

# Transnational Associations

The review of the Union of International Associations



2/97

Asia's empowering  
experiences in the  
Communication Age

La fiscalité des ONG  
dans le monde

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# Associations transnationales

La revue de l'Union des associations internationales

## Associations transnationales

*Transnational Associations* is a unique bilingual journal whose aim is to deal with major current problems within the perspective of international nongovernmental organizations. It is intended to provide a forum for authoritative information and independent reflection on the increasing role played by these organizations in the international system, and on its philosophical, political, economic or cultural implications.

The approach is intrinsically interdisciplinary, and calls for both specialist expertise and practitioner experience in transnational association matters. *Transnational Associations* provides background information about the actions and achievements of international associations, and insight into their interrelations with intergovernmental organizations. It covers a wide range of topics, among which social organization, humanitarian law, scientific cooperation, language and culture, economic development, to cite just a few.

The programme of the review, in accordance with the principles of the UIA, clarifies general awareness concerning the association phenomenon within the framework of international relations and, in particular, informs associations about aspects of the problems which they tend to share or which are of common interest to them. Contributors to the journal review include association officers, research workers and specialists of association questions who engage only themselves.

Founded in Brussels in 1907 as the Central Office of International Associations, the UIA became a federation under the present name in 1910 at the 1st World Congress of International Associations. Activities were closely associated with the Institut international de bibliographie, which later became the International Federation for Documentation. Its work contributed to the creation of the League of Nations and the International Institute of Intellectual Cooperation (the predecessor of UNESCO). During the 1920s the UIA created an International University, the first of its kind.

The UIA has consultative relations with UNESCO, UN/ECOSOC, and ILO. It collaborates with FAO, the Council of Europe, UNITAR, and the Commonwealth Science Council.

*Associations transnationales est la seule revue traitant des grands problèmes contemporains dans la perspective des organisations internationales non gouvernementales. Elle se propose d'apporter des éléments d'information provenant des sources les plus autorisées, propres à susciter une réflexion indépendante sur l'affirmation du rôle joué par ces acteurs dans le système international et sur les aspects philosophiques, politiques, sociaux et culturels de cette évolution.*

*La visée adoptée est essentiellement interdisciplinaire et fait appel au savoir comme à la pratique des spécialistes du champ d'action des associations transnationales. Les documents, articles et études publiés par Associations transnationales traitent également des liens établis entre celles-ci et les organisations intergouvernementales. Les domaines couverts s'étendent aux problèmes de société, au droit humanitaire, à la coopération scientifique, aux questions linguistiques et culturelles, au développement économique ou à tout phénomène affectant la vie de ces associations.*

*Le programme de la revue, conformément aux buts de l'UIA, vise à éclairer l'opinion sur la signification de la dimension associative des relations internationales, notamment en informant les associations au sujet des questions qui relèvent de leurs domaines ou affectent leurs intérêts communs. Les textes des auteurs publiés par la revue (dirigeants d'associations, chercheurs et spécialistes des questions associatives) n'engagent que leur opinion.*

*L'UIA a été créée officiellement en 1910 à Bruxelles au cours du premier congrès mondial des associations internationales. Ses fondateurs, le Sénateur Henri La Fontaine, prix Nobel de la Paix 1913 et Paul Otlet, Secrétaire général de l'Institut international de bibliographie, avaient mis sur pied en 1907 l'«Office central des institutions internationales» auquel l'UIA succéda sous la forme de fédération. En 1914, elle regroupait 230 organisations, soit un peu plus de la moitié de celles qui existaient à l'époque. L'UIA devait incarner, dans l'esprit de ses fondateurs, les aspirations internationalistes et les idéaux de paix qui animaient les associations et qui allaient aboutir en 1920 à la création de la Société des Nations.*

*L'UIA a obtenu le statut consultatif auprès de l'ECOSOC, de l'UNESCO et de l'OIT. Elle collabore avec l'UNITAR, la FAO et le Conseil de l'Europe. Elle entretient des relations générales et ponctuelles avec les organisations régionales.*

The perils of partnership

by Laura McDonald

Page 58

NGOs and the World Bank (II)

Page 61

From the shadows of the Tigers: Asia's empowering experiences  
in the Communication Age

by Dorothy Grace M. Guerrero

Page 75

Network solutions for cultural cooperation in Europe

by Judith Staines

Page 89

Tax treatment of NGOs

Bratislava Declaration on tax treatment of NGOs

*Déclaration de Bratislava sur la fiscalité des ONG*

Declaración de Bratislava sobre la fiscalidad de las ONG

Page 109

Association News

*Vie associative*

Page 115

Transnational Associations

*Associations transnationales*

by Laura Macdonald\*

In an era of state cutbacks and globalization, traditional relationships between government and civil society are being widely re-examined. The concept of "partnership" has emerged in recent years as a way of promoting the shift of some responsibilities away from the state toward either non-governmental organizations (NGOs) or corporations active in a specific issue area. Partnerships are appealing because they recognize the role that organizations of civil society already play in crucial areas of public policy and at the same time promote the democratizations of policymaking. Ideally, these new relationships would be characterized by transparency, mutual trust and a real sharing of decision making. Many NGOs fear, however, that "partnership" represents a new form of cooptation, in which NGOs take over responsibility for many functions traditionally seen as the legitimate domain of the state, without gaining real control over the process. Creating more equality in the relationship between the state and civil society is particularly problematic when the state continues to control the purse strings and is in fact cutting back its former support to NGOs.

The concept of partnership has a long history in the delivery of Canadian development assistance. The term was traditionally used by Canadian development NGOs to describe their relations with NGOs based in the South. Initially, Northern NGOs' roles were focused on the direct implementation of small-scale development projects. However, as Southern NGOs began to blossom and gain technical competence and assertiveness, Canadian NGOs began to channel funds both from private donors and from the Canadian International Development Agency (CIDA) to their partners in the South. As they have become less active in direct implementation of projects, Northern NGOs have begun to emphasize the importance of the role they can play in advocating public policies at the domestic and international levels that attack some of the root causes of Third World poverty. Taking on a policy advocacy role requires NGOs to acquire new skills and to redefine their relationship with partners both in Canada and abroad. It also requires greater openness and responsiveness by government.

## The federal "fostering partnership" policy

The 1987 government report on Official Development Assistance strategy, *Sharing Our Future*, gave a new prominent place to the idea of partnership. "Fostering partnership" was adopted as one of the three major commitments guiding the Canadian aid program into the next century (along with "improving aid delivery" and "reaching out to the public"). In *Sharing our Future*, the government committed itself to creating a new Partnership Program, the "biggest innovation" of Canada's new strategy which would channel money from CIDA to a wide range of groups, including domestic and international NGOs, universities, cooperatives, multilateral organizations (including the World Bank and International Monetary Fund) as well as the business sector in Canada and the Third World.

The report states that the new Partnership Program "will help Canadians build a more equal partnership for progress with the people of the developing countries — and will help to bring Canada's cooperation into line with major improvements that have taken place not only in the Third World's ability to carry out development, but in the capacity of Canada's domestic and international partners as well."<sup>1</sup>

DIDA's substantial support for NGOs through the Partnership Branch reflects its recognition that NGOs possess certain clear advantages over state agencies in delivering aid (although the inclusion of support for private sector "partners" along with the voluntary sector implied to some that the government did not understand the unique contributions of NGOs). CIDA saw support for NGOs as a way to gain broader public support in Canada for the aid program. In addition, NGOs were often praised for their cost-effectiveness, closeness to the grassroots, participatory character and ability to mobilize resources from the community both in Canada and the South. However, such generalizations overlook the heterogeneity of development NGOs. While some NGOs have retained and expanded these characteristics, others, because of the increased availability of

\* Department of Political Science, Carleton University. This article previously appeared in the *Canadian Human Rights Foundations Newsletter*.

(1) See also Laura Macdonald, "Unequal Partnerships: The Politics of Canada's Relations with the Third World", *Studies in Political Economy*, summer 1995.

public funds (until recently), have become "public service contractors", whose methods and philosophies differ little from those of government. As well, increased dependence on public funds has often reduced the capacity of NGOs to act as independent critics of government.

The growing cooperation between CIDA and NGOs has been undermined in the last few years by two factors that arise out of Canada's support for neo-liberal policies both at home and abroad. On the one hand, many NGOs have been openly critical of Canadian support for Structural Adjustment Programs that the International Monetary Fund has imposed on Third World countries, at great social cost. As well, the dramatic cuts to Canada's aid program, including cuts to NGOs, have made clear where the real power lies. In December 1995, CIDA and the NGOs met at their annual consultation in order to spell out the relationship between CIDA and the voluntary sector. Having gone through the cuts that had followed the previous year's consultation, NGOs were sceptical about the validity of the government's supposed recognition of the value of NGOs and its real commitment to consultation. The draft policy document CIDA presented to the consultation "The Role of the Voluntary Sector in Development and CIDA's Relationship with Canadian Voluntary Organizations: CIDA Framework" recognized the importance of civil society participation for achieving development and democracy, but continued to use phrases that suggested CIDA continued to view NGO participation in an instrumental light. For example, it stated that "CIDA will continue to utilize Canadian voluntary organizations to implement programs and to deliver food aid and humanitarian assistance in order to address the purpose and priorities of the (Official Development Assistance) program". NGO participants objected that such language did not recognize the need for NGO autonomy and their right to develop their own policies and priorities in cooperation with Third World groups.

Canadian NGOs' experience with the 1994 Foreign Policy Review also raises questions about the government's openness to power-sharing and consultation. Reflecting

increased NGO desire for input into general issues of Canadian foreign policy, the Canadian Council for International Cooperation (CCIC, the umbrella group of Canadian development NGOs) responded to the Liberal government's call for democratization of foreign policy making with an intensive preparatory process. As a result of nearly a year's work by CCIC, NGOs presented almost half the briefs received by the Special Joint Committee on Canada's Foreign Policy, and a high degree of consensus was achieved among participating NGOs. NGOs succeeded in influencing some of the Committee's recommendations. Overall, however, their influence was minimal.

Finally, Canadian NGOs may be sceptical about partnerships because of their uncomfortable awareness of Third World NGOs' criticisms of the traditional paternalism of First World NGOs disguised by the language of partnership. Canadian churches, pushed by Third World churches, have asked: "What are the implications of partnerships in which one partner from Europe or North America has all the money, while the other from the Third World is scrambling to find projects and programs that will win support?"

## Challenges facing partnerships

Achieving more equal relationships will depend upon new practices. For example, a few Canadian NGOs have asked their "partners" in the South to carry out evaluations of the Canadian NGOs' programs, reversing the normal pattern in which the Northern NGO, as funder, carries out evaluations based on its own criteria and objectives. However responding to the demands made by counterparts in the South (for example the demand that Northern NGOs play an active role in opposition to Structural Adjustment Policies) may clash with Canadian government's demands that their NGO partners' programs be coherent with its own aid strategy.

Ultimately, then, creating effective and egalitarian partnerships between the Canadian government, Canadian NGOs and Southern NGOs is extremely difficult because of the

(2) Marjorie Ross "Serrine the Table for All God's People; Canadian Churches and Development", in Bonnie Greene (ed.), *Canadian Churches and Foreign Policy*.

inherent power differences and competing values of the partners involved. This does not mean that any of these actors will be able to live without the others, since all do play essential roles. The state has access to superior resources and the capacity to influence political and economic choices at the macro-level. NGOs do not seek to replace government - they recognize that in Canada, for instance, the state plays an essential role in guaranteeing national social standards.

At the same time, NGOs because of their small size and presence in civil society, are often more flexible, innovative and better able to respond to the needs of people at the grassroots level. In specific programs, where the objectives of NGOs and government overlap, partnerships involving shared decision-making may be both feasible and desirable. However, the autonomy of civil society actors must be preserved. As Tim Brodhead and Cranford Pratt suggest in a 1994 article, it is perhaps more appropriate to

based on understanding and acceptance of the distinctive contribution of each participant and recognition on both sides that debate about the ends and the means of development is simply an acceptance of the diversity of human values and experience."<sup>3</sup>

The perils that Canadian development organizations face in thinking about partnerships are particularly acute because they involve relationships across borders. The differences between the partners are thus accentuated by differences in race, culture, position in the international political economy and the legacy of colonialism. However, the dilemma of competing constituencies and loyalties is not unique to the development community. Canadian voluntary sector organizations are generally struggling both to make themselves accountable to and representative of Canadian civil society at large and to retain their share of public funding. Economic and political restructuring can have the potential of leading to

(3) "Paying the Piper: CIDA and Canadian NGOs", in Cranford Pratt (ed.), *Canadian International Development*

think of NGOs and government as allies rather than partners.

"An alliance between the government and non-governmental actors in Canada's international development effort is not only possible, it is essential. But that alliance must be

increased recognition of the unique contributions of organizations of civil society in democracy and social development. However, it is important to ensure that the language of partnership is not used simply as a masquerade for cooptation or cut-backs.

# NGOs and the World Bank \* (Part II)

Part I of the report looked at the key issues in the relationship between NGOs and the World Bank, and opportunities to strengthen the relationship. Part II reviews how this relationship has played out in the course of the fiscal year 1995. This section constitutes the NGO progress report which has been prepared annually by the NGO Group (formerly the NGO Unit) <sup>1</sup> of the Bank for the past twelve years and is intended to keep Bank management and staff, NGO representatives, government officials, and other interested parties informed about patterns and trends in NGO-World Bank collaboration and dialogue. This section covers the areas of operational collaboration, economic and sector work, and policy dialogue.

## 1. Operational Collaboration

Operational collaboration continues to be the centrepiece of cooperation between the World Bank and NGOs. As a multilateral agency, the Bank's primary partners continue to be governments. However, in the spirit of tripartite cooperation, ways are being found for NGOs to participate more closely in the design and execution of Bank-financed projects. Operational Directive 14.70 <sup>2</sup> sets forth a framework for involving NGOs in Bank-financed projects, and includes a discussion of both the strengths and limitations which NGOs bring to project work. Operational staff are encouraged to work with NGOs in all stages of project cycle; although most NGO involvement has been in project implementation, NGOs are becoming increasingly involved in the upstream stages of the project cycle (design and planning) as well. As the Bank moves increasingly towards social sector investment, the expertise of local NGOs has played a much more significant role. In particular, NGO involvement has significantly improved beneficiary participation and can also assist in the design of projects with objectives and goals that truly reflect beneficiary needs.

The following section of the report discusses emerging patterns and trends in Bank-NGO operational collaboration during FY95. While statistics can never fully capture the nature and extent of the emerging partnership with NGOs, they do provide a useful benchmark for purposes of comparison. The data presented below look at the regional and sectoral distribution and the nature of NGO involvement in Bank-financed projects. The statistics are obtained from Staff Appraisal Reports (SARs) for projects approved during FY95. The weakness of the data is that they indicate the frequency with which new projects involve or intend to involve NGOs, but say little of the

scope or depth of involvement. In addition, not all interaction with NGOs is reported in SARs and data are not systematically available on NGO collaboration in strategy formulation and economic and sector work (ESW). Where the reports indicate an NGO role, involvement may range from a mere consultation to a major role in design and implementation.

### *Patterns of Bank-NGO Operational Collaboration*

In fiscal 1995, NGO participation in Bank-financed projects continued to be significant. Of the 242 projects approved by the Board, a total of 100 (approximately 41%) contained some provision for NGO involvement. Although this percentage is a decrease relative to the previous year, Figure 1 below shows the continuation of the general trend that has emerged in the wake of the Bank's systematic effort to increase NGO participation in operations. Between FY73 and FY88, there was NGO involvement in 6 percent of total Bank approved projects for that period. In the last six years, from FY89 to the present, that figure has risen to an average of 31 percent - reaching a peak of 50 percent in FY94. Part of the fall from FY94-95 was due to the higher number of projects in sectors with traditionally low levels of NGO involvement approved in FY95, and part may be ascribed to statistical variations or an otherwise upwards trend.

#### *(a) Regional Patterns*

Figure 2 provides another illustration of the extent of collaboration by comparing the number of NGO-associated projects to the total number of projects approved within each region. By this measure, the South Asia and Africa Regions continue to have the highest percentage of NGO-involved projects (61% and 52% respectively).

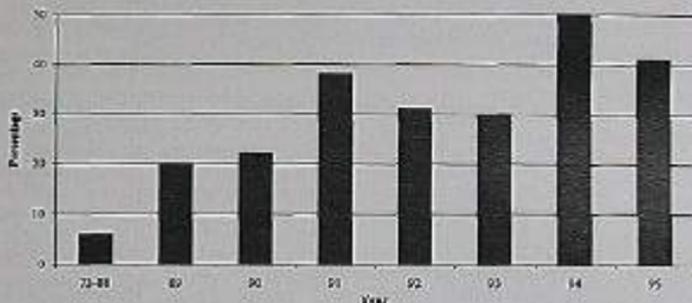
\* Poverty and Social Policy Department, of the World Bank, June 1996

(1) Please note that, effective January 1, 1996, the NGO Unit moved to the Poverty and Social Policy Department (PSP) in the Human Capital Development Vice Presidency (HCDVP) and joined the Participation Group. Hereafter, and for simplicity's sake, it will be referred to as the NGO Group.

(2) Operational Directive 14.70: *Involving Non-Governmental Organizations in Bank-Supported Activities*. The World Bank Operational Manual, August 1989-ODs are available at the World Bank's Public Information Centres (PICs) located in Washington, Tokyo, London, Paris and Jamaica, as well as in World Bank field offices. The Bank is in the process of replacing all ODs with OPs-or Operational Policies - which are short statements of policy.

*Transnational Associations*, 2/1997, 61-74.

Figure 1.  
Projects with NGO Involvement as a Percentage of Total Projects

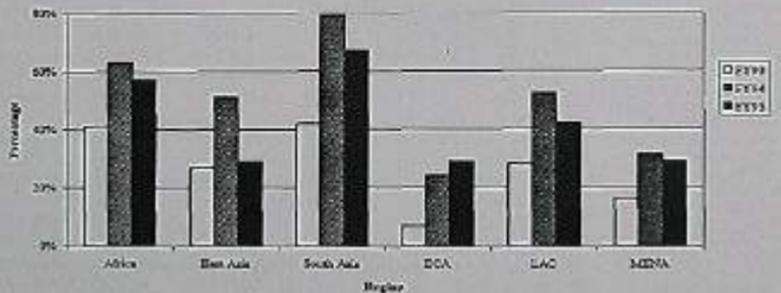


(b) Sectoral Patterns

Figure 3 shows the sectoral distribution of NGO projects which continues to be fairly constant. Of the 100 projects with NGO involvement, the largest proportion (29%) continued to be in the *agriculture and rural development* sector. The proportion of NGO-involved projects in the *population, health and nutrition*

(PHN) and *education* sectors have both increased (from 12 to 19 percent and from 9 to 14 percent respectively) during FY95, reflecting the shift in the Bank's lending portfolio toward more social sector investment. The proportion of projects in the environment sector has averaged 5 percent over the last two years, having peaked at approximately 17 percent in FY93. *Infra-*

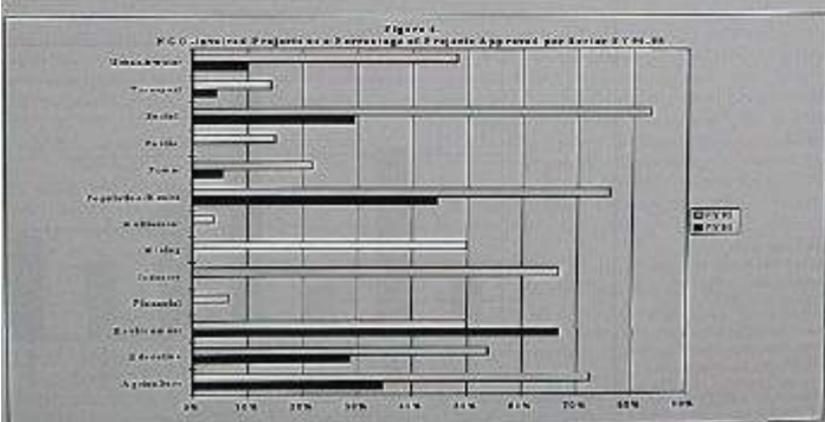
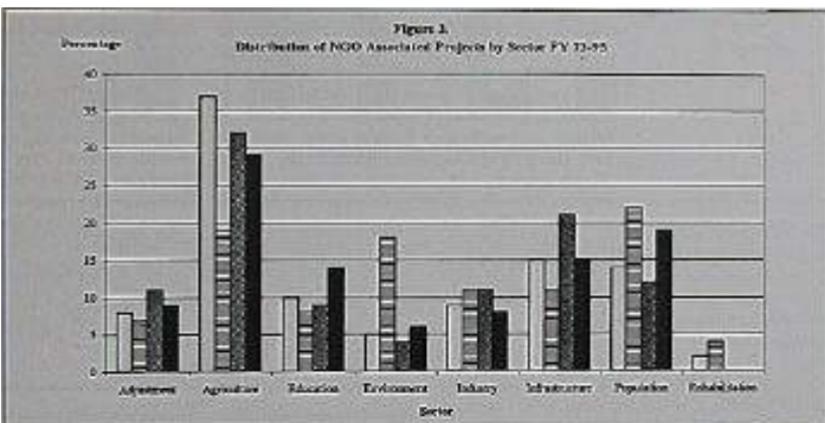
Figure 2.  
NGO Involved Projects as a Percentage of  
Total Projects Approved per Region - FY93-95



structure projects continue to make up around 15 percent of all Bank projects involving NGOs.

The distribution of NGO-associated projects (Figure 4) as a percentage of total projects per sector is another important indication of the direction of the Bank's work with NGOs. As one would expect, in social sector projects such as Agriculture, Education and PHN, NGOs are

associated in at least fifty percent of all projects approved in those sectors, and in the case of Agriculture and PHN, that figure is 73% and 76% respectively. The apparent drop in the percentage of NGO-involved projects in the environment sector is due to changes in the method of project classification. The background trend over the last 2-3 years is that environment-specific projects are increasing in numbers and that



there is increasing NGO involvement in these projects.

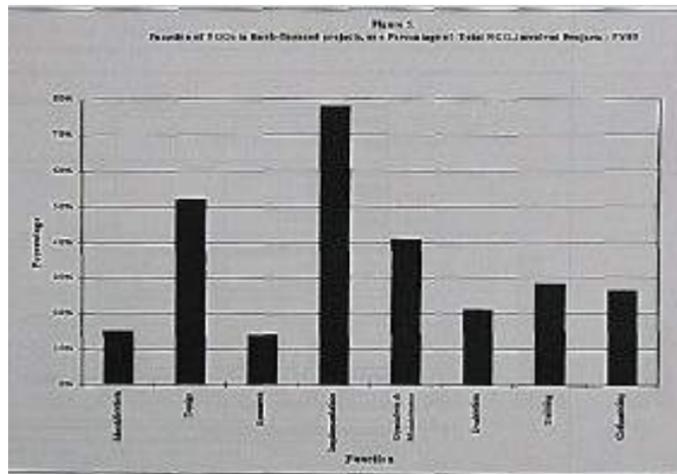
*(c) Functional Pattern*

Attempts have been made to desegregate NGO functional involvement into areas which roughly correspond to the different stages of the project cycle. For FY95, seven functions have been used: identification, design, research, implementation, operations and maintenance (O & M), evaluation, training and co-financing (Figure 5). NGO involvement tends to take place most frequently in the implementation (78%) and operations and maintenance (O&M) (41%) stages of the projects cycle. This is not to suggest that NGOs are viewed simply as service delivery agents. In over 52% of projects, NGOs have also played a significant role in the design of the project and, in 15% of cases, shared responsibility for the identification of the project as well. This has been a particularly important development in recent years-increasingly, NGOs are being given the task of working with communities and conducting pre-project preparatory and background research to ensure that the needs of beneficiaries are fully respected in the design and shaping of the project. This is

in keeping with the trends of previous years and would suggest that the Bank's efforts to engage NGOs are bearing fruit. NGOs provide valuable technical expertise and training in many projects and, in over 26% of the projects, they are also a source of additional financing. Working with and through NGOs has been an important part of promoting community involvement in projects. Past experience has shown that projects with a strong sense of local ownership have achieved better results than those which are perceived as being external to the community.

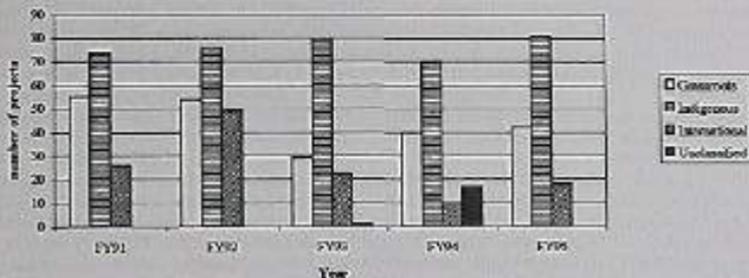
*(d) Type of NGO*

Since FY 88, the Bank has placed emphasis on engaging local NGOs in the operations and finances. These organizations can contribute a wealth of local expertise, have on-the-ground presence, and have knowledge of the needs and interests of project-affected people. This is an area in which considerable progress continues to be made. As can be seen from Figure 6 above, of the 100 projects with NGO involvement, 81 % involved national (indigenous) NGOs, 42% involved grassroots organizations, and 18% of the projects involved international NGOs. 3



(3) These percentages reflect the numbers of projects involving the different types of NGOs out of the total number of NGO-involved projects. Since more than one type of NGO may be involved in any one project, these figures do not add up to 100 percent.

Figure 6.  
Type of NGOs Involved in Bank-financed Projects  
FY 91-95



### Promoting Closer Bank-NGO Collaboration

The Bank continues to work towards strengthening Bank-NGO collaboration by seeking to institutionalize the Bank's work with NGO's, including NGO capacity-building, and new ways to work together effectively, including mechanisms to channel financial resources to NGOs through Bank-financed projects. The sección below highlights some of the initiatives undertaken in FY95 to achieve this and reports on progress in activities already underway. The Task Force on Operational Collaboration and the establishment of NGO liaison officers in many of the Bank's field offices have already been highlighted in Part I.

#### (a) NGOs and the World Bank Project Cycle

The NGO Group held a series of in-country workshops on NGO involvement in the project cycle during FY95. Twenty-eight US-based NGOs participated in the first of these meetings held in Washington, DC in July, 1994, and regional workshops were held in Dar es Salaam, Tanzania in January 1995 and Cordoba, Argentina in May, 1995. Similar workshops have also been held since the end of FY95 in India, Bangladesh and Indonesia.

The Tanzania workshop was organized in collaboration with local and international NGOs, three of which provided financial and

logistical support, and approximately 60 participants attended. The workshop provided an opportunity for NGOs to familiarize themselves with the Bank's work, to exchange views with Bank staff, and to discuss future collaboration. At the conclusion of the meeting, the NGOs presented an Action Plan for future work. In Argentina, a regional (rather than a national) meeting was held to facilitate the participation of greater numbers of NGOs and CBOs, and the involvement of provincial government, and to focus on local needs and priorities. The workshop brought together approximately 100 participants and was jointly organized by the Bank, the Ministry of Social Development of Cordoba and SEHAS (a local NGO). The goals of the meeting were to examine experiences of collaboration between the Bank, government and NGOs in order to distil "lessons learned", identify obstacles, and seek solutions for improved collaboration.

#### (b) Financing of NGO Sub-Projects

A mechanism which is increasingly being used by the Bank to support NGO activities is the Social Investment Fund (SIF), which channels resources to demand-driven sub-projects proposed by public, private or voluntary (formal or informal) organizations. One of the explicit objectives of social funds is often to

strengthen decentralized delivery mechanisms by supporting local organizations which are responsive to local needs. NGOs play a very prominent role in these funds and NGO involvement is now extending to the planning phase.<sup>4</sup> Though originally conceived as short-term interventions to provide a safety net for the poor during economic restructuring, the SIF model has proven to be one most effective means of reaching the grassroots. As a result, in several cases (e.g. Honduras) SIFs have shifted in emphasis from relief to long-term development activities and poverty reduction. The first self-standing Social Fund was supported by the Bank in Bolivia in fiscal 1987 and since then there has been growing interest in this type of project. During FY95, the Bank provided support to social funds projects in Zambia, Cambodia, Indonesia and Albania bringing the number of social funds supported to approximately 30 in 28 countries with total funding amounting of roughly \$1.13 billion.

(4) See: Anna Kathryn Vandever Webb, Kye Woo Lee and Anna Maria Sant'Anna, *The Participation of Non-Government Organization! in Poverty Alleviation: A Case Study of the Honduras Social Investment Fund Project*, World Bank Discussion Papers, No.295-The World Bank, August 1995; Alexandre Marc, Carol Graham, Mark Chacter and Mary Schmidt, *Social Action Programs and Social Funds: A Review of Design and Implementation in Sub-Saharan Africa*, World Bank Discussion Paper No. 274, The World Bank, 1995; and Soniya Carvalho, *Social Funds: Guidelines for Design and Implementation*, ESP Discussion Paper Series, No. 24, The World Bank, March 1994 for more details on the Bank's experience with Social Funds.

(5) A Project Preparation Facility (PPF) is one of several mechanisms by which an advance on a loan to the government is made to assist in the process of project design.

#### (c) Contracting NGOs as Executing Agencies

NGOs are also engaged by borrowing governments as contractors or executing agencies of approved projects components. For example, in the Community-Based Nutrition Project in Bangladesh, a local NGO, the Bangladesh Rural Advancement Committee (BRAC), will be the principal implementing agency in 50% of the villages in the project area. BRAC has substantial expertise and knowledge of local conditions to organize and supply the necessary technical assistance and local in-service training of staff. In addition, BRAC ran the pilot phase of the project with the support of a Project Preparation Facility<sup>5</sup> (PPF). In three projects in Latvia, Lithuania and Estonia dealing with environmental clean-up, the Worldwide Fund for Nature (WWF) has participated extensively in the design of the project and will provide expert assistance during the implementation phase.

There are currently several IDA-financed operations in Burkina Faso, Senegal, Mali, Benin and other francophone countries, where the execution of public works and employment creation projects have been entrusted to independent organizations known under the acronym *AGETIPs* (named after the

first such agency - the Agence Sénégalaise de Travaux d'Intérêt Public - as established in Senegal). The role and responsibilities of the organizations, as Executing Agencies (or Project Implementing Agencies-PIAs), are defined in the relevant agreements signed between the borrower and IDA. *AGETIPs* act as a disbursement agency for a Bank-funded project where the funds involved are usually small. By eliminating the considerable lag time in payment, small community-based organizations have been able to participate in Bank-funded works projects and be reimbursed through the *AGETIPs* almost immediately. Although many would not consider the *AGETIPs* to be bona fide NGOs, they work through NGOs, community based organizations and small private sector firms. In FY95 projects in Mali and Niger were started using this model and in Haiti a job-creation scheme will also adopt this model.

#### (d) Special Grant Programs and New Initiatives

The Bank's *Special Grants Program (SGP)* finances regional and global programs and activities that are important to the development process and complementary to the Bank's operational work. Applications for grants to the program are prepared and submitted by Bank task managers who have identified an activity for support. Grants typically fall in the range of \$200,000 to \$2 million, and SGP contributions generally do not exceed fifteen percent of a proposed program's total funding. Some are for one-year funding only, while others are multi-year but always with a clear exit strategy. While some of the grants are made to research institutions, UN agencies for specific initiatives, and regional initiatives, some of the grant recipients are NGOs.

For example, the SGP funds two interesting initiatives in the population and health sectors. The SGP grant for the *Safe Motherhood Initiative* provides funding to NGOs for advocacy, research and activities related to the Safe Motherhood Initiative, which calls for a fifty percent reduction in maternal mortality and morbidity by the year 2000. The *Population NGOs* grant supports small, indigenous organizations working in this field and funds new, integrative approaches to demand creation and

service delivery.

The SGP has also provided \$150,000 to fund NGO activities connected to the World Summit on Social Development (WSSD) in Copenhagen. Half the funding was used to finance NGO representatives attending the Third Preparatory Committee (PrepCom III) and the Summit. The other half supported the Women's Caucus at PrepCom III and also supported a Bank-NGO dialogue at the Summit.

Within the SGP, the Small Grants Program was established in 1983 to provide a way for the World Bank to promote dialogue and dissemination of information about international development among diverse audiences, including NGOs, academia, government, business, and the media. The Program makes small grants in the range of \$10,000-\$15,000 to support conferences and seminars, publications, networking activities, and other information-related activities. It covers a broad range of development issues of priority interest to the World Bank, including environment/sustainable development, human resource development, development education, economic policy, participatory development and NGOs, private sector development, and indigenous peoples. In FY95, the program awarded 40 grants totalling \$0.5 million in 33 borrowing countries<sup>6</sup>. All forty grants went to supporting activities by NGOs. Some examples of activities funded this year included support to the participation of NGOs in international conferences, and workshops on "Land and Sustainable Development" (Trinidad & Tobago) and "Children in Especially Difficult Circumstances" (Indonesia).

A US\$ 2 million *Fund for Innovative Approaches in Human and Social Development* (FIAHS) was formally established on 1 July 1994 with the primary purpose of improving the quality of Bank operations in areas which have yet to be mainstreamed into the Bank's operational work. These are promoting participation - including involvement of grassroots groups and NGOs - and undertaking social assessments. The Fund is available for both operational support for activities in borrowing countries and capacity building within the Bank, and is managed by the Operations Policy Department (OPR) in consultation with Environment Department (ENV).<sup>7</sup> During FY 95,

FIAHS funding in the amount of \$1,087,600 was provided to a total of 50 activities connected to Bank projects of which 32 (64%) directly involved NGOs. Projects funded during the last fiscal year with a strong NGO component included a study on the enabling environment for NGOs in Indonesia; NGO participation in the National Environmental Action Plan (NEAPs) in the Kyrgyz Republic; a poverty assessment in the Republic of South Africa and, working with village education committees (VECs) in Baluchistan, Pakistan.

One of the most significant initiatives of the year was the approval on March 21, 1995 by the Executive Directors of the World Bank of a proposal to establish a Consultative Group to Assist the Poorest (CGAP) - A Micro Finance Program. The impetus for CGAP came from the highly successful micro-finance models pioneered by specialized practitioners such as Grameen Bank (Bangladesh) and BRI-Unit Desa (Indonesia). The CGAP will be anchored by a World Bank contribution of \$27 million (out of a total portfolio of approximately \$200 million of program financing) from its Special Programs budget, and is a particularly important development because it is the first source of direct Bank funding for specialized institutions and practitioners in the field of micro finance the majority of whom tend to be NGOs.

The CGAP will: (i) expand the level of resources reaching the poorest of the economically active poor, initially through channelling of funds through sound micro-financing institutions that meet the eligibility criteria approached by the CG, (ii) improve donor coordination for systematic funding of such programs, and (iii) provide governments, donors and practitioners with a vehicle for structured learning and dissemination of best practices for delivering financial services to the very poor. The first meeting to constitute the Consultative Group (comprising donor representatives) was held in Washington, DC on June 26-28, 1995. The Group will be guided by a policy advisory group made up of practitioners in the field of micro-finance.

### *Strengthening Institutional Linkages*

#### *(a) NGO Group*

The NGO Group is a central source of

(6) The remaining seven grants were made to Northern NGOs in support of development education activities. The average grant to individual NGOs is around \$12,000.  
(7) Effective July 1, 1995, FIAHS is managed by PSP in collaboration with ENVSP.

GO-related information, expertise and outreach. The Group's major functions include: (i) facilitating operational collaboration, particularly the "upstream" involvement of NGOs in project design and promoting the participation of project beneficiaries; (ii) making Bank-NGO policy dialogue as constructive as possible, including supporting the NGO-Bank Committee and advising the central vice-presidencies and country departments on consultations with NGOs concerning policy issues and criticisms stemming from "problem" projects; (iii) providing information to Bank staff and others about NGOs; (iv) monitoring Bank-NGO collaboration and documenting lessons learned; and (v) helping foster a more positive policy environment for NGOs in developing countries.

One of the major products of the NGO Group in FY95 was the publication of a practical guide to operational collaboration between *Collaboration*,<sup>en</sup>

the Bank and NGOs. The book, entitled *"Working with NGOs: A Practical Guide to World Bank-NGO Operational"* is intended to help project task managers better understand both the benefits and challenges of working with NGOs, and flag key issues and describe emerging practices in this area. The guide will be revised periodically and additional information and materials will be incorporated as they become available. Task Managers and other Bank staff have been encouraged to contribute ideas and comments. Over time, the inclusion of case studies, best practices and lessons learned will serve to enhance the Bank's future cooperation with NGOs during the project cycle.

#### *(b) Economic Development Institute (EDI)*

The Economic Development Institute (EDI) - the World Bank's training and learning branch - EDI is committed to broadening the audience for its learning activities beyond senior government officials. Because NGOs have an increasingly important role in the development process, EDI continues to invite their representatives along with journalists, parliamentarians, and representatives of the public and private sectors. NGOs are invited to participate in many activities, especially in the area of girls' education, reproductive health,

AIDS, poverty, environment, resettlement, natural resources management, and private sector development (including micro, small and medium enterprises). NGO staff also act as resource persons for the design and delivery of many programs and, in some cases, NGOs are the principal partners in organizing activities. Some of these activities seek to improve government-NGO collaboration or, especially in countries in transition, to help officials and citizens understand what NGOs are and can do.

EDI continued to work with African NGOs in four countries (Benin, Burkina Faso, Mali and Niger) to develop appropriate training and consultancy methods to help NGOs to conduct strategic planning processes. In FY93 and FY94, EDI and its NGO partner Innovations et Réseaux pour le Développement developed and validated the training and consulting methodologies. In FY95, the program trained 19 local resource persons. The resource persons obtained hands-on experience by conducting strategic planning consultancies with a number of NGOs, and organizing and delivering national workshops in each country. To date, 12 NGOs have gone through the cycle. Impacts to date include: clearer, more coherent long-term plans, with organization development strategies to support them; changed communication and work relations within the organizations; and adoption of certain planning tools to help systematize both organization-level and project level planning and management.

EDI has recently formed an inter-country network of trainers who work with EDI grassroots management training programs. Initial members are located in Sub-Saharan Africa, India and Nepal. The program aims to: (i) promote the economic and social empowerment of local peoples through enhancing their organizations capacity to train and support micro-entrepreneurs, and (ii) work towards more conducive policy environments for micro-entrepreneurs. Members in different countries exchange experience and training materials through electronic communications and study visits.

EDI will continue to promote the activities of the Women's Management Training Outreach Program (WMTOP) which aims to strengthen the capacity of NGOs and national

training organizations to provide management training to women. The program has been piloted in Burkina Faso, Nigeria and Senegal. EDI also supports two programs exclusively for NGOs - in LAC, a multi-year program aims at strengthening NGOs working in urban poverty and at facilitating more NGO-government dialogue on urban sector issues. Assistance is mainly provided through FICONG, a regional institute responsible for training and strengthening in this sector. The Women's Enterprise Management Training Outreach Program (WEMTOP) in India works through approximately 30 Indian NGOs to design and deliver management training to enhance the income-generating capability and self-reliance of women micro-entrepreneurs. EDI's lead partner for this program, the NGO Udyogini, is currently preparing to move from an initial pilot project in 3 states to an expansion phase.

## 2, Economic and sector work

Economic and Sector Work (ESW) <sup>8</sup> is emerging as an area for increased Bank-NGO cooperation. It is an opportunity for the Bank to broaden its knowledge of NGOs, and to engage NGOs in research and study activities on a range of development issues. NGOs' local, in-depth knowledge of specific fields is a valuable resource which can contribute a different perspective to the work. Below are selected examples of Bank ESW which has related to and/or involved NGOs.

A principal element in Bank's poverty strategy is to conduct Poverty Assessments (PAs) in all borrowing countries. Poverty Assessments involve a number of different activities: a poverty profile (which analyzes the depth, nature and geographic spread of poverty), a review of current government policies relating to poverty, an analysis of the pertinent public expenditures and institutions, an analysis of the safety nets in place, and, based on the above, a suggested country strategy of priority measures to be undertaken by the government to reduce poverty. A number of Poverty Assessments include "participatory research" components (Participatory Poverty Assessments or PPAs). This allows increased attention to the

experience of low income groups, appropriate gender-focus, and consideration of social and cultural issues in the design and implementation of country poverty strategies.

During FY95, PPAs were carried out in Zambia, South Africa, and Mexico. In Zambia a local NGO, the Participatory Assessment Group (PAG), was very involved in the PPA. PAG had participated in a first PPA which was completed in 1993 and then continued to work on the follow-up PPA undertaken in this first year. The PPA findings were then incorporated into the Zambia Country Assistance Strategy (CAS) <sup>9</sup>. In the case of the on-going PPA in South Africa, there has been a similar strong involvement of NGOs: of the 14 research projects, the majority (9) involve NGOs.

In addition, the final phase of the PPA for Ghana on access to social services (health, education, water) was also completed in FY95. In the first phase of the PPA, the study was coordinated by a local Ghanaian NGO, the Centre for Development of People (CEDEP), with significant support from the African Region Technical Department. By the conclusion of the third phase, CEDEP had assumed the decision-making for virtually all phases of the study including the recruitment of researchers, training in PRA methods, and selection of research sites. The strong local ownership of this phase of the project was reflected in the high quality of the final product. Other NGOs involved during the first phase of the project included the Centre for African Development, the Integrated Social Development Centre (ISODEC) and international NGOs including World Vision International, ActionAid and World Neighbours.

A challenging new opportunity for Bank operational collaboration with, and support to, NGOs has emerged out of the Israeli-Palestinian peace agreement of September 1993. At present, there are over 1000 NGOs - both Palestinian and foreign - which have played an important part in the social safety net and development efforts in the West Bank and Gaza. A World Bank team visited the West Bank and Gaza in December 1994 to examine the changing role of NGOs with the emergence of the Palestinian Authority (PA). Despite a major reduction in funding, the NGO sector contin-

work (ESW) comprises a broad range of research and analysis undertaken by the World Bank and which is a key element of its assistance to borrowers. The purpose of this work is to provide a thorough understanding of borrowers' development problems and opportunities, and to advise on how to tackle them. Economic work focuses on the overall economic prospects and development challenges of borrowing countries. Sector work studies the development problems, policies, institutions and investment priorities of major sectors and subsectors. The Bank's ESW provides the framework for the Bank's lending program and for policy advice.

(9) The CAS represents the overall framework for the Bank's activities in a given country and also feeds into individual project design.

es to represent a valuable resource, particularly during the delicate transitional period, while Palestinian institutions are still being developed. The team recommended that the Bank and donors should find ways to restore funding for the highest quality NGO programs without eroding their support to the PA (such possibilities are currently being considered by the World Bank and other donors). The team outlined means and ways to strengthen the framework of cooperation between NGOs and the PA.

In keeping with the Bank's objective of encouraging governments to create an enabling environment for NGOs and other parts of civil society, studies on the relationship between NGOs and the State were initiated in Bangladesh and Indonesia during FY95. The Bangladesh study was designed at the request of the government. A team comprising government, academic institutions, and the judiciary have worked together to produce a report on the status of NGOs. The process has been managed by the World Bank and guided by an advisory committee comprising government officials and NGO leaders. In Indonesia, the Resident Mission initiated a program of studies, with the Indonesian Government, of NGO issues and the policy environment for NGOs entitled *"Creating an Enabling Environment for NGOs in Indonesia"*. Local NGOs have been closely consulted, particularly through a series of provincial level meetings.

### **3, Broader policy dialogue**

The rapidly expanding collaboration between the World Bank and NGOs is not limited to operational work alone. As noted in Part I, NGOs also play a significant role as advocates for policy change and the Bank increasingly exchanges information, ideas and experiences on major development issues with NGOs. Bank-NGO dialogue has been particularly strong on the social and environmental impact of the Bank's work, on participation, and information disclosure.

Other significant Bank-NGO interaction included a LAC Regional Bank-NGO Conference held on Paipa, Colombia which was attended by 50 NGOs, 30 Bank staff (includ-

ing 9 resident representatives) and 10 government officials. This was the first time that the Bank and NGOs were able to meet to compare and discuss their different visions for the future of the continent. The three days meeting focused on several key themes including: (i) state reform, decentralization and civil society; (ii) poverty alleviation; (iii) investing in human development; and (iv) sustainable development, and allowed for considerable progress to be made towards identifying areas where the Bank and NGOs could work more closely together.

#### ***Main Themes in the Bank-NGO Dialogue*** ***(a)Poverty***

The on-going negotiations of the eleventh replenishment of the International Development Association (IDA), the concessional funding source available to the poorest countries, has been one of the main points of interaction in FY95. Several regional consultations on IDA were held with NGOs during the fiscal year. The first was held in Addis Ababa (Ethiopia) in January with 17 NGO representatives and established a series of benchmarks for the subsequent meetings. The second African Consultation on IDA was held in Krugersdorp, South Africa on 26-28 June, 1995. Representatives of 18 NGOs from 10 African countries and three senior Bank staff met to discuss the 11th replenishment of IDA in a meeting organized jointly by the Inter-Africa Group (Ethiopia) and the Kasigo Trust (South Africa). Other major NGO groups present at the meeting included the African Regional Network on Debt and Development (AFRODAD) and the Foundation for Contemporary Research (FCR). The meeting resulted in an agreement among African NGOs to work at the national, sub-regional and regional level to establish an appropriate mechanism for coordinating information-sharing among and between NGOs, the Bank, and respective governments and regional institutions. Similar consultations were also held in New Delhi, India with representatives from 9 South Asian NGOs and in Bogota, Columbia. The meeting of the Latin American group brought together 40 NGOs in a two day meeting and focused on: (i) the need for greater public participation in SAPs, (ii) the

better integration of social funds and, (iii) greater information dissemination at the country level and improved relations with Bank field offices.

A meeting organized in Washington, DC on April 26, 1995 between representatives of IDA donor countries and nine NGOs from developing countries meeting was attended by numerous Deputies, other members of IDA delegations, Executive Directors and their staff, and a small number of Bank staff. The purpose of the meeting was to give the NGO representatives an opportunity to present their views on IDA, particularly on the direction IDA should take, and their experience with IDA-financed projects in their own countries. While this and other meetings have led to a broad-based agreement among NGOs that IDA is to be supported, NGOs nonetheless collectively have many serious issues to raise with respect to IDA, including: (i) the extent to which IDA is increasing its poverty reduction focus, (ii) IDA's performance and quality on ground, (iii) the process of Bank-Government negotiations of the IDA program, (iv) the type and manner of instruments used to implement IDA programs, and (v) the selectivity of eligibility. It is satisfying to note that some of the specific NGO suggestions were addressed in the IDA 11 agreement.

(10) The Learning Group on Participatory Development was launched in December 1990 and given the responsibility of examining the issue of participatory development and how to increase participation by stakeholders in operational work.

(11) The Africa Region initiated the CCF's in FY95 with a grant of \$100,000 to each of the five Country Departments (CDs) to support initiatives which would promote the systematic consultation of clients and beneficiaries.

(12) For more details on the work of the ESDVP, see *Mainstreaming the Environment: The World Bank Group and the Environment Since Rio* Environment Department, The World Bank, August, 1995.

### (b) Participation

FY95 was an important year for the Bank in terms of its progress on adopting participatory approaches. The Bank-wide Learning Group on Participatory Development<sup>10</sup> concluded its initiative with the presentation to the Board in September 1994 of a report on *The World Bank and Participation*. The report presented evidence showing that participation can significantly improve the quality, effectiveness and sustainability of projects, and at the same time, improve ownership and commitment of governments and stakeholders. Furthermore, it contained a Bank-wide Plan of Action for mainstreaming participation which the Board endorsed. FY95 also saw the publication of a draft *Participation Sourcebook* which documents current Bank practice on participation and shares "how-to" lessons with task managers across the different regions.

Following the Board's endorsement of the Plan of Action, a Senior Managers' Oversight Committee was established to oversee the mainstreaming of participation in Bank operations. One of the first actions of the Committee was to ask that each region prepare its own action plan specifying procedures and plans for integrating participatory approaches in the lending and economic and sector work. The Committee has reviewed the regional Participation Action Plans (PAPs) and provided guidance on both strengthening and implementing the plans.

Other initiatives undertaken as part of the mainstreaming effort include selecting and recruiting of social science experts and a revision of the Bank's procurement guidelines with the aim of enabling governments to support participation in Bank-financed projects. An interesting example of innovative work in participation can be found in Burundi where NGOs were closely involved in the reformulation of Agricultural Strategy. In each of Burundi's 15 provinces, an NGO representative was consulted by the Centre universitaire de recherche/développement en agroéconomie (CERDA) during the course of the country-wide participatory sector assessment in agricultural development financed by the Africa Region's Client Consultation Fund (CCF). The views were incorporated into the findings which were presented at a seminar on the strategy at which was attended by a local NGO Mutoyi. The seminar recommended further reflections to define sub-sector strategies in priority areas (e.g. extension and research). A follow up seminar was held on the extension strategy at which INADES/Burundi and the NGO ActionAid participated.

### (c) Environment

The Environmentally Sustainable Development Vice Presidency (ESDVP) has established a regular program of meetings with NGOs engaged in work related to environmental and sustainable development issues<sup>12</sup> and during FY95, there was significant interaction with NGOs. Over the year, issues addressed have included, among others, the status of IDA-10, the consultative process around the Bank's Forest Implementation Review, Ba-

policies in the transport, water and sanitation, and urban development sectors, and issues related to the Russian Federation. NGOs have also been major participants in ESD's 1994 Annual Conference on "Human Face of the Urban Environment".

NGOs also play an important role in the operational collaboration on environment issues. NGOs have contributed to Environmental Assessments (EAs) and in certain cases have been contracted to conduct EAs. NGO have also played an important role in the development of national Environmental Action Plans (NEAPs). In Guinea for example, the government designated a local NGO, Guinée Ecologie, to prepare the country's NEAP, and in Burkina Faso, NGOs are assisting the government as they draft the country's NEAP. NEAP preparation in Vietnam has been a highly participatory process involving various working groups, including NGOs, carrying out much of the analysis and in establishing priorities for action. Similarly, the Kyrgyz NEAP has been characterized by significant involvement of local NGOs. A local environmental NGO launched in October 1994 a public participation program which has served as an on-going vehicle for public consultation during the final stages of preparation and subsequent implementation.<sup>13</sup> Similar collaboration has taken place in Sub-Saharan Africa.

NGOs have also played an important role in the freshwater, coastal and marine programs supported by the Bank. Several of these projects have revolved around the countries of the former Soviet Union. In Estonia, Latvia and Lithuania, the WWF has played an important role in the designing and implementation of projects designed to reduce the levels of pollution and effluent discharge in these areas. Seven projects have been approved for the Aral Sea Basin Program following the endorsement of the plan by the donors and the NGO community.

In late 1994, the Bank and the International Union for the Conservation of Nature and Natural Resources (IUCN)<sup>14</sup> conducted a series of meetings to review past collaboration between the two institutions, and to guide a joint initiative to develop closer links and coordination of specific policy issues. By drawing on the expertise and country-level networks of IUCN, the

Bank aims to strengthen its own capacity to address environmental issues within the framework of the Country Assistance Strategy (CAS). In May 1995, many developing country NGOs participated in a consultation to discuss the draft "Forest Policy Implementation Review".

Another growing area of Bank involvement with NGOs on environmental issues relates to the work of the *Global Environment Facility (GEF)*<sup>15</sup> which was established following the United Nations Conference on Environment and Development in Rio. As one of the three implementing agencies for the GEF, the Bank is able to expand its program of grant resources and concessional funding to developing countries in areas of environmental action that transcend national boundaries. There are four main areas where this applies: global warming, pollution of international waters, destruction of bio-diversity, and destruction of the ozone layer. The GEF mandate endorses the involvement of NGOs in the "...development and review of project and work program proposals... and the monitoring of project implementation and evaluation of project results."

During the GEF pilot phase (1991-1994), six of the nineteen Bank-financed GEF biodiversity projects allocated funds for NGO capacity-building programs ranging from 10-15 small grants totalling \$100,000 to NGOs to fund workshops, village meetings and training in the Slovak Republic to a grant of \$17 million to NGOs for Integrated Protected Areas Inc., a consortium of national and community based NGOs in the Philippines. In the Philippines Conservation of Priority Protected Areas Project, NGOs and the government jointly administer project funds. In Jamaica's Demand Side Management and Demonstration Project, local NGOs will help identify and contact local groups with an interest in energy and DSM, organize public forums to increase public awareness, and assist in program design. In FY95, nine projects with NGO involvement were approved for GEF funding, the majority of which address the problem of biodiversity.

#### (d) Hunger

In addition to the CGAP initiative (See Part II, Page 20), as follow-up to the 1993 World Bank Hunger Conference held in Wash-

(13) For more details, see *National Environmental Strategies: Learning from*

Department. The World Bank, April, 1995.

(14) IUCN is made up of 68 states, 100 government agencies, and more than 600 NGOs, as well as a network of specialist commissions drawing together more than 5000 scientists and practitioners, and represents a major resource in

able development.

(15) For more information on Bank-GEF projects see: *Facing the Global Environmental Challenge: A Progressive Report on World Bank Global Environment Operations - March - May, 1995* or contact the Global Environment Coordination Division, Environment Department, The World Bank, 1818 H Street, N.W. Room S-2141X, Washington, D.C 20433, USA.

ington, a Hunger Workshop was held in Segou, Mali from June 19-22, 1995. The Workshop was organized by the Coordinating Committee of the NGOs in Mali, (with strong logistical support from World Education), and was financed by the World Bank through InterAction, a Washington-based NGO. Some 100 people participated intensively for four days, including roughly 50 representatives of NGOs, 30 from Government, 9 from the Bank, and 10 from other donors such as UNDP, WPF, FAC and USAID.

The meeting considered three reports activities by the Bank, the Government, and NGOs on hunger-related activities which explained their respective objectives, strategy, programs, and plans for the future. The discussions also touched on the respective roles of the state and civil society and the workshop demonstrated the novelty of such bilateral discussions. Several NGO participants expressed appreciation at being able to meet directly with government for the first time and commented that the meeting would not have occurred without the participation of the World Bank. As such, it also allowed the Bank to openly discuss aspects of governance and accountability as well as the Bank's multiple roles and relationships with both government and civil society. Plans are now under way to host a similar event in Bolivia in cooperation with the US umbrella group InterAction and a local Bolivian NGO.

#### (e) UN Conference Themes

FY95 saw two major UN conferences - the International Conference on Population and Development (ICPD) held in Cairo, Egypt, and the Social Summit (WSSD) held in Copenhagen, Denmark - and preparations for the Fourth World Conference on Women (FWCW) held in Beijing, China. The World Bank was an active participant in all three initiatives, and also provided significant support to NGOs both during the run up to and participation in the conferences. In the case of the ICPD, which took place in September, 1994, the Bank provided support through the Population, Health and Nutrition Division (PHN) to 9 different NGO groups including the International Reproductive Rights Research Action Group

(IRRRAG), Family Care International (FCI), Women's Environment and Development Organisation (WEDO), and the Centre for Development and Population Activities (CEDPA).

A Bank-NGO consultation organized by the NGO Group and the Education and Social Policy Department (ESP) was held in December 1994 on the draft of the paper prepared by the Bank for presentation at the WSSD entitled "*Advancing Social Development*". Twelve NGOs from different regions participated in the consultation and had considerable influence on the final document. The Summit itself, held in March 1995, provided an opportunity for the Bank to re-state its commitment to social sector investment. Bank staff also participated in numerous activities organized at the parallel NGO Forum. In March 1995, the Gender Unit of the Bank together with the NGO Group organized a two day consultation in New York with fourteen NGOs from around the world to discuss the draft report *Efficiency and Growth: Case for Gender Equality* which had been prepared by the Bank for presentation at the conference. Funding was also provided through the Small Grants Program for NGOs attending the PrepCom in New York.

#### (f) Labour

The 1995 World Development Report (WDR) focused on the role of labour in development. In keeping with the practice of the last two WDRs, the Bank established a consultation procedure throughout the report writing. Two major international confederations, the ICFTU and the WCL, were used as points of contact, their views were sought on the preparation of an outline, and their comments were obtained on several drafts of the report. A two day consultation on the report was held with a group of about 30 union representatives. A group of Northern and Southern NGOs were also invited to the consultation along with other members of the development community.

#### Bank Policies: Information Disclosure

To assist in the implementation of the Bank's policy on information disclosure,<sup>16</sup> an Informal Working Group on Information Disclosure composed of Bank staff and NGOs was

(16) In August of 1993, the Bank's Board approved a new disclosure policy designed to significantly expand public access to information about Bank operations. As part of this policy, the Bank now makes available Project Information Documents (PIDs) on all projects prior to their submission to the Bank's Board for approval as well as Staff Appraisal Reports (SARs) after Board approval. In addition, the disclosure policy applies to Operational Policies, (OPs), Bank Procedures, (BPs), and Operational Directives (ODs). All of these documents are now available at the Bank's Public Information Centres. Bank field offices also carry documentation relevant to the country where they are located.

convened in FY95 (see Part I, page 10). The group has met several times to discuss a variety of issues including: (i) greater NGO input on Operational Directives (ODs) - the vast majority of these have involved environmental issues including the Widlands, Indigenous Peoples, Resettlement Environmental Assessments, and Environment Policy ODs; (ii) the translation of Public Information Documents (PIDs) and other project documents into languages (eight countries - Mozambique, Cote d'Ivoire, Indonesia, Bulgaria, Russia, Brazil, Bangladesh, and India - were selected as pilot countries to test this initiative); and (iii) the opening of Public Information Centres (PICs) in developing countries (see below).

FY95 saw the opening of the Caribbean Public Information Centre (CPIC) in Jamaica which is the first PIC to be opened in a developing country and which is housed on the campus of the University of West Indies. The new disclosure policy identified World Bank field offices as an important link in ensuring that organizations and individuals in developing countries have equal access to relevant information. A principal objective of the CPIC is to "level the playing field" by ensuring that interested parties in the Caribbean region enjoy the same access to information about Bank activities as do their counterparts in Europe and the US. Since it opened its doors, the range of resources available has made the CPIC a "one-stop information shop" for diverse users including government, private sector firms, NGOs, journalists, students, academics and the general public. Given the Bank's increasing emphasis on openness, stakeholder consultation and public outreach, the CPIC offers a useful model for potential replication elsewhere.<sup>17</sup>

### *NGO-World Bank Committee*

The NGO-World Bank Committee is the oldest and most established forum for dialogue between the Bank and NGOs. Established in 1982, the Committee provides a formal, international arena for policy dialogue between senior Bank officials and 26 NGO leaders around the world. NGO members, who collectively form the NGO Working Group on the World Bank (NGOWG), have adopted a

staggered election process that allows for annual membership rotation and a broad base for election to the Committee. In 1995-96, the NGO Working Group's Secretariat is housed at ALOP, (the Latin American Association of Promotion Organizations) in Costa Rica.

The Committee held its thirteenth annual meeting in Washington, DC in October 1994. The meeting took up the theme of poverty reduction and the future direction of the Bank, and NGO members encouraged the Bank to do more to address the impact of market failures in developing countries and the disproportionate effects which they have on the poor. The need for equitable growth was presented as essential for poverty reduction, and for promoting more efficient growth. Discussions were also held on the financing of development with concern being expressed on both sides about the stagnation levels of ODA. The Committee also discussed the impact of the International Conference on Population and Development (ICPD) and the Bank's plans for the Social Summit. Discussions focused on the themes of equity including issues of asset redistribution, and the social impact of adjustment. Other issues that were discussed included operational collaboration with NGOs in the field, the involvement of NGOs in participatory poverty assessments and other ESW leading into the preparation of the Country Assistance Strategies (CAS), the steps taken in the area of participatory development, the role of the inspection panel, the Bank's information disclosure policy, and follow-up to the 1993 Hunger Conference.

As mentioned in Part I, the Committee has been overhauled to improve its links with developing countries. In an important departure from previous years, a decision was made to replace the Spring Meeting of the NGO-Bank Committee with a series of regional meetings in order to broaden the spectrum of NGOs who would be able to participate in and contribute to the work of the Bank-NGO Committee. In total, four regional meetings were held in Addis Ababa, New Delhi, Bogota and Johannesburg with a focus on the eleventh replenishment or IDAO.

(17) For more information on the Caribbean PIC, see **HRO Dissemination Note**, Number 43, February 6, 1995.

# From the shadows of the Tigers: Asia's empowering experiences in the Communication Age

by Dorothy Grace M. Guerrero \*

## Introduction

Popular education or Education for change is the most powerful invitation for people to reimagine their role in society. It is about developing an attitude that will encourage a person to question and doubt, to challenge and build. Creating a future depends on the capacity to dream and conquer imposed limits. It starts from those who seek answers, those who discovered the real meaning of the word "possible". This writer believes that civil societies in Asia will soon forge the alternative development models of the future which are best suited for the region. These alternative development models will be composed of a synthesis of the following: Asia's rich religious and philosophical traditions, experiences of civil society building and democratization processes, and the use of innovative and appropriate technologies meshed with advanced technologies of the communication age.

The fundamental element for such alternative models is the community management approach to development resource management or "community management". Advocates of alternative development in the region see the primacy of supporting and strengthening autonomous community development and management efforts in the ongoing development debate (PP21,1989).

Community management takes as a point of departure the community. Its needs, its capacities, and ultimately its own control over both its resources and its destiny (Körten, 1986). It seeks to achieve a social transformation based on people-centered development values with people's participation, conscientization and the creation of alternative locus of power as a basic principle (PRRM, 1994). Globalization is pushing the need for what Prof. Ichiyo Muto called transborder participatory democracy (1993). The foundation of such is the strengthening of new social movements/civil society and networking among new social movements/civil society (Waterman 1995, Stangelaar 1985). In the regional level it means the weaving of autonomous community development initiatives from different parts of Asia and the Pacific

basin through the process of continuous dialogue and discourses, sharing of skills and knowledge learned from empowerment experiences and the use of the potentials of advanced information based technologies.

Since new social movements and civil society must address the national and global institutions and policies relating to resource control, it is crucial that the actors or animators of these movements be armed with new tools to enhance their knowledge, skills and attitude to face the complexities and challenges of globalization. Activities and projects geared for grassroots leadership formation and capacity building are recognized as highly important. Several aspects of which however has to be strengthened to realize genuine representation of the grassroots organizations:

The first aspect that must be enhanced is the perspective on the interconnection of local and global changes. The complexity of the present world order must be understood by grassroots activists in order for them to have meaningful engagement with its local features.

Second is the development of the capacity for self representation. International exchange and solidarity is still the domain of the few even in social movements and NGOs. Grassroot activists still find it difficult to link up with their counterparts abroad and develop people to people solidarity projects. That is because of the lack of resources, skills and access to communications facilities that will make efficient, fast and regular connections with each other.

The third is that of strengthening the connection between culture and education for change projects. Self identity, self value, purpose and belonging are formed out of the multiple representations learned from family, school, church, media, workplace, community etc. The appreciation and legitimation of the colour, symbols and value of popular culture social transformation (Martin-Barbero 1993) the backbone of an alternative society where the popular is progressive and the progressive popular.

By grassroots activists the writer refers to actors who are based in the village level or community level. It is important that those in the

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local organizations develop access to information as much as those who are in the national organizations operating most usually in the capital or centre of their country.

Education is at the heart of freedom, and freedom emanates from an individual's imaginary construction of the world. Freiré pointed out the importance of developing one's voice in the process of liberation. That voice is also the foundation for the articulation of alternatives and one's intervention to change forbidden discourses (Schostak, 1993). Learning how to deconstruct information depends on one's access to it. Thus there is a great need for a venue where grassroot and social movements people could get information which will also present the undersides of what is happening to help them come up with their own interpretation of reality.

Methodology and objectives

This paper is inspired by the writer's involvement in the electronic conference project of the Global Partnership for NGO Studies, Education and Training organized by the World Learning's School for International Training based in Vermont, USA in partnership with the centre for Development Management of the Bangladesh Rural Advancement Committee (BRAC) and the Zenzele College of the Organization for Rural Advancement and Progress (ORAP) in Zimbabwe.

The aim of the project is to link up with different centres of alternative learning and at the same time gather together individuals who could take part in curriculum development of each course through electronic conferencing. The past working experiences with El Taller, People's Plan for the 21st Century (PP21) and the Asia Pacific Bureau for Adult Education (ASPBAE) also come to mind while the writer is brainstorming for the theme's target audience.

The writer wishes to address the following points:

a) Discuss how practitioners of community or popular education and community manage-

ment in Asia could more efficiently work together to achieve the goals of achieving political and development literacy among those who are in the frontlines of struggle (community, basic sectors like labour, women, etc.), transborder participatory democracy, methodology sharing and solidarity through the use of alternative and electronic communication;

- b) Present electronic communication as an instrument for grassroots activist to have access to research and analysis made by progressive intellectuals and resource centres, and at the same time for the intellectuals to benefit from concrete grassroots experiences (or everyday politics) of local activists; and,
- c) Suggest ways on how to consolidate the currently existing regional networks that are seeking to build countervailing power and alternative development in the region through sharing of resources and awareness of the activities and achievements. Doing so will help avoid the common mistake of reinventing the wheel and thereby maximize the use of limited resources.

## Structure of the paper

The first part of the paper presents briefly the writer's understanding on community management, leadership formation and the role of education for change in critical mass building. Brief descriptions of some of the ongoing efforts for leadership formation are discussed in the second part including the initial programme of the Global Partnership for NGO Studies, Education and Training in Bangladesh and the grassroot leadership programme of the Education for Life Foundation (ELF) in the Philippines.

The third part of the paper includes an assessment of the state of social movements in some sections of civil society in the region, the paradigm changes which are happening to most of them and how the changes came about. The writer also enumerates proposals on how to realize an empowered culture and a more consolidated regional civil society which could be achieved through the use of information tech-

ologies, are now being used by NGOs, social movements and their resource centres. The section is also rich in examples and cases to show the level of efforts that are being made to reach a broader audience and popularize social movement advocacies.

## **PART I**

### **Conceptual framework**

#### ***A. Community management***

Körten in his introduction to the book *Community Management: Asian Experience and Perspectives* begins with the premise that states in their enthusiasm for modernizing and rationalizing resource management often underestimates the extent and capacity of the systems by which people have learned through long and difficult experience to manage locally available resources to meet their own self-defined needs (1986). Inequities are heightened by the concentration of power, decisions and resources to local and national elites who will not suffer from negative effects of policies and actions that they themselves made to further their interests.

Conflict of interests is a natural feature of human communities. Therefore in the seemingly intractable struggle for control between the poor and the powerful exploiters of the poor's powerlessness, development of community management systems and the strengthening of mechanisms for effective and equitable management of such conflict are crucial. Addressing such conflicts include the establishment of a responsive government and a strong broadly based civic structures of local resource control.

Disempowerment and exploitation are perpetuated by the hierarchical and vertical structures and institutions that continue to emphasize the reproduction of power, technology and ideology that conforms to the skewed forms of knowledge and social relations in favour of those benefiting from such; because development is too important to be left for governments and mainstream development agencies alone, communities should assert self-development or self-management (see Midgley

1995). Development, therefore, should be concerned with people's basic needs, sustainable, self-reliant, concerned with structural change, and guided by values from within (Hettne, 1990). It is the fulfilment of both the needs and aspirations of the people, to be realized at levels and locations where they live, not something planned and handed down by some superstructure that operates outside the realm of the people (Kothari, 1993).

For the communities to manage, direct and take responsibilities for their own development, they need to have access and control of the strategic resources necessary for such. The process towards the realization of this access and control lies in the capacity of the critical mass within the community to engage in struggles that will lead to it. It is in the hands of the organizations' leaders or movers who will devote time, energies, skills, imagination, and commitment to undertake the responsibilities of empowerment.

#### ***B. Grassroot/Community leadership formation***

Life is a big university. As we move on to life, we encounter experiences that give form to our being. In leadership formation courses, each experience is a lesson added to the personal curriculum which is the historical course of reflection, expression and action (de la Torre, 1994). A person's life histories, the personal, economic, political, spiritual, and cultural contribute to the formation of his/her type of leadership. Grassroot leadership formation is a life process. Education for change or popular education courses designed for leadership formation is about crystallizing life experiences in order to enhance life and build a better future, the scope of which is as broad as its audience's dreams. It seeks to build a leader's organizational skills, knowledge and attitude to prepare him/her to the crucial task of steering his/her community towards empowerment.

Grassroot or community leadership formation plays an important role in the strengthening of civil society. Education courses for leadership formation serve as compasses planted

the conscientizing process. It contributes by giving direction to organizational leaders and core members in their daily challenge of making their organizations achieve something beneficial for them. Leaders provide the impetus that make heroic collective actions possible. They encourage, guide and push community members to make things happen, and community empowerment is about making things happen (de la Torre, 1992). The concept of community popularly implies a group of people with common interests (Körten, 1986:2). In consideration to the current development debate, NGO development workers are emphasizing the ecological definition of community referring to the interaction of people, organisms and nature in a certain location (Serrano, 1991). Membership to a community and the taking on of the leadership task implies the need for self-management and reliance. Self reliance is the means and end in the process. It is what makes community management different from other mainstream development projects. Its foundation is the releasing of the creative energy of the people, the assurance of equal access to resources for all, and the use of appropriate technology to achieve these social goals (Morales, 1994). Outsiders may help but community members are the main actors in the different conjunctures towards their emancipation.

Community organizations have to deal with the question of power in their daily existence. Power both as a resource and a product of the development process. In transforming society, the important task is not just the taking of power but also the reinvention of power, and education is a tool for the reinvention of power (Freiré, 1970). Education is about developing a critical view, the capacity to question, doubt, investigate and illuminate the very life we live (Freiré, 1986). The tradition of community leadership formation and critical mass building drew a lot of inspiration from Freire's merging of what he called the language of critique and the language of possibility. It contributed to the development of education for change or popular education which combines empowerment theories and critical reflection which encourages the subjects of such efforts to under-

stand the imperatives of having a radical commitment to perform actions that will realize what they perceive as a better future.

The ability to change the future lies on the understanding of one's role in history, and the realization of the means of how it could be achieved. Historic moments necessitate acts of decision for the marginalized, and these decisions are oftentimes intertwined with taking actions that make effective use of the resources at their command. To create a new future is a function that depends on the strength of organizations, the commitment of members to shared ideas and purposes and the skills they bring to achieve it.

### *C. Communication*

Globalization and its accompanying development ethos is the mantra of the decade. It encourages one to believe that globalization of markets and production will bring about an improved living condition. National markets were tuned to follow international demands. Public tastes and culture are being shaped by what is being fed by the media which in turn is influenced by the west.

Some call it the emerging global village, a "brave new world" of knowledge and communication oriented people. It is always easy to identify with the winners of the increasingly competitive global economy. Only through critical analysis of where the rain-soaked or sun-baked hoi-polloi non-riders of insulated vehicles are really located, can we find that the majority is indeed losing and losing big in this head-on-collision which is globalization. The four major trends which was discussed in Trends in World Communication (Hamelink, 1994) are altering the daily lives of people even without the recognition of which by the majority.

Globalization, like Pandora's box unleashed many contemporary contradictions. Technological innovations introduces many beneficial undertakings and in many instances the business sector could be credited for many of its pioneering efforts. Some corporations could also be commended for the risks that they

look in order to improve services and products, most of which are making life easier for those who could afford them. But, the key issue is that the innovations do not produce social returns which are empowering to the growing number of the disempowered. The question of who could have access, control and ownership of innovations related to information resources and for what purposes is not clear to many.

Global trade is reshaping the whole world. It is molding a new set of hollow people who adheres to a uniform culture, ways of living and thinking. It is breeding a consumerist attitude that equates goodness with having more and not being more. It is contrary to the natural principle of diversity, creating an artificial environment that revolve around products. Skewed representation of reality by the media is leading to miseducation and disinformation. Many are being deceived to believe that the increasing number of channels in their television sets signify the strengthening of the public's freedom of choice. The choices appear to range from products in the marketplace, to option for a particular lifestyle as well as the right to believe on anything, the very quantity of what is being offered distracts us from what isn't (Blackwell & Seabrook, 1993).

There is no gainsaying that revolutionary advances in communication technology are bringing about great opportunities. The democratic revolution in Nepal and the fateful events in Thailand on May 1992 could have generated different results if not for fax machines and mobile telephones which played crucial roles in many fate twisting moments. Coordination between womens' groups from different countries were made easier by the internet during the preparatory stage of the Women's Summit held in Beijing. The "talking indigenous people's movements" (Serrano, 1994) would not have materialized if not for their common use of the electronic mail.

Paulo Freiré wrote in the Pedagogy of the Oppressed that instruments of repression could also be weapons for emancipation. The use of global information highway by most social movements and civil society groups attest to the wisdom of Freire's words. The Zapatistas of Chiapas have mastered the use of the

Cyberspace in popularizing their struggle and exposing the dark side of NAFTA.

## PART II

### Popular education, empowering culture and alternative communication

Stangelaar verified the thesis that participation in concrete political action makes people conscious of their situation and gives them the incentive to search for more relevant information (1985:16). Popular education is apolitical action. Its aim is to encourage people to take actions that will effect change in their society. Based on the writer's experiences as a popular educator in the Philippines, engagement in it normally results to personal and social transformation on the part of the participants because they discover in the end that the responsibility of changing their situation rests on their collective action.

Popular education is dialogical, where learning is like a two way street, both educator and participants appreciate the complementation of each others experiences and the truth that lies in each experience. It is participative, courses are not imposed from above but starts from the perceived needs of its subjects. A course leader or resource speaker works both as a facilitator, and information giver. The success of the activity is usually measured on how participants apply what they learn in their every-day struggle.

Learning through popular education is rewarding, empowering, and in most instances associated with fun. The plethora of laughter and good spirited humour makes popular education sessions entertaining as well as informative. Methods and styles being used are varied and creative, they are open-ended and open for improvisation (Antonio 1993). Learning is associated with enjoying what is being learned because it is usually a celebration of life. Laughter and the sharing of it makes learning easier and understanding deeper. Sessions usually include a participant evaluation in the end and in most evaluations, participants express their

appreciation of the process and relate it with the feeling of enjoyment.

## **Planting seeds of empowerment: cases of leadership formation and popular education experiences in Asia**

The following cases are based on programme evaluations, workshop reports and responses through the email by the respective organizations as well as the writer's experiences with them.

### *A. Global partnership for NGO studies, education and training*

The Global Partnership evolved from more than five years of building inter-organizational partnerships, sharing of ideas and visions, and one year of formal planning. The program committee is composed of representatives of the Accredited Program Centres: BRAC's Centre for Development Management, ORAP's Zenzele College, and the World Learning's School for International Training. The program seeks to provide a comprehensive and complete educational experience through a post-graduate diploma programme concerned with NGO leadership and management issues. The training centres of BRAC and ORAP are already extending graduate courses for NGO leaders in their respective country.

The programme is also being served by two international resource centres: PRIP and El Taller. A workshop attended by the 18-member programme committee representing the Accredited Program Centres and the two Resource Centres defined the curriculum, details of program design, admissions, faculty selection, etc. The group also decided on the target audience and the competencies required by them in the light of the current and changing realities of NGO work.

Two courses were already launched, the first one was in Bangladesh while the latter was held in Zimbabwe. In both courses electronic

planning and implementation. Based on the report of the planning workshop in Rajendra-pur, the electronic conferencing proved the potential of the medium for future courses. In several cases, presentations prepared for the activity were results from discussions with colleagues. The current electronic conference-involves 22 practitioners of community development and NGO leadership trainings from Asia, Africa, Latin America, Europe and the United States.

The first course designed for BRAC went through comprehensive processes of preparation involving a pre-workshop research project and different ways of sourcing inputs for the course. Contributions as mentioned earlier, came through an international electronic conference, a study of Bangladeshi NGO manager's training needs and interests carried out by BRAC's research department and a number of consultations held in Bangladesh. Consultations were launched with the participation of 143 senior and middle level managers and professional staff in 53 different NGOs in Bangladesh. Open-ended interviews were also conducted with 13 other executives and heads of organizations. Consultancy services were also extended by Proshika and the Bangladesh Public Administration Training Centre (BPATC) which have the most extensive grassroot education and training experiences in the country.

The evaluation of the course highlighted the advantage of using experiential learning methodologies which integrate conceptualization, active experimentation, direct experience and reflection. Participants have the complex role of being a leader/manager from their NGOs and social movements. There was a recognition that organizations and leadership situations are often different with respect to the competencies most needed. The stage of an organization's development, the task, the culture and the society in which it works and in some cases the contingencies of a leadership situation.

After the first two rounds, the electronic conference was moved into the conference systems of the Institute for Global Communications or IGC (EcoNet, PeaceNet, etc.) and affil-

ated networks of the Global Association for Progressive Communications (Worknet, GreenNet, etc.). The move is to allow more interaction among conference participants and to reach a broader audience.

## *B. Education for life foundation (ELF-Philippines)*

Now known as the school for grassroots leaders in the country, ELF offers two types of courses. The major one is the Comprehensive Leadership Formation Course (CLF). The CLF is a six-week residential course divided in six topics: organizational leadership and participation, gender and democracy, communications and popular culture, popular economics, tools for analysis, and democracy and governance. Each course is designed based on results of a three-day residential participative course design workshop. During the workshops would-be participants and the training team build an alternative and competency based course around a comprehensive assessment of the context and needs of the organizations and leaders who will take the course. The workshop discusses the life histories of the participant, the type of organization where they are affiliated and the issues that they face in the community or social movement where they are coming from.

Courses are given to an average of 20-25 participants who are coming from the same cultural background and/or social movement to ensure that the content of the course and the cases that will be discussed in the course topics will be closest to the culture and experiences of the participants. Resource speakers from diverse background are invited to extend meaningful inputs on the topic, they discuss their experiences and expertise developed in the course of their personal careers. The course is a combination of classroom-like discussions, workshops, extra-murals, field trips, and a practicum where participants could apply what they have learned.

The other course is on leadership-career development. It is also a residential course given for a seven-day period. So far three cours-

es are available:

- a. Electoral campaign management offered for grassroots leaders who are interested in becoming local government officials and contribute to the establishment of a responsive government;
- b. Community health management - offered for those who are interested in learning and practising traditional healing methods like acupuncture, acupressure, herbal medicine preparation, etc. in his or her community; and,
- c. Popular education - offered for those who want to become a popular educator for his or her organization and community.

ELF started operations in 1993- Each year four sessions of the comprehensive leadership course is offered while the leadership career development courses depends on the number of requests from grassroots organizations.

The Global Partnership and ELF uses learner-centered approaches unlike traditional academic programs that are discipline-based. Trainings are described as wholistic because they also include discipline-based knowledge and skills deemed relevant to the participants' reality. Affective competencies (awareness, attitude, etc.) are also included. The courses offer concrete pointers on how leaders could successfully manage multiple relationships. These type of management skills are useful in the creation, nurturing and sustaining of external relationships. According to Darcy Ashman of SIT, short-term and programmatic collaborations are strategic relationships that leaders should develop with both social stakeholders (constituency or client groups, other NGOs and institutions of civil society) as well as resource and legitimation stakeholders (government, donors, corporate/business sector, media, church).

In the Philippines, those who have attended ELF's trainings showed remarkable development as leaders. They also developed great potentials needed for the flourishing of new social movements/civil society in the country. One indicator (which is also now becoming a problem) is that some graduates of the different courses were pulled by the national headquarters of their respective social movements to

national level advocacy and organizing work. Those who took career-development courses are now successful practitioners of the programme they chose. Around 20 of those who took the electoral management course are now holding municipal government posts and leading the advocacy for new politics and responsive governance in the country.

### **PART III**

## **Weaving the empowerment mosaic: towards an empowering communicative culture in Asia and the Pacific Basin**

### *A. Building the rainbow of hope*

Civil society or the renewed interest in civil society is now claiming a space in the unfolding politico-economic mosaic in the region. In the emerging picture, social and internal paradigm shifts are occurring. While the political and economic societies are building competing capitalist regional economic integration projects, civil societies are also undergoing simultaneous processes of political reincarnations.

Actors within it are now recognizing the importance of multiple levels of intervention and engagement in the struggle for defining social development. Finding coherent unity between theories and practices of alternative development must be done fast-track in order to matter in the overall development debate. Many handles are still waiting to be placed. The term civil society itself is still vaguely defined in many regional documents who have spearheaded efforts at gathering Asian social and alternative movement leaders towards the creation of counter-currents to the dominant NIC (newly industrialized country) development model. Although breakthroughs are being made at different levels in sketching a vision of a regional future that will promote economic dynamism and sense of community in the region.

Asian civil societies should further efforts of deconstructing concepts, elaboration

of classical formulations and tools of analysis as well as explore other multidimensional approaches. In the current efforts, the role of intellectuals, and the people's subjective consciousness in the new arena of struggle are being expounded.

The region offers a rich tapestry of culture, spirituality and religion. Combinations of which lends colour and texture to the institutions of civil societies that flourished inspite of colonization and political turmoils brought about by totalitarian regimes, military dictatorships as well as civil wars. There is now a slow movement on the part of voluntary associations, community organizations, social movements and NGOs to build what Waiden Bello calls processes of transnational democratization (1995). It means the accumulation of power from below to represent the diversity of citizens' responses to globalization and attempts toward the formation of a more horizontal processes of decision making. The seed of this initiatives comes from the realization that the NIC model of development may have created the dragons, but the dragons are now facing a great problem considering the harm done to society and environment by its growth ethos (Bello, 1991).

With the advent of a more pervasive info-technology, ideas and goods easily penetrate the everyday lives of different peoples, gradually dissolving cultural and geographical boundaries. Identities have submerged amidst the strong current of homogenization that it is no longer enough to define identities using a unidimensional or single category approach. The preponderant role of the media have aided the trend being pursued by corporations toward globalization (Hamelink 1994, de la Torre, 1994).

The emerging prevalence of indigenous knowledge systems, influence of Western practices and concepts, colonial history and other factors coexist and animate Asian social movements, bringing about the need for new abstractions. For this purpose, new formations like PP21 (Peoples Plan for the 21st Century)-ARENA (Asian Regional Exchange for New Alternatives) and the Focus on the Global South, to mention a few, came into being. The

ceeds of the present emphasizes a more proactive role for intellectuals, and their involvement in the ongoing redefinition of social movements in the light of new socio-cultural arrangements and categories which is being infused in the emerging communitarian voluntary actions (ARENA, 1994).

What remained central and particular to civil society's strength is the agenda of people's participation in development. This strength continue to give it potentials, initiatives, imagination and versatility. People's participation is now meandering at two complementary levels: from above and below, civil society is now taking a strong hand in regional and national policy making. The NGO Lobby too the Asian Development Bank has effected major policy changes in the institution and proved that civil societies in Asia has achieved a high level of maturity and legitimacy.

Democratization from below is taking various forms and scale. It is spearheaded by communities who are asserting their own power and self management, preservation and development of the diversity of culture, life forms and knowledge systems, as well as pursuance of alternative development and human scale economies (or economies of communities). The assertion of identity must be complemented by the familiarity with the whys and hows of disempowerment. It necessitates the linking of the local and global, and the threading of efforts made at both levels.

In the Philippines, the popular education circle is now arguing for the redefinition of "people" towards "actually existing people", not limiting it to NGOs and other terms of objective categories (de la Torte, 1992). Dealing with the local language and the treatment of subjective consciousness like spirituality, identity, etc., is what the new form of struggle is all about: the meshing of the language of reform and everyday policies.

The accumulation of power from below has two key features, voluntary action or civic initiatives, and, community centered development initiatives. Both are aimed towards the establishment of an alternative locus of power. Community Development work involves a plethora of innovations and resourcefulness.

Many initiatives which started as homegrown projects are now being shared and re-implanted from source countries to other countries within the region.

Given the global interconnectedness of contemporary civilizations, the prevailing movement toward poverty, ecological imbalance and exclusion cannot be reversed by actions taken only at the local and national level (de Oliveira and Tandon, 1995). Popular movements have learned in their long struggles to democratize government, the market and society within each country, that, democratization can only be done through concerted global citizen action.

This global citizenship is caking shape enthusiastically at the regional level and Asian initiatives are making the right leaps. The new phenomenon of global/regional civil society, or what others have called people to people solidarity is maybe similar to what Hegel has said in his phenomenology concerning a symptomatic of a paradigm shift. As affinities or possible departure from Hegel's ideas, current discourses on civil society in the region has broadened the praxical horizon of most political activists.

The theoretical matrix provided by de Oliveira and Tandon, and their conscious use of the category civil society have facilitated a lot of regional advocacy efforts in preparation to UN Summits starting from Rio to Istanbul. The recent processes toward the formation of Asia Pacific Civil Society Forum which started in South Korea, have appreciated the nuance of the model where the categories "political society" and "economic society" as mediating spheres were used. The model has provided a categorical refinement which clarified the parameters of civil society with all of social life outside the administrative state.

Recently, debates concerning the role of civil society in politics came to the fore considering the involvement of many national voluntary organizations in elections, specifically in South Korea and the Philippines. In both countries, civil society's mediating role in politics is indispensable. The operating rule of thumb at the moment is the recognition that civic associations should have a state agenda which is with-

the boundaries of influence generation over political-administrative and economic processes and unconstrained discussion in the cultural sphere (Serrano, 1993).

The same rethinking goes for basic assumptions concerning the economic society. Relationships between the non-profit sector and the profit-making corporations need a shift. For all practical purposes, a more pro-active engagement with the market and its institutions is taking shape in Japan, South Korea, Sri Lanka and the Philippines (Asia Pacific Civil Society Forum, 1995). In these countries, social movements are cognizant of the fact that the market cannot be expected to be concerned with equity and fair competition. But, pro-active engagement with the market society may result in mechanisms where civil society could use the capacity of the market mechanisms to inject vitality and dynamism in their society through the market's readiness to take risks and promote innovations.

These shifts is methodology and advocacy strategies do not make civil organizations adopting these innovations less radical, less critical, and less liberative. The traditional idea of revolution which used to inspire many conscious efforts in the past was characterized by rejection of any possible engagement with liberal democracy. Unfortunately, all revolutionary projects failed to deliver their promised utopia. It is now common to hear within alternative movements' discussions, the idea of exploring multiple levels, forms and arena of struggle. It is no longer valid to reject liberal democracy, what is more important is how to radicalize liberal democracy through the use of the institutional and symbolic resources of liberal democracy itself (Cala, 1995).

Policy advocacy and global networking through holding parallel regional conferences to state sponsored conferences and UN Summits became integral part of national level organizations and coalitions. Repeatedly, regional initiatives hammered down the message of genuine development centered on the needs of people and nature as well as the delivery of real social and economic justice as primary concern and basis of state, market and civil society efforts. Economic growth and promo-

tion of trade must serve the people, and should not become ends themselves.

The range of initiatives in the national and regional level in the last three years is broad and comprehensive. It ranges from formations such as People's Alliance for Social Development (PASD) which had been active from the Cairo Summit on population until the summit on women in Beijing; PP21, which is concerned towards the promotion of alternative development strategies; and, Asia Pacific NGO Forum on APEC which seeks to bring into focus the effects of economic and trade liberalization with the complex realities of people's daily lives.

Waiden Bello sees transnational democracy as the wave of the future, where the popular sector will serve as an equal part of the triad together with the state and business, and as a dominant part later on in this triad (1994). Considering this view, Edicio de la Torre challenged Asian civil society leaders who attended a preparatory meeting for the World Summit on Social Development to ponder the following questions: "How do we construct? After criticizing hierarchical, authoritarian, and vertical structures, how do we construct horizontal, participative and democratic structures that are effective?" (1995).

## ***B, Alternative culture and empowering regional communication***

Dramatic changes are happening to the lives of millions of Asian people who joined thousands of collective efforts of weaving alternative futures. The process of weaving empowerment is enriched by a dimension which cannot be explained by purely social, economic, political and cultural perspectives. It also involves the spiritual and the ethical. To preserve its gains and expand the scope of current efforts, popular education and the culture of struggle which it inspired must reach the level being reached by mass communication.

Alternative mass communication is very possible with the use of current popular education approaches combined with new innovative efforts and the use of information technologies

made available by the developments in communications. From the gains achieved by current local and regional projects, the following strategies could contribute towards the above mentioned expansion:

1. Resource and service institutions must allocate more resources and efforts for developing capacities of grassroots leaders in communications. Based from discussions that the writer had with Asia Desk coordinators of major agencies for development cooperation in the Netherlands, a common observation is the limited number of Asian NGOs who are using electronic mail. Big networks could invest and allocate budgets for communication facilities like radio, print and computer mediated communication (see Inoue, 1994), but many important sectoral groups specially those based in rural areas are still to development computer literacy. To link the gap between the big networks and grassroots groups, a consortium of projects among those who have the capacity may be formed to serve the information needs of those who lack access to communication facilities.
2. Improve social marketing and finance generation for alternative communication projects. In countries like the Philippines, India, and South Korea for example, social movements have their own radio and television programs. A collective complaint though is the limited budget to keep the programs going. A more pro-active work with the business sector may solve the problem. Partnerships on issues like the environment, peace, etc., are common grounds where social movements and the business community may build meaningful relationships.
3. Organize national events where popular educators could gather to exchange views, experiences and techniques on improving methodology for educational and campaign work. Cultural festivals where political advocacy and information drive can be launched are also important.

Networks of Philippine popular educators and cultural groups have their "Daupan" (gathering) every two years. The celebration is

held for three days where workshops on popular theatre, ice-breaker songs, tips on popular education and story telling could be learned. Booths where books published by NGOs, products made by indigenous communities, women's groups, etc. are additional attractions that draw crowds and buyers.

4. Make popular education projects and activities like street plays, story telling popular education festivals, leadership formation and community participation courses, etc. visible by linking with the media, encourage participation by progressive personalities from the movie and music industries, and the use of popular events and traditions in conveying ideas that we wanted to communicate.

In the Philippines for example, a coalition of urban poor organizations have started the annual tradition of "Paanunuluyan" to dramatize the plight of squatters or slum dwellers. The biblical Christmas story depicting Mary and Joseph's search for a place to stay was replaced by a cultural presentation type of march where urban poor/squatters "knock" on government offices/agencies that deals with housing and welfare projects. The march uses folk symbols like the "higantes" or giant paper mache made famous by a village festival in Lucban, Quezon (a province in the southern part of Luzon island) and "atiatihan" bands, the folk band features musicians with painted bodies, dressed in colourful grass costumes and masks, they play happy beats with gongs and drums. The march is usually very lively and draw huge crowds and families. Children bang empty pots and pans to show poverty and lack of food security. An award winning composer made a song in honour of the annual march, the song was adopted by urban poor organizations as their rallying song. Since 1957, the march never fails to attract media coverage. 5. Enhance the capacity of social movements to present alternatives that will be viable and acceptable. To do that human resource development activities must be implemented specifically on electronic and alternative mass communication.

The problem with NGO studies and policy advocacies in the limitation of its scope, the

language is not popular and could thus only be understood by those who revolve around the experts' circle. Popular education must be done extensively, using the media and electronic communication to capture the imagination of our targets (communities both in sectoral and ecological sense). In Asia Philippine and Pakistani NGOs and social movements have developed partnerships with leading newspapers, in India and Bangladesh civil society groups have made their own commercials that are being played on television, Japanese and Korean NGOs developed sophisticated communication facilities through advocacy and partnership activities with firms who donate computers, etc.

6. Strengthen linkages between the experts found in regional networks and resource centres like PP21, ARENA, Third World Network, etc. and grassroots organizations through:

a. Civil society audit/mapping - all regional networks have active lists of affiliated national and grassroots organizations, their operations and audience. Sharing of respective lists will give each an idea of the scope of their operations and an idea of the remaining big task of reaching others who must be on the list. National organizations should have a civil society map of their respective countries and assess the scope of their influence.

b. Encourage sharing of resources among the different networks and develop more projects where cooperation could be sustained. Electronic mail conferencing can play an important role for this.

7. To present the real situation in the region, the common notion is that of an Asia where dragon and tiger economies can be found, the other side, that of a region where massive poverty and how people are trying to overcome that poverty is being sidelined. To understand poverty, the factors that perpetuate it must be popularized. It was generally acknowledged that many initiatives had been done by many regional and national networks, scanning the said studies to see what else should be done is therefore crucial.

8. Continue the current initiatives of expos-

ing and making critiques to the existing growth model, come up with a more equitable and sustainable alternative to the becoming dominant order influenced by the powers of WTO, GATT, etc., and have these studies and alternatives written in popular forms like posters, comics, etc.

9- Popularization of success stories and discourses from the subalterns should be enhanced. The problem with NGO and social movement initiatives is that they are seldom published in newspapers and covered by television. By creating news about them and informing people that things could be different and activities could bring about change and could help them find a way out of poverty, NGOs and social movements could then be more credible and their alternatives more acceptable.

10. Legitimize the presence of civil societies nationally, regionally and globally. Perhaps a civil society day could be observed internationally like human rights day, women's day, etc.

11. Consolidation of organization for popular educators like the Asia Pacific Bureau for Adult Education. ASPBAE is now providing a regular opportunity where practitioners of popular, community and adult education could share experiences, skills, methodologies. Each general assembly held yearly is like a big festival where sharjngs are held in different ways. A regular publication also links members with each other through updates and reports concerning activities insights and analysis trends concerning civil society and social movements in different countries. There are also regular tips on education methodology like visual aid preparation for example.

## Conclusion

Efforts toward community management/development and self governance are enabling initiatives geared to arm players to face the challenges of powerful forces which are excluding the majority from the mainstream of

public life. Because of the important function that social movements and civil society play in the establishment and nurturing of democratic participation in governance, they have to be at par with the political and market society in terms of communicating with the people. Through leadership formation processes, local leaders build their capacities for community management, it also prepares them in their encounters with policy-making institutions.

The skills and facilities for mass communication are still concentrated around institu-

tions that civil society wishes to challenge but past experiences have shown their capability to overcome obstacles through creativity and commitment for change. The use of electronic communication by social movements in Asia have increased in the last five years, it may take much more before the capacity will trickle down to those in the grassroots. The importance of networking is now widely recognized, making people to people solidarity possible and margins between organizations slim.

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by Judith Staines\*

This document is the product of networking among non-governmental organisations (NGOs) in the cultural sector in Europe. It was initiated by the European Forum for the Arts and Heritage (EFAH). Financial support was provided by the European Cultural Foundation, EFAH, the City of Torino and the Piemonte Region.

EFAH was established in 1992 as a representative forum for arts and heritage organisations, associations and cultural networks across Europe. It exists to give a voice to the cultural sector, to facilitate the flow of ideas across disciplines and sectors on issues related to European cultural policy and to liaise with the European institutions. EFAH seeks to identify and highlight the needs of the European artistic community to European decision makers, and thereby ensure the sector participates in the decision-making process. Its 54 members represent many thousands of organisations across Europe, often with their own members. Thus EFAH collectively represents a substantial weight of opinion in the sector.

Over eighty NGOs both networks and others in the cultural field, were consulted directly in the research for this document. Criteria for inclusion were to be either a member of EFAH or an active transnational European network in the arts and/or heritage field (many such networks are in fact EFAH members). The Forum of European Cultural Networks provided a means of identifying other networks in the field and EFAH's "Networks" Working Group is grateful for their contribution to the research. Network coordinators enlisted the participation of many more organisations through their membership and boards. The document represents a distillation of the views of networks and organisations active in the field of European cultural cooperation in the arts and heritage.

The document traces threads of common purpose running through the cultural networks sector, while acknowledging a great diversity of membership and working methods. It identifies issues of common concern and presents concrete proposals addressed to institutions, ministries and to networks themselves. It seeks to engage a political consciousness of the need for networks to work with European institutions, foundations, ministries, regional authorities and with each other. It aims to articulate the needs and concerns of those consulted and to present relevant solutions; to outline proposals drawn from the networks' own experience and vision of how things could be better, proposals which may also be pertinent for others in the field.

Above all, its purpose is to increase understanding and support for this dynamic, effective and flexible way of working and thereby secure a more stable foundation for European cultural networks.

## Introduction

We need to bring Europe closer to its citizens. We need to continue fighting for jobs with all the effort and determination we can muster. We must make use of all the resources provided by the single market. It is a great opportunity for Europe and we must seize it. We need to respect the diversity of identities and cultures in Europe. We intend to devote much of our attention to the opportunities for tomorrow's Europe. If we do not seize these opportunities, we could be condemning Europe to decline. Innovation is vital. It allows individual and collective needs to be better satisfied. Tomorrow's society will be a society which invests in knowledge, a society of teaching and learning ... in other words a learning society. We need to work in such a way as to serve the interests and quality of life of the European citizen, (extracts from official documents of the European Commission, 1995-1996)

Transnational cultural networks are where people are putting Europe into practice. They are achieving these goals every day. Net-

works are living proof of the determination to create flexible and dynamic structures that can adapt to the changing environment of Europe as it prepares for the 21st century:

"Nothing would be more dangerous than for Europe to maintain structures and customs which foster resignation, refusal of commitment and passivity". (Commission of the European Communities *White Paper on Growth, Competitiveness and Employment*, 1993).

These networks are making an enormous ongoing commitment to Europe through their work across borders and cultures involving cooperation, communication and collaboration between thousands of member organisations and individuals. And yet the research for this document was provoked by the urgent realisation among cultural networks that their very survival is under threat. The pressures are intensifying. Any organisation needs partnership, solidarity and strategic investment.

The problems currently experienced by transnational cultural networks are both serious and strategic and arise from a combination of factors.

\* Researcher and writer.

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*Transnational Associations*

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Firstly networks find it incredibly difficult to secure structural support and stability, even medium-term, for the tiny network coordination offices which act as pivots for information sharing and the organisation of joint activities. This is because the environment in which networks operate copes more easily with short-term projects that have limited objectives. The result is that, just at the point when cultural networks can be seen to have achieved a level of maturity and professionalism, their ability to deliver a well-documented range of benefits is undermined by an insecure and low base of funding for their extremely modest core costs.

Secondly cultural networks depend on the participation of members who contribute membership fees, participation costs, time and commitment. With declining support for cultural organisations at local, regional, national and European level, networks could become reduced to electronic databases of members who can never afford to meet or elite to clubs.

Thirdly networks suffer from a lack of understanding and acknowledgement of their work. In spite of the fact that, within a comparatively short period of time, networks have come to be accepted as essential consultation partners by European institutions, politicians, national governments, regional authorities and foundations. Indeed networks are valued for their connections with the grass roots, with artists and artistic projects in communities across Europe and for their ability to make connections through transnational cultural cooperation.

Corinna Suteu

Board Member, Forum of European Cultural Networks "One always comes back to the question, «Why do we need networks?» What is the real reason that brings people together in these meeting points? Of course, we need to share, to be informed and to know one another. But I believe that the incredible growth within the networks sector of recent years is, above all, linked to a strong need amongst professionals in the cultural sector to feel «protected» from an environment which seems to them increasingly hostile and inflexible."

Transnational cultural networks are therefore seeking a matching commitment from institutions, governments and other organisations in Europe. Concrete measures of encouragement are required which acknowledge the considerable achievements of networks by investing in the benefits of their work. A number of proposals are put forward in this document which seek to establish a more secure foundation for the networks so that they can realise their full potential.

Cultural networks have reached critical mass and are the motors of cultural work in Europe. It therefore seems extraordinary that they are under threat at a time when Europe most needs to invest in sustainable development which places culture at its heart.

"If we want the participation and the confidence of the citizens, if we want to make Europe the business of every citizen, if we want to construct Europe together with the citizens - then we must, on the one hand, seek their involvement, listen to and welcome new ideas and, on the other hand, make our work and visions understood. (Mr Oreja, Commissioner of Audiovisual Media, Information, Communication and Culture, DG X Seminar on Openness and Transparency, 1995).

## Networks in Europe

Networks are ubiquitous. A phenomenon which is at once ancient and post-modern, networks are widely championed as ideal systems for a variety of complex management, communication and cooperation activities. They provide models of commitment, interdependence and collaboration which are effective in delivering benefits across the field.

"In a global marketplace ... the more sustainable competitive advantages are working in an international context, building flexibility, sharing information and developing collective know-how into a worldwide network. In order to develop these capabilities people from different cultures have to be able to com-

communicate, negotiate, compromise and understand each other's values and world views". (Lisa Hoecklin, management consultant).

Economical, political and social networks are as old as human history and form the basis of all societal structures. Cultural networks are a more visible and more contemporary form of social cohesion. They are an answer to the complex, overwhelming, chaotic, information saturated societies we live and work in. As Europe approaches the dawn of the 21st century, old certainties are undermined by increasing unemployment and social unrest; by an explosion in the field of new technologies and awareness of the shifting priorities of the information society, by human migration and social exclusion. A rapidly changing environment demands supreme adaptability. Networks offer flexible, transversal structures particularly suited to contemporary society and the unpredictable demands it makes.

### *Types of network*

Physical networks of transport, energy and telecommunications provide the infrastructure that underpins contemporary society. The establishment of efficient trans-European networks in these fields is a priority within the European Union.

Networks are the arteries of the single market.. The establishment of networks of the highest quality throughout the whole Community and beyond its frontiers is a priority task (Commission of the European Communities - White Paper on growth, competitiveness and employment, 1993

Networks are also a growing feature of the economy in Europe as major corporations have discovered the benefits of re-organising their structures into network formation. Physical and economic networks are designed to increase efficiency, competitiveness, growth and employment.

On the other hand, human or social networks have developed more organically, out of a need for people to establish links across nation-

al borders, share information and experience, collaborate on joint initiatives and lobby effectively. Human networks are designed to increase communication and the mobility of people, ideas and experience, thereby providing professional development, training and increased employment opportunities; they are also an effective means of representation of a sector at an international level.

### *Human or social networks*

Transnational cultural networks in Europe fall within the sphere of human or social networks. Specialist professional networks of NGOs and individuals have formed in many fields: culture, health, education, environment and the social economy. They are horizontal structures, designed to establish channels of communication and cooperation between professionals who share common concerns. A network, in this sense, is usually defined as: "a dynamic system of communication, cooperation and partnership between individuals or groups" (Michel Bassand, sociologist)

Networks are emergent structures, both in Europe and globally, and are in a process of evolution. Such is their nature. Networks generally emerge as small groupings of like-minded individuals or organisations with a shared sense of mission and evolve into more complex and nature organisations with legal structures, constitutions, executive committees, coordination offices, membership fees and products such as publications, conferences, meetings and collaborative projects. A network can be described as established when it has a clear mission, a legal constitution, a democratic decision-making process with an executive board and an active membership.

Although highly diffuse and decentralised in their way of working, an established network with a legal structure requires a node or pivotal point which is identifiable as its centre. A small office, the network coordination office or secretariat, with a network coordinator or secretary general is essential to undertake the day to day administration, respond to requests

from new and existing members, disseminate information, organise meetings and help facilitate special interest groups within the network.

In practical terms, transnational networks are an efficient way of sharing information and learning from others' experience. They can prevent members from wasting resources by duplicating work or "re-inventing the wheel" through lack of contact with others in their field. Training, employment and professional development are some of the outcomes of international networking in the cultural field.

But human or social networks offer much more than this. In all networks, whether physical, economic, electronic or human, the web structure ensures that the whole is more than the sum of its parts. In a professional network, "the behaviour of every individual becomes a stimulus for others" (J-F Bourquin). For a group, networks generate common interests and ideas for new projects. They offer working partners and access to a capital resource of ideas, contacts, specialised information and pertinent experience.

The European Forum of Worldwide Music Festivals (EFWMF) is the network of 30 members, all worldmusic festivals in Europe. Combined audiences for these festivals total over 1,2 million people. EFWMF organises WOMEX, an annual trade fair/conference/showcase event for music business professionals in the growing area of world music. It unites the commercial concerns of the music industry with the complementary concerns of cultural cooperation. WOMEX 95 welcomed 900 participants from 41 countries, including over 125 journalists.

Transnational networks reach across geographical borders and barriers of language and culture, but always revolve around the central mission of the network. In order to realise their aims within the comparatively small but extremely diverse space of Europe, they confront issues of communication and mobility on a daily basis.

## European cultural networks: a panoramic view

Within the arts and heritage field in Europe, specialised professional networks have multiplied over the past fifteen years, in particular in the 1990s. Networks exist at local, regional, national and transnational levels. Networks are also important in adjacent sectors such as cultural tourism, education, young people, and the audiovisual field. There is a high degree of interdependence and interaction between all these networks.

This document addresses the needs of transnational cultural networks in the arts and heritage fields whose members are drawn from across Europe.

At present, around 40 active transnational European networks operate in the arts and heritage field. The nature of the members (eg. cultural centres, arts projects, festivals, performing arts companies, museums, galleries, historic monuments) means they engage in activities reaching large audiences and numbers of participants, who come from all segments of society in Europe: children, elderly people, unemployed young people, employed women and men of all ages and social classes, people from ethnic minority communities and people with disabilities. Member organisations directly provide employment, purchase goods and services and generate own income. The work of these 40 cultural networks therefore impacts on the lives of millions of people across Europe.

Transnational European cultural networks are specialised and diverse. There are networks of textile artists, of cultural centres in historic monuments, of jazz programmes, of multidisciplinary centres in old industrial sites, of residential centres for artists, of poetry translation centres, of performing arts professionals, of cultural management training centres, of asylum cities which offer refuge to persecuted writers and artists, and many, many more.

### *Adaptable learning organisations*

It is important to recognise the nature of the sector. It is changing fast. At present the

number of transnational cultural networks is comparatively small but it is growing. Existing networks are facing increased demand for membership. New young networks are swiftly clarifying their aims and adopting a professional legal status.

There is no ideologically pure "model" cultural network. All true networks are in a continuous process of change and adaptation. Networks embody that elusive principle which most successful companies and institutions aspire to: that of being a learning organisation. They make constant readjustments to their working methods as the world in which they operate throws up new challenges and conflicts.

Although various typologies of transnational cultural networks have been put forward.

It is most useful in this context to note the shared characteristics and principles and elements of similarity and difference.

### *Characteristics and principles*

Networks share certain general characteristics: openness, flexibility, the heterogeneity of their members and coexistence of messages from different cultures. They are interactive systems whose dynamism depends on a high level of participation and voluntary information sharing.

They are non-bureaucratic organisations, informal in style of management although in general formally and legally constituted. Network coordination is purposely kept to a minimum, either carried out on a voluntary basis or by employed staff. To function optimally, an established network with an active membership and range of activities might need 3-5 staff. As such, they would continue to be non-institutional, open structures.

A fundamental principle of networking is that information and contacts need to be shared. There is a belief that "the exchange of information and ideas is a source of power" (IETM guidelines for membership). These are what Kevin Kelly describes as "web hierarchies" where "information and authority travel from the bottom up and from side to side" in a largely self-determined way.

Since authority and commitment are generated internally, participation in a network requires generosity and work. It demands an investment of time, money and effort. Membership fees, travel to meetings, accommodation expenses and time are all real costs borne by members and their organisations. What is less tangible and cannot be underestimated is the personal mental effort required to engage in a debate in your third language: to try to understand the position of someone from a country which has just emerged after decades of isolation; or to plan an exchange with a colleague whose culture and background share few points of reference with your own. Trust and continuity of participation are essential to benefit fully from network membership - Networks depend on face-to-face human contact. However sophisticated the electronic tools and information dissemination, people must actually meet in order to lay the foundations of trust required to develop collaborative projects.

### *Similarity*

There are more fundamental similarities between these networks than differences. Broadly, the network is identified as a means of bringing people together in order to:

- share information and experiences
- generate ideas and provide partners for collaborative projects
- reflect on the needs of the sector
- engage in professional development

Raymond Weber - Director of Education, Culture & Sport, Council of Europe; President, Pépinières Association. "Pépinières residencies use networking to maximise the multipolarity potential of Europe in cultural cooperation and the horizontalisation of European exchanges. These networks regroup towns, experts, cultural institutions, artists and enable all these groups to exchange information and experiences".

These aims are achieved through activities such as publications, meetings, confer-

needs, seminars, projects, lobbying and advocacy. As well as adhering to common objectives, network members share other attributes:

*Diversity:* network members come from any number of countries and cultures; they bring different working methods, artistic priorities and preconceptions. The network is committed to the positive aspects of diversity, to exploring and valuing diversity as a way of questioning one's own priorities and way of working. As such, cultural networks are truly European.

*Cohesion:* in the midst of this diversity, the network acts as a magnet for people committed to cross-border collaboration. The arts field has long been recognised for its aversion to borders of any kind and the network channels these energies. The shared sense of mission provides cohesion.

*Non-representativeness and representativeness:* network members are self-selecting. Participation is a voluntary activity. However they do represent a significant segment of the field which is committed to ideas of "europeanism" and the identification of shared solutions for cultural development and society.

*Individuality:* network members swim against the tide. Networks frequently bring together people who work in ways that do not fit into existing categories within institutions, ministries and arts councils. Individuals and organisations who find themselves isolated and frustrated by the inevitable time lag between institutional change and the real world can establish transversal links with professionals in other countries through networks, find partners and effective ways to work in ground-breaking projects.

## Difference

The cultural networks sector is evolving and there are considerable variations in scale and status across the field. Each network has different origins and priorities. One can therefore observe distinct differences between network organisations in terms of:

*Maturity and level of organisation:* some younger networks are still at the formative

stage and operate as an unconstituted special interest group; the majority consulted for this research have evolved into established non-profit associations and foundations with a legal status.

*Scale:* influence and effectiveness are not necessarily related to size. Some networks need to be small: they represent a narrow field of vision and have tightly determined objectives. Others choose to be large because they have determined a wider working field. There is no optimum size of network which can guarantee quality of communication and innovation.

*Profile and status:* some networks are able to lever greater resources and influence than others. This relates to the status and connections of its members. Differences in profile and status are not necessarily a cause for disharmony: they are generally a reflection of society at large.

*Intention and priorities:* a network expresses its intention, or aims, through its mission statement, charter or resolution. It is put into practice through activities, which have both tangible and intangible outcomes. Mission statements vary considerably (eg. some focus on research and dissemination of information, others on practical collaborative projects). Other differences emerge at the outcomes stage when subtle shifts in priority are magnified (eg. some networks facilitate meetings where members determine their own level of engagement, others organise conferences and information seminars with a more formal level of presentation). Networks invest in entirely different notions of 'success'.

*Allegiance:* networks which have grown out of a clearly articulated need and evolved into established organisations are able to develop a balanced allegiance, or loyalty. The network's allegiance is broadly to the stated mission, the members and the networking process and takes into account the spirit and influence of the founders of the network.

However, for those networks which have been installed or assisted into being by institutions or ministries, the process of establishing themselves as truly independent organisations often takes longer. Such assistance often has strings attached, the network having been cre-

ted out of institutional priorities and goals. It can be difficult for both network and institution to cut the strings. This situation can create a misplaced, or missing, sense of allegiance which diminishes the network's potential until the situation is resolved.

Key features of transnational cultural networks:  
evolve out of need: horizontal structure, flexibility, openness, value diversity of membership and interests; non-bureaucratic management style; minimal central organisation; often legally constituted; long-term goals; concrete results (publications, meetings, collaborative projects) intangible results (solidarity, active citizenship, professional development): learning environment; innovative; creative problem solving; believe in value of dialogue and face-to-face contact; boundless potential.

## The cultural network "Umbrella"

The wider network umbrella covers many organisations with diverse origins and purposes. Some describe themselves as networks, some are perceived as networks, some really are networks. There is a certain amount of confusion which needs examining.

Firstly, don't assume that a network will call itself a network. You can find network organisations under all the following names, and more: Network - Forum - League - Meeting - Working group - Alliance - Council - Committee - College - Convention - Foundation - Federation - Confederation - Society - Association. A network may be made up of: Members - Associates - Affiliates - Partners - Delegates. Of course, most networked associations and projects use just the same thesaurus.

This document concentrates on the core group of transnational cultural networks whose key features are described above: the European Cultural Network. But there are many other network-type organisations, associations, projects and networked information outposts under the networks umbrella. These organisations often share close working relationships with transnational networks and their mem-

bers. Although they needs fall outside the scope of this document and are not addressed directly by the proposals, it is useful to briefly describe their main characteristics.

Neil Wallace - Former Deputy Director, Glasgow European Culture Capital, 1990. "To be real, networks have to be spontaneous because, of all the things that bring and keep people and organisations together, need is the most potent. Nearly every attempt to invent a network fails, because even well-meaning bureaucracies can't second guess the exciting and volatile chemistry of need".

## *Transnational professional associations*

These are sectoral associations which primarily focus on making representation on behalf of a field to the European Commission, other European institutions, key governmental and non-governmental agencies. Membership may be limited to one or two delegates per country in order to present a representative front at the supranational level. Information and authority flows from local and regional organisations and members up through national delegates to the supranational association and back down again. It does not flow from side to side.

Key features of professional associations: aim to represent sector, restricted membership (national/regional delegates only): seek consensus; legally constituted organisations; structure may mirror institutions they target, limited interest in transnational collaboration through projects.

## *Networked information outposts and institutions*

These are organisations set up by a central institution or other higher authority to represent their interests and deliver specific services. They are found in network-like formations across Europe.

Within the European Union there are many such organisations, charged with infor-

ation dissemination or semi-formalised cooperation. An example would be the 23 MEDIA Desks and Antennae set up by the European Commission as regional information posts for DG X's MEDIA programme. Another would be national cultural institutions (eg. Institut Français, British Council, Goethe Institut) which have offices across the world linked through regional or continental networks.

Both examples present strong transversal links but when a network has been installed by the parent organisation to undertake well-defined tasks, its members are ultimately responsible to head office. This creates a different pattern of communication and action from a transnational cultural network with authority tending to travel from the top down, while information travels top down, bottom up and, in a limited way, from side to side.

Key features of institutional networks: institutional structures designed by parent organisation; authority travels from top down; information travels top down, bottom up and, in a limited way, from side to side; service delivery oriented; limited autonomy, partners predetermined; evolve from highly centralised institutions.

### *Transnational cultural projects*

A network is the environment in which projects are identified, created and copied. Transnational cultural networks and other organisations have generated a multitude of cross-border cultural projects. These are commonly described as networks although the term is misleading since projects have entirely different origins and purposes from network organisations. Transnational cultural projects are practical outcomes of some of the organisations under the cultural network umbrella, rather than being network organisations in their own right.

The European Commission's Kaleidoscope programme which ran from 1992-1995 provided support for transnational cultural projects and networks under Action 3 (cultural cooperation in the form of networks). Such projects have frequently been described as net-

works. A characteristic of projects is that they often focus on short-term goals and visible results. Kaleidoscope required a minimum of three partners from different countries. Compared to the broader membership of a network organisation, the number of partners in a transnational cultural project may appear limited.

Network projects sometimes begin as a call for projects partners (by post, fax or electronic bulletin board) in order to secure the required number of partners to satisfy funding criteria laid down by the European Commission, or other funding body. This approach does not guarantee that they assemble the right partners with a shared sense of mission and a need to collaborate. If the original idea has emanated from one individual or organisation, it may translate with difficulty into other languages, cultures and working practices.

Many network projects, however evolve from meetings between like-minded people through cultural networks. These have a better survival rate and increased long-term potential. They are more likely to group partners with shared goals. Partners meet at an early stage, or may already know each other so the project builds on a foundation of trust. The idea can evolve interactively which ensures a broad base of ownership. Real creative partnerships and synergy can develop between such project participants.

Some network projects have the potential to become true transnational networks. Several have, although more identify it as a goal than really achieve it. A more sustainable aim is to develop a transferable model with a combination of fixed and flexible elements.

Network projects offer valuable, vital spaces for experimentation in crossborder collaboration. But under this heading one finds intelligent pilot projects with committed partners alongside unguided missiles fuelled by misplaced ambition. Key features are therefore somewhat contradictory.

Key features of network projects: short-term goals; concrete, fast results; limited number of partners; often tailored to funding criteria; legal constitution of a project is rare; partners have other priorities and responsibili-

flexible structure; idea evolves from grass roots need; experimental and innovative; may have long-term potential or transferability.

## Real benefits and concrete achievements

Transnational networks deliver real benefits and well-documented achievements. In the language of contemporary economic management, they offer substantial returns for stakeholders. The stakeholders here are the network members, arts organisations, artists and individuals in the sector, project participants, audiences and individual citizens in Europe as well as the institutions, foundations and sponsors which support networks and their activities.

### *Evaluation criteria*

It is impossible to quantify the huge numbers of outcomes of networking since most remain undocumented - dispersed throughout the membership. Some networks are active devisers and managers of projects. But a network does not "own" or control the projects it incubates. A project often develops without any need to refer to the network coordination.

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The European League of Institutes of the Arts (ELIA) represents 280 universities and colleges involved in teaching the creative arts. Its annual conference attracts 500-600 participants from 36 countries. It publishes a newsletter and magazine, organises symposia, seminars and masterclasses, provides an on-line access database and supports collaborative projects under its auspices.

Appropriate and flexible evaluation criteria are urgently needed to assess the work of cultural networks. Some networks are in the process of developing such systems. What is required is an appreciation of the area that lies between total control and no control. Normal quantitative methods are not sufficient for evaluation purposes.

The criteria need to acknowledge that the main work of a network can be to create an open and communicative framework in which innovative, trans-European collaborations are likely to develop. The results can only be assessed with hindsight.

Achievements cannot be tied down to predictable outcomes. This would instantly limit a network's inbuilt capacity for potential and growth. But it's no wonder institutions and funding agencies find it difficult to appreciate what networks really do. It is as if you planted a tulip bulb and an orchid flower popped up, the next year you get some grass and then ... a pineapple! Networks have a capacity for joyous and disobedient unpredictability. The important thing is that they go on being productive and that this production is relevant to current needs and practices - even forward thinking or ahead of its time.

### *Benefits and achievements*

The benefits of networks and networking are described and perceived differently by different stakeholders. Like the gaining of wisdom and expertise through age, networking benefits develop slowly. Experience and practice build results since networking is a form of training or professional development. Benefits fall into the following areas:

*Intercultural cooperation:* participation in a network is an ongoing, active workshop in intercultural communication. Through meetings, information dissemination and projects, network members confront issues of communication and cultural diversity. Networks are about learning how to work together and acknowledge cultural differences. Example: in 1994, five theatre companies working for children and young people (members of EU NET ART) from Italy, Portugal, Germany, Belgium and the Netherlands co-produced a theatre performance "The Right Shoes". This special production was performed for thousands of children in refugee camps in Croatia to take them away from the day to day reality of the war situation and to demonstrate cooperation between different countries on stage.

**Efficiency and effectiveness:** networks are lean, well-managed organisations which maximise resources. They have efficient metabolisms which extract relevant information and disseminate it widely because members do the necessary work. Networks were created in order to save costs - members can meet a great many partners or potential partners in one place at the same time, thus saving the costs of travelling to several cities to meet the same people. Example: Culturelink is a global network of more than 1000 networks, institutions and individuals from over 90 countries. Information mediated through the network reaches at least five people in every organisation and network usually have more than ten member organisations. It can therefore be estimated that at least 5000 and as many as 50000 people have access to the information circulated. Culturelink publishes a quarterly Bulletin, has developed a Cultural Policy database accessible by Internet and manages a cultural development information database on 1.000 institutions and networks worldwide. Several different people work on Culturelink as part of their broader research workload. Their work is equivalent to 3-4 full time posts.

**Professional Development:** active participation in a network provides on-the-job training in communication, collaboration, and project management. Members learn about cultural history, structures, laws, working practice and key concepts of different countries. Networks are an emancipatory tool which enable members to do their jobs better. They create employment through the projects, exchanges, co-productions, publications and meetings they generate.

Example: IETM was the organism which fostered the birth of the Gulliver Clearing House and Practical Training Programme. IETM's members form an immediate source of placements for students and stagiaires, for exchange and employment of artists and administrators. At each IETM Meeting there are always a number of working groups based around practical issues, such as sharing information on co-productions. In this way, good practice is shared, differences between countries are examined and new working solutions are explored.

**Productivity:** networks are productive hives of activity. They incubate projects, spawn micro- networks and generate transferable models of cultural cooperation. They activate a multiplier effect in the financing of projects. Members offer tremendous potential for a multiplication of collaborative projects across Europe.

Example: in 1995/96, ELIA's programme includes masterclasses in theatre, dance, opera and music, developed in collaboration with art education institutions across Europe and open to students and teachers; a seminar on the management of international projects in art education; a symposium on "Confrontation and Conflict: the challenge to the arts in times of human turmoil"; and an annual conference for 500-600 participants which includes the participation of 75 colleagues from the USA through the International Council of Fine Art Deals.

**Innovation:** any major corporation prides itself on the investment it makes in research and development, in seeking viable solutions for future challenges, in trying to identify new questions long before anyone asks them. There will always be new questions. Research and development, creative problem solving, experimenting with new ways of doing things, lateral thinking - all lie at the heart of networking in the cultural sector in Europe.

Example: Trans Europe Halles (TEH) is a network of 26 independent cultural centres, all multidisciplinary centres based in former industrial buildings, in 16 European countries. In 1996, TEH launches the Phoenix Project when 250 young people from all over Europe meet in Copenhagen to develop ideas on the future of work, employment and using time, through workshops linking artists, philosophers and researchers. At the centre of the Phoenix Project are, on the one hand, the young people as the most desperate, energetic and future-minded group in our societies and, on the other hand, the artists and their visionary creative activities. TEH believes in the creative power of the individual and the community and is seeking to broker new dialogues and new perspectives for change through artistic work.

Perhaps the most intangible benefit

comes from a belief in the value of dialogue as a tool for learning which guides professional, political and personal development.

"One position, one voice, lacks dialectical resonance ... (dialogue offers) a latticework of thoughts and points of view that interweave and complement each other." (Suzi Gablik, art critic and artist)

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Dragan Klaić - Director: Theatre Instituut Nederland & President: European Network of Performing Arts Information Centres  
"There should be a small fund in the EC that will be available for the networks: to oil the machine, to equalise the inevitable inequalities among the members that now forces networks to function below the optimum, to ensure the participation of members from territories where local money can (still) not be found to give international work a continuity."

## Modus operandi: a brief guide

*How do networks function on a day to day basis ?*

Network organisations have simple management operations. Most have formalised, legal structures with a constitution and articles of membership. They adopt a legal entity (association, foundation or non profit-making status) appropriate to the country where the network coordination office is located. Responsibility for the network's work and development lies in three areas:

*Members:* for participation, information, ideas, time, energy and project management skills.

*Executive committee* (management board, steering group, advisory council, with President, Secretary, Treasurer): drawn from the membership and often including external advisors in the field. Sometimes the management and advisory functions are split into two committees - for direction, support, advice, information, ideas, management skills and yet more time.

*Network staff* (Coordinator, Secretary General, maybe others) - for day to day admin-

istration, liaison with members and executive Committee: gathering sifting and disseminating information, organising meetings, negotiating partnerships, fund-raising, lobbying, representing the network, identifying trends and future directions, providing project support and collecting membership fees.

There is a marked divergence between networks which have established an independent coordination office or secretariat and those where the considerable duties of Network Coordinator are subsumed into the daily workload of one network member (usually the President or Secretary), who already has a full-time job. Here there are immediate problems of availability and ability to deliver and impossible conflicts of priority. These are particularly acute for a network which has evolved in size, profile and maturity to a point where the need for its existence has become exposed and demand from current and potential members is growing. This situation is never a matter of choice but is determined by the extremely limited resources a network organisation can draw on at present.

It would be wrong, however, to imagine that life is rosy for networks with an independent coordination office. Firstly they are few in number (less than a third of those consulted have a network coordination office with paid staff) and these are tiny organisations with 1-3 employees. The workload is tremendous and coordinators often work in precarious, isolated conditions with little security of employment. The nature of the work demands extreme mobility and advanced communication skills.

Network coordinators are tough, motivated individuals with an inbuilt ability to juggle multiple priorities. They are constantly overwhelmed by the demand for their services and presence. They are eloquent spokespersons on behalf of the network and the networking approach. They have to embody the network's characteristics and be adaptable, dynamic, open, communicative and innovative as well as being efficient managers of limited time and resources.

Network offices are on the frontline of the current information explosion. The sheer quantity and multiple sources of relevant infor-

nation have created an urgent need to find new solutions to the metabolising of data.

Some networks are developing electronic tools such as bulletin boards, e-mailed newsletters and Internet-accessed databases to provide rapid information dissemination. However, they are held back by a lack of specialist staff and no time to learn new skills as inequalities of participation by members who do not yet have the funds or communications infrastructure to access these technologies.

### *Core costs and members' contributions*

Networks and their members do remarkably well in covering nearly all the costs connected to networking. Core costs are only a small part of the total turnover of a network's yearly activities. However, that is where the problems lie. The costs of the core activity of a network coordination office include:

- office expenses (rent, services, telephone, fax, post)
- network staff salaries
- communication (newsletters, translation, interpreting for meetings)
- travel expenses (for staff attending board and network meetings)
- equipment and technology for efficient information dissemination
- research (subscriptions, publications)
- staff training (eg. in use of new technologies)

Project activities are over and above these basic costs and include for example, publications, meetings, collaborative projects and exchanges.

Membership fees and members' contributions for travel and meetings expenses make up a significant part of a network organisation's total budget (in some cases as much as 75% of the general turnover of all the activity related to networking). Cultural networks depend on the participation of members who contribute membership fees, time and commitment and pay their own costs to attend meetings and participate in joint projects.

However, none of the networks are able to cover all their core costs through members' contributions, alone.

Members are coming under increasing pressure in their own countries to reduce expenditure and there is a danger that international collaboration can be viewed as a luxury. This affects both members from European Union countries and those in Central and Eastern Europe. Networks are acutely aware of inequalities of ability to participate among their members. The costs for members in peripheral countries, those with weaker economies and smaller, younger cultural organisations without funds are becoming prohibitive. Networks are making serious efforts to introduce differentiated membership fees where appropriate. Without support for members at local, regional, national and European level, networks could become reduced to electronic databases of members who can never afford to meet and develop real partnerships or elite clubs of rich, well-connected cultural moguls.

### *What about the budget shortfall ?*

Meeting the budget shortfall is the permanent challenge for a network organisation. It is the core costs which remain the most difficult to fund.

A few national ministries recognise the value of hosting a transnational network office in their country and in some cases have allocated as much as 50% of core costs. This does offer the network coordination a more secure foundation although funding is usually on an annual basis only.

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Mary Ann De Vlieg - IETM  
"Networking is by definition a loose, vague, disobedient concept. The anarchic duplication of the component parts of a thing in various places and the freedom of those parts to collaborate and be productive amongst themselves without a central direction - this does not lend itself to the requirement's of today's quantifiable culture, led by long-term inflexible plans with previewed results".

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But this is not an option available to all network offices whose location is often a combi-

of chance and history. It is not viable, nor can it be considered desirable, to imagine that the majority of transnational cultural network offices could be located in a handful of richer European countries whose national governments would pick up the bills.

The costs of projects generated through the network are quite different since these are occasional activities which can be developed as 'add-ons', only happening when the finances are in place. Members expect to contribute financially to projects and are better placed than a network organisation to secure project funding from European institutions, national ministries, national cultural institutions, regional authorities, sponsors and foundations. This is the multiplier effect in action. But without the network organisation - no network projects. "It is felt that priority should be given to the developmental aspect of networks rather than to the projects which are their end result and which themselves could have easier access to other sources of funding. Emphasis should therefore be placed on support for the structural aspects of networks and, in recognition that time is a crucial resource, for their continuity." (*Kaleidoscope 2000: a common position* by EFAH, 1995).

As far as other solutions to the budget shortfall are concerned, networks find that they are rarely of interest to the private sector who seek out more visible, media-worthy events to sponsor. Foundations have recognised the value of networks and support their work through project grants, research and travel bursaries. However, foundations cannot provide a source of permanent revenue funding.

Networks do generate some earned income but their scope for developing this is low while they have no reserves to draw on. Publications, for instance, are costly to produce, market and distribute. They demand advance investment for returns which cannot be guaranteed.

The level of activity of transnational cultural networks is European. It therefore follows that measures of support are required in the form of regular revenue or structural funding at European level to give these organisations a more secure foundation.

## *Political and environmental factors*

As outlined in the Introduction, the three main problems currently experienced by networks are the lack of funding for core costs, the pressure on Rindling for members' contributions and the lack of recognition for the area of work. These problems are compounded by a number of other factors - political, bureaucratic and environmental:

*Short-termism*; networks have been forced to package their activities in project form with short-term objectives and short-term gains. Networking is a long-term process which yields increasing returns with time and close attention.

Networks are operating in a political climate that invests value in short-term enterprises with predictable, visible outcomes. At all levels - institutional, governmental, municipal and corporate - one finds an anxious concern to control, monitor and limit. Perhaps this is a reaction to living and working in a complex world where global forces are out of politicians' control, but networks are the best type of structure to process uncertainly and absorb change. For these qualities alone they merit greater support and, as has been demonstrated, their benefits can be monitored.

*Delays and cashflow problems*: the grant-making process at European level is plagued with delayed announcements, impossibly short deadlines, more delays in decision-making, and yet more delays in processing grants. Networks, which have no financial reserves to fall back on, are forced to manage their affairs in an appalling manner: they have to take out expensive loans to cover monies owing (although some banks refuse to lend money without collateral) and are obliged to spend money up to nine months before it arrives. This habit of devolving the cashflow problems of a supranational institution to tiny organisations with one or two staff is intolerable and creates a huge burden of administration, bank charges and worry.

*Inadequate or inappropriate criteria*: funding applications are judged by inappropriate criteria, such as treating the location of a transnational network office as a projects

nationality, rather than looking at the balance of membership which may come from 40 different countries.

*Information overload:* the environment in which networks operate is changing and one of the most pressing areas is information. An urgent assessment of ways in which new technologies can process and streamline information handling and dissemination is required. Networks, as they are resourced at present, are unable to take this on although all recognise it as a priority. This is one area where adequate resourcing could place transnational cultural networks at the cutting edge of an intelligent and democratic use of new technologies. The networks could be a good trial ground for pioneering a wider use of these techniques in Europe.

"A rapid and successful transition to a society where information is available to everyone will bring with it a new dynamism, creativity and economic growth for Europe". The Commission's work Programme for 1996.

These problems and pressures lock networks into a series of vicious circles. The challenge is to transform them into productive cycles. Only long-term structural support at a European level can achieve this.

## Proposals for cultural cooperation in Europe

These proposals are concrete. They build on the existing assets and future potentials of cultural networks. They are modest, realistic and achievable. Proposals are addressed to the institutions of the European Union (European Commission, European Parliament, Council of Ministers, Economic and Social Committee, Committee of the Regions); the Council of Europe and its Member States, the European Cultural Foundation, national ministries and arts councils; regional and municipal authorities; foundations; sponsors; and networks themselves.

They are proposals for improved structural support and recognition. They respect the principle of subsidiarity, whereby one seeks to determine which is the most effective level to

tackle each issue; local, regional, national or European. Proposals addressed to the Commission also respect the Commission's right of initiative in making proposals for all new legislation. The level of activity of the transnational cultural networks is European and the benefits are experienced at a European level; it follows that measures of encouragement must be at a European level.

Proposals are aimed at the following three levels:

- a) European institutions and partnerships at a European level
- b) National, regional and local ministries, councils and authorities
- c) Private sector and are dependent on:
- d) Conditions

### *Proposals to European institutions and partnerships*

#### *Proposal n° 1*

That the European Community set up a Community Network Development Fund to support the essential revenue costs of cultural networking.

Scope: core activities of transnational cultural networks;

Open to: applications from transnational cultural networks which meet an agreed set of criteria (see Condition n°1).

Operational basis: multi-annual renewable funding (ideally 3 year grants) to enable networks TO plan strategically.

Applications procedure: annual grants round with adequate notice of deadlines; clear application forms; published guidelines; grants to be paid at the start of the year to enable networks to fulfil proposed work programmes.

Selection procedure: against agreed criteria, financial need and any existing sources of funding secured by the network organisation; it nationality is a necessary factor in selection, it should be based on the locations of network members rather than the location of the network coordination office; transparent selection process involving people from the field and experts who understand the networks sector.

Evaluation: periodic valuation of the network's continuing relevance; evaluation criteria to reflect the specificities of networking.

Fund: to cover a proportion of core costs as described for a modest network coordination office (3-5 staff ideally).

Source: since the work of transnational cultural networks has a horizontal impact, it is recommended that the source of the fund reflects cross-sector involvement of external relations, employment, development, regional policy, telecommunications, education, youth, cultural tourism and the social economy. The fund would be managed by DG X of the European Commission.

Note: this fund would be complementary to a Creative Partnership Fund (providing support for transnational cultural projects). The two funds - Network Development and Creative Partnership - would operate separately and cover some of the area described under Action 1 and 3 of the former Kaleidoscope Programme. Through its effective use of resources, the proposed Network Development Fund would provide strategic support for the work of transnational cultural networks in a way which is not available under existing Community programmes. There would continue to be a need for project funding but it is beyond the scope of this document to outline how a Creative Partnership Fund might operate.

### *Proposal n° 2*

That a European Guarantee Fund for Cultural Networks be established, as in the audiovisual field.

Scope: the Guarantee Fund does not allocate funds or loans directly. It acts as an interface and incentive for financial establishments to support networks and cultural or artistic projects which involve European cooperation. It offers the possibility of obtaining an advance against a signed contract for Community funding. It acts as a guarantor in obtaining bank loans.

Open: to networks which meet an agreed set of criteria (see Condition n°1). To managers of cultural or artistic projects which set up European partnerships, excluding the cultural industries (film, publishing, record).

Purpose: where Community funds are allocated, an advance can be made providing there is proof of contract. Moreover, a total or partial advance can be made against the outstanding balance of a grant. With the funding of projects, it acts as an additional guarantee depending on the nature and approach of the project, particularly where there is co-funding from public/private and/or national/Community sources. For all networks and project managers, it guarantees expertise, advice and support for the financial setting up of projects and the management of bank negotiations. It will help find partners (banks, financial establishments) which could provide bridging loans or directly support financial operations.

Administration: the Fund could be managed by a European Economic Interest Grouping, a legal entity which could group all the networks and organisations which wish to benefit from the Guarantee Fund.

Selection: on the basis of eligibility criteria and on the presentation of documents illustrating the cultural and economic components of the project and how it will be managed. Selection to be made by a Clearing Committee, made up of professionals from the sectors participating in the Fund and representatives of the bankers' pool. The Clearing Committee can also provide advice and expertise and, in the long term, define guarantee criteria applicable to other partners.

Source: the Fund is made up of two parts: one for the operational costs, the other for funding purposes. Its resources are provided by a European bankers' pool, in partnership with funds from foundations, contributions from Member States and Community funds. The total amount to be determined following a study of the needs of networks and a medium-term evaluation of the needs of European arts and cultural projects.

### *Proposal n° 3*

That the Council of Europe, European cultural Foundation and others collaborate to provide an Integrated Travel Bursary System offering travel expenses to enable full network participation.

Scope: a quota of travel bursaries to be allocated to transnational cultural networks (accepted onto the scheme on the basis of agreed criteria) at the beginning of each year. Networks can plan their use strategically and distribute according to need and priority.

Purpose: to enable full participation in network activities by members. Selection to be based on greatest need. This new fund would operate more effectively than present measures by lifting restrictions (eg. a person may not receive support to attend a network meeting more than once).

Administration: the network takes care of the on-the-ground responsibility for selection, which is devolved to them under a contract with the funders. All recommendations to be ratified by the network's executive board. Grant management to be a direct transaction between the selected network member and the funders.

Fund: needs to be more substantial than is currently available through the European Cultural Foundation Apex Fund and Council of Europe "support to networks". Fund total to be established against a realistic establishment of actual need (through a survey of the networks).

Note: this fund would complement a parallel fund available for artists and arts managers in areas of need and priority to support their travel costs to meet partners and develop collaborative projects.

#### *Proposal n° 4*

That the Council of Europe support multilingual dissemination of network information where appropriate through the provision of an annual bank of translation and interpretation hours, if possible in partnership with other European/international institutions.

Scope: as with the previous proposal, a survey of the networks sector will establish the level of need. The Council's translators and interpreters, who are known to be among the best, would be made available to transnational cultural networks on the basis of an annual quota of hours. Networks would allocate the

time themselves and work directly with the translators and interpreters.

Purpose: to ensure better communication by making sure information, whether written (via newsletter) or spoken (at a meeting/conference), is well translated and clearly understandable. This is a fundamental necessity of good networking. At present, those networks which operate in more than one language as a matter of principle are financially penalised in comparison to those which use one language only (usually English).

#### *Proposals to national, regional & local institutions*

##### *Proposals n° 5*

That national governments and territorial institutions openly acknowledge their support for European cultural networking through their ministries and arts councils. That they seek to increase both direct and indirect support in recognition of the benefits at national, regional and local level.

There are two ways in which national governments and territorial institutions can support the work of European cultural networks. Firstly (Scope I) through indirect support to member organisations in their country, region or locality for network membership fees and participation costs; secondly (Scope II), there are a range of ways in which they can offer direct support to the network coordination centre and its activities.

Scope I: contributions from national, regional and local level authorities to cultural organisations within their remit to enable them to participate fully in European networks. The support takes the form of grants for membership fees, travel, communication and other participation expenses. Grants to be provided in addition to existing funding of the organisations and clearly acknowledged as international networking costs. These grants assist the professional development of an organisation and its staff by enabling them to keep up with European developments, develop specialist contacts

Evaluation: the benefits to national and regional authorities of this support are valued in terms of enhanced international profile, prestige and access to international contacts and cultural circuits. These benefits accrue to the participating organisations and individuals and, by extension, to the country, region or locality where they are based.

Scope II: direct support to the network coordination can take three forms:

- a) small, direct grants to the network coordination office or secretariat, wherever it is located, as an ongoing contribution towards basic revenue costs.
- b) a more substantial commitment by hosting the network office and providing a percentage of the core revenue costs. In kind support may also be provided, such as office premises, equipment and services. National governments which have made this commitment recognise the value of hosting a European network office in terms of the enhanced profile and prestige they gain by having an international organisation within their territory. There are added benefits in terms of access for members and officials in that country.
- c) Support for network meetings through provision of facilities and hospitality (eg. meetings rooms, interpretation, conference services, accommodation and food to host general assemblies, specialist seminars and board meetings). The support may be one-off or on a regular basis. Network meetings offer the host country or organisation an opportunity to profile their artists' work to an international audience of professionals. Network members in the host country can participate fully in the meeting since travel costs are low.

Evaluation: in valuing the benefits, it must be accepted that European transnational networks do not have a nationality. Special evaluation criteria therefore apply which acknowledge the value of international work and the benefits which accrue at a regional, national and European level for the host country or region.

### *Proposal n° 6*

That imaginative corporate sponsors committed to research and development, innovation, intercultural communication, networking and finding international solutions for international problems jointly create a bank of symbolic capital and spare capacity.

Scope: there would be no money in this bank. Corporate sponsors would credit the bank with appropriate donations of resources in the form of airmails (airline companies): hotel nights (international hotel chains); telephone/fax units (telecommunications companies); translation & interpretation hours (international corporations); language tuition (international corporations); training and technical support hours (computer companies, Internet service providers); printing units (international corporations). All resources to be dedicated to communication and mobility for cultural cooperation in Europe.

Access: transnational cultural networks which meet a set of agreed criteria could join the bank. Other areas of priority to be agreed. Existing technology would be used to provide access to the bank's resources via a "smart card" with pin number assigned to each network. Core resources might be divided up between networks against an assessment of need, others might form a resource pool available to all.

Management: a "gatekeeper" would be required to deal with administration. Costs to be met by joint subscription of corporate partners. Fast, direct access to the bank's capital resources essential to support flexible working practices.

Promotion: the launch of the bank would be a media-worthy event and focus sponsors and media attention on the value of cultural networks and their achievements. Sponsors to be acknowledged as appropriate.

Evaluation: the value of the bank would be assessed by all parties through its use. Corporate sponsors and users can access bank records at any time through the Internet and monitor patterns of use. Users can post messages of thanks, support and assessments of

value of the donación on public, accessible bulletin boards. This would provide visible proof of networking in action.

### Conditions

There are a number of conditions which are essential to the efficiency, effectiveness and credibility of the new proposals. Networks have long been concerned about the lack of transparency in decision-making procedures and have questioned the ability of experts to reach decisions without a valid set of criteria. Networks need proper evaluation and criteria. They are keen to contribute to the process of determining such measures and would welcome the opportunity to participate in inter-institutional dialogue with a view to the wider application of agreed criteria.

#### Condition n° 1

That a valid set of Criteria Networks and their activities be devised with the input and subsequent ratification of all concerned parties. This is required to achieve the proposals in an effective and democratic manner.

The initiative for this could be taken by the Council of Europe as part of its ongoing commitment to inter-institutional dialogue. The criteria commission would include the Council of Europe, the European Commission, the European Cultural Foundation, UNESCO, national cultural ministries and regional authorities. Networks in general would provide consultative expertise and feedback.

The primary focus would be the establishment of viable and accepted criteria for transnational European cultural networks. Criteria might include, for example, legal status, open structure, active membership and a track record of benefit and achievement. This would also be a useful first stage to establishing valid criteria for cultural networks which operate at the national or regional level and may have application in other sectors of activity.

Once devised, the criteria must not be set in stone. In order to remain responsive to the liveliness of the arts and heritage scene and the

constantly changing environment in which transnational networks operate a framework for the ongoing review of the criteria should be a condition of their ratification.

#### Condition n° 2

That a well informed Network Dialogue-Structure be created within the European Commission to deal with cultural network applications against the newly established criteria.

Within DG X staff there should be a specialist in cultural networks as an official who understands this way of working and supports the different evaluation criteria which are applied. Selection panels for cultural networks revenue grants and networking projects should also contain experts in the field. In order to deal strategically with the horizontal impact of transnational cultural networks, DG X should provide a proper information structure which meets the demonstrated need from the sector. This would enable transnational cultural projects which work across two or more sectors to first address DG X who would be equipped to pass on information on programmes in other DGs which may be more appropriate to their need.

#### Condition n° 3

That the Council of Europe facilitate opportunities for strategic dialogue and exchange across the cultural networks sector.

Transnational cultural networks acknowledge the value of the contribution the Council of Europe has made to developing dialogue across the wider Europe. They welcome the scope for disseminating expertise developed through the experience of European cultural networking via technical support missions and other actions undertaken by the Council of Europe. They support the action of the Council to bring different partners together in strategic alliances to unlock new potential.

Conditional to the outlined proposals is that the Council of Europe continue to develop this dialogue with the cultural networks through concrete actions, eg. by seeking their opinion on proposed new programmes and

## Conclusion

Transnational cultural networks in Europe are working groups that really do work. Networks are often perceived as ends rather than means, but they are not finished products or shore-term projects. Rather they are the beginning of a process of transnational collaboration and communication which unlocks tremendous potential in terms of shared benefits and achievements.

If the activities and effectiveness of the networks were reduced yet further because of a lack of structural support, one major loss would be the accumulation of collective intelligence. Over the years, networks have constructed an effective approach to the complexities of transnational cultural cooperation. Layer by layer from the bottom up, they have developed a cumulative experience which network members carry and disseminate through their professional practice.

Networks exist in order to share transferable models of good practice. This capacity to enable people in distant corners of Europe to communicate their experiences and to learn from others would be lost.

Networks are looking for sustainable, cooperative solutions to Europe's deep problems. They are committed to innovation: "Innovation is vital. - Europe has to rely on intelligence and invest in the intangible. Education and lifelong training, creativity, the exploitation of research results and the anticipation of technical and commercial trends need to be developed." European Commission. Green Paper on Innovation, 1995.

Yet cultural networks, which thrive on innovation and for years have valued intelligence, creativity and intangible returns, lead a precarious, barely acknowledge existence. A fraction of the research and development budget of a multinational corporation would provide the security they require.

Networks are committed to constructive

participation in the decision-making process. As grass roots organizations connected to the real world, networks value the views of broad-based independent think tanks who stress the need for cooperation and change.

"Europe 99" is at the interface between three groups: thinkers, researchers and intellectuals; citizens active on the grass roots level; and institutions and political decision-makers.

It published a report, intended as a counterpoint to the European Commission's 1993 White Paper on Growth, Competitiveness and Employment, which presents proposals that further the debate on Europe and offer decision makers alternatives to institutional approaches.

"Confronted with the depth of the mutation our societies are going through, and the risks there from, it is imperative they • [Europe's leaders] be creative and imaginative." Europe 99, 'Development, Cooperation, Activity', 1993.

In the UK, an independent commission under the chairmanship of leading economist and politician, Lord Dahrendorf concluded: "A cohesive, prosperous society requires another level of interaction beyond market transactions and the bonds of individuals and their families. Networks of cooperation and reciprocity should cut across society, building trust and mutual obligation." 'Report on Wealth Creation and Social Cohesion in a free society', 1995.

European cultural networks act as a magnet for people whose notions of cultural cooperation run ahead of those in most institutions. Networks generate a constantly refreshed reservoir of ideas and energy, which inspires people to work together and find new ways of communicating across language, culture and geographical borders.

Networks are not perfect organizations. They are fallible and fragile. But they are tenacious. They persist in seeking better solutions to the thorny problems of international cross-cultural collaboration in Europe. They persist in asking difficult questions. They produce results.

Above all, networks represent boundless potential. As Kevin Kelly writes:

"networks hide countless novel possibilities in the exponential combinations of many interlinked individuals"

If they were to cease to function, one cannot really predict what might be lost since they embody.

"a treasure of future metaphors, insights and models".

Networks cannot work alone and are seeking appropriate, well-targeted support

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# Tax treatment of NGOs

A Round Table organised in Bratislava, Slovak Republic from  
15 to 17 December 1996 \*

Committee of Patronage: Katarina Tothova, Vice Prime Minister of the Slovak Republic, Ambassador Arlette Conzemius-Paccoud Permanent Representative of Luxembourg to the Council of Europe, Lord Nathan former President of Interphil, Professor Hubert Hamaekers, Director of the Internacional Bureau of Fiscal Documentation, Professor Marcel Merle, President of the Union of International Associations, Carole Shelbourne George, President, International Institute of Association and Foundation Lawyers.

## Report

Introduction: From 15 to 17 December 1996, a group of 50 tax lawyers, politicians, scholars, civil servants and executive officers of non-governmental organisations (NGOs) from 19 countries held a Round Table on « Tax Treatment of NGOs » at the Danube Hotel in Bratislava. The meeting was organised by The Europhil Trust (a European NGO fostering the Civil Society) based in England and SAIA/SCTS (Slovak Academic Information Agency Service Centre for the Third Sector) in Bratislava, with the assistance of the Information and Documentation Centre on the Council of Europe, Bratislava and Kluwer Law International, The Hague and London.

Charity does not stop at national borders. NGOs constitute a formidable network of human solidarity operating in a global marketplace. Governments and international organisations frequently appeal to private donors and NGOs to give aid for humanitarian and other public benefit activities. But while the domestic law of many countries provides tax relief and other incentives to NGOs and their donors, the international dimension of NGO activity is still insufficiently recognised. The Round Table was invited to examine what inhibits tax legislators from adopting a more liberal attitude and what steps could be taken to overcome those problems.

*Opening:* On 15 December participants were welcomed by Bratislava's Mayor, Peter Kresanek, in the magnificent Primatial Palace, and entertained to a Christmas recital by Dr Elena Letnanova, pianist. The Round Table opened on 16 December with speeches by Vice Prime Minister Mrs Tothova, outlining the efforts of her country to achieve a comprehensive reform of law governing NGOs, followed by Katarina Kostalová, Director of SAIA/SCTS and Co-Chair of the meeting, who emphasised the importance of participation of

NGOs in that reform process, and by Dr Frits Hondius, Chief Trustee of Europhil and Co-Chairman. He sketched the background of this Round Table, held 26 years after another Round Table on the same subject in Strasbourg of Europhil's parent body, Interphil, which had produced a draft international treaty. That recommendation, taken over by the Council of Europe's Parliamentary Assembly in 1972, had met a muted response from governments which replied that, although sympathetic to the objective, they favoured a « case by case » approach. Two NGOs, Europhil and the International Institute of Association and Foundation Lawyers (whose Vice President Dr Trevor Carmichael Q.C. also briefly took the floor), had collected detailed information on tax treatment of cross-border giving. Time was now ripe for a renewed effort at national and international action, having regard to the dramatic changes in the government/NGO relationships, in particular in Central and Eastern Europe, the choice of Slovakia as venue for this conference being symbolical.

Tax treatment of NGOs and their donors in domestic law. An exposé by DR Milan Ukrop of the Slovak Prime Minister's office about the reforms now under way in his country opened this session. Nicole Van Crombrughe of Lafili, Van Crombrughe and partners, Brussels, commented on whether the citizen receives sufficient encouragements to participate in the financing of the charitable sector. While all countries share the same basic values, the detailed tax laws show endless variety, even between countries within the same region or legal system. Dr Friedrich Schwank, investment lawyer, Vienna, highlighted the laws on corporate donors and on NGOs themselves. He too noted the myriad differences between rules in various jurisdictions, relating to tax deductibility of donations to non-profit purposes, sponsoring and image advertising, dedication of commercial profits to philan-

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Transnational Association  
2/1997, 109-114.

Therapeutic aims and business activities of NGOs.

There was a clear need for harmonisation and for careful selection of appropriate organisational structures for NGOs. Case studies were then presented on Western Europe: Spain, by Carlos Parames of the Foundations Centre in Madrid, and Eastern Europe: Bulgaria, by Hristo Hristozov. The Foundations Act 1994 of Spain had created order in hitherto scattered legal rules. It laid down not only substantive law on foundations, but also tax rules designed to stimulate private participation in public interest activities. In Bulgaria, there are both general tax rules relating to NGOs and donors and rules for specific fields (Red Cross, sport, culture, etc). The Bulgarian Bill on Non-Profit Organisations envisages the setting up of a quality control body modelled after the UK Charity Commission.

Tax treatment of international activity of NGOs. Dr Trevor Carmichael, Q.C., Attorney at law in Barbados, addressed the complex issue of transborder NGO activity and foreign donations, eg multi-jurisdictional NGOs and lack of compatibility between national rules defining charitable objects. Professor Ignace Claeys Bouaert, lawyer at the Bar of the Belgian Court of Cassation, analysed different elements of international tax treatment of NGOs, starting with recognition of the legal personality of foreign NGOs. He noted that in practice, gifts to foreign NGOs were almost never tax deductible. While waiting for an international instrument, bilateral treaties, notably on double taxation, were a step forward in favour of an international tax regime. Two experts spoke after the rapporteurs: Kent Sinclair, Program Director in Warsaw of the International Center for non-profit law, presented a synopsis of best NGO tax practices from around the world. Leslie Rocker, of the International Association Forum, U.K., discussed the fiscal and related matters which international associa-

tions and federations are facing and made a plea for governments to recognise the specific character of international NGOs.

The general debate. Tuesday 17 December, the second conference day, began with an address by Professor Lubomir Fogas, Slovak MP representing the Parliamentary Assembly of the Council of Europe, who stressed the essential role of NGOs as vectors of human rights and democracy. The keynote Speaker, Professor Rob Atkinson of the Florida State University, then presented theories on charitable tax exemption: ranging from thesis (tax exemptions - public subsidy), and antithesis (= simple consequence of the definition of income) to synthesis (= redress, altruism, (« donativity »). Reports, presentations and discussions were brilliantly summarised by the General Rapporteur, Debra Morris of Liverpool University. Ambassador Jacques Raeymaeckers, Secretary General of UAI Brussels, spoke the closing words.

The participants adopted unanimously the Bratislava Declaration on Tax Treatment of NGOs, reproduced here after in three languages. After the Round Table, the Co-chairpersons transmitted this text to Mr Kofi Annan, the newly elected Secretary General of the United Nations, as well as to the presiding officers of the following intergovernmental organisations: Council of Europe, EBRD, European Commission, OECD, OSCE, Unesco, UNHCR, Unicef and the World Bank.

At the close of the conference, the Chief Trustee and Mrs Hondius offered drinks to celebrate Europhil's Tenth Anniversary.

A press conference, TV interviews and the Internet helped to give the Bratislava Declaration full publicity. The conference proceedings, which were supplemented by country reports from the U.K., Slovakia, Russia and the Ukraine, will appear in a book to be published by Kluwer Law International.

Bratislava Declaration on tax treatment of NGOs<sup>1</sup>  
*Déclaration de Bratislava sur la fiscalité des ONG*<sup>2</sup>  
Declaración de Bratislava sobre la fiscalidad de las ONG

*In English*

The participants in the Round Table on "Tax Treatment of NGOs" which was organised by the Europhil Trust<sup>3</sup> and SAIA/SCTS with the assistance of the Information and Documentation Centre on the Council of Europe (Bratislava) and of Kluwer Law International (The Hague, London), bringing together in the City of Bratislava on 16 and 17 December 1996 fifty women and men from nineteen countries: lawyers, tax specialists, university professors, politicians, national and international civil servants and NGO officers.

*Recognising* that non-governmental organisations (NGOs) play a vital role in the life of the community at all levels - local, national, regional and global - and in every field of human endeavour.

*Reaffirming* their commitment to the freedom of association and peaceful assembly, and the freedom of expression which are fundamental human rights;

*Noting* that money, time and talent, voluntarily donated, constitute the lifeblood of genuine NGOs;

*Considering* that international solidarity between people, nations and generations is an essential feature of the civil society and that many NGOs conduct activities abroad and receive donations from legal and physical persons residing abroad;

*Emphasising* the responsibility of the commercial sector towards the community and the importance of corporate citizenship;

*Recalling* that through their tax policy and legislation many countries acknowledge the significance of the activities benefitting the community by NGOs and their donors, and encourage them to continue doing so in the future;

*Regretting* that the international dimension of philanthropy is not always taken sufficiently into account in national legislations and that cross-border action by and giving to NGOs is sometimes handicapped by administrative obstacles;

*Recalling* Recommendation 656 (1972) of the Parliamentary Assembly of the Council of Europe on equal tax treatment of non-profit organisations, which has been inspired by a

proposal for the conclusion of a European convention formulated by Interphil at its 1976 Round Table in Strasbourg.

*Paying tribute* to those countries which have incorporated in their tax policies and laws rules providing for recognition of the legal status and equal treatment of foreign or international NGOs.

*Believing* that those rules can serve as useful models for a general international tax regime in favour of NGOs;

*Bearing in mind* the documentary work of (1) the International Bureau of Fiscal Documentation in Amsterdam, carried out at the behest of a working group set up by The Europhil Trust and resulting in the publication of "Tax Treatment of Cross-border Donations" (1994, and updates), of (2) the International Institute of Association and Foundation Lawyers in Washington DC, whose series of voluntarily contributed country reports is being published by Kluwer Law International under the title *International Charitable Giving Laws and Taxation* (1994 and updates), and of (3) the Union of International Associations, Brussels, whose *Yearbook of International Organizations* is an indispensable source of information on NGOs of every category and orientation.

## Recommend governments

- (i) to provide in their domestic law for favourable tax treatment of NGOs and their activities and of their benefactors;
- (ii) to provide in their domestic law for recognition of the legal personality of foreign and international NGOs and to become parties to the 1986 Convention N° 124 of the Council of Europe on that subject.
- (iii) to grant foreign and international NGOs active in their territory and persons resident in their territory donating to those NGOs abroad at least the same tax treatment as enjoyed by domestic NGOs and their benefactors,
- (iv) to include favourable tax treatment of NGOs and their benefactors in treaties on avoidance of double taxation.

(1) This is the final, revised version of the Declaration.  
(2) Version définitive, sensiblement révisée de la Déclaration.

(3) The Europhil Trust is the European affiliate of the International Standing Conference on Philanthropy (Interphil)

## Recommandations intergouvernementales organisations

- (i) to promote within their respective fields of competence and circle of member and observer States favourable and equal tax treatment of all NGOs whose work is beneficial to the community, as well as of their donors,
- (ii) to draw up a multilateral framework Convention on favourable and equal tax treatment of NGOs and in so doing to take account of the experience available through all appropriate NGOs.

Les participants de la Table ronde sur "La fiscalité des ONG" organisée par l'Europhil Trust<sup>1</sup> et SAIA/SCTS avec le concours du Centre d'information et de documentation sur le Conseil de l'Europe (Bratislava) et de Kluwer Law International (La Haye, Londres) laquelle a réuni dans la ville de Bratislava les 16 et 17 décembre 1996 une cinquantaine de femmes et d'hommes venus de dix-neuf pays: juristes, fiscalistes, professeurs d'université, politiciens, fonctionnaires nationaux et internationaux et responsables d'ONG.

*Reconnaissant* que les organisations non-gouvernementales (ONG) jouent un rôle clé dans la société, à tous les niveaux - local, national, régional, mondial - et dans tous les domaines d'activité humaine.

*Renouvelant* leur attachement à la liberté d'association et de réunion pacifique et à la liberté d'expression, droits fondamentaux de l'homme.

*Constatant* que le don volontaire d'argent, de temps et de talents constitue un apport vital aux ONG véritables.

*Considérant* que la société civile se caractérise par la solidarité internationale entre hommes, nations et générations et que nombre d'ONG mènent des activités à l'étranger et reçoivent des dons de personnes physiques et morales résidant à l'étranger.

*Soulignant* la responsabilité du monde commercial à l'égard de la collectivité et l'importance de la notion de "corporate citizenship".

*Rappelant* que beaucoup de pays tradui-

to initiate, in co-operation with other competent NGOs and experts from all regions of the world, the drawing up of fundamental principles and international standards for favourable and equal tax treatment of NGOs and their benefactors.

Bratislava, 17 December 1996

En français

sent dans leur politique et législation fiscale leur appréciation des activités d'utilité publique menées par les ONG et leurs donateurs et qu'ils encouragent à continuer dans cette voie à l'avenir.

*Regrettant* que la dimension internationale de la philanthropie n'est pas toujours prise en compte suffisamment par le législateur national et que parfois les activités transfrontières d'ONG et les dons en leur faveur se heurtent à des obstacles administratifs.

*Rappelant* la Recommandation 65 (1972) de l'Assemblée parlementaire du Conseil de l'Europe sur l'égalité de traitement fiscal des organisations non lucratives, texte inspiré par une proposition visant la conclusion d'une convention européenne formulée par Interphil lors de sa Table ronde à Strasbourg en 1970.

*Faisant l'éloge* de ces pays qui ont incorporé dans leur politique et leur loi fiscales des règles pour la reconnaissance du statut juridique et l'égalité de traitement fiscal des ONG étrangères ou internationales.

*Estimant* que de telles règles peuvent servir de modèle à un régime fiscal international et général en faveur des ONG,

*Gardant à l'esprit* l'oeuvre documentaire (1) du Bureau international de documentation fiscale à Amsterdam entreprise sur l'initiative d'un groupe de travail d'Europhil et publiée dans *Tax treatment of Cross-border Donations* (1994 et mises à jour) (2), de l'International Institute of Association and

(1) The Europhil Trust est la branche européenne de la Conférence internationale pour l'étude et l'encouragement de la philanthropie (INTERPHIL).

Foundation Lawyers (Washington DC) dont une série de rapports nationaux contribués à titre gratuit a été publiée par Kluwer Law International sous le titre "International Charitable Giving; Laws and Taxation" (1994 et mises à jour) et (3) de l'Union des associations internationales, Bruxelles, éditeur du *Yearbook of International Organizations* qui est une source indispensable d'informations sur les ONG de toutes sortes et orientations.

## Recommandent aux gouvernements

- (i) de réserver dans leurs législations internes un traitement fiscal favorable aux ONG, à leurs activités et à leurs bienfaiteurs,
- (ii) de prévoir dans leur droit interne la reconnaissance de la personnalité juridique des ONG étrangères et internationales et d'adhérer à la Convention en la matière N° 124 de 1986 du Conseil de l'Europe,
- (iii) d'accorder aux ONG étrangères et internationales actives sur leur territoire et à leurs propres résidents faisant des dons aux ONG à l'étranger au moins le même traitement fiscal qu'ils accordent aux ONG et aux donateurs de celles-ci résidant sur leur territoire
- (iv) d'inclure le traitement fiscal favorable des

ONG et de leurs bienfaiteurs, dans les conventions contre la double imposition.

## Recommandent aux organisations intergouvernementales

- (i) de promouvoir, chacune dans son domaine de compétence respectif et son cercle d'Etats membres et observateurs, le traitement favorable et équitable de toutes les ONG oeuvrant dans l'intérêt public et de leurs donateurs.
- (ii) de préparer une Convention-cadre multilatérale sur le traitement fiscal favorable et équitable d'ONG en tirant profit de l'expertise disponible à travers les ONG appropriées.

## Invitent l'Europhil Trust

à prendre l'initiative, en coopération avec d'autres ONG et experts compétents du monde entier, de dresser l'inventaire des principes fondamentaux et de normes internationales pour le traitement favorable et équitable des ONG et de leurs donateurs.

*Bratislava, le 17 décembre 1996.*

*En español*

nal, mundial- y en todas las esferas de la actividad humana.

*Renovando* su compromiso con la libertad de asociación y de reunión pacífica y con la libertad de expresión, derechos fundamentales del hombre.

*Tomando nota* de que la donación voluntaria de dinero, tiempo y talento constituye una aportación vital a las genuinas organizaciones no gubernamentales.

*Considerando* que la sociedad civil se caracteriza por la solidaridad internacional entre hombres, naciones y generaciones y que numerosas organizaciones no gubernamentales llevan a cabo actividades en el extranjero y reciben donativos de personas físicas y morales residentes en el extranjero.

**L**os participantes en la Mesa Redonda sobre "La Fiscalidad de las organizaciones no gubernamentales, organizada por el Trust Europhil y SAIA/SCTS, con la colaboración del Centro de Información y Documentación del Consejo de Europa (Bratislava) y de Kluwer Law International (La Haya, Londres) que ha reunido en la villa de Bratislava, el 16y el 17 de Diciembre de 1996, a una cincuenta de mujeres y hombres venidos de diecinueve países: juristas, fiscalistas, profesores de universidad, políticos, funcionarios nacionales e internacionales y responsables de organizaciones no gubernamentales.

*Reconociendo* que las organizaciones no gubernamentales (ONG) juegan un papel clave en la sociedad, a todos los niveles -local, regio-

*Subrayando* la responsabilidad del mundo empresarial con respecto a la colectividad y la importancia de la noción de "corporate citizenship".

*Recordando* que muchos países reflejan en su política y en su legislación fiscales su valoración de las actividades de utilidad pública realizadas por las organizaciones no gubernamentales y sus donantes, estimulándolos a continuar por este camino en el porvenir.

*Lamentando* que los legisladores nacionales no tomen suficientemente en cuenta la dimensión internacional de la filantropía y que, con frecuencia, las actividades transfronterizas de las organizaciones no-gubernamentales, y los donativos en su favor, tropiecen con obstáculos administrativos.

*Recordando* la Recomendación 656 (1.972) de la Asamblea Parlamentaria del Consejo de Europa sobre la igualdad del tratamiento fiscal de las organizaciones no lucrativas, texto inspirado en una propuesta, dirigida a la formalización de una convención europea, formulada por INTERPHIL con ocasión de su Mesa Redonda de 1970 en Estrasburgo.

*Elogiando* a los países que han incorporado su política y su legislación fiscales normas para el reconocimiento del estatuto jurídico y de la igualdad de tratamiento fiscal de las organizaciones no gubernamentales nacionales y extranjeras.

*Creando* que tales normas pueden servir de modelo de un régimen fiscal internacional y general en favor de las organizaciones no gubernamentales.

*Teniendo en consideración* los trabajos documentales de (1) de la Oficina Internacional de Documentación Fiscal de Amsterdam, llevados a cabo a iniciativa de un grupo de trabajo de EUROPHIL y publicados en "Tax treatment of Cross-border donations" (1.994 y actualizaciones); (2) del Instituto Internacional de Juristas de Asociaciones y Fundaciones (Washington AC), cuyas series de informes nacionales, elaborados gratuitamente, han sido publicados por Kluwer Law International bajo el título *International Charitable Giving: Laws and Taxations* (1.994 y actualizaciones); y (3) de la Unión de Asociaciones Internacionales de Bruselas, editor del *Yearbook of International organizations*, que es una fuente indispensable de información sobre las organizaciones no-gubernamentales de todo tipo y orientación.

## Recomiendan a los gobiernos

(i) que en sus legislaciones internas reserven a las organizaciones no gubernamentales, sus actividades y sus benefactores un tratamiento fiscal favorable.

(ii) que prevean en su derecho interno el reconocimiento de la personalidad jurídica de las organizaciones no gubernamentales extranjeras e internacionales y que se adhieran a la Convención n° 124 de 1.986 del Consejo de Europa sobre este asunto.

(iii) que concedan a las organizaciones no gubernamentales extranjeras e internacionales, activas en su territorio, y a sus propios residentes que hagan donativos en el extranjero a organizaciones no gubernamentales, cuanto menos, idéntico tratamiento fiscal al establecido para las organizaciones no gubernamentales y sus benefactores residentes en el territorio nacional, (iv) que incluyan el tratamiento favorable de las organizaciones no gubernamentales y sus benefactores en las convenciones contra la doble imposición.

## Recomiendan a las organizaciones intergubernamentales

(i) que promuevan, cada una en su ámbito respectivo de competencia y en el círculo de sus estados miembros u observadores, el tratamiento favorable y equitativo de todas las organizaciones no gubernamentales que obran en favor del interés público y de sus donantes, (ii) que preparen una Convención-Marco multilateral sobre el tratamiento fiscal, favorable y equitativo, de las organizaciones no gubernamentales, aprovechando la experiencia disponible a través de las organizaciones no gubernamentales apropiadas.

## Invitan al Trust Europhil

a que, en colaboración con otras organizaciones no gubernamentales y con cualificados expertos del mundo entero, inicien la elaboración de un inventario de los principios fundamentales y las normas internacionales para el tratamiento favorable y equitativo de las organizaciones no gubernamentales y sus donantes.

## NGO health cooperation

1. The International NGO Group on Primary Health Care (PHC) met in Geneva on February 6, 1997 with Eric Ram (WVI) in the Chair and 25 NGOs present, plus WHO and UNICEF. The purpose was to review the 20 year history of the NGO Group with a view to determining if and how it should continue its work in the nature (Annex A gives the historical background and recent organizational challenges).

2. WHO is developing a new Global Health Policy for the 21st Century, and invited NGOs to participate in that exercise.

UNICEF is decentralising its programme work, including of course health, and invited NGOs to join in these programmes at national and local level. WHO is also seeking to establish new formal or less formal partnerships with NGOs and with the business sector.

3. The meeting agreed to pursue its existence on the broader basis of cooperating on global health priorities, and elected WVI as the ongoing Chair. WCC/CMC was elected Secretary and IFRCRC as Treasurer. 4 further coordinating Committee members elected were the Bahais, ICN, CCF and

WFMW. WHO and UNICEF accepted to participate in the Committee meetings. The Committee will draft an NGO Group Mission Statement on the basis of the day's discussions, together with a budget. It will also convene an NGO Group meeting shortly before the World Health Assembly (May 5-16). WHO is itself inviting 100 NGOs to a consultation on May 2 on the future global health policy.

4. The Group decided to change its name to NGO Forum on Health.

Cyril Ritchie

## NGOs and the UN: an evolving but uneasy partnership\*

### Introduction

A recent Christian Science Monitor article made this observation about last year's UN Women's Summit: "Through working with governments to prepare the Platform for Acción, NGOs (citizen-based Non-Governmental Organizations) have an enhanced place in civil society. NGO-government partnerships exist where they didn't before. And NGOs have banded together in new coalitions to hold governments accountable."

The 'international community' has become more, much more than the sum of the world's nation-states, and the intergovernmental forums and organizations they create. In recent years, there have been particularly dramatic increases in the number and size of NGOs, their areas of concern, their recognition as experts and actors in international policy-making. The proliferation of NGOs across the world and the diverse roles they

play suggests that they will be a continuing force in global policy making. A major challenge in the years ahead is to develop the public-private partnerships which can fully enable and encourage non-state actors to offer their contributions to effective global governance.

At the UN the rules and arrangements by which NGOs contribute to the work of the organization are inconsistent and out of date. Through Article 71 of the Charter, many NGOs currently have consultative status with the UN Economic and Social Council (ECOSOC). However, there are no existing arrangements by which NGOs might work with the key decision-making bodies at the UN such as the General Assembly and the Security Council. Committees of the General Assembly each see different ground rules for NGOs. UN conferences have been key entry points for NGOs. While NGO discussions at these confer-

ences are still kept a protective distance of kilometers away from the intergovernmental meetings, they have won increasing acknowledgment and influence. The 1985 Nairobi World Conference culminating the UN's International Decade for Women, and the 1992 Rio Conference on Environment and Development (the "Earth Summit") were decisive advances. A climate of greater openness toward NGOs has been replicated at other UN conferences: the World Conference on Human Rights (Vienna, 1993), the International Conference on Population and Development (Cairo, 1994), the World Summit on Social Development (Copenhagen, March 1995) the Fourth World Conference on Women (Beijing, September, 1995), and the World Conference on Human Settlements (Habitat II, Istanbul, 1996). Following the Earth Summit many more NGOs wanted access not only to UN conferences, but also

\* This paper was prepared by Fergus Watt at the WFC national office with files from the international World Federalist Movement (New York) and the Partners Program of the US. World Federalist Association (Washington).

*Transnational Associations*, 2/1997, 115-120.

the UN itself in order to monitor implementation of the declarations, final reports, and platforms for action signed by governments at these global gatherings. But the UN has not yet been able to integrate these NGO networks into its daily work in an effective manner.

The ECOSOC Review ECOSOC has just concluded an examination of its relationship with NGOs. The result was an agreement to revise the rules governing consultative status, the first such revision since 1968. The revisions include broadening the definition of NGO beyond international organizations, to include regional or national organizations. Developing countries and countries with economies in transition are encouraged to have their NGOs actively participate. Member States are responsible for accreditation in order that NGOs be admitted to participate in a UN conference. While the ECOSOC review took three years to conclude, there was much left undecided. There are still no formal arrangements for NGOs to participate or communicate with other important decision-making bodies of the UN, such as the General Assembly and its Main Committees, the Security Council, and other bodies. NGOs contribute and are concerned with many issues outside of the Economic and Social Council, such as disarmament, peace and security, finance, trade, and international law. NGO participation or attendance often ends up being subject to the whims of UN officials presiding at a particular meeting or the security staff. At this summer's conclusion of the ECOSOC review of relations with NGOs it was recognized that there was still much more to be resolved in formalizing a comprehensive UN-NGO partnership for the future. The ECOSOC review therefore included the following recommendation: "The Economic and Social Council, reaffirming the

importance of the contributions of non-governmental organisations to the work of the United Nations, and taking into account the contributions made by non-governmental organizations to recent international conferences, "Decides to recommend that the General Assembly examine, at its fifty-first (i.e. 1996) session, the question of the participation of non-governmental organizations in all areas of the work of the United Nations, in the light of the experience gained through the arrangements for consultation between non-governmental organizations and the Economic and Social Council". This has thrown the ball in the General Assembly's court. However, it is not yet clear exactly how the GA will deal with the issue.

The manner in which the ECOSOC recommendation is dealt with, procedurally, will reveal how determined governments are to find consensus on new ways to more fully include NGOs in the work of the UN. Options include: 1) setting up a General Assembly Working Group similar to the ECOSOC Working Group (which took three years to make the relatively minor revisions to ECOSOC-NGO arrangements); 2) submit the issue to the already-created Working Group on the Strengthening of the UN System (WGUNS); 3) linking the issue to the preparations for "Earth Summit II" a special session of the UN General Assembly, scheduled for next June, to review progress (or lack of!) in implementing Agenda 21, the plan of action from the 1992 Earth Summit. The NGO issue would be resolved in the course of discussion of NGO participation at the June Special Session; 4) a single resolution extending the NGO arrangements agreed to in ECOSOC to the General Assembly. This would require a concerted campaign by NGOs, supportive governments and other UN officials; 5) do nothing; ignore

the ECOSOC recommendation. Of the options outlined above the third and fourth would be the most expeditious way to deal with the issue. Although it is not yet clear how governments will deal with the ECOSOC recommendation, the important thing is to urge that they do something.

#### World Federalist Analysis

The growing number and competence of NGOs is one more example of what is becoming increasingly seen as a selfevident phenomenon of our times: the world is becoming a smaller, more interdependent, global community. Indeed, many of the technologies driving the globalization process generally (high speed electronic communications, the global reach of information media) are also consequential in the day-to-day activity of NGOs and enable NGOs to contribute directly International political processes. NGOs provide practical assistance in the work of the UN, often as partners of UN bodies implementing programs, especially in the economic and humanitarian fields. They provide independent monitoring and information-gathering. They help set public policy agendas, identify and defining critical issues.

World Federalists support efforts to enhance the role of NGOs, at the UN and in other international organizations. This gives greater weight to the voices of organized citizen movements and adds an important element of accountability to the inter-state system. For example, World Federalists supported the call for a Forum of Civil Society at the UN. The idea of a representative assembly of NGOs was initiated last year by the prestigious Commission on Global Governance in their 1995 report *Our Global Neighborhood*. They proposed a Forum of Civil Society, a consultative body of citizen's groups at the United Nations that would meet annually at the

General Assembly hall, offering international civil society direct access to the UN system and provide an entry point for its views.

Enhancing the role of NGOs should not be seen as a step toward democratizing the UN. Although the UN would become more accountable to citizen-based organizations, there is really 110 ways in which any future assembly or forum of NGOs at the UN could evolve into a democratic body representing the world's people. Democratizing the UN is important, indeed central to the World Federalist long range vision of the way in which the world body can and should evolve. The most likely route to a democratic UN is through the creation of a United Nations Parliamentary Assembly (UNPA). A UNPA would be a representative body made up initially of parliamentarians selected by national legislatures who would meet at the UN as global parliamentarians. (They

might also convene sessions alongside other important international organizations, like the Bretton Woods institutions).

As a matter of strategy, the World Federalist Movement has found that there is greater support for the UNPA proposal to be found among national parliamentarians (the idea is also supported by some in the European Parliament) than among UN representatives. Political momentum for a UNPA is best built by working with parliamentarians before pushing the idea at the UN.

Recommended Action Letters to Canada's UN Ambassador should be sent to:

His Excellency Robert Fowler, Ambassador and Permanent Representative of Canada to the United Nations, Permanent Mission of Canada to the United Nations, 885 2nd Ave. West 14th floor New York, NY 10017 U.S.A.

There is no single resolu-

tion that Ambassador Fowler should be asked to support. We recommend putting your views to Ambassador Fowler through a more open-ended question, making reference to the ECOSOC recommendation to the General Assembly. Ask him what Canada is doing to ensure a progressive response by the General Assembly to the ECOSOC recommendation. You might ask also about whether Canada supports the proposal for a forum of NGOs as proposed by the Commission on Global Governance.

If possible, send a copy of your letter to Canada's Foreign Affairs Minister. These letters can be directed to:

Hon. Lloyd Axworthy, Minister for Foreign Affairs, Minister B. Pearson Building, 125 Sussex Drive, Ottawa, Ont. K1A 0G2

Fergus Watt  
(The Federalist Debate, 4, 1996)

## Le Grand Orient veut rebâtir une organisation mondiale de la maçonnerie libérale

Le GODF renonce à sa tentative de sécession

Réuni à Cleyrac (Dordogne), vendredi 21 mars, le conseil de l'ordre du Grand Orient de France (GODF) a lancé un appel à toutes les obédiences maçonniques afin d'organiser une rencontre internationale pour reconstruire une organisation mondiale de la maçonnerie dite libérale. En fait, il s'agit d'une offre d'armistice de la première obédience française. Son grand maître, Jacques Lafouge, avait, le 18 mai 1996 à Santiago du Chili, claqué la porte du seul organisme fédérateur existant, le Centre de liaison et d'information des puissances maçonniques signataires de l'appel de Strasbourg (Clipsas) en dénonçant son inutilité,

son coût et les voyages excessifs de ses membres (Le Monde du 20 juin 1996).

Le GODF avait convaincu six autres organisations-soeurs d'abandonner le Clipsas, réduit à quarante-deux membres. Dans la foulée, il avait créé un organisme concurrent, l'Association maçonnique intercontinentale libérale (AMIL) avec le Grand Orient de Belgique, la Grande Loge Opéra, le Federación française du Droit humain, Memphis-Misraïm hommes, la Grande loge mixte de France et la Grande loge féminine de Suisse, rejoints par le Grand Orient de Grèce. La tentative à tourné court. Aucune obédience américaine n'a donné suite aux appels du pied du Grand Orient.

Choquée par le licisme « primaire » donc à fait preuve, selon elle, le GODF à l'occasion de la visite en France du pape Jean Paul II, en septembre 1996, la Grande Loge Opéra a quitté l'AMIL.

Le GODF a tenté de se ratrapper en Afrique à l'occasion d'un sommet maçonnique réuni du 7 au 9 février à Cotonou (Bénin). M. Lafouge s'y est montré si soucieux de prêcher une laïcité agnostique à la française qu'il s'est attiré une réponse cinglante. La Conférence des puissances maçonniques africaines (Cpmaf), qui organisait la rencontre, a adressé aux membres de l'AMIL cette déclaration :

*- L'Afrique a trop souffert des ingérences de vos sœurs et doit faire fureur d'autres priorités (misère, pauvreté.*

jeune édifice. »  
Le coup de grâce a été porté qu'à titer les conséquences de cet échec et à renouer le fil avec les autres obédiences internationales.

Le coup de grâce a été porté qu'à titer les conséquences de cet échec et à renouer le fil avec les autres obédiences internationales.

Alain Faujas  
(*Le Monde*,  
26.3.97)

## Role of NGOs in Promoting Activities Implemented Jointly (AIJ) in Latin America

### Background

The consideration of environmental issues as explicit and important elements at the time of setting up national development policies is a relatively new situation in Latin America. This phenomenal delay, in contrast to the situation of industrialized countries, is inextricably linked to the serious instability prevalent in Latin America politics in the 70s and to the slow process of redemocratization implemented throughout the continent starting in the 80s. Only recently has political stability in this geographical area allowed environmental matters to be taken seriously.

Presently, the explosive process of information globalization, the increasing introduction of environmental concerns which industrialized countries assess while arranging bilateral or multilateral trade agreements, and the recovery of Latin American economies characterized by a rapid industrialization process and its consequent impact on the environment, have led the new democratic authorities to be aware of the demand of an increasing number of voters, concerned by the variety and seriousness of environmental problems, who are calling for immediate solutions to the deterioration of their quality of life.

### Focus on Economic Welfare

However, the general view is that the destruction of the environment cannot be isolated from the more broad-based question of development. Because Latin American governments are more concerned by the deterioration of the urban environment than by the destruction of natural resources or global environment issues, they place special emphasis on the economic welfare of the present generation.

### Limited Awareness of Global Environmental Problems

In this context, it cannot be considered strange, then, that the main concerns of International Conventions on global environmental problems, such as climate change, biodiversity, ozone layer depletion, desertification, etc., are still a low priority in the political agendas of the governments in this region. The issues are considered only by a few academic centres, specialized government agencies, and the ministerial departments set up to represent these nations in the international environmental forums.

Comparatively, the situation of the Latin American NGO movement is similar. The region's NGOs have historically concentrated their attention on development and human-rights issues.

Upon entering into environmental issues, they have focused their action primarily on reducing the environmental problems directly related to the population's quality of life and/or the protection of natural resources which are threatened by unsustainable economic practices. Therefore, it has been more natural for these NGOs to be active in the fields of biodiversity, forestry and desertification, rather than those areas related to climate change.

### Establishment of CANLA in 1992

However, since the beginning of this decade, a small but increasing group of NGOs, facing great funding difficulties, have become interested and involved in the climate change discussion and have started to explore initiatives in the energy sector, promoting technological innovations based on indigenous expertise and the use of renewable energy resources. As a result of this process, CANLA was formally established at a Latin American workshop held during the NGO Global Forum in Rio, in June, 1992. At present, this regional network consists of organizations from Argentina, Bolivia, Brazil, Chile, Cuba, Ecuador Mexico, Nicaragua, Peru, Uruguay, and Venezuela. Its secretariat is based in Santiago, Chile.

Since its establishment, the main CANLA concern has been both to collect and disseminate documentation of existing climate change research and international climate change negotiations, with special attention to regional interests. CANLA has been particularly active in promoting an in-depth analysis on the regional implications of the financial mechanisms debated in the framework of the Climate Change Convention process.

#### AJ and CANLA

With respect to the controversial Joint Implementation issue, CANLA has maintained a pragmatic approach based upon the following considerations:

- Despite the Convention text's lack of definition for Joint Implementation, CANLA thought a more realistic negotiating position would be to understand the concept in the terms in which it was originally proposed by the Norwegian delegation at INC3. That is, as a mechanism that, in the search of opportunities to achieve the purposes of the Convention in the most flexible and cost-effective manner possible, would allow Industrialised Countries to fulfill part of their GHGs emission reduction commitments through investments in projects located outside of their geographical borders. In other words, to understand Joint Implementation as a mechanism essentially oriented toward exploiting the opportunities that the developing world and countries with economies in transition offer to industrialised countries in this respect.

- By signing the Convention, developing countries accepted the principle of common but differentiated responsibilities and demanded major additional transfer of resources in order to build greenhouse concerns into their development strategies. These two conditions were of fundamental

importance for developing countries and represent the keystone of this international agreement. Therefore, they had to be an integral part of any new commitment adopted by the Convention.

- Emissions, historically greater from the North, will continue to influence climatic conditions for more than two hundred years, and will affect not only the people of the North, but also those in the South. This means that the developed world has used up more than its share of the global atmosphere, and that they have built up an ecological debt with the South. Any financial mechanism or modality to implement the Climate Change Convention has to be based upon the premise of repaying this ecological debt. The Joint Implementation mechanism should not be an exception.

- It was perfectly possible to design a mechanism for Joint Implementation that was responsive to these, and other requirements of the southern countries. In order to do that, developing countries had to get actively involved in the discussion of the issue instead of continuing to avoid it with arguments based upon ambiguities in the Convention's text. As a contribution to this discussion, a set of elements to be considered at the time to design the mechanisms were presented in the publication titled "Joint Implementation, Conditions for a Fair Mechanism" issued at INC9.

When the Secretariat of the Convention later proposed the establishment of a pilot phase without "credits" for testing the theoretical advantages or disadvantages of using this mechanism for achieving the purposes of the Convention, we enthusiastically backed this approach and actively promoted the idea within the region.

Latin American NGOs played a particularly important

role in the adoption of the so called "Santiago Declaration on Joint Implementation", a position paper signed by participants of various Latin American countries at a Workshop organized by the United States Initiative on Joint Implementation, held in Santiago, Chile, in the beginning of March 1995. In that document, representatives from a significant number of countries in the region agreed upon, for the first time, a common position on the Joint Implementation issue and asked their governments to approve a pilot phase for this mechanism at CoP-I, according to the term proposed by the secretariat of the Convention. By the end of that month, when CoP-I was initiated, that was the position held by the majority of the Latin American delegations.

After CoP-I and the establishment of a pilot phase for Activities Implemented Jointly, we have continued to actively participate in the discussion and implementation of this agreement.

At a theoretical level, in the face of different interpretations to what was really agreed upon in Berlin on this issue, and what is meant by the name Activities Implemented Jointly, we have again adopted a pragmatic approach. For the same kind of arguments that we have expressed before in the text, CANLA has preferred to understand AJI as a particular denomination for the pilot phase without "credits" of the Joint Implementation Mechanism.

At a practical level, an increasing number of Latin American NGOs have become involved at different stages of AJI-type project developments: project identification, preparation and execution. They have been mainly the Central American NGOs, but other Latin American countries have also started to get involved in this pilot phase including NGOs from Bolivia, Peru and Chile.

As CANLA, we have

focused our attention on promoting, as well as being involved in the establishment of institutional arrays to deal with this issue at a national level. These entities, with broader participation form all sectors of the society, should primarily allow for in-depth discussions on the strategic implications of AIJ-type projects for the countries.

They should also be charged with the tasks of setting up their national project acceptance criteria, monitoring their implementations and supplying national certification of their results. Today, Costa Rica and Guatemala have this kind of institution, and Bolivia and Chile are in the process of its establishment.

For the future, we anticipate that the cole of Latin American NGOs in this area will continue to expand both in theoretical and practical level.

Dr. Eduardo Sanhueza  
Coordinator, Climate Action Network Latin America (CANLA)

## ONG et syndicats : même longueur d'onde

La campagne Clean Clothes (Libère tes fringues) est un exemple de coopération entre syndicats et organisations non-gouvernementales. On sait cependant que ces rapports ne sont pas simples eu égard à la diversité des ONG et aux intérêts divergents qui sont parfois défendus.

*"Il ne faut pas se le cacher, certains syndicats estiment parfois que les activités de ONG empiètent sur leurs plate-bandes",* note Patrick Itschert, du Comité syndical européen du textile.

*"Il est important d'insister sur le fait que les codes de conduite ne peuvent se substituer à la négociation collective effectuée par les organisations syndicales",* précise Dwight Justice, coordinateur des campagnes sur les multinationales à la CISL, ajoutant que *"certaines ONG cherchent à se profiler comme une alternative aux organisations syndicales en utilisant les codes de conduite pour établir une relation avec les entreprises qui veulent*

L'attitude des syndicats vis-à-vis des codes de conduite doit également évoluer, et la CISL travaille en ce moment avec ses différentes affiliées pour développer une approche commune de cette question car les multinationale ont un champ d'action internationale.

Dans le cas de la campagne Clean Clothes, les choses se sont très bien passées, en droite ligne de ce qu'avait préconisé le congrès de la CISL. *"Notre coopération avec les principales organisations non-gouvernementales s'occupant des droits humains (...) lesquelles, tout en travaillant avec un mandat différent, ont des objectifs semblables à ceux de la CJSL sur le plan de la dil" en et de la promotion des droits syndicaux et d'autres droits humains, nous élargirons encore et intensifierons les contacts qui ont été renforcés au cours des dernières années".*

*"L'un des aspects positifs de la campagne Clean Clothes est que les revendications portent sur le respect des conventions du BIT",* souligne

Dwight Justice.

Les centrales des différents pays ont opté librement pour adhérer au collectif Clean Clothes ou pas. En France et en Belgique, les centrales syndicales sont impliquées dans le collectif, mais en Hollande, la FNV a préféré rester en dehors du collectif d'ONG même si elle soutient leur action. *"La FNV a opté pour un travail plus concret sur les codes de conduite en lançant un groupe de travail Pair Trade Charter (charte du commerce équitable) dans lequel nos syndicats des services et de l'industrie sont représentés, ainsi que le collectif Clean Clothes",* explique Willy Wagenvans, responsable du département Nord/Sud de la FNV.

Ces prochaines semaines, la CISL réunira le groupe de travail CISL-Pi sur les multinationales afin de faire le point sur les expériences et élaborer un modèle commun de code de conduite.

(*Monde du travail libre*, 88:87)

Some items in recent issues : <i>Parmi les thèmes traités récemment :</i>	Issue number : <i>Numéros :</i>
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The Management of INGOs <i>La gestion des OING</i>	2/1996.
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# Transnational Associations

## Associations transnationales

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