



Internal use
538402

Application for a Grant

Identification				
This page will be made available to selection committee members and external assessors.				
Funding opportunity Partnership Development Grants				
Program name 1 - Insight 2 - Connection		Type of partnership Existing		
Grant type Individual				
Application title Social Economy, Community Resilience and the Transition to Sustainability				
Applicant family name Lewis		Applicant given name Michael		Initials T
Org. code	Full name of applicant's organization and department Canadian Center for Community Renewal Not Applicable			
Org. code 1480711	Full name of administrative organization and department Athabasca University Centre for Social Sciences, Faculty of Humanities and Social Sciences			
Scholar type Regular <input checked="" type="radio"/> New <input type="radio"/>				
If New, specify category 1 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/>				
Does your proposal involve human beings as research subjects? If "Yes", consult the <i>Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans</i> and submit your proposal to your organization's Research Ethics Board. Yes <input checked="" type="radio"/> No <input type="radio"/>				
Does your proposal involve activity that requires a permit, licence, or approval under any federal statute; or physical interaction with the environment? If 'Yes', complete Appendices A and B. Yes <input type="radio"/> No <input checked="" type="radio"/>				
Year 1 Year 2 Year 3 Total				
Total funds requested from SSHRC <u>102,000</u> <u>98,000</u> <u>0</u> <u>200,000</u>				



Activity Details

The information provided in this section refers to your research proposal.

Keywords

List keywords that best describe your proposed research or research activity. Separate keywords with a semicolon.

sustainability; sustainable community development; relocalization; community resilience; social economy; climate change; peak oil; transition; ecological economics; economic innovation

Priority Areas

- Priority area(s) most relevant to your proposal.

1. Innovation, Leadership and Prosperity
2. Canadian Environmental Issues

Partnership Approaches

One or more possible formal partnership approaches.

Cross-sector co-creation of knowledge & understanding; Disciplinary and interdisciplinary research partnerships; Networks for research and/or related activities

If "Other", specify

Disciplines

- Indicate and rank up to 5 disciplines that best correspond to your proposal.

Rank	Code	Discipline	If "Other", specify
1	61400	Urban and Regional Studies, Environmental Studies	
2	61024	Urban, Rural and Regional Economics	
3	61402	Community Development	
4	61406	Regional Planning	
5	61000	Economics	

Areas of Research

Indicate and rank up to 3 areas of research related to your proposal.

Rank	Code	Area
1	180	Environment and Sustainability
2	131	Economic and Regional Development
3	214	Global/Climate Change

Temporal Periods

If applicable, indicate up to 2 historical periods covered by your proposal.

From	To
<div>Year</div> <div>BC AD</div> <div><input type="text"/> <input type="radio"/> <input type="radio"/></div> <div><input type="text"/> <input type="radio"/> <input type="radio"/></div>	<div>Year</div> <div>BC AD</div> <div><input type="text"/> <input type="radio"/> <input type="radio"/></div> <div><input type="text"/> <input type="radio"/> <input type="radio"/></div>

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Lewis, Michael

Activity Details (cont'd)

Geographical Regions

If applicable, indicate and rank up to 3 geographical regions covered by or related to your proposal. Duplicate entries are not permitted.

Rank	Code	Region
1	1130	Western Canada
2	1000	North America
3	3200	Western Europe

Countries

If applicable, indicate and rank up to 5 countries covered by or related to your proposal. Duplicate entries are not permitted.

Rank	Code	Country	Prov./ State
1	1100	CANADA	BC
2	1100	CANADA	AB
3	1100	CANADA	
4	3225	UNITED KINGDOM	
5	1200	UNITED STATES	



Family name, Given name

Lewis, Michael

Summary of Proposed Partnership and Activity

The summary of your proposal should indicate the challenges or issues to be addressed; the overall goal and objectives of the proposed partnership; and the breadth of the partnership, and the meaningful engagement of the partners involved.

Social Economy, Community Resilience and the Transition to Sustainability

The goal of this partnership development project is to develop a new community-university research partnership to study the scaling up and scaling out of innovations that strengthen the resilience and sustainability of communities and regions. The project would build upon the strong community-university research partnership model developed by the BC-Alberta Social Economy Research Alliance (BALTA - 2006-2012), but would engage significant new partners and participants. While the primary focus of the partnership would be in Alberta and BC, there are also national and international partners.

Key findings from BALTA's earlier research reveal the strategic importance of the social economy or third sector in advancing sustainability and meeting basic needs on a more local-regional basis. With sixty per cent of the planet's ecosystems at risk and continued reliance on fossil fuels making inevitable a future of severe and irreversible climate change, populations are rendered more vulnerable and the communities and regions they live in more subject to environmental, economic and social dislocation. BALTA's earlier research examined the potential contributions of the social economy to advancing sustainability and studied examples of current best practice in addressing sustainability objectives. This new research partnership would build upon that base to study how to adapt and scale up the essence of successful innovations in one context to a wider range of contexts. Such scaling of innovation is absolutely critical to addressing effectively the sustainability challenges facing the World and Canadian communities.

There are three major components to this project:

1. To mobilize more widely the results of earlier research by BALTA and other partners relevant to the aims of this project and to use this mobilization to engage a range of constituencies as partners in the future research program.
2. To conduct an analysis of the intersections between contexts, innovations and enabling factors at micro (local), mezzo (enabling systems) and macro levels of transition, identifying lessons to be learned and knowledge gaps that would benefit from further research in the future research program.
3. To engage a selection of communities/regions in consideration of specific innovations and transition strategies and to select a manageable number (5-8) who would participate in the community based participatory action research projects that would form the core of the future research program. To also develop the specific plans for those community projects and the research and evaluation methodology that would be used for this action research.

The partnership would initially involve 15 formal partners - 8 academic and 7 community partners. An additional 14 collaborating partners are affiliated with our partnership through individual participants - 9 academic institutions and 5 community organizations. There are over 40 participants. We also anticipate that further partners and participants will be drawn into the partnership over the course of the two year development project, notably with respect to the community based research. The participants will participate in the project through several research clusters focused on components of the research and through broader engagement and knowledge mobilization with the sectors they represent.



Family name, Given name

Lewis, Michael

Participants

List names of your team members (co-applicants and collaborators) who will take part in the intellectual direction of the research. Do not include assistants, students or consultants.

Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Cabaj		Given name Paul	Initials
Org. code 1	Full organization name Alberta Community and Cooperative Association		
Department/Division name Director of Cooperative Development			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Aasgard		Given name Michele	Initials
Org. code 1	Full organization name Alberta Community and Co-operative Association		
Department/Division name Executive Office-Provincial Co-operative Association			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Watson		Given name Paul	Initials prw
Org. code 1	Full organization name Alberta Rural Development Network		
Department/Division name Research			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Evans		Given name Joshua	Initials D
Org. code 1480711	Full organization name Athabasca University		
Department/Division name Centre for Global and Social Analysis			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Gismondi		Given name Michael	Initials A.
Org. code 1480711	Full organization name Athabasca University		
Department/Division name Centre for Integrated Studies			

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Family name, Given name
Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Hanson		Given name Lorelei	Initials L.
Org. code 1480711	Full organization name Athabasca University		
Department/Division name Centre for Global and Social Analysis			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Murray		Given name Carol	Initials
Org. code 1	Full organization name British Columbia Co-operative Association		
Department/Division name n/a			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Restakis		Given name John	Initials
Org. code 1	Full organization name British Columbia Co-operative Association		
Department/Division name Provincial Co-operative Association			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Reimer		Given name Brendan	Initials
Org. code 1	Full organization name Canadian CED Network		
Department/Division name Prairies and Northern Territories			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Colussi		Given name Michelle	Initials
Org. code 1	Full organization name Canadian Centre for Community Renewal		
Department/Division name Training, planning, facilitation			

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Application WEB



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Lewis, Michael

Participants (cont'd)

Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Perry		Given name Stewart	Initials E.
Org. code 1	Full organization name Canadian Centre for Community Renewal		
Department/Division name Associate			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Toye		Given name Michael	Initials E
Org. code 1	Full organization name Canadian Community Economic Development Network		
Department/Division name Executive Director			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name McKeon		Given name Robert	Initials
Org. code 1	Full organization name Catholic Archdiocese of Edmonton		
Department/Division name Office for Social Justice			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Mendell		Given name Marguerite	Initials
Org. code 1240911	Full organization name Concordia University		
Department/Division name School of Community and Public Affairs			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Mayo		Given name Ed	Initials
Org. code 1	Full organization name Co-operatives U.K.		
Department/Division name Office of the Secretary General			

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Application WEB



Family name, Given name
Lewis, Michael

Participants (cont'd)

Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Garber-Conrad		Given name Martin	Initials
Org. code 1	Full organization name Edmonton Community Foundation		
Department/Division name n/a			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Murray		Given name Robin	Initials
Org. code 9121219	Full organization name London School of Economics and Political Science		
Department/Division name Civil Society and Human Security Research Unit			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Walker		Given name Jon	Initials
Org. code 1	Full organization name Marsden and Slaithwaite Transition Town		
Department/Division name Core Group			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name van Wyk		Given name Marthinus J (Ron)	Initials M J
Org. code 1	Full organization name Mennonite Central Committee, BC		
Department/Division name Employment & Community Development			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name Jenkins		Given name Tim	Initials
Org. code 1	Full organization name new economics foundation		
Department/Division name Campaigns and Communications			

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Application WEB



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Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Belcher		Given name Brian	Initials M
Org. code 1591211	Full organization name Royal Roads University		
Department/Division name Centre for Livelihoods and Ecology			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Etmanski		Given name Catherine	Initials E K
Org. code 1591211	Full organization name Royal Roads University		
Department/Division name School of Leadership Studies			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Low		Given name William	Initials
Org. code 1591211	Full organization name Royal Roads University		
Department/Division name Faculty of Management			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Macdonald		Given name Terri	Initials
Org. code 2592900	Full organization name Selkirk College		
Department/Division name Regional Innovation Chair in Rural Economic Development			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Markey		Given name Sean	Initials P
Org. code 1590611	Full organization name Simon Fraser University		
Department/Division name Geography			

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Application WEB



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Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Roseland		Given name Mark	Initials L.
Org. code 1590611	Full organization name Simon Fraser University		
Department/Division name School of Resource and Environmental Management			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Wittman		Given name Hannah	Initials K
Org. code 1590611	Full organization name Simon Fraser University		
Department/Division name Sociology and Anthropology			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name McKitrick		Given name Annie	Initials
Org. code 1	Full organization name Strathcona County Municipality		
Department/Division name Family & Community Services			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Buczowska		Given name Joanna	Initials
Org. code 1590111	Full organization name The University of British Columbia		
Department/Division name Sauder School of Business			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Tansey		Given name James	Initials D
Org. code 1590111	Full organization name The University of British Columbia		
Department/Division name Sauder School of Business			

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Application WEB



Family name, Given name

Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Beckie		Given name Mary	Initials A.
Org. code 1480111	Full organization name University of Alberta		
Department/Division name Faculty of Extension			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Davidson		Given name Debra	Initials J
Org. code 1480111	Full organization name University of Alberta		
Department/Division name Rural Economy			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Hallstrom		Given name Lars	Initials K
Org. code 1480111	Full organization name University of Alberta		
Department/Division name Alberta Centre for Sustainable Rural Communities (ACSRC)			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Mündel		Given name Karsten	Initials
Org. code 1480111	Full organization name University of Alberta		
Department/Division name Augustana Campus			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Sousa		Given name Jorge	Initials M
Org. code 1480111	Full organization name University of Alberta		
Department/Division name Educational Policy Studies			

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Application WEB



Family name, Given name
Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Keough		Given name Noel	Initials G
Org. code 1480211	Full organization name University of Calgary		
Department/Division name Faculty of Environmental Design			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Miller		Given name Byron	Initials A
Org. code 1480211	Full organization name University of Calgary		
Department/Division name Faculty of Social Sciences			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Espinosa		Given name Angela	Initials
Org. code 9121119	Full organization name University of Hull		
Department/Division name Hull University Business School (HUBS)			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Connelly		Given name Sean	Initials W
Org. code 1470211	Full organization name University of Regina		
Department/Division name Geography			
Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Conaty		Given name Patrick	Initials J
Org. code 1	Full organization name University of Salford, UK		
Department/Division name ESPACH Community Finance Solutions			

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Application WEB



Family name, Given name
Lewis, Michael

Participants (cont'd)

Role Co-applicant <input checked="" type="radio"/> Collaborator <input type="radio"/>		Academic <input checked="" type="radio"/> Non-academic <input type="radio"/>	
Family name Peredo		Given name Ana Maria	Initials
Org. code 1590711	Full organization name University of Victoria		
Department/Division name Faculty of Business			
Role Co-applicant <input type="radio"/> Collaborator <input checked="" type="radio"/>		Academic <input type="radio"/> Non-academic <input checked="" type="radio"/>	
Family name LePage		Given name David	Initials
Org. code 1	Full organization name VanCity Community Foundation		
Department/Division name Enterprising Non-Profits			
Role Co-applicant <input type="radio"/> Collaborator <input type="radio"/>		Academic <input type="radio"/> Non-academic <input type="radio"/>	
Family name		Given name	Initials
Org. code	Full organization name		
Department/Division name			
Role Co-applicant <input type="radio"/> Collaborator <input type="radio"/>		Academic <input type="radio"/> Non-academic <input type="radio"/>	
Family name		Given name	Initials
Org. code	Full organization name		
Department/Division name			
Role Co-applicant <input type="radio"/> Collaborator <input type="radio"/>		Academic <input type="radio"/> Non-academic <input type="radio"/>	
Family name		Given name	Initials
Org. code	Full organization name		
Department/Division name			

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Application WEB

Social Economy, Community Resilience and the Transition to Sustainability

List of Partners and Other Contributors

We have 15 confirmed formal partners with this grant application – eight academic institutions and seven community/practitioner organizations. We have an additional 14 collaborating partners that are affiliated with our partnership through individual participants – nine academic institutions and five community/practitioner organizations.

Discussions have begun with other potential partners, some of whom have indicated strong interest, but were not able to complete organization approvals within the application timeframe. We expect to engage these organizations as partners if we secure SSHRC support and the project proceeds. In a few cases, organizations indicated that the requirements of participating in the project were beyond their current capacity, but that they would like to be kept informed and might later be able to provide input. We see potential to engage these organizations later as partners in the future research program. We also anticipate engaging additional partners during the development project, notably community partners in the specific communities targeted for the action research component of the research and intermediary organizations linked to municipal and regional governance.

While most partners, both formal and collaborating, are located in Alberta and BC, there are significant partners in other parts of Canada and the UK that will broaden the reach of this project and the mobilization of research knowledge. The links with a parallel network of organizations and researchers in the UK is an important and developing aspect of this partnership (see pages 8-9). There is a likelihood that the UK network of both participating and interested/engaged organizations will expand further during the course of the project.

Most of the partners have made significant contribution commitments. We have not yet sought support from other contributors, though we have had support from the Rural and Co-operatives Secretariat for our current BALTA research program and are optimistic that RCS might be interested in supporting specific aspects of this new research program at an appropriate point.

Organization	Sector	Contact Person	Participants in Project	Contact Information & Website
<u>Confirmed Formal Partners</u>				
Alberta Centre for Sustainable Rural Communities (ACSRC), Augustana Campus, University of Alberta	University	Roxanne Harde	Dr. Lars Hallstrom (Co-investigator) Dr. Karsten Mundel (Collaborator)	rharde@augustana.ca 4901 - 46th Avenue Camrose, AB T4V 2R3 www.augustana.ualberta.ca/centres/acsrc/
Alberta Community and Co-operative Association (ACCA)	Community	Cindy Dixon	Michele Aasgard (Collaborator) Paul Cabaj (Collaborator)	cdixon@acca.coop #104, 5013 – 48 Street Stony Plain, AB T7Z 1L8 / www.acca.coop/

Organization	Sector	Contact Person	Participants in Project	Contact Information & Website
<u>Confirmed Formal Partners</u>				
Alberta Rural Development Network (ARDN)	University Network	Joy Vonk	Dr. Paul Watson (Collaborator)	operations@ardn.ca 215 – 50 Brentwood Boulevard Sherwood Park, AB T8A 2H5 www.ardn.ca/
Athabasca University	University	Rebecca Heartt	Dr. Mike Gismondi (Co-Lead & Co-Investigator) Dr. Josh Evans (Co-Investigator) Dr. Lorelei Hanson (Co-Investigator)	rebeccah@athabascau.ca 1 University Drive Athabasca, AB T9S 3A3 www.athabascau.ca/
British Columbia Co-operative Association (BCCA)	Community	Brad Boyce	Dr. Carol Murray (Co-Investigator) John Restakis (Co-Investigator)	general@bccca.coop 1737 West 3rd Avenue, Suite 212 Vancouver, BC V6J 1K7 www.bccca.coop/
Canadian Centre for Community Renewal (CCCR)	Community	Don McNair	Mike Lewis (Lead Applicant & Co-Investigator) Michelle Colussi (Collaborator) Dr. Stewart Perry (Collaborator)	mcnair@cedworks.com P.O. Box 1161 Port Alberni, BC V9Y 7M1 www.cedworks.com
Réseau canadien de développement économique communautaire / Canadian Community Economic Development Network (RCDEC/CCEDNet)	Community	Caroline Lachance	Brendan Reimer (Collaborator) Mike Toye (Collaborator)	president@ccednet-rcdec.ca 59 rue Monfette, CP119E Victoriaville. QC G6P 1J8 http://www.ccednet-rcdec.ca/
Centre for Co-operative and Community Based Economy (CCCBE)	University	Sandy Polomark	Dr. Ana Maria Peredo (Co-Lead & Co-Investigator)	rochdale@uvic.ca University of Victoria University House 2 - Rm 109 PO Box 3060 STN CSC Victoria, BC V8W 3R4 / www.bcics.org/

Organization	Sector	Contact Person	Participants in Project	Contact Information & Website
<u>Confirmed Formal Partners</u>				
Centre for Sustainable Community Development, Simon Fraser University (CSCD)	University	Janet Moore	Dr. Mark Roseland (Co-Investigator) Dr. Sean Markey (Co-Investigator) Dr. Hannah Wittman (Co-Investigator)	jlmoore@sfu.ca 2611 West Mall Complex 8888 University Drive Burnaby, BC V5A 1S6 www.sfu.ca/cscd
Edmonton Community Foundation (ECF)	Community	Teresa Goldie	Dr. Martin Garber-Conrad (Collaborator)	TGoldie@ecfoundation.org 9910 – 103 Street NW Edmonton, AB T5K 2V7 http://www.ecfoundation.org/
ISIS Centre, Sauder School of Business, University of British Columbia	University	Emma Gaiger	Dr. James Tansey (Co-Investigator) Joanna Buczkowska (Collaborator)	Emma.Gaiger@sauder.ubc.ca 2150-1055 West Hastings Vancouver, BC V6E 2R9 http://isis.sauder.ubc.ca/
New Economics Foundation (nef) (UK)	Community	Jackie Drake-Smith	Dr. Tim Jenkins (Collaborator)	Jackie.Drake-Smith@neweconomics.org 3 Jonathan Street London, SE11 5NH, UK http://www.neweconomics.org/
Royal Roads University (RRU)	University	Deborah Zornes	Dr. Brian Belcher (Co-Investigator) Dr. Will Low (Co-Investigator) Dr. Catherine Etmanski (Collaborator)	Deborah.Zornes@RoyalRoads.ca 2005 Sooke Road Victoria, BC V9B 5Y2 / www.royalroads.ca/
Sustainable Calgary Society	Community	Bob Morrison	Dr. Noel Keough (Co-Lead & Co-Investigator) Dr. Byron Miller (Collaborator)	waxwingsar@shaw.ca 321, 223 – 12 Ave. SW Calgary, AB T2R 0G9 www.sustainablecalgary.ca/
University of Alberta Faculty of Extension	University	Katy Campbell	Dr. Mary Beckie (Co-Investigator)	katy.campbell@ualberta.ca 2 nd Floor, Enterprise Square 10230 Jasper Avenue Edmonton, AB T5J 4P5 www.extension.ualberta.ca

Organization	Sector	Contact Person	Participants in Project	Contact Information & Website
<u>Confirmed Collaborating Partners</u>				
Co-operatives U.K.	Community		Ed Mayo (Collaborator)	Ed.Mayo@uk.coop Holyoake House, Hanover Street Manchester, M60 0AS, UK http://www.uk.coop/
Enterprising Non-Profits (enp), VanCity Community Foundation	Community		David LePage (Collaborator)	david@enterprisingnonprofits.ca 510 - 815 W. Hastings Street Vancouver, BC V6C 1B4 www.enterprisingnonprofits.ca/
Environmental Research and Studies Centre, University of Alberta	University		Dr. Debra Davidson (Co-Investigator)	Debra.Davidson@ales.ualberta.ca 3-23 Business Building, University of Alberta, Edmonton, AB T6G 2R6 http://www.ualberta.ca/ERS/C/
Hull University Business School (UK)	University		Dr. Angela Espinosa (Collaborator)	Angela.Espinosa.Salazar@gmail.com Hull, HU6 7RX, UK http://www2.hull.ac.uk/hubs/
Karl Polanyi Institute, Concordia University	University		Dr. Margie Mendell (Collaborator)	mendell@alcor.concordia.ca 1455 de Maisonneuve West Montreal, QC H3G 1M8 http://polanyi.concordia.ca/
London School of Economics, Civil Society and Human Security Research Unit (UK)	University		Robin Murray (Collaborator)	robinmurray@blueyonder.co.uk Houghton Street, London, WC2A 2AE, UK http://www2.lse.ac.uk/internationalDevelopment/research/CSHS/Home.aspx
Marsden and Slaithwaite Transition Towns Co-operative (UK)	Community		Dr. Jon Walker (Collaborator)	jonwalker@aol.com http://www.mastt.org.uk/

Organization	Sector	Contact Person	Participants in Project	Contact Information & Website
<u>Confirmed Collaborating Partners</u>				
Mennonite Central Committee BC	Community		Dr. Ron van Wyk (Collaborator)	rvanwyk@mccbc.com Box 2038 Abbotsford, BC V2T 3T8 http://bc.mcc.org/
St. Joseph's Theological College, University of Alberta	University		Dr. Bob McKeon (Collaborator)	rmckeon@shaw.ca St. Joseph's College, University of Alberta Edmonton, AB T6G 2J5 www.ualberta.ca/~stjoseph
Selkirk College Regional Innovation Chair in Rural Economic Development	College		Dr. Terri MacDonald (Collaborator)	tmacdonald@selkirk.ca 301 Frank Beinder Way Castlegar, BC V1N 3J1 http://selkirk.ca/research/ric/
Strathcona County Municipality	Community		Annie McKittrick (Collaborator)	mckitrick@strathcona.ab.ca 2001 Sherwood Drive Sherwood Park, AB T8A 3W7 http://strathcona.ab.ca/
University of Alberta Faculty of Education, Department of Educational Policy Studies	University		Dr. Jorge Sousa (Co-Investigator)	sousa@ualberta.ca 7-104 Education North University of Alberta Edmonton, AB T6G 2G5 http://www.edpolicystudies.ualberta.ca/
University of Regina, Department of Geography	University		Dr. Sean Connelly (Co-Investigator)	Sean.Connelly@uregina.ca 3737 Wascana Parkway Regina, SK S4S 0A2 http://www.arts.uregina.ca/geography
University of Salford, Community Finance Solutions, School of English, Sociology, Politics & Contemporary History (UK)	University		Pat Conaty (Co-Investigator)	pat.commonfutures@phonecoop.coop Room 214 Crescent House, The Crescent Salford, M5 4WT, UK http://www.communityfinance.salford.ac.uk/about.php

Potential Partners and Collaborators

Discussions/contacts have taken place with several other organizations and individuals concerning their possible involvement in this project. These organizations/individuals and the results of these conversations are summarized below.

Organization	Sector	Persons Contacted	Results of Contact	Contact Information & Website
Alberta Urban Municipalities Association (AUMA) & the Municipal Climate Change Action Centre	Community	Bob Hawkesworth	Initial contact indicates some potential interest from MCCAC and the potential for a relationship with AUMA.	bhawkesworth@amsc.ca 300-8616 51 Ave Edmonton, AB T6E 6E6 www.mccac.ca www.auma.ca
City of Edmonton	Community	Jenny Kain	The City and Kain have been partner and collaborator in the initial BALTA partnership. There is interest in exploring involvement with the new partnership.	jenny.kain@edmonton.ca 1 Sir Winston Churchill Square Edmonton, AB T5J 2R7 www.edmonton.ca/
Climate Smart	Community	Elizabeth Sheehan	Strong interest in the project has been expressed, but no decision has been made.	elizabeth@climatesmartbusiness.com Suite 380 - 163 West Hastings St Vancouver, BC V6B 1H5 https://climatesmartbusiness.com/
Federation of Canadian Municipalities (FCM)	Community	Jacques Carrière	Discussions have begun re FCM potentially joining the project as a partner or linking in some fashion.	jcarriere@fcm.ca 24 Clarence Street Ottawa, ON K1N 5P3 www.fcm.ca/
International Institute for Self-Governance (Australia)	Community	Dr. Shann Turnbull	Turnbull is aware of the project. Mike Lewis hopes to draw him into the micro/mezzo/macro research cluster.	sturnbull@mba1963.hbs.edu PO Box 266, Woollahra Sydney, Australia, 1350 http://papers.ssrn.com/sol3/cf_dev/AbsByAuth.cfm?per_id=26239

Organization	Sector	Persons Contacted	Results of Contact	Contact Information & Website
Pembina Institute	Community	Joshua McNab	Pembina says they do not have the current capacity to actively participate in the project, but would like to be kept informed. We still hope to involve them in some appropriate way at a future point in the project.	josham@pembina.org Suite 610, 55 Water Street Vancouver, BC V6B 1A1 www.pembina.org/
The Natural Step Canada	Community	Pong Leung	Initial contact indicates significant interest and some strong intersections of interest between TNS and this new BALTA research focus. They will consider later the possibility of joining as a partner.	pleung@naturalstep.ca 201-128 W Hastings St Vancouver, BC V6B 1G8 http://www.thenaturalstep.org/canada
University of Surrey (UK) and York University	University	Dr. Tim Jackson & Dr. Peter Victor	Both are involved with the Great Transition Initiative of the New Economics Foundation, a partner in this project. While neither has the time to formally participate in the project, they are interested to share ideas as the micro/mezzo/macro component of the BALTA project develops.	t.jackson@surrey.ac.uk peter victor@sympatico.ca

Other Contributors (Potential)

We have strong support from the partners in this partnership development project and have not to date approached other contributors. We will so as and if necessary. More important than securing additional support during this development phase will be identifying potential contributors for the future research program and initiating contact with them about the potential for support. This will be a priority focus for the final months of the development project. In the short term of this development project, the most likely contributor may be the Rural and Co-operatives Secretariat (see below), which has been a partner and contributor to BALTA's initial research partnership.

Organization	Sector	Persons Contacted	Results of Contact	Contact Information & Website
Rural and Co-operatives Secretariat	Government	Louise Boudreau, Director, Programs and Partnerships	RCS has been a partner and funder of BALTA's initial partnership. They are aware of this proposed new partnership and interested in the applied research at a community level aspects. We may approach them for funding or input once this aspect of the project is further developed.	Louise.Boudreau@AGR.GC.CA 1341 Baseline Road Tower 7, 2nd Floor Ottawa, ON K1A 0C5 www.rural.gc.ca/RURAL/ http://www.coop.gc.ca/COOP/

United Kingdom Partnerships

A strong collaboration has developed in BALTA's initial research partnership between BALTA's lead investigator, Mike Lewis and a UK collaborator, Patrick Conaty of the University of Salford, who is also associated with the New Economics Foundation and Co-operatives U.K¹. Their work has also led to considerable interest and developing relationships with a loose network of UK-based academics and practitioners. This research has focused on climate change, peak oil and community transition. It provides one of the foundations for this new BALTA research proposal. Pat Conaty will be a co-investigator in this new research partnership and the New Economics Foundation will be joining BALTA formally as a partner. Several other UK-based individuals will also be joining the project as collaborators. Other interested people and organizations are likely to be drawn into the project later, either formally or informally. Confirmed collaborators include:

¹ The results of the Lewis-Conaty collaboration will be published as a book in 2012 by New Society Publishers: *The Resilience Imperative: Co-operative Transitions to a Steady State Economy*.

Collaborator	Organization	Organization Type	Contact Email
Dr. Angela Espinosa	Hull University Business School	University	a.espinosa@hull.ac.uk
Tim Jenkins	New Economics Foundation	Community	tim.jenkins@neweconomics.org
Ed Mayo	Co-operatives U.K.	Community	ed.mayo@uk.coop
Robin Murray	London School of Economics, Civil Society and Human Security Research Unit	University	robinmurray@blueyonder.co.uk
Jon Walker	Marsden and Slaithwaite Transition Towns Co-operative and Transition North	Community	jonwalker@aol.com

Other potential collaborators include:

Collaborator	Organization	Organization Type	Contact Email
Dr. Molly Scott Cato and Dr. Jan Myers	University of Wales in Cardiff Business School	University	mscott-cato@uwic.ac.uk jmyers@uwic.ac.uk
Dr. Karl Dayson	University of Salford, Community Finance Solutions, School of English, Sociology, Politics & Contemporary History	University	K.T.Dayson@salford.ac.uk
Rob Hopkins	Transition U.K.	Community	rob.hopkins@plymouth.ac.uk
Michael King	Combined Heat and Power Association	Community	mj.king@blueyonder.co.uk
Naomi Kingsley	London Rebuilding Society	Community	naomi.kingsley@londonrebuilding.com
Dr. Julie Richardson	Schumacher College	College	julie.richardson@schumachercollege.org.uk
David Rodgers	CDS Co-operatives & International Co-operative Alliance	Community	david.rodgers@cds.coop



Family name, Given name

Lewis, Michael

Partners - A partner organization may be, for example, a Canadian or foreign: postsecondary institution, government department (federal, provincial, territorial, municipal), for-profit or not-for-profit organization, or foundation.

Org. code	Full organization name Alberta Centre for Sustainable Rural Communities, University of Alberta, Augustana Faculty			Organization type University			
Address 4901 46 Avenue			Contact family name Harde				
			Given name Roxanne		Initials		
City/Municipality Camrose	Prov./State AB	Postal/Zip code T4V2R3	Country code 780	Area code 679	Number 1579	Extension	
Country CANADA			Telephone number				
			Secondary number				
			Fax number 780 679 1590				
E-mail rharde@augustana.ca							
Web address							
Org. code	Full organization name Alberta Community and Co-operative Association			Organization type Association			
Address #202, 5013 - 48 Street			Contact family name Dixon				
			Given name Cindy		Initials		
City/Municipality Stony Plain	Prov./State AB	Postal/Zip code T7Z1L8	Country code 1	Area code 780	Number 9633766	Extension	
Country CANADA			Telephone number				
			Secondary number				
			Fax number				
E-mail cdixon@acca.coop							
Web address www.acca.coop							
Org. code	Full organization name Alberta Rural Development Network			Organization type Research organization			
Address 215, 50 Brentwood Boulevard			Contact family name Vonk				
			Given name Joy		Initials A		
City/Municipality Sherwood Park	Prov./State AB	Postal/Zip code T8A2H5	Country code 1	Area code 780	Number 449-1006	Extension 221	
Country CANADA			Telephone number				
			Secondary number				
			Fax number 1 780 449-0054				
E-mail operations@ardn.ca							
Web address www.ardn.ca							



Family name, Given name

Lewis, Michael

Partners (cont'd)

Org. code	Full organization name Athabasca University	Organization type University	
Address Athabasca University 1 University Drive		Contact family name Heartt	
		Given name Rebecca	Initials
City/Municipality Athabasca	Prov./State AB	Postal/Zip code T9S3A3	Country code Area code Number Extension Telephone number Secondary number Fax number
Country CANADA			780 675-6275 780 675-6722
E-mail rebeccah@athabascau.ca			
Web address			
Org. code	Full organization name BC Co-operative Association	Organization type Association	
Address 212 - 1737 West 3rd Ave.		Contact family name Boyce	
		Given name Bradley	Initials M
City/Municipality Vancouver	Prov./State BC	Postal/Zip code V6J1K7	Country code Area code Number Extension Telephone number Secondary number Fax number
Country CANADA			1 604 6623906
E-mail general@bcc.coop			
Web address http://bcc.coop			
Org. code	Full organization name Canadian CED Network - Réseau canadien de DÉC	Organization type Association	
Address 59, rue Monfette, CP 119E		Contact family name Lachance	
		Given name Caroline	Initials
City/Municipality Victoriaville	Prov./State QC	Postal/Zip code G6P1J8	Country code Area code Number Extension Telephone number Secondary number Fax number
Country CANADA			1 819 795-3056 1
E-mail president@ccednet-rcdec.ca			
Web address http://www.ccednet-rcdec.ca			



Family name, Given name

Lewis, Michael

Partners (cont'd)

Org. code	Full organization name Canadian Centre for Community Renewal			Organization type Research organization		
Address P.O. Box 1161			Contact family name McNair			
			Given name Donald		Initials B	
City/Municipality Port Alberni	Prov./State BC	Postal/Zip code V9Y7M1	Country code	Area code 250	Number 542-7057	Extension
Country CANADA			Telephone number			
			Secondary number			
			Fax number			
E-mail mcnair@cedworks.com						
Web address www.communityrenewal.ca						
Org. code	Full organization name Centre for Co-operative & Community Based Economy, University of Victoria			Organization type University		
Address University House 2, Room 109 PO Box 3060 STN CSC			Contact family name Polomark			
			Given name Sandy		Initials	
City/Municipality Victoria	Prov./State BC	Postal/Zip code V8W3R4	Country code	Area code 250	Number 4724539	Extension
Country CANADA			Telephone number			
			Secondary number			
			Fax number			
E-mail rochdale@uvic.ca						
Web address http://www.bcics.org						
Org. code	Full organization name Edmonton Community Foundation			Organization type Charitable organization		
Address 9910 - 103 Street NW			Contact family name Goldie			
			Given name Teresa		Initials A	
City/Municipality Edmonton	Prov./State AB	Postal/Zip code T5K2V7	Country code	Area code 780	Number 426 0015	Extension 103
Country CANADA			Telephone number			
			Secondary number			
			Fax number			
E-mail TGoldie@ecfoundation.org						
Web address www.ecfoundation.org						



Family name, Given name

Lewis, Michael

Partners (cont'd)

Org. code	Full organization name ISIS Research Centre, Sauder School of Business			Organization type University		
Address 452 - 2053 Main Mall				Contact family name Gaiger		
				Given name Emma		Initials L
City/Municipality Vancouver	Prov./State BC	Postal/Zip code V6T1Z2	Country code 1	Area code 604	Number 827 3167	Extension
Country CANADA			Telephone number Secondary number Fax number			
E-mail Emma.Gaiger@sauder.ubc.ca						
Web address http://isis.sauder.ubc.ca/						
Org. code	Full organization name New Economics Foundation			Organization type Foreign		
Address 3 Jonathan Street London SE11 5NH				Contact family name Drake-Smith		
				Given name Jackie		Initials
Country UNITED KINGDOM				Country code 44	Area code 207	Number 8206320
				Secondary number 44	207	8206300
				Fax number 44	207	8206301
E-mail Jackie.Drake-Smith@neweconomics.org						
Web address http://www.neweconomics.org/						
Org. code	Full organization name Royal Roads University			Organization type University		
Address 2005 Sooke Road				Contact family name Zornes		
				Given name Deborah		Initials A
City/Municipality Victoria	Prov./State BC	Postal/Zip code V9B5Y2	Country code 1	Area code 250	Number 391-2600	Extension 4486
Country CANADA			Telephone number Secondary number Fax number			
			1 250 391-2624			
E-mail Deborah.Zornes@RoyalRoads.ca						
Web address www.royalroads.ca						



Family name, Given name

Lewis, Michael

Partners (cont'd)

Org. code	Full organization name Simon Fraser University - Centre for Sustainable Community Development			Organization type University			
Address 2611 West Mall Complex 8888 University Drive			Contact family name Moore				
			Given name Janet		Initials L		
City/Municipality Burnaby	Prov./State BC	Postal/Zip code V5A1S6	Country code 01	Area code 778	Number 782-7884	Extension	
Country CANADA			Telephone number Secondary number Fax number				
E-mail jlmoore@sfu.ca							
Web address							
Org. code	Full organization name Sustainable Calgary Society			Organization type Charitable organization			
Address 223 12 Avenue SW			Contact family name Morrison				
			Given name Bob		Initials		
City/Municipality Calgary	Prov./State AB	Postal/Zip code T2R0G9	Country code 403	Area code 217	Number 1523	Extension	
Country CANADA			Telephone number Secondary number Fax number				
E-mail waxwingsar@shaw.ca							
Web address							
Org. code	Full organization name UNiversity of Alberta			Organization type University			
Address Faculty of Extension 2-246 Enterprise Square 10230 Jasper Avenue			Contact family name Campbell				
			Given name Kathryn		Initials J		
City/Municipality Edmonton	Prov./State AB	Postal/Zip code T5J4P6	Country code 780	Area code 492	Number 2681	Extension	
Country CANADA			Telephone number Secondary number Fax number				
E-mail katy.campbell@ualberta.ca							
Web address							



Family name, Given name

Lewis, Michael

Partner's Contributions

A partner is an organization that participates actively in a formal partnership and contributes in a meaningful way to the success of the endeavour.

	Cash	In-kind
	Amount	Amount
Personnel costs		
Student salaries and benefits/Stipends		
Undergraduate	35,282	0
Masters	28,000	9,000
Doctorate	0	9,000
Non-student salaries and benefits/Stipends		
Postdoctoral	0	10,000
Other	40,200	133,975
Travel and subsistence costs		
Applicant/Team member(s)		
Canadian travel	25,400	0
Foreign travel	0	0
Students		
Canadian travel	1,000	0
Foreign travel	0	0
Other expenses		
Professional/Technical services	15,000	16,500
Supplies	500	10,000
Non-disposable equipment		
Computer hardware	0	8,000
Other	0	0
Other expenses (specify)		
	17,000	64,121
Total of all partners' contributions	162,382	260,596
A. Total of all partners' contributions (cash + in-kind)		422,978
B. Total funds from other sources		27,690
C. Total funds requested from SSHRC		200,000
Total cost of project (A + B + C)		650,668



Family name, Given name

Lewis, Michael

Funds Requested from SSHRC

For each budget year, estimate as accurately as possible the research costs that you are asking SSHRC to fund through a grant. For each Personnel costs category, enter the number of individuals to be hired and specify the total amount required. For each of the other categories, enter the total amount required.

	Year 1		Year 2		Year 3	
Personnel costs	No.	Amount	No.	Amount	No.	Amount
Student salaries and benefits/Stipends						
Undergraduate						
Masters	1	10,000	1	10,000	0	0
Doctorate	1	10,000	1	10,000	0	0
Non-student salaries and benefits/Stipends						
Postdoctoral						
Other	2	45,600	2	45,600	0	0
Travel and subsistence costs	Year 1		Year 2		Year 3	
Applicant/Team member(s)						
Canadian travel	14,250		14,250		0	
Foreign travel	6,250		6,250		0	
Students						
Canadian travel	3,250		3,250		0	
Foreign travel						
Other expenses						
Professional/Technical services	7,500		3,500		0	
Supplies	700		700		0	
Non-disposable equipment						
Computer hardware						
Other						
Other expenses (specify)						
Communications	1,800		1,800		0	
Knowledge Mobilization	2,650		2,650		0	
Total	102,000		98,000		0	



Funds from Other Sources

List all contributors (e.g., individuals, not-for-profit, philanthropic foundations, private sector organizations) that are providing cash and/or in-kind contributions for the proposal.

Full organization name Contribution type	Confirmed	Year 1	Year 2	Year 3	
Annie McKittrick In Kind	<input checked="" type="checkbox"/>	3,000	3,000	0	
Co-operatives U.K. In Kind	<input checked="" type="checkbox"/>	805	805	0	
Enterprising Non-Profits In Kind	<input checked="" type="checkbox"/>	2,250	2,250	0	
Jon Walker In Kind	<input checked="" type="checkbox"/>	2,415	2,415	0	
Mennonite Central Committee BC In Kind	<input checked="" type="checkbox"/>	2,250	1,500	0	
Strathcona County Municipality In Kind	<input checked="" type="checkbox"/>	3,500	3,500	0	
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
Total funds from other sources		14,220	13,470	0	

Personal information will be stored in the Personal Information Bank for the appropriate program.

Application WEB

Social Economy, Community Resilience and the Transition to Sustainability

Budget Justification

We are requesting \$200,000 from SSHRC for a two year partnership and research development project. As detailed in other parts of this application, this is both a large and complex partnership being developed, and a very ambitious, complex and challenging future research program that would be shaped and planned over the course of the two years. The level of SSHRC funding requested and planned use of the SSHRC funds, as detailed later in this document, is appropriate to the scope and complexity of the objectives and tasks involved.

The partner contributions of over \$400,000 are substantial and complement the budgeted use of SSHRC funding. By far the most significant contribution from most partners and participants is in the form of the substantial time that will be committed to developing the partnership and the research program. Developing the community based participatory action research component of the future research program, including the engagement and selection of relevant communities to participate, will be particularly challenging and time consuming. Both partner and SSHRC resources will be needed to support the process.

Partners will contribute significant in-kind and in some cases cash support to dissemination and mobilization activities associated with this project. This will include dissemination initiatives within their own networks. In some cases, partners will co-sponsor and host public events targeted at significant audiences and disseminating/mobilizing research results from previous BALTA and other research, as well as building interest and engagement with the new research program and partnership. SSHRC funds will complement these contributions by covering costs for editing and preparing information materials and articles for publication.

Several partners will provide meeting space and related support for partnership meetings. Other significant commitments from partners include covering most of their own costs, including some travel costs, for supporting their participation in the project – project communications, supplies, administrative support, etc. The overall result of these contributions is that the use of SSHRC funds can be concentrated in a few priority areas that can't be covered by the partners.

Explanation of Budget for SSHRC Funds

<u>Budget Category</u>	<u>Total Amount</u>	<u>Explanation and Justification</u>
Personnel - Students	\$40,000	Two senior student research assistant positions would be created, supporting two project related functions - \$10,000/year X 2 years X 2 positions = \$40,000. One position would focus on supporting the knowledge dissemination and mobilization component of the project and would be based at Athabasca University. The other position would focus on supporting the community engagement and participatory action research development part of the project. Location is yet to be determined. We have notionally budgeted one of these positions at a master's level and one at a doctoral level, but this could shift depending on the students identified for employment. Depending on circumstances, the funds for each function may also end up supporting more than one student over the two years.

<u>Budget Category</u>	<u>Total Amount</u>	<u>Explanation and Justification</u>
Personnel – Non-Students - Other		
Lead Investigator Salary Replacement	25,200	The lead investigator is the executive director of a small non-profit organization, the Canadian Centre for Community Renewal. CCCR cannot support all the costs for Mike Lewis' participation as lead in this project. The budgeted amount will cover 50% of the costs for Mike Lewis's time: 50% X \$350/day X 6 days/month X 12 months/year = \$12,600 X 2 years = \$25,200. The other 50% of Mike's salary + benefits is a CCCR contribution to the project.
Partnership & Knowledge Mobilization Facilitator/Coordinator	66,000	BALTA's experience has shown the critical importance of having additional support for the partnership development and knowledge dissemination/mobilization aspects of the partnership. The lead investigator and other co-leads play critical roles in providing intellectual leadership to and management of the project, especially with the research planning and development, but they cannot do it all. Staff support for the partnership facilitation and development, as well as knowledge dissemination and mobilization, is critical to achieving the objectives for the project. Salary + benefits for a half time position = \$33,000/year X 2 years = \$66,000.
Total Personnel Non-Students - Other	91,200	
Applicant/Team Canadian Travel	28,500	While extensive use will be made of tele-conferencing, webinars, etc., to control travel costs, some travel will be required for meetings and for engagement of targeted communities.
Applicant/Team Foreign Travel	12,500	This project would substantially expand the earlier BALTA research collaboration with partners in the U.K. While much of this will be done via tele-conferencing, etc., some travel will be required. This budget would support 2 participants from Canada travelling to the U.K. in Year 1 and 2 participants from the U.K. travelling to Canada in Year 2.
Students Canadian Travel	6,500	This would primarily support travel related to community engagement.
Professional/ Technical Services	11,000	\$8,000 (\$6,000 in Year 1 & \$2,000 in Year 2) to support editorial work for plain language writing and publishing that translates research results into articles and information materials for non-academic audiences. \$3,000 (\$1,500 p.a.) for website support. Canadian Centre for Community Renewal and Athabasca University are also providing significant contributions.
Supplies	1,400	To cover costs not covered by partners.
Communications	3,600	To cover costs not covered by partners.
Knowledge Mobilization	5,300	Development and printing of information materials. To also cover workshop and meeting costs other than travel and food where such costs are not already covered by partners.

Social Economy, Community Resilience and the Transition to Sustainability

Previous SSHRC Funding

This Partnership Development proposal builds upon the previous SSHRC-funded research partnership and program of the BC-Alberta Social Economy Research Alliance (BALTA), but is a new research partnership that would embark upon distinctly new research extending forward from the previous research program. It will also build significant new partnerships that extend well beyond the previous BALTA partners and participants. At the same time, this new partnership initiative will provide significant opportunities to enhance and extend the impact of relevant aspects of BALTA's earlier research, providing significant value added for the earlier research program.

BALTA has been funded for 2006-2012 as part of SSHRC's Social Economy Suite funding program. BALTA was the BC-Alberta node of the national research initiative known as the Canadian Social Economy Research Partnerships (CSERP). BALTA's current SSHRC funding will conclude on June 30, 2012. This original BALTA research partnership and program had a broad social economy focus, with the aim of addressing three broad research questions:

1. What are the scope and characteristics of the social economy in Alberta and British Columbia?
2. What are the scope and characteristics of social economy innovations that are achieving demonstrable social and economic results in the region or elsewhere?
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)?

A diverse program of research has taken place over the past five years under this broad rubric of understanding and strengthening the social economy. While such themes as sustainability, environment, climate change and community transition were not an explicit focus of the original BALTA proposal to SSHRC, they were understood as falling at least partially within the scope of inquiry. However, early discussions within BALTA and the broader debates within society related to sustainability, climate change, peak oil¹ and the global financial crises elevated these themes to a more significant place in our work, both as a focus of specific research and as a way of understanding the contribution, current and potential, of the social economy to the challenges facing Canada and the World. Much of BALTA's sustainability related work in the original SSHRC-funded program addressed three research dimensions:

1. Exploring the theoretical and practical points of convergence between the social economy and sustainability, including contributions that social economy thinking and models could make to the field of sustainability.
2. Examining some current and 'best practice' models of social economy innovations in various contexts relevant to meeting sustainability objectives.
3. Exploring some aspects of local level responses, including 'best practices' in specific contexts, to addressing community transition as a response to climate change and other sustainability challenges, including the place of the social economy within such responses. This work recognized that reweaving economies on a more local and regional basis appeared to be one strategy for mitigating carbon-based energy consumption and greenhouse gas emissions; it was thus a necessary and vital strategy for adapting to climate change and peak oil.

Only to a limited extent did our research begin to look at how to replicate and adapt, both 'scaling up' and 'scaling out', successful sustainability innovations in one context to a wider range of contexts. Such replication and scaling of innovation is absolutely critical to addressing effectively the sustainability challenges facing the World and Canadian communities. The research we did has

¹ 'Peak oil' is a term used to refer the point in time when the maximum rate of global petroleum extraction is reached, after which the rate of production enters terminal decline.

identified examples of innovations within Canada and across the globe from which we have learned a lot about factors important to transition and increasing resilience at the local level, especially around basic need provision. The proposed new research partnership and program would focus on this dimension of scaling up and accelerating transition, with a focus on the basic needs sectors that are most vulnerable to disruption of household, community and regional well-being. The strategic role that the social economy and social economy models can play in pioneering innovations directly relevant to transitioning to a more localized, low carbon economy will be applied, tested and evaluated in a range of contexts. In particular, innovations related to reconstructing local food systems, energy conservation, renewable energy production and affordable shelter have been identified for application through this new research. The communities and regions that become test sites for applying innovations will become living laboratories for identifying critical pathways to replicating and scaling transition innovation. This is a very different type and focus of research than the earlier BALTA research.

While the earlier research by BALTA and others has identified specific examples of effective transitioning and enhanced sustainability, showing that positive change is possible, all too often the necessary changes are not happening. The best examples of innovation stand out in part because they still represent the exception rather than the norm. With respect to scaling out and scaling up change, key questions remain unanswered or only partially explored:

- How can we replicate the essence of successful innovations and adapt their critical components to a new setting and different population?
- What intermediary organizations are vital to adapting and scaling innovations?
- What kinds of financial and other supports do they need to play this role successfully over time?
- What aspects of the broader environment, the systems and institutional context, are critical to creating the enabling environment for scaling of these innovations?
- Given the local and regional nature of the innovations BALTA has researched, what are the productive roles that can be played by local and regional authorities in partnership with other actors, particularly social economy actors, in advancing adaptation and scaling?
- Where the broader environment is not hospitable, what interventions can be taken to create a more innovation friendly environment?

Addressing these and related questions through participatory action research in a range of specific communities and contexts will be the focus of the new research partnership. It builds upon the earlier BALTA and other research, but it is a distinctly new, innovative and important program of research. It is the critical next step in a research process that began with the earlier BALTA research. By monitoring and evaluating the innovation and adaptation process in each context, then extracting from each case the important lessons and synthesizing these with other cases, we hope to identify effective strategies for transition that can be widely applied in future to other contexts. We also anticipate developing specific tools that can be more widely used.

Another important new dimension of the new partnership will be the work on the linkages between micro-mezzo and macro levels of transition. Better understanding the interdependence and iterative influence of each level on the each other is also key for developing effective strategies for scaling up and scaling out transition innovations.

The results of BALTA's earlier sustainability research are only now being developed into books and other outputs that will aid future mobilization of our research findings. There will thus be important synergy between the previous and new partnerships with respect to opportunities for mobilizing the results of earlier BALTA research. Many of the partners in this new partnership were partners in the earlier SSHRC-funded BALTA partnership. Other partners developed relationships with BALTA during the course of the previous partnership and are now deepening and formalizing their partnerships.



Family name, Given name

Lewis, Michael

Statement of Alignment

The proposal has been identified as being relevant to one of SSHRC's priority areas. The statement addresses how the proposal meets the expected outcomes of the priority area.

Canadian Environmental Issues

Increase knowledge and awareness of priority Canadian environmental and sustainability issues - The project addresses sustainability and transition at a range of levels from local to macro, including close attention to climate change impact, mitigation and adaptation. It employs an interdisciplinary approach bringing together researchers and practitioners from diverse fields.

Increase the number of highly qualified personnel with expertise related to environmental issues -- The project will increase the expertise of partnership participants and of a range of community actors who are exposed to new knowledge and practices through the project. The project will develop a future research program of applied research testing approaches to scaling up/out sustainability innovations, thus enabling substantial learning and enhancement of expertise by all involved.

Increase the application of research knowledge in decision-making and best practices in the public and private sectors, communities and civil society -- The focus of BALTA and this project are on the development of research and knowledge mobilization directly relevant to communities and practitioners. A major focus is on the role of the social economy, i.e. civil society, in sustainability innovation.

Innovation, Leadership and Prosperity

Bold transformational partnerships that co-create knowledge addressing complex and pressing issues in innovation, leadership and prosperity -- The scaling up/out of innovation in addressing sustainability and climate change is arguably the most complex and pressing issue facing the World and Canada. Future well-being and prosperity is dependent on how we address these challenges. Our project will investigate innovative approaches to community development associated with moving from the traditional economic growth and consumption model to a sustainability model. This includes the potential for organizational and financial models developed within the social economy to be applied in the public and private sectors as a means of facilitating transition to a carbon descent economic model. The research co-construction model and participatory action research, directly engaging communities in developing the future research program, is a creative research approach with significant transformational potential.

Long-term research capacity and expertise in innovation, leadership and prosperity to ensure that Canada has a critical mass of leading scholars, especially new scholars, to inform and build a robust society -- The project will engage new scholars and students in roles that allow for significant development of expertise.

New and existing knowledge in innovation, leadership and prosperity mobilized and exchanged between academic, government, private, and not-for-profit sectors -- There is a strong focus within the BALTA model and this project on directly mobilizing knowledge, both existing and that derived from new research, with a broad range of sectors and communities able to use that knowledge in practical ways. The future research program being designed will yield practical innovation strategies for application far beyond the scope of the partnership.

Social Economy, Community Resilience and the Transition to Sustainability

Goal and Project Description

This proposal leverages the strong community-university research partnership model developed by the BC-Alberta Social Economy Research Alliance (BALTA - 2006-2012). The goal is to develop a new community-university research partnership – building upon the BALTA framework but engaging significant new partners and participants – that will focus expertise on developing a theoretical and methodological framework for studying the scaling up and scaling out of innovations that re-localize the economy and strengthen the resilience and sustainability of communities and regions.

Key findings emerging from BALTA's earlier research (Restakis, 2011; Lewis & Conaty, 2012; Connelly, Markey & Roseland, 2011; Gismondi, 2011) reveal the strategic importance of the social economy or third sector in advancing sustainability and meeting basic needs on a more local-regional basis through locally defined and controlled initiatives (Connelly, 2010; Beckie, Connelly, Gismondi, Markey & Roseland, 2012; Wittman, Beckie & Hergesheimer, 2011). Social economy organizations are those whose members are animated by *the principle of reciprocity* for the pursuit of mutual economic or social goals, *often through the social control of capital*. This includes co-operatives, non-profit organizations, social enterprises and similar organizations *that use market mechanisms to pursue explicit social objectives* (adapted from Lewis, 2006, and Restakis, 2006; see also Fairbairn, 2009; McMurtry, 2009; Neamtan & Anderson, 2010; Pearce, 2003). Today, sixty per cent of the planet's eco-systems are at risk (Millennium Ecosystem Assessment Reports, 2005; Living Planet Report, 2010). Greenhouse gas (GHG) emissions are rising year on year. Oil demand is increasing and new discoveries decreasing (Alekkett et al, 2010; International Energy Agency World Energy Outlooks, 2008 & 2010), while the continued reliance on carbon based energy is making inevitable within the next five years severe and irreversible climate change (International Energy Agency World Energy Outlook 2011; IPCC, 2007). Forty years of financial deregulation continues to increase indebtedness, inequality and economic volatility (Mason, 2009, Minsky, 1992; Tily, 2010). In this global context, populations are rendered more vulnerable and the communities and regions they live in more subject to environmental, economic and social dislocation, with some sectors of society more vulnerable than others (AtKisson, 2011; Srinivasan, 2008; Urry, 2011).

Through BALTA, practitioners and academics have examined the role of the social economy in creating more socially and economically just and ecologically sound responses to these challenges. This research identifies important innovations emerging from the social economy in a number of sectors – agri-food, energy, housing and finance – that are enabling synergistic benefits in GHG emission reductions, alongside increased autonomy, self-reliance and resilience at household, community and region levels (Lewis & Conaty, 2012; Beckie, Connelly, Gismondi, Markey & Roseland, 2012). This research identifies the need for broad-based collaboration amongst public, private and social economy sectors in order to build the social and physical infrastructure that would enable wide-spread transformative change to a low carbon economy through 'scaling up' and 'scaling out' proven initiatives (Friedman, 2007; Johnston & Baker 2005; Beckie, Kennedy & Wittman, 2011). Only through strategic multi-stakeholder collaboration can more integrated and expanded approaches to sustainability take place (Keough et al, 2011).

While the earlier BALTA research explored points of convergence between the social economy and sustainability, including 'best practice' contributions that social economy innovations are making to sustainability and transition in specific contexts, only to a limited extent did we begin to look at how to adapt and scale up the essence of successful innovations in one context to a wider range of contexts. Such scaling of innovation is absolutely critical to addressing effectively the sustainability challenges facing the World and Canadian communities. This two year development grant would be used to develop a new research partnership and program focused on this challenge of adapting and scaling innovations across different communities/regions.

The community benefit of democratically governed co-operatives, non-profit enterprises, local authority owned enterprises and development intermediaries, which represent various forms of the social

economy, is their capacity to capture capital and resources that can be reinvested in sustainability projects (Turnbull, Benello & Swann, 2008; Lewis & Conaty, 2012; Restakis, 2011; Amyot, Downing & Tremblay, 2010). Community development intermediaries (social, technical and financial) are instrumental in incubating and supporting local innovation while regional, national and international federations are creating a political and organizational framework for advancing “a broad vision of a pluralist and inclusive economy within a sustainable development framework” (Neamtan, 2009). This emerging network of social economy actors and agencies is challenged by the need to move beyond a growth economy that assumes unlimited resources and energy and an inexhaustible biosphere, to what Kenneth Boulding (1966) called the ‘Great Transition’ (see also Daly, 1992; 1996; Daly, Cobb & Cobb, 1994; Olin Wright, 2010).

Moving from a growth to a resilience imperative (Homer-Dixon, 2006) is the central challenge of the ‘Great Transition’ – recently articulated by various authors (Heinberg, 2011; Victor, 2010; Jackson, 2009; Spratt, Simms, Neitzert, & Ryan-Collins, 2010; Schellnhuber et al, 2011). These writers are conceptualizing an economy outside of the traditional growth framework that builds resilience in a socially just and ecologically sound way, by reweaving locally-based economies into a steady state, low-carbon economy (Conaty et al, 2009; see also CANSEE, ISEE). Resilience is defined here as the long-term ability of societies and socio-ecological systems to absorb gradual and rapid ecological and politico-economic disturbances, and to change, reorganize and transform themselves while maintaining a set of essential services and functions (Walker et al, 2004; Walker, 2006; Stockholm Resilience Centre, 2011; Folke, 2006; Holling, 1973; Gunderson & Holling, 2001). The social economy provides an important framework for moving forward on the path to resilience.

The strategic importance of this supposition is reinforced by early macroeconomic modeling by Jackson and Victor (2010) in association with the UK-based New Economics Foundation, a partner in this new research partnership. Their work demonstrates that macro level changes alone cannot realize the 80% reduction in carbon emissions needed by 2050. However, by adding a 6% annual expansion of local green services in primary sectors, including a range of social economy innovations, they calculate that employment levels can be maintained and the 80% target met. While these figures are not definitive, they suggest the importance for long-term transition of reweaving economies on a more local and regional basis [see also *The Great Transition* report from the New Economics Foundation (Spratt et al, 2010)].

Scholars from other disciplines are coming to a similar conclusion that bottom up innovations that link conservation to social, economic and cultural practices are of strategic importance to forging equitable solutions to carbon reduction (Buchs, Smith & Edwards, 2011; Parrish, 2008; Parrish & Foxon, 2009). Consistent with BALTA and other research into local innovation, they are positing how scaling up of niche innovations might be achieved under different kinds of enabling policy (Bergman et al, 2010; Van der Horst, 2008; Middlemiss & Parrish, 2010). Research from the UK in particular has shifted attention from individual “attitude, behaviour, choice” and macro-level change to “day to day practices” (Shove 2010) in the provision of services such as household energy and water, waste disposal, transport and communication. Working at this mezzo-level of practices and organizational behaviours, various authors conclude that “altering these practices requires significant changes to large scale technical networks, which are themselves maintained and reinforced by aspects of social structure” – including government policy, technology patterns, social norms and more (Buchs, Smith & Edwards, 2011, quote from p. 17).

While focused on the contemporary dynamics between these three levels (micro, mezzo, macro), the goal and objectives of this proposal are informed by a broad body of theory. Historically, the enclosure of land, natural resources, labour and capital has incrementally but inexorably led to their commodification (Polanyi, 1957). Over time this ‘Great Transformation’ displaced local economies governed by social relations and the economic principle of reciprocity, replacing them with centralized (both state and private) systems of control over trade and production. Today the assumption is that free markets determine what is of value and allocate resources accordingly. Enclosure, coupled with the unsustainable 150 year drawdown on non-renewable fossil fuels, has propelled humankind onto a path of historically unprecedented growth (Daly, 1992, 1996) that is outstripping the planet’s capacity. Resilience principles shed powerful light on

these predicaments, especially the theory and emerging practices of reclaiming the commons (Aligica, 2009; Ostrom, 1990; Ostrom, 2009; Poteete, Janssen & Ostrom, 2010), ecological economics (Costanza, 1991; Costanza, Graumlich and Steffen, 2007; Malte, 2008), complexity theory (Espinosa & Walker, 2011) and economic democracy and the social solidarity economy (Lewis, 2007; Lewis & Swinney, 2008; Murray, 2009; Allard et al, 2008). From this nexus scholars have discerned an array of potential solutions for restoring resilience at different levels and scales. These and other analytical perspectives will assist in shaping the development of the future research program.

The **Overall Goal** of this project is to develop a new community-university research partnership and program – building upon the BALTA framework but engaging significant new partners and participants – that will focus expertise on developing a theoretical and methodological framework for studying the scaling up and scaling out of innovations that re-localize the economy and strengthen the resilience and sustainability of communities and regions.

Objective 1 – To engage prospective partners, researchers and practitioners in a structured analysis of existing theory, practices and research findings – by BALTA and other researchers – as a basis for working towards development of a framework for the new research program.

Objective 2 – To synthesize research findings focused on mezzo- and micro-levels with macro-level modelling of transitioning to a steady state economy by leading ecological economists from the UK and Canada. Through identifying the intersections between contexts, innovations and enabling factors at these different levels, including BALTA's practice-based research, the synthesis will contribute to defining research to be incorporated into design of the future research program. The UK-based New Economics Foundation (NEF) is a partner in this proposal and the director of its 'Great Transition' steady state economic modelling program is a collaborator. The UK work has three aspects: analysis of environmental limits, defining output measures in 'well-being' terms, and design of a finance system focused on well-being outputs within environmental limits. A co-lead of this project, Noel Keough of Sustainable Calgary, is on the Research Advisory Group of the Canadian Index of Wellbeing (launched October 2011).

Objective 3 – To identify and select regions and communities, both urban and rural, to become partners in the future action research program that will be an outcome of this PDG process. This action research will focus on adapting, applying and evaluating key micro-mezzo level innovations in several basic needs sectors with a view to identifying systemic factors, including policy, that enable or inhibit the scaling up and scaling out of innovations which can contribute to the overall goal.

Objective 4 – To synthesize the work of the research clusters working on the first three objectives and develop their outputs into a comprehensive longer term partnership and research plan, including the development of relevant proposals and grant applications to support the future research program.

Objective 5 – To engage key stakeholders in dialogue on findings related to a low carbon economy transition¹, to explore what resonates and to identify strategic opportunities for collaboration in the research program. This will include ways that broader networks and movements can contribute to dissemination of basic information among their constituents, and most importantly, explore mobilization, leadership, enterprise, organizational and institutional strategies and models capable of joining up local and regional transition efforts, including sector specific (social enterprise, co-operatives, etc.) strategies and mechanisms. In addition to the new partners included in this proposal application, we have targeted several priority sectors for recruitment, including municipal and regional government associations (BC, Alberta and National) and relevant additional organizations with sustainability and transition mandates.

Methods for Partnership Development Process

Objectives 1, 3 and 5 share a requirement for engaging prospective partners, practitioners and researchers in considering key research. This is critical to achieving buy in and to the design of the long term research program (Objective 4). In each case there are vital engagement objectives: (a) To introduce

¹ A significant additional mobilization impact from this project will be achieved through wider promotion of research results emerging from the earlier SSHRC funded BALTA research that will only be published at the beginning of this project.

key findings from previous research relevant to the interests of the prospective partner or network; (b) To identify key research issues and questions that participants believe are important to address in the long term research; (c) To identify objectives (actions, policy, further research) and methods of knowledge mobilization relevant to the partners' interests. At start-up, several tailored summaries of findings will be prepared for use with partners. Thematic tele-seminars will allow us to introduce and clarify content, and to initiate identification of research issues. Summaries of the results will be prepared and posted on an interactive website. The partnership development and research planning will be focused within several participant research clusters: one examining the micro-mezzo-macro analysis; one on the community based research; and one focused on financing.

Re Objective 3, the engagement of communities/regions that will be participants in the future action research, communities/regions and institutional networks with possible interest in adapting innovations would be invited to engage in introductory seminars. If they are interested in further exploration, they will be asked to identify their priorities, potential sponsoring organizations and possible partners. Initial screening would narrow the field to up to 15 possible sites in Canada. Further discussions would clarify the context, sector interests, key challenges, objectives and benefits sought through their collaboration, and what human, organizational and financial resources they could contribute and/or help mobilize. The BALTA partners will determine a final means of selection of 5-8 communities. Face-to-face workshops involving key participants in each site would determine the action research focus, basic design and sponsoring organizations. This would then be incorporated into the proposed future research program.

With regard to developing multi-stakeholder partnerships, a mix of methods will be important (Poteete, Janssen & Ostrom, 2010; Reason & Bradbury, 2001; Sustainable Development Research Network, 2011). We intend to develop a participatory action research (PAR) approach to the community based research that will form a major focus of the future research program. Design of this PAR component and methodology will be an important focus and outcome of the partnership development project, as will development of the most appropriate methodologies for other aspects of the future research. Among a range of methodologies being considered for monitoring and evaluation of impacts for the long term research program is the 'Most Significant Change' technique (Davies & Dart, 2005).

Implementation of Objective 2 – the micro/mezzo/macro research synthesis – will be carried out by a team of people directly involved in pertinent bodies of research and practice. Review of research will be supplemented with two to three meetings focused on examining the implications of the micro-research for macro-modelling, identification of key macro factors that support or thwart transition to radical carbon reduction at the community and regional levels, and identification of key research questions and projects necessary to increase the robustness of the macro-mezzo-micro integration.

The proposed project would extend over two years, from June 1, 2012 to May 31, 2014, though we would begin the process with a tele-conference of project partners and participants even before that, shortly after we learn of SSHRC's grant decision so that the work can begin as soon as possible. Much of the initial work would take place in the separate research clusters. We would then convene a research symposium in Edmonton in Spring 2013 to review the project results to date, begin shaping plans for the future research program, and identify further steps required to develop the partnership and research plan. Further work would then carry into Fall 2013, at which point the plans will be finalized and approved by the partners. Work would then focus on development of detailed research and funding proposals, as well as further elaboration of the research methodology.

We are building upon a significant base of existing BALTA and other work and preliminary discussions related to the project. Thus, we do not feel that longer than two years is required. A major output of this process, a full research Partnership Grant LOI proposal to SSHRC, would be completed somewhat before the end of the two year period for submission in January-February 2014. However, the choice of two years also reflects the complexity and scale of the proposed longer term research program, partnership and methodology. To ensure a well developed plan and proposal, we need to take the time for deep and thorough discussion supplemented by relevant research and mobilization activities as outlined

elsewhere in this proposal. The extension of the project for several months beyond submission of the Partnership Grant LOI to SSHRC will enable us to begin exploring potential additional funders.

This project will address SSHRC's program objectives for both Insight and Connection. For **Insight**, the project addresses the full range of SSHRC's priority objectives. While existing innovations demonstrate that significant change is possible, scaling them out and up is crucial to increasing impact. This is urgent research that requires *diverse cross-disciplinary research teams and methodologies* that will leverage *leading researchers internationally* while still focusing on *applied action research* locally. Students will have a significant role in the project. Regarding **Connection**, this project starts from the base of a strong existing model of community-university partnership (BALTA). The new partnership will broaden the network and increase the multidirectional flow of knowledge related to the research themes between researchers, wider community and academic audiences. Co-construction and co-management of research design is a fundamental characteristic of the BALTA approach and will be enhanced by widening the network of partners and participants involved in this new partnership. Our strong existing links to networks and federations makes possible effective uptake and use of research results by non-academic audiences, increasing research impacts.

Challenge criteria – This proposal outlines a significant research animation and design program and partnership development agenda that leverages local, regional, Canadian and UK expertise across practitioner and academic divides, combining community based and macro-level research and scaling up innovations that have local and global significance. The unique configuration of expertise and research connections that BALTA has made, significant in themselves, will be leveraged well beyond the original scope to take on a set of strategic and urgent research challenges. The concreteness and hopefulness exemplified by the innovations researched are creating significant interest well in advance of the publishing of the two books relevant to these themes. Speaking invitations on the themes of 'The Resilience Imperative' (Lewis & Conaty, 2012), six months in advance of the book, are indicative of the cross-section of interest – aboriginal networks, university lectures, community development, community finance and transition town networks in Canada, New Zealand and Australia. People want to understand the innovations, how they work and how they might productively adapt them to the challenges they face wherever they live. This project anticipates how important the scaling up and out of innovations is going to be in the decade ahead and is positioned to focus time, talent and resources to the urgent and important work of helping make it happen.

Feasibility criteria – We are building this new research partnership and program on five years of experience in achieving effective partnership and co-construction of a research program. As demonstrated in the proposal sections on Formal Partnerships, Participants Involvement and Partnership Evidence, there is already a solid basis of partnership established and a process to further develop the partnership over the course of this development project. The partners and participants (existing and new) have indicated their commitment to the project, including significant commitments of time and resources (see partner letters). The objectives of the project are ambitious, but with the previous foundation, the two year time frame, and the scope of budget and activities, the objectives should be achievable (see Partners/Contributors, Contributions Plan, Formal Partnerships, Knowledge Mobilization Plan and Budget Justification). The knowledge mobilization plans are substantive, including mobilization beyond the research community.

Capability criteria – We have assembled a very strong and diverse team of co-leads, other co-investigators and collaborators, and partners, representing a wide range of relevant disciplines and community/practitioner sectors/networks. This team and the wider networks that they bring to the table can contribute to strong programs of both research and mobilization. As individuals, they bring extensive involvement of working in partnership, including research partnerships with communities, business, and government. The highly regarded BALTA experience of research partnership over the past five years has brought much relevant experience which will be applied to developing this new partnership.



Family name, Given name

Lewis, Michael

Intended Outcomes of Proposed Activities

Elaborate on the potential benefits and/or outcomes of your proposed research and/or related activities.

Scholarly Benefits

Indicate and rank up to 3 scholarly benefits relevant to your proposal.

Rank	Benefit	If "Other", specify
1	Enhanced research collaboration	
2	Knowledge creation/intellectual outcomes	
3	Enhanced research methods	

Social Benefits

Indicate and rank up to 3 social benefits relevant to your proposal.

Rank	Benefit	If "Other", specify
1	Enhanced policy	
2	Enriched public discourse	
3	New or enhanced partnerships	

Audiences

Indicate and rank up to 5 potential target audiences relevant to your proposal.

Rank	Audience	If "Other", specify
1	NGO and community organizations	
2	Practitioners/professional associations	
3	Municipal government	
4	Academic sector/peers, including scholarly associations	
5	International audiences	



Family name, Given name

Lewis, Michael

Expected Outcomes Summary

Describe the potential benefits/outcomes (e.g., evolution, effects, potential learning, implications) that could emerge from the proposed research and/or other partnership activities.

The research and partnership development processes are expected to lead to significant outcomes in several inter-linked spheres: new research and knowledge creation; enhanced research partnerships; and significant knowledge dissemination and mobilization.

1. Anticipated Research and Knowledge Creation Outcomes

- Enhanced analysis of the linkages between sustainability, the social economy and community resilience/transition.
- Analysis of linkages between macro, mezzo and micro level strategies for achieving transition, with a focus on the contribution that the social economy and local innovations can contribute to transition; identification of knowledge gaps requiring further research and plans for addressing this in the future research program.
- A plan and Partnership Grant proposal for a new multi-year (5-6 years) research program on sustainability, the social economy and community resilience/transition with a focus on local and regional scaling up and scaling out of transition innovations.
- A participatory action and applied research methodology that enables the planned research program to subject to rigorous comparative analysis specific strategies for scaling out/up innovations.

2. Anticipated Partnership Development Outcomes

- Leveraging of the existing BALTA practitioner-university-researcher platform into a more diversified and multi-disciplinary research team - In addition to the already committed partners, the partnership will be expanded and diversified to add specific partners able to enhance the effectiveness of the new research partnership: leading practitioners with sector relevant expertise; relevant researchers, including new scholars and students; policy makers with relevant mandates and significant interest in the goal; key actors/leaders from relevant networks and movements.
- Development of the new research partnership structure that builds upon and improves BALTA's effective practitioner-researcher co-leadership and co-construction model.

3. Anticipated Knowledge Dissemination and Mobilization Outcomes

- Significant dissemination and mobilization of BALTA and other partner research aimed at stimulating dialogue necessary to define a long term research program and shape public discourse on transition innovations - Three books related to this PDG (one with significant international distribution) will be published in 2012. These will be leveraged to support the project. Articles popularizing key innovations and related issues will be published in i4, a popular eJournal on community resilience and transition (distribution between 3,500 and 10,000). These will facilitate dialogue central to research design and broader public discourse. Three peer reviewed journal articles targeted for audiences important to the longer term research will be done. Athabasca University has committed support for website, inter-active webinars and a social media presence.
- The new research program and Partnership Grant proposal will include a multi-faceted strategy for effective dissemination and mobilization of results from the new research program, including approaches integrated into the action research methodology, which will ensure extensive opportunities for significant longer term impacts from mobilization of the new research results.

Social Economy, Community Resilience and the Transition to Sustainability

Participants Involvement

The interdisciplinary nature, broad scope and complexity of the proposed research, and the multi-faceted aims in terms of dissemination and mobilization of research, require a diverse partnership. Practical and theoretical expertise is required in community economic development, the social economy – including specific functional and ownership models within the social economy, development finance, dynamic property rights (land trusts and land banking), ecological economics, sustainability planning, transition related to carbon descent, resilience assessment at the community and regional level, local food system change, affordable shelter and models for producing and conserving energy through local and regional action. Knowledge related to finance and financing cuts across all aspects of our interest in scaling up and scaling out. Knowledge and experience in public policy and municipal and regional governance is an important area. Expertise in participatory action research and other research methodologies is also required. Each partner and collaborator will also bring specific expertise/capacity and distribution networks to effectively contribute to disseminating and mobilizing research.

How the work will be organized and the determination of roles and responsibilities is still a work in progress. Which research clusters people will join and what other responsibilities they will assume is not yet entirely set. This will be shaped through further consultation early in the project. Several participants will also be selected to join the four co-leads in forming a partnership and project steering committee. The following list of roles and responsibilities is thus a provisional one that will be further developed in the first three months of the project.

Abbreviations used in table: C = community; U = university; MMM = micro-mezzo-macro; RC = research cluster; SC = steering committee; MC = management committee; KM = knowledge mobilization; CBR = community based research

Roles	Participants	Sector	Responsibilities & Contributions
Lead Applicant	Mike Lewis	C	Overall leadership to the project; participation in SC & MC; co-leading the MMM RC; involved in Finance RC; providing input to work of other RCs; KM activities
Co-Managing Co-Lead	Dr. Mike Gismondi	U	Overall leadership to the project; participation in SC & MC; providing oversight & supervision of staff at Athabasca University; co-leading the MMM RC
Other Co-Leads	Dr. Noel Keough	C & U	Overall leadership to the project; participation in SC & MC; co-leading the CBR RC; KM activities
	Dr. Ana Maria Peredo	U	Overall leadership to the project; participation in SC & MC; co-leading the CBR RC; KM activities
Co-Investigators	Dr. Mary Beckie	U	Participating in CBR RC; symposium co-hosting and planning/organizing; KM activities
	Dr. Brian Belcher	U	Participating in CBR RC & MMM RC; potentially supervising students
	Pat Conaty	U & C	Participating in the Finance RC and the MMM RC; advising other RCs; KM involvement
	Dr. Sean Connelly	U	Participating in CBR RC
	Dr. Debra Davidson	U	Participating in the MMM RC; interested in climate change as it cuts across all work
	Dr. Josh Evans	U	Providing input to work of MMM and CBR RCs
	Dr. Lars Hallstrom	U	Participating in CBR RC; supervising students
	Dr. Lorelei Hanson	U	Interested in climate change as it cuts across all work

Roles	Participants	Sector	Responsibilities & Contributions
Co-Investigators	Dr. Will Low	U	Participating in MMM RC; potentially supervising students
	Dr. Sean Markey	U	Participating in CBR RC
	Dr. Carol Murray	C	Participating in CBR RC
	John Restakis	C	Participating in MMM RC, including bringing other program work on the 'co-operative city'
	Dr. Mark Roseland	U	Participating in MMM or Finance RC; support to KM
	Dr. Jorge Sousa	U	Participating in CBR RC; KM involvement
	Dr. James Tansey	U	Participating in Finance RC; supervising students
	Dr. Hannah Wittman	U	Participating in CBR RC
Collaborators	Michele Aasgard	C	Participating in CBR RC
	Joanna Buczkowska	U	Participating in CBR RC; supervising students
	Paul Cabaj	C	Participating in Finance RC
	Michelle Colussi	C	Participating in CBR RC
	Dr. Angela Espinosa	U	Participating in MMM RC; providing feedback and input to other RCs
	Dr. Catherine Etmanski	U	Participating in CBR RC; potentially supervising students
	Dr. Martin Garber-Conrad	C	Participating in Finance RC; providing feedback and input to other RCs
	Dr. Tim Jenkins	C	Participating in MMM RC; providing feedback and input to other RCs
	David LePage	C	Participating in CBR RC, particularly re looking at the role of social enterprise
	Terri MacDonald	U	Participating in CBR RC
	Ed Mayo	C	Participating in MMM RC; providing feedback and input to other RCs
	Bob McKeon	U	Participating in CBR RC
	Annie McKittrick	C	Participating in CBR RC, with specific interest re looking at the role of municipalities
	Dr. Margie Mendell	U	Participating in Finance RC
	Dr. Byron Miller	C & U	Participating in MMM RC
	Karsten Mundel	U	Participating in CBR RC; supervising students
	Robin Murray	C	Participating in MMM RC; providing feedback and input to other RCs
	Stewart Perry	C	Participating in Finance RC
	Brendan Reimer	C	Participating in CBR & MMM RCs; KM support
	Mike Toye	C	Participating in CBR & MMM RCs; KM support
	Ron van Wyk	C	Participating in CBR RC
	Dr. Jon Walker	C	Participating in MMM RC; providing feedback and input to other RCs
	Paul Watson	U	Participating in CBR RC; providing feedback and input to other RCs; KM support

Social Economy, Community Resilience and the Transition to Sustainability

Formal Partnerships

This new research partnership builds upon the BALTA partnership and research model which has functioned since 2006, but with an expanded and diversified membership,. The new partnership also represents a new research scope and methodology focused on the development of an interdisciplinary research program featuring a significant component of applied research and participatory action research at a community and regional level. Other components will examine theoretical and practical linkages between transition to a sustainable economy at micro, macro and mezzo scales¹. The interdisciplinary nature, broad scope and complexity of the proposed research, and the multi-faceted aims in terms of dissemination and mobilization of research, require a diverse partnership and a strong partnership approach. The emphasis on community-based participatory action research and mobilization of research within communities and regions also necessitates the involvement of community and practitioner organizations and networks in the partnership. A community-university partnership model is the only one that makes sense for this project's objectives.

BALTA's Partnership Experience and Approach to Partnership

The new partnership leverages the existing BALTA partnership – many of the partners and participants come from the earlier research partnership – but even more importantly it leverages the successful BALTA model and lived experience of a strong community-university, practitioner-academic partnership approach to co-construction of research and new knowledge (Heisler, Beckie, & Markey, 2011; McKittrick, Wulff et al, 2011; Beckie, Heisler, Markey & Wulff, 2011). The BALTA model emphasizes a balancing of academic and community/practitioner participation and input to decision making with a view to producing research that is relevant to community and social economy sector needs, thus increasing the likelihood of significant longer term impact through uptake and mobilization of research results. Balancing the power and decision making roles of partners, both academic and practitioner, is vital to creating partnerships that go beyond token community involvement. Critical to building an effective long term partnership and an 'owned' research agenda is an approach that embeds co-construction at all steps of the research development, implementation and mobilization process:

- **Co-Visioning** – Partners develop and negotiate a common understanding of the research mandate and aims and the broad scope of the work. **For this new partnership, this process has already begun and will further evolve in the early stages of the development project.**
- **Co- Development of policy and parameters** – A common understanding of how power will be shared and used, how decisions will be made, how research will be managed, how students will be hired and managed, and other aspects of the partnership and research processes is critical. **With this new partnership, this has already begun – notably the Partners Memorandum of Understanding explained later in this document. The new partnership will also draw upon the policies and procedures already evolved in the earlier BALTA partnership.**
- **Co-Planning of research** – Effective collaboration of academic and community/practitioner partners and participants brings the assets of each to creating optimum research plans. This applies both in terms of the broad research framework and specific research projects. **Co-planning will be at the heart of this partnership development project and will occupy a large part of the time committed by partners.**

¹ In using the terms micro, mezzo and macro, BALTA is distinguishing broadly between three levels of economic activity and engagement. Micro refers to activity and innovations at a local level. Macro refers to broader macro-economic policy and interventions. We have adopted the mezzo term to refer to those intermediate level systems of application and support that reinforce or hinder local socio-economic and sustainability developments – finance, policy, technical assistance, etc.

- **Co-Approval of research** – Decision making about research plans, allocation of resources, etc., involves both academics and practitioners. **See the Partners Memorandum of Understanding** (reproduced in full in the Partnership Evidence section of this application) **for how decision making and approval of plans will operate in the partnership.**
- **Co-Management** – Joint management structures, with a balance of community and academic representation, provides ongoing partnership discipline and accountability back to the partners.
- **Co-Implementation of research** – **This is a development project. Thus, we do not anticipate implementation of research except perhaps on a minor scale feeding into the development process. However, we expect that the research plans that are an outcome of this project will feature significant attention to the type of research co-implementation that has become a common feature of BALTA’s approach.** Our experience has shown that, if true co-construction exists at other levels, it is not critical that all research be co-led by both academics and practitioners as long as the researchers are guided by and accountable back to the partnership. However, BALTA has found that a co-leadership model of research implementation can bring important benefits, merging the assets of both academic and practitioner participants in the research process. Co-led implementation has become increasingly common in our work.
- **Co-Analysis/and Co-Synthesis of research results** – The strongest interpretation and mobilization of research results is obtained where both community and academic partners bring their perspectives to the analysis and synthesis of the research.
- **Co-Dissemination and Co-Mobilization of research** – Both community and academic partners bring particular niches and expertise to the dissemination and mobilization of the research. The most effective dissemination and mobilization strategies make optimal use of both.
- **Co-Evaluation** – True partnership requires the full involvement of community and academic partners/stakeholders in evaluating the research partnership, both regarding process and product.

Most of our ‘community’ partners are sector networks and development organizations, not local community organizations. This is a strategic choice reflecting the approach that has been key to BALTA’s earlier success. It enables us to have a manageable number of partners and participants who at the same time bring a very broad understanding of sectors relevant to our research objectives. The focus on intermediary organizations as partners is also a strategic choice with respect to their ability to maximize mobilization of research to a broad range of audiences. The new partnership is already taking form, as evidenced by the significant number and range of partners and participants who have joined this application. The two year project will consolidate and further expand the partnership, while allowing the partners to shape and plan the longer term research program that the partnership intends to undertake. We anticipate the recruitment of additional partners during the development project, both a small number of additional intermediary organizations and specific community based partners in the communities selected for the participatory action research component of the future research.

Participatory action research is an important component of the planned future research, but will also shape the way we develop the partnership and research planning during this project, particularly as we reach out and engage new community level partners. PAR is a form of collective research wherein the researcher joins forces with the community, laypersons, and other partners to conceive of, design and carry out research. Many of our partner organizations and researchers have extensive experience doing participatory action research in a diversity of contexts. In our model all project participants are considered co-researchers with each bringing unique knowledge, insights, and experiences to the table.

Project Management and Governance

The partners have already agreed to a Memorandum of Understanding that specifies important principles and understandings that will govern the research partnership (see pages 1-3 of the Partnership

Evidence section of this application). These principles and understandings reflect the BALTA partnership model described above and include such elements as:

- Ensuring that all partners and participants, both community/practitioner and academic, have a full say in discussions and decisions, with a consensus approach guiding decision making as much as possible and the majority view deciding where consensus is not achieved;
- A balancing of community/practitioner and academic representation in leadership roles, including a steering committee comprising the four co-leads and several other representatives approved by the partners;
- A commitment by all partners to participate actively and to contribute significantly to the partnership, the research program development and knowledge mobilization;
- A commitment to work within the framework (goal, objectives, etc.) in this project proposal in developing the partnership and plans for the future research program, and agreement that the final research/partnership plans developed through this project will be ratified by the partners.

The enhanced framework for project management in this new BALTA partnership includes four co-leads representing the community/practitioner and academic sectors in Alberta and British Columbia. The lead investigator, Mike Lewis, was also the lead investigator for the original BALTA partnership.

Role	Individual Responsible	Institution/Organization
BC Community Co-Lead & Lead Investigator	Mike Lewis Executive Director	Canadian Centre for Community Renewal
Alberta Academic Co-Lead & Co-Managing Co-Lead	Dr. Mike Gismondi Professor, Sociology and Global Studies	Centre for Integrated Studies Athabasca University
Alberta Community Co-Lead	Dr. Noel Keough Senior Researcher	Sustainable Calgary Society (and an Assistant Professor in Environmental Design, University of Calgary)
BC Academic Co-Lead	Dr. Ana Maria Peredo Associate Professor, Sustainability, Entrepreneurship & International Business	Faculty of Business, University of Victoria (and currently Director of the Centre for Co-operative and Community-Based Economy at the University of Victoria)

A steering committee (SC) will be established with broad decision making roles related to providing intellectual leadership, steering the project and managing the partnership. The SC will balance academic and community/practitioner representation, including the four co-leads and several other representatives approved by the partners. The SC will meet as frequently as necessary by tele-conference, with the possibility of a couple of longer face-to-face meetings at critical points in the project's development.

The four leads will serve as a project management committee that will oversee staff, budget and program implementation within the parameters of steering committee decisions. They will meet as often as necessary, generally via tele-conference, and will report to the steering committee. While the co-leads will exercise joint authority, it is recognized that under SSHRC policies Mike Lewis as lead applicant is responsible to SSHRC and must ultimately authorize the use of SSHRC funds within the project. The fact that the lead applicant is from a BC-based community organization, but Athabasca University (AU) in Alberta will be serving as the administering organization, requires specific arrangements. Should this grant application be approved, then Athabasca University will appoint Mike Lewis as an Adjunct

Professor to ensure clear lines of co-operation and accountability. In addition, AU-based co-lead, Dr. Mike Gismondi, will serve as a co-managing co-lead to directly supervise project operations at AU.

The principal vehicle that the original BALTA partnership evolved for designing, shaping and implementing the research program was several thematic research clusters (RCs). The RCs established research priorities, approved specific research projects and annual plans, strategized dissemination and mobilization of research results, and monitored and assessed research results. Each was co-led by an academic and a community/practitioner co-chair and included representation from both academics and practitioners. We envision a similar model operating in this new partnership, with several RCs having responsibility for developing specific aspects of the project:

- RC 1 Focused on the comparative analysis of micro, mezzo and macro transition to sustainability and a steady state economy. To be co-led by Mike Lewis and Mike Gismondi.
- RC2 Focused on the community based participatory action research, including the engagement and selection of communities, the identification of specific research priorities, and the elaboration of the research methodology and plans. To be co-led by Noel Keough and Ana Maria Peredo.
- RC3 Focused on financial innovation and key issues related to financing transition. To also focus on securing the input and involvement of relevant new co-investigators and partners to become engaged in the long term research program. Mike Lewis will be involved with this group, but the co-leads will be determined later.

There will be a degree of cross-over and coordination of work between the three RCs. Knowledge mobilization will also be part of the mandate of all research clusters, but will be coordinated by the management committee. As the work evolves, it is possible that further RCs could be established and/or that subsidiary working groups might be formed. For example, the work of RC2 might devolve into more than one thematic or geographic group.

While several partner representatives will participate in the steering committee, the principal and most significant way that partners will participate in the partnership is through their participant co-investigators and collaborators participating directly as members of the RCs. It is in these clusters that most of the time will be spent and most of the work accomplished. They will build the various pieces that will go into developing the longer term partnership and research plan.

The work of the RCs will be coordinated and synthesized through the steering committee and integrated into draft plans for the longer term research program and partnership. The draft plan will be reviewed by the partners, with an opportunity for further input. Then it will be finalized and approved by the partners.

The other principal way in which partners will engage with the partnership will be through contributing their particular capacities and outreach niches to the mobilization activities of the partnership. The BALTA partnership will reach specific audiences with its knowledge products in each case through the member partners that are best positioned to reach each audience. Partners will also benefit from this approach in that it will reinforce and enhance with their target constituencies their credibility as a source of reliable and relevant information on the themes of this project.

Contributions Plan – Social Economy, Community Resilience and the Transition to Sustainability

We are requesting \$200,000 from SSHRC in support of this research partnership development project. Matching cash and in-kind contributions committed to the project already total \$422,978 as summarized below and detailed in the letters of engagement provided by partners. In-kind contributions of time and support from other organizations affiliated through other co-investigators and collaborators will also be significant. We also expect to draw further partner organizations and communities into the partnership during this development project and anticipate further contributions from these partners.

Institution/Organization	Commitments	Explanation
Canadian Centre for Community Renewal – Lead Partner	\$25,200 25,300	Cash – salary replacement for lead investigator In-kind – other time & program commitments
Athabasca University – Co-Lead Partner & Administering Org.	34,400 3,000+	Cash – Writer, summer student, support for symposium, support for KM & partnership In-kind – symposium support + other contribs. not denominated (communication, space, etc.)
Sustainable Calgary Society – Co-Lead Partner	5,000 20,000	Cash – project matching funds In-kind – time contributed to the project
Ctr. for Co-operative & Community Based Economy, University of Victoria – Co-Lead Partner	13,000	In-kind – meeting & office space, professional and technical support, use of office equipment, supplies, etc.
Alberta Centre for Sustainable Rural Communities, Augustana Campus, University of Alberta	22,282 16,896	Cash – 2 student summer research assistants, support for travel, meetings, supplies In-kind – office space, support staff, technology support
Alberta Community and Co-operative Association	8,960	In-kind – time contributed to the project
Alberta Rural Development Network	2,000 3,500	Cash – Support for project related travel In-kind – time contributed to the project
B.C. Co-operative Association	20,000	In-kind – time contributed to the project
Canadian Community Economic Development Network (CCEDNet)	15,000 9,100	Cash – support for an internship position In-kind – time contributed to the project
Centre for Sustainable Community Development, Simon Fraser Univ.	16,120	In-kind – meeting space, office support
Edmonton Community Foundation	1,000 10,300	Cash – Support for project travel In-kind – time contributed to the project
ISIS Centre, Sauder School of Business, University of B.C.	32,500 87,500	Cash – 2+ student internships, project travel In-kind – non-academic & student research asst. time contributed, dissemination support
New Economics Foundation	18,920	In-kind – time contributed to the project plus communications support
Royal Roads University	20,000	Cash – student research assistants, travel to meetings, other research development support
University of Alberta Faculty of Extension	5,000 8,000	Cash – support for symposium, travel In-kind – support for meetings, communication
Total Contributions	Cash In-Kind Total	\$162,382 260,596 \$422,978

Social Economy, Community Resilience and the Transition to Sustainability

Training and Mentoring

Training and mentoring have been significant features of the current BALTA partnership and we would continue this with both the partnership development project and the future new research program. Over 70 students have been employed on BALTA research projects. Several new and emerging scholars joined BALTA and came to play significant roles, offering them opportunities to enhance their skills, knowledge and relationships. We created a Student Program Coordinator to support learning and professional development for students, including opportunities to present their research at conferences. **All these features would be continued and ideally enhanced in the design for the future research program and thus would be eventual outcomes of this partnership development project.**

For the PDG project itself, we plan to support several opportunities for employment of student research assistants, two with SSHRC's support (\$40,000 for 2 years) and 6-9+ others with support from partner universities. These employment opportunities would be as follows:

- 1 SSHRC funded position based at Athabasca University and focused on support to the knowledge mobilization aspects of the project.
- 1 SSHRC funded position (location to be determined) focused on support to the community engagement and community projects development aspects of the project.
- 1 summer internship funded by Athabasca University & 2 summer internships for undergraduate students funded by Augustana Campus, University of Alberta – work focus to be determined.
- 2 internships for MBA students from the Sauder School of Business at UBC – work focus to be determined. Sauder hopes to fund 1-2 undergraduate positions and to include work related to this project in the responsibilities of other research assistants and potentially one post-doc position.
- At least 2 student research positions at Royal Roads University – work focus to be determined.
- Potentially (subject to confirmation of funding re CCEDNet's internship program) one non-student internship position, likely based with the project lead investigator at the Canadian Centre for Community Renewal and providing support to various aspects of the project.

We hired one **post-doctoral researcher** (Sean Connelly) in the original BALTA research program. He recently assumed an assistant professor position at the University of Regina and will continue his association with BALTA in this new project. We anticipate designing at least one new post-doctoral research position into the future research program developed through this development project.

There has been an important dimension of '**cross-mentoring**' within the research clusters of the existing BALTA. With a strong commitment to community-university co-construction of research, the research clusters bring together a mix of academics and practitioners to jointly define and develop the research programs/projects and increasingly to co-lead specific research projects. This has led to a continuous learning process where each constituency within the group becomes a mentor to the other, academics learning more about the realities of praxis on the ground from the practitioners and how research must be shaped to address those realities, while the practitioners learn more about research methodologies and theory from the academics. As each has brought their knowledge of particular subjects to the joint development of research and analysis of research results, there has also been a tremendous amount of subject specific cross-learning occurring. We would aim to continue and enhance this approach during the partnership development project and the intended future research program.

This partnership development process will bring significant new constituencies into the BALTA tent through new participants and partners from a range of academic and community disciplines/sectors. New perspectives will emerge from the discussions and debates, with extensive opportunities built into the process for cross-learning and cross-mentoring. This will occur during the PDG project and will be systematically designed into the resulting proposal for the future research program.

Social Economy, Community Resilience and the Transition to Sustainability

Knowledge Mobilization Plan

This partnership and research development project builds upon significant recent research and other knowledge development work of BALTA¹ and other partners/participants². Dissemination and mobilization of this previous and continuing work will be a significant aspect of the initial stages of this new project, both to enhance the mobilization of earlier research and to serve as an engagement strategy for the new partnership. Specific audiences will be important to the success of the new partnership and future research program. Mobilization of earlier research will serve to engage these audiences and draw them into the new research and partnership. As the project evolves, the emphasis will shift to mobilizing the results of this development project and the emerging knowledge and new research plans that will constitute the longer term work of the new partnership.

Significant project capacity will be committed to the knowledge mobilization, including:

- A half time partnership development (including the research clusters) and knowledge mobilization facilitator, based at Athabasca University and supported by SSHRC funds, who will coordinate the overall KM effort and implement specific aspects of the program.
- Capacity for writing, editing and preparation of plain language popularized articles and information materials that will package the research knowledge for a variety of audiences. This capacity will be based at Athabasca University (AU funded) and the Canadian Centre for Community Renewal (cost shared between CCCR and SSHRC funds).
- Website, e-publication, tele-seminar and webinar support at Athabasca University.
- A student assistant, based at Athabasca University, will work on KM.
- Project partners will undertake specific KM with their usual networks and audiences, using materials prepared by the project personnel noted above and supported by project personnel.

Objective	Audiences	Methods	Schedule	Outputs and Outcomes
Dialogue with prospective partners, researchers & practitioners, using key findings from BALTA & other leading research, as part of an engagement & iterative design process.	Researchers & practitioners in priority sectors, e.g. local food, housing, energy, sustainability planning; community & social finance, incl. credit union sector & land trusts; co-ops & social enterprises; selected gov't agencies	Development/dissemination of plain language information materials derived from BALTA & other research – print, web based & at events Innovation themed articles accompanied by links to research outputs published through <i>i4 eJournal</i> ³ & other publications Tele-conferences & webinars with practitioners & researchers BALTA books launched & linked to moderated forums, blogs, events	Develop: June-Aug 2012 Dissem: Sept-Nov 2012 June-Oct in <i>i4</i> Sep-Nov in other Sep-Nov 2012 Jun-Fall 2012	Info materials - efficient tools for use with varied audiences 10000 downloads Used by partners 10000 recipients per <i>i4</i> article Other audiences reached through partner dissemination 200-300 participants input into research issue identification Engagement of readers in discussion and linkages to new research

¹ To be published in two books in 2012, *The Resilience Imperative: Co-operative Transitions to a Steady State Economy* by Mike Lewis and Pat Conaty, and *Seeds of Transition: The Convergence of the social economy and rural sustainable community development*, edited by Mary Beckie, Sean Connelly, Mike Gismondi, Sean Markey and Mark Roseland. All of these individuals will be co-investigators in this new research partnership project.

² E.g. the Great Transition Initiative of the New Economics Foundation in the UK.

³ Examples of previous use of the *i4 eJournal* to mobilize knowledge re BALTA research can be found on the Canadian Centre for Community Renewal and *i4* website (Connelly, 2010; Lewis, 2011; LePage 2011).

Objective	Audiences	Methods	Schedule	Outputs and Outcomes
Analysis & synthesis of BALTA micro & mezzo level findings with macro level work re steady state economy.	Researchers re economics, business, social economy, sustainability, climate change; community & social finance, municipal & other gov'ts	3000 word popular article in <i>i4</i> focused on the results Wider dissemination through partner communications – potential media outreach Likely 1 refereed journal article outlining the findings & propositions for research	Fall 2013 Some staging as results become available Fall 2013	Strengthened understanding of how micro-mezzo-macro levels of transition inform each other & advanced design of further research to address knowledge gaps Seeking funding re next stage research
Project & partnership development & KM	Project participants, partners & communities	Research symposium to consider results of research development to date & plan further project development Further info materials development linked to emerging research themes & plans	May 2013 May-June	Symposium to engage most project participants & partners + key other audiences Materials available to use with methods below
Engage regions & communities, urban & rural, to become partners in action research component	Municipal governments, incl. CED & SD staff + leaders; Community Futures Corps., Transition Towns, coalitions & organizations in priority sectors	Using materials as noted above, but more oriented to municipal framework Tele-seminars & webinars, ideally co-sponsored by municipal federations Onsite meetings and workshops with targeted communities Info updates on website Local media outreach	June-Aug 2012 Sep-Nov 2012 Nov/12 to Apr/13 + Jun-Oct/13 Ongoing Staged	Array of info tools tailored to municipal & sector interests 150-200 participants – Learning + interest in some to join project Learning + agreements on action research thematic foci & key stakeholders by site Broader awareness
Engage key network & social movement leaders in structured dialogue to extend KM to their constituencies	CED, co-op & social enterprise networks; food security, energy, housing, land trusts networks; environmental networks; credit unions; business SD networks; Community Futures Assoc.; FCM & prov. Municipal feds.	Using materials as noted above, but with some supplementary material to tailor to varied audiences Individual consultations with key leaders in each network to determine interests KM activities with interested networks as relevant – regional & national conference workshops, articles for publications, tele-seminars, etc.		Array of info tools tailored to specific sector interests Current research is mobilized more broadly Recommendations for tailoring mobilization for specific constituencies defined for integration into the longer term research partnership planning
Increase mobilization of research & knowledge in universities	Academics & students	Approval & launch of new social economy courses using modularized course content developed by BALTA	Fall 2012 & beyond	New foundation courses at University of Alberta Extension, Athabasca University & Simon Fraser University

Social Economy, Community Resilience and the Transition to Sustainability

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Evidence of Formal Partnership
Social Economy, Community Resilience and the Transition to Sustainability Project

Introduction

The BC-Alberta Social Economy Research Alliance (BALTA) has already developed a strong and innovative research partnership model through an existing SSHRC grant, which will come to an end in 2012. We have included in this document some relevant documentation for the new BALTA partnership, relevant information about the current BALTA partnership model, some information about changes that would be made as part of the new project and some examples of agreements, outputs and policies as evidence of the strong partnership already in place and being enhanced. This document includes the following:

	<u>Pages</u>
Section A – Memorandum of Understanding for BALTA Partners in the New Partnership	1-3
Section B – Policies and Procedures in the Existing BALTA Partnership	3-4
Section C – Online Evidence of BALTA’s Partnership	4-5
Section D – Anticipated Changes to Existing Terms of Reference	5
Appendix 1 – Current Terms of Reference for BALTA Participants	6-10
Appendix 2 – Current Terms of Reference for BALTA Steering Committee	11-12

[Section A – Memorandum of Understanding for BALTA Partners](#)

NB: The BALTA partners have developed and endorsed the following Memorandum of Understanding that specifies important principles and understandings that will govern the research partnership. This MOU is largely derived from tested principles and procedures that have worked over the past several years for the original BALTA partnership.

This research partnership is an extension, with an expanded and diversified membership, of the BALTA partnership and research program which has functioned since 2006. The new partnership also represents a reoriented research scope and methodology focused on the development of a new interdisciplinary research program as elaborated in the *Social Economy, Community Resilience and the Transition to Sustainability* Partnership Development Grant proposal to the Social Sciences and Humanities Research Council of Canada (SSHRC). The new partnership will function from 2012 to 2014 (subject to SSHRC funding support) and will gather and further develop expertise in a formalized collaboration working towards development of a longer term partnership and research program. The intent is that this partnership would then secure next-stage research funding, for example through a SSHRC Partnership Grant, in order to carry out the research program for several years beyond 2014.

This MOU reflects the lived experience of community-university, practitioner-academic research partnership that has evolved in BALTA since 2006 and the lessons that have been drawn from that experience about how to ensure effective partnership and co-construction and dissemination of research. The MOU summarizes important principles and understandings that will govern the research partnership. The MOU may be further elaborated during the partnership development process.

BALTA brings together a range of partner organizations, both formally through direct organizational partnership commitments and informally through the participation of individuals associated with

specific organizations and sectors as co-investigators and collaborators in the research partnership. This MOU addresses the following aspects of the partnership:

- Roles and responsibilities of partners within BALTA;
- Contributions that partners make to the BALTA partnership; and
- Rights that partners have with respect to decision making, access to resources, etc.

1. Various forms of partnership exist within the BALTA model:

- a. **Formal Partners** – Organizations that have formally agreed to be partner organizations and have committed in writing to this partnership. In addition to organizational commitments to support BALTA, formal partners generally have one or more individuals participating directly in the research program as co-investigators and/or collaborators.
- b. **Collaborating Partners** – Most participating co-investigators and collaborators in BALTA bring an active organizational relationship to the BALTA partnership, even if that organization does not enter into formal partnership. Through their participation in the BALTA partnership, participants bring this organizational relationship to the table, and such informal partner organizations often become involved beyond the individual participant in partnering with BALTA on specific initiatives.
- c. **Relational Associates** – Other organizations take a significant interest in BALTA, but are not formally associated either as partners or through participants. They do become involved in specific BALTA initiatives, particularly with respect to dissemination and mobilization of research.

BALTA and its steering committee will welcome input into our research planning and other activities from all its partners and we will employ a range of mechanisms to facilitate such input. However, only formal and collaborating partners have a direct say through their participant representatives in BALTA decision making.

2. Formal partners will participate in selecting the partner representative members of the steering committee who will serve in addition to the four co-leads. A balance of academic and non-academic representation will be maintained on the committee and in other management/governance roles.
3. All partners and their co-investigators and collaborators participating in BALTA agree to work within the aims and framework elaborated in the proposal to SSHRC.
4. Partners are expected to participate actively in BALTA and to contribute to the development of the partnership, including dissemination of existing research, and plans for the future research program. It is recognized that the level and type of participation will vary. Partner representatives participating as co-investigators will be expected to commit time to participate broadly in the planning of the research program and will likely adopt active roles in the future research program. Representatives participating as collaborators may participate around more limited areas of engagement relevant to their specific interests and to the areas where they can most meaningfully contribute.
5. Discussion and planning within BALTA will be structured to ensure input of community/practitioner and university/academic partners and perspectives. All partners commit to ensuring that decisions taken within BALTA balance the perspectives of the various constituencies and interests represented within the partnership, while continuing to ensure the strong BALTA commitment to producing research that is relevant to the needs of communities and practitioners.

6. As a reflection of the balance stated in #5, BALTA has sought to balance leadership within the partnership by having working groups or ‘research clusters’ that are established within BALTA being co-chaired by an academic and a practitioner member of BALTA. This practice will continue.
7. Decisions will be taken as much as possible by consensus. If consensus cannot be reached, then the majority viewpoint will be adopted. It is recognized that the lead applicant/investigator and administering institution are accountable to SSHRC for the use of SSHRC funding and retain the right to veto decisions that could contravene the terms of SSHRC funding or expose them to risk.
8. Partners are expected to contribute relevant in-kind and/or cash resources to support BALTA’s work, suitable to their capacity, and to provide other forms of support as relevant (e.g. some academic partners have an available pool of graduate students that can be recruited for research assistants).
9. Partners are expected to contribute towards and facilitate dissemination and mobilization of BALTA and other relevant partner research within their own sectors.
10. The partnership will develop the research framework and specific research initiatives that will comprise the future research program within a focused and integrated plan that will reflect the basic directions laid out in the Partnership Development proposal to SSHRC. Partners have the right to provide input into the shaping of the research priorities, framework and potential projects, and to have a voice in decision making about the research plans (as elaborated in #7 above). The final plans and proposal(s) to funder(s) will be finalized by the steering committee and then ratified by the partners. Individual partners will also have the right to decide whether to participate in the approved future research plan and funding proposals.
11. All partners will have direct input into evaluations related to this BALTA partnership.
12. The expenses for co-investigators and collaborators to participate in partnership meetings will be covered from the partnership budget to the extent that budget resources permit.

Section B – Policies and Procedures

To ensure a strong commitment to its collaborative research ethos and model in practice, the original BALTA steering committee and BALTA members spent significant time in the first year (2006-2007) developing policies to guide the partnership, building common understandings and vision, and developing specific research workplans. Rather than starting again from scratch, these policies and procedures would be reviewed and updated as appropriate for the new partnership, then would serve as a policy framework for the new partnership. These policies and procedures documents included:

- Developing working papers, criteria and procedures for decision making about research priorities and choices, eg.:
 - Working paper on *Building a Social Economy Research Platform: Towards a Strategic Decision-Making Approach within the BC-Alberta Social Economy Research Alliance* (<http://auspace.athabasca.ca:8080/dspace/bitstream/2149/1998/1/BALTA%20Working%20Paper%20-%20Decision%20Making1.pdf>);
 - Criteria for Assessment of SERC Workplans and Projects (<http://www.socialeconomy-bcalberta.ca/documents/BALTA%20Projects%20Criteria.pdf>);

- Development and Approval of SERC WorkPlans and Project Proposals (<http://www.socialeconomy-bcalberta.ca/documents/BALTA%20SERCs%20Workplan%20&%20Project%20Proposals%20Policy.pdf>);
- Templates for workplans and project proposals (<http://www.socialeconomy-bcalberta.ca/administration/balta-policies.php> and click on relevant links to open the templates);
- Developing terms of reference and policies to guide the functioning of the BALTA partnership model (see Appendices 1, 2 and 3 for examples);
- Developing policies and frameworks for development and management of specific research projects, employment of student research assistants, etc., e.g.:
 - Project Development and Management Guidelines (<http://www.socialeconomy-bcalberta.ca/documents/BALTA%20Project%20Guidelines%20-%20Revised%20Apr-08.pdf>);
 - Policies and procedures related to ethics review (<http://www.socialeconomy-bcalberta.ca/administration/balta-policies.php> and <http://www.socialeconomy-bcalberta.ca/documents/BALTA%20Ethical%20Review%20Process%20Simplified.pdf>);
 - BALTA Handbook for Case Studies in the Social Economy (<http://auspace.athabascau.ca:8080/dspace/bitstream/2149/1952/1/BALTA%20Case%20Studies%20Handbook%20-%20Final.pdf>);
 - Student Recruitment and Management Policies and Procedures (<http://www.socialeconomy-bcalberta.ca/documents/BALTA%20Student%20Mgmt%20%20Policy%20-%20REVISED%20June%202009.pdf> and <http://www.socialeconomy-bcalberta.ca/documents/Role%20of%20the%20BALTA%20Supervisor.pdf>);
 - Procedures and forms for evaluation of student research assistant employment by both the students and their supervisors.

Section C – Online Evidence of BALTA Partnership

BALTA has developed a significant online presence, hosted by Athabasca University, to make information about the partnership, research program and research results available to all partners and a wider audience. We also have an online library of research plans, reports, papers, etc., and an online BALTA ‘reader’ of articles about the social economy. Online course material is in development. Much evidence about the BALTA partnership can be found online through the BALTA website at <http://www.socialeconomy-bcalberta.ca/> notably in the following sections:

- **About BALTA** – Description of the BALTA model;
- **BALTA Administration** – Many of our policies, procedures, working papers, etc., related to governance, planning, implementation of research, involvement of student research assistants in the research, and related subjects are online here. (See previous section of this document for notable examples and specific links.)
- **Research Program** – Plans, reports, papers, presentations related to BALTA’s research program
- **Conferences and Education** – Information about dissemination and mobilization activities

The lead agency of the current BALTA project, the Canadian Centre for Community Renewal, has an e-journal, *i4*, which is featuring a series of articles disseminating knowledge gained through BALTA research. See: <http://communityrenewal.ca/>

Section D – Anticipated Changes to Existing Terms of Reference (TORs)

The BALTA steering committee developed TORs describing the roles and responsibilities for various structures and participants in BALTA's research partnership (see Appendix 1 re Terms of Reference for BALTA Participants and Appendix 2 re BALTA Steering Committee Terms of Reference). If this new project is approved, it will require some adjustments to the BALTA structure and roles to reflect lessons learned over the past five years. The TORs would be modified to reflect these changes, including:

- **Lead Applicant and Principal Investigator** – This would be revised to include the four co-leads and their functioning jointly and with equal authority as a management committee. The administering organization would also change to Athabasca University to ensure depth of administrative support and this would also include having the Athabasca University based co-lead serving as a co-managing co-lead to facilitate management and administrative support.
- **Steering Committee** – Roles and responsibilities would remain similar. The membership section would be revised to reflect the four co-leads and several other partner representatives.
- **Research Clusters** – The old BALTA research clusters would no longer function. New clusters would be developed as part of the new partnership and research foci. As this is a development project rather than the future major research program itself, the roles and functions of the research clusters would be different at this stage, focusing on input into the design and development of the future research program and related knowledge mobilization. Any implementation role would involve input into and oversight of contributory research and related design processes that are part of building the long term research program and partner identification relevant to carrying it out.

Appendix 1

Current Terms of Reference for BALTA Participants

Policy Synopsis

The roles and expectations of the various types of BALTA participant and structure are explained, including: Principal Investigator; Co-Investigator; Participant Collaborator; Advisory Collaborator; Student; Staff; SERC (Social Economy Research Cluster); and SERC Co-Chair. Terms of reference for other structures, the Steering Committee and Advisory Council, are contained in separate documents.

Preamble – The Context

The principal funding for the BALTA Research Alliance is provided by the Social Sciences and Humanities Research Council of Canada. BALTA is evolving a structure, with associated roles and responsibilities, that addresses BALTA's needs as well as SSHRC's requirements. This structure consists of six types of participant and three principal types of sub-structure.

Types of Participant:

- Lead Applicant and Principal Investigator
- Co-Investigator
- Participant Collaborator
- Advisory Collaborator
- Student
- Staff

Types of Sub-Structure:

- Social Economy Research Cluster (SERC)
 - SERC 1 – Social Enterprise in Human Services and Affordable Housing
 - SERC 2 – The Social Economy in Rural Revitalization and Development
 - SERC 3 – Analysis, Evaluation and Infrastructure Development
- Advisory Council
- Steering Committee

Terms of reference for the BALTA Steering Committee is in a separate document. Terms of reference for the six types of participant and for the SERCs, as well as the SERC co-chairs are detailed below.

SSHRC views all collaborators as essentially arms-length advisors and does not distinguish between different types of collaborator. However, BALTA sees substantial value in a class of collaborator that plays a more direct and ongoing role within BALTA, participating actively within the SERCs and contributing to the ongoing shaping of BALTA's research priorities and approaches, while not necessarily taking on the substantial direct research/management role of a Co-Investigator. This group of Participant Collaborators is at present the single largest group of participants within BALTA, though over time the number of Co-Investigators will increase significantly, including through the shift of some Participant Collaborators to Co-Investigators.

There is also a more informal structure that is beginning to evolve within part of BALTA, a regional caucus of BALTA members within a region/province. Currently existing only in Alberta, this group meets occasionally to discuss BALTA matters from a regional perspective and considers how to develop

and strengthen the BALTA network and BALTA's research agenda within the region. At this point, this structure has no formal organization, defined mandate or terms of reference, though this could change if appropriate at some future point. Nonetheless it should be recognized as an emerging entity, albeit informal.

Terms of Reference for Lead Applicant & Principal Investigator

The Lead Applicant (Mike Lewis) and his organization, the Canadian Centre for Community Renewal, submitted the proposal for BALTA to the Social Sciences & Humanities Research Council of Canada (SSHRC) and Mike Lewis was approved by SSHRC as the Lead Applicant & Principal Investigator and recipient of SSHRC funding to implement the BALTA Research Alliance project. Under SSHRC's policies and the terms of funding, SSHRC ultimately holds the Principal Investigator solely and legally responsible for BALTA and all aspects of its operations/finances. In SSHRC's view, the Principal Investigator can delegate specific responsibilities to other BALTA participants and structures, but SSHRC still insists that the Principal Investigator personally approve and sign off on all BALTA decisions and actions. It also holds the Principal Investigator personally responsible for all decisions made.

In practice, the Principal Investigator has chosen to share significant responsibility and decision making authority with other participants in BALTA, especially the Steering Committee. Working with the Steering Committee, the Principal Investigator provides leadership and strategic direction to the BALTA research framework and operational policies. He also serves ex officio on other SERCs and the BALTA Advisory Council.

While the Principal Investigator is committed to sharing responsibility and decision making authority, it needs to be recognized that the Lead Applicant, under the terms of SSHRC's funding, has final say on BALTA decisions and can veto or refuse to implement any decision that, in his opinion, would present a risk to himself or CCCR. The Principal Investigator agrees to not exercise this authority lightly or arbitrarily.

The Principal Investigator also manages the operations of BALTA and supervises the BALTA Coordinator (staff).

Terms of Reference for Co-Investigators

Co-Investigators (also known by SSHRC as co-applicants) are BALTA members who play a substantial role, over an extended period of time, in implementing and/or managing the BALTA Research Alliance and/or specific BALTA research activities. Co-Investigators can be both academics and practitioners. Co-Investigators will play a substantial role in at least one of the following areas of responsibility, often in several areas at the same time:

- Serving as a member of the Steering Committee and/or as co-chair of a SERC;
- Leading and facilitating/managing a specific research area or program under BALTA's auspices;
- Leading or playing a substantial direct role in implementing one or more research projects/initiatives of significant duration;
- Directly supervising students involved in research projects/activities of significant duration.

Co-Investigators can receive SSHRC financial support for research activities as well as for travel expenses to attend BALTA meetings, though the level of support is limited by the modest financial

resources available to BALTA. Co-Investigators will in many cases play a role in bringing additional resources (of various types) to BALTA and/or in assisting BALTA to fundraise or secure additional resources.

A Co-Investigator may, at some stages, take a less active role in BALTA and still retain Co-Investigator status as long as s/he remains committed to the possibility of resuming a more active role at some future point in BALTA's activities.

Terms of Reference for Participant Collaborators

Participant Collaborators play an active and ongoing role within BALTA and a specific SERC. Working with other SERC members they help set priorities and design annual plans as well as monitor research projects and participate in synthesis of research results. Through the BALTA Annual Forum, they also participate in designing BALTA's overall research priorities and cross-cutting projects and activities. Participant Collaborators participate actively and regularly in meetings of the SERC. They include both academics and practitioners and perform a critical role in ensuring broad practitioner and academic input into BALTA's research agenda and programs.

Participant Collaborators are not expected to necessarily be directly involved in implementing specific research initiatives, though this may happen in some cases at the discretion of the individual collaborator. Where Participant Collaborators agree to take on a more substantial research role, a shift in their status to Co-Investigator will be considered by the Steering Committee and the Lead Applicant, although it is not a pre-requisite.

Participant Collaborators can receive SSHRC financial support to attend BALTA meetings, but cannot receive financial support for research activities.

A Participant Collaborator may, at some stages, take a less active role in BALTA and still retain collaborator status as long as s/he remains committed to the possibility of resuming a more active role at some future point.

Terms of Reference for Advisory Collaborators

Like Participant Collaborators, Advisory Collaborators are members of a specific SERC and play a role in contributing to the shaping of the SERC's research. However, Advisory Collaborators do not necessarily participate actively and regularly in the meetings and work of the SERCs. They are people with significant experience of relevance to BALTA's work and are available, on an occasional basis, to provide advice and input to BALTA's planning. They may also play a role in helping BALTA to synthesize and disseminate the results of BALTA's research. Advisory Collaborators can include a mix of academics and practitioners.

Advisory Collaborators can receive SSHRC financial support to attend BALTA meetings, if and when relevant, but cannot receive financial support for research activities.

Terms of Reference for Students

Students are viewed by SSHRC as learners who become involved in the project and specific research activities, assisting co-investigators to implement the research, in order to further their education and enhance their research skills. BALTA views students in a similar light, but also as a valued resource in enabling BALTA to implement specific research projects/initiatives. Students will generally become

involved with BALTA in a time limited capacity through engagement with a specific research project. In a few cases, students may participate in BALTA on a longer term, more integrated basis, and can in some cases become active on an ongoing basis within a SERC. There is also provision for one student representative to be appointed to the BALTA Steering Committee.

Students involved in a BALTA project can receive financial assistance for research activities and for travel expenses to attend relevant BALTA meetings.

See BALTA's Student Recruitment and Management Policies and Procedures for further guidance on the role of students within BALTA and BALTA research projects.

Terms of Reference for Staff

Staff perform a support role in BALTA, performing various administrative, facilitation, coordination and management support roles. Their role is not to implement research, but to facilitate and enable such research through the support roles they play. Staff include one full time coordinator and two part time staff, a financial administrator and a support position which has varied in function over the course of BALTA. Specific roles and responsibilities of staff are detailed in the job descriptions for each position.

Since 2009, a student has also been employed in a para-staff role as Student Program Coordinator.

Terms of Reference for Research Clusters (SERCs)

The SERCs play a strategic role in directing, planning, implementing and evaluating BALTA's research agenda, programs and specific projects/activities. SERCs will also play a key role in synthesizing and disseminating research results. While this role is governed by the BALTA research framework set out by the Steering Committee and the Principal Investigator, each SERC will have a specific, albeit broad, research mandate and will itself determine specific research foci and priorities. These will be integrated into an annual plan. Input from the Steering Committee and the BALTA Annual Forum will be considered by SERCs as they undertake their work. Once plans are approved, each SERC will approve specific research projects and activities, allocate their budget, monitor progress and evaluate results. Each SERC is responsible to ensure, with support from assigned staff, that supervision of students is responsibly structured and executed. In some instances, specific SERC members will assume responsibility for the implementation of research projects/activities and supervision of students involved in those projects.

The approval of annual plans by the Steering Committee is to ensure coherence of research plans with BALTA's strategic research mandate, aims and priorities (see BALTA's Policy on Development and Approval of SERC Workplans for further information). Ratification will include approval of specific resources for the SERCs work. Once workplans are approved, SERCs will have reasonably wide discretion and authority to implement specific research plans without seeking further Steering Committee approval, although adherence to relevant policies is required.

Each SERC includes a mixture of participants, both academic and practitioner. The aim is to have a balance, an objective that may need attention over the balance of year one and into year two. It also includes a mix of co-investigators, participant collaborators and advisory collaborators. SERCs may identify needs for additional SERC members and can propose specific additional members to the Steering Committee who, along with the Principal Investigator, may also suggest additions. Most new SERC members will be added, at least initially, as collaborators, but they can be added as co-

investigators where appropriate. See BALTA's Policy on Addition and Removal of SERC Members for further information.

Three SERCs have been established as follows. Further SERCs could be established, but only with approval of the Steering Committee and the Principal Investigator. Such a decision will not be taken lightly given BALTA's limited and already overstretched resources.

SERC 1 – Social Enterprise in Human Services and Affordable Housing

SERC 2 – The Social Economy in Rural Revitalization and Development

SERC 3 – Analysis, Evaluation and Infrastructure Development

Terms of Reference for SERC Co-Chairs

Each SERC will have two co-chairs, who are responsible for leading the SERC, facilitating the work of the SERC and chairing SERC meetings. Co-Chairs will play a key role in ensuring adequate and appropriate representation on the SERC to achieve the SERCs mandate and will be responsible for submitting to the Steering Committee proposals for additions and removals from the SERC's membership, as well as changes in the status of SERC members from collaborator to co-investigator.

With the support of appropriate BALTA staff, the co-chairs will be responsible for scheduling SERC meetings, preparing agendas, ensuring preparation of any advance documentation and minutes of meetings, and ensuring appropriate follow-up to meetings.

The co-chairs will also play a key role, with staff support, in ensuring the effective monitoring, evaluation, reporting and dissemination of research activities and results initiated under the auspices of that SERC.

Appendix 2

Current Terms of Reference for the BALTA Steering Committee

Policy Synopsis

The roles and responsibilities of the committee are explained. Guidelines for membership and the current committee's membership are presented. The plan for meetings is explained.

Roles and Responsibilities of the Committee

The Committee serves as the steering and main strategic decision making body for the BALTA Research Alliance. It also serves a key role in ensuring coherence of the research effort and synthesis of research results. The Committee will have the following roles and responsibilities:

1. To provide direction and coordination to the development of strategic research priorities, the research framework/methodology, the annual BALTA plan, operational strategic plans (eg. communications, monitoring and evaluation) and to approve annual and strategic plans;
2. To review and comment on the plans and major research projects presented by each SERC to promote coherence of the overall research effort, and to ratify SERC annual workplans;
3. To provide oversight to cross-cutting research that does not fall solely under the mandate of a single SERC (eg. mapping);
4. To provide input into budgeting and to approve BALTA budgets;
5. To annually adjudicate and approve allocation of funds to SERCs based on their approved plans;
6. To provide an ongoing synthesis function, which in turn will feed into ongoing planning of research priorities;
7. To play a role in monitoring and assessing the work of the BALTA Research Alliance;
8. To monitor issues that may emerge during the course of BALTA's development and operations and to make decisions on how to address such issues;
9. To provide input into and approval of BALTA operational policies.

It is recognized that, under the terms of BALTA's funding from the Social Sciences & Humanities Research Council of Canada (SSHRC), SSHRC ultimately holds the Principal Investigator and his organization, the Canadian Centre for Community Renewal, solely responsible legally for BALTA and its operations/finances. Therefore, it is acknowledged that the Principal Investigator must have the right to veto or refuse to implement any decision of the Steering Committee that, in his opinion, would present a risk to himself or CCCR. The Principal Investigator agrees to not exercise this right arbitrarily.

Committee Membership

The Committee consists of the Principal Investigator (Mike Lewis) and several other BALTA Project co-investigators. Appointments to the Committee can be proposed by one or more existing committee members to the Principal Investigator for consideration. In considering appointments, the first consideration is the intellectual value added that may be brought by a new Committee member. However, in consultation with the Committee, an attempt will be made to reflect the mandate and diversity of BALTA with respect to geography, academic/practitioner balance, gender, etc. It is recognized that the Committee will never be enlarged by numerous people, due in part to budget constraints. To be appointed to the Committee, a person must be a BALTA Project co-investigator (i.e.

either someone who has been serving as a co-investigator or who is appointed a co-investigator at the same time as s/he is appointed to the Steering Committee). (NB: Not all co-investigators will necessarily also be members of the Steering Committee.) The Steering Committee also includes a student representative.

Plan of Committee Meetings

The Committee will meet as often as necessary to fulfill its mandate and address pending business. It is anticipated that, in the first two years, the Committee will likely meet 10-12 times per year, with most of those meetings by conference call.



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Internal use	CID (if known)
602152	124758

Identification

Only the information in the Name section will be made available to selection committee members and external assessors. Citizenship and Statistical and Administrative Information will be used by SSHRC for administrative and statistical purposes only. Filling out the statistical and Administrative Information section is optional.

Name

Family name	Given name	Initials	Title
Lewis	Michael	T	Mr.

Citizenship - Applicants and co-applicants must indicate their citizenship status by checking and answering the applicable questions.

Citizenship status	<input checked="" type="radio"/> Canadian	<input type="radio"/> Permanent resident since (yyyy/mm/dd)	<input type="radio"/> Other (country)	Have you applied for permanent residency?
				<input type="radio"/> Yes <input type="radio"/> No

Statistical and Administrative Information

Birth year	Gender	Permanent postal code in Canada (i.e. K2P1G4)	Correspondence language	Previous contact with SSHRC? (i.e. applicant, assessor, etc.)
1952	<input type="radio"/> F <input checked="" type="radio"/> M	V6R2G5	<input checked="" type="radio"/> English <input type="radio"/> French	<input type="radio"/> Yes <input checked="" type="radio"/> No

Full name used during previous contact, if different from above

Contact Information

The following information will help us to contact you more rapidly. Secondary information will not be released by SSHRC without your express consent.

Primary telephone number				Secondary telephone number			
Country code	Area code	Number	Extension	Country code	Area code	Number	Extension
	604	828-1064					
Primary fax number				Secondary fax number			
Country code	Area code	Number	Extension	Country code	Area code	Number	Extension
Primary E-mail							
ccelewis@xplornet.com							
Secondary E-mail							

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Identification

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Checked

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2011/11/30

Canada



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Family name, Given name

Lewis, Michael

Current Address Use only if you are not affiliated with a department at a Canadian university. (If you are affiliated with a department at a Canadian university, the department's mailing address will be used.) If you wish to use another address, specify it under the Correspondence Address.			Correspondence Address Complete this section if you wish your correspondence to be sent to an address other than your current address.		
Address PO Box 1161			Address 206-3727 West 10th		
Station A					
City/Municipality Port Alberni	Prov. / State BC	Postal/Zip code V9Y7M1	City/Municipality Vancouver	Prov. / State BC	Postal/Zip code V6R2G5
Country CANADA			Country CANADA		
Temporary Address If providing a temporary address, phone number and/or E-mail, ensure that you enter the effective dates.			Permanent Address in CANADA		
Address			Address		
City/Municipality	Prov./ State		City/Municipality	Prov./ State	Postal/Zip code
Country			Country		
Start date (yyyy/mm/dd)	End date (yyyy/mm/dd)		Temporary telephone/fax number		
			Country code	Area code	Number Extension
Temporary E-mail					



Family name, Given name

Lewis, Michael

Research Expertise (optional)

The information provided in this section refers to your own research expertise, not to a research proposal. Filling out the following 4 sections is optional. This page will not be seen by selection committee members and external assessors. This section will be used for planning and evaluating programs, producing statistics, and selecting external assessors and committee members.

Areas of Research

Indicate and rank up to 3 areas of research that best correspond to your research interests as well as areas where your research interests would apply. Duplicate entries are not permitted.

Rank	Code	Area
1	131	Economic and Regional Development
2	180	Environment and Sustainability
3	240	Indigenous peoples

Temporal Periods

If applicable, indicate up to 2 historical periods covered by your research interests.

From				To			
Year		BC	AD	Year		BC	AD
_____		<input type="radio"/>	<input type="radio"/>	_____		<input type="radio"/>	<input type="radio"/>
_____		<input type="radio"/>	<input type="radio"/>	_____		<input type="radio"/>	<input type="radio"/>

Geographical Regions

If applicable, indicate and rank up to 3 geographical regions covered by your research interests. Duplicate entries are not permitted.

Rank	Code	Region
1	1130	Western Canada
2	3200	Western Europe
3	1140	Northern Canada

Countries

If applicable, indicate and rank up to 5 countries covered by your research interests. Duplicate entries are not permitted.

Rank	Code	Countries	Prov./State
1	1100	CANADA	
2	1200	UNITED STATES	
3	3225	UNITED KINGDOM	
4	3107	SWEDEN	
5	6203	JAPAN	



Family name, Given name

Lewis, Michael

Curriculum Vitae

Language Proficiency

	Read	Write	Speak	Comprehend aurally	Other languages
English	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	German, Spanish
French	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

Work Experience

List the positions, academic and non-academic, you have held beginning with the current position and all previous positions in reverse chronological order, based on the start year.

Current position				Start date (yyyy/mm)	
Executive Director				1977/1	
Org. code		Full organization name			
1		Canadian Center for Community Renewal			
Department/Division name					
Not Applicable					
Position type		<input type="radio"/> Tenured <input type="radio"/> Non-tenure <input type="radio"/> Tenure-track <input checked="" type="radio"/> Non-academic		Employment status <input checked="" type="radio"/> Full-time <input type="radio"/> Part-time <input type="radio"/> Non-salaried <input type="radio"/> Leave of absence	
Position				Start date (yyyy/mm)	End date (yyyy/mm)
President				1999/1	2007/7
Org. code		Full organization name			
1		Hecate Logging Lts & Maquinna AirCrane Ltd			
Department/Division name					
N/A					
Position				Start date (yyyy/mm)	End date (yyyy/mm)
Chair of National Policy Committee				1999/1	2004/12
Org. code		Full organization name			
1		Canadian CED Network			
Department/division name					
Not Applicable					
Position				Start date (yyyy/mm)	End date (yyyy/mm)
Editor				1988/1	2010/12
Org. code		Full organization name			
1		Canadian Centre for Community Renewal			
Department/Division name					
Making Waves : Canada's CED Magazine					

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Family name, Given name

Lewis, Michael

Academic Background

List up to 5 degrees, beginning with the highest degree first and all others in reverse chronological order, based on the start date.

Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
BA Hon.	Bachelor of Social Work	1970/09		1975/09
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
63200	Social Work	<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
1480211	University of Calgary			
Country CANADA				
Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
		<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
Country				
Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
		<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
Country				
Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
		<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
Country				
Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
		<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
Country				
Degree type	Degree name	Start date (yyyy/mm)	Expected date (yyyy/mm)	Awarded date (yyyy/mm)
Disc. code	Discipline	Did SSHRC support enable you to get this degree?		
		<input type="radio"/> Yes <input type="radio"/> No		
Org. code	Organization			
Country				

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Family name, Given name

Lewis, Michael

Credentials

List up to 6 licences, professional designations, awards and distinctions you have received and feel would be the most pertinent to the adjudication of your application. List them in reverse chronological order, based on the year awarded.

Category	Name	Source or Country	Duration (Months)	Value / Year awarded

Research Expertise

The information provided in this section refers to your own research expertise, not to a research proposal.

Keywords

List keywords that best describe your areas of research expertise. Separate keywords with a semicolon.

community economic development; development finance; community development;; indigenous development, sustainable development,

Disciplines

Indicate and rank up to 5 disciplines that best correspond to your research interests. Duplicate entries are not permitted.

Rank	Code	Discipline	If Other, specify
1	61021	Economic Development, Technological Change and Growth	
2	63204	Community Development	
3	61024	Urban, Rural and Regional Economics	
4	61202	Adult, Continuing, Community Education	
5	61410	Rural Planning	

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Family name, Given name

Lewis, Michael

Funded Research

List up to 8 grants or contracts you have received from SSHRC or other sources. List them in reverse chronological order, based on the year awarded. If you are not the applicant (principal investigator), specify that persons' name.

Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	Federal Rural Secretariat, FEDNOR & Trillium	2006	\$1,500,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	Creating Community Wealth: The Development Wheel Project		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
3010325	Social Sciences and Humanities Research Council of Canada	2006	\$1,750,000
Role	Applicant	Completion status	<input type="checkbox"/> Complete
Project title	The Social Economy in B.C. and Alberta: Strengthening the Foundations for Growth		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	Rural Secretariat and Western Economic Diversifications	2004	\$25,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	Sustainable Livelihoods		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	Indian and Northern Affairs	2002	\$25,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	Performance Measurement, Development Indicators and Aboriginal Economic Development		
Applicant's family name	Applicant's given name	Initials	

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Lewis, Michael

Funded Research (cont'd)

Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	B.C. Ministry of Community Development	1999	\$50,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	The Oregon Benchmarks: Changing Systems by Stealth		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	Indian and Northern Affairs	1998	\$60,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	Community Economic Development in the High Arctic: Progress and Prospects		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	Forest Renewal British Columbia	1998	\$350,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	Community Resilience Manual		
Applicant's family name	Applicant's given name	Initials	
Org. code	Full name of funding organization	Year awarded (yyyy)	Total amount (CAN\$)
1	National Welfare Grants	1991	\$250,000
Role	Applicant	Completion status	<input checked="" type="checkbox"/> Complete
Project title	URBAN Community Economic Development in Canada		
Applicant's family name	Applicant's given name	Initials	

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Books

Building Community Wealth : A Resource for Social Enterprise Development, Mike Lewis, 2006, Canadian Centre for Community Renewal, available on line at www.cedworks.com

* **North American reader on CED and the Social Economy** Lewis, Mike (Ed.) (2007a).. Athabasca University Digital Reading Room <http://library.athabascau.ca/drr/view.php?course=sshrc&id=641>

Aboriginal Mining Guide: How to Negotiate Lasting Benefits for your Community, Mike Lewis, SJ Brocklehurst, 2009, www.miningguide.ca

***The Resilience Imperative: Cooperative Transitions to a Steady State Economy**, Mike Lewis, Pat Conaty, spring 2012 publication date, New Society Publishers (400 pages estimated)

Chapters

* Lewis, Mike and Swinney, Dan (2008a). Social economy & solidarity economy: Transformative concepts for unprecedented times. In Jenna Allard, Carl Davidson, and Julie Matthaei (Eds.).

Solidarity economy: building alternatives for people and planet. Changemaker Publications, Chicago.

* Lewis, Mike (2008b). Die Solidarische Okonomie in Nordamerika. In *Solidarische okonomie im globalisierten kapitalismus*. VSA Verlag, St Georgs Kirchhof, Hamburg, Germany

* Lewis, Mike (February 2010) opening chapter in “Cooperatives and Citizens Revitalizing the Communities” published by the Policy Research Institute for the Civil Sector, Japan based on *

*Lewis, M (2007). Translated into (Japanese) *Constructing a sustainable future: Exploring the strategic relevance of social and solidarity economy frameworks*;

Articles

* Lewis, Mike and Swinney, Dan (2007b). Social economy & solidarity economy: Transformative concepts for unprecedented times?

* Lewis, Mike, 2011, June. Kirklees U.K.: An Area Based Approach to energy efficiency, housing affordability and jobs, i4 e-journal

* Conaty, Pat, Lewis, Mike, Nov 2011 Affordability Locked In: Community Land Trusts – Good News for Households, Communities and Taxpayers i4 e-journal

* Lewis, Mike & Conaty, Pat, Nov 2011 The Best of Three Worlds: Mutual Home Ownership combines housing affordability with equity and fairness

Reports, Policy Papers, Lectures, Conferences

*Lewis, Mike (2006). *Mapping the social economy in B.C. and Alberta: towards a strategic approach*. BALTA Research Alliance on the Social Economy.

*Lewis, Mike and Gismondi, Michael (2006). *Building a social economy research platform: towards a strategic decision making approach within the B.C.-Alberta Social Economy Research Alliance (BALTA)*. BALTA Research Alliance on the Social Economy. (Lewis – lead author)

*Lewis, Mike (2007). *Constructing a sustainable future: Exploring the strategic relevance of social and solidarity economy frameworks*. BALTA Working Paper Series. B.C.-Alberta Research Alliance on the Social Economy

- *Lewis, Mike and Dan Swinney (2007). *Social economy? Solidarity economy? Exploring the implications of conceptual nuance for acting in a volatile world*. BALTA Working Paper Series. B.C.-Alberta Research Alliance on the Social Economy (Lewis – lead author)
- Lewis, M, Colussi M, Cote, E (2008) *Creating Community Wealth: The Development Wheel Project - Innovation at Work Adapting a CED Planning Tool to Advance Social Enterprise in British Columbia and Francophone Ontario* on www.cedworks.com funded by Rural Secretariat, FedNor and Trillium Foundation (Lewis, director, co-author, co editor)
- *Lewis, Mike and Conaty, Patrick (2009) *The Great Transition: Navigating Social, Economic, Ecological Change in Turbulent Times* Prepared for International Conference of CIRIEC, subsequently translated into Swedish, French and Spanish (6000 downloads from SCRIBD (Lewis – Co-author)
- Zapisocky, Melissa and Lewis Mike (2010) *Strengthening Yukon Local Food: A Research Report*, prepared for multi-stakeholder group of producers, consumer, researchers and government officials. (Lewis co-author)
- *(2007). *Social economy & solidarity economy: Transformative concepts for unprecedented times?* Presented at the First International CIRIEC Conference on the Social Economy, Victoria, British Columbia.
- *(2008). *Policy categorization framework draft*. Presented at the Canadian Community Economic Development Network, Saskatoon, Saskatchewan.
- *(2008, July). *Sustainable community action: Lessons from international experience*. Presented at Sustainable Community and Co-operative Action Conference, Newtown, Wales.
- *(2008, July). *University and community partnerships for regional self-reliance*. Presented at the roundtable at Sustainable Community and Co-operative Action Conference. Newtown, Wales
- *(2009 September) *SEE Change: Navigating the Troubled Water Ahead* Opening of Fall Lecture Series, B.C. Institute for Cooperative Studies, University of Victoria
- *(2009 October) *The Great Transition: Navigating Social, Economic, Ecological Change in Turbulent Times* at the 2nd International CIRIEC Conference on the Social Economy, Ostersund Sweden followed by 6 other public seminars in various parts of Sweden
- (2010 Calgary June) *Global Perspectives on Cities and Towns in Transition* at the Cities and Towns in Transition Conference organized by the University of Calgary and Sustainable Calgary.
- (2010, November) *Territorial Development, the Social Economy and Transition* Presented to Pacte Locaux gathering of European Networks, Brussels, Belgium
- *(2010, November) *Territorial Development : Lessons from Canadian Best Practice for Community Transition* Seminar organized by Coop UK and Coop Housing UK
- *(2011, July) *Cooperation and Reinventing the Garden City* Seminar organized by the Co-op UK

2. Other Research Contributions

Mike Lewis led the formation of the Canadian Community Economic Development Network (CCEDNet) and was the founding chair of the National Policy Council from 1999 to May 2004. This included leading the process of research and consultation that resulted in a draft national policy framework, five regional consultations across Canada, subsequent analysis and production of several background papers, several written by Mike. These were debated at the first National policy Forum of CCEDNet which Mike chaired (March 2001). This work had a major impact on the policy and programs of the Manitoba government, has influenced the Nova Scotia government and more recently, is being drawn on as part of an overall effort to influence Federal parties.

In the context of his role as a consultant and technical assistance provider, Mike has facilitated action research and development activities that have been subject to analysis and publication by others, primarily as a way of documenting practices that were successfully organizing and empowering communities to establish development capacity relevant to improvement of their social and economic circumstances.

3. Most Significant Career Research Contributions

In 1999, the Centre for Community Enterprise was commissioned to design a tool capable of facilitating cost efficient rural community assessment and priority decision making. Over a period of 20 months, Mike led and managed a highly experienced team of researchers and practitioners and facilitated a multi-community and institutional advisory committee to produce the Community Resilience Manual (CRM) (see www.cedworks.com). The work led to the definition of 23 characteristics of highly resilient communities upon which we designed over 60 indicators for their measurement. These were tested in six rural communities in B.C., out of which a manual was developed and subsequently applied in a many other communities. The CRM has been adapted for applications in Australia, Britain, New Zealand and in Botswana with the Government of Botswana and UN Development Program. It was recognized by the National Round Table on the Environment and Economy as a key contribution to the field sustainable community development.

As the lead investigator of BALTA since 2006 I have had the privilege of both leading what has become an effective research partnership and active engagement in research. The collaboration with a fellow practitioner Pat Conaty, senior fellow with the New Economics Foundation in the U.K., in researching and writing 'The Resilience Imperative: Cooperative Transitions to a Steady State Economy' has been landmark in my career as a practitioner, thinker, researcher and writer. Due to be published in the late spring of 2012 it is already shaping multiple agendas and being mobilized around by the Canadian Centre for Community Renewal through the networks it is associated with, including being an important contribution to the Partnership Development Grant proposal. Within CCCR plans are underway to create the basis for building an integrated approach to leveraging the intellectual capital built through this research, in particular through training and adaptation of the innovations into the Canadian context.

4. Career Interruptions and Special Circumstances

Mikes contributions have been primarily due to the mandate of CCCR over the last 34 years. He is not a "regular scholar"; rather he is known as a continuous learner, a codifier of practice based, empirical knowledge and a communicator of the same to a broad cross-section of audiences. Much of his record of research and publication must therefore be viewed as but one part of a much wider range of professional roles assumed as a leader in the fields of CED and Social Economy in Canada and internationally.

5. Contributions to Training

Short-Term Workshops (1-5 days) -These have included the following products, each of which have a book (90-120 pages) and facilitator's manual: *The Development Wheel: Community Analysis and Development Planning*; *Strategic Planning for the CED Practitioner*; *Development Corporation Basics*; *Venture Development Basics*; *Aboriginal Joint Ventures: Negotiating Successful Partnerships*, *Creating Community Wealth*. All can be viewed at www.cedworks.com. The books have been used in

hundreds of trainings, and in a range of college and university programs in Canada and in the Masters of Science in CED at Southern New Hampshire University.

Certificate program - In 2003 and 2004 Mike managed a team that wrote a detailed 8-course curriculum for Boreal College, a francophone college located in Ontario. He was the sole author of three of the courses, which included detailed student and instructor's guides, and managed the quality control function for the rest of the team. The final product had 35 subject matter documents. The first cohort was recruited for September 2005.

Diploma program -From 1989 to 1993, Mike developed several courses for the Nicola Valley Institute of Technology and supervised others in CCE who also were involved in course development. This is an aboriginal college that continues to offer a 20-course college diploma in CED. Mike and his team developed 10 other courses and assisted in their delivery during the first several years.

Undergraduate Program -Mike assisted in the design of two courses in the Algoma University college undergraduate degree in Community Economic and Social Development.

***Masters program** - CCCR, under Mike's direction, successfully helped launch a Masters Program in Community Development at the University of Victoria. The first cohort began in 2010. Mike was the key note speaker at its launch. SSHRC indirectly supported putting this program in Place.

Relevant Experience

Lewis, Michael

Mike's first community organizing job was at the age of 17 in an aboriginal community. At the age of 20 he was asked by the Nuu-Chah-Nulth people on the west coast of Vancouver Island to be the executive director of the first Tribal Council in Canada to shut down Indian Affairs. By the time he was 21, he had a 35-person staff organization and a \$2 million budget under his direction. Within this role he was introduced to a myriad of issues related to economic and social development, education, local government, community planning, fisheries, forestry, housing etc, all of which were central to the work of the tribal council and of crucial importance to its 14 communities. Subsequently, Mike worked in a remote Indian community to help organize a logging cooperative and then in another to solve problems related to a housing development gone sideways.

It was this formative period, buttressed by a deepening commitment to the social gospel which shaped much of what evolved into an unconventional career path marked by his leadership in starting and building organizations and networks focused on progressive social change. From the mid-1970s to the mid 1980s, primarily as a volunteer, Mike chaired a variety of posts in the United Church of Canada – B.C. Commission on Social and Political Issues, the Uranium Working Group (intervener in the Bates Inquiry), General Council Committee on Science and Ethics, National Working Group on the Economy and the National Committee on International Affairs. Ecumenically Mike also gave leadership, notably related to organizing against the McKenzie Valley Pipeline, founding co-chair of the Christian Task Force on Central America and delegate to the Policy Committee of the World Council of Churches.

In 1975, the first conference of the World Council of Indigenous People was held in Port Alberni, a town on the west coast of Vancouver Island where Mike resided for 34 years. Subsequent work with Latin American delegations (Bolivia) on human rights motivated the founding of the business which Mike still runs. Profits generated from its activities were used to support the ongoing human rights work for several years. Today they are used to support activities that include BALTA and the i4 e-journal

Since 1977, Mike Lewis has founded and managed a number of organizations that have succeeded each other, all of which have been integrally involved in community economic development (CED), community resource management, development finance and social economy initiatives. He is a well-known author in the field, having authored or co-authored 13 books and a large number of reports and chapters, as well as over 70 articles in *Making Waves*, Canada's CED Magazine, and several in other publications. He is also the editor of *Making Waves*, recently replaced by the new e-journal i-4 in which he is a regular contributor.

Mike is the executive director of the Canadian Center for Community Renewal, a non-profit social enterprise that has a 33 year history (although under different names) Historically CCCR financed research and projects in community and economic development based. In the last several years this work continues but with a focus on creating greater community and regional self-reliance in food, energy, shelter, finance and democratic and collaborative ownership models. Since 2005 one of CCCR's projects has seen him playing the role of lead investigator for the SSHRC funded BC-Alberta Social Economy Research Alliance, the only practitioner led research node in Canada funded under the Social Economy Suite.

Mike played a central leadership role in the organizing and founding of the Canadian CED Network and was the first chair of the National Policy Council (1999). He concluded his term in May 2004 but remained a very active supporter of its ongoing development as a vehicle for scaling up best practices in Canada and advocating more relevant and effective policy at various levels of government. From 2002-2005 Mike was a founding board member of the Intercontinental Network for the Promotion of the Social Solidarity Economy, and chaired the Conference Program Committee for the major international conference held in Dakar, Senegal (2005) that brought together 1200 people from 65 countries. More recently he helped organize and co-chaired *The National Summit on a People Centered Economy* held in Ottawa, June 2010

Mike speaks across Canada and internationally to a wide variety of constituencies and has worked with a wide range of organizations and initiatives. In terms of consulting, Mike has personally worked on and/or directed over 375 projects and initiatives – building CED organizations in urban and rural settings and with First Nations; development finance initiatives with several credit unions; a wide range of applied research projects; CED planning; entrepreneurial training and development (CCCR in a 10 year period helped start 1200 new business in Vancouver) ; venture development; joint venture negotiation; curriculum development related to the CED field and a range of assignments related to policy and program development. Clients range from CED organizations, a range of private sector companies; credit unions, universities, First Nations, governments at all levels, social enterprises, non-profits and cooperatives. The size of projects range from small (\$5-\$50,000) to the somewhat larger (\$2 million).

In addition, between 1999 and 2009 Mike was president of two different joint venture companies Hecate Logging Ltd. And Mamook Coulson TFL 54 Ltd., both joint ventures between First Nations and a family company, Coulson Forest Products. Sales of these companies ranged from \$10-15 million annually

This history of activism, organizing, consulting, research, training, entrepreneurship, writing and diverse leadership roles illustrated in Mike's background is strategically important to this SSHRC application, in itself. However, under Mike's leadership the social justice driven practice of CCCR in community based development has evolved into a mission directly relevant to the research proposition being put forward to SSHRC.

“Canadian Centre for Community Renewal is committed to crafting solutions and adaptations to the critical challenges stemming from climate change and peak oil. Our priority is working with communities to increase their resilience, especially their capacity to equitably meet their needs for food, energy, finance, shelter, and sustainable livelihoods. Employing a wide range of organizing, planning and enterprise ownership formats, CCCR emphasizes strengthening the self-reliance of local and regional economies as a key task of transition.”

While this mission is supported by the expertise of Mike and CCCR in community economic development, it is driving a number of new initiatives. A major one, supported by BALTA, CCCR and Mike personally, is the writing of a major book that examines theoretical and practical signposts that illustrate pathways to organizing economic on a more local and regional basis, especially related to land tenure reform, local food, renewable energy, and financial tools for transition. Strategically selected and researched examples from Japan, Canada, U.S, Sweden and England are analyzed from transition and resilience perspectives. In addition, significant analysis is advanced related to federating change and scaling up innovation aimed at low carbon, local economies. This is due to be

published by New Society Publishers in the spring of 2012 and is already creating interest in translation into French, Spanish and Italian, options that will be explored more fully in 2012.

Applied work of CCCR in food (Yukon, Edmonton, Vancouver) and initial forays into community land trusts represent steps to realign CCCR work to its mission. CCCR also sponsored and organized the first Transition Town workshop in Canada in December 2009 and subsequently has two staff that have become the senior trainers in Canada and the group training trainers. We also provide a basic secretariat function to the some 50 communities now involved in Transition Towns in Canada

All of this work is leading to forging of new relationships internationally – Transition U.K., hub of the Transition Town movement; Post Carbon Institute (U.S.); new economics foundation (U.K.), Land Care Institute (New Zealand) etc.

Also important is the investment of CCCR in a new web-site and an electronic journal to replace Making Waves, a popular journal edited by Mike for 21 years. Called **i4**, which stands for innovate, inspire, invent and incite, it is expected that by mid 2012 to have a distribution of 10,000. Aligned with the CCCR mission, the early prototypes have received a positive response. A layered approach to topics flexibly engages the audience as deep as it wishes to go, starting with a 600 word teaser which leads into a 3000-5000 word in depth article, all of which is linked to related articles, videos, podcasts and in depth research relevant to the topic. This capacity is of major importance to the SSHRC proposal being advanced, especially related to dissemination and knowledge mobilization in North America and in key international networks.

Mike currently sits on the Program Committee for the Master Program in Community Development at the University of Victoria, a program he played a central role in designing and launching. He is on the board of the Centre for Co-operative and Community Based Economy. He represents CCCR on the Steering Group that led and is continuing the work of the National Summit on the Peoples Centered Economy which he co-chaired in June 2010. It is made up of most of leaders from major networks across Canada in the CED, Co-operative and Social Economy sectors.

All of this experience, nested as it is in a diverse practice that includes a wide range of projects, including policy and applied research, was critical to the role I played as lead investigator in BALTA. At the outset in B.C. and Alberta there was very limited academic focus within universities on the social economy or community economic development. Many of the people brought together had little if any knowledge of each other. Critical to building an effective long term partnership and an ‘owned’ research agenda was bridging these gaps. I took several steps that were fundamental to the success achieved. First, we invested heavily in the early stages in collective learning, debate and focusing of research priorities. Central to this was coming to an understanding that the ‘community’, in this case a variety of leaders from social economy sector organizations and networks, was the need for university researchers to clearly understand BALTA was not going to be a CURA where the sector participation was relegated to facilitating academic entry into the ‘community’. It was to be an equal partnership, one in which the actors in the field played a significant role in co-constructing the research agenda. This was difficult for some in the academic community who felt their ‘academic freedom’ might be eclipsed and that curiosity research denied. The gap between practitioner interest in ‘relevant’ research that would contribute to the BALTA purpose – strengthening the foundation of the social economy in B.C. and Alberta – and academic understanding of the field and inexperience in this type of partnership, required a lot of discussion and debate. Without this investment BALTA

would not have achieved a key goal, to build a research platform that could in fact become a site for the co-construction and co-production of knowledge.

Second, my insistence on co-leadership (academic and practitioner) of research clusters, which took time to evolve, and the collective approach to decision making at the steering committee created a framework for building trust, ownership and, over time, more effective research. This decentralized but linked and managed approach to continuously trying to build an integrated and coherent approach to research across BALTA created multi-layered opportunities for leadership and engagement.

Third, BALTA benefited significantly from my capacity to leverage the research and publishing program of BALTA into an array of new relationships, some of which are coming into play in this Partnership Development Grant and others that will become the subject of further engagement during its course.

Fourth, CCCR through its staff has managed the overall process and the financial management under my leadership.

Fifth, the body of research I have undertaken personally and with other BALTA collaborators in the U.S. and the U.K represents the largest body of published work (2 books, several chapters and numerous articles) from a single participant in BALTA, all of which has been subject to a range of presentations in settings across Canada and in four European countries.

Based on all this background, the role of lead investigator in this Partnership Development Grant, a much smaller and more discrete project, will leverage my entrepreneurial, networking and research capacity very appropriately. Mike Gismondi and Athabasca University taking the lead institution role represents an important step in consolidating and advancing the original intent of building a sustainable, long term research-practitioner platform. In addition, the evolution of the co-leads to four people, 2 from each province and a balance of experience represent another strategic advance in this regard. It is a core team which has the capacity to recalibrate the partnership base of BALTA and give leadership to the design of an integrated long term research program.