



Assessing Partnership Performance: **Understanding the Drivers for Success**

Authors: Ken Caplan, Joe Gomme,
Josses Mugabi and Leda Stott

October 2007

Building Partnerships for Development
www.bpdws.org

Building Partnerships for Development in Water and Sanitation (BPD)

In operation since 1998, the broad mission of **Building Partnerships for Development (BPD)** is to promote more effective delivery of safe water and sanitation services for poor communities in developing countries through multi-stakeholder partnership approaches. Created expressly to assist partnership practitioners to deliver on their goals, BPD has generated a wealth of learning on how and under what circumstances partnerships can make the greatest contribution to meeting the Millennium Development Goals (MDGs) around water and sanitation.

BPD was originally established (as *Business Partners for Development*) to test and promote a triangular approach to service delivery by incorporating the strengths of the public, private and civil society sectors as legs of a three-legged stool. As the organisation and the sector have evolved, it has become clear that standardising this model would be inappropriate as the contexts in which different partnerships operate are too unique.

Another key finding was that partnership practitioners tend to dedicate too little time to building the space within which their partnerships are meant to operate. **BPD would argue that the scope, purpose, structure and resource requirements of partnerships need to be more rigorously negotiated.** BPD is a learning network dedicated to developing

and refining a set of tools that creates the space for and facilitates these conversations. It does this in three interlinking ways involving:

1. **Research and Analysis** - Action research programmes aimed at engaging and influencing policymakers and practitioners in how different institutional arrangements add value;
2. **Building Better Partnerships** - Direct support to partnership projects to assist in building more effective relationships; and
3. **Broader Influencing** - Dissemination of BPD-generated learning (training courses, publications and attendance at international events), and BPD as a facilitator that designs forums and spaces through which practitioners and policymakers can learn and influence each other.

Registered with the Charity Commission in the United Kingdom, BPD is an independent institution governed by a 13-person multi-stakeholder Board of Directors that is evenly split among the public, private and civil society sectors.¹ BPD is currently run by a small team of four full-time and one part-time staff hosted by WaterAid in London.

¹ Four seats on the Board of Directors are dedicated to each sector with the 13th seat dedicated to an "other" category that includes academics, professional associations, consultants, etc.

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Assessing Partnership Performance: Understanding the Drivers for Success

A note on this document

BPD believes that **the scope, purpose, structure and resource requirements of partnerships need to be more rigorously negotiated**. This document forms the third in a BPD series on partnership process, building on the guidance in *The Partnership Paperchase* (around partnership agreements) and *Creating the Space to Innovate* (aimed at unpacking what enables partnerships to succeed). Each of these documents is aimed at enhancing the conversation between partners to allow their collaborative efforts to be more robustly designed.

Written with practitioners in mind, *Assessing Partnership Performance: Understanding the drivers for success* attempts to provide easy to access guidance on what to look for when reviewing partnership progress. The table of contents hopefully provides a logical guide to the text while the text box and graphics (initially found after section 1.3) provide a quick summary of what we believe a partnership assessment should aim to understand.

Section 1. SETTING THE SCENE

1.1. The Context

Multi-stakeholder partnerships are being widely promoted as mechanisms to deliver development goals such as improving access to water and sanitation services for the poor. Whilst we understand more and more about how to structure partnerships, assessment frameworks of these collaborative ventures have largely been focussed on tangible project outputs rather than a review of the true effectiveness of the partnership. Given that partnerships require significant time and resources to develop and maintain, understanding how to maximise their effectiveness becomes critical. If senior policymakers are to continue to advocate the use of partnerships to address development challenges, practitioners need to make the case more clearly and systematically of the value and validity of the partnership approaches they are undertaking

Although this document may be of interest to researchers and evaluators from various disciplines, its primary aim is to aid partnership practitioners in answering the question of whether working in collaboration is, or was, the best way to achieve their aims. For us, partnership assessment is less about passing judgements and more about designing a conversation between the partners that allows them to: 1) redress internal imbalances that inhibit effectiveness, and 2) respond to external shifts that present either opportunities or challenges to the partnership.

Whilst it is relatively easy to determine the specific outputs of a partnership, in many instances, these outputs could have also been delivered via simpler mechanisms, such as through a contractual arrangement. Similarly the difficulty with focusing on outcomes and impacts is that often these occur well after the partnership has completed its work. The premise of this paper is that the fundamental building blocks of partnership revolve around the diverse motives (or “drivers”) that bring partners together to help them meet their own and wider aims. Partnerships, therefore, must be assessed differently from projects: thus rather than focussing on the outputs achieved, the drivers are the starting point of our analysis.

Bringing together expertise focusing on the three themes of partnership, monitoring and evaluation, and water and sanitation, we have sought to strengthen our understanding of how an assessment framework can best reflect what really happens in partnerships.

1.2. Defining partnership

Admittedly the term partnership elicits much confusion. It is often used to describe widely different constructs from loose networks and alliances to more institutionalised joint ventures. Commonly used definitions tend to be too simplistic. They refer to their voluntary nature, shared or pooling of resources, capitalising on synergies, etc. Such definitions tend to mask the various obligations to participate, the overemphasis placed on financial contributions above other kinds of resource contributions, and the distinct “cultural” differences between organisations that make partnership processes so challenging. Clearly partnerships involve some form of horizontal decision-making processes (i.e. shared power), valued contribution of different kinds of resources (beyond financing), and flexibility to adapt the objectives and activities as circumstances dictate. We must be somewhat careful in that in many countries, the term partnership refers to a legal, contractual construct. We are not using the term in this way.

For the purposes of this exercise, BPD’s definition has been adapted from one created by AccountAbility (an organisation based in London):²

Partnerships involve two or more organisations that enter into a collaborative arrangement based on:

- 1) synergistic goals and opportunities that address particular issues or deliver specified tasks that single organisations cannot accomplish on their own as effectively, and
- 2) situations where individual organisations cannot purchase the appropriate resources or competencies purely through a market transaction.

Within this definition, partnerships may have a wide variety of objectives along a spectrum from the more specific task-orientation (such as the installation of 500 water connections) to the more systemic aimed at changing rules (e.g. the development of new regulatory standards) or behaviours (like a national/global hygiene promotion programme). Part 1 of the definition is fairly common. Part 2 introduces a more interesting element as it invites discussion around power and mutual need, funder and recipient relationships, and the “value” of the variety of resources that are brought to the table.

The adjacent figure 1 summarises some of BPD’s more generic findings around partnerships in the water and sanitation sector. It is in the context of these findings and the definition above that this document is placed. *(For an explanation of these*

Partnerships in Practice

- Partnerships are rarely simple and often involve an understated and unresolved competition between partners.
- Partnerships must be tailor-made (though partnership processes can be somewhat standardised).
- Partnerships (between institutions) are rarely trust-based, though must be based on respect of partner contributions.
- Whether there is a choice of partner or not needs to be better understood. The term “voluntary” can be misleading.
- The overarching mission of the partnership needs to be agreed. Partners will rarely share a common vision though of how to get there.
- Partnerships are not meant to be permanent but a transitional mechanism until practices become institutionalised or transactions-based.

Figure 1

² See AccountAbility at www.accountability21.net

points and further analysis, please refer to the accompanying practitioner note entitled “Taking the mythology out of partnerships: A view from the ground up” available at www.bpdws.org.) Though each of the points in the slide have implications for partnership assessment, the most important for our purposes is that which refers to the fact that partners will rarely share a common vision of how to achieve the partnership’s mission or goal. This underlying tension can either encourage a partnership to explore new innovations that were hitherto unthinkable, or can completely undermine partners’ ability to work together.

1.3. Partnership Assessment Tools

Reviewing the performance of partnerships involves two elements: an assessment of the results of the collaboration and an assessment of how the partners work together. An assessment of the results (outputs) may be more straightforward and can draw on a wide variety of readily available assessment frameworks for *project* evaluation.³ This document focuses more specifically on assessing whether partnership as an approach

best meets the goals of the partners.

Various evaluation frameworks have been proposed for use with partnerships. These include the adaptation of organisational assessment models,⁴ cost-benefit analyses⁵ and project management tools, such as the Logical Framework Matrix which integrates monitoring and evaluation with planning.⁶ Business-developed Specific, Measurable, Achievable, Realistic and Timely (SMART) criteria have also been put forward to analyse partnerships. Although these approaches contain elements that are helpful, they may be more appropriate



Figure 2

for less complex interventions. Partnerships are often established as a temporary measure, engaging in activities at a multiplicity of levels and across a variety of different organisational structures. Tightly defined data measurements may miss broader external issues, such as social and environmental change, as well as those internal to the partnership around organisational change.

³ See for example: 1) Baker, JL. (2000) *Evaluating the Impact of Development Projects on Poverty: A Handbook for Practitioners*, Directions in Development, The World Bank, Washington, DC; 2) Prennushi, G., G. Rubio, and K. Subbarao. (2000) 'Monitoring and Evaluation' in *Sourcebook for Poverty Reduction Strategies*, World Bank, Washington, DC; 3) UNDP (2002) *UN Handbook on Monitoring and Evaluation for Results*, UNDP Evaluation Office, New York; and 4) the websites of the Performance Resource Assessment Centre (PARC) www.parcinfo.org; International Development Research Centre (IDRC) www.idrc.ca and Eldis www.eldis.org/

⁴ See Lusthaus, C., M.H. Adrien, G. Anderson, F. Carden, and G. Plinio Montalván. (2002) *Organizational Assessment – A Framework for Improving Performance*, IDRC/IDB.

⁵ See Acutt, N., R. Hamman, A. Carter, and P. Kapelus. (2001) *Towards Evidence of the Costs and Benefits of Tri-Sector Partnerships*, Working Paper No.10 / May, www.odi.org.uk/bpd-naturalresources/media/pdf/working/work10.pdf

⁶ See European Commission (2002) *Project Cycle Management Handbook*, EuropeAid pp 27-32

In recent years a number of *partnership* assessment frameworks have emerged that are specifically aimed at assessing the rather unique characteristics of partnerships. These include models that:

- *measure a partnership's 'added value' by looking at the benefits that have been derived by different partners over time,*⁷
- *assess evolving partner relationships and their outcomes,*⁸
- *investigate the transaction-costs involved in partnerships,*⁹
- *examine partnerships in relation to accountability to better understand their responsiveness, transparency and compliance,*¹⁰ and
- *use outcome-mapping to focus on change in behaviours, relationships, actions, and/or activities of the people and organisations with whom a partnership works rather than assessing its products.*¹¹

This wide array of different tools reaffirms the fact that partnerships are complex and evaluating them can potentially start from a number of angles as Figure 2 above suggests.

The guidance offered throughout this document starts from the premise that **partnership assessment is best initiated and conducted as a “conversation” owned first and foremost by the partners themselves.** Whilst many of the assessment frameworks and tools noted above could usefully support this conversation, we have approached the question from a different angle, which is presented in the following box:

⁷ See Mitchell, J., J. Shankleman and M. Warner. (2001) '*Measuring the "Added Value" of Tri-Sector Partnerships*', Working Paper No.14 / October, and M. Warner, (2002) '*Monitoring Tri-Sector Partnerships*', Working Paper No. 13, www.odi.org.uk/bpd-naturalresources/html/pub_working.html

⁸ See Brinkerhoff, J.M. (2002) '*Assessing and improving partnership relationships and outcomes: a proposed framework*', *Evaluation and Program Planning* 25, Elsevier, pp 215-231.

⁹ See Artz, K.W. and T.H. Brush, (2000) '*Asset Specificity, Uncertainty and Relational Norms – An examination of co-ordination costs in collaborative strategic alliances*' *Journal of Economic Behavior and Organization*, Vol. 42, pp 337-362.

¹⁰ See Caplan, K. (2005) *Partnership Accountability – Unpacking the Concept*, *Practitioner Note Series*, BPD Water and Sanitation, London (available at www.bpdws.org)

¹¹ See Earl, S., F. Carden, and T. Smutylo. (2001) *Outcome Mapping, Building Learning and Reflection into Development Programs*, International Development Research Centre www.idrc.ca/en/ev-9330-201-1-DO_TOPIC.html

A New Logic for Partnership Assessment: A Quick Explanation

Each partnership has a specific, though constantly changing, context that determines its scope and direction. This context can be framed around three interlocking layers:

1. The external environment (as reflected in financial, legal and institutional considerations) that shapes the scope and ambition of the partnership.
2. The organisational environment (as reflected in each partner's scope, mission, strategy and capacity) that dictates the resources the partners put on the table, their analysis of the opportunity presented, and the level of risk they are willing to undertake.
3. The individual partner representative's incentives and disincentives to engage (influenced by their own knowledge, beliefs, interests, position, accountabilities, etc.) that dictates the attention and value that they place on the partnership.

The context determines what drives partners to get involved in the first place.

These drivers are then negotiated between the parties into desired targets reflected by proposed outputs, outcomes and impacts. The diversity amongst the partners (particularly if they come from different stakeholder groups) should ensure that on-going negotiations within the partnership cover a wide range of viewpoints.

Negotiated targets are then reflected in resource commitments made by each partner and contributions towards decision-making.

If all partners are actively and effectively meeting their resource commitments and contributing to decision-making, the partnership can thereby be deemed as effective as possible. A partnership will by definition not be successful if the drivers for partners to participate are not sufficiently met as this may result in unilateral decisions by one partner to alter its engagement.

There will always be some external stakeholders who will try to hold the partners accountable for more than what their drivers will actually allow them to contribute. However, while a partnership can be criticised for identifying the wrong problem, not being ambitious enough, or not being inclusive enough - it cannot be deemed ineffective for not delivering on targets that partners themselves have not identified, negotiated and agreed upon.

With this framework (represented in **Figure 3** overleaf) as the basis for analysis, the following sections of this document go into some detail about:

- **Why we should assess a partnership's effectiveness (Section 2),**
- **What might go into such an assessment (Section 3),**
- **How such an assessment could be pursued (Section 4), and**
- **How to feed the learning back into the partnership (Section 5).**

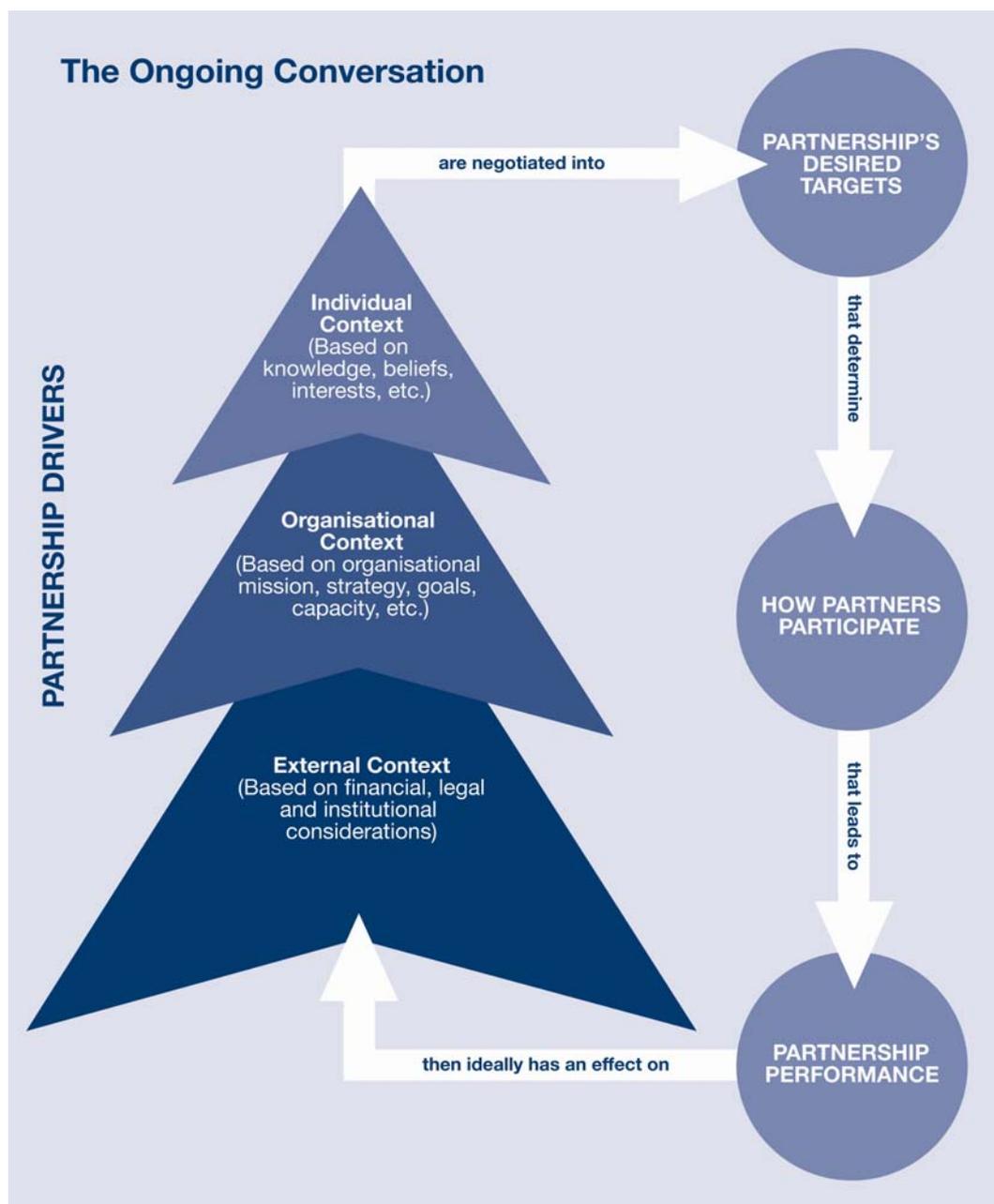


Figure 3

Ultimately, the knowledge derived from this process will enable partners to make decisions about their role in a partnership and whether they:

- are satisfied with the partnership's progress;
- have concerns but will settle for what the partnership offers;
- are dissatisfied and wish to re-negotiate the terms of their engagement; or
- see no further benefits in remaining as a partner and seek to exit the partnership.

Section 2. WHY ASSESS A PARTNERSHIP'S PERFORMANCE?

The scarcity and anecdotal nature of material that assesses the value of partnerships to date has reinforced the need for approaches that more carefully review their contribution. Because partnerships are increasingly being promoted as vehicles for addressing development challenges, our understanding about how they function and what works and what does not must be enhanced and the findings shared.

Evaluation of development interventions is important to the work of international agencies and government bodies and consequently includes demands for the assessment of partnership initiatives, particularly where donor funding has been granted to support them.¹² To promote organisational accountability, different sector partners are also under both internal and external pressure to justify their engagement in, and value derived from, working in partnerships.¹³ These different demands have broadened the call for the monitoring and evaluation of not just the project activities of partnerships but of the partnerships themselves.

Assessments should be designed according to the expected use of findings and the intended audiences. A broad spectrum of assessment is possible ranging from periodic “health checks” to more formalised verification efforts (usually post-completion).

“Health checks” (referred to as tracking, monitoring, formative evaluation, etc.) ask “Are we making progress as a partnership?” They enable partners to assess the costs and benefits of their participation in relation to individual objectives and contributions, examine how well partnership structures and systems are working and gauge whether expected milestones are being reached. This approach allows for conflicts and difficulties to be corrected before they become debilitating and can improve the co-ordination within the partnership, promote its capacity and encourage internal motivation. It can also be a helpful vehicle for joint recognition of successes and failures that lead to decisions about future planning.

More formalised end-of-project assessment (otherwise known as summative evaluation) asks, “Could we have achieved this result on our own?” and “If not, could we have paid someone else to achieve this same result?” Such an assessment involves making judgements on the validity of the partnership approach towards effectively and efficiently meeting the partnership’s objectives (as evidenced by analysis of outputs and outcomes). It seeks information to justify whether this way of working¹⁴ is worth pursuing in view of time and resource implications and thus appropriate for replication or scaling up. More exhaustive and carried out less often than a health check, it serves as a basis for re-focussing partnership objectives in response to internal and external changes that may occur over time. At the policy level, assessments of this type can provide evidence for establishing whether, and to what extent, partnerships are useful vehicles for development work and inform decisions about whether they should be more widely promoted.

¹² See for example the World Bank www.worldbank.org/ieg, UNDP www.undp.org/eo, the European Commission europa.eu.int/comm/budget/evaluation/index_en.htm, and the UK Department for International Development www.dfid.gov.uk/aboutdfid/evaluation.asp

¹³ See Partnership Governance and Accountability - www.accountability.org.uk/research/

¹⁴ As opposed to single sector, more transactions-based or other alternative approaches.

To ensure engagement and commitment from all relevant parties, the purpose of the assessment must be clearly understood and explicitly endorsed by all partners. With this in mind, partners should anticipate that an assessment may result in:

- 1) a partner(s) revisiting the rationale for their involvement in the partnership;
- 2) an indication that other partners may be needed to achieve the partnership's objectives;
- 3) a redirection of the partnership away from current objectives, a shift to more specific objectives or a move toward more ambitious aims;
- 4) a recognition that the partnership is achieving its aims and thereby can go on to tackle other problems or can end; and/or
- 5) a recognition that the partnership is not working or is unlikely to work and therefore should end.

Assessments should provide information on what works and what does not at different stages of a partnership's development. Lessons learned may relate to a particular theme or activity or to wider issues and influences. Internally, individual practitioners and organisations should be able to use the learning to refine their decision-making and practice around whether and how to engage in partnerships. Externally, learning from assessment efforts can help us to understand, and make the case for, when partnerships are appropriate and when they are not – how they might be used to deliver on development goals by incentivising stakeholders differently and/or how they can influence and effect change at the policy level.

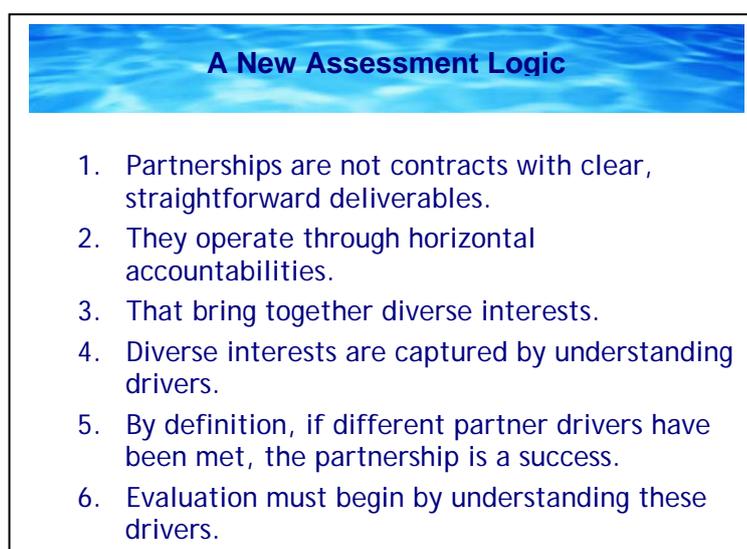


Figure 4

Section 3. WHAT TO ASSESS?

Performance hinges upon the right partnership construct for the context, the willingness and ability of partners to deliver on commitments, and how partners reach decisions about how to allocate resources or focus their activities.

3.1. Unpacking the drivers to partner

Drivers are those “pushes and pulls” that determine or necessitate certain behaviour or actions. Drivers include:

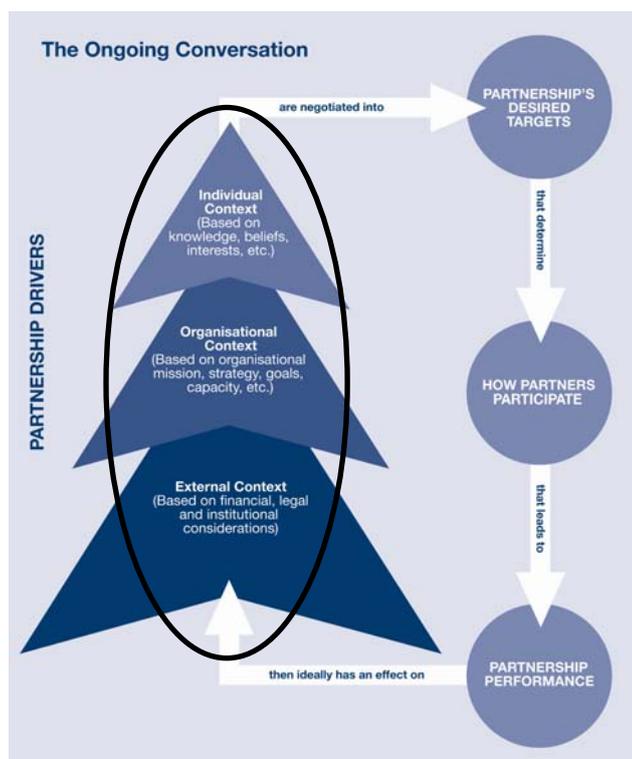
- Incentives that motivate partners to engage in the partnership. (Disincentives discourage engagement, suggesting that participating in the partnership would result in inappropriately allocated resources or foregone opportunities.)
- Obligations that force individuals or organisations to participate in certain processes, to provide certain inputs or produce certain outputs. Not doing so would result in some kind of sanction or penalty.

The external, organisational and individual context should logically suggest the drivers for each partner to participate.¹⁵ As these drivers are changing constantly, they require constant review to see how they may be influencing participation.

The External Context – Partnerships and their activities are not created in a vacuum but must be framed around the specific contexts in which they operate. Understanding how a partnership's processes and outcomes relate to its particular setting is necessary if we are to obtain information about how and why a partnership may work in a given situation and why it may or may not work elsewhere. The influences of socio-economic, political, financial and institutional aspects as well as the physical or geographical setting upon its development, performance and impact are therefore of great importance.

Effective partnerships will understand this context thoroughly and seek to follow closely how the situation changes over time. Opening questions to assist this process could include the following:

- What institutions set the rules and regulate the activities around which the partnership is organised? How effective are they?
- What kinds of approaches are feasible in the setting and which have been tried before?
- What are the prevailing political attitudes within each major stakeholder group around the problem to be addressed and towards the activities or approaches around which the partnership is organised?



- How has the economic context dictated resource allocations and thus the preoccupations and priorities of different stakeholder groups (around, for example, the use of different technologies, the expansion of services, etc.)?

All of these elements are dynamic, though some may change more rapidly than others. Thus a baseline should provide a point of reference for later assessments. If there are contextual changes, have they been reflected in the objectives, activities or approaches of the partnership?

Organisational Drivers – The different visions and missions of each of the partners also form part of the context for the partnership. Indeed the rationale for multi-stakeholder partnership is to bring together diverse types of organisation with different skills and resources. The specific dynamics of each will determine their incentives and obligations to partner. If the partners fail to understand each other in these terms, they are likely to misinterpret each other's motivations and actions.

Examples of drivers (provided in Section 3.3) will vary from one partner to another. Overarching questions for each partner organisation could include:

¹⁵ Please refer to Newborne, P. and K. Caplan, *Creating Space for Innovation: Understanding enablers for multi-sector partnerships*, BPD: London, 2006 (available at www.bpdws.org) for related analysis framed more around what constrains or enables partnerships to deliver.

- What is our analysis of the problem that needs to be addressed?
- What are we trying to achieve within this context? What would success look like for our organisation? What kinds of changes would we like to see happen in our organisation, our partners, overall? Could we achieve these aims alone?
- Can our organisation realistically influence the wider context? Do we already have or can we generate approaches that can help us?
- Are we certain that the costs outweigh the benefits of participating? What are our make-or-break points or non-negotiables that if not met would force us to leave the partnership? (Why did we originally get involved? Does that rationale still exist? If not, what has changed?)
- Are we comfortable working with (and being seen to be working with) our partners?

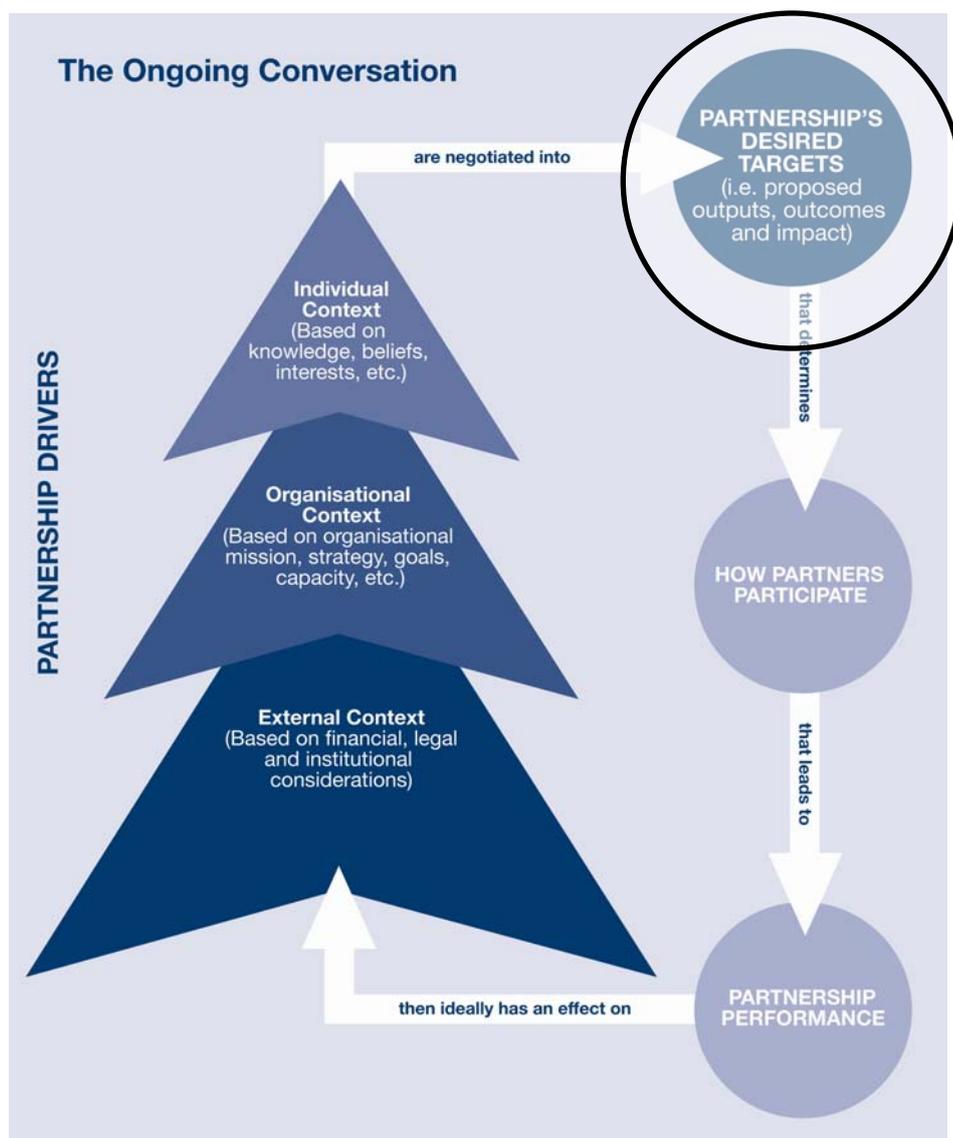
An assessment of the drivers for different partner organisations will reveal where different views and needs exist (a discussion that is often insufficiently pursued). With more detail provided in Section 5.3, this discussion should allow partners to express whether they are satisfied, settling, seeking to renegotiate or seeking to exit.

Depending on the relationships that have been established between partners, **organisations may have significant reservations about revealing the factors that motivate them** in any detail. How deeply they can be discussed with an assessor and how openly they can be shared with other partners and stakeholders will vary according to circumstance. For example, it may be difficult for some organisations to be transparent about their long-term goals or their internal processes. Setting out the boundaries and expectations for transparency should ideally occur early on in the partnership, particularly with an eye to any implications that these boundaries may create in the future. If such boundaries are not already articulated by the partnership, then an assessment process should seek to create them. (See Section 4.3 for further discussion).

Individual Drivers – Partnerships are operated and maintained by individual representatives who bring with them a number of identities, including at least their professional identity (e.g. as an engineer, public health professional, etc.), their position identity (which designates certain levels of authority within their own organisation) and their personal identity. Each of these will influence how they interact with the partnership.¹⁶ For example, in a positive light, their professional identity could motivate them to get involved in a partnership because they want to keep up with trends in their area of work. Their position identity could motivate them to get involved in a partnership because they want to enhance their career. Their personal identity could incentivise them to get involved in a partnership because they are keen to meet new people, learn new things, make a difference, broaden their networks, etc. The drivers for why individuals are at the table will influence their behaviour in, and contribution to, a partnership. Difficult as it may be, assessment processes need also to get at this more individual level to understand why certain elements of a partnership are working or not. This also proves important when there are staffing changes expected that might change the dynamics.

¹⁶ The authors are indebted to Ros Tennyson of The Partnering Initiative and the International Business Leaders Forum for this insight.

3.2. Moving from Drivers to Negotiated Targets



An assessment process needs to reconfirm how the partnership fits into its broader context. The analysis of the context and definition of the scope of the partnership are negotiated and translated into a set of proposed outputs and outcomes. Typical questions to gain this understanding might include:

- What is the partnership trying to achieve?
- What does success look like for the partnership? How would we know if we had achieved it? What would suggest it is not working?
- What kind of changes would we see? Where or within which institutions?

The contribution that each partner is willing to make is then matched up against these expected results. Discussed in more detail in Sections 3.3 and 3.4, such resource commitments (time, money, etc.) will be based on partner incentives and obligations.

There should, however, also be enough flexibility to investigate unanticipated outcomes and consequences. Such unintended results often yield information that reinforces the value of a partnership and offers new dimensions and incentives for working together. Outcome mapping should be helpful here.¹⁷

3.3. Unpacking partner participation

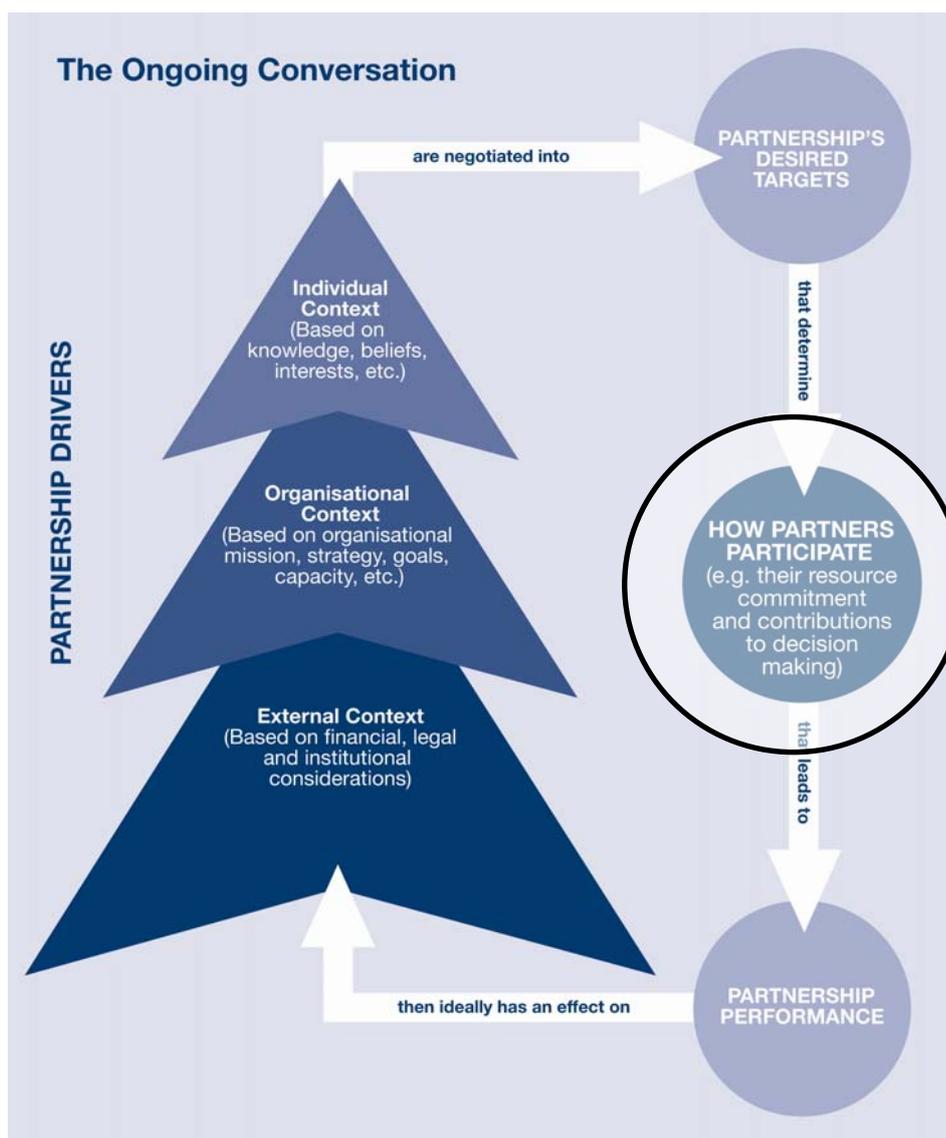
Partners participate in partnerships in two primary ways – by making and delivering on their commitments to the partnership and by engaging in the on-going decision-making processes of the partnership.

¹⁷ See Earl, Carden and Smutylo, (2001).

Are partners delivering on commitments?

To respond to this question, we need to measure partner commitments and how well they fulfil those commitments. These commitments are made at an organisational level but are fulfilled by individuals and can take the form of time, energy, equipment, materials, funding, work space, etc. Individual drivers to participate are not always the same as those of an organisation. In some cases, the organisational drivers to participate may be quite high while the individual drivers are low. In other cases, individuals may be highly motivated but their organisations are slow to see the incentives for participating or understand the sanctions for not participating. By identifying situations where an individual is “out of step” with her/his organisation, we can pinpoint when a representative may have difficulty in obtaining institutional buy-in for the partnership or when the individual is blocking or slowing the organisation’s active participation.¹⁸

An assessment of drivers may also allow organisations (and partnerships) to find ways of adjusting the incentives and obligations in order to promote greater participation. For example, if it becomes apparent that a partner has many obligations towards the partnership but few incentives (or sanctions), it may be necessary to review organisational targets to assess whether changes could be made either to the partner’s level of involvement or, if possible, greater incentives could be created for the organisation to participate in the partnership more deeply.



The table below provides lines of inquiry to assess whether sufficient resources have been committed and then delivered to achieve the aims of the partnership. The left hand column provides possible organisational and individual drivers to deliver on their commitments. Different drivers may elicit different interactions in (or expectations from) the partnership which could explain certain enabling or disabling behaviours. The right

¹⁸ The processes by which individuals engage their own institutions are also important to understand – certainly some approaches are more effective than others. See Newborne and Caplan (2006) for more.

hand column offers leading questions that can guide the discussion (either in a group discussion or an interview process).

TABLE 3a – Are partners delivering on commitments?

	A Range of Drivers - "Although I/we have less control over how they are used than in other ways of working, committing resources to the partnership and delivering on those commitments..."	Possible Lines of Inquiry
Organisational	<p>...enhances the organisation's reputation (including by forging greater understanding of our work by others)</p> <p>...provides new opportunities for learning and enhances the organisation's skills</p> <p>...provides new "markets" for our products and services</p> <p>...provides new funding sources or other resources for our activities</p> <p>...allows us to enhance our operational efficiency and effectiveness</p> <p>...allows us to meet our targets, meet the needs of our constituencies and achieve our mission (and/or to stay in compliance, and/or avoid any financial or other penalties)</p> <p>...is an effective use of our time and resources</p>	<p>Are organisational commitments clear with action plans for organisations / teams?</p> <p>Have organisations met their commitments?</p> <p>Can we prove that the partnership has generated more efficient ways of meeting our own targets?</p> <p>Are there other alternatives that allow us to receive these same organisational benefits?</p> <p>Are commitments for partner organisations a diversion from priorities or do they directly contribute to meeting priorities?</p> <p>Is there sufficient recognition of our organisational contribution (between the partners and by external stakeholders)?</p> <p>What happens if our organisation does not meet our commitments?</p>
Individual	<p>...enhances my status (or does not hurt my reputation)</p> <p>...provides new channels for me to exert influence (my voice is heard)</p> <p>...provides different perspectives to my work and new opportunities for learning</p> <p>...helps me meet my annual targets (or helps me avoid a poor performance appraisal)</p> <p>...has led to the development of new contacts and relationships</p> <p>...provides me with new skills (that allows me to be more effective at my job or seek a more senior position)</p> <p>...helps me channel my time and resources more effectively</p> <p>...is an effective use of my time and resources</p>	<p>Are individual commitments clear? Are they being met?</p> <p>Are individuals at the right level representing each organisation? (Do they have sufficient authority to make commitments on behalf of their organisation?)</p> <p>Are the right individuals attending regularly?</p> <p>Do individuals have sufficient space in their work schedule and support from their organisation to meet their commitments?</p> <p>Is there sufficient recognition of individual's time and commitment?</p> <p>What happens if individuals do not meet their commitments?</p> <p>How has the partnership influenced the way individuals do their work?</p>

Do partners have sufficient incentives to contribute to decision-making?

The overarching assumption here is that greater partner involvement in decision-making results in better ideas and greater buy-in. Partners will thus want to understand whether decision-making within the partnership 1) allocates resources effectively and efficiently; and 2) accommodates changes in the context. Whether partners feel that they have an appropriate say in the way decisions are taken will influence the way they deliver on

their commitments. The challenge here is to successfully capture the partnership’s evolving working arrangements, while at the same time looking at how partner relationships might be optimised in order to enhance participation and thus improve performance. Without an understanding of the processes involved, it is not possible to say to what extent a partnership is living up to its potential, or what factors are causing success or failure.

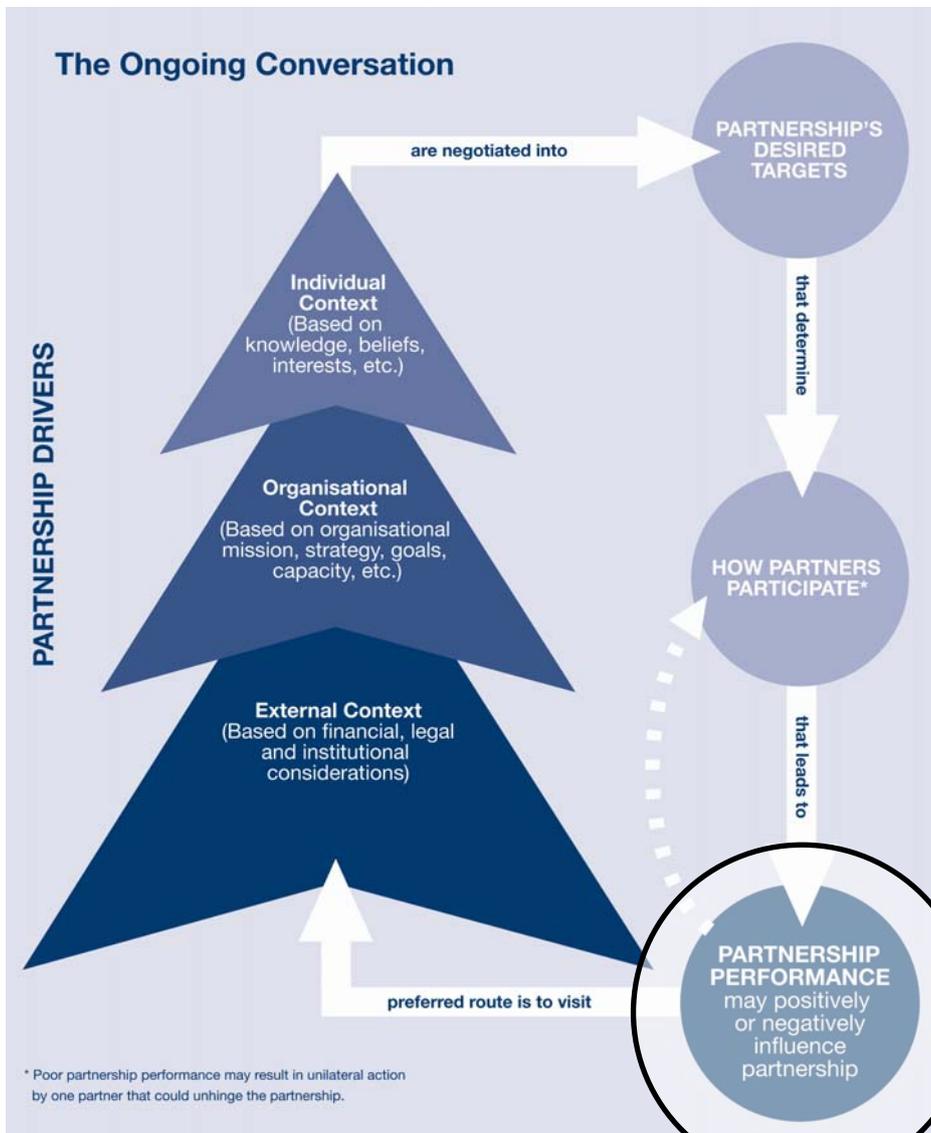
TABLE 3b – Do partners have sufficient incentives or obligations to contribute to decision-making?

	A Range of Drivers - “Contributing to decision-making in the partnership allows me / us...”	Possible Lines of Inquiry
Organisational	<p>...to create new opportunities for the organisation (funding, markets, projects, skillsets, etc.)</p> <p>...to influence the way resources may be allocated to our organisation</p> <p>...to influence the way resources are committed in our organisation</p> <p>...to ensure that the decisions taken by the partnership incorporate an understanding of the organisations’ risks (regarding reputation, financial, etc.)</p> <p>...to help us maintain our profile in the partnership</p>	<p>Are there clear rules governing decision-making within the partnership?</p> <p>Is the Chair of the meetings sufficiently neutral?</p> <p>Are meetings held frequently enough?</p> <p>Does each partner understand the risks (and benefits) for their partners?</p> <p>Do organisations use power relationships (through connections, financial contributions, etc.) in the interest of their own position and status or to benefit the partnership more broadly?</p> <p>Do partners have influence in decision-making roughly equivalent to the risk presented to their organisation?</p> <p>Are organisations comfortable with the amount of control they have over how resources (their own and others) are allocated in the partnership?</p> <p>Are clear systems in place to address grievances between partners?</p>
Individual	<p>...to influence learning</p> <p>...to influence the style and structure of the partnership</p> <p>...to create new opportunities for me (and thereby new or different rewards) for learning and staying informed, for recognition, for contributing my skills and knowledge</p> <p>...to avoid certain conflicts primarily by representing the risks that certain decisions might have on me</p> <p>...to influence decisions that impact on my own workload and/or personal targets</p>	<p>Are decision-making processes clear with sufficient information provided?</p> <p>Are attitudes towards partners supportive to joint decision-making?</p> <p>Are there barriers to contributing to decision-making (associated costs, timing of meetings, agenda setting, chairing styles, document preparation, etc.)?</p> <p>Do individuals use power relationships (connections, financial contributions, etc.) in the interest of their own position and status, the position and status of their organisation, or to benefit the partnership more broadly?</p> <p>Are individuals comfortable with the amount of control they have over how resources (their own and others) are allocated in the partnership?</p>

An initial (baseline) set of indicators developed from the drivers in these tables can be used for rapid reviews (e.g. as part of a “health check”), either by a single partner or for the whole partnership. Equally they will be useful in a broader verifying evaluation to give partners feedback on how they might more effectively participate in a follow-on or new partnership.

3.4. Unpacking partnership performance

An assessment of partnership effectiveness and efficiency is critical to any performance assessment. *Partnership effectiveness is about whether the partnership gets the results it was hoping for.* Such effectiveness is dictated by whether the partners analysed the problem correctly and put forward the right response to meet that problem.



Partnership efficiency is the ability to make good use of members' financial resources, non-financial resources and time. Assessing the efficiency of a partnership relationship is primarily based on the cost (actual or opportunity) of achieving results. However, since achievement of results is also affected by the external environment in which the partnership operates, efficiency can also be viewed in terms of the partnership's capacity to influence positively and strategically those external factors that affect its ability to perform. Thus, efficiency has both internal and external measures. Internal measures relate to how well the partnership uses resources (inputs) and external measures relate to how well the partnership interacts with its external environment.¹⁹ **Table 3c** (overleaf) gives some of the key considerations or questions and the relevant

prompts for unpacking this further.

In cases of performance below expectation, the table below may reveal where the contextual factors hinder, or internal drivers are not sufficiently strong enough to promote, greater performance.

¹⁹ See Caplan, K (2005) for a related discussion on accountability in partnerships.

Table 3c: Measures of Partnership Responsiveness and Efficiency

Indicator(s)	Corresponding prompts - “What drives the partnership to...”
The partnership management team optimises and allocates members’ resources and contributions to achieve partnership objectives and goals.	<ul style="list-style-type: none"> • ...use partners’ financial resources efficiently and effectively? • ...use partners’ non-financial resources (e.g. time, skills, expertise, information, data, connections, influence, equipment, etc.) efficiently and effectively?
Management maintains direct contact with: 1) the beneficiaries of the partnership’s products and services, and 2) other important external entities.	<ul style="list-style-type: none"> • ...initiate and maintain relationships with key contacts outside of the partnership? Who is responsible for keeping in touch with them? How and how often?
The partnership’s management team stays well informed about the external policy, legal, financial and regulatory issues.	<ul style="list-style-type: none"> • ...understand and prioritise the key external influences on the partnership?²⁰ • ...analyse what changes have occurred in policy, legal, financial and regulatory areas in recent years, and what role the partnership played in these changes?
Specific strategies are formulated to influence policies, legislation and other activities to: 1) obtain necessary approvals and resources ²¹ , and 2) feed learning into wider systems.	<ul style="list-style-type: none"> • ...create specific strategies to influence key external institutions? What are the objectives of these strategies? How do strategies to influence outside factors relate to work programmes and /or goals?
As appropriate, programmes are developed to influence the public in support of the partnership goals.	<ul style="list-style-type: none"> • ...inform the “public” about their activities? To what extent have partnership public information programmes created or supported its image? What type of public image is it trying to create?

Relating back to the organisational and individual incentives to participate, greater satisfaction levels may drive further contributions that could, in turn, stimulate greater impact. Alternatively, insufficient satisfaction with the partnership may have the opposite effect and result in a partner unilaterally deciding to reduce their commitments. If this happens without full discussion by the partners, the partnership is almost certainly destined to fail. An assessment process should therefore determine not only how well the partners know the various contexts in which they are operating, but also how concretely they follow dialogue processes laid out in the graphic above. The dotted line from Partnership Performance back to How Partners Participate represents how a partner(s) might unbalance the partnership by failing to frame their own actions in an on-going wider discussion amongst partners around the context and desired targets. This indicator, more than any other, suggests a failure of the partners to act effectively as a partnership.

3.5. A note on attribution

A key task is ascertaining if, and to what extent, a partnership is responsible for a particular outcome. Establishing a causal link poses difficulties because partners often undertake diverse activities in varied and complex contexts where other development

²⁰ See Newborne & Caplan, 2006.

²¹ See Tremolet, S. and S. Browning. *The interface between Regulatory Frameworks and Partnerships*, BPD Practitioner Note Series: London, March 2002 (available on www.bpdws.org) for further analysis.

interventions may also be taking place. Outcomes may therefore be attributable to a combination of different factors. In addition, where results are 'distant' and have occurred some time after a partnership has completed its work, or are devolved in form, making a direct connection between the two may be complicated because of other possible intervening influences.

Donors and Funders as Partners?

Donors often wield significant power and influence on partnerships well beyond their risk levels, using their financial role to leverage actions they want to see happen. At the same time, often partners do not draw in donors in ways that would more effectively capitalise on their knowledge, experiences or convening power. Funders can thus be "devalued" in relation to what they could bring to the table beyond the financial resources. Given the large number of initiatives in which they may be involved, some greater clarity should be sought at the outset of ways beyond the financial that these organisations can contribute.

Partner organisations should start with a more thorough and honest assessment of the risks that the proposed partnership presents to their organisation. Partners may be unwilling to reveal such difficulties whilst at the same time trying to convince the donor that the effort is worth funding. Procurement rules generally do not support partnership innovation but seek the greatest possible certainty that objectives will be met. This may distort the more honest conversations that would lead to the donor providing greater support to mitigate different risks.

To address the question of attribution, assessment processes could focus on a 'plausible' rather than 'direct' connection between intervention and impact. Being reasonably positive of an association between the two requires careful triangulation of findings. Useful tools for this include The Ripple Model²², where impact is viewed as spreading out from individual to organisational and ultimately wider behavioural change, and Outcome Mapping in which the evaluation focus is upon behavioural and attitudinal changes among the people involved in a development intervention as opposed to a direct impact assessment.²³

Section 4. HOW TO ASSESS PARTNERSHIPS?

Having discussed *what to assess*, we now turn to the actual practice of conducting an assessment. Key decisions that partners need to make in planning for an assessment should begin with who should participate and how they should be involved.

4.1. Who should participate in the assessment?

Partnerships require the engagement and consensus of a wide range of players and there is therefore an expectation that assessment processes should be as participatory as possible and 'owned' by all involved.²⁴ The standard response suggests that, "the greater the involvement of partners and stakeholders, the greater the effectiveness of the assessment: 'inclusivity' is a must."²⁵ However, there is little guidance available as to what such 'inclusivity' actually means in practice, which individual

partners and stakeholders should participate and to what extent. Although the buy-in of all the parties is important, there may be differing levels of commitment to, and interest in, the assessment. In addition, decisions about the degree of the engagement of different

²² Hailey, J. and R. James. (2003) "NGO Capacity Building: The Challenge of Impact Assessment", *Paper presented to the New Directions in Impact Assessment for Development Methods & Practice Conference*, IDPM University of Manchester.

²³ Outcome mapping has been developed by the International Development Research Centre (IDRC). See www.crdi.ca/en/ev-28377-201-1-DO_TOPIC.html (accessed May 16, 2006); IDRC (2003) "Addressing the question of attribution in evaluation", *Evaluation Highlight* (March), www.idrc.ca/uploads/user-S/10893810041Highlight_1.pdf (accessed May 17, 2006) and Iverson, A. (2003) *Attribution and Aid Evaluation In International Development: A Literature Review*, Evaluation Unit, IDRC (May) www.idrc.ca/en/ev-32055-201-1-DO_TOPIC.html (accessed May 17, 2006).

²⁴ See for example Tennyson, R. (2004) *The Partnering Toolbook*, IBLF and GAIN p33.

²⁵ Comment from participant at BPD / World Bank Workshop, *Partnership Review and Evaluation: Creating Practitioner-Friendly Frameworks*, 9-10 March 2006, Washington.

interest groups will need to be weighed against factors such as the time and resources available.

The issue of who participates in an assessment is complicated by the distinction between who are *partners* and who are external *stakeholders*.

Partners, by definition, make substantive contributions to the partnership. Receiving a benefit from the partnership may not automatically qualify an organisation as a partner. Similarly contributing financial resources, as a donor for example, does not automatically qualify an organisation as a partner unless other critical resources (convening power and leverage, technical skills, etc.) are also contributed. Partnerships are established in part to share risks. Whilst there might be some risks to a donor in providing financial support to a partnership through its accountability to the public purse, this generally bears very little resemblance to the nature of risk for the implementing partners.

As noted above, the interests of the individuals representing each organisation and those of their organisation may be somewhat different. Assessment processes should find ways to ensure that the views put forward accurately portray, and are legitimised by, their respective institutions. Where possible, seeking the views of other members of each partner organisation helps to qualify the stance adopted by a partner representative. Where there are clear differences of opinion, an assessment process will need to find ways to explore possible reasons for this.

The term *stakeholder* is less easy to define and is generally (and unhelpfully) used to refer to groups who may be affected, influenced by or concerned with the work of the partnership.²⁶ Clearer distinctions between those stakeholders that may exert an **influence upon** the partnership (for example, the media, the regulator, academics, etc.) and those that are **influenced by** it are essential. The former generally bear very little risk if the partnership fails but the latter may ultimately bear a great deal of risk. The critical aspect of these distinctions is to determine whose risks matter most and whose opinion should carry more weight.

Ultimately different voices should be considered by an evaluation but their opinions should be understood in the context in which they are offered. Resource mapping would be an ideal tool to determine what each group contributes to the partnership, what risks they are presented with in providing those resources, and what relationship those resources have to their core business. Ideally partners might create a resource map that shows the nature of the contribution for each group (including funding, convening power, information, data collection, technical support, logistical and administrative support, dissemination skills, etc.).²⁷

Figure 5

Balance of Power – Who participates?

Non-participation or low participation could suggest that partners are:

- *Indifferent* - if so, need to review incentives
- *Intimidated* - review partnership culture
- *Disenfranchised* - review governance structures
- *Incapable* - review implicit criteria for participating (time commitments, etc.)
- *Waiting* - need to anticipate triggers for participation

We need to understand why certain partners are “weak”

²⁶ The term “Boundary Partners” has also been coined to describe “those individuals, groups and organisations with whom the program interacts directly and with whom the program anticipates opportunities for influence”. See Earl, S., F. Carden & T. Smutylo. (2001) “Outcome mapping: building learning and reflection into development programs”, IDRC.

²⁷ BPD is in the process of developing a guidance note on resource mapping.

An assessment of this nature may reveal that over time more partners are needed in the partnership, that partners need to consult more regularly with the risk bearers, and facilitators need to find ways to counter-balance the power of those that have “too much” influence. Partnership evaluators must be sensitive to the voice and presence of those who may be marginalised or excluded when conducting their work. (Figure 5 provides some clues to analysing the “weak partner”.) This involves assessors regularly checking their own assumptions while examining which partners and stakeholders appear to dominate in decision-making processes and whether this is related to particular inputs such as money or political patronage. Community and gender issues may also need to be explored as well as others that pertain to particular partnership contexts such as ethnicity, educational background, race, age or religion.

4.2. How should partners and stakeholders be involved?

The degree of both partner and stakeholder engagement in an assessment process will usually be determined by their ability and willingness to devote time and resources to the exercise. Once these boundaries have been ascertained, some decision can be made about the depth of the exercise for each of the partners and the extent of the involvement of different groups. All partners should be fully informed about the assessment and its purposes and understand how the information will be collected and used.

Having prioritised the involvement of different groups in the process, stakeholders may then be:

- Informed – notified that an assessment is taking place
- Consulted – asked to express opinions about the partnership for consideration
- Involved in the process – invited to take part in the discussions around assessment parameters
- Integrated into the design – assist with terms of reference, the management of the assessment and the analysis of the findings

In planning the assessment, partners should use the results of resource mapping to openly discuss potential roles and implications both for the assessment process itself but also more strategically for the dissemination and buy-in to possible findings. In agreeing the purpose of the assessment for each stakeholder group, trigger questions could include:

- How are they expecting to be involved?
- What new information are they likely to bring to the assessment?
- What is the best way to channel their views?
- How is the partnership likely to be affected by their participation? Does it create expectations, generate new buy-in, or otherwise?

These issues will, to a large extent, be determined by who initiates the assessment and why. If a partnership review is something that all partners agree upon, either because it is clearly scheduled into their plans and agreements or because they share the view that it is the ‘right’ time to carry this out, they may be expected to participate fully in the process. If, however, it is felt that the assessment has been ‘imposed’ in some way, for example, to satisfy one partner’s own internal requirements, engagement will almost certainly be more limited and may even have negative repercussions for the partnership as a whole. Along with resentment about demands on partner time and resources, there may be concern that findings will only be relevant to one party or may not be shared or fed back effectively into the partnership. Donor evaluation requirements can also create

tensions as they may force an assessment at the wrong time or be tied to continued funding arrangements which could distort the manner in which partners contribute to the assessment.

4.3. How should information be collected and organised?

Our emphasis on the drivers to partner is aimed at narrowing the focus of the assessment, enhancing the conversation that occurs between the partners, and providing critical information to understand the effectiveness and efficiency of the relationships.

Assessors need to be aware, however, that merely by asking the questions, they may be feeding in ideas that have the potential to influence how partners relate to each other. With this in mind, processes and indicators of assessment need to be carefully agreed towards the outset.

Indicators provide the information that expresses what we wish to know as measurable or observable evidence. Because different partners and stakeholders may have particular ideas about measurement indicators, it is important that they are clearly understood. This necessitates setting adequate time aside for dialogue to ensure that the indicators selected are meaningful and relevant to those involved.

The information needed may be obvious and straightforward, for example, the amount of money committed to the partnership versus the amount actually contributed. In other cases, the desired information may be more qualitative: for example, the quality of engagement on certain decisions taken by the partnership. In such cases, several indicators may be necessary. In Section 3, we offered some prompts that should elicit information to help determine whether commitments and contributions of different partners are being met and made. These lists are by no means exhaustive; rather, they are intended to act as triggers for a more in-depth discussion by the partners and other stakeholders. Each prompt can be used to develop appropriate indicators.

Once decisions about indicators have been made, the next step is to think about which sources are most likely to yield the information needed and which methods are most appropriate for collecting it. A range of traditional social science data collection methods can be used for partnerships.²⁸ The data gathering process involves careful planning to identify sources and appropriate collection methods for each data source selected. Key sources of information that may be collected for partnership assessments are provided in the table below. The actual choice of tools will be largely influenced by cost, time required to obtain the information, and feasibility of the method. Due consideration should be given to credibility of the resulting data and how it may be perceived by different audiences. The goal should be to obtain trustworthy, authentic and credible evidence.

²⁸ See for example: Taylor-Powell, E. and S. Steele. (1996). *Collecting Evaluation Data: An Overview of Sources and Methods. Program Development and Evaluation*. University of Wisconsin, USA. – a good overview of methods with particular relevance to evaluation. See also Taylor-Powell, E. and C. Hermann. (2000). *Collecting Evaluation Data: Surveys. Program Development and Evaluation*. University of Wisconsin, USA, and Taylor-Powell, E. (1998). *Questionnaire Design: Asking Questions with a Purpose. Program Development and Evaluation*. University of Wisconsin – useful for basic guidance on designing questionnaires and conducting surveys in the context of evaluation. All available online: www.uwex.edu/ces/pdande/evaluation/evaldocs.html [accessed 17 May 06].

Table 4a: Partnership Data Collection Methods²⁹

SOURCE	ADVANTAGES	DISADVANTAGES
Surveys, questionnaires ³⁰	<ul style="list-style-type: none"> • Anonymous • Easy to compare • Inexpensive • Provide lots of data 	<ul style="list-style-type: none"> • Impersonal • Wording can create bias • May not give the 'full' story
Interviews	<ul style="list-style-type: none"> • Give good depth and range • Enable personal connection • Allow flexibility 	<ul style="list-style-type: none"> • Take time • Difficult to analyse and compare • Can be costly • Interviewer can bias responses
Review of documentation	<ul style="list-style-type: none"> • Provides comprehensive and historical information • Readily available • Few biases • Does not interrupt routines 	<ul style="list-style-type: none"> • Takes time • Information may be incomplete and / or biased • Inflexible • Need to be clear about information required
Observation	<ul style="list-style-type: none"> • Partnership processes can be witnessed in action • Can adapt to events as they occur 	<ul style="list-style-type: none"> • Difficult to interpret • Evaluator can influence behaviour
Focus groups	<ul style="list-style-type: none"> • Quick and reliable way to get basic impressions • Can obtain wide range and depth of information in short time • Provides key information about specific partnership issues/concerns 	<ul style="list-style-type: none"> • May not be representative • Biased voices need to be carefully managed • Requires good facilitation generally • Difficult to analyse responses • Can be hard to schedule
Case studies	<ul style="list-style-type: none"> • Provide good overview • Depict specific partnership experiences 	<ul style="list-style-type: none"> • Subject to the particular slant of the author(s) • Time-consuming to collect • Often written for specific audiences

Completeness and validity of assessments can be improved by **triangulation**, i.e. mixing methods/data sources to cross-reference the findings to ensure greater accuracy. Triangulation is based on the notion that each data collection method has its own biases and deficiencies and using different methods and sources of information allows for a more valid assessment. Once the findings have been gathered, they need to be prioritised, carefully analysed and, crucially, reviewed by those involved so that inputs and conclusions can be checked and revised. Bearing in mind that feedback is important to ensure accuracy and reliability, careful thought needs to be given to who should and who realistically can participate at this point.

Early in the process, partners should also discuss what their approach should be if there are disagreements about the findings. There may be occasions when one or more of the

²⁹ Adapted from McNamara, C. Overview of Basic Methods to Collect Information www.mapnp.org/library/research/overview.htm (accessed 3 August 2006)

³⁰ Surveys might attempt to reveal "facts" or perceptions; they might involve scalable feedback (answers on a scale of, say, 1 to 5) or open text feedback.

partners may disagree with the assessor, in which case the assessor's job is to facilitate a discussion between the partners around how the findings are interpreted.

Naturally some individuals may be reluctant to give information that they feel will be made public, 'offend' other partners or appear to contradict organisational viewpoints. This is frequently an issue when working with those who may feel unable to be candid because of funding or power relations. Assessment processes should try to ensure that 'different' or critical views that individuals may be wary about sharing can be shared. To ensure that controversial viewpoints can be aired, an assessment process must reinforce the principle of confidentiality and the protection of anonymity for all who request it. This may require the signing of a written agreement, adopting Chatham House rules³¹, or other mechanisms. A good facilitator should be able to draw out those controversial areas that are hampering the effectiveness of the partnership.

Related to the issue of confidentiality, it may also be worth considering under what circumstances sub-groups of partners may have side meetings. A rule may be suggested that partners can have side meetings when the area of discussion clearly does not involve all parties, but under the caveat that their discussion is framed in the spirit of what would be in the best interests of the partnership rather than only one or two of the partners.

4.4. When should an assessment be conducted?

Assessing partnerships has been aptly described as 'measuring a moving target'.³² Partnerships and partner organisations are evolving entities that face internal and external influences. A primary challenge is to ensure that agreed measurement indicators are solid enough to encompass elements likely to remain stable, while simultaneously flexible enough to allow for change in the approaches, perspectives and strategies of both the partnership and individual partners. To address this, partners are encouraged to refer back to most recent assessment findings on a regular basis to determine where circumstances may have changed. The initial analysis on the context and the drivers to participate provides a good baseline that should be expected to change over time. Again, as **Table 4a** suggests, the goal is to create a conversation between partners that allows the partnership to adapt as circumstances dictate.

This conversation should also include some review of the unexpected (positive and negative) outcomes of the partnership that might warrant a rethink in terms of strategy, resource allocation, inclusion, etc.

The appropriate time for assessing a partnership depends on a number of factors, including the purpose of the assessment and the partnership's stage of development. Constraints on the availability of time, funding or other resources to carry out the assessment will also mean that choices about when in the lifetime of a partnership they might be conducted are important. Different partner timeframes such as business planning timetables, public sector electoral terms and donor funding schedules may pre-determine these plans. To ensure that no partner feels disadvantaged by the choices made, different interests need to be aired so that consensus can be reached on the appropriate time for an assessment.

³¹ "When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed."

³² El-Ansari et al. (2001) 'Collaboration and partnerships: developing the evidence base' *Health and Social Care in the Community* (9) 4 p220

At the initial stage of developing a partnership, individual partners may wish to examine the *potential* for the partnership to help them fulfil their own organisational goals. At this stage an assessment of the logic of the partnership will be useful.

During consolidation and implementation, it may be desirable to monitor or track the contributions of different partners, the effectiveness of partnership processes and the progress made towards using planned resources and achieving planned outcomes. These “health checks” are usually informal and internal and are undertaken at regular intervals when progress reviews and reports are needed. Typically this may be every 6-12 months and could take the form of a partnership review.

A deeper evaluation might be a bi-annual exercise, when a more formal review of the project’s progress against objectives and inputs is required. This provides an opportunity for realigning objectives and activities and taking into account any changes in the external constraints and opportunities that affect the project. This form of evaluation may assist in forging a future path for a partnership (e.g. by identifying new partners, new sources of funding, etc.) or creating a more purposeful and strategic exit.

4.5. Who carries out the assessment?

Whereas the actual conduct will vary in different contexts, maximising the opportunity presented by a partnership assessment should be every partner’s responsibility as part of the learning process. Setting the purpose, direction and expectations should be a group process that is negotiated among the partnership members. The primary decision is whether to adopt an internal or external approach (i.e. will we use staff of the partnership or partner organisations, or will we use someone from outside the partnership?). Each has its advantages and disadvantages.

An **internal assessment** is designed and conducted by a team or an individual with direct connection to either the partnership or one of the partner organisations. Because of this connection, the review would start off with a base of useful knowledge and relationships. A disadvantage of an internal review is that it may be subject to bias and the risk that outside funding organisations and community members may *feel* that the team is biased and the results may thus lose credibility. Whether this is important or not depends on the main audience. Another concern is that internal staff may not have the skills necessary to conduct a valid and reliable assessment.

An **external assessment** is designed and conducted by a team or an individual with no direct connection to the partnership or its partner organisations. This means that external evaluators will usually face the initial obstacle of having to understand the partnership’s history and complexity. External evaluators bring skills, knowledge and dedicated time. External evaluators can also offer a more objective view of the partnership and its activities as they may see the ‘bigger picture’ more clearly than someone associated with the partnership, and, in theory at least, have no predetermined point of view or expectations. Ultimately an external evaluator must be a skilled facilitator who can guide a conversation either between the partners or between the partners and external audiences.³³

Decisions about whether to use internal or external evaluators will depend on the goals of the assessment and the resources available. An internal process may be preferable for

³³ Such facilitation may initially involve being a conduit through which partners can talk to each other. Gradually this role should evolve whereby the facilitator provides prompts with the partners addressing their conversation to each other.

a health check while an external evaluation may be more appropriate for a wider exercise. A mix of the two strategies which combines both perspectives is also a possibility. A team with both internal and external members may be chosen, or an internal evaluator(s) may work with an external consultant acting as a coach or critical friend to the process to help design or facilitate the assessment.³⁴ They may even be called on to mediate in the case of different interpretations of the findings. In this case the consultant may provide advice or assistance on developing a participatory review process and/or conduct particular assessment tasks. Central to whatever choice is made, however, is the need to ensure that the team and all partnership members communicate regularly and openly about the expectations, design and implementation of the assessment.

Table 4b: Checklist for choosing an evaluator³⁵

Internal Evaluator	External Evaluator
Do they have adequate expertise and knowledge?	What is the nature and extent of their previous evaluation experience?
Have all partners given their approval and endorsement for their role? Do they believe that they will be 'objective' enough?	Do they have a broad-based understanding of issues relating to the partnership's goals and mission?
Are there areas where they may be partisan or biased towards particular partners/approaches?	Are they familiar with the context of the partnership and sensitive to power issues that might influence it?
Will they relate freely and fairly to all partners and relevant actors?	Have they been fully informed about the nature and purpose of the partnership?
Will they be constrained by organisational responsibilities?	Are their costs acceptable and affordable?
Do they have adequate time for the exercise?	Can their time be controlled and accounted for?
Can they be trusted with 'confidential information' about other partners?	Are they able to communicate clearly and use language adequately and sensitively?
Will they be comfortable in eliciting, sharing and addressing 'difficult' issues?	Are they willing to share and facilitate information and feedback? Can they do this well?
Can they manage feedback responsibly and sensitively?	Do they have the ability to 'arbitrate' and act as a critical friend when necessary?
Will they share findings openly and transparently with all partners?	Can they link the partnership with wider knowledge, networks and information resources so that further learning is developed?

Section 5. INTERPRETING AND USING ASSESSMENT FINDINGS

This section highlights some of the key considerations in interpreting and communicating evaluation information.

5.1. Interpreting the Findings

Numbers and narrative statements collected from an assessment do not speak for themselves. They need to be interpreted for and with the partners. To ensure a balanced

³⁴ See Brinkerhoff (2002).

³⁵ See IRDC(2004) 'Selecting or managing an evaluation consultant or team' www.idrc.ca/uploads/user-S/115645009918Guideline.pdf

analysis, various methods and techniques may be used.³⁶ The main consideration here is that the information should be presented in a form in which intended users can digest it and relate it simply to the questions it is supposed to answer.³⁷ Because the same information may be interpreted differently, it is helpful to look at it from various viewpoints to consider how it may be received and understood. Opportunities for discussion around the findings in which different interpretations are shared will also be necessary. If undertaken effectively, the learning opportunities offered by joint consideration of different interpretations and perspectives can prompt partners to question their assumptions and search for deeper insights as well as assist in ensuring ownership of conclusions across the partnership. As noted above, the establishment of guidelines in the case of disagreements between partners or evaluators with regard to the findings is also worth considering. The evaluator should have the appropriate credibility and skills to facilitate this discussion as this is where real opportunities for determining ways to improve the partnership can be unearthed.

5.2. Communicating the Findings

For the partnership as a whole, the findings should provide a clearer understanding of how the partnership can be 1) revised and improved, 2) supported for continuation or expansion, and 3) promoted more broadly. Feeding back the results of an assessment process provides concrete information on what the partnership is doing, how it is functioning, and what effect it is or is not having. This makes it possible for issues to be raised so that various audiences increase their understanding of the partnership work. For individual partner representatives, communicating the findings to their own organisations can help to justify continued participation in the partnership and promote greater institutional buy-in for it.

Beyond the immediate and obvious audience, decisions need to be made about how far assessment findings remain within the partnership itself and what it is acceptable to share more publicly. The following key questions may help decide:

- With whom are we obliged to share this information?
- Who might want to receive this information?
- Who would we like to receive this information about our partnership?
- Who needs to know about our work for it to be successful in the long-term?
- What information should go to each partner / person and how?

³⁶ A range of useful texts are available for this including: Neuendorf, K.A. (2002). *The content analysis guide book*. London. Sage Publications – good text for guidance on analysing documentation and other existing information that the partnership has collected. See also: Taylor-Powell, E. (1996): *Analysing quantitative data*. Madison. Cooperative Extension Publishing, University of Wisconsin – a short practitioner note on analysing quantitative data from an evaluation. Available online at http://cecommerce.uwex.edu/pdfs/G3658_6.PDF [accessed 17 May 2006]; Taylor-Powell, E. and M. Renner. (2003). *Analysing qualitative data*. Madison. Cooperative Extension Publishing, University of Wisconsin – another short practitioner note on analysing qualitative data. Available on line at: http://cecommerce.uwex.edu/pdfs/G3658_12.PDF [accessed 17 May 2006]; Leahy, J. (2004). *Using excel for analysing survey questionnaires*. – a useful note on how to use simple excel spreadsheets for analysing data from questionnaires – excellent for those unfamiliar with sophisticated statistical software. Also available on-line at: <https://cecommerce.uwex.edu/pdfs/G3658-14.PDF>

³⁷ See for example: Minter, E. and M. Michaud. (2003). *Using graphics to report evaluation results*. Madison. Cooperative Extension Publishing. University of Wisconsin. Available online at: www.uwex.edu/ces/pdande/evaluation/pdf/G3658_132.pdf

It is worthwhile considering the following cardinal rules of communication planning:

- Know your audience
- Know what information each audience cares about most and balance that with what you want them to hear
- Be timely
- Fit the communication format to each audience

To ensure that assessment information serves its purpose and promotes further learning, selecting appropriate presentation and dissemination options for each of the audiences identified is vital. Table 5a gives examples of dissemination options that may be used for different audiences. 'Internal' audiences, such as partnership beneficiaries, partner representatives and staff from partner organisations, and 'external audiences' such as special interest (advocacy) groups, donors, policymakers, the media and members of the general public will have different preferences for the format and presentation of this material. For example, "An external donor will expect a formal report. The public will welcome a story with a personal dimension. Policymakers will like statistics. Potential partners will want to know how current partners have benefited from their involvement."³⁸ At the same time, effective and tailored sharing of the findings internally is fundamental to the promotion of institutional buy-in for the partnership.

It is worth stating that *greater candour and integrity around the findings can only help put the partnership on a more honest footing, helping to communicate the challenges that the partnership is facing and thereby to manage the expectations around what the partnership can achieve.* This may require greater flexibility and magnanimity from donors and other external stakeholders if the partnership does not always go to plan. This can only help partnerships in general to overcome the general hype that has surrounded them particularly with the emphasis on multi-stakeholder partnerships after the World Summit on Sustainable Development (2002, Johannesburg).

³⁸ Tennyson, R. (2004) *The Partnering Toolbook*, IBLF, London & GAIN, Geneva, p.35.

Table 5a: Communicating Evaluation Information

Audience	What they may want to know	Possible communication channels	Possible communication formats
Partner representatives	<ul style="list-style-type: none"> ➤ Interpretation of the results ➤ Progress and achievements 	<ul style="list-style-type: none"> ➤ Special activities for dissemination (e.g. workshops, retreats) ➤ Briefings 	<ul style="list-style-type: none"> ➤ Meetings ➤ Face-to-face presentation ➤ Slide shows
Partner organisations	<ul style="list-style-type: none"> ➤ Progress and achievements ➤ Proposed changes in direction ➤ Problems encountered 	<ul style="list-style-type: none"> ➤ Formal reporting ➤ Internal dissemination events 	<ul style="list-style-type: none"> ➤ Formal report ➤ Briefing paper ➤ Narrated slide shows ➤ Letters and memos
Respondents	<ul style="list-style-type: none"> ➤ Concerns and ideas reflected in the final report 	<ul style="list-style-type: none"> ➤ Formal reporting ➤ Group discussion meeting 	<ul style="list-style-type: none"> ➤ Formal report ➤ Slide show ➤ Face-to-face presentation
Funders	<ul style="list-style-type: none"> ➤ Progress and achievements, effectiveness 	<ul style="list-style-type: none"> ➤ Invite funders to attend assessment dissemination events 	<ul style="list-style-type: none"> ➤ Briefing papers or reports ➤ Slide shows ➤ Short video ➤ Attractive newsletter ➤ Websites
Community and other interest groups	<ul style="list-style-type: none"> ➤ Partnership relationships and achievements 	<ul style="list-style-type: none"> ➤ Data summaries sent to key decision-makers, legislators, etc. ➤ Targeted media release ➤ Display at public sites ➤ Special newsletter or brochure ➤ Journal article 	<ul style="list-style-type: none"> ➤ Posters ➤ Media articles ➤ Video recordings ➤ Pictures

5.3. Acting on the Findings

Beyond simply answering assessment questions, we need to think carefully about what a partnership and its members will do as a result of the insights and learning that emerge from the exercise. How will the learning be utilised and acted upon by the partnership, its members and other wider audiences? As outlined earlier (see Section 3.1 on organisational drivers), a review process should assist partners to take decisions based on whether they:

- **are satisfied** and thereby will remain in the partnership (or even seek more from it);
- **have minor concerns** and thereby will stay with the partnership but may wish to take action to address these;
- **are dissatisfied** and thereby may stay with the partnership but seek to renegotiate the terms of their engagement or the objectives and activities of the partnership; or
- **are completely discontented** and thus will look for ways to exit the partnership as they see no value in remaining in it.

Beyond the action that partners may take in response to “health checks” or wider reviews, an effective assessment can be an invaluable tool for learning and change both within and outside the partnership. **Table 5b** (overleaf) lists some of the learning possibilities that may be derived at these different levels and the action that may result from these.

Table 5b: Partnership Assessment – Learning and Action Opportunities

Level	Learning	Action
INDIVIDUAL	<ul style="list-style-type: none"> • Identification of skills and knowledge gaps • Reinforcement of representational role 	<ul style="list-style-type: none"> • Seek skills training / Capacity-building • Seek role /responsibility changes
ORGANISATIONAL	<ul style="list-style-type: none"> • Identification of new or different role(s) • Greater awareness about partnership • Greater recognition of other partner’s incentives and contributions • Justification for involvement in partnership 	<ul style="list-style-type: none"> • Take on new/different responsibilities • Seek further resources to contribute • Promote internal capacity-building initiatives • Re-negotiate role/contribution
PARTNERSHIP	<ul style="list-style-type: none"> • Clearer vision and sense of purpose • Need for improved accountability • Identification of key gaps and ‘blockage’ points 	<ul style="list-style-type: none"> • Develop improved structures and systems • Promote greater accountability (transparency, compliance and response) • Develop more innovative plans • Use information as baseline for future evaluations • Re-negotiate partnership agreements • Create information and marketing tools
WIDER LEVELS	<ul style="list-style-type: none"> • Deeper understanding and knowledge of partnerships • Identification of key challenges 	<ul style="list-style-type: none"> • Generate improved knowledge sharing about partnerships • Create greater institutionalisation • Generate more funding for partnerships • Generate policy impacts with new legislation • Promote greater support for partnership approaches • Allows comparative analysis with other development programmes

FINAL THOUGHTS

BPD is increasingly asked both 1) to provide guidance to partnership practitioners on how best to conduct assessments of their partnerships and 2) to conduct assessments as a neutral facilitator in the water and sanitation sector. Whilst this document has been a long time in gestation, we are clearly only just at the beginning of understanding how partnership constructs can best be assessed. We have tried through this document to provide some guidance but recognise that we have provided neither a specific methodology for conducting assessments nor sufficient reference to tools that can be applied to make the assessment process as meaningful and appropriate as possible. We thereby request your views on how our evolving approach to partnership assessments, using the drivers as the basis for analysis, can best be applied in practice.

Given the importance placed on partnership constructs to deliver on sustainable development goals and the time, energy and funding put into them, practitioners are beholden to articulate the effectiveness of their partnerships more concisely. Such assessments need to provide clear evidence that a partnership is a more appropriate and

worthwhile choice than alternative means like a contract or transaction, which might present more straightforward ways of achieving the same outputs.

We believe that the partnership assessment process should be treated as a learning journey with an emphasis on constantly improving the ability of partners to work together effectively. Giving consideration to partnership drivers is central to this. Without a clear understanding of the incentives and obligations for partners to meet their commitments and contribute to decision-making, it is highly unlikely that a partnership will perform effectively and fulfil the potential that collaborative working offers.

Section 6. FOR FURTHER INFORMATION

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ABOUT THIS DOCUMENT

Our target audience

Time and again practitioners with whom BPD works have requested guidance on how to review and evaluate their partnership. Whilst there is much guidance on evaluating outputs, practitioners find it difficult and often inconclusive to clearly gauge how effective and efficient are the processes of the partnerships in which they are engaged.

BPD’s aim through this work is to provide partnership practitioners with guidance that is simple enough to apply but comprehensive enough to tell them whether the effort was worth it or not. The document is designed to prompt partnership practitioners into discussion, particularly around areas that partners should agree at the outset and then review on a regular basis.

Whilst hopefully helpful to partnership practitioners themselves, there is also a growing pool of evaluators charged with assessing how a partnership is performing. Again such evaluations cannot be conducted along the lines of a standard project or programme evaluation as partnerships are different constructs involving greater interdependence between partners. The aim is to provide such evaluators with different ways of approaching the task they have been brought in to do.

About the methodology

A four-person team was formed to look at the issues around partnership evaluation in some depth. The team consisted of individuals with considerable partnership experience, but whose jobs may be described primarily as partnership analysts and water and sanitation specialists.

In the time available, this study used relatively rapid research methodologies including:

- a detailed review of the literature;
- a workshop in Washington with 20 participants to refine the concepts;
- a two hour session during an international partnership event with approximately 50-60 experienced partnership professionals to review and refine the findings; and
- circulation of this document in draft to a small peer-review group with feedback via e-mail and phone.

The team’s starting point was to ask the following questions:

- 1) Why evaluate partnerships?
- 2) What should be evaluated?
- 3) How should the partnership be evaluated?
- 4) When should the partnership be evaluated?
- 5) By whom should the partnership be evaluated?

Although our initial responses to many of these questions were along the lines of “it depends on the partnership and the purpose of the partnership,” they became significantly more nuanced as our conversation progressed. The task has not been simple and straightforward.

About the authors

Ken Caplan is the Director of BPD, a small not-for-profit organisation that works with and supports responsible partnerships between different sectors to help meet the Millennium Development Goals around water and sanitation. Through BPD, Ken has worked with a broad range of partnership projects and programmes. From 2001-2005, Ken also served as a tutor on the University of Cambridge Post-Graduate Certificate in Cross-Sector Partnership course and a mentor on the Partnership Brokers Accreditation Scheme (run by the Overseas Development Institute and the International Business Leaders Forum). Prior to moving to the UK in 1998, Ken worked in Thailand and Vietnam for 8 years with both donors and NGOs on issues including urban infrastructure, social inclusion, and partnerships around labour standards.

Joe Gomme has worked for twenty years in the water and sanitation sector in Asia, Europe, South America and Africa. He has set up and managed a range of projects and programmes, both in developing countries and in the UK, and has spent several years working to develop partnerships in water and sanitation, variously between NGOs, local and central government, private operators and community-based organisations. In June 2002 he completed three years as WaterAid’s first Representative in Madagascar, where he helped build an innovative programme with local NGOs and government organisations, focussed on the integration of sanitation and hygiene promotion with water supply projects and on the development of community-based users’ group networks. Since then he has worked as a freelance consultant, producing several pieces of work on programme design, evaluation and impact assessment.

Josses Mugabi is a Civil Engineer with six years experience in developing, designing and managing water and sanitation projects/programmes in East, Central and Western Africa. He has worked with different international relief and development agencies in Sudan, Sierra Leone, DR Congo, and Uganda. Josses is currently a PhD research scholar at the Water, Engineering and Development Centre, Loughborough University (UK). His primary research interests are in the field of consumer behaviour in relation to water use and payment for water services in developing countries. Josses has also recently joined the World Bank Energy and Water Department as a junior water and sanitation specialist, working on capacity building for urban WSS reform, public-private partnerships, and multi-sectoral project support activities.

Leda Stott is an independent consultant specialising in cross-sector partnerships and development issues. Over the last ten years she has designed, developed and evaluated partnership programmes with international and government agencies, businesses and NGOs in Africa, Europe and Latin America. She has also conducted training activities in partnering skills with organisations such as BPD, the European Commission’s EQUAL programme and Partners in Action (a collaboration between The Partnering Initiative and the UN System Staff College). Leda is the editor of the journal *Partnership Matters: Current Issues in Cross-Sector Collaboration* and works as a tutor on the Postgraduate Certificate in Cross-sector Partnership (PCCP) at the University of Cambridge as well as a mentor with the Partnership Brokers Accreditation Scheme (PBAS).

Building Partnerships for Development
www.bpdws.org

2nd floor, 47-49 Durham Street
London SE11 5JD
United Kingdom

Tel: +44 (0) 20 7793 4557
Fax: +44 (0) 20 7582 0962
info@bpdws.org

Co. Registration Number 4693224
Charity Reg. Number 1107781