prefer to see the content shifted to more thematic articles. The Forum adjusted the magazine's content and is running a follow-up survey to validate that the changes that have been made reflect the needs of its readers.

## **OVERALL PERFORMANCE AND FUTURE OF THE FORUM**

### **Progress toward Meeting the Forum's Mandate and Objectives**

On the whole, the interviewees feel certain that the Forum is achieving its mandate and objectives but allow that enhanced understanding and raised awareness are difficult to measure, particularly given that the Forum's mandate is intentionally broad and success is highly qualitative. There is an acknowledged lack of quantitative evidence of the Forum's impact.

The interviewees point out that there is no systematic way of tracking the residual impacts from bringing experts together and the Forum is, by definition, a "network of networks." However, ample anecdotal evidence exists of relationships established and strengthened following Forum events. For example, interviewees described the meeting of the head of the South African local government association with his counterpart from Australia at a Forum event in Brazil in 2002 that subsequently led to the development of cooperation agreements between their countries.

With respect to the Forum's objective of engaging youth, the interviewees felt that the Forum has had some success but that there are obvious limits imposed by "youth" itself: younger people are less experienced and often less available to participate due to the stage they are at in their careers. This creates a bias toward drawing on older experts who are retired practitioners or consultants.

### **Efficiency and Effectiveness**

The interviewees expressed positive feedback on the efforts the Forum has made during the evaluation period to enhance its efficiency and effectiveness with respect to the planning, organization and delivery of its programs, activities and services. The Forum's implementation of a planning process that includes the development of an annual work plan (approved by both the Board of Directors and the Strategic Council), with each business area responsible for reporting on the realization of its own part of the plan, was cited as an example of the Forum's achievements in enhancing its efficiency and effectiveness.

However, the interviewees feel that the Forum still needs to take the planning process further (ex. a three-year planning cycle, enhanced risk management, improved project management capacity, etc.). As well, interviewees note that the financial and operational areas of the Forum are still operating with the same resource levels despite the Forum's growth, and may be reaching their limits.

### **Challenges Met in the Last Three Years**

When asked to identify challenges that the Forum has faced in the last three years and describe how they were met, the interviewees responded with the following examples:

- The Forum was faced with renewing its funding from the Government of Canada at a time of change and some uncertainties in the political climate. Despite this, it was successful in affirming its value and having it recognized;
- During the time when renewed funding from Canada was in question, the Forum was challenged to attract funding from other countries and was ultimately successful in doing so (ex. Switzerland's commitment to a significant increase in its support);
- Work with partner countries in Africa presents a significant challenge to the Forum given the difficult context and long-term nature of the programs but the Forum is clearly achieving an impact;
- The Forum has experienced staff turnover throughout the last three years and has nonetheless increased its level of programming;
- Instability within partner countries (ex. elections, changes in political parties in power, etc.) present a constant challenge to the Forum that is consciously addressed through its efforts to maintain extensive and varied relationships within any given country; and,



- The Forum has been challenged to meet increased requests for its services without increasing its overhead and has done so by creating greater synergies between its global and governance programs, appointing directors for geographic regions, and using more local consultants and experts.

### **Successes Realized in the Last Three Years**

For examples of the successes achieved by the Forum over the last three years, the interviewees cited:

- The Forum's exponential growth and its having attracted a total of eight countries in addition to Canada who support the Forum while it is still legally a Canadian organization and mainly based in Canada;
- The diversification of the Forum's funding (ex. the increased support from Switzerland and Germany, as well as the strong indications that India will also increase its support);
- The 2007 International Conference, attended by 1,300 participants from 116 countries;
- The Forum's success in leveraging its International Conferences, linking the conferences with its global and country programs, building on synergies and expanding its network; and,
- A major undertaking in 2007 that saw the Forum's *Federations* magazine given a new look, its website redesigned and its newsletter revamped to increase its relevance and published more consistently – all with consistent branding to help enhance the Forum's profile.

### **Progress toward Achieving the Forum's Vision**

When asked to assess the Forum's progress toward achieving its Vision statement, the interviewees responded that, "There is no other network of this type." The perception is that, among the people and organizations interested in this area, the Forum is increasingly recognized as highly professional and relevant – the "go to" organization on federalism. For examples, the interviewees cited the Forum's recent work with the World Bank, United Nations bodies and the National Democratic Institute as evidence that it is increasingly recognized for its expertise on matters pertaining to federalism.

### **Lessons Learned**

From the Forum's experience, over the last three years, the interviewees drew the following lessons learned that offer insight for the Forum's future:

- The Forum must be able to better account for and articulate the impact of its work and the contributions of its partners, collaborator and stakeholders;
- When negotiating with potential partner countries, the Forum would be well advised to establish relationships at two levels (with both the interior and foreign affairs ministries) in order to maximize support; and,
- Internationalization (stemming from diversified contributions to the Forum's core funding) entails complexities such as conditions imposed by the contributing countries that vary greatly and will create ongoing additional management and administrative challenges for the Forum.

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## PARTNERS AND COLLABORATORS QUESTIONNAIRE

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PGF Consultants prepared and distributed a questionnaire (Appendix D) designed to solicit input from Forum Partners and Collaborators representing various countries and organizations. The responses and comments offered by the respondents regarding the Forum's performance over the period from 2005-2006 to 2007-2008 have been consolidated and summarized in the sections that follow, both to synthesize the findings and to maintain confidentiality.

A total of 13 questionnaires were distributed electronically and 11 (85%) were completed and returned directly to PGF (either by email or fax). Of the 11 respondents, 1 was in Canada, 3 were in Europe, 3 were in Asia-Pacific and 4 were in Africa. Most of the respondents represented countries that are official partners of the Forum: 4 respondents were from countries that have been partners since 2005-2006 and 5 respondents were from countries that have become partners since 2005-2006.

### FORUM OF FEDERATIONS ACTIVITIES

#### Awareness of Forum Activities

Each questionnaire contained a customized list of Forum events and publications from the evaluation period relevant to the respondent's country. On the whole, the respondents were very familiar with the Forum's recent work in their country: the majority were aware of all of the events and publications listed, while the remaining respondents were aware of at least half of the events and publications listed.

#### Assessment of Forum Activities

Respondents were asked to assess the Forum events and publications from the evaluation period that they were aware of along three dimensions:

- Success with regard to levels of participation and/or interest among practitioners of federalism, experts on federalism, and youth;
- Relevance with regard to subject matter and content relative to the respondent's organization's or country's context, needs and priorities with respect to federalism; and,
- Effectiveness with regard to their processes (i.e. planning, design, organization, launch, delivery, distribution and/or accountability).

The responses were overwhelmingly positive. Forum events and publications were rated as very successful by the majority of respondents, with the balance rating the events and publications as somewhat successful. Similarly, Forum events and publications were rated as very relevant by almost all of the respondents. The ratings were slightly less positive with respect to the effectiveness of Forum events and publications: just over half of the respondents felt that they were very effective, with the balance rating the events and publications as somewhat effective.

#### Awareness of Forum Public Information and Education Services and Products

With respect to the Forum's public information and education services and products, all of the respondents were aware of *Federations* magazine and the Forum's website. The majority of respondents were also aware of the Forum's newsletter and the Forum's videos.

#### Assessment of Forum Public Information and Education Services and Products

Respondents were also asked to assess the Forum's public information and education services and products that they were aware of along three dimensions:

- Success with regard to levels of interest among actual and potential users (practitioners of federalism, experts on federalism, youth);
- Relevance with regard to subject matter and content relative to the respondent's organization's or country's context, needs and priorities with respect to federalism; and,
- Effectiveness with regard to their design, diffusion and accessibility.

The majority of respondents rated the Forum's public information and education services and products as very successful, with the balance indicating that they were somewhat successful. The Forum's public information and education services and products were also rated as very relevant by the majority of respondents, with the balance indicating that they were somewhat relevant. As with the assessment of Forum activities, ratings were slightly less positive with respect to the effectiveness of the Forum's public information and education services and products: just over half of the respondents felt that they were very effective, with the balance rating the public information and education services and products as somewhat effective.

### **Outcomes of Forum of Federations Activities**

In assessing the contributions of Forum activities relative to their country, respondents felt that the outcomes to which the activities contributed were (in descending order):

- Serving as a resource and source of information on the practice of federalism;
- Addressing the needs of federalism's practitioners;
- Encouraging future practitioners (youth) to develop an interest and expertise in federalism;
- Improving the practice of federalism; and,
- Developing and establishing government policy and programs.

General comments on the Forum's activities offered by the respondents included:

- The Forum's activities are often targeted toward specific audiences and there could be more done to improve the exchange of information between these audiences.
- The Forum should organize more seminars and conferences targeting young politicians and future practitioners.
- The Forum's promotion of internal dialogues between levels of government, politicians, officials and society have a "spin-off" effect, prompting other similar endeavours.

### **Impacts of Forum of Federations Activities**

The majority of respondents felt that the Forum's activities in their country contributed to improving governance. In explaining their assessment, the respondents said:

- The Forum is the only source of its kind for experience in the field of federalism.
- The roundtables provide a forum that does not otherwise exist.
- Research produced for the roundtables has been useful to governments and practitioners.
- The Forum's greatest impact is in enriching debate, rather than implementing ideas.
- The Forum raises awareness of the benefits of federalism, especially in post-conflict societies.
- The Forum serves as a "myth-breaker" and broadens the horizons of some academics and opinion-makers.
- The conferences in particular have been a great help to financial planners and policy makers.

Three respondents indicated that they were unable to assess the impact of the Forum's activities in their country with respect to improving governance. Two indicated that more time would be required before judgements of this type could be reached, while the third commented that:

- There is no direct evidence that the Forum's activities contribute to improving governance but this does not exclude the possibility that they could.

## FORUM OF FEDERATIONS OBJECTIVES

### Attainment of the Forum of Federations' Strategic Objectives

The respondents were asked to assess the Forum's success in attaining its three strategic objectives:

- Enhancing mutual learning and understanding among practitioners of federalism;
- Disseminating knowledge and technical advice of interest to your federation; and,
- Building International Networks fostering the exchange of experience on federal governance.

While the majority of respondents felt that the Forum was very successful in attaining all of its strategic objectives, the strongest rating was applied to building international networks, followed by enhancing mutual learning and understanding among practitioners, and then disseminating knowledge and technical advice.

In explaining their ratings, respondents provided the following feedback:

- The Forum is well organized with a sense of purpose.
- The willingness of partner countries is key to the Forum's success.
- The Forum increases interest in federalism and disseminates practical ideas.
- The quality of the network partners, the expertise provided and its publications are important components of the Forum's success.
- The Forum's networking has been very effective. The Global Dialogue Series has been very successful. The Forum's contributions to various International Conferences on Federalism have been demonstrably useful to all concerned.
- There has long been a latent interest on the part of practitioners in international comparisons and the Forum essentially acts as a catalyst, filling a gap by providing a networking infrastructure that has been lacking.
- The Forum is the only organization of its kind.

### Attainment of the Forum of Federations' Operational Objectives

The respondents were also asked to assess the Forum's success in attaining its three operational objectives:

- Enhancing its international profile;
- Becoming a leading network and valued resource in the practical application of federalism worldwide; and,
- Seeking, establishing and maintaining partnerships internationally.

The majority of respondents felt that the Forum was very successful in attaining all of its operational objectives, but to a slightly lesser degree than its strategic objectives. The strongest ratings were applied to becoming a leading network and valued resource in the practical application of federalism and seeking, establishing and maintaining partnerships, followed by enhancing its international profile.

In explaining their ratings, respondents provided the following feedback:

- The Forum's people are clearly highly committed to achieving these objectives.
- The quality of the Forum's network partners and its publications are key components of its success.
- The Forum builds strong partnerships with institutions.
- The Forum's success is derived from good networking and its international pool of resource persons.

- The quality of the Forum's network makes it a useful partner for international organizations as well as both domestic and foreign aid agencies.

The majority of respondents felt that there were definite advantages for countries in becoming official partners of the Forum. In explaining the perceived advantages, the respondents referred to:

- The exchange of experiences and mutual learning, especially at the International Conferences;
- The opportunities to interact with other policy makers;
- Participation in global dialogues;
- The opportunities to participate in an international network and share their own experiences with other countries;
- The Forum's role as a valuable resource for skills and information on federalism; and,
- The opportunity to influence the Forum's annual program on federations and federalism.

Two respondents felt that becoming an official partner of the Forum could be both advantageous and disadvantageous for a country, saying that:

- It could be an advantage if partner countries had more of a direct say in the Forum's direction but it is also a disadvantage if aligning too closely with federalism is contrary to the partner country's policy.
- Partner countries benefit both from their ability to influence the Forum's programming and from the exertion of "soft power" generated by the partner country's becoming a reference point; however, the "federal" concept is unpopular in many countries, even those that are really federations themselves.

## **THE FORUM OF FEDERATIONS' OVERALL PERFORMANCE AND FUTURE Challenges Met in the Last Three Years**

None of the respondents identified any major challenges encountered by the Forum in their country in the last three years.

### **Successes Realized in the Last Three Years**

Three of the respondents identified major successes achieved by the Forum in their country in the last three years, citing:

- Highly successful conferences and dialogues organized by the Forum;
- The Forum's ability to mainstream the dialogue on federalism, particularly in working with universities and ministries; and,
- Increased awareness leading to the addition of federalism studies to some universities' curriculum.

### **Lessons Learned**

Respondents identified the following lessons learned for the Forum:

- The Forum is most successful when taking a pragmatic approach, working with institutions and individuals and indirectly with governments.
- The Forum realizes the greatest impact through sustained programming and should be willing to address political issues.
- The use of a comparative resource person is beneficial.
- To be effective, partnerships with the Forum should be promoted by influential individuals and anchored broadly within the administration, including sub-national levels.

## FIELD VISIT: BRAZIL

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As part of its organizational performance evaluation mandate, PGF undertook a field visit to assess the Forum's bilateral program activities which have taken place in Brazil over the last three years. Although the evaluation is limited to the activities that have taken place since 2005-2006, PGF first conducted a review of all relevant program documentation to establish the history, context and parameters of the Forum's work in Brazil. During the field visit, PGF conducted structured interviews with stakeholders who are aware and knowledgeable of the Forum's work in Brazil.

### CONTEXT

The Forum of Federations has been involved with Brazil, considered a "focus country", since 2000, when it began undertaking various projects in diverse policy areas. As of 2002, the Forum had developed a three-year working plan, focused on the areas of fiscal federalism, intergovernmental relations and law and order. After the January, 2003, change in government, the Forum established a new partnership with the Secretariat for Federative Affairs (SFA) of the Brazilian Presidency.

### STAKEHOLDER INTERVIEWS

PGF conducted a total of 7 face-to-face interviews with Forum of Federations stakeholders in Brazil. To ensure consistency as well as conformity with the Evaluation Framework, the interviews followed a structured guide (Appendix E). The responses and comments offered by the stakeholders regarding the Forum's performance over the period from 2005-2006 to 2007-2008 have been consolidated and summarized in the sections that follow, both to synthesize the findings and to maintain confidentiality.

#### Forum of Federations Activities

##### ***Awareness and Assessment of Forum Event***

The interview guide contained a list of Forum events conducted in Brazil during the evaluation period. Two of the events were known to all of the stakeholders and the majority of stakeholders were aware of at least half of the events.

The majority of stakeholders indicated that they found the Forum events to have been very successful. The stakeholders cited the variety of participants attracted to the events and the level of the discussions the events helped maintain on fiscal federalism as evidence of their success. A significant number of stakeholders indicated that the events were very relevant for the requirements of academics and practitioners. Other comments offered noted that international comparisons are extremely useful and relevant. Some stakeholders indicated that certain issues require a greater focus such as regional diversity and addressing social and economic inequalities. Overall, the stakeholders found the events very effective in exposing a variety of people to many challenges. The stakeholders indicated that the results of Forum events could be shared on a broader basis.

##### ***Awareness and Assessment of Forum Publications***

The interview guide contained a list of Forum publications relevant to Brazil that were launched during the evaluation period and the majority of the stakeholders were aware of both publications.

Slightly more than half of the stakeholders felt that the Forum publications that they were aware of were very successful with regard to the level of interest among actual and interested readers. The stakeholders indicated that the Forum could do more to interest potential readers in a broad market through a review of the content of its publications. A strong majority of stakeholders felt the publications were very relevant and properly addressed pertinent subject matter such as fiscal federalism. The respondents were less positive in their assessment of the effectiveness of the design, launch and distribution of the publications: slightly more than half indicated that the publications were somewhat effective in this regard, while others felt that they were only minimally effective. The main

issues cited involved making the publications available to a broader audience, both through their distribution in general and through translation to Portuguese.

### ***Awareness and Assessment of Forum Public Information and Education Services and Products***

With respect to the Forum's public information and education services and products, the majority of the stakeholders were aware of *Federations* magazine and the Forum's website. The majority of stakeholders were also aware of the Forum's newsletter but fewer than half of the stakeholders were aware of the Forum's videos.

The stakeholders were not overly positive in their assessment of the Forum's public information and education services and products. Slightly more than half of the stakeholders perceived these products and services to be very relevant, but fewer indicated they were very successful, and even fewer still felt they were very effective. Many of the stakeholders believed that the packaging and marketing of these tools could be improved, which would in turn increase their distribution and overall use.

### ***Outcomes of Forum of Federations Activities***

In assessing the contributions of Forum activities relative to Brazil, stakeholders felt that the outcomes to which the activities contributed were (in descending order):

- Addressing the needs of federalism's practitioners;
- Serving as a resource and source of information on the practice of federalism;
- Developing and establishing government policy and programs;
- Encouraging future practitioners (youth) to develop an interest and expertise in federalism; and,
- Improving the practice of federalism.

It should be noted that a significant number of stakeholders were undecided on the question of the Forum's contribution to improving the practice of federalism as they found this too difficult to measure. Most agreed that the lasting effects of Forum activities on the practice of federalism would take time to measure, but that Forum events are having both a discrete effect and considerable influence.

General comments on the Forum's activities offered by the stakeholders included:

- The Forum's activities are especially useful with regard to the dissemination of information on fiscal federalism and with maintaining a certain level of discussion on the issue.
- The Forum's activities help bridge the gap between practitioners and academicians and are clearly designed to address existing needs.
- The discussions held within Forum events are extremely useful as not all of the required information is available in books and reference tools.
- It will take time to assess the impact of the Forum's activities with respect to contributing to developing and establishing government policy and programs but these activities were a great start for Brazil's situation.
- The Forum could and should do more to encourage youth to develop a greater interest in federalism; the Forum is generally successful in bringing together a variety of partners.

### ***Impacts of Forum of Federations Activities***

Slightly more than half of the stakeholders felt that the Forum's activities in Brazil contributed to improving governance, while two stakeholders indicated that they did not think the Forum's activities had contributed to this goal as yet. Most stakeholders agreed that improved governance is extremely difficult to measure; however, they perceive a trend toward improved governance. The stakeholders who responded negatively added that the Forum's activities were steps in the right direction, but that much more work would be required.

## Forum of Federations Activities

### ***Attainment of the Forum of Federations' Strategic Objectives***

The stakeholders were asked to assess the Forum's success in attaining its three strategic objectives:

- Enhancing mutual learning and understanding among practitioners of federalism;
- Disseminating knowledge and technical advice of interest to Brazil's federation; and,
- Building International Networks fostering the exchange of experience on federal governance.

All of the stakeholders indicated that they perceived the Forum to be very successful in enhancing mutual learning and understanding among practitioners of federalism. They indicated this was mainly achieved through Forum events (for example, the International Conference which greatly enhanced understanding of different systems) and discussions between participants in these events. One stakeholder noted that the Forum was even partly responsible for what he called a "mirror effect" through which Brazilians rediscovered how well their federation is actually working.

The stakeholders were less positive in their assessment of the Forum's success in attaining its strategic objective of disseminating knowledge and technical advice of interest to Brazil's federation. Fewer than half of the stakeholders felt that the Forum had been very successful in this regard. Feedback suggested that the Forum should amend its dissemination strategies on a by-country basis so that they would be more relevant, particularly when employing electronic means.

The majority of stakeholders responded that the Forum was very successful in building International Networks fostering the exchange of experience on federal governance. The stakeholders referenced the International Conference, which served to bring experts from around the world together, as an example for the Forum's success. Some stakeholders also indicated that in order to build international networks the Forum should examine the possibility of improving relations among southern federations and even the possibility of enhancing Latin American dynamics.

### ***Attainment of the Forum of Federations' Operational Objectives***

The stakeholders were also asked to assess the Forum's success in attaining its three operational objectives:

- Enhancing its international profile;
- Becoming a leading network and valued resource in the practical application of federalism worldwide; and,
- Seeking, establishing and maintaining partnerships internationally.

Slightly more than half of the stakeholders perceived the Forum to be very successful in enhancing its international profile, citing well-organized international events as evidence of this achievement. Stakeholders who felt the Forum was less successful commented that this objective would require substantial resources in order to be fully achieved. One stakeholder noted that the Forum's international profile should not be measured solely through partnership, but also through its capacity to promote federalism throughout the world.

The majority of stakeholders responded that the Forum was very successful in its efforts to become a leading network and valued resource in the practical application of federalism worldwide. In their comments, stakeholders noted the complexities which underlie the issue of federalism, as well as the fact that it is generally not viewed as being as practical as, for example, the fight against poverty, and it will hence take time to attract worldwide resources.

Less than half of the stakeholders perceived the Forum to be very successful in seeking, establishing and maintaining partnerships internationally. The stakeholders generally felt that the maintenance of partnerships is especially challenging when considering that the Forum's partners are independent



states. Some stakeholders also believe a broader network will also eventually help to establish and maintain more partnerships. Others also commented that the Forum should review its strategies and, as appropriate, sometimes put greater emphasis on people and partners who could help influence decision makers.

All of the stakeholders felt that there were definite advantages for countries in becoming official partners of the Forum. As examples of the perceived advantages, the stakeholders referred to:

- The Forum's facilitation of international dialogue and discussion which allows for the dissemination of external models and expertise; and,
- The role the Forum has played in Brazil enhancing learning and dialogue on the issue of fiscal federalism.

## **The Forum of Federations' Overall Performance and Future**

### ***Challenges Met in the Last Three Years***

The stakeholders identified two challenges that the Forum has encountered in Brazil in the last three years:

- Supporting Brazilian practitioners and academics on the fiscal federalism issue; and,
- Establishing formal partnership for Brazil in the Forum.

With respect to the second challenge, most stakeholders believe that what was once perceived as a "Canadian or NGO" issue has slowly evolved into a more simple and mechanical question of partnership which will most likely be resolved with time.

### ***Successes Realized in the Last Three Years***

All of the stakeholders indicated that the Forum has achieved major successes in Brazil in the last three years, citing as examples:

- The organization and content of the various seminars through which many Brazilian participants were involved in the tax and fiscal reform discussions;
- The latest international seminar on fiscal federalism which was the culmination of years of efforts supported by Forum initiatives; and,
- The development of networks among the practitioners of federalism through Forum-sponsored dialogue and events.

### ***Lessons Learned***

Stakeholders identified the following lessons learned for the Forum in its future work with Brazil:

- The importance of striking a proper balance between the types of events organized (seminars, workshops, etc.) so that more detailed issues can be discussed with the assistance of international experts. It may be necessary to switch to workshops as the debate moves toward more finite discussions.
- The willingness to conduct positive dialogues between the three layers of the Brazilian states' federation needs to be maintained to improve and increase the advancement of subjects such as the fiscal federalism issue.
- The "mirror effect" the Forum has provided for many Brazilian practitioners and partners (i.e. helping them with their own perceptions of Brazil's federalism) has been very valuable.
- Focusing almost entirely on fiscal federalism has been a good strategy to develop and solidify the Forum's reputation, but there needs to be consideration for the implications of focusing on one specific issue while many others are pending.

- The Forum has served as a useful permanent platform for the discussion of controversies and issues surrounding fiscal federalism and could easily establish itself as a credible facilitator for other issues.

### **Additional Comments on the Forum's Organizational Performance**

Almost all of the stakeholders indicated that they hoped to see Brazil join the Forum as an official partner in the near future. Some stakeholders expressed an interest in seeing Brazil become a leading partner for the Forum in South America in order to positively influence emerging federations. In developing new programs and orientations, it was suggested that the Forum should focus on bridging the gap between new ideas, legislators and practitioners with a view to the drafting of legislation, laws and policies.

## **FIELD VISIT: MEXICO**

As part of its organizational performance evaluation mandate, PGF undertook a field visit to assess the Forum's bilateral program activities which have taken place in Mexico over the last three years. Although the evaluation is limited to the activities that have taken place since 2005-2006, PGF first conducted a review of all relevant program documentation to establish the history, context and parameters of the Forum's work in Mexico. During the field visit, PGF conducted structured interviews with stakeholders who are aware and knowledgeable of the Forum's work in Mexico.

### **CONTEXT**

Mexico has been a partner government of the Forum since 2006, and was one of the four focus countries established in 2000. Previous Forum activities in Mexico have focused on inter-municipal cooperation, decentralization, intergovernmental cooperation and public security.

The field visit to Mexico coincided with two Forum events. The first event was the Senate Commission on Federalism, a seminar on reform of the federal state organized by the Forum in collaboration with the Mexican Senate. The event was attended by more than 25 senators and a further 90 participants, including practitioners and a significant number of youth. The Forum provided four international experts and the cost of the event was assumed by the Mexican government. The event was well covered by both the local and national media.

The second event was a follow-up session the next day, organized by a senator from the governing party, with one of the four international experts serving as a resource person. This session was attended by senators and congressmen, as well as representatives of various departments and municipal associations. Although the second event was more political in nature, the Forum was clearly presented as apolitical, with its focus on sharing different experiences on federalism.

Informal canvassing of participants at both events determined that they appreciated the sessions and found them to be very useful in terms of disseminating information, knowledge sharing and networking.

### **STAKEHOLDER INTERVIEWS**

PGF conducted a total of 7 face-to-face interviews with Forum of Federations stakeholders in Mexico, including academics, legislators and practitioners. To ensure consistency as well as conformity with the Evaluation Framework, the interviews followed a structured guide (customized for Mexico but otherwise the same as the guide for Brazil presented in Appendix E). The responses and comments offered by the stakeholders regarding the Forum's performance over the period from 2005-2006 to 2007-2008 have been consolidated and summarized in the sections that follow, both to synthesize the findings and to maintain confidentiality.

## **Forum of Federations Activities**

### ***Awareness and Assessment of Forum Event***

The interview guide contained a list of Forum events conducted in Mexico during the evaluation period. All of the stakeholders were familiar with the Forum's work in Mexico and had participated in one or more of the events listed.

The majority of stakeholders indicated that they found the Forum events that they were aware of to have been very successful. The stakeholders indicated that the events were both relevant and well organized. They cited the sharing of experiences from different countries on the various topics as having been particularly useful. Other comments offered noted that the international experts participating in the events could have been provided more specific information on the situation in Mexico prior to the events.

### ***Awareness and Assessment of Forum Publications***

Of the stakeholders interviewed, those from academia were most aware of the Forum's publications. In their opinion, the various books and booklets are well researched and written, reflect a very high standard, and are highly relevant.

### ***Awareness and Assessment of Forum Public Information and Education Services and Products***

With respect to the Forum's public information and education services and products, all of the stakeholders were aware of *Federations* magazine and approximately half were aware of the Forum's website, but very few were aware of the Forum's newsletter and videos.

Mexico translates *Federations* magazine into Spanish and is responsible for its distribution within the country. The magazine is reported to be widely distributed throughout all levels of government. The stakeholders find the magazine's content both interesting and useful.

Those stakeholders familiar with the Forum's website find the information offered on the site to be well organized and helpful in their work.

Most of the stakeholders were unaware of the Forum's newsletter and had not used the videos but felt that the videos could be very useful, if they ever had a need for them.

### ***Outcomes of Forum of Federations Activities***

In assessing the contributions of Forum activities relative to Mexico, stakeholders felt that the outcomes to which the activities contributed were (in descending order):

- Serving as a resource and source of information on the practice of federalism;
- Addressing the needs of federalism's practitioners;
- Improving the practice of federalism;
- Encouraging future practitioners (youth) to develop an interest and expertise in federalism; and,
- Developing and establishing government policy and programs.

In general, the stakeholders commented that they find the Forum very useful as a source of information and that they rely heavily on it for knowledge transfer.

A significant number of stakeholders expressed a desire to see the Forum take a more policy-oriented role. It was suggested that concrete tools such as best practices research and "check lists" would be relevant to the Government of Mexico and assist in developing the necessary legislation and policies to enhance the workings of its federation. As well, some stakeholders felt that the Forum could have a greater influence on Mexico's public policy by offering recommendations to the Mexican government on topics such as decentralization, the role of municipal governments in federal states, etc. Clearly, there are some differing viewpoints among the stakeholders and the Forum as to the Forum's role in Mexico.

### ***Impacts of Forum of Federations Activities***

The majority of the stakeholders felt that they were not in a position to assess the contributions of the Forum's activities in Mexico to improving governance. They found it extremely difficult to measure the impact of the Forum's work but had a clear sense that it provided useful discussion and information relevant to improving governance.

### **Forum of Federations Activities**

#### ***Attainment of the Forum of Federations' Strategic Objectives***

The stakeholders were asked to assess the Forum's success in attaining its three strategic objectives:

- Enhancing mutual learning and understanding among practitioners of federalism;
- Disseminating knowledge and technical advice of interest to Mexico's federation; and,
- Building International Networks fostering the exchange of experience on federal governance.

In general, the stakeholders indicated that they perceived the Forum to be very successful in both enhancing mutual learning and understanding among practitioners of federalism and in building International Networks fostering the exchange of experience on federal governance. The stakeholders perceived the Forum to be successful, but to a lesser extent, in disseminating knowledge and technical advice of interest to Mexico's federation.

#### ***Attainment of the Forum of Federations' Operational Objectives***

The stakeholders were also asked to assess the Forum's success in attaining its three operational objectives:

- Enhancing its international profile;
- Becoming a leading network and valued resource in the practical application of federalism worldwide; and,
- Seeking, establishing and maintaining partnerships internationally.

The majority of stakeholders perceived the Forum to be very successful in both enhancing its international profile and in its efforts to become a leading network and valued resource in the practical application of federalism worldwide. Less than half of the stakeholders perceived the Forum to be very successful in seeking, establishing and maintaining partnerships internationally.

With respect to its international profile, many of the stakeholders agreed that the Forum was very well known both in Mexico and internationally. Although the stakeholders were all familiar with the Forum from their own involvement, they cited media coverage of the Forum's activities as evidence of its broader profile. There was general consensus among the stakeholders that the Forum is very well known by those interested in federalism.

Most stakeholders believe the Forum is the leading network providing practical knowledge of federalism. However, several stakeholders felt that the Forum could do more to enlarge its network within Mexico, especially by ensuring that a cross-section of academics, legislators, bureaucrats and youth are invited to all events.

While somewhat less positive with respect to the Forum's success in building international partnerships, the stakeholders agreed that the Forum is playing a very important role in this area.

In general, the stakeholders felt that there were definite advantages for countries in becoming official partners of the Forum. With respect to Mexico's partnership, the stakeholders commented that the Forum's relationship with the Government of Mexico was complicated but that this arose from the complexity of the government itself and in no way detracted from the value that either the government or the stakeholders derived from the partnership. The current partnership arrangement was signed with

the Ministry of the Interior but there is an understanding that, upon its renewal, the arrangement should be transferred to the Ministry of External Affairs. This shift will give the Forum more flexibility to work on more multi-faceted issues and broaden its scope.

## **The Forum of Federations' Overall Performance and Future**

### ***Challenges Met in the Last Three Years***

Mexico's partnership arrangement with the Forum was signed during the second year of the evaluation period; prior to that, Mexico was a "focus country" for the Forum. Although the stakeholders generally felt that the Forum has succeeded in maintaining an acceptable level of activities over the whole evaluation period, they felt that there were challenges in the 2005-2006 fiscal year. The stakeholders identified these challenges as:

- Reduced programming in 2005-2006 as a residual impact of the uncertainties that surrounded the Forum's core funding prior to the Grant Agreement; and,
- Staffing changes at the Forum in the position responsible for programming in Mexico.

The stakeholders agree that the Forum succeeded in addressing these challenges and that 2006-2007 and 2007-2008 have seen an increase in activities in Mexico that are highly informative and relevant and that contribute to increased dialogue among the three levels of government.

### ***Successes Realized in the Last Three Years***

All of the stakeholders indicated that the Forum has achieved major successes in Mexico in the last three years, with various stakeholders citing as examples:

- The signing of the formal partnership arrangement between the Forum and Mexico;
- The workshops conducted in Mexico pertaining to municipal governments, public security and decentralization and intergovernmental institutions in federal systems; and,
- The participation of the Mexican delegation at the Fourth International Conference in India in 2007.

### ***Lessons Learned***

Stakeholders identified the following lessons learned for the Forum in its future work with Mexico:

- There is a need for better planning of the activities that are proposed for Mexico. Key aspects of the planning should be done a full year in advance, particularly the identification of the potential participants, the international experts, and the topic of discussion.
- International experts could be better prepared with respect to the Mexican situation on topics to be discussed. Materials and information should be provided to the International experts prior to the events, including profiles of the expected Mexican participants.
- Organize a series of activities (overlapping and/or consecutive) so as to maximize the participation of international experts.
- Provide more opportunities for dialogue between international experts and national participants during workshops.
- Broaden the scope of participants to ensure that everyone interested in the work and activities of the Forum and federalism has an opportunity to attend events.
- The Forum is most relevant to Mexico when it facilitates open dialogue between the three levels of government, creating a safe and neutral space for the expression of diverging points of view.

## CONCLUSIONS AND RECOMMENDATIONS

### CONCLUSIONS

The sections below detail the conclusions drawn from PGF Consultants' formative Organizational Performance Evaluation of the Forum of Federations. In general, based on the various sources consulted, key evaluation findings indicate that the Forum has made significant progress toward the attainment of the three primary objectives specified in the Grant Agreement. The Forum, with its programs and services, is considered by various sources to be both successful and relevant. Some questions have, however, been raised with respect to its effectiveness in terms of sustained programming in certain countries, as well as with respect to monitoring the outcomes and impacts of its programs, and reporting on the initiatives it has led and/or contributed to. It should be noted that, at the time of this evaluation, the Forum was in the process of developing three-year plans for the countries it is involved in. This initiative should contribute to addressing these concerns.

#### ATTAINMENT OF GRANT AGREEMENT OBJECTIVES

##### **Building International Networks**

The signature of the Grant Agreement in March, 2005, coincided with the Forum's internationalization process. It has worked to transform itself from a Canadian organization with an international board to an international non-governmental organization. This process has been multi-faceted, impacting the Forum's governance and organizational structures, partnerships, funding and programming.

The Forum has redesigned its governance and organizational structures so as to foster more active participation by its Partner Countries at all levels of the decision making process.

Framework arrangements were developed in 2004-2005 in order to formalize Partner Countries' support to, and participation in, the Forum. Partner Countries are required to make a minimum annual contribution of \$50,000 USD, in cash or in kind, per year for three years to the Forum. Among the benefits for Partner Countries is their representation on the Forum's Board of Directors. During the 2004-2005 fiscal year, four such arrangements were signed with countries including Canada. Over the evaluation period, five additional countries signed Framework Arrangements and became Partner Countries to the Forum.

Having doubled the number of Partner Countries in the last three years, and progressed significantly toward obtaining the support of at least 12 national governments by 2011 as stated in Article 2.4 of the Grant Agreement, the Forum has clearly been highly successful in building international networks through the establishment and expansion of partnerships.

As indicated in the Forum's documentation and corroborated by some stakeholders, there are challenges inherent in the establishment and management of these partnerships. In some countries, the Forum's status as a non-governmental organization, or even federalism as it may be perceived, has hindered the creation of partnerships. However in some of these cases, greatly due to the Forum's track record and growing credibility, the establishment of formal partnerships could be on the horizon. The objectives stated in the Framework Arrangements in terms of improving governance and enhancing democracy can also present a challenge in that they are very ambitious while the Partner Countries' required minimum contributions are relatively modest. It could be expected that as the number and possibly scope of partnerships increases, the diversity of expectations and demands will also increase, as should Partner Countries' involvement.

Apart from the diversification of funding obtained through the establishment of new partnership commitments to minimum annual contributions of \$50,000 USD, partner and collaborating countries also contribute in cash or in kind to Forum activities and/or objectives. Since 2005-2006, these contributions have been documented in the Forum's Annual Reports. Countries such as India or Switzerland have made contributions many times in excess of the minimum amounts required in their Framework Arrangements. For instance, according to Forum stakeholders, the vast majority of the costs associated with the Fourth International Conference on Federalism, nearly \$5 million, were incurred by the Government of India.

Consultations with Forum stakeholders also found that the organization participates in events that are often completely or almost completely externally funded. In fact, there is a sense that the Forum's contribution to any given event is usually the smaller portion of its total cost, with the larger portion funded through partners and collaborators. In this manner, the Forum realizes significant leveraging of Canada's contribution to its core funding. However, as indicated by its stakeholders, the Forum lacks clear empirical data to support and detail this leveraging.

The expansion of the Forum's involvement in various countries, to 23 in total over the last three years, attests to the enhancement of its international profile, especially given that the number of federations worldwide is estimated at only 30.

Although the Forum has remained a relatively small organization, it has succeeded in broadening the scope of its activities, and hence its presence, across the entire globe. With its Governance Programs, offering approaches and content tailored to governments' needs for knowledge transfer, the Forum has increased its involvement from 7 to 17 countries in the last three years. Most notably, this assistance includes increased activities in aspiring or emerging federations such as Ethiopia, India, Iraq, and Sudan, some of which are societies engaged in post-conflict discussions such as stated in Articles 2.3.5 and 2.3.6 of the Grant Agreement. The Forum's Global Programs, including International Conferences and Global Dialogue Roundtables, which provide opportunities to foster mutual learning as stated in Article 2.3.1 of the Grant Agreement, have been increasingly successful as evidenced by growing levels of participation. Also, the demand for, and the publication of, Forum materials in numerous languages (Global Dialogue Booklets and Books, introductory or scholarly reference materials, *Federations* magazine, etc.), further attests to the Forum's success in enhancing its international profile. Finally, relations established and nourished with high-profile international organizations such as the United Nations or the World Bank are another indication of its enhanced international profile.

According to various interlocutors, the Forum is a unique organization, occupying a niche by fostering, with a comparative perspective, mutual learning and understanding of federalism among both academics and practitioners. In the words of one stakeholder, "There has long been interest in international comparisons and the Forum essentially acts as a catalyst, filling the gap by providing a networking infrastructure that has been lacking." This unique status facilitates the enhancement of international distinction and recognition, and attests to the Forum's relevance as an organization.

### **Enhancing Mutual Learning and Understanding**

The Forum's International Conferences, Global Dialogue Roundtables, and public information and education materials, as well as its comparative approaches to some governance programming activities such as study tours, give practitioners of federalism, in and among various countries, opportunities for the enhancement of mutual learning and understanding.

The Forum's International Conferences bring together practitioners of federalism, academics and representatives of NGOs to interact and learn from one another, thus fostering mutual learning and understanding on federalism and its various aspects. The Fourth International Conference on Federalism was held in Delhi, India, in November, 2007. As many as 116 countries and 1,300 participants took part in the event, nearly doubled participation over the previous conference held in Brussels, Belgium, in 2005.

The Forum's Global Dialogue Programs are comprised of discussion forums or roundtables, as well as publications in the form of Booklets (more practical) and Books (more academic). The program creates ongoing opportunities for practitioners, scholars, and young professionals to share their experiences and academic research as well as to produce enduring comparative resources about current and emerging issues on federalism. Since 2005, a total of 18 countries have hosted Global Dialogue Roundtables, with a yearly average of 12. Of these 18 countries, eight have hosted roundtables for at least three of the four yearly themes since 2005. This indicates some satisfaction and sustained interest on the part of the host countries. Also, estimated participation in these events has increased since 2005, suggesting growing interest among participants. Global Dialogue Booklets have been translated in up to five languages and have been distributed at Forum events to between 1,500 and 2,000 readers annually in 2005 and 2006.

Based on the combined results of this evaluation and an earlier independent review, consultations with stakeholders found that these programs have offered unique opportunities for enhancing mutual learning. The 2007 Evaluation of Global Programs found that the vast majority of Global Dialogue Roundtable participants surveyed agreed that the Country Roundtable Program added value to the study and understanding of comparative federalism and also felt that it had an impact on their work. Comments made by Forum partners and collaborators in the present evaluation indicated that the Forum's greatest impact was in enriching debate.

These achievements indicate that the Forum has significantly demonstrated its commitment to fostering mutual learning on operation of federal systems through active dialogue among practitioners as specified in Article 2.3.1 of the Grant Agreement.

Although the Forum's initiatives and efforts to contribute to the enhancement of mutual learning and understanding have been greatly successful, some challenges are nevertheless present according to Forum stakeholders. Among these challenges are geopolitical dynamics and perceptions, such as between developed and developing countries, or between long standing and emerging federations. These dimensions come into play, for example, when identifying relevant comparative experiences. Along these lines, it can be noted that almost all of the eight countries that have demonstrated continued participation in at least three of the Global Dialogue Roundtable themes since 2005, are long standing federations.

### **Disseminating Knowledge and Technical Advice**

The documentation consulted, as well as the interviews with Forum stakeholders, confirms that the Forum's greatest contribution in this area is through its governance programming in post-conflict societies needing basic information and assistance regarding federalism. This contribution meets the requirements under Articles 2.3.5 and 2.3.6 of the Grant Agreement whereby the Forum is to provide information and advice specifically to societies engaged in post-conflict discussions and peace-building and is to acquire experience in the Middle East and North Africa. While Forum stakeholders cited its activities with European or established countries and organizations as examples of its greatest success in facilitating mutual learning, it was noted that its work in some other countries (for example, Iraq) actually centres more on knowledge transfer of basic information on federalism.



With respect to Articles 2.3.3 and 2.3.4 of the Grant Agreement, the Forum was to pursue an expanded series of initiatives and activities in Canada and in other countries (2.3.3), or in collaboration with other federations (2.3.4), designed to increase public awareness and understanding of federalism and to provide advice and assistance to governments with respect to the practice of federalism and intergovernmental relations. The Forum's country programming since 2005-2006 has been sustained more consistently in some countries than others. It should be noted, however, that external factors such as changing political contexts, can affect the continued development of relationships and collaborations.

The Forum's Public Information and Education Division offers products, materials and services which complement and support the Forum's activities in building international networks, and enhancing mutual learning and understanding, as well as in disseminating knowledge and technical advice. These services and products include: *Federations* magazine, which is distributed to an estimated 10,000 readers per year; the Forum's re-designed website, which hosts the Federalism Library with nearly 1,000 documents; a newsletter distributed to nearly 5,000 recipients; audio-visual and educational materials; and, various introductory and scholarly publications.

Since 2005-2006, the Division has taken measures to ensure the accessibility and relevance of the information and comparative perspectives offered, as specified in Article 2.3.2 of the Grant Agreement. Different materials and publications have been translated and offered in numerous languages. The website and *Federations* magazine were re-designed in 2006-2007 to better meet readers' needs. The website has been simplified for greater accessibility. The magazine has turned to thematic and policy issues which, according to an in-house survey, best fulfills the interests of its readers.

## **THE FORUM'S OVERALL PERFORMANCE AND FUTURE**

Eleven Forum partners and collaborators from as many countries were consulted through a questionnaire and a further 14 were interviewed in person during field visits to Brazil and Mexico.

The respondents were asked to assess the success of the Forum's events and publications in their countries with respect to levels of participation among practitioners, experts and youth, relevance in terms of content, and effectiveness in terms of the organization (i.e. planning, design, delivery, and/or distribution).

The vast majority of respondents to the questionnaire indicated that they felt Forum events and publications relative to their country, as well as its public information and education services and products, were successful and relevant. Ratings were slightly lower with respect to their effectiveness.

The majority of respondents interviewed found that the Forum's events and publications in their country were very successful and relevant, including with regard to content and format. It was suggested that Forum's public information and education services and products, given their high relevance and quality, could interest a broader readership and market, if they were available in the relevant languages.

Collectively, the questionnaire and interview respondents indicated that Forum activities contributed to the outcomes of serving as a resource and source of information on the practice of federalism and addressing the needs of federalism's practitioners.

With regard to impacts, it was noted that Forum activities can have "spin-off" effects which can prompt other, similar endeavours. As to whether the Forum's activities had contributed to improving the practice of federalism or governance in their country, the respondents' answers varied. While many respondents indicated that one of the Forum's greatest impacts was enriching debate and bridging the gap between practitioners and academics, many also noted that it was difficult to link, directly and in the short-term, the Forum's activities to improved practices and governance in their country. In most

cases, respondents considered that the direct development of policy was outside of the Forum's realm, but some respondents did suggest that the Forum should assume this more concrete role.

Most respondents indicated that the Forum was successful in building international networks and in enhancing mutual learning and understanding among practitioners. Fewer indicated that it was equally successful with respect to the dissemination of knowledge and technical advice.

While none of the questionnaire respondents identified major challenges encountered by the Forum in their countries in the last three years, successes were noted with respect to the organization of conferences and dialogues, as well as work done with universities and ministries, including the development of federalism studies.

Among lessons learned, respondents to the questionnaire suggested adopting a pragmatic approach, working directly with institutions and indirectly with governments, or working with broader arms of administrations including sub-national levels. Sustained programming was also identified as necessary to achieving the greatest impact.

Some interview respondents indicated that the Forum had encountered challenges in their countries, such as the establishment of a formal partnership (Brazil), and reduced levels of programming in the 2005-2006 fiscal year partly linked to financial uncertainty and staff turnover at the Forum (Mexico). Among the successes identified by interviewees were activities such as workshops, seminars and the Fourth International Conference on Federalism.

With respect to lessons learned, answers from the interviewees varied according to context. Interviewees in Brazil considered that, while focusing on one major issue (in this case, fiscal federalism) was a good strategy to begin with, it may be time to broaden the perspective. In Mexico, where the Forum has held activities on a number of topics, interviewees indicated a need for tighter planning, including the identification of participants, experts and subject matter.

Given respondents comments in both the questionnaires and interviews, it seems that while the Forum's programs and products are perceived as successful and relevant, some questions exist as to the planning of programs and activities in a longer-term vision for the countries concerned.

## **FINANCE AND OPERATIONS**

A compliance audit was being completed at the time of the evaluation. The results of this audit indicate that the Forum is in full compliance with most of the articles concerned; however, the Forum is in partial compliance with regard to planning and reporting, including schedules. The Forum has recognized this weakness and indicated its intention to enhance the detail provided in its annual reporting packages.

Available financial information and data consulted during the evaluation indicated that while the use of core funding provided under the Grant Agreement has remained generally constant since 2005-2006, total funding had increased due to additional external funding.

With respect to expenses, an increase in activities and project costs was noted, without a correspondingly significant increase in overhead. This observation suggests the realization of greater efficiencies in the Forum's operations and management. This was corroborated in the consultations as various stakeholders indicated that the Forum was working to heighten synergies between programs and activities which can contribute to enhanced efficiencies and impacts.

## RECOMMENDATIONS

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### STRATEGIC AND OPERATIONAL PLANNING

Given the Forum's major transformation since 2005, with its internationalization process including the establishment of new partnerships, diversification of funding, expansion of its programs and activities in countries with varying needs and expectations, all while relying on the same level of overhead, it is recommended that:

*The Forum develop a new five-year strategic plan, including a three-year operational plan, that clearly states its mission, mandate and strategic objectives with a defined action plan under which integrated longer-term programming should fall, including the country-specific three-year plans that are currently being developed.*

### FINANCIAL REPORTING

As the Forum must demonstrate and communicate that the Government of Canada's contribution to its core funding is leveraged by the Forum's ability to attract greater contributions from other countries, it is recommended that:

*The Forum take appropriate measures to demonstrate and communicate the international leveraging of the funding it receives from the Government of Canada.*

### RESULTS-BASED MANAGEMENT

Considering, on one hand, the unique and important role the Forum plays in the field of federalism internationally in facilitating opportunities for mutual learning and understanding among practitioners and academics, as well as growing and diverse interest in the topic and demand for assistance, and, on the other hand, the challenges of systematically monitoring and reporting increased activity as well as its outcomes and impacts, it is recommended that:

*In order to further develop an organizational culture committed to results-based management, the Forum take additional measures to develop and implement appropriate policies, systems and tools enabling it to monitor, record and report activities held and programs conducted, including their shorter-term outcomes and longer-term impacts in a systematic and consistent manner.*

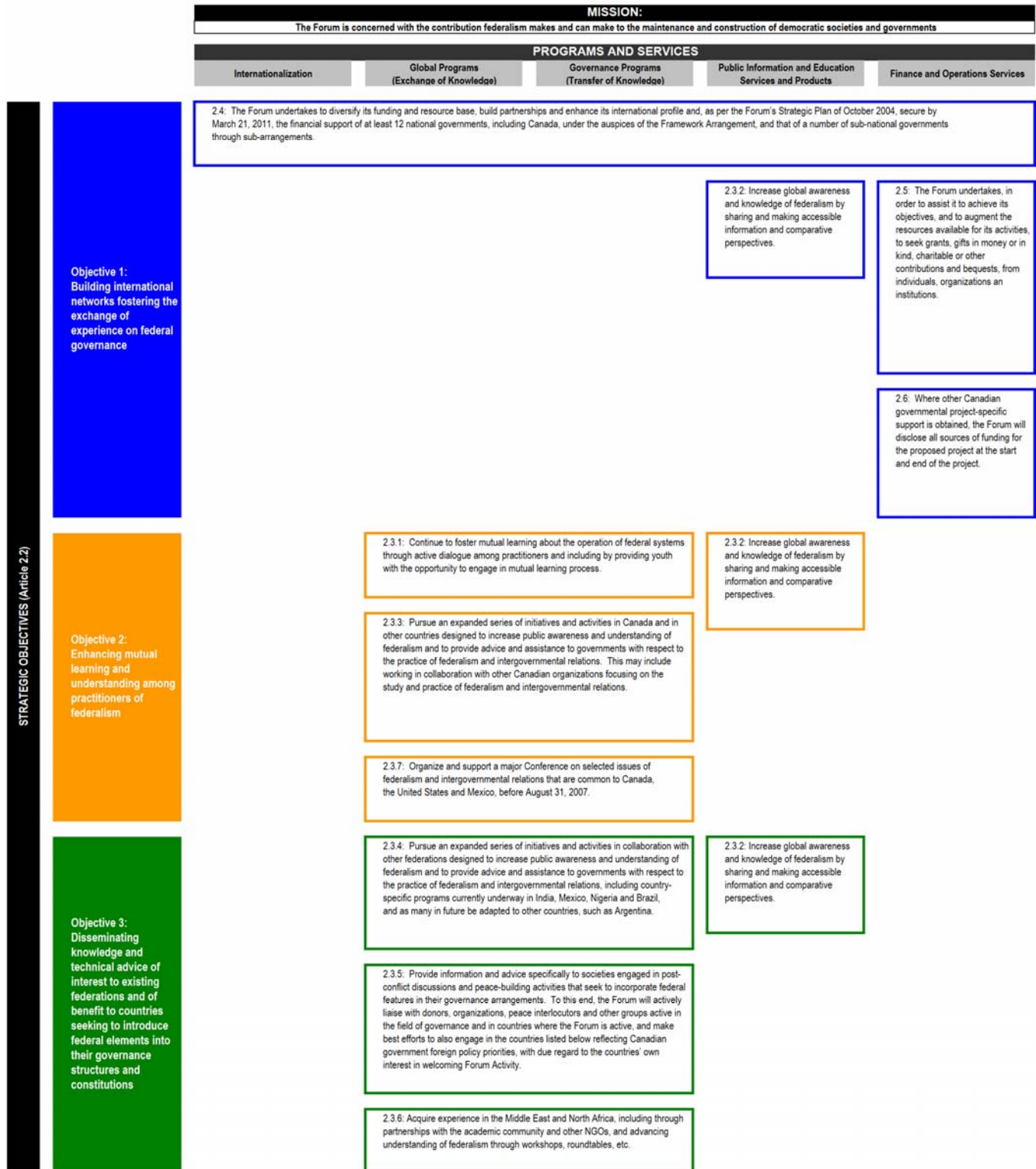
### PARTNER COUNTRIES' FRAMEWORK ARRANGEMENTS

Given the minimal annual contributions currently required of Partner Countries under the Framework Arrangements in contrast to the ambitious nature and scope of the objectives specified in the arrangements for improving governance and enhancing democracy, it is recommended that:

*The Forum, in addition to concluding the general Framework Arrangement with its Partner Countries, should seek to strike bilateral contribution agreements with its partners so as to better define and align countries' contributions with attainable and measurable objectives. Also, as a complement to the annual 50 000 \$USD remittance contributed by its partner countries, the Forum should seek additional financial support mainly from OECD federations, which could be based on an agreed upon formula.*

## APPENDIX A: EVALUATION FRAMEWORK

### Organizational Performance Evaluation Performance Measurement Framework



Organizational Performance Evaluation  
Performance Measurement Framework

		Evaluation Questions	Indicators	Data Sources
STRATEGIC OBJECTIVES (Article 2.2)	Objective 1: Building international networks fostering the exchange of experience on federal governance	Between 05-06 and 07-08, has the Forum diversified its funding and resource base?	Number, nature, amount, proportion, source of funding and resource base (Canadian and non-Canadian) sought, obtained, accounted for  Opinions on progress, success, effectiveness in seeking, obtaining, accounting for diverse sources of funding and resource base (Canadian and non-Canadian)	Document review  Interviews w/ Forum (CEO, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Finance, Systems & Operations) & DFAIT
		Between 05-06 and 07-08, has the Forum diversified its partnerships internationally?	Number, nature, types of partnerships sought, established internationally  Opinions on progress, success in diversifying partnerships internationally	Document review  Interviews w/ Forum (CEO, VP Research & Governance Programs; SD Global Programs & Head, International Conferences) & DFAIT; Field visits; Members' questionnaire
		Between 05-06 and 07-08, has the Forum enhanced its international profile?	Number, nature, scope, location of international activities in relation to Internationalization, Global & Governance Programs, Public Information & Education Service & Products; Frequency with which federal practitioners, emerging federations, major international governance organizations turn to the Forum for advice or collaboration; Citation of Forum (policy circles, academia, media); Diffusion of public information and education products  Opinions on progress, success in enhancing international profile through Internationalization, Global & Governance Programs, Public Information & Education Services and Products	Document review  Interviews w/ Forum (CEO, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education) & DFAIT; Field visits; Members' questionnaire
	Objective 2: Enhancing mutual learning and understanding among practitioners of federalism	Between 05-06 and 07-08, have the Forum's Global and Governance Programs enhanced mutual learning and understanding among practitioners of federalism through: fostering of mutual learning including youth; expansion of activities in Canada, other countries, and, support to large conferences including one on issues common to Canada, US, Mexico?	Number, nature, location of Global and Governance Programs, activities; Number and types of partners, collaborators, participants to Global and Governance Programs, activities (profession, nationality, age)  Outcomes and opinions on success, relevance, effectiveness of Global and Governance Programs, activities	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India VP Research & Governance Programs; SD Global Programs & Head, International Conferences) & DFAIT; Field visits; Members' questionnaire
		Between 05-06 and 07-08, have the Forum's Public Information and Education services, products, tools enhanced mutual learning and understanding among practitioners of federalism by providing accessible information and comparative perspectives through: website information, audi-visual products, and, Federations Magazine?	Numbers in diffusion, utilization of services, products  Opinions on services, products, tools accessibility, quality, relevance in enhancing mutual learning and understanding among practitioners	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education) & DFAIT; Field visits; Members' questionnaire
	Objective 3: Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions	Between 05-06 and 07-08, have the Forum's Global or Governance Programs disseminated knowledge and technical advice of interest to: existing federations (country-specific), and, aspiring federations (countries seeking to introduce federal elements including post-conflict and peace-building societies, the Middle-East and North Africa)?	Number, nature, scope of Global or Governance Programs disseminating knowledge and technical advice of interest to existing and aspiring federations  Outcomes and opinions on success, relevance, effectiveness of Global or Governance Programs in disseminating knowledge and technical advice of interest to existing and aspiring federations	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India VP Research & Governance Programs; SD Global Programs & Head, International Conferences) & DFAIT; Field visits; Members' questionnaire
		Between 05-06 and 07-08, have the Forum's Public Information and Education services, products, tools disseminated knowledge and technical advice to existing and aspiring federations?	Numbers, locations in diffusion of services, products, tools  Opinions on success, relevance, effectiveness of products, tools in disseminating knowledge and technical advice to existing and aspiring federations	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education) & DFAIT; Field visits; Members' questionnaire

Organizational Performance Evaluation  
Performance Measurement Framework

	Evaluation Questions	Indicators	Data Sources
OVERALL PERFORMANCE AND FUTURE	Between 05-06 and 07-08, have the Forum's programs, activities and services been relevant to its mandate and to that of its partners?	Opinions on the relevance of Forum's Global and Governance Programs, activities and Public Information and Education Services and Products to its mandate and to that of its partners	Interviews w/ Forum (CEO, Board President, Board Member-India, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education; SD Finance, Systems & Operations) & DFAIT; Field visits; Members' questionnaire
	Between 05-06 and 07-08, have the Forum's programs, activities and services been planned, organized, and delivered effectively?	Opinions on Forum's planning, organization, delivery of Global and Governance Programs, activities and Public Information and Education Services and Products	Interviews w/ Forum (CEO; Board President, Board Member-India, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education; SD Finance, Systems & Operations) & DFAIT; Field visits; Members' questionnaire
	Between 05-06 and 07-08, has the Forum encountered major challenges?	Number, nature, scope of major challenges  Opinions on major challenges encountered	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education; SD Finance, Systems & Operations) & DFAIT; Field visits; Members' questionnaire
	Between 05-06 and 07-08, has the Forum achieved major successes?	Number, nature, scope of major successes  Opinions on major successes achieved	Document review  Interviews w/ Forum (CEO; Board President, Board Member-India, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education; SD Finance, Systems & Operations) & DFAIT; Field visits; Members' questionnaire
	What best practices, insights or lessons can be drawn from the Forum's experience in the past three years (05-06 to 07-08)?	Opinions on best practices and lessons learned	Interviews w/ Forum (CEO; Board President, Board Member-India, VP Research & Governance Programs; SD Global Programs & Head, International Conferences; SD Public Information & Education; SD Finance, Systems & Operations) & DFAIT; Field visits; Members' questionnaire

## APPENDIX B: ALL FORUM EVENTS (2005-2006 THROUGH 2007-2008)

2004-2005	2005-2006	2006-2007	2007-2008
<b>Argentina: Governance Programming Events</b>			
		<ul style="list-style-type: none"> <li>Workshop: Federal Reforms and Fiscal Responsibility</li> <li>Executive Presentation: Comparative Energy Management</li> </ul>	<ul style="list-style-type: none"> <li>Signature of MOU</li> <li>Workshop: Comparing Labour Issues in Canada, Argentina and Brazil</li> <li>Workshop with CIPPEC and the Senate: Fiscal Federalism</li> <li>International Seminar: Comparing High Courts</li> </ul>
<b>Argentina: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> </ul>		<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Roundtable: Fiscal, Economic, Institutional Challenges</li> </ul>	
<b>Australia: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>Conference on Federalism in Asia</li> </ul>		<ul style="list-style-type: none"> <li>Conference on Health</li> </ul>
<b>Australia: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> <li>International Roundtable: Theme 3</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> <li>Country Roundtable: Theme 5</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 6</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7</li> </ul>
<b>Austria: Governance Programming Events</b>			
			<ul style="list-style-type: none"> <li>Renewal of Framework Arrangement</li> <li>Conference: Managing Constitutional Reform</li> <li>Book Launch: Can Constitutional Reform Succeed?</li> </ul>
<b>Austria: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> </ul>		<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Country Roundtable: Theme 6</li> </ul>	<ul style="list-style-type: none"> <li>European Roundtable: Young Professionals</li> </ul>
<b>Basseterre, St. Kitts: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>Consultation: Governments</li> </ul>			
<b>Belgium: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>Launch: Handbook of Federal Countries 2005</li> </ul>		<ul style="list-style-type: none"> <li>Executive Presentation: Université Libre de Bruxelles</li> <li>Executive Mission: Accompaniment of Indian Interstate Council Secretariat to former Conference Venues</li> </ul>	
<b>Belgium: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Support to International Conference</li> <li>Launch: GD Book 1; Booklets 1 &amp; 2</li> <li>Youth Program: International Conference</li> </ul>		<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7</li> </ul>

2004-2005	2005-2006	2006-2007	2007-2008
<b>Brazil: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ First National meeting: Tax Administration</li> <li>▪ Executive Mission with Fiscal Commission and other Partners such as National Council on Fiscal Policy</li> </ul>	<ul style="list-style-type: none"> <li>▪ Seminar: Fiscal Competition and Regional Imbalance</li> <li>▪ Executive Meeting: Ministers and Authorities of Organization of American States on Decentralization</li> <li>▪ World Forum: Fiscal Federalism</li> <li>▪ Workshop: Fiscal Harmonization</li> </ul>	<ul style="list-style-type: none"> <li>▪ Workshop: Fiscal Federalism (with Getulio Vargas Foundation, World Bank, IMF)</li> <li>▪ Executive Meetings: Feasibility of Value added tax with Senior Officials, Secretaries and Vice-Ministers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Executive Mission: Program Development</li> <li>▪ International Support to FFBS an CONFAZ with EU and Indian Experts on Development Fund</li> <li>▪ International Seminar: Tax Reform and Fiscal Federalism with FFBS and SAF Partnerships</li> </ul>
<b>Brazil: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ Roundtable: Division of Revenue between Levels of Government</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 4</li> <li>▪ International Roundtable: Theme 4</li> <li>▪ Launch of Book 2 and Booklet 3</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 6</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 7</li> </ul>
<b>Canada: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ Diaspora Roundtable: Women, Peace and Security in Sri Lanka (Ottawa)</li> <li>▪ Diaspora Roundtable: Women, Peace and Security in Sri Lanka (Vancouver)</li> <li>▪ Diaspora Roundtable: Women, Peace and Security in Sri Lanka (Toronto)</li> <li>▪ Intergovernmental Cooperation in Sustainable Urban Transportation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Executive Presentation: Mexico-Canada-USA Model Parliament for Youth</li> <li>▪ Visit: Ethiopian Government Delegation</li> <li>▪ Publication: Ron Watts' Federal Systems (in Arabic)</li> <li>▪ Visit: Iraqi Study Tour</li> <li>▪ Luncheon address by Quebec Minister of Intergovernmental Affairs</li> <li>▪ Executive Presentation at Department of History and Political Science, Université de Sherbrooke</li> </ul>	<ul style="list-style-type: none"> <li>▪ International Conference: Post-Secondary Education</li> <li>▪ Seminar: Fiscal Federalism and the Future of Canada</li> <li>▪ Study Tour: Brazilian Officials on Fiscal Issues</li> <li>▪ Visit: Sri Lankan Journalists</li> <li>▪ Visit: Mexican President-elect</li> <li>▪ Publication: Dialogues on Practice of Federalism</li> <li>▪ Publication: Legislative, Executive, Judicial Governance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conference: Italy and Federalism</li> <li>▪ Conference: Good Governance and North American Electricity Sector</li> <li>▪ EDG Conference: Immigration, Ethnicity and Federal Governance</li> <li>▪ Workshop: Harmonizing Environmental Assessment between Orders of Government</li> <li>▪ Workshop: Internal Trade Issues</li> <li>▪ Workshop: High Courts in Federal Countries Project in Argentina</li> <li>▪ Workshop on Standing Committee of Foreign Affairs and International Department Report</li> <li>▪ Presentation IRP: Circumpolar World, Emerging Systems</li> <li>▪ Presentation at Concordia University: Brazil in Latin America</li> <li>▪ Visit: New Canadian Ambassador to Brazil</li> <li>▪ Visit: German Delegation (30)</li> <li>▪ Visit: Ethiopian Study Tour</li> <li>▪ Co-host: Sri Lankan Study Tour</li> <li>▪ Executive Meeting: Environics</li> <li>▪ Ron Watts: Queen's University Conference on Federalism</li> <li>▪ Executive Discussion: Diversity in Public Services with School of Public Services</li> <li>▪ Vancouver March 2008: Indigenous Land Title Certainty</li> </ul>



2004-2005	2005-2006	2006-2007	2007-2008
<b>Canada: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 3</li> <li>▪ Founding Meeting: International Youth Network</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 4</li> <li>▪ Launch: Handbook of Federal Countries 2005 and Booklet 2 (in French)</li> <li>▪ Canada-Brazil dialogue on Enhancing the Public Realm (Glendon College)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 5 (Montreal)</li> <li>▪ Country Roundtable: Theme 5 (London)</li> <li>▪ International Roundtable: Theme 5</li> <li>▪ Publication: Booklet 5</li> <li>▪ Publication: Booklet 4 (in French)</li> <li>▪ Publication: Booklets 1-5 (in Spanish)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 7</li> </ul>
<b>China: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>▪ Executive Presentation: International Workshop on Intergovernmental Financial Systems</li> </ul>		
<b>Ethiopia: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>▪ Executive Preparatory Missions (2)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Signature Partnership Agreement</li> <li>▪ Workshop: Managing Conflicts in Federal Systems</li> <li>▪ Workshop: Planning of MA at Addis Ababa University</li> <li>▪ Workshop: Exploring Intergovernmental Relations</li> <li>▪ TA Mission: Fiscal Federalism – Revenue Sharing Formulas</li> <li>▪ Workshop: Revenue Sharing Formulas</li> </ul>	<ul style="list-style-type: none"> <li>▪ Executive Mission: Follow-up with Ministry of Federal Affairs, University, House of Federation</li> <li>▪ Workshops with Ethiopian Ministry of Federal Affairs on Intergovernmental Relations</li> <li>▪ Workshops and Training on Fiscal Federalism with House of Federation and Senior State Officials</li> <li>▪ Study Tour Visit by House of Federation</li> <li>▪ Inaugural Public Lecture at AAU's new Institute for Federalism</li> </ul>
<b>Ethiopia: Global Programming Events</b>			
			<ul style="list-style-type: none"> <li>▪ Executive Mission: 5<sup>th</sup> International Conference Planning</li> <li>▪ Country Roundtable: Theme 7</li> </ul>
<b>Germany: Governance Programming Events</b>			
		<ul style="list-style-type: none"> <li>▪ International Conference: Competition vs. Co-operation – German Federalism in Need of Reform</li> </ul>	<ul style="list-style-type: none"> <li>▪ Signature of Framework Arrangement</li> <li>▪ Executive Meetings: Donors (BMZ, GTZ)</li> <li>▪ International Workshop: Benchmarking in the Public Policy Sector</li> <li>▪ Participation at Conference on Reform of German Fiscal Federalism (in Italy)</li> <li>▪ Book Launch: Competition vs. Co-operation – German Federalism in Need of Reform</li> </ul>

2004-2005	2005-2006	2006-2007	2007-2008
<b>Germany: Global Programming Events</b>			
	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Country Roundtable: Theme 6</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7</li> </ul>
<b>India: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>Working Group and Information Session: Draft Document on Health</li> <li>Workshop: Constitutional Amendments in Federal States</li> <li>Workshop: Management of Diversity</li> </ul>	<ul style="list-style-type: none"> <li>Conference: Democracy, Devolution, Development</li> <li>Workshop: Impact of Globalization on Fiscal Federalism in Transition Economies</li> <li>Executive Presentation at National Conclave on Energy</li> <li>Executive Meeting: President of India</li> </ul>		<ul style="list-style-type: none"> <li>National Roundtable: Federalism</li> <li>Regional Conference: Federalism</li> <li>Conference: Capital Cities</li> <li>Executive Meetings: Forum BOD and Program Committee</li> <li>Institutional Development: Centre for Good Governance</li> </ul>
<b>India: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> <li>Launch: Book 2</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Country Roundtable: Theme 6</li> <li>Executive Pre-Conference Preparatory Mission: Fourth International Conference</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7</li> <li>Executive Mission: Fourth International Conference on Federalism</li> <li>Fourth International Conference on Federalism</li> <li>Asia-Pacific Roundtable: Young Professionals</li> <li>Meetings: Post-Conference</li> </ul>
<b>Iraq: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>Executive Presentation to Iraq Constitutional Committee of Transitional National Assembly</li> <li>Executive Presentation to Iraq National Assembly</li> <li>Executive Presentation at Conference: Practical Federalism in Iraq (held in Italy)</li> <li>Executive Presentation at UN Conference: Iraq's New Constitution (held in Cyprus)</li> <li>Executive Presentation at UN Conference: Iraq's Constitutional Future (held in Jordan)</li> <li>Executive Needs Assessment Missions to Baghdad (3)</li> <li>Provision of Forum Staff to Baghdad Office of National Democratic Institute</li> <li>Study Tour of 12 Iraqi Parliamentarians and Judges to Canada and Switzerland</li> </ul>	<ul style="list-style-type: none"> <li>Executive Presentation at UN Conference: Fiscal Federalism for Iraq (held in Jordan)</li> <li>Executive Presentation at UN Conference: Federal Arrangements for the New Iraqi Constitution (held in Spain)</li> <li>Executive Presentation at UN Conference with Members of Iraqi Constitutional Review Committee on Federal Structures</li> <li>Italian Government Seminar: Practical Federalism in Iraq</li> <li>Executive Mission: Needs Assessment of Iraqi Journalists (25)</li> <li>Three-day Federalism Training Workshop for Iraqi and Arab Regional Media Representatives in Baghdad</li> <li>Launch of Training Project and Curriculum Development with 18 Iraqi Academics, Education Administrators, University Presidents and Deans</li> </ul>	<ul style="list-style-type: none"> <li>Iraqi Academics Learn About Federal Models ( Jordan)</li> <li>Iraqi Academics Begin Second Training Course on Federalism (25 in Jordan)</li> <li>Federalism Courses for Iraqi Professors of Law and Political Science (70)</li> </ul>

2004-2005	2005-2006	2006-2007	2007-2008
<b>Malaysia: Global Programming Events</b>			
	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> </ul>	
<b>Mexico: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>Workshop: Comparative Fiscal Federalism</li> <li>Meeting: Federal Countries in the Americas</li> <li>Workshop: Fiscal Responsibility (Mexico City)</li> <li>Workshop: Fiscal Responsibility (Jalisco)</li> <li>Workshop: Fiscal Responsibility (Coahuila)</li> <li>Workshop: Fiscal Responsibility (Baja California Sur)</li> </ul>		<ul style="list-style-type: none"> <li>International Seminar: Intermunicipal Management of Urban Services</li> <li>Workshop: Decentralization and Intergovernmental Institutions (Mexico City)</li> <li>Workshop: Decentralization and Intergovernmental Institutions (Nuevo Laredo)</li> <li>Workshop: Decentralization and Intergovernmental Institutions (Veracruz)</li> <li>Workshop: Public Security</li> <li>Forum: Innovation and Good Governance</li> </ul>	<ul style="list-style-type: none"> <li>Executive Mission: Technical Support to INAFED</li> <li>Workshop: Foreign Relations in Constituent Units</li> </ul>
<b>Mexico: Global Programming Events</b>			
		<ul style="list-style-type: none"> <li>Country Roundtable: Theme 6</li> </ul>	
<b>Nepal: Governance Programming Events</b>			
			<ul style="list-style-type: none"> <li>Cross-Country Seminar: Organized by National Peace Campaign</li> </ul>
<b>Nigeria: Governance Programming Events</b>			
		<ul style="list-style-type: none"> <li>Executive Meetings and Presentation: Federalism in the 21<sup>st</sup> Century</li> </ul>	<ul style="list-style-type: none"> <li>Executive Mission with Ministry of Federal Affairs, University and House of Federations</li> <li>Executive Presentation at Governor's Forum on Comparative Fiscal Challenges</li> <li>High-level Seminar on Fiscal Federalism Co-sponsored with Ministry of Finance and Governors' Forum</li> </ul>
<b>Nigeria: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> <li>Internship: Institute of Governance and Social Research</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4 (Aug.)</li> <li>Country Roundtable: Theme 4 (Sept.)</li> <li>Forum Intern to Institute of Governance and Social Research</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 6</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7</li> </ul>
<b>Philippines: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>Workshop: Federalism in the Philippines</li> </ul>		
<b>Russia: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>Executive Presentation at Conference: Legal and Economic Aspects of Federalism in Russia and Canada</li> </ul>		

2004-2005	2005-2006	2006-2007	2007-2008
<b>Russia: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Country Roundtable: Theme 3</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> </ul>		<ul style="list-style-type: none"> <li>Country Roundtable: Theme 7 with Presence of Moscow State Institute of International Relations, Bonn International Center for Conversion, MGIMO Institute</li> </ul>
<b>South Africa: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Internship: Community Law Centre</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> <li>Forum Intern to Community Law Centre</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Country Roundtable: Theme 6</li> <li>Forum Interns on Work Terms (3)</li> </ul>	
<b>Spain: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>Executive Meeting: Intergovernmental Relations</li> </ul>	<ul style="list-style-type: none"> <li>Executive Presentation to Gimenez Abad Foundation</li> </ul>	<ul style="list-style-type: none"> <li>Executive Meeting: Conference on Water</li> </ul>
<b>Spain: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Global Dialogues: Democracy and Diversity</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 4</li> </ul>	<ul style="list-style-type: none"> <li>Country Roundtable: Theme 5</li> <li>Country Roundtable: Theme 6</li> </ul>	
<b>Sri Lanka: Governance Programming Events</b>			
<ul style="list-style-type: none"> <li>Course: Conflict Resolution and Governance</li> <li>Course: Federal Idea</li> </ul>	<ul style="list-style-type: none"> <li>Course: Federal Idea</li> </ul>	<ul style="list-style-type: none"> <li>First Workshop: Power-sharing Options and the Federal Idea</li> <li>Executive Presentation: Federalism in the 21<sup>st</sup> Century</li> </ul>	<ul style="list-style-type: none"> <li>Executive Working Session on Sri Lanka in Norway</li> <li>Hosting of Workshop: Power-sharing in Sri Lanka with Participation of nearly 60 Sri Lankan Academics, Lawyers, Civil Society Representatives, Members of Provincial Councils, Government Officials and Journalists</li> <li>Workshop: Women's Perception of Power-sharing in Sri Lanka with Participation of over 30 Sri Lankan Women Politicians</li> <li>Workshop: Under World Vision Contract</li> <li>Workshop: Under NORAD, Phase 2</li> <li>Creation of Lexicons on Power-sharing and Federalism for Sri Lanka</li> <li>Power-sharing Options for Sri Lanka and the Federal Idea with over 150 Participants</li> <li>Co-host of Sri-Lankan Study Tour</li> </ul>
<b>Sri Lanka: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>Internship: Centre for Policy Alternatives</li> </ul>	<ul style="list-style-type: none"> <li>Forum Intern to Centre for Policy Alternatives</li> </ul>		

2004-2005	2005-2006	2006-2007	2007-2008
<b>Sudan: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>▪ Workshops: Federalism Reaching Governments and Civil Society</li> <li>▪ Groundwork Tour: Program in Support of Peace Agreement</li> <li>▪ Executive Mission and Workshops (3)</li> <li>▪ Expert Assistance and Training Provided to AU Darfur Talks on Power-sharing</li> </ul>	<ul style="list-style-type: none"> <li>▪ Signing of MOU</li> <li>▪ Workshop: Forum's Advisory Committee on Civil Society</li> <li>▪ Workshops: Ministry of Federal Governance (3)</li> <li>▪ Workshop: Developing Tailored Training and Public Awareness Programs</li> <li>▪ Workshop and Advice: Fiscal and Financial Allocation and Monitoring Commission</li> <li>▪ Focus Groups: Public Awareness Raising and Consultations (7)</li> <li>▪ Executive Presentation at University of Khartoum on Federalism and the 21<sup>st</sup> Century</li> <li>▪ Executive Presentation to Sudan's Fiscal and Financial Allocation and Monitoring Commission</li> <li>▪ Technical Assistance and Advice to Sudan's Fiscal and Financial Allocation and Monitoring Commission</li> <li>▪ Assessment Mission and 8-week Assignment of Indian Expert to Ministry of Federal Governance</li> <li>▪ Experts Provided to AU-Abuja Peace Talks on Darfur on Wealth Sharing, Land and Compensation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Course Launch: Federalism and Peace in Sudan</li> <li>▪ Executive Meetings: Design of University Support Component to Phase Two</li> <li>▪ Executive Meeting: Design of Public Awareness Component to Phase Two</li> <li>▪ Missions: Assessment and Design of Phase Two – Sudan Federal Governance Program</li> </ul>
<b>Sudan: Global Programming Events</b>			
		<ul style="list-style-type: none"> <li>▪ Roundtable with Civil Society: Fiscal Federalism</li> <li>▪ Workshop: Dialogue on Federalism, Sudanese and International Experience with National, State and Local Governments</li> </ul>	
<b>Switzerland: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>▪ Executive Presentation at Swiss Seminar: Gouverner Aujourd'hui</li> <li>▪ Visit: Iraqi Study Tour</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting: Forum's Strategic Council</li> <li>▪ Meetings: Swiss Federal and Cantonal Governments</li> </ul>	<ul style="list-style-type: none"> <li>▪ Framework Arrangement Renewal</li> <li>▪ Participation at Parliamentary Committee Hearing on Swiss European Policy</li> <li>▪ Participation at Swiss National Conference on Federalism</li> </ul>

2004-2005	2005-2006	2006-2007	2007-2008
<b>Switzerland: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 3</li> <li>▪ Summer Session: Federalism</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 4</li> <li>▪ International Youth Network Committee</li> <li>▪ Executive Presentation at Fribourg Summer University</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 5</li> <li>▪ Country Roundtable: Theme 6</li> <li>▪ Meeting: Young Professionals Steering Committee</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 7</li> </ul>
<b>United States: Governance Programming Events</b>			
	<ul style="list-style-type: none"> <li>▪ Executive Meeting: L20 Energy Security</li> <li>▪ Executive Liaison Mission: World Bank, US Institute of Peace, National Endowment for Democracy, National Democratic Institute</li> </ul>		<ul style="list-style-type: none"> <li>▪ Discussions: World Bank and IMF</li> <li>▪ Mission: Networking with State Department and World Bank</li> </ul>
<b>United States: Global Programming Events</b>			
<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 3</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 4</li> </ul>	<ul style="list-style-type: none"> <li>▪ Country Roundtable: Theme 5</li> <li>▪ Country Roundtable: Theme 6</li> </ul>	
<b>Totals</b>			
<b>16 Countries</b> <b>39 Events</b>	<b>18 Countries</b> <b>61 Events</b>	<b>19 Countries</b> <b>83 Events</b>	<b>19 Countries</b> <b>86 Events</b>

**APPENDIX C: INTERVIEW GUIDE FOR STAKEHOLDER CONSULTATIONS**



**Interview Guide**

**Organizational  
Performance  
Evaluation**



**February 2008**

**PGF**

## INTRODUCTION

PGF Consultants Inc. has been mandated, by the Forum of Federations to conduct a formative (mid-term) Organizational Performance Evaluation as required by the Grant Agreement with the Government of Canada 2005-2011.

PGF is conducting this mandate by consulting different categories of stakeholders. Forum Board of Directors' members, Forum management and staff, and Department of Foreign Affairs and International Trade representatives are being consulted in one-hour face-to-face interviews between February 18<sup>th</sup> and 29<sup>th</sup>, 2008.

Representatives from Forum Country Partners are being consulted at distance, by questionnaire. Field visits to two countries will also be conducted and will enable PGF to consult with Forum collaborators and beneficiaries on the ground.

These consultations aim to obtain information, from the view points of different categories of stakeholders, regarding the attainment of the objectives set out in the Forum's Grant Agreement. Questions relate to the success, relevance and effectiveness of the Forum in attaining these objectives through its programs, activities, services.

The objectives are as follows:

- Building international networks fostering the exchange of experience on federal governance;
- Enhancing mutual learning and understanding among practitioners of federalism; and,
- Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions.

It is within this context that you are invited to participate in a one-hour, personal, face-to-face consultation which will follow this interview guide. More (or sometimes less) emphasis may be placed on certain questions, depending on their relevance and applicability to specific categories of stakeholders.

We thank you for considering and accepting the invitation to participate in these consultations. Your input is important and appreciated.

Aurèle Thériault,  
President  
PGF Consultants Inc.



## RESPONDENT

Name: \_\_\_\_\_ Position: \_\_\_\_\_  
Organization: \_\_\_\_\_

## BUILDING INTERNATIONAL NETWORKS

### Internationalization of Partnerships

1. Between 2005-2006 and 2007-2008, **has the Forum been successful and effective in building (seeking, establishing) partnerships internationally?**
- Yes: How so? Where? Specify which partnerships.
- No: Why not?

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### Enhancement of International Profile

2. Between 2005-2006 and 2007-2008, **has the Forum been successful and effective in enhancing its international profile?**
- Yes: How so? Where? In relation to which programs or services?
- No: Why not?

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**Internationalization of Funding**

3. Between 2005-2006 and 2007-2008, has the Forum been successful and effective in diversifying its funding and resource base (internationally and nationally)?

- Yes: How so (approach and results to diversification of funding)? Where (existing, aspiring federations contributing)? What type and level of funding?
- No: Why not?

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4. Between 2005-2006 and 2007-2008, has the Forum been effective in accounting for the diverse contributions of partners, collaborators and stakeholders, whether financial, in kind or other?

- Yes: How so?
- No: Why not?

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## ENHANCEMENT OF MUTUAL LEARNING AND UNDERSTANDING

### Global Programs and Governance Programs

5. Between 2005-2006 and 2007-2008, have Forum programs (Global and/or Governance Programs) been successful, relevant and effective in fostering mutual learning and understanding among practitioners of federalism?

- Yes: Which programs (Global or Governance)? Where (in Canada or abroad)? With who (youth, others)? How (through large conferences or other means)?
- No: Why not?

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### Public Information and Education Services

6. Between 2005-2006 and 2007-2008, have Forum public information and education products, tools and services been successful, relevant and effective in fostering mutual learning and understanding among practitioners of federalism?

- Yes: Which products, tools and/or services (website, audio-visual, Federations magazine)? Where (in Canada or abroad)? With who (youth, others)?
- No: Why not?

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## DISSEMINATION OF KNOWLEDGE AND TECHNICAL ADVICE

### Global Programs and Governance Programs

7. Between 2005-2006 and 2007-2008, have Forum programs (Global and/or Governance Programs) been successful, relevant and effective in disseminating knowledge and technical advice of interest to relevant countries (existing or aspiring federations)?

- Yes: Which programs (Global or Governance)? Where (existing or aspiring federations)? How?
- No: Why not?

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### Public Information and Education Services

8. Between 2005-2006 and 2007-2008, have Forum public information and education products, tools and services been successful, relevant and effective in disseminating knowledge and technical advice of interest to relevant countries (existing or aspiring federations)?

- Yes: Which products, tools and/or services (website, audio-visual, Federations magazine)? Where (existing or aspiring federations)? How?
- No: Why not?

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## OVERALL PERFORMANCE AND FUTURE OF THE FORUM

### Relevance and Effectiveness

9. Between 2005-2006 and 2007-2008, have the Forum's programs, activities and services been relevant to its own mandate and objectives and to the mandates and objectives of its partners?

- Yes: How?  
 No: Why not?

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10. Between 2005-2006 and 2007-2008, have the Forum's programs, activities and services been planned, organized and delivered effectively and efficiently so as to have the most beneficial impact possible given its resources (financial, human, material, circumstantial – ex.: time, context, etc.)?

- Yes: How?  
 No: Why not?

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**Major Challenges and Successes**

11. Between 2005-2006 and 2007-2008, **has the Forum encountered major challenges?**

- Yes: Specify (with respect to: particular programs, activities or services; diversification of partnerships or funding; financial or human resources, etc.).
- No: Why not?

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12. Between 2005-2006 and 2007-2008, **has the Forum achieved major successes?**

- Yes: Specify (with respect to: particular programs, activities or services; diversification of partnerships or funding; financial or human resources, etc.).
- No: Why not?

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**Progress toward the Forum's Vision Statement**

13. Between 2005-2006 and 2007-2008, has the Forum progressed toward its Vision statement according to which, by 2010, it will be the leading network and most valued resource in the practical application of federalism worldwide and will have partnerships with the majority of federal countries and organizations active in strengthening federal governance?

- Yes: How?
- No: Why not?

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**Lessons Learned**

14. Between 2005-2006 and 2007-2008, from the Forum's experience, can lessons be learned that give insight for the future?

- Yes: Which lessons and how?
- No: Why not?

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## APPENDIX D: PARTNERS AND COLLABORATORS QUESTIONNAIRE

<p>Partners Questionnaire <span style="float: right;">Organizational Performance Evaluation</span></p>  <p><b>Organizational Performance Evaluation Partners Questionnaire</b></p> <p>PGF Consultants Inc. has been mandated by the Forum of Federations to conduct an independent formative (mid-term) Organizational Performance Evaluation as required by its Grant Agreement with the Government of Canada 2005-2011. This evaluation focuses on measuring the Forum's performance over the period from 2005-2006 to 2007-2008.</p> <p>PGF is conducting this mandate by consulting different categories of stakeholders. The Forum's Board of Directors, its management and staff, as well as officials with the Canadian Department of Foreign Affairs and International Trade, were consulted in one-hour face-to-face interviews in Ottawa. PGF is also conducting field visits to meet with stakeholders in Brazil and Mexico.</p> <p>Representatives from Forum Country Partners and Collaborators, such as yourself, are now being consulted at a distance, by way of a written questionnaire.</p> <p>These consultations aim to obtain information on the perceptions of Forum of Federations partners and collaborators regarding the success, relevance and effectiveness of the Forum's activities relative to the contexts and objectives of collaborating organizations and countries, as well as those of the Forum.</p> <p>The Forum's objectives as set out in the Grant Agreement 2005-2011, are as follows:</p> <ul style="list-style-type: none"> <li>• Building international networks fostering the exchange of experience on federal governance;</li> <li>• Enhancing mutual learning and understanding among practitioners of federalism; and,</li> <li>• Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions.</li> </ul> <p>It is within this context that you are invited to print and complete in writing the attached questionnaire and <b>return it by fax to PGF Consultants Inc. no later than March 19<sup>th</sup>, 2008</b>. Your participation should require approximately 30 minutes of your time. Individual responses will remain anonymous as the analysis will be conducted on the basis of larger categories of respondents (for example, grouping respondents by continent).</p> <p>Completed questionnaires should be faxed to:</p> <p>Benoît Hubert, Vice President PGF Consultants Inc. Fax: (613) 241-2252</p> <p>For questions or additional information, please contact Benoît Hubert directly:</p> <p>Tel.: (613) 241-2251 ext. 237 1-800-575-9118 ext. 237 bhubert@pgf.ca</p> <p>We thank you for participating in these consultations. Your input is important and appreciated.</p> <p>Aurèle Thériault, President PGF Consultants Inc.</p> <hr/> <p> <span style="margin-left: 150px;">March 2008</span> <span style="float: right;">1</span></p>	<p>Partners Questionnaire <span style="float: right;">Organizational Performance Evaluation</span></p> <p><b>A. RESPONDENT AND COUNTRY PROFILE</b></p> <p>1) Which city/country are you located in?</p> <p><u>Canada</u></p> <p>Ottawa, Ontario <input type="checkbox"/></p> <p>Montreal, Quebec <input type="checkbox"/></p> <p><u>Europe</u></p> <p>Berlin, Germany <input type="checkbox"/></p> <p>Innsbruck, Austria <input type="checkbox"/></p> <p>Bern, Switzerland <input type="checkbox"/></p> <p><u>Asia-Pacific</u></p> <p>Melbourne, Australia <input type="checkbox"/></p> <p>New Delhi, India <input type="checkbox"/></p> <p>Colombo, Sri Lanka <input type="checkbox"/></p> <p><u>Africa</u></p> <p>Cape Town, South Africa <input type="checkbox"/></p> <p>Jos, Nigeria <input type="checkbox"/></p> <p>Khartoum, Sudan <input type="checkbox"/></p> <p>Addis Ababa, Ethiopia <input type="checkbox"/></p> <p>2) Is your country an official member of the Forum of Federations (please indicate the answer that applies)?</p> <p>Yes – since before 2005-2006 <input type="checkbox"/></p> <p>Yes – since 2005-2006 <input type="checkbox"/></p> <p>Yes – since 2006-2007 <input type="checkbox"/></p> <p>Yes – since 2007-2008 <input type="checkbox"/></p> <p>No – but it is considering becoming an official member <input type="checkbox"/></p> <p>No – and it is not considering becoming an official member <input type="checkbox"/></p> <p>Do not know <input type="checkbox"/></p> <hr/> <p> <span style="margin-left: 150px;">March 2008</span> <span style="float: right;">2</span></p>
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Partners Questionnaire Organizational Performance Evaluation

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**B. FORUM OF FEDERATIONS ACTIVITIES**

**Forum of Federations Events and Publications**

3) Please indicate the Forum of Federations events and publications from 2005 to 2008, relevant to your country, that you are aware of:

Triumvirate of Mexico, USA, Canada model parliament (Montreal, 2005)	<input type="checkbox"/>
Canadian Global Dialogue country roundtable on fiscal federalism (Montreal, 2005)	<input type="checkbox"/>
"Building Public Spaces that Work: A Canada-Brazil Dialogue Devoted to Enhancing the Public Realm" (Glendon College, 2005)	<input type="checkbox"/>
Luncheon address on the Council of Federation by Quebec Minister of Intergovernmental Affairs, Benoit Pelletier (Ottawa, 2005)	<input type="checkbox"/>
Ethiopian government delegation sharing experiences with Canadians in managing federal systems (Ottawa, 2005)	<input type="checkbox"/>
Study tour of Iraqi parliamentarians and judges learning about federalism in Canada and Switzerland (Montreal, Ottawa, Kingston, Toronto, 2005)	<input type="checkbox"/>
Canadian roundtable on Foreign Relations in Federal Countries (Montreal, 2006)	<input type="checkbox"/>
Seminar on fiscal federalism and the future of Canada (Kingston, 2006)	<input type="checkbox"/>
Global Dialogue: International roundtable on Foreign Relations in Federal Countries (Ottawa, 2006)	<input type="checkbox"/>
Mexican president-elect's visit to Ottawa (Ottawa, 2006)	<input type="checkbox"/>
Canadian study tour of Brazilian officials on fiscal issues (Ottawa, Québec City, 2006)	<input type="checkbox"/>
International conference on post-secondary education (Gatineau, 2007)	<input type="checkbox"/>
Learning of Sri Lankan journalists concerning power-sharing experience (Canada, 2007)	<input type="checkbox"/>
Other (please specify): _____	<input type="checkbox"/>
_____	

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Partners Questionnaire Organizational Performance Evaluation

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4) With respect to the events and publications that you are aware of, to what degree do you consider them to have been:

	Very	Somewhat	Minimally	Do not know
Successful with regard to levels of participation and/or interest among practitioners of federalism, experts on federalism, and youth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relevant with regard to their subject matter and content relative to your organization's or country's context, needs and priorities with respect to federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective with regard to their processes (i.e. planning, design, organization, launch, delivery, distribution and/or accountability)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Public Information and Education Services and Products**

5) From the following list, please indicate the Forum of Federations Information and Education Services and Products that you are aware of:

Federations magazine	<input type="checkbox"/>
Forum of Federations' newsletter	<input type="checkbox"/>
Forum of Federations' website	<input type="checkbox"/>
Forum of Federations' videos	<input type="checkbox"/>

6) With respect to the Public Information and Education Services and Products that you are aware of, to what degree do you consider them to be:

	Very	Somewhat	Minimally	Do not know
Successful with regard to levels of interest among actual and potential users (practitioners of federalism, experts on federalism, youth)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relevant with regard to subject matter and content relative to your organization's or country's context, needs and priorities with respect to federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Effective with regard to their design, diffusion and accessibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Partners Questionnaire Organizational Performance Evaluation

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**Outcomes of Forum of Federations Activities**

7) To your knowledge, have Forum of Federations activities relative to your country contributed to:

	Yes	No	Do not know
Improving the practice of federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Addressing the needs of federalism's practitioners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serving as a resource and source of information on the practice of federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developing and establishing government policy and programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Encouraging future practitioners (youth) to develop an interest and expertise in federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8) Do you have additional comments to make regarding the success, relevance, effectiveness and outcomes of Forum of Federations activities in your country?

Yes  No

Please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**Impacts of Forum of Federations Activities**

9) From your point of view, have Forum of Federations activities in your country contributed to improving governance?

Yes  No  Do not know

Please explain:

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Partners Questionnaire Organizational Performance Evaluation

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**C. FORUM OF FEDERATIONS OBJECTIVES**

**Attainment of the Forum of Federations' Strategic Objectives**

10) From your point of view, to what degree has the Forum of Federations been successful in attaining the three strategic objectives listed below?

	Very	Somewhat	Minimally	Do not know
Enhancing mutual learning and understanding among practitioners of federalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disseminating knowledge and technical advice of interest to your federation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building International Networks fostering the exchange of experience on federal governance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11) Why do you feel that the Forum of Federations has been successful or unsuccessful in attaining the three strategic objectives listed above? Please explain:

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\_\_\_\_\_

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\_\_\_\_\_

**Attainment of the Forum of Federations' Operational Objectives**

12) From your point of view, to what degree has the Forum of Federations been successful in attaining the three operational objectives listed below?

	Very	Somewhat	Minimally	Do not know
Enhancing its international profile	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Becoming a leading network and valued resource in the practical application of federalism worldwide	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Seeking, establishing and maintaining partnerships internationally	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

13) Why do you feel that the Forum of Federations has been successful or unsuccessful in attaining the three operational objectives listed above? Please explain:

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\_\_\_\_\_

\_\_\_\_\_

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Partners Questionnaire Organizational Performance Evaluation

14) From your point of view, are there advantages and/or disadvantages for countries in becoming official partners of the Forum of Federations?

Advantages     Disadvantages     Both     Do not know

Please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**D. THE FORUM OF FEDERATIONS' OVERALL PERFORMANCE AND FUTURE**

15) From your point of view, has the Forum of Federations encountered major challenges in your country in the last three years?

Yes     No     Do not know

Please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

16) From your point of view, has the Forum of Federations achieved major successes in your country in the last three years?

Yes     No     Do not know

Please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

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Partners Questionnaire Organizational Performance Evaluation

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\_\_\_\_\_

17) From your point of view, does the experience of the Forum of Federations in your country over the last three years provide lessons learned or insight for the future?

Yes     No     Do not know

Please explain:

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\_\_\_\_\_

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18) Do you have any further comments to add regarding the Forum of Federations' organizational performance over the last three years and its future in your country?

Yes     No

Please explain:

\_\_\_\_\_

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**Thank you for participating in these consultations.**

Please return your completed questionnaire **no later than March 19<sup>th</sup>, 2008**, by fax to:

Benoit Hubert, Vice President  
PGF Consultants Inc.  
Fax: (613) 241-2252

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**APPENDIX E: INTERVIEW GUIDE FOR FIELD VISITS**



**Interview Guide**

**Organizational  
Performance  
Evaluation**



**March 2008**

**PGF**

## INTRODUCTION

PGF Consultants Inc. has been mandated by the Forum of Federations to conduct a formative (mid-term) Organizational Performance Evaluation as required by its Grant Agreement with the Government of Canada 2005-2011.

To this end, PGF is consulting different categories of stakeholders. The Forum's Board of Directors, its management and staff, as well as officials with the Canadian Department of Foreign Affairs and International Trade, are being consulted in one-hour face-to-face interviews in Ottawa. Fifteen representatives from Forum Country Partners and Collaborators are also being consulted at a distance through a written questionnaire.

PGF is also conducting field visits to Brazil and Mexico to consult, on the ground in face-to-face interviews, with key stakeholders, such as yourself, who are aware and knowledgeable of the Forum of Federations' work in your country.

All of these consultations aim to obtain information on the stakeholders' perceptions of the success, relevance and effectiveness of the Forum of Federations' activities relative to the contexts and objectives of collaborating organizations and countries, as well as those of the Forum.

The Forum's objectives as set out in the Grant Agreement 2005-2011, are as follows:

- Building international networks fostering the exchange of experience on federal governance;
- Enhancing mutual learning and understanding among practitioners of federalism; and,
- Disseminating knowledge and technical advice of interest to existing federations and of benefit to countries seeking to introduce federal elements into their governance structures and constitutions.

It is within this context that you are invited to participate in a one-hour, face-to-face interview which will be conducted by PGF's Vice President, Benoît Hubert, between March 4<sup>th</sup> and 7<sup>th</sup>, 2008. Individual responses will remain anonymous as the analysis will be conducted on the basis of larger categories of respondents.

For questions and interview appointments, please contact Benoît Hubert:

Tel.: 55-61-32184700 (hotel Melia Brasil, March 4<sup>th</sup>-7<sup>th</sup>)  
001-613-327-6165 (cell phone)  
(613) 241-2251 or 1-800-575-9118 (PGF in Ottawa)  
bhubert@pgf.ca

We thank you for participating in these consultations. Your input is important and appreciated.

Aurèle Thériault, President  
PGF Consultants Inc.

## FORUM OF FEDERATIONS ACTIVITIES

### Forum of Federations Events

1. From the following list, please indicate the Forum of Federations events in Brazil that you are aware of:

- Brazilian Global Dialogue country roundtable on fiscal federalism (Brasilia, 2005)
- Global Dialogue International Roundtable on Fiscal Federalism (Bahia, 2005)
- Forum participated at RIAD Meeting of Ministers and High-Level Authorities of the Organization of American States on Decentralization, Local Government and Citizen Participation (Recife, 2005)
- World Forum on Fiscal Federalism (Costa do Saúpe, Bahia, 2005)
- Seminar on Fiscal Competition and Regional Imbalance, organized by the Forum in cooperation with the Fiscal Forum of the Brazilian States, the Secretariat of Finance of the State of Pará, and the Getulio Vargas Foundation (Belém, Pará, 2005)
- Workshop on Fiscal Harmonization, Sub-national Taxation, Public Budgeting and Intergovernmental Cooperation (Foz do Iguaçu, 2006)
- Brazilian Global Dialogue roundtable on Local Governments and Metropolitan Regions in Federal Countries (Rio de Janeiro, 2006)
- Workshop on fiscal federalism with Getulio Vargas Foundation, IMF and World Bank (Brasilia, 2006)
- Meetings with more than 100 senior Brazilian government officials and finance secretaries, and the federal vice-minister of finance, on the feasibility of establishing a new value added tax (Natal, 2007)
- Global Dialogue Roundtable - Diversity in Federal Systems (Santos, 2008)
- International Seminar on Tax Reform and Fiscal Federalism with FFBS and SAF/Partnership (Brasilia, 2008)

2. Regarding the events that you are aware of, to what degree and in what manner do you consider them to have been:

a) Successful with regard to their level of participation and interest (practitioners of federalism, experts on federalism, youth)?

Very       Somewhat       Minimally       Do not know

Please explain:

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b) Relevant with regard to subject matter and content relative to your country's and organization's context, needs and priorities with respect to federalism?

Very       Somewhat       Minimally       Do not know

Please explain:

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c) Effective with regard to their processes of planning, organization, delivery, and accountability?

Very       Somewhat       Minimally       Do not know

Please explain:

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#### Forum of Federations Publications

3. From the following list, please indicate the Forum of Federations publications launched in the last three years that you are aware of:

Brazil Launch in the Americas for Global Dialogue book Distribution of Powers and Responsibilities in Federal Countries (2005)

Booklet, Dialogues on Legislative, Executive, and Judicial Governance in Federal Countries (2005)

4. Regarding the publications that you are aware of, to what degree and in what manner do you consider them to be:

a) Successful with regard to levels interest among actual and potential readers (practitioners of federalism, experts on federalism, youth)?

Very       Somewhat       Minimally       Do not know

Please explain:

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b) Relevant with regard to subject matter and content relative to your country's and organization's context, needs and priorities with respect to federalism?

Very       Somewhat       Minimally       Do not know

Please explain:

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c) Effective with regard to their design, launch and distribution?

Very       Somewhat       Minimally       Do not know

Please explain:

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**Public Information and Education Services and Products**

5. From the following list, please indicate the Forum of Federations Information and Education Services and Products that you are aware of:

- Federations magazine
- Forum of Federations newsletter
- Forum of Federations website
- Forum of Federations videos

6. Regarding the Public Information and Education Services and Products that you are aware of, to what degree and in what manner do you consider them to be:

a) Successful with regard to levels interest among actual and potential users (practitioners of federalism, experts on federalism, youth)?

- Very       Somewhat       Minimally       Do not know

Please explain:

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b) Relevant with regard to subject matter and content relative to your country's and organization's context, needs and priorities with respect to federalism?

- Very       Somewhat       Minimally       Do not know

Please explain:

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c) Effective with regard to their design, diffusion and accessibility?

- Very       Somewhat       Minimally       Do not know

Please explain:

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**Outcomes of Forum of Federations Activities**

7. To your knowledge, have Forum of Federations activities in your country contributed to improving the practice of federalism?

- Yes       No       Do not know

Please explain:

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8. To your knowledge, have Forum of Federations activities in your country contributed to addressing the needs of federalism's practitioners?

- Yes       No       Do not know

Please explain:

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9. To your knowledge, have Forum of Federations activities in your country contributed to serving as a resource and source of information on the practice of federalism?

- Yes       No       Do not know

Please explain:

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10. To your knowledge, have Forum of Federations activities in your country contributed to developing and establishing government policy and programs?

- Yes       No       Do not know

Please explain:

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11. To your knowledge, have Forum of Federations activities in your country contributed to encouraging future practitioners, including youth, to develop an interest and expertise in federalism?

- Yes       No       Do not know

Please explain:

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#### Impacts of Forum of Federations Activities

12. From your point of view, have Forum of Federations activities in your country contributed to improving governance?

- Yes       No       Do not know

Please explain:

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### FORUM OF FEDERATIONS OBJECTIVES

#### Attainment of the Forum of Federations' Strategic Objectives

13. From your point of view, to what degree and in what manner has the Forum of Federations been successful in enhancing mutual learning among practitioners of federalism?

- Very       Somewhat       Minimally       Do not know

Please explain:

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14. From your point of view, to what degree and in what manner has the Forum of Federations been successful in disseminating knowledge and technical advice of interest to your federation?

- Very       Somewhat       Minimally       Do not know

Please explain:

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15. From your point of view, to what degree and in what manner has the Forum of Federations been successful in building international networks fostering the exchange of experience on federal governance?

- Very       Somewhat       Minimally       Do not know

Please explain:

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**Attainment of the Forum of Federations' Operational Objectives**

16. From your point of view, to what degree and in what manner has the Forum of Federations been successful in enhancing its international profile?

- Very       Somewhat       Minimally       Do not know

Please explain:

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17. From your point of view, to what degree and in what manner has the Forum of Federations been successful in its efforts to become a leading network and valued resource in the practical application of federalism worldwide?

- Very       Somewhat       Minimally       Do not know

Please explain:

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18. From your point of view, to what degree and in what manner has the Forum of Federations been successful in seeking, establishing, and maintaining partnerships internationally?

- Very       Somewhat       Minimally       Do not know

Please explain:

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19. From your point of view, are there advantages and/or disadvantages for countries in becoming official partners of the Forum of Federations?

- Advantages     Disadvantages     Both       Do not know

Please explain:

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### THE FORUM OF FEDERATIONS' OVERALL PERFORMANCE AND FUTURE

20. From your point of view, has the Forum of Federations encountered major challenges in your country in the last three years?

- Yes       No       Do not know

Please explain:

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21. From your point of view, has the Forum of Federations achieved major successes in your country in the last three years?

- Yes       No       Do not know

Please explain:

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22. From your point of view, does the experience of the Forum of Federations in your country in the last three years, provide lessons learned or insights for the future?

- Yes       No       Do not know

Please explain:

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23. Would you like to add other or further comments regarding the Forum of Federations' organizational performance in the past three and its future in your country?

- Yes       No

Please explain:

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**Thank you for participating in these consultations.**