Grantmakers and Governments: 
THE POSSIBILITIES OF PARTNERSHIP

2017
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PREFACE

PFC is interested in raising awareness of the potential for partnering with government and in exploring the roles that philanthropy can play in public-philanthropic partnerships. Many of our members are already engaging in such partnerships. For this reason, it is timely for the production of a discussion paper on this topic.

The paper was researched and written by Sheherazade Hirji, a Toronto-based philanthropy consultant and past President and CEO of the Canadian Women’s Foundation. We thank her for her enthusiastic engagement with this project.

PFC also wishes to thank the members of PFC who willingly shared their experiences with our researcher. We also acknowledge the valuable financial support of some of these members, which enabled PFC to commission and produce this paper.

About PFC

Philanthropic Foundations Canada (PFC) is a national member association of grantmaking foundations, charitable organizations and corporate giving programs. Established in 1999, PFC numbers over 135 members. PFC seeks to promote the growth and development of effective and responsible foundations and organized philanthropy in Canada through provision of membership services, resources and advocacy.
EXECUTIVE SUMMARY

Philanthropic Foundations Canada (PFC) commissioned this study to explore the increasing interest of Canadian philanthropic funders in working with government. Governments at all levels shape policies, implement programs and invest public funding to further the quality of life of the citizens they serve. Foundations have similar aspirations, framed from a philanthropic perspective, to improve the quality of life for Canadians. However, with a few exceptions, the two sectors do not often engage as partners in investing for the public good. Working with government takes clarity of vision, commitment, perseverance and an appetite, or at least, tolerance for risk. This paper is intended to help philanthropic funders understand more about the context for working with government, as well as the opportunities and challenges they may encounter if they intend to work with government at any level.

Section 1 outlines the study's goals and methodology and also notes some important caveats. There is no one method, approach, example or “one size fits all” formula for foundations seeking to work with government. Nevertheless, there are some recurring themes arising from the research and case studies:

- The role of philanthropy as a catalyst for public projects
- The need for clarity and continuity of focus on both sides
- Impact of differences in accountabilities and timing pressures
- Public recognition (or lack thereof) of philanthropic efforts

Section 2 examines the landscape from both the funder and the government perspective. It explores the evolution of forms of engagement between foundations and government, and the changing nature of government itself as it shifts from delivery state to relational state.

Section 3 teases out some paradoxes inherent in the different world views of governments and foundations. The findings from the interviews and case studies suggest that there are fundamental differences between the perspectives and situations of philanthropic funders and of government policy makers. These differences create certain paradoxes useful to keep in mind when negotiating the relationship:

- **Paradox 1:** Governments make policy but foundations are not always the best partners for policy change.
- **Paradox 2:** Foundations’ traditional strength is funding. But governments don’t need funding as much as they need networks, information and ideas.
- **Paradox 3:** Governments want change but don’t like risk.
- **Paradox 4:** More accountability can mean less partnership.

Section 4 reviews the fundamentals of why foundations should work with government, where and how to start, and some of the different approaches – financial and non-financial – to partnering. It also provides guidelines for deciding when government may not be an appropriate partner, and outlines some key challenges for funders to anticipate in the relationship.
1.0 INTRODUCTION

1.1 Purpose
Philanthropic Foundations Canada (PFC) commissioned this study to explore the increasing interest of Canadian philanthropic funders in working with government. Governments at all levels shape policies, implement new programs and invest public funding to further the quality of life of the citizens they serve. Foundations have similar aspirations, framed from a philanthropic perspective, to improve the quality of life for Canadians. However, with a few exceptions, the two sectors do not often engage as partners in investing for the public good. The goal of this study is to provide information and resources for funders on the potential for partnering with government, and on the variety of roles that philanthropy can play, in working with government, using recent examples of Canadian public-philanthropic activity to illustrate the opportunity.

The idea of foundations working with or through government to support better quality of life for citizens is not new. To illustrate, here is the story of Toronto. Back in 1903, the American philanthropist Andrew Carnegie pledged the enormous sum of $350,000 to the City of Toronto to construct new public library buildings. Carnegie’s grant to Toronto was the largest amount given anywhere in Canada. At the time, only New York, Philadelphia and Pittsburgh had received more funds. Because of municipal staff changes and shifting public priorities, the Toronto Library Board did not keep focused on library construction. It took until February 1915 for Toronto to receive from the Carnegie Corporation a second grant of $50,000, a grant originally promised at the beginning but conditional on successful building projects. With this capital, Toronto successfully opened ten public libraries and one university library (the Birge Carnegie Library at Victoria College) between 1907 and 1916.¹

In 2016, another American foundation, Rockefeller, provided support to the City of Toronto for a very different need: building resiliency rather than bricks and mortar.

Toronto has joined Calgary, Montreal and Vancouver in the cohort of 100 Resilient Cities², a Rockefeller global initiative dedicated to helping cities around the world become more resilient to the physical, social and economic challenges of the 21st century. This partnership provides the City of Toronto with resources to help develop a roadmap to resilience, including a new Chief Resiliency Officer position funded in city government, and additional supports and resources provided as part of this network. Rockefeller provided the initial push to focus on resiliency, and the tools and the network to help share ideas and results with other cities. It is up to Toronto and other city governments to follow through with the dedicated resources and commitment to build sustainable resiliency strategies.

Toronto’s examples of partnerships between a municipal government and a private philanthropy, separated by a century, highlight a number of themes:

- The role of philanthropy as a catalyst for public projects
- The need for clarity and continuity of focus on both sides
- Impact of differences in accountabilities and timing pressures
- Public recognition (or lack thereof) of philanthropic efforts

Working with government takes clarity of vision, commitment, perseverance and an appetite, or at least, tolerance for risk. This document is intended to help philanthropic funders understand more about what it takes to work with government, as well as the opportunities and challenges they could encounter if they intend to work with government at any level. The document also includes recent examples and three in-depth case studies that describe how philanthropic-public partnerships can work to achieve significantly greater impact.

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¹ http://www.torontopubliclibrary.ca/about-the-library/library-history/carnegie.jsp
² http://www.100resilientcities.org/cities/entry/torontos-resilience-challenge/...
1.2 Methodology

A brief scan/literature review was undertaken to capture recent and relevant literature that has some bearing on the evolution of public-philanthropic partnerships. These sources are listed in Appendix A. Sixteen thought leaders and key stakeholders were interviewed in person or over the telephone. Interviewees are listed in Appendix B. The interview questions are included in Appendix C. At the PFC conference in November, 2016\(^3\), a panel discussion on “Partnering with Government: Why, How and What,” highlighted two recent examples of philanthropic/public partnership. The panel discussion was followed by round-table conversations with the panelists, and yielded additional perspectives and insights. The document was revised with input from Hilary Pearson, President of PFC, before it was finalized.

1.3 Some Caveats

The study does not comprehensively catalogue the many instances of foundations working with government. We have included examples from PFC members, from the community foundation movement, as well as foundation partnerships with quasi-governmental institutions. This diversity of examples helped to ensure that a wider range of learnings were captured and shared.

In some of the conversations related to this work, it was clear that these partnerships can be sensitive. Some foundations are willing to be publicly visible and proactive in carrying out their mandates. Others prefer to let the results speak for the work; their knowledge and insights are embedded in results. They don’t seek credit or recognition, nor do they want their work to be perceived or misinterpreted as “influencing” or “lobbying”. Their motivation (as with all foundations working with government), is to help government do its business more effectively for greater public good/stronger impact, to enable risks in doing things differently that government couldn’t take on alone, and to bring emerging issues to the government’s attention and on to its agenda.

It is difficult in public-philanthropic partnerships to draw clear and direct lines between effort and outcome. Government funding and policy decisions rely on multiple inputs and levels of decision making. One private foundation noted that its multiple interactions may provide inputs into conversation with government on a specific issue, but it is not always possible to predict where that input may end up (if anywhere). And while a foundation can have a particular perspective on a policy it wants to see changed, there are multiple perspectives at the government table, so there is a level of unpredictability in the results that may be achieved.

The greatest caveat of this study, mirroring the examples and experiences cited, is that there is no one method, approach, example or “one size fits all” formula or pathway for foundations seeking to work with government. There are many variables, starting with the foundation itself, its experience, appetite, and comfort working with government, level of maturity in its approach, and the time, funding, thought, and energy that it is willing to invest. There are equal, if not more, variables on the government’s side.

The examples and case studies provide evidence of the great range of initiatives by various foundations working with governments. While these may not be directly replicable, learnings can be drawn that we hope are useful in understanding the very different contexts within which governments operate; different ways of working with government; how to navigate working with government, and some limitations in doing this work.

2.0
LOOKING AT
THE LANDSCAPE
2.1 From a Funder Perspective

The number of Canadian foundations working with government is growing, although there is no quantitative data on the number of such interactions and partnerships. The forms of interactions are many: matching grants, joint funding, funding a government initiative, re-granting government money, convening, providing research and input into public policy development, and advocating for policy change.

Canadian philanthropic funders focus on issues and areas of concern to governments at all levels: some examples are early childhood development; environmental stewardship; charitable sector regulatory reform; financial security for vulnerable adults; social finance/innovation; mental health and addiction, etc.

We can identify a number of Canadian foundations engaged in public policy development since the 1990s, with or without formal or informal partnerships with government. Here are just a few:

- The Atkinson Foundation and other Ontario foundations advocating for public early childhood education
- The Maytree Foundation and its investment in social policy thought leadership through the Caledon Institute of Social Policy
- The Max Bell Foundation and its public policy training institute (based on a model provided by The Maytree Foundation)
- The Muttart Foundation and its consultations with the federal government on charity regulation
- The Lucie and André Chagnon Foundation and its partnership with the Québec government on early childhood
- The Ivey Foundation and its work on boreal forest protection and more recently sustainable economies
- The J.W. McConnell Family Foundation and its work in many areas, including social finance and social innovation
- The Walter and Duncan Gordon Foundation and its work in water policy and the Canadian North
- The Palix Foundation work on health policy issues in Alberta

One form of engagement that does not involve partnership but is an important role for philanthropy in the public sphere is public policy advocacy. Stephen Huddart, President of the J.W. McConnell Family Foundation, noted the importance of the long history of charitable organizations in taking positions on matters of public interest:

“There’s a need for informed debate, a diversity of views, on these kinds of issues, and this sector is good at doing that.”

Dr. Roger Gibbins, putting the case even more strongly for charities, including charitable foundations, to be involved in public policy work, said in 2016: “Charitable status and the financial benefits it conveys create a moral imperative to pursue the public good and to be engaged as policy advocates in political and ethical debates about policy and social change. The very concept of a charity carries with it an obligation for policy advocacy that sets charities apart from the private and more broadly defined nonprofit sectors. In short, charitable status confers a privileged position that comes at a price: that charities necessarily assume a moral obligation to pursue the public good.”

4 http://www.metronews.ca/news/canada/2012/05/09/wealthy-foundations-fearing-charity-chill.html
5 http://thephilanthropist.ca/2016/02/the-moral-imperative-for-policy-advocacy/
Prof. Henry Mintzberg of McGill University has also made a strong case for more collaboration between what he calls the “plural” (or non-profit) sector and the public sector. In a recent article entitled Time for the Plural Sector⁶, he noted that a healthy society requires a respected public sector, a responsible private sector, and a robust plural sector, all three working in balance and in collaboration.

Beyond advocacy, many foundations are now seeing possibilities for policy change if they work together to influence governments. PFC and Community Foundations of Canada (CFC), both created in the 1990s, have worked over the last twenty years to provide the infrastructure for philanthropic funders to meet, share and work with each other. In doing so, funders have learned more about the individual examples of philanthropic work on public policy issues. They also have learned more about examples of successful collaboration with government and about opportunities for working together.

Other factors that help understand the acceleration of funder interest in working with government include:

- The hiring of staff leaders in foundations who are experienced with government/policy work, and who understand the pathways that foundations need to take through government to achieve greatest impact. Examples cited in interviews included Charles Pascal at the Atkinson Foundation, Allan Northcott at the Max Bell Foundation, and Karen Wilkie at the Carthy Foundation.

- Greater understanding by foundations on the impact of collaboration. This was well captured in a PFC report on how and why philanthropic organizations are working together towards shared goals.⁷

- Foundations learning from their peers’ work with government in flow-through grantmaking, in co-ventured initiatives, and particularly in informing government’s role in policy making. As governments seek to augment their policy capacity, and to work cross sectorally particularly on innovative policy ideas, foundations are seeing the possibilities of helping government test what works and mitigating risks of change.

### 2.2 From the Government Perspective

Government policy makers know that in an increasingly complex world where change is constant and where the very nature of the role of government is in transition, they need to be connected with new ideas and innovations in the community. Government is evolving, from being a delivery state to a relational state – a shift from a state that does things to or for people to one that more often does things with them. This is captured in a 2012 UK Institute for Public Policy Research paper:

“Governments are sometimes described as monoliths. But they are more accurately thought of as flotillas of disparate elements, from core functions of security and governance to the diverse roles of doctors in hospitals, teachers, police officers, tax collectors, refuse collectors, planning officials and many more besides… Over time, the balance between these different types of roles has shifted radically. Seen in the very long view, government can be understood as passing through three stages:

- In the first stage, government stands over the people, as warrior, policeman, tax-collector (at worst, as a predator; at best, as a paternalistic protector).
- In the second, government becomes a provider, offering welfare, education and health for a largely passive public.
In the third, government increasingly acts with the public to achieve common goals, sharing knowledge, resources and power.

These three stages are natural evolutions of democracy, and of rising numbers of better-educated and more confident citizens. With each stage, the functions of the earlier stage don’t disappear, but they become less central.\(^8\)

Citizens are better informed today and expect more transparent, accessible, and responsive services from the public sector. Governments are being asked to allow citizens into policy-making.

This need for engaging with citizens around new ideas can be met and facilitated through philanthropic initiatives. Over time, philanthropic funders can create non-partisan sustained effort through convening, research and the offer of expertise on issues to support government efforts in breaking new ground on common issues. As an example of this kind of effort, a recent collective impact approach between funders and the government of Ontario, Youth CI\(^9\) is breaking ground on addressing the problem of disengaged youth who too often end up in the criminal justice system in Ontario. All parties recognized that a significant portion of youth in Ontario are not doing well, measured in terms of high school completion and incarceration rates. A collective impact initiative has brought foundations working in this area such as Laidlaw and McConnell together with government and communities to tackle the systems and policy changes that get to better outcomes. The foresight and commitment of a government senior official at their table ensured that the dialogue had potential for actual system change.

Governments are policy informed, and ideally evidence-driven. Another example of how philanthropic funders can collaborate with government to bring the necessary evidence to the table is the Palix Foundation in Alberta which has been working for years to develop an Alberta Family Wellness Initiative, bringing to the government of Alberta science-based evidence and data on practices to improve family health outcomes at a systemic and policy level. See the case study on p. 19.

An important shift in government taking place in this decade is a demographic shift in workforce. All levels of government in Canada are preparing for the retirement of a large component of their workforces, many of them career civil servants. With this change will come some challenges resulting from loss of experience and expertise. But it may also create or open up a context for policy innovation, partnership and the co-creation of new solutions.

\(^{9}\) http://www.children.gov.on.ca/htdocs/English/professionals/oyap/index.aspx
3.0

THE PARADOXES OF WORKING WITH GOVERNMENT
So how does a foundation start to think about working with government? To bridge the previous section on the context and the next section on the practicalities of how to do this work, it is helpful to take a look at some of the paradoxes of philanthropic-public partnerships. The findings from the interviews and case studies suggest that there are fundamental differences between the perspectives and situations of philanthropic funders and of government policy makers. F. Scott Fitzgerald noted that the test of a first-rate intelligence is the ability to hold two opposed ideas in mind at the same time and still retain the ability to function. In the case of funder work with government, it is important to understand the potential paradoxes and with that understanding to come up with something that works from both angles.

**Paradox 1:** Governments make policy change but foundations are not always the best partners for policy change.

Foundations need to do their own deep thinking and analysis about if/when government is the right partner for them. Governments can work with foundations on multiple issues in multiple geographies using a variety of tools. But they could also turn to charities and community partners. For both funders and governments, building the capacity of the charitable and community sector to do its own advocacy and public policy work is an equally important or effective tool to achieve policy or systemic changes. The Muttart Foundation’s work in strengthening the charitable sector\(^{10}\) and Max Bell Foundation’s Public Policy Training Institute\(^{11}\), for example, support Canadian charities in continuing to help inform and shape public policy at municipal, provincial, and federal levels. These funders choose to work with community partners as much as or more than with government partners to achieve policy change goals.

**Paradox 2:** Foundations’ traditional strength is funding. But governments don’t need funding as much as they need networks, information and ideas.

The total amount of foundation funding in Canada is a fraction of municipal, provincial and federal government funding. So funding itself is not the most powerful tool that foundations bring to the table with government. The following examples show the types of initiatives where a small strategic investment of philanthropic funds made a difference:

- Three private foundations supporting urban environmental sustainability underwrote funding to enable the creation of a network of sustainable cities. Individual municipalities did not have the mandate or funding to support such a pan-Canadian network. Without foundation intervention, isolated efforts would limit the growth of this movement and work in Canada.
- A private foundation was concerned that its provincial government had lost the capacity to develop sound public policy frameworks. Seeing the potential for rebuilding this capacity, the foundation brokered a safe space for discussions that helped develop policy frameworks for critical areas the stakeholders felt were priorities. When the political environment became more responsive, the stakeholders were in a position to put forward frameworks for discussion with government. Over time, they have become trusted knowledge brokers, and continue to play a bridging role between the community and public policy makers.
A private foundation realized that public officials across provincial governments simply did not have adequate funding to meet together regularly to discuss policy innovation and practice in the field of mental health. With a small amount of sustained funding, these officials began to convene and accelerate their learning or translation of mental health research into improved patient care.

Other examples of foundations playing a catalytic role in public policy can be found in a 2016 article by Dr. Peter Elson, “Systems Change Agents.” See Appendix A.

**Paradox 3: Governments want change but don’t like risk**

Foundations can act as social R & D or pilot funders, taking on the risks when the outcomes of a project are unknown. Their early investment helps identify what works/doesn’t work and what is interesting enough to try scaling up or out. In practice, interview respondents noted that philanthropy should not create or promote new risks or new areas of risk for government, unless there is a deep basis for it, and unless funders are prepared to help mitigate the risks for government. Philanthropy needs to provide protective factors to help navigate the relationship.

An example of philanthropy’s intervention to help manage risks in the development of social finance in Canada, The Canadian Social Finance Task Force, created through philanthropic funding, called on institutional investors, corporations, philanthropists, foundations and governments to work together to build a robust impact investing marketplace in Canada. The Task Force Report by itself was not sufficient to foster social finance innovation. Funders and charities have had to explore and test impact investing in the charitable sector, through loans, and outcomes-based financing experiments. As the learnings multiply and the risks of the unknown diminish, governments are starting to move in this direction with their own investigation and potential policy changes.

**Paradox 4: More accountability can mean less partnership**

Governments obtain their mandate through election by citizens and voters. Foundations are accountable to their boards, members, and sometimes broader stakeholders. Government operates in the public domain and is constantly scrutinized by the public and media. Foundations can operate with minimal external visibility and reporting to government, although many do choose to be fully transparent and accountable to the public. These differences make more formal philanthropic-public partnership structures very difficult to manage long-term.
An important learning in this regard was shared by Jean-Marc Chouinard of the Lucie and André Chagnon Foundation, in a thoughtful paper shared at a PFC Symposium in 2015. The Lucie and André Chagnon Foundation and the Government of Québec agreed to a ten-year funding partnership to support families and children especially those in poverty. The unfamiliarity of Québec society with philanthropy combined with concerns about the legitimacy of a large private philanthropic organization led to many critical questions about this partnership from the Quebec public. Chouinard framed the key question for foundations working with government as follows:

“How can philanthropy gain the social acceptability that will allow it to become an actor capable of influencing public policy? Although this is a question that we continue to ponder, the lessons learned from our past experiences have confirmed to us that, in Quebec, social acceptability is hard to establish if our ties with the government are in the form of a joint venture, as in our past initiatives.”

Partnership, or joint ventures, raise the issue of who decides and from whom the partners take direction. Voters and foundation board members are in very different categories. This is a context to bear in mind.

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Jean-Marc Chouinard, President, The Lucie and André Chagnon Foundation

4.0
THE FUNDAMENTALS OF WORKING WITH GOVERNMENT
4.1 Why Work With Government?

A key role of government is to improve the quality of life of citizens, a mandate that is consistent with philanthropy’s aims. Every issue a foundation may choose to work on will intersect with government at some level. Working with government is an attractive strategy if a foundation has identified the broader social and environmental outcomes that it seeks, wants to work to change the public systems within which these outcomes will be achieved, and if there is reasonable probability that these outcomes are aligned with those sought by government. Alternatively, a foundation can bring to government’s attention an emerging issue, or one that needs to be prioritized by government. It may be difficult to achieve this if the issue is not already in the top priorities of government. Some foundations working with government nevertheless believe that this exactly what a philanthropic funder should do.

Safe injection sites in Vancouver are an example of a situation where a foundation actively highlighted need and ultimately drew government support. Another example of how a foundation can demonstrate a new approach is the Martin Family Initiative’s work with Indigenous communities, specifically the Model School Literacy Project – where the Foundation showed that new models could be applied in secondary education to help Indigenous students succeed, and which has led to change in government approach to funding this work. In another example, Community Foundations of Canada offers government a leveraged platform for efficient and effective funding distribution into communities. Two current federal government initiatives, Canada 150 and the settlement of Syrian refugees, were able to use CFC’s network to disburse government funds across more communities.

Interviewees summed up their answers to the question of why work with government with a range of responses:

- It is an opportunity to help government think in different ways and help it do its business differently.
- We can bring issues onto the radar that may not already be there, or bring back important issues that fall off the radar.
- We can afford to take risks and make mistakes that government can’t.
- We have the luxury of outlasting changes of government.
- We see things from a very long term perspective.
- We have fewer constraints in what we can do with our funding.
- Government is your scaling strategy.
CASE STUDY

Mission: Based in Canada and open to the world, GBF aims to be a catalyst in bringing about transformational changes that significantly improve the lives of people with or at risk of mental illness.

Motivated by their personal experience of what they saw as the failure of the mental health care system – poor access, misdiagnoses and improper care and supervision – the Boeckh family set up the Graham Boeckh Foundation to improve how patients with mental illness and families are treated in Canada.

The Foundation’s goal is to be a catalyst for transforming mental health services by initiating a suite of strategic projects. At the core of the Foundation’s strategy is fostering collaboration, breaking down the silos within the mental health sector and placing patients and families at the centre of care.

Why work with government?

The Foundation understood that to have a broad impact on society, government would need to be a key partner in the mission of addressing mental health. Government involvement and support were integral to creating fundamental change in the mental health care system in Canada. The Foundation saw its role as a catalyst that could infuse innovation into the system and that could help government leverage philanthropic support.

Where and how to start: The Foundation started by getting to know people within the philanthropic and government sectors and also learning about the mental health care system. “There is no substitute to getting out of the office and meeting people, attending conferences and learning.” As a relatively new Foundation, it looked to the large systems change work undertaken by other foundations including the J.W. McConnell Family Foundation, and drew on their experience. Foundation board members started to engage in multiple ways, on the board of mental health related organizations, attending conferences and starting to build a network of contacts in the field. Early projects included creating one of North America’s first chairs in schizophrenia research, established at the Douglas Institute of McGill University, and a three-year commitment, partnering with the Mental Illness Foundation, to bring the school-based outreach program Solidaires pour la vie (Partners for Life), to English schools in Quebec. As their experience and understanding grew, the Foundation, working with RAND Europe, established the International Alliance of Mental Health Research Funders. Through this collaborative of the largest and most innovative mental health research funders in the world, the funders can learn and implement strategies to increase the impact of their investments on society.

As the Foundation’s confidence grew, it explored a joint venture with the Canadian Institutes of Health Research (CIHR), Canada’s national health research funder. This was its first experience with a quasi-governmental partner, and the Foundation was presented with an interesting opportunity to invest in a Pan-Canadian network to demonstrate and evaluate a transformation in the youth mental health care system in 12 community sites across Canada. The total investment required was $25M over 5 years. The Foundation contributed half of this. This was a risky investment at multiple levels but the Foundation brought an entrepreneurial risk assessment analysis and determined that this risk was worth taking. The dividends have been huge. They include follow-up opportunities to develop large, joint venture projects with a number of provinces, to be a catalyst for the development of a National Centre of Excellence in youth mental health and to be a catalyst for the transformation of the mental health care systems across Canada and internationally.
The Foundation did not see itself as lobbying or as being only a funding partner. It wanted to have an impact that would be broadly felt, and to be a thought-partner, adding value in the discussions, framing and implementation of the strategy. The governance structures ensured joint decision-making. In order to develop joint-ventures with governments, the Foundation works closely with mid-level and senior government staff who are responsible for mental health care policy.

The Foundation is also an active member of the Mental Health and Wellness Affinity Group. This affinity group is comprised of Canadian-based philanthropic funders with programs in the area of mental health and wellness. The Foundation believes in fostering collective learning opportunities, knowledge exchange and collaborative funding. The initiative is organized under the umbrella of Philanthropic Foundations Canada.

**Key Challenges**

Changing systems is “scary” work for government. The Foundation was fortunate. It did a lot of homework, built sound relationships, worked quietly and persistently and understood the sector and the issues. And at the right time, it has been able to develop projects in which governments are intimate partners.

One key challenge the Foundation worked through was in navigating the pace, and recognizing that it was government that dictated the pace at which progress was made. Understanding culture and context varies depending on the level of government and from province to province. It found the Chagnon Foundation’s work and learnings were of enormous help in understanding culture and context particularly in Quebec. Flexibility in its thinking and approach were key to the success of the initiatives.

Persistence was an important attribute at every stage. It helped the Foundation take a long view and find the “early adopters” who were willing to test out new ways of doing things. No level of government wants to be seen as a laggard and so the early adopters who help get an initiative off the ground can help inform projects developed with other provinces. The Foundation is currently working to help develop a system to promote learning and sharing of methods and lessons across the provinces and territories.

The Foundation primarily worked at the mid to senior staff levels of government, recognizing that policy is within the purview of this level. Staff change, however, is a reality and something to be anticipated and managed. Any system-wide change initiative needs a champion, but always needs broad-based understanding and buy-in, usually across multiple ministries/government levels and non-government organizations. This engagement across multiple sectors helps to build buy-in and momentum and will ultimately help to sustain the initiatives despite government personnel changes and election cycles.

**Additional Resources**

http://grahamboeckhfoundation.org/
http://pfc.ca/resources/profiles-in-philanthropy/graham-boeckh-foundation/
4.2 Where and How to Start

Working with government requires a sophisticated approach and strategy, with much courage and patience, and some lucky breaks along the way.

Here are some questions to explore in deciding whether you want to work with government:

Do you have a clear vision and sense of outcomes on the issues you care about? Have you developed a theory of change, or how you and your partners are going to achieve the outcomes you seek?

Find out who else is working in this system. Do you have a systems map? Who is working on what? Have you spoken with them? What is their niche and where is their sphere of influence? Can they be potential partners? Are they interested in working with government?

Talk to others about your issue. What do their findings tell you about success factors? Is there research or evidence that can help you decide how to move forward? Who is working on your issue in government? There are many different players in government. For instance, if you are working on youth at risk, mandates for this area may cross three or four ministries. Within each ministry, there are different divisions with different responsibilities. Read public statements from government on your issue: priority speeches and news releases, strategy documents, budgets etc. Find out what government contacts are reading, who they are speaking to, or following. Look into what other governments around the world are doing on this issue.

Who is working on your issue in government? There are many different players in government. For instance, if you are working on youth at risk, mandates for this area may cross three or four ministries. Within each ministry, there are different divisions with different responsibilities. Read public statements from government on your issue: priority speeches and news releases, strategy documents, budgets etc. Find out what government contacts are reading, who they are speaking to, or following. Look into what other governments around the world are doing on this issue.

Where is this issue on the government’s priority list? Has it consulted on the issue or on related topics? For an example of how to check on government consultations see the Canadian Government website www.consultingcanadians.gc.ca which provides a structured, single-point of access to on-line and off-line consultations including a list of current consultations under way across government departments and agencies; when consultations are scheduled to take place, with a search function and consultations that have been completed, including links to background information and reports.
Here are some of the ways in which a funder can start working with government:

Identify the right place (ministry, department, etc.) and individual in government. Get an introduction through someone who knows them. Or make a cold call. There is often receptivity at the other end.

Decide what you want to ask from a government policy maker. Are you calling to ask for information, to pitch an idea, to gather information, to invite them to a meeting? Take some easy first steps and then deepen the relationship if there is openness and the possibility of working together in some way.

Approach the right level of government to get traction on your issue. A foundation with a local mandate may find it a challenge to shape a national conversation. Municipal and sometimes provincial governments are easier to approach.

**Building relationships is the single most critical success factor** in working with government partners. Many funders interviewed suggested that it was important to find the social intrapreneurs within government. They are often open to new ideas, and more eager to explore ways of increasing government impact. Often they have worked outside government and understand the broader community sector, so they can bring this experience into their government roles. But building a single relationship is not a sustainable approach. Most issues within government are connected to other issue areas (homelessness touches housing, income support, mental health, etc.). Respondents suggested building a web of relationships across and within ministries, up to the Deputy Minister and Assistant Deputy Minister levels.

There is no one approach to where to start. It depends on the issue and on what you are trying to achieve. Some suggested starting at the very top, at the political level, even knowing that you will be referred into the system. Others suggested that starting too low down in the bureaucracy may slow progress. Deputy Ministers are responsible for policy, and so are critical stakeholders with the greatest potential for impact.

For significant policy change to happen, decision-making authority rests with politicians, so building relationships at this level may be part of your strategy. The offices of premiers and prime ministers, as well as the offices of Finance and Treasury ministers are key players for the biggest decisions. However, they do not make major policy decisions without supporting evidence, hence the need for a multi-dimensional and multi-input approach.
Created in 1997, the Palix Foundation (originally named the Norlien Foundation), is a private foundation based in Alberta. The Foundation aims to contribute to improving health and well-being outcomes for all children and families by mobilizing synthesized science about early brain and biological development as these relate to early childhood development, mental health, and addiction throughout life (i.e. the “Brain Story” or core story of brain development). This brain story was developed by the Harvard Center on the Developing Child in collaboration with the FrameWorks Institute and is the foundation of everything Palix invests in. Looking for systems change, the Foundation does not focus on a specific issue, but rather on the system-wide awareness and application of this scientific knowledge to enhance the understanding of the link between early life experiences and brain development and lead to more effective policy and practice across health, human services, justice and education.

The Foundation established the Alberta Family Wellness Initiative (AFWI) in 2007. The goal of AFWI is to contribute to improving health and wellness outcomes for all while reducing the burden that complex health and social issues rooted in adverse childhood experiences and intergenerational factors have on public systems (education, health, human services, justice). Rather than advocating for new programs or new funding, the Foundation and AFWI work with leaders and experts in the system to improve on and change existing programs, policies and practices based on a common understanding of the brain story and a common language around it.

Government has been a partner and collaborator in the AFWI process since the beginning. Such collaboration has included providing financial support for the initial multiyear AFWI symposia series and allowing government staff to attend. Since these initial collaborations, the Foundation’s relationship with the government continues to evolve. AFWI staff now regularly present to, meet and interact with government colleagues at all levels both informally and as members of government-led committees and working groups to continue to advance strategies, incentives, projects and processes to embed the brain story into policy and practice. Through these relationships and exposure to the brain story, policy and systems change has been and continues to be catalysed. Indeed, in late 2016, Alberta Human Services decided that the agencies it funds must now know about brain and child development, loss, grief and trauma to receive funding. This is a monumental demonstration of government “pull” for the knowledge stemming from AFWI’s multiyear knowledge mobilization and relationship building efforts.

Why work with government?

For the Foundation, the science was compelling and it did not believe that making small funding investments or working on specific issues would contribute to a fundamental shift in approach. The Foundation was interested in a long term shift in public understanding of the importance of basing public policy on the science of early development, and the mobilization and application of this knowledge. It believed this science could compel policy makers away from ideology or interest-based policy to science-based policy, applied in the context in which families lived in communities. Government sets policy and makes funding decisions. The Foundation has developed and maintains important relationships with the Government of Alberta across relevant ministries (health, human services, justice, education, advanced education). It works initially at leadership levels (Deputy Ministers and Assistant Deputy Ministers) to secure buy-in before working broadly across staff levels. This approach has worked well over the years and engagement continues as new staff are appointed and new relationships need to be built.

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16 The Foundation collaborates with the Alberta government, primarily at the bureaucratic level, to achieve its aims, as well as municipal governments. Its knowledge mobilization efforts are also increasing at the federal level.
Where and how to start:

Once the Foundation mapped out how it wanted to do its work, it made an important decision to recruit a former Alberta government Deputy Minister to lead AFWI in its formative years. This brought a set of insights and relationships that AFWI was able to leverage to start the conversations and convene different governmental and non-governmental individuals and organizations involved in achieving better outcomes.

Different ways of partnering with government:

The Foundation took a multi-pronged approach towards achieving its mission. These included:

- Establishing an intermediary organization, AFWI, that could partner with universities and governments and fund initiatives focused on mobilizing and applying scientific knowledge;
- In collaboration with government, mobilizing the brain story knowledge through a multiyear symposia series that included a broad range of disciplines and sectors, from research and healthcare to government, justice, and social services. Through intensive sessions, workshops, and activities, the participants increased their knowledge about brain development and its link to addiction and mental health outcomes while broadening their networks. The symposia initially focused on building knowledge and then on the application of that knowledge into policy and practice.
- Supporting educational opportunities, professional development and training that was made available to all including government leaders and staff. AFWI partnered with leading experts and institutions across North America to develop educational tools, curricula, and training programs for those working in the fields of child development, mental health, and addiction. Based on increasing demand for the knowledge, a recent initiative (December 2016) was the creation of freely accessible and available online brain story certification course directed at front line workers, but open to all.19
- Creating a collegiate network of knowledge equipped change agents from across government and the community that came together to learn, plan and move forward together.
- Working with government to fund pilot projects to test new interventions based on the brain story.

Key challenges to prepare for:

Time frames in working with government are longer and their accountability framework is different. The Foundation’s experience is that it takes a long time to get to a common framework of understanding of what science-based policy is and the extent to which it needs to be understood and implemented. Critical to the success of any effort is to embed knowledge into the system, so it does not become subject to political shifts and dependent on an evolving flavour of the day. Because individuals shift roles within government at both the administrative and political staffing systems fairly often, it is very important to find opportunities to meet with new staff and leaders to build and maintain relationships.

Additional Resources

Additional information on the Palix Foundation can be found at http://www.palixfoundation.org/
The work of the Alberta Family Wellness Initiative is available at http://www.albertafamilywellness.org/
4.3 Approaches to Partnering With Government

Each collaboration between a foundation and government is unique, and can involve both financial and non-financial mechanisms. In each case, the clarity of purpose and alignment of outcomes are key ingredients for success. The methodology of getting to shared clarity can be challenging but it is through negotiation that mutual understanding emerges.

Financial Partnerships or Collaborations:

- **Foundation funding government directly.** The Carnegie funding for libraries in Toronto and Rockefeller funding of a Chief Resiliency Officer for a municipal government are examples. This can be controversial (why should foundations fund government directly?) but can be an effective use of philanthropic resources to close gaps or to catalyze new activity that may otherwise not move forward.

- **Foundations distributing money on behalf of government.** Community foundations have been examples of this, bringing their expertise and knowledge of the community as part of this process. The Winnipeg Foundation partnered with Canadian Heritage’s Canada Cultural Investment Fund for arts endowments to help 21 charitable arts groups secure six times more gifts. The Vancouver Foundation delivered funds for the City of Vancouver through the Greenest City Fund.

- **Foundations co-funding with government:** the Graham Boeckh Foundation collaborated with the Canadian Institutes of Health Research to bring more funding to innovations in mental health treatment for youth. This became work with multiple national and provincial partners, all focused on bringing about transformational changes for young people with or at risk of mental illness. See case study on p.15.

The methodology of getting to shared clarity can be challenging but it is through negotiation that mutual understanding emerges.
Non-Financial Partnerships or Collaborations:

- Fund and share research and knowledge, particularly from a community perspective, that can be brought to governments to shape policy and make funding decisions.

- Contribute to policy dialogue by participating in task forces, round tables, think tanks, etc. Foundations also have the opportunity to host dialogues for government or to invite government representatives to attend and or to speak at their hosted dialogues or conferences and round tables.

- Fund a spectrum of alternative perspectives on issues. The ongoing debates on economy and sustainable development in Canada are examples where a range of voices can be heard, through processes facilitated by philanthropic funders. An example is the Ecofiscal Commission\(^\text{23}\), an environmental policy think tank funded by several foundations.

- Help develop alternate ways of assisting the government to look at policy innovation. An example is the Bealight Foundation and its partner organization Social Capital Partners who have brought an entrepreneurial approach to creating employment for people with employment challenges. The foundation funded Deloitte to do a white paper that was used as the basis for dialogue with the provincial government in Ontario.\(^\text{24}\)

- Support policy development through other charitable sector partners. An example is McConnell’s support of PLAN\(^\text{25}\) that ultimately led to the creation of a Retirement Disability Savings Plan in Canada.

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23 [www.ecofiscal.ca](http://www.ecofiscal.ca)
Community Foundations of Canada (CFC) is the national network for Canada’s 191 community foundations. CFC’s vision is to work across sectors to help Canadians invest in making communities better places to live, work and play. From large cities to small towns, some 90% of Canadian communities have access to a community foundation. Canada’s community foundations hold combined assets of more than $5.1 billion and annually grant about $250M back into the communities they serve.

Community foundations have partnered with government in multiple ways over many years. Here are some examples:

In Ontario in 2015, CFC created the Youth Catalyst Fund\(^26\) to invest in social enterprises across Ontario that create employment opportunities for young people facing job barriers. The funds were provided to CFC through the Government of Ontario’s Social Enterprise Demonstration Fund. To create this partnership, CFC responded to a public grant competition. It was successful by articulating how its interests aligned with those of the government. The Government of Ontario was looking to unlock capital for local social enterprises and CFC was eager to increase its leadership on impact investing and create on-ramps for community foundations wanting to learn and get engaged.

CFC has partnered with the Government of Canada on the Community Fund for Canada’s 150th\(^27\). This program leverages support from over 160 community foundations across Canada (as of Feb 2017) to make thousands of small grants across the country that build a community legacy around Canada’s 150th.

In 2016 CFC established the Welcome Fund for Syrian Refugees to provide housing, job training and skills development support for the 35,000+ refugees who were welcomed in communities across Canada, supplementing the work of the Federal Government and communities across the country involved in the Syrian refugee settlement efforts\(^28\).

This government partnership is unique in that there is no formal agreement between CFC and the Government of Canada. Funding came from the corporate sector, most notably Manulife, CN and GM. The nature of the relationship with the government was around shared outcomes, strategy development, and data and information sharing. By identifying CFC as a focal point for corporate donations, the government created momentum for the Fund. CFC’s capacity to intermediate between those interests, community needs and the government’s ongoing operations, were the key value add in this partnership. CFC and the Government of Canada communicated regularly to discuss priorities and next steps, and to collaborate on public and media event, and this ongoing conversation was key to ensuring a successful relationship.

\textbf{Why work with government?}

Working with the federal and provincial governments allows the community foundation movement to leverage its local capacity, knowledge and relationships and offers opportunities to scale up and connect work across the communities being served.
In some instances, CFC or community foundations have been approached by government interested in using their existing platforms for government grants. In others, government has been interested in accessing CFC’s expertise in, for example, impact investing and social enterprise work. In the case of the Welcome Fund, community foundations’ deep local expertise, extensive coverage of communities that would be settling refugees across Canada, and CFC’s data and insights gained through Vital Signs and other community-based connections, made it a compelling partner for government to strengthen the Syrian refugee settlement process. The Community Fund for Canada’s 150th taps into CFC’s cross-Canada network and the deep community knowledge of community foundations, to help mobilize and distribute the funding across the country targeting the most meaningful and impactful grant opportunities.

**Different ways of partnering with government**

Monitoring the issuance of government RFPs is one way to keep track of work that may be of interest for a foundation or network. Even more important is being present in various ways to create awareness within government, including attending meetings, conferences, participating on working groups and policy dialogues, where issues of interest are being addressed.

**When government is not an appropriate partner**

Foundations have to be clear on the role of philanthropy, and of the value that they bring. In partnering with government, foundations should pay attention to the extent they may be supplying charitable funding to replace government responsibilities, or entering into directions or decisions that should require broad input from the public through consultations or democratic votes. In a positive sense, foundations add strong value when they support initiatives that contribute to policy change, through pilot programs, and through new initiatives that bring ideas, options or voices onto the government’s radar. Such initiatives, however, should bridge back to government which has ultimate responsibility.

The nature of the relationship is also important. Where there is no room for flexibility and shared learning in the discussions, for example the government proposes a 50-page agreement with no possibility for negotiation or evolution, this may not be the right opportunity for a foundation to enter into. CFC’s experience is that these documents are prepared for large contractors, for government-wide procurement services, or for other partners to whom government work is out-sourced. They may end up tying the foundation to an approach, a methodology or a timeline that cannot be subsequently shifted even when it makes sense to do so.

**Key challenges to prepare for:**

There is no uniformity on how governments or departments within government operate. So each initiative needs to be considered in terms of the opportunity for partnering, the context within which that will happen and the terms of the relationship. The scale of government operations can take some time to get used to- government processes are heavy, and they may not always be nimble or clear to navigate.

CFC has found that working with government adds tremendous value when the relationship goes beyond an exclusively financial one. CFC’s experience suggests that where there is alignment around desired outcomes, the strength of its network can be leveraged for great results. Ongoing communication with government partners becomes a critical success factor.

**Additional Resources**

Additional information on Community Foundations of Canada can be found at [http://communityfoundations.ca/](http://communityfoundations.ca/).
4.4 When Government is Not an Appropriate Partner

As attractive as government may seem as a partner, it is not always appropriate to pursue this path. As one respondent noted, “If they are inflexible and want to lock down ideas and methodology, don’t get stuck but work around it.”

If an issue is not on the government’s top priority list, many suggest it’s not going to happen. But to others, that simply means the approach has to change. Rather than get government to re-focus its attention, a foundation can pursue other avenues. For example, seed-funding some initiatives that start the momentum for change and will provide the proof of concept for when the time is ready.

When the risk/reward lens suggests that the initiative will create new risks or elevate risks for government, a foundation needs to step carefully. Pipeline developments and safe injection sites were mentioned by interviewees as contentious issues on which philanthropic funders have had to move cautiously. In these cases, some foundations faced criticism from government, but that did not deter them from focusing on the intent of the funding, i.e. to ensure all voices, even dissenting ones, were heard, thus giving voice to civil society in its broadest forms.

Foundations that do not require public recognition or credit may find it easier to work with government. Governments wish to be in charge of and fully accountable for their decisions. Having others take or share credit as influencers and supporters can be problematic at multiple levels. The Lucie et André Chagnon Foundation’s experience and learnings in this regard was highlighted earlier, with reference to the question of social license. Many private funders noted that much of their significant contribution may only be recognized in a footnote, if at all. Some are publicly acknowledged at a signing of an agreement, others were not. Thus, the need for public recognition is a question that philanthropic funders should not neglect to address before they enter into work with government.

4.5 Key Challenges for Funders

Patience: Working with government requires patience. One private foundation noted that it took five years before they gained the confidence and trust of a government partner. Others moved more quickly, depending on the receptivity and relationships. Patience relates not just to timing, but also to the time it takes to build a government partner’s understanding of the nuances and complexities a foundation partner brings to the conversation. Government policy

When the risk/reward lens suggests that the initiative will create new risks or elevate risks for government, a foundation needs to step carefully.
Government policy makers are often not aware of the role/mandate of the philanthropic sector, the specific foundation that approaches them, their motivation, who they represent, who they are accountable to, etc. Time is required to lay the groundwork.

**Cultural differences:** Cultural difference should be noted but is not always problematic. Some respondents did not find that cultural differences mattered at all. One noted that the culture of foundations is closer to government than to the corporate sector. Governments and foundations are focused on a public benefit mission, and can have complementary strengths. The majority of respondents felt that this reality, once accepted, helped the parties and discussions move forward. Government decision making is a circuitous process, and unpredictable. Some noted that foundations can also work in this way even though they are generally much smaller and should be more nimble.

**Complexity of Process:** Government operations are complicated. Foundations may be surprised for example that their funding agreement needs to go through the government procurement process. From the government’s point of view, procurement policies are in place for good reason. But there is minimal flexibility in that process. If this is likely to be a problem, it is important for a foundation to inform itself at the outset. Knowing about government processes and their requirements may save a lot of time and frustration further along the way.

**Complexity of issues:** Working with government can be complex, with outcomes that are difficult for any individual foundation or funder to claim. As one respondent noted, even those working in government have challenges navigating through their systems. Governments have many stakeholders. Not all are aligned on their perspectives and demands. On any given issue, they will have multiple internal and external competing demands. A foundation may not be the only voice on an issue and may not easily get to the top of the stakeholder list. Depending on the issue and the desired outcomes, an approach that brings foundations together first, followed by a coordinated effort to influence government can be very powerful.
4.6 Final Thoughts

Canadian foundations working with government have made great strides in moving policy agendas forward in the past few years. This work has generated much useful learning.

Funders are likely to continue to be both important partners and honest brokers in helping government do its work, and take advantage of the policy innovations that can help improve the quality of life of all Canadians.

The final word on the topic of philanthropy working with government is best captured by Jean-Marc Chouinard, President of The Lucie and André Chagnon Foundation who articulated the importance of collaborative philanthropic-public partnerships in this way:

"The essence of philanthropic action is still rather unclear for many state officials and bureaucrats. Many different opinions and judgements exist and more important they still do not appreciate the scope and flexibility we have for innovation (time, risk and testing possibilities).

Most important, strategic philanthropy, informed by a risk-taking culture that wants to advance innovative ideas about a better society, is more critical than ever.

It is with stronger partnerships with diverse communities, private and public leaders, that we can forge pathways to this safer, healthier and more just and prosperous future for the many, not just the few. In the final analysis, we continue to believe that the best ideas need to be turned into sustainable public policies. The quest for understanding how best to work with governments will be key. The learning in this regard must continue."

APPENDIX A

Resources


APPENDIX B

List of Interviewees

FUNDERS

Bill Young, Bealight Foundation, Ontario
Shelley Uytterhagen, Carly Foundation, Alberta
Karen Wilkie, Carly Foundation, Alberta
Sara Lyons, Community Foundations of Canada, Québec
Sandy Houston, George Cedric Metcalf Charitable Foundation, Ontario
Ian Boeckh, Fondation Graham Boeckh Foundation, Québec
Stephen Huddart, J. W. McConnell Family Foundation, Québec
Jean-Marc Chouinard, Lucie and André Chagnon Foundation, Québec
Lucie Santoro, Martin Aboriginal Education Initiative, Québec
Allan Northcott, Max Bell Foundation, Alberta
Christopher Smith, Muttart Foundation, Alberta
Michelle Gagnon, Palix Foundation, Alberta
Kevin McCort, Vancouver Foundation, BC
Rick Frost, Winnipeg Foundation, Manitoba

GOVERNMENT

Alexander Bezzina, Former Deputy Minister, Ministry of Children and Youth Services (Ontario government)
Sadhu Johnston, City Manager, City of Vancouver

APPENDIX C

Interview Questions

- Please provide some context on your specific experience of working with government (at any level including municipal, provincial, federal, Indigenous).
- Why work with government? When is it appropriate? Are there times when it is not appropriate?
- What are some of the challenges you have encountered? And what have you seen as opportunities?
- What are some principles in your view that could guide foundations in working in this area?
- Working at the political, bureaucratic or administrative levels. Could you comment on the experience you may have had in working at each of these levels and any differences you see?
- What are some boundaries and limitations in this work, including any imposed by CRA?
- What are some avenues for identifying potential government partners?
- Do you see different cultures and accountability structures as barriers in a philanthropic-government partnership?
- What are some conditions for success in working with government partners?
- Can you think of some examples of foundations working with government that have been successful?
- Are there others that have not worked? Why?