

# STRATEGIC PLAN



2018•2023

## Definitions

<b>Strategic Plan</b>	A plan which defines the priorities, focus, and overall institutional objectives of the Forum over the five-year period.
<b>Mission Statement</b>	A statement which defines the Forum's underlying motivation for being in business. It describes the contribution to society that the Forum aspires to make.
<b>Goals</b>	The primary targets of the Forum's Strategic Plan.
<b>Strategic Objectives</b>	The associated objectives of each goal. Achievement of these objectives is necessary for the Strategic Plan to be deemed a success.
<b>KPIs</b>	Key Performance Indicators represent the mechanism for monitoring and measuring progress towards results achievement.
<b>ToC</b>	Theory of Change.

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Forum of Federations

The Global Network on Federalism and Devolved Governance

# ► STRATEGIC PLAN 2018-2023

PREPARED BY LIAM WHITTINGTON,  
HUSSEIN AMERY & MARIANE ARSENAULT

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## EXECUTIVE SUMMARY

The Forum of Federation's Five-Year Strategic Plan establishes the overall aims for the work of the organization for the period from 1 April 2018 to 31 March 2023.

It presents the goals and strategic objectives the Forum wishes to achieve directly related to its mission of strengthening inclusive and responsive governance, including pluralism and gender equality, in federal, decentralized, and transitioning countries.

The Strategic Plan is part of a process by which the Forum is refining the definition of its work, its mission, and its institutional objectives. The process is holistic and participatory, with a renewed emphasis on enhanced monitoring, evaluation and reporting by results. This approach is accompanied by a philosophy of providing unique and specialized expertise to those the Forum engages with, while demonstrating "value for money" to partners and donors.

Since its founding the Forum has, through its unique global network, brought the world's leading experts in federal and decentralized systems together with the "practitioners" of government: elected officials, civil servants, and political operatives. The Forum supports the development of practical solutions to federal and decentralized governance challenges, and facilitates understanding of multilevel governance among stakeholders, including civil society. This process brings clarity to how the Forum defines itself and what it is working towards. The former is expressed in the following self-definition statement.

***The Forum is an international organization that develops and shares comparative expertise on the practice of federal and decentralized governance through a global network.***

The statement which defines the Forum's underlying motivation for being in business, the new Mission Statement, spells out the contribution to society that the Forum aspires to make.

***The mission of the Forum is to strengthen inclusive and responsive governance, including pluralism and gender equality, in federal, decentralized, and transitioning countries.***

The Plan reinforces the two primary areas of Forum activity: Policy Programs and Development Assistance Programs (DAP). It establishes four distinct goals for the current plan period and seven strategic objectives, the achievement of which will facilitate progress with regard to the desired results.

The impact of the Forum's work will be measured by its new results-based monitoring and evaluation system developed in parallel. This will determine the extent to which the organization is meeting its mandate as expressed by its Mission Statement.<sup>1</sup>

<sup>1</sup> *The Strategic Plan does not include objectives relating to the corporate development of the Forum (i.e. funding, human resources, number of contracts attained etc.), but focuses on the activities of the Forum in relation to its overall mission.*

## HISTORY OF THE FORUM OF FEDERATIONS

The Forum was established by the Government of Canada. The inaugural International Conference on Federalism held in 1999 at Mont Tremblant, Quebec, Canada led to the founding of the Forum as an institution based in Ottawa. Four consecutive International Conferences were subsequently held in Switzerland, Belgium, India, and Ethiopia.

Following the 2005 Conference held in Brussels, a number of countries joined the Forum as funding partners, establishing it as a membership-based international organization.

As of 2017, ten governments had signed agreements as partners of the Forum and are represented on the Forum's Strategic Council and Board of Directors, supporting the activities of the organization and providing expertise. These countries are Australia, Brazil, Canada, Ethiopia, Germany, India, Mexico, Nigeria, Pakistan, and Switzerland. Over the years the Forum has expanded the scope of its work from established federal countries to include nation states in post-conflict situations adopting federal forms of governance and those involved in processes of devolution and decentralization. Growth led to the expansion of the organization to a range of countries around the world. As of December 2017, the Forum had field offices and/or representation in Brazil, Ethiopia, Germany, India, Jordan, Morocco, Myanmar, Nepal, Pakistan, and Tunisia.

## FORUM MEMBERSHIP AND STRUCTURE





## THE ORGANIZATION DEFINED

The Forum of Federations is concerned with the contribution that federalism and multilevel governance can make to the consolidation of democracy. The Forum supports governments around the world to help develop governance solutions in multilevel systems. The organization's core area of specialization is federalism. However, Forum expertise is increasingly sought across the range of multilevel systems, including in decentralized and devolved countries. The transferable nature of experiences of federal governance practice provides a body of knowledge which supports the development of better multilevel government.

The Forum's work in federal and multilevel governance contributes to enhancing the quality and coherence of public policy, thereby improving the effectiveness of both public service delivery and implementation of national, regional and local development strategies. Its capacity building work covers many aspects of multilevel governance and reaches a wide range of stakeholders, facilitating the development, transfer, and sharing of knowledge at all levels of society. The Forum's activities support national, regional, and international development efforts to create more inclusive and peaceful societies with responsive governments that meet the needs of citizens. The Forum also assists in democratic consolidation in states or regions in post-conflict situations.

### The Forum

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"The Forum is an international organization that develops and shares comparative expertise on the practice of federal and decentralized governance through a global network."

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### The Mission of the Forum

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"The mission of the Forum is to strengthen inclusive and responsive governance, including pluralism and gender equality, in federal, decentralized, and transitioning countries."

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## The Potential of Federalism and Multilevel Governance

The Forum operates on the principle that federal and other decentralized and devolved forms of government can offer solutions to intractable governance challenges posed in and by diverse societies. By allowing varying degrees of self-determination within a larger national whole, multilevel systems provide stakeholders with a sense of agency and control over the governance of their own lives while maintaining the advantages of shared government for general and common purposes.<sup>2</sup>

Multilevel systems establish mechanisms and processes for the recognition of minority rights and functions to compensate for the deficiencies of traditional (often majoritarian) constitutional principles which cannot suitably deal with diversity.<sup>3</sup> They enable greater coordination for equitable service delivery and economic prosperity. They can facilitate more inclusive societies in which linguistic, cultural, religious, and ethnic differences are recognized and valued within a single state. Federal and decentralized governance offer a variety of models and mechanisms through which governments can accommodate the varying needs and desires of citizens while increasing the legitimacy of the state in the eyes of the population.<sup>4</sup>

Through providing the means to accommodate diversity, multilevel systems thus facilitate more inclusive, responsive and thereby effective government. Effective government is crucial to the establishment of the peace and stability necessary for economic prosperity and social cohesion which improves the lives of people living within those societies. The Forum's work therefore aims to support the development of multilevel governance systems around the world through which these improvements can be realized.

## Forum Priorities

The Forum has identified a number of priorities for its work over the next five years. They can be seen as cross-cutting concerns which the Forum will strive to work towards both through and within its activity. These priorities have been identified on the basis of a thorough consideration of the needs and aims of the Forum and its stakeholders, and the current and anticipated future direction of the governance development landscape.

<sup>2</sup> Simeon, Richard. "Managing Conflict of Diversity" *Unity in Diversity: Learning from Each Other, vol. 1: Building on and Accommodating Diversity, Forum of Federations, 2008, pp. 54–69.*

<sup>3</sup> Poirier, Johanne. "Autonomy and Diversity" *Unity in Diversity: Learning from Each Other, vol. 1: Building on and Accommodating Diversity, Forum of Federations, 2008, pp. 37–53.*

<sup>4</sup> Watts, Ronald L. "The Contemporary Relevance of Federalism." *Comparing Federal Systems, vol. 3, Institute of Intergovernmental Relations, 2008, pp. 4–7.*

## International Leadership

To provide international leadership in assisting societies and nation states globally to utilize and develop effective federal, decentralized, and multilevel governance models.

## Increased and Dynamic Interaction with Partner Countries and Global Network

Increasingly leverage the knowledge capital of partners to create synergies and add value to Policy Research and Development Assistance activities.

## Advancing Gender Equality

To advance the position of women in leadership and governance roles and support the development of gender-inclusive societies.

## Increased Production and Revision of Knowledge Products

Develop and produce new topical knowledge products from Policy Research and Development Assistance activities; Revise and update existing stock of knowledge products.

## Advancing UN Sustainable Development Goals

To make a contribution to achieving the UN Sustainable Development Goals – in particular SDG 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.

To contribute specifically towards the achievement of SDG 16.6: Develop effective, accountable, and transparent institutions at all levels;

And SDG 16.7: Ensure responsive, inclusive, participatory, and representative decision making at all levels.

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## CORE COMPETENCIES OF THE FORUM

The Forum is truly international in nature, working with stakeholders at all levels in countries in North and South America, Africa, Europe, Asia, and Australasia. A key component of the Forum's work is facilitating the sharing of experiences between stakeholders from different multilevel governance systems.

### The Forum Advantage

The Forum has a practical, problem-solving approach to achieving results. Since its founding nearly two decades ago, it has supported governments and citizens around the world through capacity building and the provision of expertise and impartial practical education.

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#### The Forum Advantage: Hands-on Experience and High-level Expertise

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The Forum brings the world's leading experts together with the "practitioners" of government: elected officials, civil servants, and political operatives. The Forum's direct relationship with governments on each continent makes it uniquely placed to promote intergovernmental learning by working in tandem with its partner governments.

Alongside its work with key governance practitioners, the Forum also supports civil society stakeholders, enhancing understanding and building the capacity of citizens to operate in multilevel systems. Working through its extensive network of local partners, the Forum provides learning and knowledge to facilitate the participation of civil society in the multilevel governance processes which impact their lives.

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The comparative approach and methodology utilized within the Forum's work draws on its global network to promote learning and capacity building with excellence.

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The comparative methodology utilized by the Forum in the implementation of its activities is based on the core principle of "Learning from Each Other". Drawing on its unparalleled global network of multilevel governance experts, research organizations, and local partners, the Forum facilitates the sharing of experiences and insights to promote empirically-grounded learning and capacity building. Acting as a curator of knowledge, the Forum ensures governance stakeholders have the relevant theoretical and practical information necessary to develop and improve multilevel governance systems. Through liaising with local partners, situational analysis, and stakeholder consultation, the Forum closely tailors its support to local demand and contexts.

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#### Our Core Principle: "Learning From Each Other"

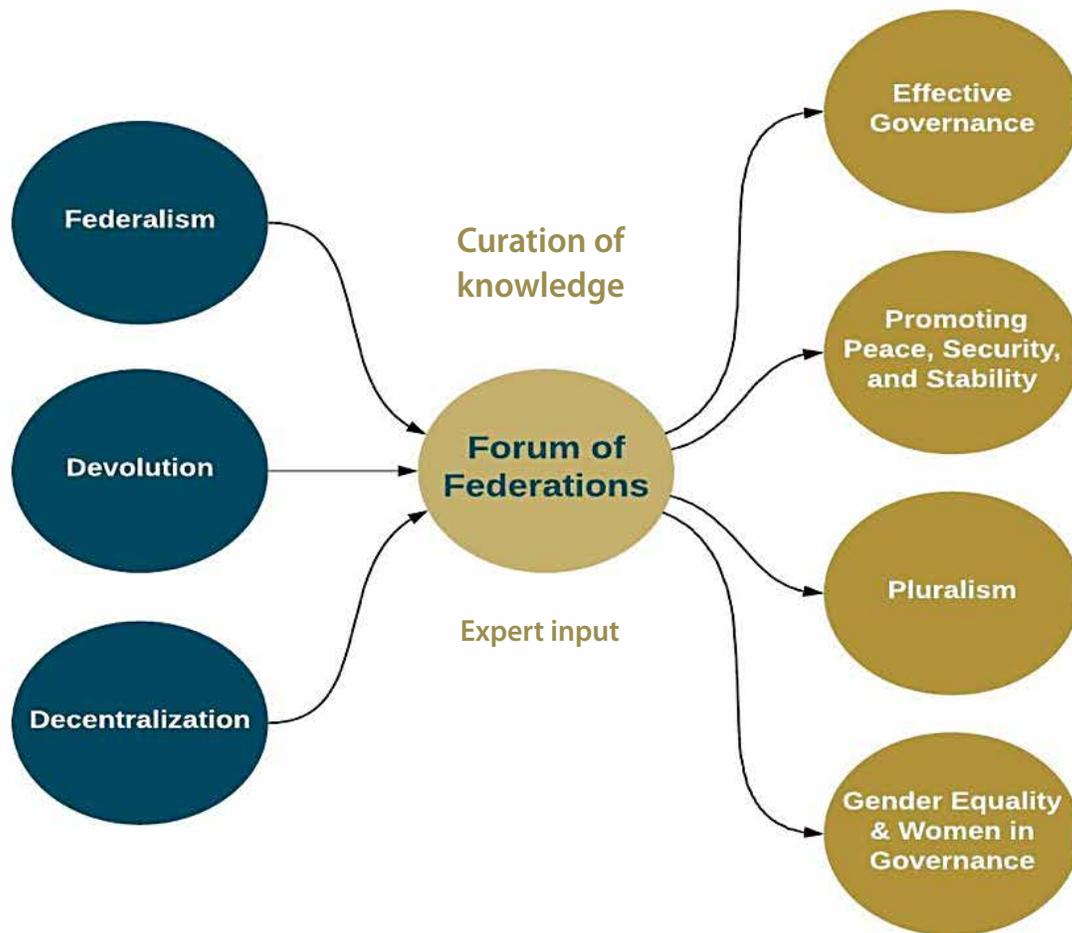
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Bridging the worlds of academic research and real-world practice, the Forum approach leverages the synergies between its Policy and Development Assistance activities to continuously inform and renew its body of cutting edge intellectual capital on multilevel governance. The Forum's unique expert network and comparative approach supports those operating at the forefront of multilevel governance development.

# THE FORUM'S AREAS OF EXPERTISE

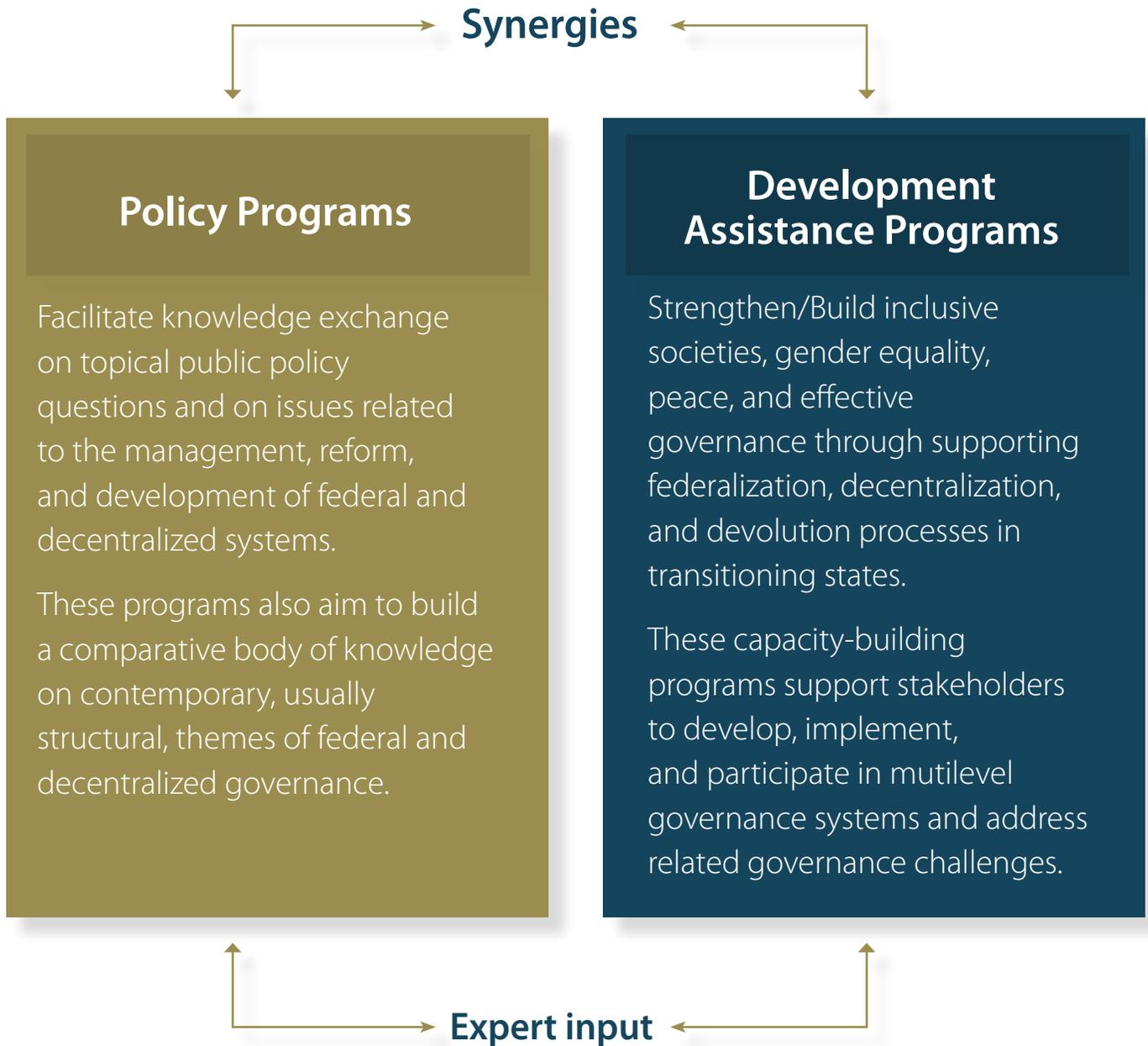
Models of multilevel governance

Knowledge creation



## Areas of Activity

The Forum has two areas of activity: Policy Programs and Development Assistance Programs (DAP).



**Policy Programs** are built around thematically based or sectoral research projects resulting in the development of cutting-edge comparative knowledge addressing both structural as well as operational questions/issues. Typically focusing on priority issues for the Forum's partner governments, these activities are either funded through the organization's core funding or through third parties. Policy Programs fall under one of three broad thematic areas:

### **Governance & Service Delivery**

Programs addressing policy issues in areas such as:

- Education
- Health Care
- Intergovernmental Relations
- Fiscal Relations and Revenue Sharing
- Local Government
- Centralization Vs. Decentralization
- Multilevel Politics of Trade

### **Environment**

Programs addressing environmental issues in areas such as:

- Climate Change
- Natural Resource Management
- Water Management

### **Constitutional Issues and Diversity & Inclusion**

Programs addressing issues of multilevel governance structures and participation in governance such as:

- Constitutional Interpretation
- Constitutional Reform
- Gender Equality
- Territorial Cleavages
- Indigenous Policies
- Youth
- Minority Rights
- Language

The Forum uses the following criteria in determining the focus of its Policy Programs. Forum Policy Programs must:

- Be relevant to the Forum's partner countries.
- Address 'real world' concerns with a focus on developing innovative and problem-oriented approaches.
- Fill knowledge gaps and contribute to developing sound conceptual understanding of the underlying patterns and processes of federalism, decentralisation, and multilevel governance and policy-making.
- Be comparative, inter-disciplinary, and participatory, bringing together scholars and practitioners from different world regions and sectors.
- Inform the Forum's Development Assistance activities (where possible) by identifying themes relevant to both developed and emerging federations (and nations with developing multilevel governance systems).
- Support Sustainable Development Goal 16 and contribute to the achievement of the Forum's strategic goals.

The specific sector priorities for the Forum's Policy Program activities in a given year are elaborated within its Annual Plan. Policy Program activities range from the organization and delivery of workshops, conferences, and presentations, to the development and production of publications and other learning tools and knowledge products. The comparative knowledge produced as a result of Policy Research Programs is utilized and leveraged where appropriate in DAP activities.

Through its Policy Programs, the Forum develops its network of multilevel governance experts, and acts as a hub for knowledge exchange between researchers and governance practitioners globally. In the development of its network, and particularly its Policy Program activities, the Forum aims to partner with the leading academic and governmental research institutes on federal and decentralized governance in countries around the world. In leveraging the Forum network, Policy Programs are thus uniquely able to combine theoretical knowledge of the practice of multilevel governance with practical experience. They also provide and develop invaluable comparative international experiences supporting both the development of solutions to multilevel governance challenges, and the overall body of knowledge in the field.

**Development Assistance Programs (DAP)** encompass a wide range of activities related to strengthening inclusive societies, gender equality, peace, and responsive and effective governance through supporting federalization, decentralization, and devolution processes in transitioning states. These programs focus on building capacity in multilevel governance among stakeholders. The Forum's key fields of competence in providing development assistance expertise include:

- Development and implementation of multilevel governance structures/arrangements
- Constitutional interpretation and adjudication at federal and regional levels
- Sector-specific multilevel governance
- Strengthening systems of Intergovernmental Relations
- Developing and increasing intellectual capital on multilevel governance
- Women's participation and leadership in multilevel governance
- Inclusive multi-stakeholder policy development
- Increasing stakeholder understanding and awareness of multilevel governance structures/processes/procedures, and building their capacity to participate in federal, decentralized, and devolved models.

In recent years, the Forum has delivered DAPs in Ethiopia, Iraq, Libya, Myanmar, Nepal, Nigeria, Pakistan, the Philippines, Somalia, South Sudan, Sri Lanka, Sudan, Tunisia and Yemen.

As with its Policy Programs, the Forum uses a series of criteria in determining where it implements Development Assistance initiatives. Development Assistance Programs are implemented in contexts in which:

- Demand for Forum activities is driven either by a recipient or donor government.
- There is a political or reform process to which Forum activities can provide useful support.
- There is a receptivity to principles and practices of federal and decentralized governance among stakeholders.
- There is an opportunity to support Sustainable Development Goal 16 and contribute to the achievement of the Forum's strategic goals.

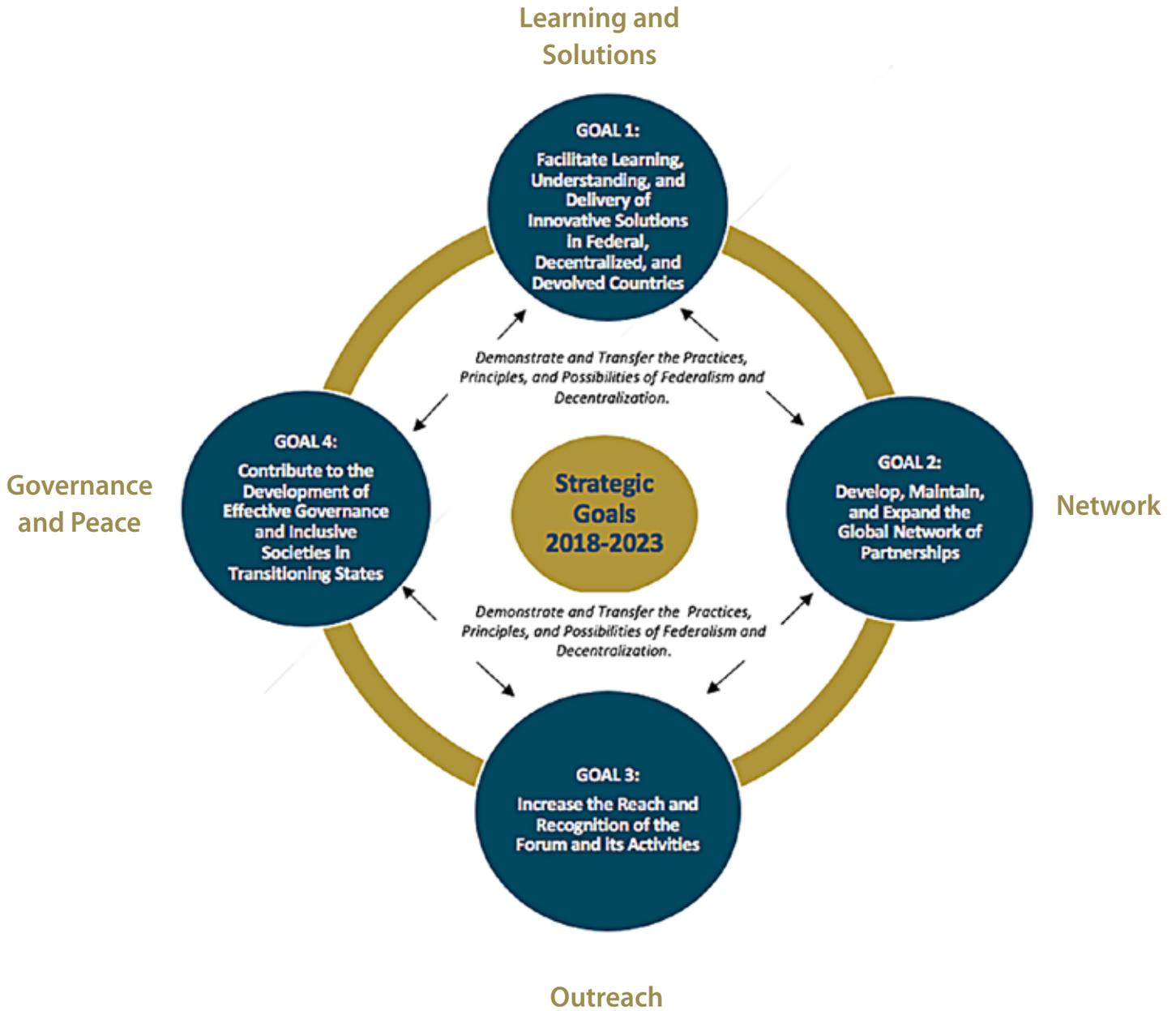
Policy and Development Assistance Programs are mutually reinforcing and inform one another. The intellectual capital and expert resources generated as a result of Policy Programs are utilized in Development Assistance Programs. The knowledge acquired on emergent practice in the development of multilevel governance structures in transitioning states as a result of DAP provides invaluable perspectives to inform and supply new areas of inquiry for Policy Program activities. The leveraging and interlinkage of the two areas of Forum activity provide real world and cutting edge insight in the work of the organization.

The Forum views Policy and Development Assistance programs/activity as mutually complementary, and equally important, areas of its work. They support the development of both governance knowledge and applied practice in federal, decentralized, and transitioning systems. The development, curation, and dissemination of comparative knowledge on federal and decentralized governance is at the heart of the work of the Forum. The Forum Executive Team undertakes a regular assessment of organizational capacity in relation to prospective programs and workload. Over the next five years, the Forum will continue to strike a balance between its two areas of activity to ensure that the organization delivers programs which are most valuable to its stakeholders, and make an important contribution to governance development.

# STRATEGIC FRAMEWORK

## Strategic Goals 2018-2023

Four goals are highlighted in the strategic plan, underpinned by a cross-cutting and supporting goal to *Demonstrate and Transfer the Practices, Principles, and Possibilities of Federalism and Decentralization*.



## Strategic Objectives



## KEY PERFORMANCE INDICATORS

Key Performance Indicators (KPIs) demonstrate/point towards Forum performance and facilitate measurement of the achievement of goals or progress towards achievement. They can also be used to identify where adjustments may be needed to Forum activity. The KPIs will be reviewed regularly as part of the annual reflection and reporting processes. A Performance Management Framework aligning indicators against the established Goals and Strategic Objectives, will enable the Forum to track its advancement over the five year period.

### Measuring Success: Goals, Related Strategic Objectives and KPIs

GOAL 1: Facilitate Learning, Understanding, and Delivery of Innovative Solutions in Federal, Decentralized, and Devolved Countries	
Strategic Objectives	Key Performance Indicators
<b>SO 1.1:</b> Develop new and renew existing intellectual capital on federal and multilevel governance issues relevant to the Forum's partners and network, including on key cross-cutting thematic issues	<b>KPI 1.1.1:</b> The number of new knowledge products developed/existing products updated (including cross-cutting themes: gender; leadership; environment)
<b>SO 1.2:</b> Further develop the Forum's position as the leading platform for knowledge sharing on established and emerging issues of multilevel governance	<p><b>KPI 1.2.1:</b> The number of learning activities developed/implemented relating to emerging issues in multilevel governance (including cross-cutting themes: gender; leadership; environment)</p> <p><b>KPI 1.2.2:</b> The percentage of beneficiaries who demonstrate increased knowledge as a result of participation in Forum events</p>
GOAL 2: Develop, Maintain, and Expand the Global Network of Partnerships	
Strategic Objectives	Key Performance Indicators
<b>SO 2.1:</b> Expand the range of strategic and program partnerships utilized in Forum activity	<b>KPI 2.1.1:</b> The number of new Partner Organizations <sup>5</sup> engaged in Forum activity
<b>SO 2.2:</b> Enhance organizational value to partner countries	<b>KPI 2.2.1:</b> Partner Organization's perceptions of their participation in Forum activity

<sup>5</sup> Partner Organizations defined as any organisation, institution, or group, the Forum works with in the development and implementation of activities, including programs, projects, events, and the production of knowledge products (but excluding the direct target beneficiaries of activities).

## Measuring Success: Goals, Related Strategic Objectives and KPIs

Goal 3: Increase the Reach, Relevance, and Recognition of the Forum and its Activities	
Strategic Objectives	Key Performance Indicators
<b>SO 3.1:</b> Increase the audience for Forum activity	<p><b>KPI 3.1.1:</b> The number of Forum products disseminated to wider audiences</p> <p><b>KPI 3.1.2:</b> The number of visitors accessing the Forum’s website and social media content</p> <p><b>KPI 3.1.3:</b> Number of requests for Forum support/invitations to contribute to meaningful activity from Key Actors<sup>6</sup></p>

Goal 4: Contribute to the Development of Effective Governance and Inclusive Societies in Transitioning States	
Strategic Objectives	Key Performance Indicators
<b>SO 4.1:</b> Become the preferred partner to deliver solutions in emergent multilevel systems	<b>KPI 4.1.1:</b> Number of activities implemented in response to requests for Forum expertise from development assistance countries
<b>SO 4.2:</b> Increase the direct participation of beneficiaries (particularly women) in key governance processes in transitioning states (e.g. constitutions, laws, peace processes, key policy development)	<p><b>KPI 4.2.1:</b> Number of individuals with leadership<sup>7</sup> potential trained by the Forum</p> <p><b>KPI 4.2.2:</b> Number of expert deployments in Forum Development Assistance countries</p>

<sup>6</sup> Key Actors defined as government departments and institutions, universities, major NGOs & research organizations.

<sup>7</sup> Individuals with leadership potential defined as stakeholders with an interest/in governance and a position of potential influence within their respective organisation, institution, community, or practitioner group. This includes: Members of Parliament; government officials; community leaders; NGO members; academics; policy practitioners; political party members; student leaders; journalists; bureaucrats.

## IMPLEMENTATION OF THE STRATEGY

This Strategic Plan sets the direction for the Forum for 2018-2023. The Forum will effect this plan and achieve the goals established above by undertaking the following implementation measures:

- Consulting closely with partners to develop cutting edge knowledge products which meet their needs;
- Ensuring all knowledge products remain relevant and up to date;
- Actively recruiting new partners to expand and enrich Forum activities;
- Expanding knowledge partnerships and participation in networks addressing governance challenges;
- Effectively leveraging online platforms to expand the distribution of Forum content, including audio visual content;
- Increasing use of strategic messaging to more effectively target Forum communications to key stakeholders;
- Raising awareness of the Forum's expertise among key global organizations and institutions working in transitioning state support;
- Continuously improving Forum activities through incorporation of lessons learned and feedback from stakeholders and beneficiaries;
- Actively pursuing new and diversified sources of funding;
- Establishing gender inclusivity as one of the key pillars of Forum work, and incorporating it into all activities.

## THEORY OF CHANGE

**The Forum** is an international organization that develops and shares comparative expertise on federal and decentralized governance through a global network.

The **Mission** of the Forum is: To strengthen inclusive and responsive governance, including pluralism and gender equality, in federal, decentralized, and transitioning countries.

**Pathway to Change:** Central to the Forum's **pathway to change** is the creation, curation, and transfer of knowledge on federalism and decentralization to governance stakeholders. Through knowledge transfer, Forum Policy and Development Assistance programs enhance the capacity of stakeholders, and enable them to apply their acquired knowledge in their respective functions in the governance process. The application of knowledge facilitates improved multilevel government institutions, processes, and practice, and the development of sustainable solutions to governance challenges in federal, decentralized, and transitioning systems.

The pathway to change is underpinned by the **global network**. Through its network the Forum assembles and marshals the knowledge, expertise, and intellectual capital required to support the pathway to change that leads to the organization's desired ultimate outcome.

The Forum's Pathway seeks to deliver results at multiple levels:

- **Capacity changes in knowledge, attitudes, and skills** at the first level where the Forum works with governance practitioners and civil society;
- **Behaviour Changes** at the second level where governments are effected, and;
- **Improved well-being** at the highest level which delivers direct benefits to society.

### The Forum Theory of Change

The Forum supports stakeholders to overcome key governance challenges faced by governments in federal, decentralized and transitioning countries around the world. Limited knowledge and understanding among governance stakeholders of the principles and advantages of federal and decentralized governance, and a lack of curation of academic knowledge for application in policy, inhibit government effectiveness. This knowledge gap is reflected in and contributes to government which is insufficiently responsive to the needs of citizens and lacking in relation to inclusiveness. Governance stakeholders encountering these issues seek solutions to the challenges they present, and the work of the Forum is therefore fundamentally demand-driven.

As an understanding of national contexts in which governance processes are situated is crucial in any intervention which aims to effect change, Forum programs are designed following a comprehensive assessment of the circumstances in which they will be implemented. Through situational analysis, stakeholder consultation, and working with local partners, the Forum tailors its programs effectively to the needs of beneficiaries to which it is providing support.

The Forum draws on its unique, international network of multilevel governance expertise to develop and implement its Policy and Development Assistance programs. Comprised of the Forum's government partners, federalism and decentralization experts, governance practitioners, academics, universities, and a range of civil society and non-governmental organizations, the Forum network enhances and supports program activities.

The Forum provides support in domains fundamental to governance development in multilevel systems. It specialises in areas such as: *Diversity and Inclusion, including gender, in governance; Intergovernmental relations; Constitutional and Institutional design and development; Fiscal arrangements, methods, and processes; and Local government and service delivery.*

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Programs include a range of intervention mechanisms implemented to effect change, which include: the production and dissemination of knowledge products; modern adult learning techniques and training; public education and awareness raising; and convening dialogue processes involving key stakeholders. The comparative methodology and the key principle of “Learning From Each Other” permeates all programs, and is facilitated through the Forum’s network.

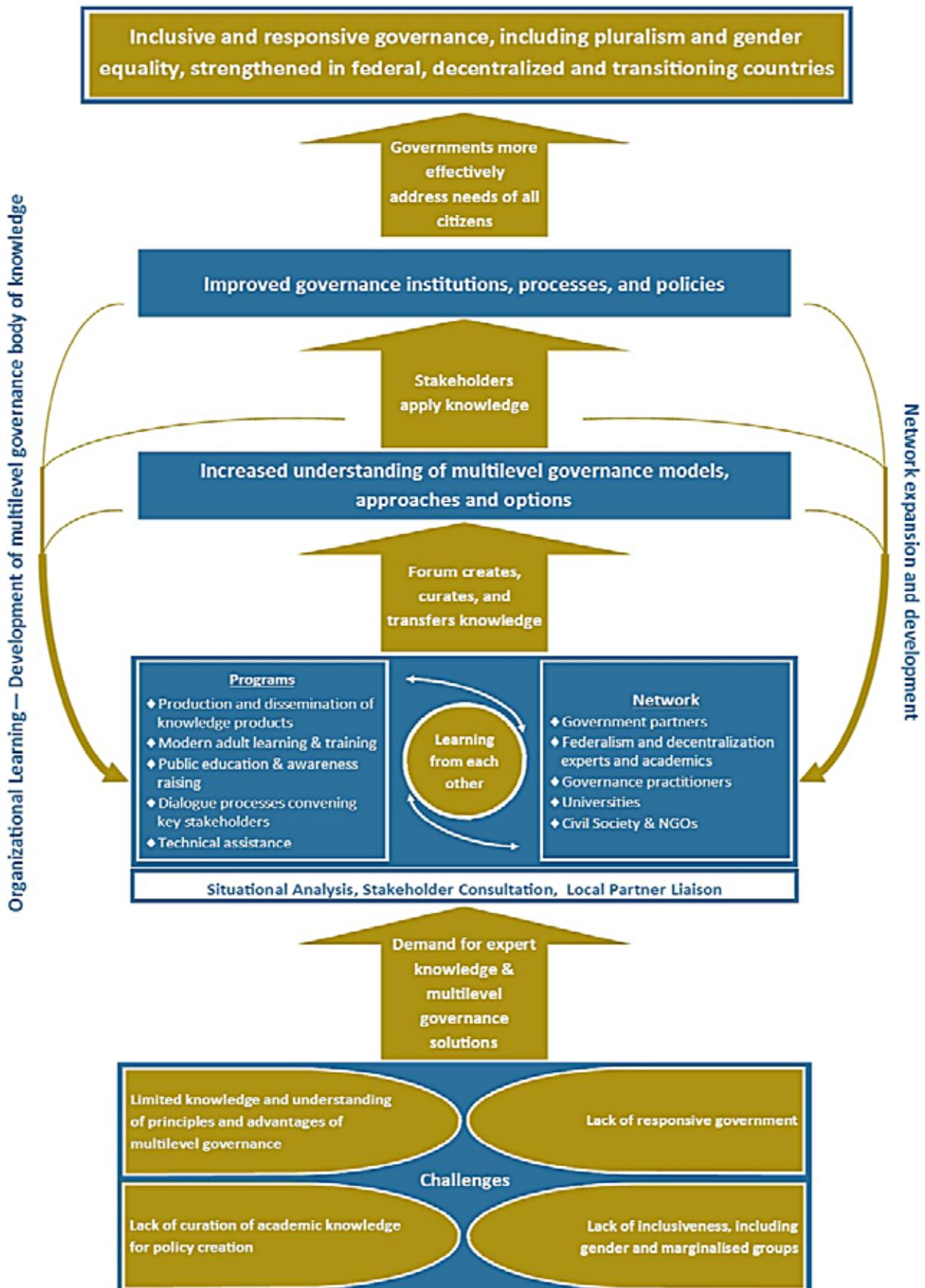
### Pathway

- *Through the implementation of program activities, the Forum creates, curates, and transfers expert comparative knowledge on multilevel governance to target stakeholders.*
- The transfer of knowledge increases the awareness and understanding of multilevel governance models, approaches and options among stakeholders. *(Enhanced Capacity)*
- *Utilising their enhanced capacity in multilevel governance, stakeholders apply the acquired knowledge in the exercise of their governance functions (at national, subnational, and local levels). (Behavioural Change)*
- The application of knowledge in the exercise of governance functions leads to the development of improved multilevel government institutions, processes, and policies, as well as the development of sustainable solutions to pertinent challenges.
- *Improved multilevel government is able to more effectively address the needs of its citizens, account for linguistic, cultural, religious and ethnic diversity, and implement equitable service delivery processes. (Improved well-being)*
- Ultimately, the change induced through the pathway, and the governance improvements engendered, contribute to the ultimate outcome the Forum seeks: **Inclusive and responsive governance, including pluralism and gender equality, strengthened in federal, decentralized, and transitioning countries.**

At all stages of the change pathway, from the creation, curation, and transmission of knowledge, to the absorption and internalization of knowledge by beneficiaries, through beneficiaries’ application of that knowledge in the exercise of their functions, to the changes in governance effected as a result of that application, experiential learning is captured in a feedback loop facilitated by the Forum network and comparative approach. This feedback loop supports organizational learning, providing new comparative knowledge and experiences to inform and enrich Forum programming, alongside contributing to building the overall body of knowledge on federal and decentralized governance. The expansion and development of the network through the implementation of activities further enhances and brings value to Forum programming.

While increasing the knowledge and understanding of multilevel governance among stakeholders is fundamental to the development of more inclusive and responsive governance, the Forum recognizes that the knowledge is only one factor which determines the practice of governance. The crucial role that factors such as power and incentives can play in shaping both the exercise of governance functions, who is able to participate in governance processes, cannot be overlooked. Thus, the Forum Theory of Change assumes that the government environment and political context in which activities are implemented are conducive to the development of more inclusive and responsive governance. The assumptions which underpin the Forum Theory of Change are detailed below.

## THEORY OF CHANGE - FORUM OF FEDERATIONS



## Theory of Change Assumptions

### Ultimate Impact Assumptions

- Inclusive and responsive governance is a desirable public good and federal/decentralized solutions are tools that can be applied to achieve it.
- There is a demand for better governance and absorptive capacity among beneficiaries.
- Distribution of power between different groups of stakeholders in societies is reasonable and there is sufficient alignment of political power and incentives.
- Gender inclusiveness leads to improved governance, input for policy development, access to information, and more equitable service delivery.
- Minimum stability & support exists among partner countries to maintain global network, and the network shares knowledge.

### Behaviour Change Assumptions

- Knowledge influences policy making, and the knowledge produced by the Forum is both relevant and applicable.
- Beneficiaries can identify if they require new knowledge, and have the ability and influence to apply the knowledge.
- Beneficiaries share and apply knowledge, new laws, new attempts at new policies.
- The Forum is the preferred partner to deliver solutions, with access to high level practitioners.
- There exists a commitment to inclusive federal/decentralized governance and stakeholders will be inclusive in their participation in key processes.

### Capacity Change Assumptions

- Accessible, appropriate, and available audience, interest, information and expertise in federal and decentralized governance.
- Adequate resources available for activities, including donor commitment to programming of sufficient length to achieve impact.
- Governments of countries in which the Forum delivers programs want/allow implementation of activities.
- The Forum possesses capacity and financial resources to produce knowledge products and implement capacity building programs that are a good fit to beneficiaries.
- Acceptance of devolution and decentralization among beneficiaries, and openness to gender and environmental considerations.

## FORUM OF FEDERATIONS LOGIC MODEL

ULTIMATE OUTCOME (IMPACT)	INCLUSIVE AND RESPONSIVE GOVERNANCE, INCLUDING PLURALISM AND GENDER EQUALITY, STRENGTHENED IN FEDERAL AND DECENTRALIZED COUNTRIES			
INTERMEDIATE OUTCOMES	10 Increased knowledge, open attitudes and enhanced levels of understanding and appreciation for federal and decentralized governance		20 Practices, principles and possibilities of federalism and decentralization demonstrated, transferred and applied	
IMMEDIATE OUTCOMES	100 Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries Facilitated	200 Global Network of Partnerships Developed, Maintained, and Expanded	300 Reach and Recognition of the Forum and its Activities Increased	400 Effective Governance and Gender and Minority Inclusive Societies Developed in Transitioning States
OUTPUTS	110 Expanded network of organizational intellectual capital through the development of a number of knowledge products relevant to our partners and network; Expanded knowledge capital on cross-cutting thematic issues (gender, environment, leadership)	210 Expanded range of strategic and program partnerships utilized in Forum activity	310 Increased audience, interest and participation in Forum activities 420 Direct participation by beneficiaries (particularly women) in key processes in transitioning states increased (e.g. constitutions, laws, peace processes, key policy development)	410 Become the preferred partner to deliver solutions in emergent multilevel systems
	120 Forum's position as the leading platform for knowledge sharing on established and emerging issues of multilevel governance enriched	220 Enhanced organizational value to partner countries		420 Direct participation by beneficiaries (particularly women) in key processes in transitioning states increased (e.g. constitutions, laws, peace processes, key policy development)
ACTIVITIES	Learning events, joint events and network activities Production, curation and dissemination of knowledge products Cross-cutting activities	Communication feedback loops Mobilization of governance experts New partnerships	New distribution methods New communication tools and social media Outreach plans New projects	Capacity development Dialogue processes convening key stakeholders Public education and awareness raising on federal and decentralized governance Gender sensitization New local partnerships and initiatives

▶ ANNEX 1:  
FORUM PROGRAM  
RESULT MATRIX

## ANNEX 1: FORUM PROGRAM RESULT MATRIX

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2016-2017	Development Assistance Programs	MENA Region (Jordan, Morocco and Tunisia)	Increasing the capacity of women to engage in leadership roles and governance processes, and enhancing the ability of women and men to influence policies pertaining to inclusiveness	GOAL 1 –Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2016-2017	Other activities (Development Assistance)	Devolution in Sri Lanka's Federal System	Dialogue facilitated on devolution in Sri Lanka	GOAL 1 –Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2016-2017	Other activities (Development Assistance)	Yemeni Delegation Visits Germany	Views exchanged on options for peace and reconciliation in Yemen	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2016-2017	Other activities (Policy Research )	Global Autonomy and Governance Forum	Increased understanding among stakeholders on options for autonomous arrangements for minority groups	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.
2016-2017	Other activities (Development Assistance)	From Decentralization to Federalism: The Next Stage of Philippine Democracy	Increased understanding of federalism among Philippine stakeholders	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2016-2017	Other activities (Development Assistance)	Zeroing In on the Best Practices of Federalism – Forum on Federalism and Constitutional Reform	Increased understanding of federalism among Philippine stakeholders	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2016-2017	Other activities (Development Assistance)	Ethiopian Federalism and Minority Rights in the States	Lessons identified in federations on ensuring the rights of intra minorities in regional states	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2016-2017	Policy Research Programs	Federalism and Trade	Increased understanding among scholars and practitioners of the participation of subnational governments in international trade	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.
2016-2017	Policy Research Programs	Resource Management - Water Management in Federations	Improved understanding of factors and institutions influencing cooperation, conflict resolution, and capacity to adapt to extreme climate events in federal rivers	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2014-2015, 2015-2016, and 2016-2017	Policy Research Programs	Local Governments and Metropolitan Regions	(2016-2017) Increased understanding by different stakeholders of challenges in managing large cities in a federal context  (2016-2017) Increased understanding of constitutional allocation of sub-national powers in Mexico  (2015-2016) Increased capacity of local governments in federal systems  (2014-2015) Knowledge disseminated on governance and finance of metropolitan areas in federal systems;  (2014-2015) Increased understanding of the role of local government and municipal autonomy in federal countries	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2015-2016 and 2016-2017	Policy Research Programs	Intergovernmental Relations	(2016-2017) Shared experiences and lessons among legislators and other stakeholders on intergovernmental relations and institutions  (2015-2016) Shared experiences and knowledge on cooperative federalism	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2015-2016 and 2016-2017	Policy Research Programs	Centralization and Decentralization in Federations	(2016-2017) Increased understanding of centralization and decentralization tendencies in federal countries  (2015-2016) Knowledge disseminated on the state of centralization and decentralization within established federations	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2015-2016 and 2016-2017	Policy Research Programs	Territorial Cleavages in Contexts of Constitutional Transition	(2016-2017) Generated research into constitutional transition in territorially divided states  (2015-2016) Facilitated research into constitutional transition in territorially divided states	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2014-2015, 2015-2016, and 2016-2017	Policy Research Programs	Fiscal Federalism	(2015-2016, and 2016-2017) Shared lessons learned in various federations to enhance understanding of fiscal federalism  (2014-2015) Incorporating issues of fiscal federalism into country-specific activities	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2015-2016 and 2016-2017	Policy Research Programs	Education and Federalism	(2015-2016 and 2016-2017) Increased understanding of the education system in established federal governments	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2015-2016	Policy Research Programs	Immigration and Integration	Increased understanding on challenges related to integrating immigrants in federal countries	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2014-2015, 2015-2016, and 2016-2017	Policy Research Programs	Courts and Judicial Systems in Federations	<p>(2016-2017) Knowledge disseminated on courts and judicial systems in federations</p> <p>(2015-2016) Deeper understanding of judicial systems in federations</p> <p>(2014-2015) Increased understanding of the roles and functions of judicial systems within federation</p>	<p>GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.</p> <p>+</p> <p>GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.</p> <p>+</p> <p>GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.</p>
2014-2015, 2015-2016, and 2016-2017	Policy Research Programs	Health Care and Federalism	<p>(2016-2017) Deepened knowledge on health care and federalism and developed lessons for emerging federations</p> <p>(2015-2016) Expanded knowledge of health care systems in federations</p> <p>(2014-2015) Deeper understanding of health care systems in federations</p>	<p>GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.</p> <p>+</p> <p>GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.</p> <p>+</p> <p>GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.</p>
2014-2015, 2015-2016, and 2016-2017	Policy Research Programs	Public Security in Federal Systems	<p>(2016-2017) Identified lessons and best practices with respect to division of responsibilities and effective intergovernmental cooperation in the area of public security in federal and multilevel systems</p> <p>(2015-2016) Better understanding of best practices in federal and multilevel government systems</p> <p>(2014-2015) Identified lessons learned and best practices with regard to the institutional organization of counter-terrorism and emergency management practices</p>	<p>GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.</p> <p>+</p> <p>GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.</p> <p>+</p> <p>GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.</p>

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2014-2015, 2015-2016, and 2016-2017	Development Assistance Programs	Myanmar	(2015-2016, and 2016-2017) Enhanced knowledge of principles of federal governance to support the transition to democracy and devolved governance in Burma (Myanmar)  (2014-2015) Increased understanding of federal governance, decentralization, democracy, and inclusive governance among political and ethnic group stakeholders	GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.  +  GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2014-2015, 2015-2016, and 2016-2017	Development Assistance Programs	Ethiopia	(2015-2016, and 2016-2017) Facilitated development of national intergovernmental relations (IGR) policy and legal framework, and strengthened federal governance leadership capacity  (2014-2015) Strengthened the system of intergovernmental relations (IGR) as an essential step required to solidify efficient and effective federal governance	GOAL 3 – Increase the Reach and Recognition of Forum Activities.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2015-2016	Development Assistance Programs	Intergovernmental Authority for Development (IGAD – Djibouti, Ethiopia, Kenya, Somalia, South Sudan, Sudan, and Uganda)	Facilitated the establishment of an East African regional network on federal-decentralized governance	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2015-2016	Development Assistance Programs	Nepal	Advanced pluralism and diversity towards the adoption of a federal constitution in Nepal	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 3 – Increase the Reach and Recognition of Forum Activities.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2015-2016	Development Assistance Programs	Tunisia	Enhanced the democratic decentralization process through the strengthening of Tunisia's institutional capacity to implement decentralization	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships. + GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2015-2016, and 2016-2017	Development Assistance Programs	Somalia	(2016-2017) Community-level reconciliation and strengthening of Somalia's nascent federal system  (2015-2016) Increased understanding of key federal governance topics among political stakeholders	GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2015-2016	Development Assistance Programs	Sri Lanka	Implementation of Election Observation Mission	GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2014-2015	Policy Research Programs	Environmental Governance in Federal Regimes	Knowledge disseminated on environmental governance in federal systems	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships. + GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2014-2015	Country Specific Activities (Policy Research )	Australia	Shared international experiences of federal reform among officials, academics, and stakeholders	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.  +  GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.
2014-2015	Country Specific Activities	Brazil	Strategic Council Meeting: Advice and recommendations provided to the Forum on its strategic orientation	GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2014-2015	Country Specific Activities (Development Assistance)	Ethiopia	Increased understanding of Canada's system of government, shared Ethiopian experiences, and created networks with Canadian academic community  Knowledge on natural resource governance systems shared between Canadian and Ethiopian practitioners	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2014-2015	Country Specific Activities (Policy Research )	Germany	Discussion promoted on relevance of federalism and decentralization projects in international development approaches  Shared experiences and lessons among political analysts, experts and practitioners on the reform of Germany's fiscal equalization system  Relationships fostered between German parliamentarians and the Forum	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.

YEAR	PROGRAM	THEMATIC OR COUNTRY	PROGRAM LEVEL OUTCOMES	RELATIONSHIP TO FORUM'S STRATEGIC OBJECTIVES
2014-2015	Country Specific Activities (Policy Research )	India	Increased understanding among Indian practitioners on the role and functions of the planning commission in the Indian federal system	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships. + GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.
2014-2015	Country Specific Activities (Policy Research )	Switzerland	Increased understanding of the effects of federalism on cohesion and solidarity within the Swiss federation. Shared international experiences on the evolution of federal systems and decentralization  Facilitated the sharing of international experiences and expertise on the development and characteristics of federal systems	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.
2014-2015	Policy Research Programs	International (IPSA's 2014 World Congress)	Shared knowledge on how federal countries develop and strengthen homeland security policies among researchers	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 3 – Increase the Reach and Recognition of the Forum and its Activities.
2014-2015	Development Assistance Programs	East-African regional network on Federal-decentralized governance	Facilitated development of East African regional learning network on federal-decentralized governance	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries. + GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.

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2014-2015, and 2016-2017	Development Assistance Programs	Pakistan	(2016-2017) Enhanced understanding of intergovernmental coordination in relation to financial planning and budgetary matters  (2014-2015) Strengthened processes of inter-governmental relations capacity, leadership, and development	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2014-2015	Development Assistance Programs	Yemen	Enhanced knowledge of media and academic practitioners of concepts of federalism, decentralization, and devolved governance	GOAL 1 – Facilitating Learning, Understanding, and Delivering Innovative Solutions in Federal, Decentralized, and Devolved Countries.  +  GOAL 2 – Developing, Maintaining, and Expanding the Global Network of Partnerships.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.
2014-2015	Development Assistance Programs	Ukraine	Implementation of Election Observation Missions	GOAL 3 - Increase the Reach and Recognition of the Forum and its Activities.  +  GOAL 4 – Contributing to the Development of Effective Governance and Inclusive Societies in Transitioning States.



## Forum of Federations

The Global Network on Federalism and Devolved Governance

# STRATEGIC PLAN



## Forum of Federations

The Global Network on Federalism and Devolved Governance

### **FORUM OF FEDERATIONS**

75 ALBERT STREET  
SUITE 411 OTTAWA, ONTARIO  
CANADA K1P 5E7

**FORUMFED.ORG**