



1. Summary of Proposal

The Social Economy in BC and Alberta: Strengthening the Foundations for Growth

The proposed British Columbia and Alberta Social Economy Research Alliance, with the Canadian Centre for Community Renewal and Royal Roads University as lead institutional applicants, establishes a broad regional partnership among five universities and nine social economy stakeholder organizations, plus two federal agencies and an innovative municipality that actively promotes its local social economy. All of these have committed additional financial and/or in-kind support to supplement the SSHRC funding we seek. Aside from the six individual applicants, the research collaborators include 29 other stakeholders - committed researchers, faculty, and practitioners (with 40-60 students), mainly from Alberta and B.C. but also other parts of Canada, the U.S., and the U. K. Over the next five years, this Alliance will vigorously undertake a series of research initiatives to better understand and improve the range of activities and entities that make up the regional social economy and its infrastructure.

We see that troubled communities and small regions, in Canada and elsewhere, when faced with severe economic threats, have developed and applied new strategies and tools that have succeeded in stemming the tide of decline and responding to the needs of their marginalized citizens. These exemplary practices - that is, community economic development (CED) and other techniques of the social economy - have some common characteristics, the most fundamental being the reinsertion of social goals, reciprocity, and solidarity into economic thinking and decision-making – and, with that, concern for long-term sustainability. Based on this experience and the many significant published reports on CED and the social economy, we pose three strategic questions to meet our overall aim – that is, to strengthen the foundations for a solid growth in the social economy of the region:

- (1) What are the scope and characteristics of the social economy in the Alberta/British Columbia region? We need to better understand the social economy landscape, as it exists.
- (2) What are the scope and characteristics of social economy innovations that are achieving demonstrable social and economic results in the region or elsewhere? We need to understand what is working and why.
- (3) What are the key issues, opportunities, and constraints for adapting and scaling up, all across B.C. and Alberta, whatever is working (both within and outside the region)?

These research questions will be addressed through three complementary and interactive streams of inquiry and practice. The first stream (mapping) will focus on (a) systematically documenting the scope, scale, impact, and key characteristics of social economy initiatives in the two provinces, concentrating on the broad areas of housing, human services, and natural resource development; and (b) developing an analytical framework to guide the analysis and evaluation of a series of case studies. The second stream (case analysis) will consist of a systematic review of documented social enterprise and CED cases with consequential innovative aspects - in the two provinces and elsewhere. The third stream (practice) will address a small number of emerging social economy initiatives that will, over the course of the research project, actively participate in a two-way exchange of knowledge between the practitioners in the field and the researchers who can bring outside perspectives/information to bear. These three streams will interact both

formally and informally throughout the project, such that the development of theory is informed by the case research findings and ‘tested’ in the emerging social economy initiatives.

Both the project process and the project findings will contribute to key needs previously identified by the federal government’s 2005 consultations with the social economy sector in Western Canada: that is, improved understanding and awareness of the social economy sector; increased collaboration and enhanced networks; and training targeted to the needs and priorities of the sector. The BC/AB alliance thus actively seeks both new knowledge and practical results.

2. Detailed Description of the Proposed Research Project

We propose to create a broad research alliance (to be called BALTA) in British Columbia and Alberta that will bring together five universities, nine social economy organizations, two federal government agencies, an innovative municipality, and, beyond the 6 individual applicants, 29 other stakeholders - individual practitioners and researchers. Together they will create a solid platform for community and academic collaboration to address critical research questions about the social economy in the two provinces and to launch student researchers in the field. We see our program as vigorously animating the regional social economy with increased academic and practical activity. [Note that this proposal is a revision of one submitted in the previous call for proposals. It has been modified and resubmitted on the encouragement of SSHRC program staff and the reviewers’ feedback.]

A. Rationale and Relevance

Over the last decade the general field of community economic development (CED) and the wider social economy in B.C. and Alberta has been marked by a modest growth in various types of social enterprise and in the membership of supportive networks. Cross-fertilization of experience from across Canada and the United States has fed this growth, together with a small number of research initiatives that have begun to document exemplary practices and to codify practice-related knowledge (Quarter 1992, Favreau and Levesque 1994, Perry and Lewis 1994, Tremblay and Fontan 1994, Perry 2000, and Favreau et al 2004). However, in B.C. and Alberta, policy and other infrastructure supports have been weak – quite unlike in Québec (and to a lesser extent in Nova Scotia) where comparatively strong federal and/or provincial policies and investments have taken shape over a 15-year period. While there is certainly a range of innovations and some exemplary practices in our region, there is neither a sustaining level of activity nor substantial outside support - and very little collaborative, systematic research that involves both practitioners and academic researchers. For this reason alone, the establishment of the western regional node for the SSHRC Social Economy Suite, with a related research program, represents a strategically important step in the process of elevating and advancing the social economy in the region. This proposal, directly reflecting the current ‘state of the art’ in social economy research and practice in the region, adopts a developmental and adaptive approach to both the creation of a well-functioning network and to the research process itself – both of which can lead to new policy and other infrastructure supports. Thus a critical by-product of conducting our research will be to build sustainable relationships between practitioners and academics and deepen the base and reach of academic research in the region in the years to come.

For this submission we have incorporated more academic-practitioner collaboration from Alberta. The previous proposal was initiated by B.C. practitioners and then joined by academics mainly from B.C., despite efforts to also gain more participation from Alberta. Understandably, a

key criticism by SSHRC was this lack of substantial Alberta academic participation. With additional effort, we have addressed this criticism by adding a co-applicant who teaches at the University of Alberta, another co-applicant from Athabasca University, and three additional significant Alberta collaborators. As noted, we aim to increase academic activity around the social economy in both B.C. and Alberta, as a result of vigorously pursuing practitioner-university collaboration. Thus we will seek to attract other interested colleagues into our Alliance, should our proposal be accepted.

Other criticisms of our first submission were the need for clearer governance mechanisms and allocation of research responsibilities, as well as a public-information thrust for dissemination of results. We have addressed these issues directly in later sections of this proposal to assure that there can be no doubt about these kinds of activities and mechanisms.

B. Objective and Outcomes of BALTA and Its Research Program

The overall goal of this regional node is to engage a wide range of stakeholders to undertake research and knowledge mobilization in order to strengthen the foundations for solid growth of the social economy in the B.C. and Alberta region. Derived from this general goal are five major objectives:

1. To create an effective network of academics, researchers, and social economy partners in order to sustain the kind of long-term knowledge production and exchange necessary to strengthen and grow the social economy for many years to come;
2. To understand better the scope and characteristics of the social economy in the region - and to contribute to designing measures for tracking its progress;
3. To assess and better understand exemplary practices, both within and outside the region, and analyze the requirements for their replication and/or scaling up in the region;
4. To speed the exploitation of knowledge about these exemplary practices in and between both provinces;
5. To contribute to the design and development of the social economy infrastructure in B.C. and Alberta - especially to contribute to defining and promoting policy and regulatory changes and other infrastructure that will support the growth of the social economy in this region.

Further, this project has been designed with the explicit intention to achieve the following outcomes derived from the project objectives: (1) a manifest exchange and diffusion of existing and new knowledge applicable to the needs and priorities of social economy actors; (2) meaningful opportunities for students and other researchers to learn from and contribute to the field, and to engage in longer-term career involvement in the field; (3) an increase in the number and range of cooperative projects between researchers and social economy practitioners; (4) an enhanced base of curriculum materials and resources for cognate university programs, particularly for those existing or planned at Athabasca U, SFU, UVic, U of Alberta, and RRU; (5) increased overall level of financial and other resources devoted to research and other efforts aimed at strengthening and growing the social economy in the region; (6) an increase in the breadth and depth of provincial and sub-regional public policies and programs, networks, institutions, and individual CED activities and social enterprises; (7) increased linkages, learning communities, and joint projects with the burgeoning social economy movement outside Canada, particularly in Europe, Africa, the U.S., Austral-Asia, and Latin America, in each of which at least one of the applicants has established relationships; and finally, but not least (8) a distinct

improvement in the knowledge about the social economy in the region, to be made explicit in our research reports.

As these outcomes signify, we see our program as a developmental effort, not just the accumulation of knowledge from discrete research projects. With the research activities we hope to engage our collaborators in a common effort to lift the level of social economy activity and relations in our region. At the same time, our research itself, given the calibre of our applicants and collaborators, will add substantially to the (international) base of knowledge on the social economy, as our experience is disseminated in Canada and abroad.

C. The Scope and Activities of the Research Program

Participation. Each of the six applicants will personally be responsible for the initial priority research projects described hereafter for each of three clusters of research topics, and for involving graduate and/or undergraduate students in them. Some projects will be linked to ongoing inquiries elsewhere, and particularly linked to practitioner-led social enterprises and CED activities; thus they will involve others listed as collaborators in this proposal, as well as associated students. Moreover, BALTA will promote a larger program of social economy research led by teams of applicants and collaborators, first, by applying annual partner cash contributions for work on other topics and questions embedded in and arising from our organized research/practitioner teams, and second, by seeking additional outside supporting funds. In this way partners and collaborators (and their associates) will participate in projects not yet specified; and students will have further opportunities to be involved. The two lead institutional applicants, Royal Road University and the Canadian Centre for Community Renewal, assume a special responsibility to promote and maintain this vital research alliance.

Analytical Framework and Research Questions. The analytical framework that will focus the research and contribute to bringing coherence to the overall effort involves three analytical domains. The first involves the contribution of the social economy to the reinsertion of the social processes of reciprocity, solidarity, and sustainability into economic life (see, for example, Polanyi 1957, Heilbroner 1980, Perry 1987, Dale 2001), particularly at local and sub-regional levels but also at institutional or system levels, for more realistic and effective economic activity. For example, what role might the exemplary practices and innovation of the social economy play in reconstituting local and regional economies that are threatened by global volatility and local decline? The second analytical domain focuses on adapting, replicating, and scaling up the successful social economy innovations for use in different contexts and at a larger scale throughout the region. We know that attempts to replicate and scale up social innovations in the larger societal context face institutional systems barriers (Schorr 1997). So what are the key targets, mechanisms, and strategies for advancing systems change in order to more effectively scale up what works? The third domain concerns the relationship between the territorial approach emphasized in CED, on the one hand, and, on the other, the social enterprise sector-focused approach (Lewis 2004). How can they interact to increase the potency of the overall social economy?

For the B.C. and Alberta contexts, then, these three analytical domains provide us with the framework to guide the strategic research questions, the research designs, and the implementation strategies for the proposed **Social Economy Research Clusters (SERCs)**. Each SERC provides a selection of interrelated topic-areas to be addressed by an integrated group of practitioners and academics, and they also give an intellectual and practical context for the particular research projects that each of the co-applicants will engage in. In addition, they

provide a focus for the additional research we hope to foster among our committed collaborators and their associates. They will allow us to pursue the basic questions inherent in the analytical domains:

- (1) What are the scope and characteristics of key sectors of the social economy in the region? We need to better understand the social economy landscape, as it exists.
- (2) What are the scope and characteristics of social economy innovations that are achieving demonstrable social and economic results in the region or elsewhere? We need to understand what is working and why.
- (3) What are the key issues, opportunities, and constraints for adapting and scaling up what is working (whether from within or outside of the region)? We need to understand the strategies and resources relevant to successfully scaling up success across Alberta and B.C.

SERC 1. Social Enterprise in the Human Services and in Affordable Housing. Non-profit and cooperative enterprise plays an important but largely undefined role in the region as a sector providing for basic human needs. These enterprises include affordable housing, health services, daycare centers (both for the very young and for the elderly), food banks, training and other labor market services, and a range of other social services. Their extent, scope, impact, and characteristics in the region need to be mapped. A major contribution of co-applicant Michael Gismondi will be to focus his Athabasca students on mapping these social enterprises in Alberta and B.C. Of course, the other applicants and collaborators will also be mobilizing students for this mapping work.

We know that there are successful innovations in other settings that would be relevant to our region. In Québec, Nova Scotia, the U.S., and Italy (see, e.g., Girard 2005; Fitzgerald 1999; Halpern 1995; Restakis 2001), various social enterprise formats are emerging to create high quality, accessible human services. What are the key factors at work? To what extent are they present in the BC/AB region? What are the key gaps in necessary supports? What pathways and strategies can be defined that would strengthen our regional capacity to advance social enterprise in this sector? What strategically important partnerships could be put in place to sustain the effort required to make significant progress? Most particularly, what policy changes could make a difference? For this, insights from the successful development work of our collaborator, Dianne Kelderman, will be needed.

Affordable housing is a critical need in the region; and home ownership through co-ops and non-profit groups represents an important social economy asset. Collaborator Allan Bartolcic, who is currently engaged in research on affordable housing in Alberta, will be an asset here. Among other topics, we want to study the potential of credit unions, a major financial resource within the social economy (Fitzgerald 2000), for innovative financing strategies for housing development. Also, there is elsewhere a body of exemplary practice in affordable housing development that results in exceptional benefits in training and rehabilitation for at-risk populations, particularly youth (Lewis and Gilson 2002). How can such models be adapted and expanded in the region?

SERC 1 co-chair John Restakis, a co-applicant, heads an initial priority project that will focus on what the co-op models of the Emilia Romagna district of Italy and the solidarity co-ops of Québec can teach us for improving the reach of the social economy in our region with new policies for human services co-ops. This research will result in a book that is a deliverable under this proposal.

SERC 2. Natural Resources, Local Development, and Social Enterprise. Current provincial land and natural resource tenure and revenue arrangements, combined with limited local capacity to manage and develop such resources, reduce the potential for local benefits for the communities adjacent to and dependent upon the fundamental natural resources of forestry and fishery. In fact, many such communities remain marginalized despite such resources (Mitchell et al. 2001). Are there countervailing opportunities for such communities in other natural resources? With respect to the sectors of non-timber forest resources, non-traditional fisheries, renewable energy, and eco-tourism, for example? How could legislation, policy, First Nation treaties, and public programs be designed to link development rights in these, or other sectors, to local needs? Using the advantages of his base in Northern Alberta and role as a municipal councilor, co-applicant Dr. Michael Gismondi will focus on such issues, with emphasis upon the social economy/local government dynamic.

Given anticipated increases in energy prices (Heinberg 2003), emerging trends in bio-regionalism, and concerns with genetically modified foods and food preservatives, there may be other potentially localized sectors - such as in food production, processing, marketing, distribution, and retailing - that can transcend the effects of rising energy prices and respond to public shifts in values. We will need to discover such opportunities for the social economy (Miewald et al. 2003). Do the practices of a social enterprise offer a special opportunity in this situation for local food systems for long-term food security? Here the research in the other two SERCs can be relevant as we ask how the social economy can be led, organized, networked, and structured to take advantage of such opportunities. In general, can social enterprise contribute to greater local self-sufficiency and effective action on market changes with regard to source and quality of products derived from natural resources?

A priority project in this SERC links to a development program in a B.C. First Nations context. Co-applicant Mike Lewis will take the lead research role here, using his access as policy advisor to the Native Brotherhood (a coast-wide, membership-based association of First Nations tribes). The project focuses on the golden mussel, a trademarked shellfish product for the high end of the mussel market. The Native Brotherhood plans to assume ownership of the trademarks, associated patented technologies, and the current profitable business. Over the next decade, with the early help of the current owner of the golden mussel business, and with its many partners in coastal communities, the Native Brotherhood aims to grow production from the present 40 tons to 10,000 tons throughout the many tribal communities. Various forms of community and co-operative enterprise are being contemplated for the ownership structure of the many different businesses that will make up this industry (hatcheries, packers, etc.). This unique emerging complex will permit a stream of information to be exchanged in the process of consulting on it. The critical organizational infrastructure and the innovation involved in growing a private business into an industry dominated by social enterprise ownership structures will be the focus of Lewis' research. This research is also relevant to the infrastructure emphasis in SERC 3 and to the overall question of how territorial revitalization (via CED) is linked to the creation of social enterprises.

Another priority project will focus on sustainability. Communities are turning to sustainable development frameworks as a means of integrating planning priorities, improving public participation, leveraging resources, and generating creative and practical solutions for economic, environmental, and social problems (Roseland 2005). For example, many communities have integrated sustainable development principles into their land use planning and/or decision making process (Patrick and Roseland 2005; Alexander et al. 2004), yet few

have succeeded at translating their high-level goals into on-the-ground projects. It would seem that the mechanisms and the market actors required for implementation are not adequately oriented towards sustainability. This project therefore will identify innovative, promising tools that have been used successfully and determine how others can be re-oriented and combined with existing planning processes to implement sustainable community development – and lead to effective new social enterprises. Co-applicant Mark Roseland will lead this project - placing special emphasis upon the contributions that can be made by graduate students at SFU.

SERC 3. Analysis, Evaluation, and Infrastructure Development. From both Canadian and other experience, we know that the efflorescence of a social economy requires supportive infrastructure in intermediaries, policies, networks, finance, etc. Small and isolated attempts at a social enterprise or a community-based and locally run development program remain vulnerable to the pressures of the conventional economy. But the more that CED or any individual social enterprise is embedded in a system of supportive technical, organizational, and financial infrastructure, the more likely are these efforts to grow and multiply in number and scale (Lewis 2004). Elements of this infrastructure exist to varying extents in B.C. and Alberta; but it is not well advanced compared to other jurisdictions. Assessing the current state of social economy infrastructure in relation to that in other jurisdictions (e.g., Québec, Manitoba, Nova Scotia, U.S., and the United Kingdom) is thus a strategic research area. Important input on this will come from non-regional collaborators, Pat Conaty, Dr. Jean-Marc Fontan, Shawna MacKinnon, Dr. Marguerite Mendell, Nancy Neamtan, Dr. Stewart Perry, and Dan Swinney.

We anticipate that some of the additional research with funds outside this grant will help us on the following questions: What are the critical gaps in current infrastructure and the priority requirements in B.C. and Alberta? How are the gaps manifested in varying contexts - rural, small town, inner city - and with specific segments of the population – immigrants, aboriginals, and women? What factors or circumstances explain the differences in availability of infrastructure supports? And importantly, what aspects of models from other jurisdictions can be mined for application in the region, and how?

A critical part of the necessary infrastructure is some sort of evaluative apparatus that enables progress to be measured - at the level of the social enterprise, at the level of the community, and in terms of building other necessary supportive infrastructure. Here we will benefit from the insights and experience of our collaborator Mark Cabaj. Measuring and tracking progress is essential for ongoing learning, improving results, and tool development - and for advocating appropriate policy development and adjustment. Here the BALTA itself will become a crucial part of this particular piece of the infrastructure. There are some specific research projects that can assist in this respect. For example, the particular technique called the Return on Taxpayer Investment or ROTI (see, e.g., Perry 1987) can be applied to selected types of social enterprise to better understand and communicate benefits to public policy makers. We will also need to capture the “soft” but essential results of more broadly based CED and social economy initiatives for demonstration and policy purposes. There are already available models that are important starting points - for example, the Community Resilience Manual (Colussi et al. 2001), social mapping work in Vancouver by one of our collaborators (Robert Boutillier), and the well-being indicator project in Alberta by one of our co-applicants (see Anielski and Soskolne 2001), in which adaptive management is a dimension of the use of indicators, with full cost-accounting.

Moreover, beyond such “slice of time” evaluative methods, we need to be able to understand what happens longitudinally to produce the essential stages of creating a full-range development system. This process will be studied in the activities of the Native Brotherhood of

British Columbia, cited earlier. The group is just beginning to construct an integrated development management capacity that includes other industry sectors besides mussel production (e.g., ocean ranching), key partnerships related to human resource development, and an ongoing planning and coordination role for overall First Nations development in coastal British Columbia. Lewis and Dr. Douglas Gordon will track and document the evolution of the Native Brotherhood development system as one longitudinal project under SERC 3.

Still another research project building on a current initiative will be related to scaling up the use of a social economy development tool (“The Development Wheel”) in three B.C. and three Alberta sites over the period of January 2006 to March 2008. Research to track impacts will be documented, although a longitudinal extension of the research will not begin under BALTA until 2009. The BALTA team will include co-applicant Lewis, with Colussi, Vinge, and Lockhart.

A priority project to be undertaken immediately in the context of this SERC will be conducted by co-applicant, Darcy Mitchell, with graduate students. She will build on a research project that she currently leads which examines the critical factors for success in commercializing non-timber forest products in rural communities. A coherent concept of success is being defined in that project according to a variety of financial, social, and environmental impacts; and the categories and measurement techniques in use can be readily adapted and modified as necessary for social enterprises. The analytical framework thus produced will help provide a common basis for analyzing social enterprise case studies to be conducted throughout the project (see section E. Methodology). It will be linked to a concept of overall well-being and its social context (Helliwell 2006).

Co-applicant Mark Anielski will conduct, with graduate students, a related priority project that will lead to a master conceptual framework to encompass the entire range of efforts for community well-being. It will be based upon Anielski’s Genuine Wealth model, currently being tested by Leduc-Nisku (a community of 40,000), for policy and decision-making by the City Council – and use other cases of progress assessment in the BALTA program. It will be reported in a book planned for Spring 2007.

D. Principal Project Deliverables and Timeframe (Provisional)*

- | | |
|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Year One (2006): | Documentation framework report Reviews to assemble cases by sectors Baseline reviews for BALTA outcome assessment (including law and policy) |
| reports | Report on use of ROTI, Community Resilience Manual assessment, etc. Interim reports on the priority projects by the individual applicants Host an international colloquium for dissemination and critique of project |
| Year Two (2007): | Communications plan and strategy Report on Year One assembly presentations and critiques Continuing assembly of social economy cases End of year progress reports on all projects Submission of book manuscript for state-of-the-field review - a symposium |

* See also Section 4. Communication of results.

- Submission of book manuscript on conceptualizing the well-being of economies
- Host an international colloquium for dissemination and critique of project reports
- Year Three (2008): Report on test of (revised) social enterprise evaluation framework
Revision of overall analytical framework
Submission of manuscript for government co-op policy book
End-of-year progress reports on all projects
International colloquium for dissemination and critique of project reports
- Year Four (2009): Application of the final evaluation framework
Interim assessment of results of emerging enterprise series
Assembly of case studies within the analytical framework
Host an international colloquium for dissemination and critique of project reports
- Year Five (2010): Individual project final reports
Final overall project report
Final colloquium for dissemination and critique of project reports
Submission of book manuscript on the results of the overall project

E. Methodology

We have chosen an overall action research approach as being the appropriate method whenever creating positive social change is the driving motivation behind the research (Trist and Murray 1993). Within that framework, different methodologies or groups of methodologies will be applied in each of three research streams.

Mapping Stream: This stream will be conducted primarily through a review, especially with student assistants, of existing surveys (completed or underway) of the social economy sector in Alberta and B.C. – identifying knowledge gaps and using means to fill those gaps. This work will be managed by the co-chairs of the particular SERC concerned, who, with the help of project staff and collaborators, will provide supervision to the student assistants. In addition, the management committee (with staff and student support) will supervise the documentation of the legislative, policy, and regulatory context.

Case Analysis Stream: This stream relies on case studies as defined by Yin (1990:4): “an empirical inquiry” that (1) investigates a contemporary phenomenon within its real life-context; (2) when the boundaries between phenomenon and context are not clearly evident; and (3) in which multiple sources of evidence are used. The method is particularly appropriate to the study of complex situations that cannot be disaggregated into a series of independently testable hypotheses. Case studies are the *preferred* strategy “when a ‘how’ or ‘why’ question is being asked about a set of events over which the investigator has little or no control” (Yin 1990:20). Because the project involves a large number of divergent cases, the research team will adopt a common framework for case studies that reflects an institutional analysis approach (Ostrom 1990), ensuring that relevant attributes are identified and analyzed in a systematic manner (Belcher and Ruiz-Perez 2001). Because the research is developmental and formative in nature, with ongoing interaction of research and reflection, its design provides for regular review and adaptation of the framework. Thus the priority project under SERC 3 allows for key information to be extracted from a range of research projects, encouraging leverage of research activity and ensuring that information is available to support generalizable findings.

Practice Stream: The intent of the practice stream is to apply and test findings from other elements of the project with the objective of enhancing the success of the participating enterprises and developing some well-documented best practices for broader application. To this end, researchers will use an adaptive management approach to the practice stream, consisting of “active learning” in which policy and other changes are treated as hypotheses and their results are critically evaluated (Gunderson, 1999). While originating from, and best known in, the resource management sector, an adaptive management approach is broadly applicable to social enterprises in human services and resource sectors and is applied in the theory and practice of “social learning” (for example, IDRC 2005).

F. Governance

There will be three main levels of governance: a management committee, an advisory council, and a general assembly. These are drawn from the SERC teams of applicants and collaborators.

The *management committee* consists of the six co-applicants, who may recruit colleagues from the collaborators as advisors on particular issues. It will provide continuing oversight: 1) to ensure that adequate work plans for research, diffusion, and financing are both developed and implemented; 2) to provide for quality control of the research; and 3) to assist members of the SERCs in identifying funding for research projects that are beyond the capacity of the SSHRC grant. It will meet six to eight times per year, at least four in person. Each major deliverable for the project will be managed by one of the co-applicants, and each SERC will be co-chaired by at least one of the co-applicants. The first meeting of the committee will be held within one month of signing the SSHRC agreement.

The *advisory council* will be made up of both community collaborators and academic collaborators, who will choose the council co-chairs and recruit other members, as they deem appropriate. The Alberta and B.C. CED networks will each designate a representative to serve on the council; and there will be a student representative from Year Two forward. The council will: 1) contribute to the development of strategic research priorities and the annual BALTA plan, especially to assure relevance to practical social economy issues; 2) contribute to an ongoing synthesis function, which in turn will feed ongoing planning of research priorities; 3) review and comment on the plans and major projects presented by each SERC; and 4) assist with monitoring and assessing the work. It will meet at least three times per year. Two meetings will be in person (including one in conjunction with the general assembly) and the third and any others by conference call.

The *general assembly* will be comprised of the applicants, collaborators, and other partner representatives, as well as participating students. It will meet once a year, in tandem with a substantive colloquium (to include outside researchers, practitioners, and public servants). The assembly will: 1) shape, through structured reflections and debate, the evolution of research priorities; 2) contribute to the ongoing synthesis of all the BALTA work; 3) act as a major point of diffusion of research results; and 4) serve as an important forum for relationship building and network building.

Finally, operating with the consultation of the management committee, the advisory council, and the general assembly, each of the three SERCS, constituted from the entire team, will be co-chaired by an academic participant and a social economy practitioner; and at least one of the co-chairs will be a co-applicant. The SERC co-chairs, and the members, will be charged with the responsibility of realizing the research program and extension of results in their area, as

well as coordinating an effort to leverage additional human and financial resources for related projects and activities, and seeking opportunities for student participation. (Membership in one SERC does not rule out consultation with other SERCs.)

G. Evaluation Procedures

There are three main ways we approach the evaluation of this project. First, the work of the research clusters and the project as a whole will be appraised annually by the management committee and the advisory council (with staff support) and presented as a draft to the annual general assembly for discussion and debate. This appraisal will be framed by the eight specific outcomes (see section 2.B.), and therewith assess the extent to which our work is disseminated in written and in-person presentations, the extent to which students and novice researchers are engaged, the extent of outside resources leveraged for research priorities, the impact on the instruction and curricula of the universities and on regional policy, the extent to which students become actively involved in the field in other capacities, and the occasions of international interaction, as well as the meaning and quality of reported research. Making use of currently available online software, a beginning baseline and the annual updating of information will form the basis of longer-term evaluations. Specific measures will be designed that will take advantage of the BALTA annual general assembly and its colloquia when all partners and collaborators will be in one place. The appraisal report, along with a summary of the discussion it prompts, will become a source document for overall project evaluation.

Second, the management committee and the advisory council (together with project staff) will maintain an ongoing assessment function, in the sense of an ongoing monitoring and discussion of progress. Routine reports will be organized as basic documents for progress assessment.

Third, mid-way through the project, there will be an outside evaluation review commissioned to assess (1) the research process (the quality of the partnership, the participation of the researchers, the participation of social economy actors, and the emerging implications of the network for the social economy field); (2) the quality of the research (its relevance to the issues important to social economy actors, the extent of new knowledge development, and the extent to which discernible impacts are emerging); and (3) the quality of the diffusion of results to people working in social economy and in academia and government. This review will also offer an analysis of the further potential of the project through its concluding years, as well as of possible problems or challenges for a successful conclusion.

3. List of Bibliographical Notices

Alexander, D., R. Tomalty, and M. Anielski. 2004. *BC Sprawl Report 2004: Economic Vitality and Livable Communities*. Smart Growth BC, Vancouver.

Anielski, M. and C. Soskolne. 2001. "Genuine Progress Indicator (GPI) Accounting: Relating Ecological Integrity to Human Health and Well-Being." In Peter Miller and Laura Westra, eds. *Just Ecological Integrity: The Ethics of Maintaining Planetary Life*. Rowman and Littlefield, Lanham, MD

Belcher, B. and M. Ruiz-Perez. 2001. *An International Comparison of Cases of Forest Product Development: Overview, Description and Data Requirements*. Working Paper No. 23, Centre for International Forestry Research, Bogor, Indonesia.

Colussi, M. 2003. "Indicators at Work." *Making Waves* 14,4.

Colussi, M., M. Lewis, S. Lockhart, and R. Rowcliffe. 2001. *Community Resilience Manual*. Centre for Community Enterprise, www.cedworks.com.

Dale, Ann. 2001. *At the Edge: Sustainable Development in the 21st Century*. University of British Columbia Press, Vancouver.

Favreau, L. and B. Levesque. 1994. *Développement Économique Communautaire : Économie Sociale et Intervention*, Université de Québec.

Favreau, L., G. Larose, and A. Fall. 2004. *Altermondialization, économie et coopération internationale*, University of Quebec.

Fitzgerald, D. 1999. "Co-operativism at Its Best." *Making Waves* 10,1.

Fitzgerald, D. 2000. "Credit Unions and Development Finance: Fact or Fiction." *Making Waves* 11, 4.

Girard, J.-P., in collaboration with G. Langlois. 2005. "Tracking the Social Impact of Solidarity Co-ops." *Making Waves* 16,1.

Gunderson, L. 1999. "Resilience, flexibility and adaptive management - antidotes for spurious certitude?" *Conservation Ecology* 3(1): 7. [online:] URL: <http://www.consecol.org/vol3/iss1/art7/>

Halpern, R. 1995. *Rebuilding the Inner City: A History of Neighborhood Initiatives to Address Poverty in the United States*. Columbia University Press, New York.

Heilbroner, Robert. 1980 (1st. Ed.1944). *The Worldly Philosophers*. Simon & Schuster, New York.

Heinberg, R. 2003. *The Party's Over: Oil, War and the Fate of Industrial Societies*. New Society Publishers, BC.

Helliwell, J. 2006. "Well-Being, Social Capital, and Public Policy: What's New?" *Economic Journal* (forthcoming).

International Development Research Centre. 2005. "Social Learning: Background Information." URL: http://www.idrc.ca/rpe/ev-83595-201-1-DO_TOPIC.html

Leviten, E. 2000. "The Three Levels of Outcomes: A Framework for Evaluating Multidimensional CED." *Making Waves* 11,2.

Lewis, M. 2004. "Common Ground: CED and the Social Economy - Sorting out the Basics." *Making Waves* 15,1.

Lewis, M. and B. Gilson. 2002. "Taking the YouthBuild Challenge." *Making Waves* 13,2.

Lewis, M. and S. Lockhart. 2000. *CED in the High Arctic*. Commissioned by the Nunavut CEDO. Centre for Community Enterprise, Port Alberni, BC www.cedworks.com.

Levesque, B. and M. Mendell. 2004. *The Social Economy: Diverse Approaches & Practices*. Report to the SSHRC President on the new CURA.

Lockhart, A. 1982. "The Insider-Outsider Dialectic in Native Socio-Economic Development." *Canadian Journal of Native Studies* 2: 159-168.

Markey, S., J. Pierce, K. Vodden, and M. Roseland. 2005. *Second Growth: Community Economic Development in Rural British Columbia*. University of British Columbia Press, Vancouver.

Miewald, C., et al. 2003. *Time for Harvest: Native Food Systems in Perspective*. First Nations Development Institute, Fredericksburg, VA.

Mitchell, D., K. Vodden and J. Longo. 2001. "Building Capacity or Straining Resources? The Role of Nonprofit Organizations in Threatened Rural Economies." In K.L. Brock and K.G. Banting, eds. *The Nonprofit Sector and Government in a New Century*. McGill-Queen's University Press, Montreal.

Neamtan, N. 2004. "Full Partners: After 20 Years Of Hard Work, CED Is A Force To Be Reckoned With In Québec." *Making Waves*

Neamtan, N. and R. Downing. 2005. *Social Economy and Community Economic Development in Canada: Next Steps for Public Policy*. Chantier de l'Économie Sociale, Montréal.

Ostrom, E. 1990. *Governing the Commons: the Evolution of Institutions for Collective Action*. Cambridge University Press, Cambridge.

- Patrick, R. and M. Roseland. 2005. "Developing Sustainability Indicators to Improve Community Access to Public Transit in Rural Residential Areas." *Journal of Rural and Community Development* 1: 1-18.
- Perry, S. 1987. *Communities on the Way: Rebuilding Local Economies in the United States and Canada*. State University of New York Press, Albany, N.Y.
- Perry, S., ed. 2000. *Tools and Techniques for Community Recovery and Renewal*. Centre for Community Enterprise, Port Alberni, BC [www.cedworks.com]
- Perry, S. and M. Lewis. 1994. *Reinventing the Local Economy: What 10 Canadian Initiatives Can Teach Us About Building Creative, Inclusive, & Sustainable Communities*. Centre for Community Enterprise, Vernon, BC.
- Polanyi, K. 1957. *The Great Transformation*. Beacon Paperbacks, USA.
- Quarter, J. 1992. *Canada's Social Economy*. James Lorimer and Company, Toronto.
- Restakis, J. 1998. "Government Restructuring and Implications for Civil Society – The Co-op Alternative." *Review of International Co-operation*, vol. 91.
- Restakis, J. 2001. "Emilia Romagna." B. C. Cooperative Association, Vancouver.
- Restakis, J. 2003. "Social Co-ops and Social Care – An Emerging Role for Civil Society." BC Cooperative Association.
- Restakis, J. 2004. "Defining the Social Economy." B.C. Cooperative Association, Vancouver.
- Roseland, M. 1999. "Natural Capital and Social Capital: Implications for Sustainable Community Development." Pp. 190-207 in J. Pierce and A. Dale, eds. *Communities, Development, and Sustainability across Canada*. University of British Columbia Press, Vancouver.
- Roseland, M., "Sustainable Community Development: Integrating Environmental, Economic, and Social Objectives." *Progress in Planning* 54 (2): 3-132.
- Roseland, M. 2005. *Toward Sustainable Communities: Resources for Citizens and Their Governments*. New Society Publishers, Gabriola Island, BC
- Schorr, L. 1997. *Common Purpose: Strengthening Families and Neighborhoods to Rebuild America*. Anchor Books, Doubleday, New York.
- Swinney, D. 1998. "Building the Bridge to the High Road." Centre for Community and Labor Research, Chicago, www.clcr.org.

Tremblay, D. and J-M. Fontan. 1994. *Le Développement Économique Local : La théorie, les pratiques, les expériences*. Université de Québec.

Trist, E. and Murray, H. 1993. *The social engagement of social science: A Tavistock anthology: The socio-ecological perspective*. Philadelphia: University of Pennsylvania Press. Vol. 2.

Trist, E. and H. Murray (eds.) and B. Trist (assistant ed.). 1990. *The Social Engagement of Social Science, Vol. I: The Socio-Ecological Perspective*. University of Pennsylvania Press, Philadelphia.

Veblen, T. 1964. (1st. Ed. 1914). *The Instinct of Workmanship*. Viking Press, New York

Yin, R.K. 1990. *Case Study Research: Design and Methods*, rev. ed. Sage Publications, Newbury Park, CA

4. Communication of Results

In the first year the management committee will detail a plan for disseminating the research and practical results of the project, by expanding on the following mechanisms by which we expect to make use of our work:

Through Partners and the Operations of the Alliance. The base communication, of course, must be within all the members of the BALTA team itself, and this will be facilitated by an annual synthesis report prepared for the general assembly. An annual thematic colloquium to be conducted in association with each general assembly will draw in representative international and national researchers who will provide discussions relevant to the theme chosen from the Alliance work. Each yearly colloquium will represent important benchmarks in the ongoing process of synthesizing the work of the BALTA research alliance as well as an important diffusion opportunity. Through the cooperation of the partners (e.g., CCEDNet) additional thematic seminars will be organized, linked to their annual events.

The diffusion of research results on a level more accessible to the general public and others in the field will be facilitated by the practitioner-focused quarterly journal, *Making Waves*, which is published by the Canadian Center for Community Renewal. (This journal reaches an average of 1400 subscribers; and special editions reach up to 6000). Over the five years *Making Waves* will be expected to run 8-10 articles, each of approximately 2000 words. In addition, at project end, a special edition of *Making Waves* will be produced to report a synthesis of the critical findings. It is expected that the journal will also link the BALTA work with reports from the other regional nodes and the national hub.

The BALTA web platform will be integrated into the Co-operative Learning Centre, a major international platform now being put in place by the partner BC Institute for Co-operative Studies (University of Victoria). Quarterly newsletters posted on the project website will highlight ongoing work, communicate the emerging debates, and promote events important to the work of the node. They will also be broadly distributed through the communication vehicles of partner organizations. In addition, key documents will be posted on the CCCR/CCE partner web site.

Through Academic Networks. Over the five years of the project, approximately 20 articles will be submitted to peer-reviewed journals at the national and international level. In addition to at least two books from individual projects, two more general books will be published. One will be a compendium that presents a cornerstone of existing knowledge relevant to exemplary practices and key issues important to the social economy in the present context. This will be submitted in Year Two for publication and will provide an ongoing benchmark reference, including linkages to key resources. A second volume, to be submitted for publication in the last year, will be a synthesis of all Alliance findings and a discussion of their implications for strengthening the social economy. Members of the team will make at least two presentations per year in national and international conferences (e.g., at the LEED program of the OECD; Intercontinental Network for the Social Solidarity Economy; International Society for Third Sector Research; International Symposium on Society and Resource Management; the biennial conference of the International Association for the Study of Common Property). Websites of the partner universities will be a further resource for wider academic dissemination.

Through Public Media. Because the social economy affects and needs the support and participation of Canada's citizens, BALTA will seek opportunities to broadly communicate its research results to the general public, particularly when results have policy implications. For this

activity, BALTA partners will be crucial by using their own established networks (e.g., the National Rural Research Network of the Rural Secretariat) and contacts in the public media. Some techniques that might be used include: media releases and briefings; a series of short video clips or other programming developed in concert with community cable TV or other television producers; a bookmark or similar item that can be distributed to members of co-ops, credit unions, etc. Further, BALTA will seek out and develop informative relationships with members of the national media (columnists, etc.) who have shown an interest in the social economy.

5. Description of the Team

Overview. Our team is multi-disciplinary (including economics, social work, geography, business, social psychology, history, public administration, policy, planning, education, political science, and environmental studies) and cuts across a wide range of practice spheres. Three B.C. universities are partners (with two co-applicants), joining with two Alberta universities (each with a co-applicant). All other team members (including two co-applicants) come from key social economy stakeholder groups in Alberta and B.C. (and in Britain and the U.S.) - and from two universities in Québec and one in Ontario. Aside from the six applicants, the committed collaborators total 29.

The Applicants

Profile and Experience of the Lead Applicant and Director, Michael Lewis. Michael Lewis is the Director of the non-profit Canadian Centre for Community Renewal (B.C.) and its allied for-profit Centre for Community Enterprise, as well as the editor of its journal *Making Waves*. For 28 years he has worked in aboriginal, rural, small town, and large urban contexts and in most major facets of the field - e.g., enterprise development, curriculum development, policy development. In addition to working with some 370 field projects over the years, he has directed a variety of research projects, and written or co-authored ten books and many other publications. His skills in financial management (especially in regard to government subventions for the Centre's work), the depth of his experience in all facets of the field, his capacity as a strategic thinker, and his capacity to mobilize teams and resources for both large-scale and limited initiatives is important to the roles he will play in the alliance: lead applicant, co-chair of the management committee, co-chair of SERC 3, and member of the other two SERCs. He begins Year One with conducting a priority project for SERC 2.

Profile and Experience of the Lead Academic Co-Applicant & Co-Director, Dr. Darcy Mitchell. Darcy Mitchell is Director of the Centre for Non-Timber Resources and Professor at Royal Roads University (B.C.). For over two decades she has worked toward the sustainable development of non-timber forest products (NTFP) in close collaboration with First Nations, community organizations, all levels of government, and international organizations, as well as the forest and NTFP industries themselves. During the past 30 years, she has conducted research and worked in the areas of fisheries management, social and health policy, and aboriginal policy from the perspectives of policy analysis, public administration, community development, and post-secondary education. Her roles will include co-chair of the management committee and of SERC 2. Exemplifying the crossover in the BALTA work she will also conduct a priority project in SERC 3.

Profile and Experience of Co-Applicant, Mark Anielski. Mark Anielski combines multiple disciplines in ecological economics, accounting, forestry, performance measurement,

and sustainability indicators and measurements to focus on issues of assessing the overall well-being and sustainability of communities and organizations. His work includes the development of the U.S. and Alberta Genuine Progress Indicator (GPI). He recently co-authored an assessment of municipal sustainability, *Ecological Footprint Analysis*, for the Federation of Canadian Municipalities. His prototype, General Wealth (well-being) Accounting System, has been adopted by U.S. and Canadian cities and First Nations communities, as well as by two corporations. He is the past (founding) director of the Centre for Performance Measurement and Management at the School of Business, University of Alberta. Currently he serves as an Adjunct Professor (Corporate Social Responsibility and Social Entrepreneurship) at the University of Alberta Business School, Senior Fellow of the economic think-tank, Redefining Progress (Oakland, CA), and Senior Associate at the International Institute for Sustainable Development. He will serve on the Management Committee, co-chair SERC 3, and conduct a priority project in that SERC. One of the books planned in this BALTA program will derive from his work.

Profile and Experience of Co-Applicant, Dr. Michael Gismondi. At Athabasca University, Michael Gismondi originally organized and continues to direct a master's program comprised now of some 500 distance education students, about one-third of whom are residents of Alberta and British Columbia. He is also a Municipal Councilor for the Town of Athabasca, where he is concerned with sustainability initiatives that involve volunteer groups throughout the larger region. In addition, he brings overseas development experience to the issues of CED and the social economy that our Alliance will address. He will serve on the management committee, co-chair SERC 2, and will participate in the mapping research in SERC 1. His own research will explore the local government-social economy nexus. He will be especially concerned with creating opportunities for master's students to conduct research on topics integral to the BALTA research alliance.

Profile and Experience of Co-Applicant, Dr. Mark Roseland. Mark Roseland is the Director of the Centre for Sustainable Community Development at Simon Fraser University and is a professor in SFU's Department of Geography. He has published widely, and his work is cited in numerous journals. Over 12,000 copies of Dr. Roseland's book *Toward Sustainable Communities: A Resource Book for Municipal and Local Governments* were distributed internationally by the Government of Canada. He has been awarded many funded research projects from SSHRC and a variety of other private, institutional, and government sources, both provincial and federal. He will be on the management committee, will co-chair SERC 2, and will conduct a priority project within that SERC.

Profile and Experience of Co-Applicant John Restakis. John Restakis is Executive Director of the B.C. Cooperative Council. He has been a sessional instructor on Co-operative Economies and Globalization at Simon Fraser University, is a co-founder and coordinator for the Bologna Summer Program for Co-operative Studies (in collaboration with the University of Bologna), and has led many study tours of the cooperatives in the Emilia Romagna region of Italy. These models for human services enterprises, as well as the solidarity co-ops of Quebec, will feature in his research which is intended to inform the B.C. and Alberta contexts for potential new policies on co-ops in our region. One of the four books planned in this BALTA program will derive from his work. He will also serve on the management committee and as a co-chair of SERC 1.

Summary Chart of All Individual Participants (co-applicants and collaborators)

Management Committee (co-applicants)

| <i>Name (& Province)</i> | <i>Affiliation</i> | <i>SERC Membership</i> |
|------------------------------|---------------------------------------|------------------------|
| Michael Lewis (BC) | Canadian Centre for Community Renewal | Co-Chair SERC 3 |
| Dr. Darcy Mitchell (BC) | Royal Roads University | Co-Chair SERC 2 |
| Mark Anielski (AB) | Univ.of Alberta Schl.of Business | Co-Chair SERC 3 |
| Dr. Michael Gismondi (AB) | Athabasca University | Co-Chair SERC 2 |
| Dr. Mark Roseland (BC) | Simon Fraser University | Co-Chair SERC 2 |
| John Restakis (BC) | BC Co-operative Council | Co-Chair SERC 1 |

Advisory Council

| <i>Name (& Province)</i> | <i>Affiliation</i> | <i>SERC Membership</i> |
|-------------------------------|---------------------------------|------------------------|
| Dr. Martin Garber-Conrad (AB) | Edmonton Community Fdn. | Co-Chair SERC 1 |
| Dr. Douglas Gordon (BC) | Native Brotherhood | SERC 2 |
| Jenny Kain (AB) | City of Edmonton | SERC 1 |
| Dr. Ian McPherson (BC) | University of Victoria | SERC 3 |
| Dr. Marguerite Mendell (QC) | Concordia U.; Polyani Institute | SERC 3 |
| Dr. Ron VanWyk (BC) | Mennonite Central Committee | SERC 1 |
| One delegate ea. from AB & BC | CCEDNet regional networks | To be determined |
| Student representative | One of the partner universities | To be determined |

SERC 1 – Social Enterprises in Human Services and in Housing (*7 members plus co-applicants Michael Lewis and Dr. Michael Gismondi, the above noted co-chairs, John Restakis and Dr. Martin Garber-Conrad, and Advisory Council members, Jenny Kain and Dr. Ron VanWyk*)

| <i>Name (& Province)</i> | <i>Affiliation</i> |
|------------------------------|-------------------------------------------------|
| Allan Bartolcic (AB) | Alberta Community and Cooperative Assoc. |
| Michelle Colussi (BC) | Canadian Centre for Community Renewal |
| Dr. Jean-Marc Fontan (QC) | Université de Québec; & ARUC – Économie Sociale |
| Dianne Kelderman (NS) | Nova Scotia Cooperative Council |
| Dr. Robert McKeon (AB) | Newman Theological College |
| Dr. Gary McPherson (AB) | University of Alberta, School of Business |
| Norma Strachan (BC) | ASPECT |

SERC 2 – Natural Resources, Local Development, and Social Enterprises (*6 members, plus applicant Mike Lewis, the above noted co-chairs Dr. Darcy Mitchell, Dr. Michael Gismondi, and Dr. Mark Roseland, and Advisory Council member Dr. Douglas Gordon*)

| <i>Name</i> | <i>Affiliation</i> |
|-----------------------------|------------------------------------------|
| Michelle Aasgard (AB) | Alberta Community and Cooperative Assoc. |
| Dr. David Bell (ON/BC) | York University/Royal Roads University |
| Dr. Ann Dale (BC) | Royal Roads University |
| Dr. Christiana Miewald (BC) | Simon Fraser University |
| Dr. Sandy Lockhart (BC) | Canadian Centre for Community Renewal |
| Dr. Grant Sheng (ON/BC) | York University/Royal Roads University |

SERC 3 – Analysis, Evaluation, and Infrastructure (*10 members plus applicant Dr. Darcy Mitchell, the above noted co-chairs Mike Lewis and Mark Anielski, and Advisory Council members, Dr. Douglas Gordon, Dr. Ian McPherson, and Dr. Marguerite Mendell*)

| <i>Name</i> | <i>Affiliation</i> |
|----------------------------|------------------------------------------------------|
| Dr. Robert Boutillier (BC) | Simon Fraser University |
| Mark Cabaj (AB) | Tamarack Institute |
| Pat Conaty (UK) | New Economics Foundation (U.K.) |
| Dr. John Helliwell (BC) | University of British Columbia |
| Shawna MacKinnon (MB) | Centre for Policy Alternatives (Manitoba) |
| Nancy Neamtam (QC) | Chantier Économie Sociale; & ARUC – Économie Sociale |
| Kyle Pearse (BC) | Enterprising Nonprofits Program |
| Dr. Stewart E. Perry (US) | Canadian Centre for Community Renewal |
| Dan Swinney (US) | Center For Labor and Community Research (U.S.) |
| Veronica L. Vinge (AB) | V.L. Vinge Consulting |

6. Partnerships and Alliances

Overview. The BALTA partners will contribute generally to the alliance in three ways. First, all partners will advise and otherwise participate in the design and implementation of our research activities through representatives on the SERCs and at the general assembly and/or advisory council. Second, within their means, each will mobilize human and financial resources for us. (Contributions from partners are valued over the five-year project at \$387,500 in cash and \$1,801,950 in-kind contributions.) Third, they will help mobilize research assistants and students, share and disseminate existing information and information resources, support efforts to lever outside financial resources for further projects, and participate in them. The general contributions of each partner are described below.

University Partners

Athabasca University conducts a wide range of distance education programs on both undergraduate and graduate levels, of which the Masters of Arts in Integrated Studies (MAIS), with its concentrations in Global Change, Adult Education, and Community Studies, is particularly relevant to this alliance. The MAIS program has approximately 160 master's students residing in BC and AB, many working or volunteering with nonprofit organizations in the social economy. Dr. Michael Gismondi (a co-applicant), will assist us in finding and drawing from this pool of mature student researchers, whose networks and leadership positions in their communities will be relevant to the three SERCs. Since Athabasca University is also seeking to develop courses in CED and the social economy to meet the needs of such students, faculty from the MAIS will be collaborating with RRU's development of its master's program. Dr. Gismondi will serve as a co-chair of SERC 2 where he will contribute to the study of community-based sustainable development initiatives, with an emphasis on northern Alberta. He will also participate in the research in SERC 1, where he will assist in mapping the social economy, again with an emphasis on northern Alberta, where he lives and works. Other interested faculty members will be formally recruited as collaborators for Year Two.

Royal Roads University, the lead university applicant, has a mandate of applied and professional education and research (with a problem-solving, interdisciplinary approach to research, using action research and action learning methods, as relevant, and with priorities, among others, in sustainable societies and communities). Of special note, the RRU Academic Council has recently approved the launch of a laddered certificate and Master's program in community economic development. Teaching at RRU is oriented toward working adults in responsible positions; most RRU students are enrolled in Master's programs and are both interested in, and well qualified for, participating in applied, participatory research projects. The *Centre for Non-Timber Resources* represents the University's integrated and innovative blend of research, teaching, and practice in an emerging area of resource management and community economic diversification at provincial, national, and international levels; and its director, Dr. Darcy Mitchell, is a co-applicant, co-chair of the project management committee, and co-chair of SERC 2, as well as principal investigator for a key project in SERC 3. There are three other RRU collaborators, all of whom will participate through SERC 2: Dr. Ann Dale, who holds a Canada Research Chair in sustainable community development, Dr. David Bell, Research Advisory Council, School of Environment and Sustainability, and Dr. Grant Sheng, adjunct at the same school. (Bell and Sheng also are faculty of York University in Ontario.)

Simon Fraser University through its *Centre for Sustainable Community Development (CSCD)* provides research, training and advisory services to the communities and governments throughout B.C. and elsewhere, through a team of associates drawn from the University and from professional practice. The University offers an undergraduate certificate and a post-baccalaureate diploma in community economic development, graduate study, and a Professional CED Certificate program. The Centre works internationally, with major current projects in Mexico and Ukraine. The CSCD brings a strong team to its partnership in the BALTA research alliance and will be active across all levels of the work. It will also be actively integrating its students wherever possible and strategic into the various SERCs and any leveraged research projects. Dr. Mark Roseland, director of CSCD, is a co-applicant and SERC 2 co-chair – and will conduct a priority project in that SERC. A collaborator at SFU, Dr. Christiana Miewald, will provide research consultation especially on food-related social economy issues in SERC 2.

The **University of Alberta's School of Business**, through its *Canadian Centre for Social Entrepreneurship (CCSE)*, is the only academic organization in Canada studying social entrepreneurship, and one of only a few in the world that has taken an interest in studying the implications of the application of social entrepreneurship for business, not-for-profit organizations, and government agencies. The CCSE works with undergraduate, graduate and MBA students. The CCSE carries out research and also sponsors a range of courses and conferences for the general public. Dr. Gary McPherson, director of the CCSE, is a collaborator and will be responsible for supervising U of A students; he will be a member of SERC 1. Co-applicant Mark Anielski is Adjunct Professor at U of A's School of Business and will co-chair SERC 3, sit on the Management Committee, and conduct a lead research project on which his Alberta graduate students will participate.

The **University of Victoria** through its *BC Institute for Cooperative Studies* provides a depth of specialized knowledge in all facets of cooperatives. The reach and contacts of the Institute in the region, across Canada, and internationally, provides an opportunity to tap into a wide range of resources. Their prototype for a sophisticated on-line documentation, database, and conferencing resource centre called the *Co-operative Learning Centre* is a unique opportunity for our Alliance (and possibly, for all SSHRC regional nodes and the national hub) to broaden its content to include other aspects of the social economy in addition to co-ops. The Centre has a capacity for operating in seven languages and is global in scope. The Institute's expertise is relevant to all SERCS, and it is prepared to be a resource and participant (financially and otherwise) in research projects that flow from any cluster initiatives. The director of the University's BC Institute for Cooperative Studies, Dr. Ian McPherson (who is also the lead applicant for the SSHRC national hub), will serve on SERC 3 and the Advisory Council.

Social Economy Stakeholder Partners

The **Alberta Community and Cooperative Association** was recently organized to serve provincial co-operatives, credit unions, and community and agricultural organizations in rural development, youth and education, and other fields. It has taken over publication of the 33-year-old Alberta Farm and Ranch Directory, with a distribution of 16,000 annually. Executive Director Michelle Aasgard will participate in SERC 2, and the Youth and Community Manager, Allan Bartolcic, who is also a master's student at RRU and conducting research on affordable housing, will be a collaborator for SERC 1.

ASPECT, the Association of Service Providers for Employability and Career Training, unites more than 130 B.C. community agencies (and their practitioners) that provide community-

based services designed to assist individuals overcome barriers to employment. In this effort ASPECT concentrates on advocacy activities that have made it a leader in policy advice to both the province and the federal government, meeting regularly with Members of the Legislative Assembly and other senior government officials. For example, its executive director (and the collaborator on this Alliance project), Norma Strachan, represents ASPECT on the Joint Service Canada/Voluntary Sector Working Group and served as co-chair on the provincial Minister's Sector Table on the Labour Market. For the Alliance, Ms. Strachan will concentrate on policy and regulatory issues that will affect social enterprises in the human services and employment field (SERC 1).

The **B.C. Cooperative Association (BCCA)** is a non-profit umbrella organization representing the co-operative and credit union movement in B.C. BCCA promotes co-ops as tools for community control over local economies, and as key to economic and social reform. Among the association's members are some of Canada's largest co-ops and some of the smallest and newest types of co-ops. In addition, federations such as Credit Union Central of B.C. and the Co-operative Housing Federation of B.C. are leading members. BCCA plays a key role in new co-op development, strengthening existing co-ops, youth development, policy advocacy, co-op education, research, and training. An especially significant educational initiative was its co-ordination and delivery of the Bologna Summer Program for Co-operative Studies in partnership with the University of Bologna and the Vancity Savings Credit Union. BCCA has active partnerships with six universities across Canada. John Restakis, director of BCAA, is a co-applicant, co-chair of SERC 1, and will be conducting a research project within SERC 1 on the Alberta and B.C. policy implications of co-op models in Italy and Quebec.

The **Canadian Centre for Community Renewal (CCCR)**, the lead applicant from the social economy practice side, is a B.C. non-profit corporation that, in association with its for-profit *Centre for Community Enterprise*, promotes training, education, research, technical assistance, policy, networking, and publishing in the field of community economic development and the social economy. Examples of its work include: in education and training it created a year-long CED certificate program for Ontario francophone colleges; one of its many research projects is reported in "The Community Resilience Manual"; its networking includes participation on the board, committees, and national policy council of the CCEDNet; for 16 years it has published the only North American practitioner-focused quarterly in the field; and over the last 18 years it has produced over 100 articles, books, practitioner guides, as well as a searchable on-line data-base of over 500 publications. With this combination of applied research and practical experience, CCCR is in a unique position to make a significant contribution to both the research and diffusion aspects of BALTA. The director of CCCR, Mike Lewis, is the lead applicant. Three other CCCR people who are CED specialists from their own disciplines (social psychologist Dr. Stewart Perry, economist Dr. Sandy Lockhart, and community development practitioner/researcher Michelle Colussi) will serve on SERCs 2 and 3.

The **Canadian CED Network** is the organizational co-head of the national hub operation for the Social Economy Nodes, but before it was so designated it was a critical partner for us (through executive director Rupert Downing) in the production of our original proposal and in the development of this submission. It has a membership made up of the full range of stakeholders in this field - practitioners and academics, social enterprises and cooperatives, CED organizations, government agencies (e.g., City of Edmonton), and a range of networks (e.g., the provincial associations of Community Futures Development Corporations in Manitoba, and the Canadian Cooperative Association). The existing research program of CCEDNet will feed into

the overall database of the node; its annual assemblies (500-600 participants) will be an important venue for dissemination of research reports; and its regional coordinators in B.C. and Alberta will help link community priorities to our research program and diffuse results in their provinces through the CCEDNet affiliate networks. In addition, the B.C. and Alberta regional networks will each appoint a member to the advisory council, and CCEDNet's new national intern program will be an aid in recruiting student research participants.

The **City of Edmonton** will be represented by their *Community Services Research and Innovation* section, which is conducting a variety of social economy studies, including three inquiries on a CED investment fund and tax credit models, in order to build resources for financial capital in the local and provincial social economy. Other studies involve the creation of social enterprises for human resource development; participation in the Vibrant Communities project (for Edmonton); and a curriculum for non-profits considering a social enterprise. The work on all of these will significantly inform our research. The key person will be Jenny Kain, a researcher and social planner in the section, who also represents the City at CCEDNet. She will be active in SERC 1 and on the Advisory Council.

The **Edmonton Community Foundation**, with total assets of \$164 million is the mover and shaker in its city, having disbursed almost \$60 million since 1990 for charitable causes, including social enterprises. Its chief executive officer, Dr. Martin Garber-Conrad, will serve as co-chair of SERC 1. The Foundation will be an entry point for dissemination of research results to the network of community foundations throughout Canada.

The **Enterprising Non-Profits Program (ENP)** provides matching technical assistance grants to non-profit organizations in B.C. that are interested in starting or expanding a business. ENP consists of five funding partners: Vancouver Foundation, United Way of the Lower Mainland, Vancity Community Foundation, Coast Capital Savings, and Western Economic Diversification. ENP is also engaged in initiatives designed to raise awareness and generate knowledge of social enterprise in Canada, including a social enterprise guide, the development of a web-site and e-newsletter, and the management of a research database for regular reporting on the progress of social enterprises funded by ENP partners. ENP manager, Kyle Pearce, stationed at VanCity, will be active in SERC 3.

The **Mennonite Central Committee, Employment & Community Development (MCC-ECD)** is a not-for-profit agency based in Abbotsford, B.C. and working in several communities in the Fraser Valley. During this past year MCC-ECD led and conducted a major study on homelessness and employment, in cooperation with several partners, such as the School of Social Work at the University College of the Fraser Valley and four Community Services Societies in Fraser Valley communities. Project activities included research design, community forums, focus groups, survey and qualitative interviews, data analysis, reporting of findings and dissemination of results. It is currently engaged in a partnership for action research aimed at framing and creating the infrastructure necessary to increase affordable housing for low-income residents in the Fraser Valley. Dr. Ron VanWyk, executive director of MCC-ECD will bring a focus on housing to SERC 1, as well as take a place on the Advisory Council.

The **Native Brotherhood of British Columbia (NBBC)** is the oldest aboriginal association in Canada, with membership of over 60 coastal and river-based tribes. It seeks to advance the social, spiritual, economic, and physical conditions of its members (including higher standards of education, health and living conditions) and to cooperate with organizations and government departments that are concerned with the advancement of Indian welfare. NBBC is currently involved in several significant initiatives relevant to the Alliance: research and

development in specific economic sectors from a community and social enterprise perspective; a work skill development institute; and a national literacy foundation. Dr. Douglas Gordon, NBBC senior policy advisor, will be an active participant in SERC 2, especially with one of its priority research projects, and a member of the Advisory Council. He will also be involved in a project in SERC 3. In addition, NBBC's collaboration will extend to diffusion of relevant research through their paper, *The Native Voice*, with a distribution of some 47,000.

Government Partners

The Rural Secretariat is a focal point for the Government of Canada to work in partnership with Canadians in rural and remote areas to build strong, dynamic communities. It provides leadership and coordination for the Canadian Rural Partnership; facilitates liaison and creation of partnerships around rural issues and priorities; and promotes dialogue between rural stakeholders and the federal government. **The Cooperatives Secretariat** advises the government on policies affecting co-operatives, co-ordinates the implementation of such policies, and promotes awareness and recognition of the importance of co-operatives within the federal government. It also provides a link between the co-op sector and the many federal departments and agencies with which they interact. It is responsible for the Co-operative Development Initiative to help people develop co-ops, and to research and test innovative ways of using the co-operative model. The Rural and Cooperative Secretariats, as parts of Agriculture and Agri-Food Canada, will provide up to \$20,000 annually for mutually beneficial research initiatives from this Alliance. Brandon Hughes (BC) and Nathanael Olson (AB) will represent the agency.

Western Economic Diversification Canada (WD) is a federally funded regional development agency with a mandate for economic development, particularly promoting innovation, entrepreneurship, and community sustainability. WD's participation in the research and networking objectives of our regional node and funding (\$250,000 over five years) is thus integral to its mandate. Beverly Olds, acting director of Strategic Planning, Policy, and Economic Analysis, will represent the agency.

7. Training and Role of Students

The BALTA Alliance will include 40-60 students from its partner universities. We will also benefit from the students interning with community agencies and supervised by Dr. Robert McKeon, a collaborator at Newman College. Our nonacademic partners and collaborators of the alliance will be welcoming students into their organizations for access to information relevant to the students' projects.

The university partners have many directly relevant programs from which students can be recruited. SFU has certificate and bachelor's level programs and master's and doctoral students of geography in social economy-related degrees. The RRU Academic Council has just approved a laddered certificate-master's program in CED to be launched in 2006; also, its undergraduate commerce program and graduate MBA and leadership programs attract students with strong social economy interests; students in environmental management, applied communications, and environmental education will also be recruited. Courses in CED and the social economy are offered at UVic through the co-op institute, the social work program, and the graduate program in adult education. U of A's Social Entrepreneurship Centre will likewise link students through their undergraduate, master's and doctoral programs in business. The most directly related programs at Athabasca University are in Global Changes and Community Studies. AB and BC students in those Athabasca master's programs will be recruited for research relevant to the

topics of the three SERCs. Students will participate in all aspects of research - design, data gathering, data analysis, and reporting in oral and written formats (including professional journals, etc.). As appropriate they will work closely with their community organizations, learning to work with different sectors and across sectors, to make the research relevant to communities.

We will accord a place for students to participate in the advisory council and general assemblies. Also, the management committee will annually invite selected students to submit proposals to present a workshop related to their research at the CCEDNet annual conference (attendance in the 500-600 range); one will be chosen to receive financial support to attend and present her/his work. For this the Alliance will target student recruits in the latter stages of undergraduate or early stages of post-undergraduate studies where there is evidence of a strong career interest in the social economy.

Potential Student Participation in Research, Dissemination, and Communication

| Representative Activity | Undergraduates | Master's | Doctoral | Comment |
|-----------------------------------------------------|------------------|------------------|------------------|----------------------------------|
| Documentation/mapping Methodology | | 1 | 1 | |
| Mapping of social economy subsectors | 1 | 6-12 | 2 | |
| B.C. and Alberta law, policy, infrastructure review | 2 (law) | 2-4 | | |
| Communications plan/strategy/implementation | | 5 | | RRU applied communications |
| Provisional analytical framework | | 1-2 | 1 | Basis for PhD research |
| Early cases | 2 | 6-12 | 1-2 | |
| Emerging enterprises practice stream | 1 | 1-2 | 1 | Internships and co-op placements |
| Soc. enterp. eval. frame | 1 | 1-4 | 1 | |
| Book 1 – synthesis rpt | | 2 | | Research Asst. |
| Round two cases | | 3-4 | 1-2 | |
| Colloquia presentations | [from the above] | [from the above] | [from the above] | Selected |
| Final report – Book 2 | [from the above] | [from the above] | [from the above] | Selected |

8. Justification of Budget

Funds Requested from SSHRC

The overall cost of student stipends (\$100,000/yr) and the cost of salaries and benefits (\$176,000av/yr) for a total of \$276,000 av/yr together represent 79% of the total expenses within the SSHRC envelope.

Student Stipends

The remuneration of students is budgeted at \$500,000 over five years. Selection of students for research placements will be decided by the management committee in consultation with the SERCs, based on approved research plans and projects. Of the budget 10% is for 7.0 undergrads (at \$7,000 each) (shown as 2/yr as the form would not accept decimals); 60% for 25 master's students (at \$12,000 each); and 30% for 10 doctoral students (at \$15,000 each). The stipend amount is calculated at the maximum value specified under the SSHRC guidelines, but the actual number of students will vary, depending on the research needs and the number of hours that the students are working. Refer to Section 7 for description of student services/activities and variable numbers.

Non-Student Salaries

Note that no release allowance for co-applicant Dr. Michael Gismondi is requested, as his (20 percent) time on this project will be fully supported by Athabasca University over the five years.

Salary replacement for Michael Lewis, community lead applicant, \$22,500/yr for each of the 5 years supports several roles: principal investigator for the specified projects, co-chair of management committee and SERC 3, membership in the other two SERCs, guidance and support of overall project management including supervision of the staff project manager, and general assistance in the design of applications for raising outside resources for additional research initiatives, as well as participation in writing and dissemination. (Note that an additional \$5000/yr will be allocated for Lewis' time from in-kind services of the CCCR contribution)

Release allowance for Dr. Darcy Mitchell, university lead co-applicant, \$20,000/yr for each of the five years supports several roles: co-chair of management committee, the advisory council, and one SERC, supervision of staff academic coordinator, advising on research design and targets for fund-raising and diffusion initiatives, and principal investigator for the specified project, as well as participation in writing and other dissemination. Dr. Mitchell heads the Centre for Non-Timbre Resources at Royal Roads University, which is mandated for research consulting and teaching. The CNTR is primarily funded through research grants, contracts, and course fees. Therefore, a research release allowance is requested for Dr. Mitchell.

Release allowance for Mark Anielski, university co-applicant, \$15,000/yr for each of the 5 years supports his roles as member of the management committee, co-chair of one SERC, general research advisory services, as well as lead researcher on the specified project. As Mark Anielski's position with the university is adjunct, his release time needs to be covered from the grant.

Research Time Stipend for Dr. Mark Roseland, university co-applicant, \$7,500/yr for years 2, 4 and 5 supports his role on the management committee, his co-chairing of one SERC, his overall assistance in research design and in the recruitment and integration of students into research projects, and his work as principal investigator for the specified project, as well as

writing and other dissemination of results. In the first and third years of the project, Simon Fraser University will cover his release time of \$15,000/yr.

Salary Replacement for John Restakis, community co-applicant, \$10,000/yr for each of the 5 years will underwrite his research time on a lead project for SERC 1. He will also be co-chair of that SERC and serve on the management committee.

The Project Manager, (FT \$60,000/yr, including benefits) will provide about half of his/her time (over the course of the five years) liaising with social economy actors to maximize both the relevance of research and ensuring diffusion of the results to the sector. The rest of his time (heavier in the first year or two) will be spent supporting the management committee and coordinating the work of the SERCs; managing database, financial, and communication activities; assistance with proposal development; and managing SSHRC reporting functions. He/she will report to the management committee through its co-chair Mike Lewis.

The Project Bookkeeper (PT \$14,000/ yr, including benefits) will work under the supervision of the project manager.

The Academic Coordinator (1/2 T \$30,000/yr, including benefits) will be involved in coordinating the collaborators and students with SERC and associated research projects; advising on research design and research plans for each SERC; and support for proposal development for outside funds for each SERC. He/she will report to the management committee through its co-chair Darcy Mitchell.

Travel and Subsistence Costs vary over the period (\$45,360 av/yr). These funds support the holding of the annual colloquium and general assembly (\$20,000 av/yr), annual face-to-face meetings (other than at the annual assembly) of the management and advisory committees (\$5,000av/yr), student travel for research and dissemination involvement (\$6,000/yr), staff travel (\$2000 av/yr), and travel costs for SERC meetings (\$12,360 av/yr) beyond those organized in conjunction with the colloquium and assembly. Foreign travel expenses for international participants at the colloquia increase those costs. During the first two years, travel costs are higher to facilitate lead applicant travel for meetings with collaborators and representatives of key partners, planning meetings of SERC co-chairs, and convening SERCs more intensively in this formative period. Some relevant community organizations will likely need travel cost subsidies, and so we will look elsewhere for further funds for travel expenses.

Supplies costs (for phone, postage, copying) (\$8000/yr) support the extensive use of conference calls as a means of communication at every level, plus normal administration costs of communication.

Communication, Diffusion, Publication (\$10,100 av/yr). Within this category are costs associated with a quarterly newsletter; publishing of papers, monographs, and books; support related to designing materials for seminars and workshops; publication costs associated with the planned *Making Waves* articles; and, in Year Five, a contribution towards the costs of a special edition of *Making Waves*. The publication of the 'state-of-the-art' book in Year Two will be covered by combined funds from year 1 and 2. The Web Platform over the five years is budgeted at \$30,000 with Year One design costs of \$10,000. This front end loading is for re-designing work on the seven-language global Co-operative Learning Centre, the prototype of which has been completed by a partner, the BC Institute for Co-operative Studies at the University of Victoria. BALTA will promote the use of this platform with other regional nodes and the national hub. It will provide an integrated platform for on-line discussion groups, data base repository, search engine, etc.

Other Meeting Costs (\$2000-4000/yr) are for room rentals, equipment rentals, reproduction of materials, refreshment costs, etc., for meetings, seminars, colloquia, and workshops. The first year is higher as it is expected that during this year there will be more face-to-face meetings with more teleconferencing in the following years.

Mid-Term Evaluation (contracting cost) is estimated at \$10,000 and budgeted in Year Three. Competing quotations will be requested at that time.

Funds from Other Sources

Funds from other sources total \$2,189,450. In-kind contributions of \$1,801,950 (\$360,390 av/yr) are enhanced by supplemental cash contributions revenue of \$387,500 (\$77,500 av/yr): Western Diversification (Federal) - \$50,000/yr on annual application (to extend resources for research and dissemination); Agriculture and Agri-Food (Federal) - \$20,000/yr on annual application (for extension of research and dissemination activities); Simon Fraser University - \$7500 for three years to match for RTS for Mark Roseland; Royal Roads University - \$3000/yr on annual application to be used for research design and proposal development.

9. Letters of Confirmation

- Alberta Community and Cooperative Association
- ASPECT
- Athabasca University
- B.C. Co-operative Association
- Canadian CED Network
- Canadian Center for Community Renewal
- City of Edmonton Community Services
- Edmonton Community Foundation
- Enterprising Non-Profits
- Mennonite Central Committee, BC
- Native Brotherhood of British Columbia
- Royal Roads University
- Rural Secretariat & Cooperative Secretariat, Agriculture and Agri-Food Canada
- Simon Fraser University
- University of Alberta
- University of Victoria
- Western Economic Diversification Canada