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# **ASSESSMENT OF THE ORGANIZATIONAL AND ADVOCACY CAPACITY OF CIVIL SOCIETY ORGANIZATIONS IN THE KYRGYZ REPUBLIC**

November 2013  
Bishkek, Kyrgyz Republic

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Nicole Farnsworth, an independent consultant contracted by EWMI, led the assessment team, which included two EWMI CGP staff members, Inna Rakhmanova and Nurgul Alybaeva, and two independent Kyrgyz consultants, Cholpon Akmatova and Botogoz Bagyshbaeva. The international consultant wrote the resulting report. She thanks the research team for their hard work and thoughtful input; the CSO representatives who kindly offered their time to participate in the research; and EWMI CGP Chief of Party Lisa Hammond for her ongoing support.

## Acronyms

ACSSC	Association of Civil Society Support Centers
AI	Advocacy Index
CBO	Community Based Organizations
CGP	Collaborative Governance Program
CSO	Civil Society Organization
DCA	Danish Church Aid
EWMI	East-West Management Institute, Inc.
EC/EU	European Commission/European Union
ICCO	Interchurch Organization for Development Cooperation
NGO	Non-governmental Organization
OSCE	Organization for Security and Cooperation in Europe
OSI	Open Society Institute
PU	Public Union
PF	Public Foundation
SDC	Swiss Development Cooperation
USAID	United States Agency for International Development
UNDP	United Nations Development Programme

## Executive Summary

This assessment examined the advocacy and organizational capacities of civil society organizations (CSOs) in the Kyrgyz Republic. It was conducted as part of the Collaborative Governance Program (CGP), a five-year project funded by the United States Agency for International Development (USAID) and implemented by the East-West Management Institute, Inc. (EWMI). The assessment sought to establish a baseline for CGP regarding the capacities of organizations as well as to assist CGP in identifying targeted capacity development interventions for CSOs. Conducted between June and August 2013, the assessment involved in-depth interviews with 60 diverse CSOs throughout the country. The five-member research team used the USAID Advocacy Index (AI) and an Organizational Capacity Index. The findings, presented here, include CSO strengths, weaknesses, and preliminary recommendations to inform future demand-driven EWMI CGP interventions.

Overall, Kyrgyz CSOs have a lower than average (defined as a score of “3”) **Organizational Capacity: 2.71**. Unsurprisingly, organizations in Bishkek and Osh tend to be stronger than those in other regions, while CSOs in Batken are the weakest. Organizations protecting children’s rights tend to be slightly stronger than CSOs addressing other issues. On average, CSOs show one ‘strength’ (score greater than “3”), which is access to office space and equipment.<sup>1</sup> Several CSOs own or use rent-free venues, as well as have sufficient equipment and technology for carrying out their work. CSOs are weakest in service provision, financial viability, and promoting their public image. EWMI can offer capacity development opportunities that twin training with individualized follow-up mentoring for CGP grantees in financial management, public relations, organizational management, strategies for diversifying funding (including social procurement), strategic planning, project design, and monitoring and evaluation.

The **Advocacy Index** score for the CSO cohort is **2.61**. A regional comparison suggests that CSOs in Naryn, Jalalabad, and Osh tend to have stronger advocacy capacities than organizations in Bishkek. Perhaps this can be attributed partially to the fact that, in order to ensure a mixture of regions and levels of experience in the assessment sampling, some stronger Bishkek-based CSOs were not included. A second potential explanation is that CSOs in these regions received substantial international assistance in planning and implementing the advocacy initiatives, which the CGP assessors were then measuring. CSOs operating in Batkan scored very low on the Advocacy Index, suggesting little to no experience or knowledge of advocacy strategies. By targeting this region with capacity development opportunities, EWMI CGP may contribute to substantial improvement.

Organizations focusing on child protection appear to have stronger advocacy capacities than groups dealing with other issues. CSOs working on migrant rights, gender equality, and women’s rights also seem comparatively stronger than, for example, organizations assisting disabled persons or youth. As is uncommon in many countries, but is commonly known in Kyrgyzstan, the assessment team found that women lead the majority of advocacy-oriented organizations.

Overall, the cohort’s relative strengths in advocacy include: identifying timely and significant issues, formulating viable policy positions, and allocating human and financial resources for advocacy. CSOs are weak at follow-up monitoring and strategic planning for advocacy. They can benefit from interactive workshops followed by tailored mentoring on topics such as the advocacy cycle, critical thinking related to advocacy strategies, research methods,

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<sup>1</sup> This may be due to the sampling, as accessing CSOs with no physical presence is challenging.

formulating viable policy positions and presenting them effectively, monitoring and follow-up, better engagement of stakeholders in advocacy, building partnerships and coalitions, involving Board members, diversifying their funding, and reaching out to the public, including via media.

In order to help build organizational and advocacy capacities, EWMI CGP can use a combination of interactive workshops, seminars, follow-up mentoring, experience exchanges, and Learning Circles, tailored to the needs of individual CSOs. These should emphasize critical thinking skills in the context of developing organizational and advocacy strategies.

## Introduction

The East-West Management Institute (EWMI) carried out the *CSO Organizational and Advocacy Capacity Assessment* between June and August 2013, as part of the Collaborative Governance Program (CGP), a five-year project funded by the United States Agency for International Development (USAID).

The assessment served two main purposes. First, it aimed to identify recommendations to inform future demand-driven interventions to advance the capacities of CSOs. Second, it sought to determine baseline scores representing the organizational and advocacy capacities, respectively, of a cross-section of CSOs using EWMI Organizational and Advocacy Capacity Assessment tools. EWMI can use the resulting baseline scores to measure the impact of CGP CSO capacity development assistance over time at the organizational and sector-wide level.

The five-member research team used the USAID Advocacy Index (AI) and an Organizational Capacity Index. The assessment involved in-depth interviews with 60 diverse CSOs throughout the country, selected using variation sampling.<sup>2</sup> On average, interviews lasted three hours. While interviews did not require verification of all information provided, researchers asked a series of questions with sufficient detail to determine with some accuracy the critical advocacy and organizational capacities of organizations, though some questions were more prone to self-perception bias than others. The team enhanced validity via triangulation of researchers, methods, and data sources, as well as review of all scores by an independent foreign expert with experience using these indices elsewhere.

This report has two sections – the first examines the organizational capacity of CSOs and the second reviews CSO advocacy capacities based on specific advocacy initiatives undertaken. Annexes provide additional detail on the methodology, sampling, and findings.

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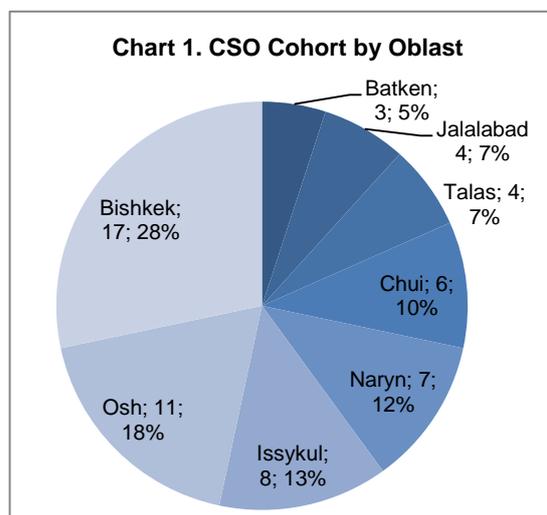
<sup>2</sup> For more information about the methodology, see Annex 10.

## Organizational Capacity of CSOs

This section first summarizes descriptive information about the CSO cohort. It then examines the overall organizational capacity of CSOs. After summarizing the relative strengths and weaknesses of CSOs, the section concludes with potential interventions that EWMI CGP can take to further the organizational capacities of target CSOs.

### About the Organizations

Within the sample, CSOs registered as organizations between 1995 (the oldest CSO interviewed) and 2013, with the average year of registration being 2003. All CSOs had participated in or led at least one advocacy campaign. CSOs had registered as: public unions (33), public foundations (22), and associations (5). The organizations operate in eight oblasts (see Chart 1): Bishkek (28% of interviewed CSOs), Osh (18%), Issykul (13%), Naryn (12%), Chui (10%), Talas (7%), Jalalabad (7%), and Batken (5%).



On average, sampled CSOs employ eight full-time staff members. One CSO had 34 employees and some did not have any paid staff members. Youth lead 13% of sampled CSOs and women lead 63%.<sup>3</sup> Women led the majority of advocacy-oriented CSOs sampled. The Association of Civil Society Support Centers (ACSSC) and RBC Research Group 2013 survey of 850 CSOs found that men led 60% of CSOs. This difference between ACSSC findings and the CGP sample may suggest that women tend to become involved in advocacy more often than men.<sup>4</sup>

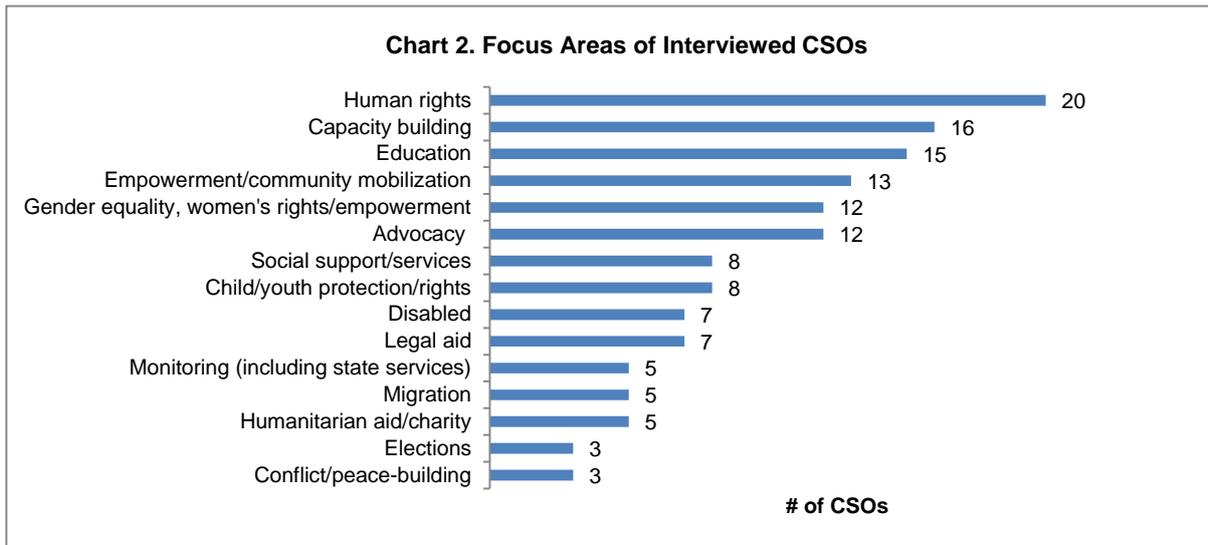
Of the CSOs sampled, 62% were led by ethnic Kyrgyz directors, 10% by Russians, 12% by Uzbeks, and 3% by people of other ethnicities. More than half of the CSOs included staff members of diverse ethnicities (58%), while 42% were mono-ethnic, with primarily Kyrgyz leadership.

### Focus Issues of CSOs interviewed

When asked their “primary” focus, CSOs tended to state several issues. This may be partly the result of pandering to the interests of donors. Chart 2 on the next page shows the focus issues CSOs mention most: human rights (20 CSOs), capacity-building (16), education (15), empowerment and community mobilization (13), gender equality and women’s rights (12), advocacy (12), social support services (8), protecting the rights of children and youth (8), assisting people with disabilities (7), and legal aid (7). Issues fewer CSOs mention include monitoring (including state services), migration, humanitarian aid, charity, elections, peace-building, conflict prevention, research, access to information, climate change, consumer rights, elections, energy, free market, juvenile justice, labor rights, mediation, prevention of torture, and health, among others.

<sup>3</sup> Additional organizations worked with youth and/or considered youth a primary beneficiary.

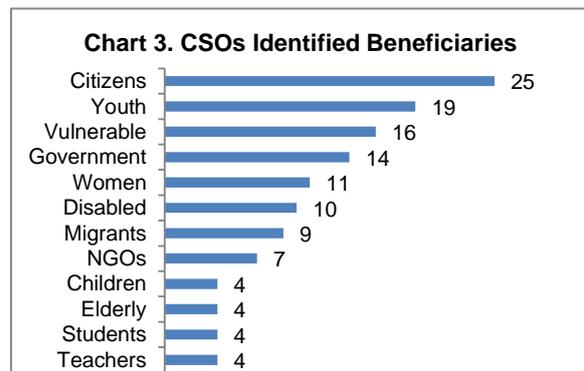
<sup>4</sup> Association of Civil Society Support Centers (ACSSC) and RBC Research Group, supported by USAID Office of Transition Initiatives, *Status and Perspectives of Development of the NGO Sector in the Kyrgyz Republic*, presentation, 2013. The ACSSC sample included a broader spectrum of CSOs, such as service providers and water consumer associations, not included in this cohort, which evaluated only on advocacy-focused CSOs.



Notably, when asked about their core advocacy work, several organizations mentioned methods and strategies (e.g. research, capacity building, or advocacy) rather than issues. This suggests a gap in core mission and/or insufficient knowledge in planning issue-based initiatives. Indeed, only 42% of interviewed CSOs have a Strategic Plan, which likely impacts their ability to focus on specific issues. Instead, the research team observed that most CSOs tend to be donor-driven with a broad scope of activities and priorities that shift based on donor priorities.

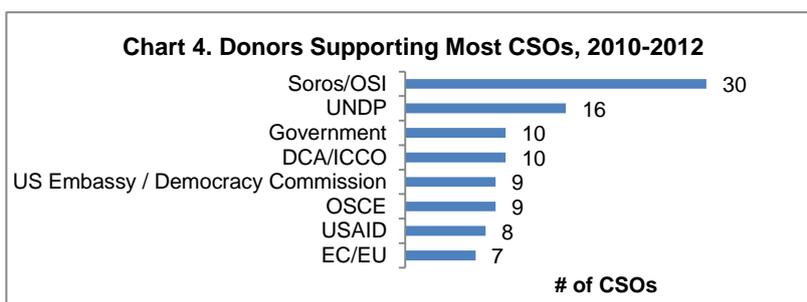
### Beneficiaries

With regard to 'key beneficiaries', most CSOs say they assist citizens in general (25) or youth (19). As Chart 3 illustrates, several work with vulnerable groups, government representatives, women, disabled persons and their families, migrants, NGOs, children, the elderly, students, and teachers. Fewer CSOs assist victims of violence or torture, the poor, prisoners, farmers, media, lawyers, judges, entrepreneurs, or sex workers. CSOs tend to work with multiple beneficiary groups, which may again be a function of responding to donor priorities.



### Funding

CSO annual income ranged from \$0 to \$600,000. Twelve organizations reported not having any income in one or more years between 2010 and 2012. On average, organizational income decreased from \$117,079 in 2010 to \$91,388 in 2012. This can be attributed in part to the substantial increase in funding to Osh and Jalalabad during and immediately after the 2010 conflict. Since 2010, funding to CSOs in Osh and Jalalabad has declined. The decrease in funding has resulted in several CSOs in these regions losing staff and struggling to recruit new staff members.

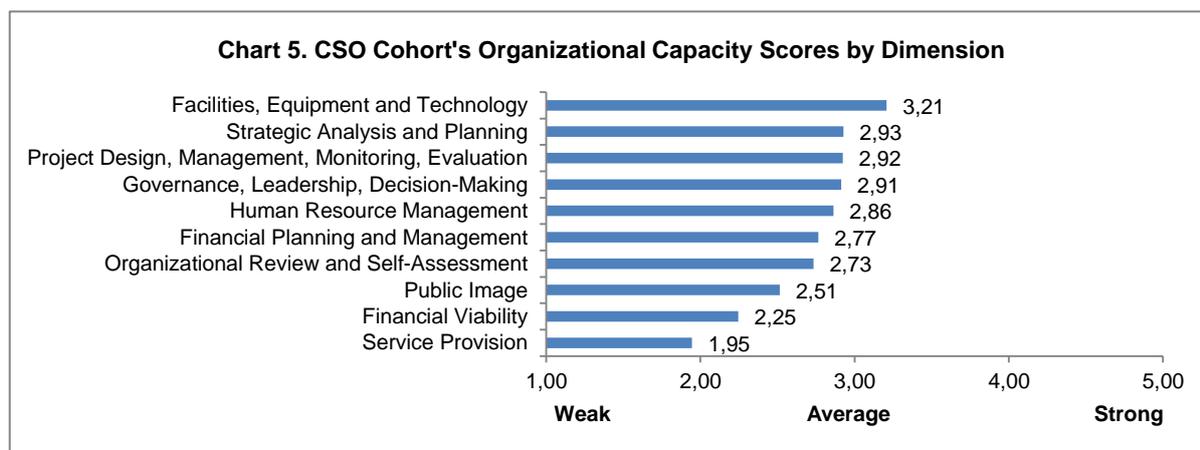


The Soros Foundation or Open Society Institute (OSI) funded the most CSOs between 2010 and 2012 (see Chart 4). The United Nations Development

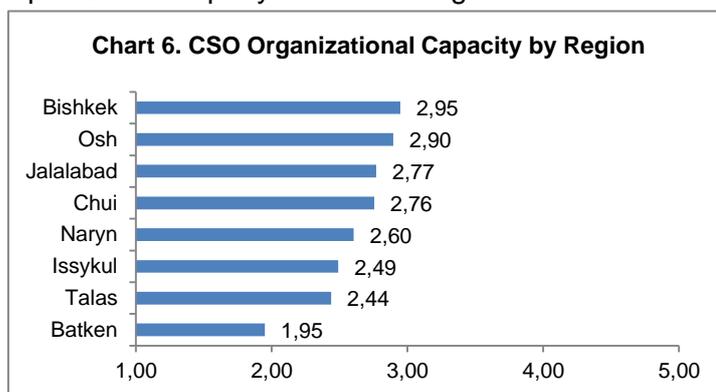
Programme (UNDP), Kyrgyz Government, Danish Church Aid (DCA) and Holland-based Interchurch Organization for Development Cooperation (ICCO), United States Embassy Democracy Commission, Organization for Security and Cooperation in Europe (OSCE), USAID, European Commission (EC), and European Union (EU) also funded several organizations. Kyrgyz Government funding came from the Ministry of Social Development and Ministry of Labor, Migration, and Youth. Some organizations also reported that local government administrations provided office space free of charge as in-kind financial support.

### An Overview of the Organizational Capacity of CSOs

The overall Organizational Capacity Score for the cohort is 2.47 out of a possible perfect score of five.<sup>5</sup> CSOs thus tend to have individual overall scores below the “average” score of three. Chart 5 illustrates the CSO cohort score on each dimension of the Organizational Capacity Assessment Index.



The strongest organization in the cohort is Civic Initiatives for Internet Policy with an overall score of 3.87. However, the assessment did not reveal any strong ‘outliers’ within the sample, which perhaps could have proven exemplary for other organizations in future capacity building efforts. Unsurprisingly, organizations in Bishkek and Osh tend to be comparatively stronger than those in other regions (see Chart 6). CSOs located in Batken seem to be among the weakest.



Organizations focusing on protecting children’s rights tend to be slightly stronger than CSOs addressing other issues. The research team found that some organizations focusing on protecting human rights and seeming organizationally advanced (e.g. in the public eye) actually have fairly weak internal policies and procedures. Some fail to protect the rights of their own staff members (e.g. by providing social benefits or other forms of access).

<sup>5</sup> As a point of comparison, this was the same baseline score for the cohort of rural CSOs in two regions of Azerbaijan as part of the USAID-supported and EWMI-implemented Socio-Economic Development Activity (SEDA), assessed in 2012.

## Organizational Strengths

Organizational 'strengths' are areas where CSOs score higher than the 'average' score of three. Organizational strengths included:

- **Statutes exist and are upheld.** This complies with the CSO regulatory framework.
- **CSOs tend to have adequate premises, furniture, equipment, and technology.** 21% own their property and 13% use their office spaces free of charge.<sup>6</sup> Property is an important asset, which can offset organizational overhead, as well as provide opportunities for income generating activities (e.g. rental of space). Only 7% of CSOs do not have an office, which is an enormous and rare advantage in the developing country context.
- **CSOs have defined and relevant goals and objectives.** On the other hand, mission statements tend to lack clarity, few CSOs have vision statements, and work plans usually exist only for donor-funded projects. Few CSOs have well-defined indicators to measure success or progress. These shortcomings may mean that CSO activities lack strategic direction and clear indicators for measuring progress over time.
- Most CSO representatives believe that the government, public, and business sectors tend to have a **positive or neutral view of CSOs**. However, a recurring theme was that CSOs are often seen as 'grant-eaters' or 'spies'. CSOs said this might be due to insufficient knowledge about CSOs and their role in society. It is also part of the political scene, wherein some voices are working to restrict CSOs, for example under the proposed law on 'foreign agents'. This suggests a need for improved public outreach, as well as a concerted effort to promote the value of CSOs as potential partners to government, for example in social service delivery.
- **Teamwork and democratic leadership** exist within most organizations. This finding is not consistent with a common observation of 'founder driven' styles of organizational leadership, wherein a founding, charismatic leader retains more-or-less full power in making all decisions and is not comfortable delegating real authority. However, organizational teamwork toward a goal seems to be perceived by staff members interviewed.
- **Cash controls are in place and followed**, though policies are not always written. Further, the assessment team did not verify or require evidence for findings, thus the practice may be different than the oral overview.
- **The number of permanent, paid staff members tends to be sufficient** for CSO activities. This was a surprising finding, as many CSOs also complain about scarce resources and staff burnout.
- **Capacity to be effective at fundraising:** 98% of organizations interviewed said they had the capacity to write their own project proposals. At the same time, the quality of proposals submitted to the CGP grants competitions has been substandard. There seems to be a sizeable 'disconnect' between self-perception and realization. That said, these same organizations were able to successfully compete for donor funding, seemingly because either donors have lowered standards and/or because donors have assisted applicants to finalize projects funded under grant schemes.

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<sup>6</sup> As a point of comparison, the ACSSC and RBC Research Group 2013 survey found that: 29% of CSOs have offices, 24% have furniture, and 21% have equipment.

## Organizational Weaknesses

Organizational 'weaknesses' are areas where the CSO cohort does not perform as well. Some of the weakest areas are below.

- **Very few organizations charge service fees.** Approximately 25% of CSOs have received funding from the government via social procurement. Businesses have contracted only a couple of organizations, mainly to provide training. A couple of CSOs charge for photocopies or Internet usage. Almost no organizations have assessed market demand for services; this is a lost opportunity for the sector. Service provision can diversify organizational income, enhance sustainability, and enable CSOs to develop more positive, cooperative relations with citizens, businesses, and the government. This in turn can improve the image of the sector, as well as provide CSOs with more supporters for their advocacy initiatives.
- **Weak financial management and accounting systems:** Although Kyrgyz financial reporting requires allocation of costs to general ledger categories and donors require accrual-based accounting (proper allocation of costs by period), several organizations do not have adequate accounting systems and software to adhere to these requirements. They struggle to comply, using labor-intensive manual journals or ad hoc Excel spreadsheets. In addition, few organizations have accurate systems in place to fairly allocate expenses to multiple donors. Only eight organizations interviewed consolidate individual income budgets into an organizational budget. Given the inadequacy of fiscal systems, few are then able to produce accurate financial reports (such as budget variance) to support analysis and decision-making by management. Only 48% of CSOs have undergone annual audits, and few undergo *regular* audits. CSOs tend to conduct audits only in response to donor requirements. Weak financial management and accounting practices also may negatively impact the image of CSOs, among donors and the public.
- **Poor public relations:** Very few organizations have public relations strategies or materials, and 58% have never produced an annual report. CSOs that produce annual reports often fail to provide information about income and expenditures. Nor do they tend to distribute annual reports or other public relations materials widely. This contributes to the aforementioned lack of knowledge about and sometimes negative perception of the sector.
- **Insufficient internal policies:** Few organizations have policy manuals detailing their financial or human resource policies (e.g. related to maternity leave, vacation, diversity, gender equality, anti-discrimination, etc.). Financial policies are therefore subject to variance based on whim or situation. Diversity and gender equality tend to be an afterthought, if considered at all.
- **Unclear management responsibilities and inactive boards:** Several CSOs have ambiguous organizational structures. For regional CSOs operating as branch offices, their relationships with head offices seem unclear and communication poor. For example, one CSO branch in Osh is independent in its decision-making, fundraising, implementation, operational management, and services for clients, while the head office determines its internal policies, manages the governing board, and makes decisions regarding membership fees. During CGP interviews the branch complained that it seldom gets news about the decision of the governing board. Some regional CSOs may be better off as individual organizations with their governance bodies closer to home. Indeed some branch offices have created their own Boards, though these sometimes pass policies that contradict head office policies. Unclear relations and management responsibilities between branches and head offices contribute to insufficient oversight and potentially ineffective policies and inaccurate priorities for regional CSOs.

Further, several issues exist with oversight boards. In some CSOs, members of the oversight board work as paid staff members, undermining their ability to undertake oversight functions. Some CSOs have several different boards with unclear, undefined responsibilities. The research team also observed that several oversight boards exist 'only on paper'. CSOs seldom involve board members in strategy planning or in reviewing programmatic progress or fiscal health.

- **Inadequate financial planning and diversification of resources:** Most organizations have between two and four sources of funding. While 24 organizations interviewed charged membership fees, they were often minimal and irregularly paid. In Osh and Jalalabad in particular, few organizations involve members, which is a lost opportunity both in terms of diversifying resources and securing community support for their work. Several CSOs do involve volunteers, and 38% reported receiving some form of non-monetary support.

CSOs tend not to have fundraising plans or sufficient staff time allocated to fundraising. Thus, few organizations have any funding confirmed beyond 2013. CSOs in Osh and Jalalabad in particular face challenges following the stark decrease in aid since the 2010 conflict. During the conflict, the number of staff members doubled in several CSOs, enabling them to recruit professionals. When aid decreased, most staff members left. One CSO leader said he struggles to recruit staff with the substantially lower rates he can afford today. "People have been spoiled by high rates," he said. Such challenges result not only from poor planning by CSOs, but also from substantial, unexpected increases in donor aid, which can inflate and destabilize market prices for labor. Overall, uncertainty in funding potentially contributes to short-term thinking, staff turnover, and an unstable civil society sector.

- **Insufficient human resource policies and practices:** Few CSOs have salary scales, and particularly rural CSOs offer salaries that are low by market standards. Most CSOs only have project-related job descriptions, which they may not update based on organizational needs. Recruitment, promotion, and motivation policies often are inadequate or non-existent. Some staff also report that they need to pay some expenses out of their personal resources and without reimbursement. Inadequate work conditions, unfair hiring or promotion practices, and poor motivation may contribute to staff turnover. Insufficient human resource planning may also impact the quality of activities carried out, including CSO advocacy initiatives.
- **Inadequate planning:** Only 58% of organizations have a strategic plan, and few conduct assessments to inform strategic or project planning. Further, CSOs conduct self-evaluations primarily at the bequest of outsiders (e.g. ACSSC or Aga-Khan), with only a few undertaking follow-up assessments or implementing all of the recommendations made during prior assessments. Poor planning may mean that CSO initiatives do not always meet real needs, while insufficient organizational assessment clearly contributes to organizational weaknesses going unaddressed. This negatively impacts CSO abilities to undertake effective initiatives.
- Closely related, **monitoring, data collection, and evaluation** tend to be project-related at best, but more often ad hoc or non-existent. Organizations have limited understanding of evaluation systems and tools. Seldom if ever do CSOs disseminate evaluation results to anyone besides their donors and/or staff members. As a result, organizations struggle to track changes over time, document results, or identify lessons learned. Failing to distribute evaluation findings, including information about results, to the public also hinders organizations from building a positive dialogue with constituencies and/or improving the perception of their professionalism by providing evidence-based programming.

## Recommendations and Capacity Development Options

Experience suggests that improving organizational management can support CSOs in undertaking more effective and efficient advocacy initiatives. Therefore, as part of its broader efforts in enhancing civic engagement (including advocacy), EWMI CGP should support organizations to develop organizational capacities, at least to the extent that these organizational capacities are adequate to support advocacy and do not hinder effective implementation of advocacy activities and campaigns.

Several potential methods may be used to improve CSO capacities, though EWMI may not find all appropriate or feasible. EWMI can provide training to particular cohorts of CSOs, including at the regional level. EWMI can use individual CSO scores to determine the level of training and mentoring (e.g. basic, intermediate, advanced), conduct follow-up mentoring, and measure improvement over time.<sup>7</sup> Exchange visits or study tours between CSOs and/or internships for staff members from early cycle CSOs to work with stronger CSOs can support learning and exchange of best practices. At the same time, such exchanges can facilitate networking and coalition-building. EWMI can also encourage CSOs to set aside resources within their broader project proposals for capacity development activities, particularly in areas identified through this assessment. More specifically, the following interventions are proposed in order of greatest need.

- **Financial management:** Most CSOs need hands-on revamping of their financial accounting systems and software, which may be outside of the scope of CGP. For grantees, CGP can help defray software costs and provide technical support to facilitate full-scale transition where needed. Overall, CGP should focus its resources on fund accounting (proper allocation of costs and cost-shares), capacity development to produce financial management tools (combined organizational budgets and variance analysis), compliance with EWMI and USAID fiscal regulations (including cash controls), fiscal reporting and transparency, and sustainability planning.
- **Public relations:** A training series led by dynamic experts can provide targeted CSOs with strategies for improving their work with media and in public relations. This includes establishing a public relations strategy, techniques for securing media attention, developing public relations materials with minimal resources, utilizing social media like Facebook, and periodic reporting (contents, low-cost strategies of production, and distribution). CGP grantee mentors can provide hands-on assistance to individual CSOs in bolstering their public relations and use of media for advocacy within the context of the CGP-supported initiatives.
- **Internal policies:** EWMI can provide examples of policy documents, coupled with basic orientation on the detail and content needed. These would include financial policies and cash controls, human resource policies, travel policies, branding and public outreach policies, etc. Follow-up mentoring can assist individual grantees in developing or revising their particular policies, as needed.
- **CSO management and oversight:** Through mentoring, EWMI can encourage CSO grantees to clarify their organizational management structure (including between branch and head offices, where applicable), establish policies governing the role of the board versus management, and involve board members more in both activities and oversight.
- **Provide CSOs with concrete strategies and ideas for diversifying their funding:** CSOs can benefit from workshops and individualized mentoring on how to diversify their funding and create fundraising strategies. Workshops on identifying donors, mobilizing

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<sup>7</sup> See the accompanying database.

community resources, project design for fundraising, full-cost fundraising strategies, options to increase unrestricted funding, or other topics can improve diversity and sustainability. CSO grantees can also benefit from mentoring in: 1) fundraising from the general public or specific interest groups for concrete initiatives (i.e., targeted fundraising); and 2) carrying out income generating activities (i.e. fee-for-service training or research, consulting, rental of hard assets, etc.). Organizations with experience in these areas also can share their experiences and best practices via Learning Circles.

CSO members can serve as another resource. While 33 CSOs are public unions (membership-based organizations), few regularly collect membership dues or mobilize their members sufficiently. Workshops and/or mentoring to help CSOs target and improve member services, offer services or programs that meet the needs of members, or enhance their own ability to recruit new members can help secure additional resources while also promoting broader ownership of and support for advocacy initiatives.

- **Public-private partnerships and social entrepreneurship:** EWMI CGP can instigate a discussion series on building partnerships between CSOs and businesses. Initial sessions can educate CSOs about various ways of involving businesses in their initiatives. EWMI can invite businesses to discuss possibilities and best practices. Panel discussions with participants from different sectors (e.g. socially responsible businesses, government officials, civil society) can facilitate communication and identification of common interests. Follow-up mentoring can assist CSOs in forging partnerships with businesses in areas of mutual interest.
- **Enable social procurement:** EWMI already collaborates with its CGP partners to improve the enabling environment for CSOs to receive government contracts via social procurement. EWMI should involve CSOs in such reforms (as already planned), as well as increase their awareness regarding any changes in legislation or procedures that may impact CSOs.
- **Strategic planning:** CSOs can benefit from a hands-on workshop series on best practices in strategic planning, especially as this relates to planning in the context of advocacy work. The series can begin by supporting CSOs to develop strategic long-term visions and core advocacy mission outside of donor priorities, enabling each to develop unique competences in line with their specific and stated mission. Workshops should emphasize the importance of involving stakeholders in strategic analysis and planning, and should reinforce critical thinking skills and approaches. The workshop series can be complemented by follow-up individualized mentoring for CSO grantees to assist them in developing, refining and finalizing their organizational strategic plans as a pre-requisite for developing concrete advocacy strategic plans.
- **Project design:** EWMI can organize an intensive workshop in project design, focusing on design of advocacy initiatives. Workshops should be part theory and instruction, but principally learning-by-doing, and should result in design of a specific and relevant advocacy project.
- **Monitoring, data collection, and evaluation:** EWMI can organize a workshop on monitoring and evaluation, to include developing qualitative and quantitative indicators, as well as systems for tracking changes over time. Supplemental mentoring can then assist grantees to improve their proposed indicators and strengthen their monitoring and evaluation systems. The importance of disseminating evaluation results to stakeholders should also be emphasized.

## Advocacy Capacity of CSOs

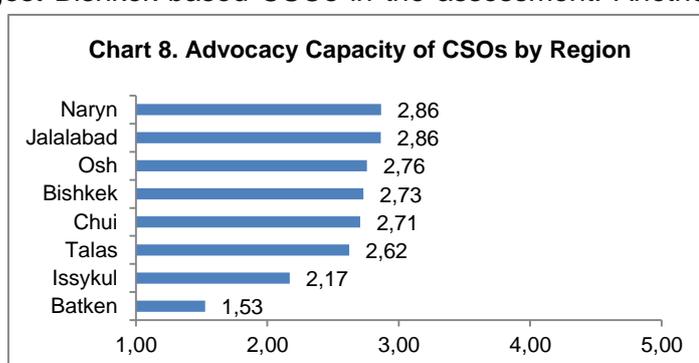
This section first examines the overall advocacy capacities of CSOs in terms of specific advocacy initiatives undertaken. The section concludes with potential interventions that EWMI CGP can take to improve the strategy, planning, and execution of advocacy work. Specific examples of CSO advocacy initiatives are in Annex 11.

### An Overview of CSO Performance on the Advocacy Index

On average, CSOs sampled have seven years of advocacy experience and have participated in six advocacy initiatives during their organizational life. The overall Advocacy Index score of the CSO cohort is **2.61**. Organizations generally scored lower than average (a score of 'three'), illustrating that the civil society sector as a whole appears to be fairly weak when it comes to advocacy. As points of comparison, the Kyrgyz CSO cohort has stronger advocacy capacities than organizations in rural Azerbaijan (2.26), but weaker than organizations in Georgia.<sup>8</sup> Chart 7 illustrates the average score of the CSO cohort on each Advocacy Index component, from weakest performance (2.35) to strongest (2.97).



Interestingly, a comparison of CSOs by region suggests that CSOs in Naryn, Jalalabad, and Osh tend to have stronger advocacy capacities than organizations sampled in the capital city of Bishkek (see Chart 8). Perhaps this can be attributed in part to the fact that the research team did not include all of the strongest Bishkek-based CSOs in the assessment. Another potential explanation may be that CSOs in Naryn, Jalalabad, and Osh received substantial assistance from international actors in planning and carrying out their advocacy initiatives (e.g. the Counterpart Consortium, UNHCR, OTI). CSOs may or may not be able to undertake comparable advocacy initiatives independently and may rely on substantial international technical

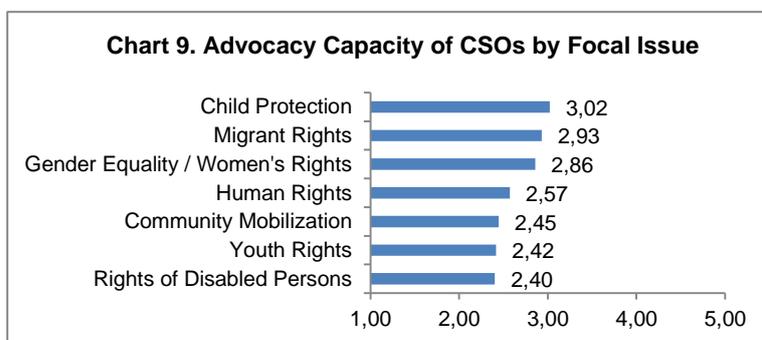


<sup>8</sup> EWMI assessments for USAID-funded programs in these countries in 2012 (Azerbaijan) and 2013 (Georgia).

support. Experience suggests that when a donor sets strategy and develops concept, approach, and work plan, the organization does not learn to independently analyze situations or independently design and execute an advocacy strategy. When donors intervene with the goal of ‘rushing’ to implementation, CSOs do not learn critical thinking; they learn how to implement a program designed by someone else, with little ability to strategically adjust to evolving situations. Instead, they often try to apply the same set of activities or tools to every issue or program, whether relevant or not. As the CGP grants program applications suggest, the true capacity of CSOs may need to be re-examined once they undertake their own advocacy initiatives independent from international assistance. It is also crucial, therefore, that EWMI CGP find the right balance between capacity development (learning-by-doing) and direct technical assistance (modeling or more direct formulation) so as to move CSOs to a new level of self-reliance in developing strategic advocacy campaigns.

CSOs operating in Batkan scored particularly low on the Advocacy Index (1.53). Weak organizational capacity may impact the ability of CSOs to undertake effective advocacy initiatives there. Targeting this region with interactive advocacy workshops and follow-up mentoring for CGP grantees may produce substantial improvement, including potentially rapid increases in performance on both the advocacy and organizational indices.

Unsurprisingly, organizations that are mission-focused are better equipped to carry out effective advocacy initiatives. They typically have unique expertise and a positive public reputation in their focus areas. Within that framework, however, the research team noted that CSOs focusing on child protection seem to have



stronger advocacy capacity than groups dealing with other issues (see Chart 9). Organizations working on migrant rights, gender equality, and women’s rights also seem to have comparatively stronger advocacy capacities than, for example, organizations focusing on the rights of disabled persons or youth. Though it naturally makes sense for comparatively stronger CSOs to share examples, best practices, and advocacy strategies with organizations that have less experience, the fact that capacity seem to tie to focal area presents an exchange challenge – it might be more fruitful to couple CSOs from different focal areas in order to bring new ideas to floundering CSOs.

### Advocacy Strengths

‘Advocacy strengths’ are defined as areas where the CSO cohort performs comparatively better than on other Advocacy Index sub-components and scores above the ‘average’ score of three. CSO advocacy strengths include:

- **Assigning sufficient financial and human resources** for carrying out advocacy initiatives: This includes both international financial support and the mobilization of some monetary and/or non-monetary resources from local groups.
- **Articulating a clear and sometimes convincing policy position:** While CSO policy positions are not necessarily written, CSO representatives believe they can clearly articulate their policy positions. This finding does not correlate with grant applications to CGP, wherein one of the weakest points is being able to clearly articulate an advocacy position or platform that is specific or realistic – this is especially true when applied to

policies, which are seldom researched, mapped, understood, or critiqued. Rather, applicants often design advocacy activities in the absence of jurisdictional mapping or policy review. While CSOs are clear on the broad goal (e.g. equality for disabled), their research and policy framework review is typically missing or remedial.

- **Mapping at least some key stakeholders and their positions on an issue** when formulating their advocacy strategies: The research indicates that mapping techniques seem to have been well emphasized by technical assistance providers. The more urgent question, however, is the extent to which the parallel but more important skill to develop differentiated advocacy and messaging strategies based on stakeholder mapping is or is not as advanced. Experience from the CGP grant applications shows that this parallel skill remains a critically weak area.
- **Identifying issues of vital concern to constituents:** CSOs use evidence from research, secondary data, public meetings, and consultations with target groups in deciding which issues they will prioritize in advocacy efforts. It would be interesting to also study the extent to which citizen constituencies agree, and some of the data on the perception of CSOs seems to indicate a gap in correlation to the needs of citizen constituencies.
- **Involving diverse media to increase public awareness and secure public support:** During advocacy campaigns, CSOs tend to publish their own newsletters or leaflets, post on social media or disseminate information through e-newsletters and/or their own websites. Many CSOs also pay print or other media to publish articles they have written as news (a violation of journalistic ethics). Though CSOs are keen to share their projects (often because donors require it), they don't typically understand the difference between publicizing a project (i.e. self-promotion) and highlighting an issue.

### Challenges to Successful Advocacy

Challenges to successful advocacy include areas where the CSO cohort does not perform as well. Most common weaknesses are listed first.

- **Developing a comprehensive advocacy strategy:** When CSOs implement advocacy initiatives outside donor-funded projects, they seldom develop concrete strategies or action plans. Strategies rarely consider alternative or contingency plans to overcome possible obstacles. Few CSOs consult sufficiently with diverse stakeholders in compiling their strategies. This hinders their ability to plan or secure support from uncommitted stakeholders or to find ways to overcome opposition.
- **Soliciting public input:** While a few CSOs gather information from the public to inform their work on a specific issue, most CSOs could collect more information via public meetings, focus groups, interviews, and surveys. Very few CSOs use surveying, and those that do seldom use appropriate sampling strategies for collecting representative input (including from women and minorities, where appropriate). The cohort only sometimes involves stakeholders and/or fails to include key stakeholders in formulating policy recommendations. CSOs seldom consider how recommendations may impact diverse groups differently. Gender analysis tends to be lacking. Thus, resulting policy recommendations may insufficiently address the needs of diverse citizens, particularly women and minorities. Further, key stakeholders may not take CSO recommendations seriously if the CSO has not used appropriate research methods or collected sufficient data to support recommendations.
- **Frequency of undertaking follow-up advocacy when initial efforts fail:** Few CSOs follow-up after their initial (typically donor-funded) 'project' ends and few monitor the long-term impact of policy changes on target groups. If an initial advocacy initiative has

not succeeded, very few CSOs continue advocacy or monitor public interest to identify opportunities for renewing pressure. Insufficient monitoring and follow-up undermines long-term results, and exacerbates public opinion that CSOs merely exist to ‘eat’ grants or respond to donor-driven priorities.

- **Drafting policies in writing, using various formats and levels of detail:** Few CSOs possess expertise in analyzing policies and using findings to inform their policy position and/or advocacy work. Further, few CSOs put their policy positions in writing. Among those that do, most prepare only one or two versions of their recommendations (usually appeals and letters to officials). Most CSOs can improve presentation of policy recommendations through more evidence-based research coupled with visual aids, such as graphs, illustrations, and photos when presenting recommendations in print. Strengthening policy recommendations and adjusting the presentation of recommendations for different audiences can help CSOs raise awareness on policy recommendations, mobilize additional support, and convince decision-makers.
- **Engaging citizens:** CSOs only sometimes involve citizens in direct actions to influence policies, such as petitions, writing letters of appeal, flash mobs, and meetings with officials. By not optimally engaging citizens, CSOs do not sufficiently increase citizen awareness about issues or persuade citizens to become involved in their advocacy initiatives. This is a missed opportunity that can make a material difference in the outcome of advocacy efforts.
- **Undertaking joint actions:** While some CSOs collaborate in their advocacy initiatives, cooperation tends to be ad hoc. Rarely do CSOs create joint action plans and/or share resources with each other. CSOs sometimes participate in coalitions and networks, though few take the lead in establishing or running them. CSOs can persuade other groups and individuals with interests in issues to become active (potentially including government organizations with shared concerns. Better coordination among CSOs working on similar issues locally can offer opportunities for bringing about national level changes (e.g. relating to children’s rights, gender equality, or disability rights). Mobilizing more groups to support their advocacy efforts can strengthen CSO advocacy campaigns.

In addition to the aforementioned key weaknesses, most CSOs can also enhance their capacities in the following areas.

- **Diversifying financial resources, particularly local resources** can enable CSOs to sustain their advocacy efforts, including beyond international donor-funded ‘projects’ as well as secure greater ownership through fiscal participation of local stakeholders. CSOs need support in identifying ways to diversify funding, including strategies for collecting contributions from members, interested citizens, and/or other organizations (businesses, foundations, etc.). This also can contribute to identifying and ensuring that more initiatives respond to issues that are important to citizens.
- **Identifying relevant government agencies and their respective roles:** CSOs seldom collect sufficient information about relevant government bodies, entities or agencies and their respective position on issues. Sometimes this means that CSOs do not understand the interests of government officials, how government interests may obstruct advocacy efforts, or how to work to find win/win solutions and/or broaden citizen pressure on government institutions.
- **Involving volunteers:** While most CSOs periodically involve volunteers, they can benefit from recruiting and involving additional volunteers on a regular basis. CSOs are particularly weak in rallying voluntary support from board members and/or drawing from the expertise of board members to strengthen advocacy initiatives. As the prior section

suggests, several CSOs need to clarify the role of their board and identify more ways to involve board members.

### **Recommendations and Advocacy Capacity Development Options**

Drawing from the aforementioned challenges to successful advocacy, EWMI CGP can consider undertaking some of the following interventions to improve CSO advocacy initiatives. Experience suggests that interactive training coupled with hands-on mentoring can support organizations in effectively putting to practice new knowledge. EWMI can use its Mentoring Program, exchange visits, and Learning Circles, to support training activities. For grantees, additional quarterly joint meetings, and ongoing CGP staff mentoring can provide meaningful specialized technical assistance and learning opportunities.

- **Support comprehensive strategic planning for advocacy:** CSOs remain weak in involving stakeholders in developing and documenting advocacy strategies, strategizing to address diverse stakeholder interests (including opponents), identifying contingency strategies in advance, and planning to conduct monitoring or follow-up actions. CSOs also have trouble in differentiating advocacy from public awareness. CSOs can benefit from a workshop on the advocacy cycle: what it includes, and how it differs from (and is similar to) public awareness or cooperative planning. An intensive multi-day seminar can support CSOs in building an effective advocacy strategy through learning-by-doing. The EWMI CGP Mentoring Program can build on the workshops, offering CSOs and CGP grantees in particular additional hands-on support during implementation of advocacy initiatives, helping to realign advocacy efforts as obstacles emerge.
- **Provide training and mentoring in research methods:** A general two-day seminar can provide an overview of the various potential research methods used in collecting information and public input on an issue, including qualitative research and quantitative research. CGP mentors, including international mentors can assist CSO grantees, especially under the Public Policy Support category to devise and carry out research. Additionally, EWMI can encourage advocacy CSOs and government ministries and agencies to partner with think tanks, learning and/or benefiting from their expertise. This may also encourage improved coordination among CSOs in undertaking joint advocacy efforts, potentially contributing to the effectiveness of their advocacy campaigns.
- **Encourage CSOs to conduct post-campaign monitoring and follow-up actions:** Within grant applications, EWMI can both support and encourage CSOs to consider and plan for monitoring and follow-up actions. Mentors also can assist grantees in planning follow-up monitoring and advocacy (where relevant). EWMI can encourage other donors to support CSO follow-up initiatives that monitor the results of prior advocacy initiatives, how policy changes impact stakeholders over time, and the extent to which approved policies are implemented.
- **Train and coach CSOs in formulating viable policy positions and presenting them effectively:** CSOs tend to have a relatively poor understanding of how to conduct comprehensive policy analyses and draft effective policy recommendations. EWMI CGP can organize workshops on research design and policy analysis to include: analyzing existing policies and laws; drafting well-written, evidence-based policy papers; involving stakeholders in formulating policy recommendations in a participatory (and gender sensitive) manner; and presenting concrete policy recommendations in visually appealing formats tailored to diverse audiences. Individualized mentoring can then support CSO grantees in applying this knowledge to their own policy papers. EWMI CGP can provide mentors (local or foreign experts via online or on-site mentoring) to help review CSO draft papers and provide recommendations for improvement. Where relevant, peer exchange participants can also review each other's policy papers and provide feedback.

- **Encourage CSOs to better engage stakeholders in advocacy:** As a key aim of CGP, EWMI can encourage CSOs to more deeply engage citizens and other stakeholders in their advocacy campaigns and plan ways to do so as a core part of each work plan. This includes holding public meetings to increase awareness about issues and encourage diverse citizens to become involved in advocacy. Mentoring may help CSOs identify concrete ways to mobilize stakeholders within advocacy initiatives (e.g. through letter writing, petitioning, and using information communication technologies like Facebook). Learning Circle participants can also share information about the strategies they use to engage diverse stakeholders, their successes, and challenges, and best practices that other organizations can put into practice.
- **Encourage CSOs to cooperate** on issues of shared concern. CSOs work on a number of similar issues (e.g. related to the rights of children, persons with disabilities, women, migrants, victims of torture, etc.). Positive examples of joint advocacy initiatives already exist (e.g. children’s rights, bride kidnapping, etc.). Through Learning Circles and/or forum discussions, civil society activists who led these successful initiatives can describe the process, obstacles encountered, and solutions found as examples to assist other CSOs. Through grant criteria and experience exchanges, EWMI can encourage partnerships or coalitions to address issues on a broader scale and in more locations.
- **Mentor CSOs in public outreach:** Most CSOs can improve their public relations, promoting their work to the public and familiarizing the public with their initiatives. This can include strategies for attracting free media coverage. EWMI can support CSOs in further developing their communication skills. Media representatives can participate in workshops or Learning Circles, sharing ‘tips’ on how CSOs can secure better coverage or provide newsworthy content to attract media attention. Such exchanges may foster better relations between media and CSOs. Mentors can assist CGP grantee CSOs to develop more strategic public outreach messages and materials within their advocacy campaigns, as well as to develop sustainable mechanisms for routinely sharing highlights of their work to public audiences.

# Annexes

## Annex 1. CSO Average Organizational Capacity Scores by Dimension

#	Dimensions	Cohort Score
<b>1</b>	<b>Organizational Review and Self-Assessment</b>	<b>2.7</b>
1.14	Organization undertakes self-evaluation and is able to identify factors inhibiting organizational development and remedy problems	2.7
<b>2</b>	<b>Governance, Leadership and Decision-Making</b>	<b>2.9</b>
2.1	Statute exists and is upheld	3.5
2.2	Roles of governing body, management, and staff are clearly defined and separate and all levels are actively engaged.	2.7
2.3	Leadership is shared and democratic	3.0
2.4	Principles of diversity and gender balance are institutionalized	2.6
<b>3</b>	<b>Strategic Analysis and Planning</b>	<b>2.9</b>
3.1	There is a clear vision which informs all activities and a clear mission understood at all levels	3.0
3.2	Strategic analysis leads to a strategic plan that is understood and implemented at all levels	2.8
3.3	A written work plan or action plan exists and is followed	3.0
<b>4</b>	<b>Human Resource Management</b>	<b>2.9</b>
4.1	Organization makes strategic use of human resources and clearly defines their roles and responsibilities.	2.7
4.2	Labor policies and practices are legal, fair, consistently applied, and encourage diversity and gender equality	2.6
4.3	Recruiting and promotion are based on equal opportunity principles: merit, transparency and promotion of diversity	2.9
4.4	Compensation systems and administration are stable, transparent and sufficient to attract and retain staff	2.9
4.5	Team development and work coordination are valued and institutionalized	3.2
4.6	Board, management, staff, volunteers are motivated through conscious incentives and have access to skills development training/mentoring	2.7
4.7	Permanent, paid staff lead CSO (see 2.4)	3.0
<b>5</b>	<b>Facilities, Equipment and Technology</b>	<b>3.2</b>
5.1	Organization has sufficient and appropriate facilities (premises, furniture, equipment) for its activities	3.3
5.2	Organization has sufficient technology and IT expertise to meet its needs and can effectively maximize use	3.1
<b>6</b>	<b>Project Design, Management, Monitoring and Evaluation</b>	<b>2.9</b>
6.1	Adequate assessments are conducted before embarking on each project and include consideration of gender and diversity	2.9
6.2	Goals, objectives and indicators are clearly defined, and are realistic and relevant	3.2
6.3	Monitoring, data collection, and evaluation are systematically carried out	2.9
6.4	Evaluation results are disseminated to appropriate stakeholders	2.7
<b>7</b>	<b>Financial Planning and Management</b>	<b>2.8</b>
7.1	Cash controls are in place and followed	3.0
7.2	Financial procedures are adequate and transparent	3.0
7.3	Project budgets exist, are combined into an organizational budget, and both are understood and followed	2.9
7.4	Systems are in place to handle accrual-based multiple-donor accounting (fund accounting)	2.5
7.5	External audit has been performed and passed	2.4
<b>8</b>	<b>Fundraising, Income Generation, and Sustainability / Financial Viability</b>	<b>2.2</b>
8.1	Organization has funding beyond current year, no deficit, and plans for sustainability	2.5
8.2	Funding is diversified and includes relationships with multiple grant and in-kind donors, as well as income-generating activities	2.7
8.3	There is concrete, ongoing planning for sustainability of organization	2.6
8.4	There is a systematic schedule for membership fees and subscriptions	1.6
8.5	Community resources are identified and their use is maximized	2.3
8.6	CSO recovers costs for goods and services by charging fees	1.9
<b>9</b>	<b>Service Provision</b>	<b>1.9</b>
9.1	CSO's goods and services reflect the needs and priorities of their constituents and communities	3.0

9.2	CSOs have knowledge of the market demand—and the ability of distinct constituencies to pay—for those products	1.9
9.3	Government provides grants or contracts to CSO to enable them to provide services	1.5
9.4	Local businesses contract CSOs for services	1.4
<b>10</b>	<b>Public Image</b>	<b>2.5</b>
10.1	A public relations and media strategy is in place	2.5
10.2	The government, public and business sector have a positive perception of CSOs/NGOs	3.2
10.3	CSO publicizes its activities and promotes its public image through targeted materials and branding	2.4
10.4	CSO publishes an annual report including both program and fiscal data	1.9
	<b>Overall CSO Organizational Capacity Score</b>	<b>2.7</b>

## Annex 2. CSO Advocacy Capacity Scores by Component

Index Component	Score
<b>1. Issue is timely and significant</b>	<b>3.0</b>
a. Issue is of vital concern to the group's constituents	3.1
b. Issue is critically important to the current or future well-being of the CSO and/or its clients, but its importance is not yet broadly understood	3.1
c. New opportunities for effective action exist (Note: may be upcoming elections, new governing authorities, public pressure, int'l pressure, newfound resources, CSO or other partners willing to support efforts, etc.)	2.9
d. At least a few key decision makers are receptive to the issue (Note: a "key" decision-maker is one who is relevant to the campaign)	2.8
<b>2. CSO devises strategy or action plan for its advocacy initiative</b>	<b>2.4</b>
a. CSO "maps"/identifies key stakeholders and their positions on the issue	3.1
b. Strategy considers ways to bring uncommitted and opposition groups over to CSO's side	2.5
c. CSO makes strategy or work plan with concrete activities and tasks assigned	2.5
d. Diverse stakeholders involved in compiling strategy	2.3
e. Various possible strategies or approaches to advocacy are considered, including a contingency	1.7
<b>3. CSO collects information and input about the issue</b>	<b>2.4</b>
a. Relevant government agencies and their respective roles in the issue are identified at national and local levels; knowledge and positions investigated	2.7
b. General public input is solicited (including from women and minorities) on the issue via public meetings, focus groups, etc.	2.5
c. Representative input is collected on the issue via surveys (including from women and minorities, where appropriate)	1.8
d. Existing information and data collected on the issue is used in summaries and/or to inform policy position papers	2.7
e. Policy analyses, such as the legal, political, social justice, or health aspects of the issue, are conducted	2.5
<b>4. CSO formulates a viable policy position on the issue</b>	<b>2.8</b>
a. Policy formulation done in participatory (and gender-sensitive) manner	2.5
b. Policy position is clearly and convincingly articulated (Note: this does not have to be in writing, though it might help)	3.1
c. Rationale for policy is coherent, persuasive, and uses information collected in component 3	2.9
<b>5. CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue</b>	<b>2.8</b>
a. Contributions [financial] collected from members, interested citizens, and/or from other [local] organizations (businesses, foundations, religious groups, etc.)	2.6
b. Financial or other resources assigned to the issue from within the CSO	3.2
c. Volunteer time to help advocate for the issue obtained and well managed (including from the Board)	2.7
d. International agencies with interests in the issue area identified, and their procedures for applying for financial support determined	2.6
<b>6. CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue</b>	<b>2.7</b>
a. Other groups and individuals with interests concerning the issue identified or persuaded to take an interest (may include govt. organizations which share concerns)	2.8
b. [Participation and/or formation of a] coalition/network (defined as any type of joint working group) [around the specific advocacy issue]	2.9
c. [Coordination, cooperation, and information-sharing] with other NGOs/groups that have similar interests, such as by having informal contacts, joint meetings, identifying common interests, etc.	2.7
d. Joint or coordinated actions planned (for carrying out the actions)	2.3
<b>7. CSO takes actions to influence policy or other aspects of the issue</b>	<b>2.4</b>
a. CSO involves diverse media in quality coverage of the issue, towards raising public awareness and securing public support	3.1
b. Public meetings increase public awareness of the issue and encourage citizen involvement (involving diverse stakeholders)	2.4
c. Members/citizens encouraged to take appropriate actions, such as writing letters to legislators	2.3
d. Active lobbying conducted for the policy position, such as by testifying in hearings, personal visits to legislators, etc.	2.7
e. Model legislation drafted and circulated to legislators	2.4
f. Policy being advocated exists in writing, with formats and levels of detail that are appropriate for various audiences and policy makers	2.2
g. Presentation of policy position uses attractive and effective formats, such as graphs	2.1

8. CSO takes follow up actions, after a policy decision is made, to foster implementation and/or to maintain public interest	2.3
a. Monitoring the implementation of a newly passed law, policy or court decision, such as by making sure that authorized government funds are disbursed or implementing regulations written and disseminated, checking implementation in field sites, asking members for feedback on how well it is working, etc.	2.6
b. Some staff or volunteer time and resources are allocated to the issue or policy for monitoring	2.2
c. [If desired policy was not passed] At least a minimal level of advocacy methods maintained to take advantage of next opportunity for pressing the issue, perhaps with a reformulated approach or different specifics	2.3
d. [If desired policy was not passed] Public awareness and interest in issue monitored, to look for examples, incidents, opportunities to create or renew a sense of urgency on the issue	1.9
Overall AI Score	2.6

## Annex 3. Organizational Capacity Interview Guide

**Date:** \_\_\_\_\_ **Interviewers:** \_\_\_\_\_

**Start time:** \_\_\_\_\_ **End time:** \_\_\_\_\_

*\* All text in italics is only for the researcher; not to be read aloud necessarily.*

### 1. About the Organization

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- 1.1. Organization's Name:
- 1.2. Organization's Acronym:
- 1.3. Name(s), surname(s) and position(s) of respondent(s):
- 1.4. Mobile:
- 1.5. Landline:
- 1.6. Email:
- 1.7. Website (if available):
- 1.8. **Organization's location**  
Address:  
Village:  
District:  
Region/town:
- 1.9. **Where does your organization operate?** (*Researcher: write specific locations*)  
Internationally:  
National level:  
Oblast/Region:
- 1.10 In which year did you register with the authorities, if at all?
- 1.11 **Type of organization**  
Public Fund  
Public Union  
Association  
NGO  
Other (*specify*) \_\_\_\_\_
- 1.12 Who are your organization's **main** beneficiaries?
- 1.13 On what issue or issues do you focus?
- 1.14 When was the last time that your organization undertook a self-evaluation, if ever?
  - Who was involved in the evaluation (*Board, management, key members/stakeholders and key staff*)?
  - What factors did you identify as potentially inhibiting organizational development?
  - What steps did you take to address those problems?

### 2. Governance, Leadership and Decision-making

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- 2.1 When was the last time you updated your Statute (e.g. by-laws)?
- 2.2 How are responsibilities divided between the board of directors and staff members, if at all?

- How often does the board meet?
  - What roles/tasks does the board have?
    - *Strategic guidance?*
    - *Financial oversight?*
  - When was the last time members of the board rotated / changed? How does this process work?
  - Do you have an organizational chart?
- 2.3 Describe for us how key decisions are made within the organization? (*Probe: To what extent are staff/volunteers involved in decision-making*)
- 2.4 Among your \_\_\_\_\_ (#) staff and in which positions:
- Women?
  - Men?
  - Kyrgyz?
  - Russian?
  - Uzbek?
  - Other?
  - Do you have any policies or practices in place for ensuring diversity in recruitment and promotion at all levels of the organization?

### **3. Strategic Analysis and Planning**

- 3.1 What is your vision statement, if you have one? (*check: do staff seem familiar? Clarity? Activities seemed linked to vision*)
- What is your mission statement? (*check: do staff seem familiar? Clarity? Check if activities seem linked to mission.*)
- 3.2 Do you have a strategic plan?
- *If yes, for which period?*
  - Who was involved in developing your plan (*check: management, staff, stakeholders*)?
  - When was the plan last updated (*annually*)?
- 3.3 Does your organization have a written work plan or action plan?
- Are work plans made based on strategic plan or based on donor-supported projects (*or both*)?
  - When are work / action plans made (*annual*)?
  - When (*how often*) is it reviewed and revised?

### **4. Human Resource Management**

- 4.1 Do you have written job descriptions for each staff member?
- 4.2 Have you incorporated labor laws into a written policy manual?
- How are policies distributed to staff members, if at all?
  - How familiar are staff members with these policies?
  - How do you encourage diversity through your policies?
  - How do you encourage gender equality through your policies?
- 4.3 Please describe the process through which you go about recruiting new staff.
- *Check: criteria for selection exist?*

- *Does this include diversity criteria?*
  - *Open selection process?*
  - *Panel vs. 1-2 people?*
  - Through which process do you promote existing staff members?
    - *Performance-based?*
    - *Equal standards for all?*
- 4.4 How stable is your funding for covering staff members' salaries ("core funding")?
- Do you have a salary scale in place? If yes, please describe it.
  - Would you consider your salaries lower than, equal to, or higher than the market standard?
  - How does this impact on your ability to recruit and/or retain staff members?
  - What do you do to try to retain staff, if anything?
  - Are staff members reimbursed for expenses related to organizational activities?
    - If yes, within how much time?
  - Do they have access to cash advances for anticipated expenses?
- 4.5 How do you go about coordinating staff members' work, if at all? (*Probe: between projects, between levels*)
- How do you resolve conflicts that arise within the organization?
- 4.6 How do you go about motivating staff members? (*e.g. praise, compensation, perks, counseling, etc.*)
- To improve poor performance?
  - Does each individual have a specific training and development plan based on her/his needs?
  - Does the organization have resources set aside for staff members' career development?
- 4.7 (see beginning)

## **5. Facilities, Equipment and Technology**

- 5.1 Do you own or rent your space?
- Is it of sufficient size for your activities?
  - Do you have sufficient furniture?
  - Do you have sufficient equipment for your activities?
  - *Check: organization of facility*
- 5.2 What IT equipment, software and hardware do you have?
- How many staff members know how to use this equipment?
  - How have staff members been trained in this equipment?
  - How do staff access and organize data (e.g. shared drive)?
  - Do you have an internal communication policy in place?

## **6. Project Design, Management, Monitoring and Evaluation**

- 6.1 Before you begin a project, what steps do you take to inform the project design? (e.g. needs assessment)
- Who is involved in this assessment (e.g. staff, members, beneficiaries and other stakeholders). *Gender? Minorities?*

- How does this assessment inform baseline indicators (the starting points against which you measure progress), if at all?
- 6.2 How do you measure whether you have fulfilled your goals? What indicators do you use?
- *Do indicators include qualitative and quantitative targets? Baseline? Clear?*
- 6.3 Do you have a monitoring and evaluation system in place?
- Which methods do you use for evaluation?
  - Who conducts monitoring and evaluation (e.g. internal, external, both)?
  - How often do you carry out monitoring and evaluation?
  - How is the M&E system set up to enable easy analysis of trends over time (e.g. database)?
- 6.4 How do you disseminate evaluation findings?
- To whom? (e.g. members, supporters, networks, media, and appropriate government bodies)
  - In what format / “packaging”?
  - How do you use the evaluation results to inform future projects, if at all?

## **7. Financial Planning and Management**

- 7.1 Please describe which cash controls you have in place.
- Who has the responsibility to approve expenditures (*dual-oversight*)?
  - How are transactions made (*writing? Approval by whom?*)
  - Who has access to cash?
  - Do you have any problems with cash flow (cash when needed), or not?
- 7.2 Do you have written policies and procedures?
- Who approves them?
- 7.3 Do you have individual budgets for each project?
- Do budgets divide direct and indirect costs?
  - How often do you review your budget and produce reports (*monthly*)?
    - What kinds of reports do you have to track budget variance and cash flow?
  - How much do actual expenditures usually vary from your planned budget (<5%)?
    - Are variances by budget category donor-approved during the project?
  - How do you assign income and expenses to specific projects/donors, if at all? (*staff time*)
  - Do you have a combined, overall organizational budget (according to purpose and category of expense)?
    - How often do you update it?
- 7.4 Please describe your accounting system:
- Cash-based or accrual? When you have an expense does it get reported in the month you made it (cash) or the month it’s for (accrual)?
  - Which software do you use, if any?
- 7.5 Did you have an external audit?
- How often?
  - Were any recommendations made by the auditor?

## **8. Fundraising, Income Generation, and Sustainability / Financial Viability**

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- 8.1 Have you secured funding beyond 2013?
- For how many months?
  - Does your organization have any debt?
  - Do you have a surplus?
    - Restricted or unrestricted?
  - For how many months could your organization continue operating with your current overhead and operating expenses?
- 8.2 From where did your organization get its funding in 2010-2012 (primarily local sources or international sources; governmental or non-governmental)?
- Could we perhaps see a list of funders and amounts?
  - What was your total budget in 2010?
  - What was your total budget in 2012?
  - What percentage of your budget in 2012 was “unrestricted”/savings (*not operational*)?
  - How do you go about communicating with and/or maintaining relationships with donors (*e.g. newsletter, annual report, invitations, meetings*)?
  - How are you working to cultivate new relationships with donors, if at all?
- 8.3 How do you go about planning for the financial sustainability of your organization? Do you have a fundraising strategy or plan? For what period?
- How do you go about identifying funding opportunities?
    - Who works on this? (*one person or team*)
  - What new fundraising ideas have you tried recently?
  - How does your organization fundraise from donors: do you write proposals yourself or does somebody else assist you?
- 8.4 Do you collect membership fees?
- How much are they?
  - How often are they collected?
  - What percentage of your overall budget do they comprise?
- 8.5 What sorts of contributions do you receive from the community? (*volunteers; business contributions of space, materials*)
- Do businesses offer discounts to your organization?
  - Do you have a program to recruit and train volunteers?
  - Who manages volunteers / how?
  - What sorts of fundraising events do you hold involving the community?
  - Approximately what percentage of your budget do these donations comprise?
- 8.6 Does your organization have any revenues/income from goods and services?
- How often?
  - What percentage of your budget does this income comprise?

## **9. Service Provision**

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- 9.1 What are needs and priorities of your constituents and communities?
- How do you go about identifying their needs?
  - How do you go about fulfilling their needs through your services?
  - [*Researcher only: Do the goods and services that the CSO produces reflect the needs and priorities of their constituents and communities?*]

- 9.2 How do you know that constituents want/need the types of services you provide?
- Do constituents pay for the goods and services you provide?
  - Do you have a standard fee structure or sliding scale?
- 9.3 Does the government contract your organization to provide services?
- How often?
  - Is the amount sufficient to cover all costs associated with these programs?
- 9.4 Do local businesses contract your organization to provide services?
- How often?
  - Is the amount sufficient to cover all costs associated with these programs?

## **10. Public image**

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- 10.1 Do you have a public relations strategy in place?
- What does it include (*targeted publications, audience, contacts*)?
  - Do you have a designated person responsible for PR?
  - How often do you receive media coverage?
  - At what levels (national/local)
- 10.2 How do you think the public feels about NGOs in general?
- *Do you think the public has any negative views about NGOs?*
  - What do you think the business sector in your community thinks about NGOs?
  - What does the government think about NGOs?
- 10.3 How do you publicize your activities or promote your public image? (*news, community meetings, press releases, media, promotional events, website, social media*)?
- How do you communicate with and dialogue with the community to involve them in your work?
  - How do you adapt PR materials to different audiences (examples)?
- 10.4 Does your organization publish an annual report?
- Does it contain information about your programs?
  - Finances?
  - How do you distribute it publicly and to whom?

**See Advocacy Index Guide last page**

## Annex 4. Advocacy Capacity Assessment Interview Guide

### Advocacy knowledge and experience

#### 1. First, we'd like to understand what does the term "advocacy" mean to you?

**Introduction:** Thank you. Many definitions of advocacy exist. It can be defined as "an active process through which citizens seek to influence political and social change. Effective advocacy often includes various steps or activities as part of the advocacy process. Some of these steps can include:

- 1) Ensuring the issue is timely and important;
- 2) Devising a strategy or action plan;
- 3) Collecting information about the issue like through research and talking to stakeholders;
- 4) Formulating a position or recommendations on the issue;
- 5) Securing sufficient resources for the initiative;
- 6) Building partnerships or coalitions with other interested groups;
- 7) Taking actions or activities to promote your position or recommendations on the issue; and
- 8) Monitoring any changes resulting from your efforts to ensure that they are implemented well.

In short, though, maybe we can define advocacy as:

#### Advocacy

"An active process through which citizens seek to influence political and social change."

#### 2. Based on this broad definition, in what year was your organization's first advocacy initiative?

#### 3. Altogether, approximately how many advocacy initiatives has your organization carried out in the past?

#### 4. Please tell us about three advocacy initiatives that you have undertaken in the last five years (since 2008). It would be best if these initiatives have been completed:

Nr.	Year(s)	Problem	Aim	What happened (result, if any)?
1				
2				
3				

Now we have some more specific questions about your past advocacy initiatives.

### 1. Issue is timely and significant

#### a. What evidence do you have from stakeholders themselves that the issue is important to stakeholders or beneficiaries?

- How do you know if \_\_\_\_\_ was important to diverse beneficiaries [e.g. age, gender, economic status, ethnicity]
- How about in \_\_\_\_\_ advocacy initiative: what evidence do you have that the issue was important to beneficiaries?

#### b. To what extent is the advocacy initiative important to the organization or its beneficiaries?

- What evidence do you have that it is important?
  - Examples from other advocacy initiatives?
- c. **What opportunities existed for your advocacy effort** on \_\_\_\_\_ . (e.g. upcoming elections)?
- How did the opportunities contribute to the effectiveness of your action?
  - Can you please give an example from a different advocacy initiative?
- d. **Before you started your advocacy initiative** on \_\_\_\_\_ , **what did key decision-makers think about your advocacy initiative?**
- Who were the key decision-makers?
  - In the beginning, how much did they accept your initiative?

## 2. CSO devises strategy or action plan for its advocacy initiative

- a. **When you first started your advocacy initiative** on \_\_\_\_\_ , **who were the key stakeholders?**
- What were their positions (views on the issue)?
- b. **Who, if anyone, was against or unconvinced about** \_\_\_\_\_ ?
- What plans, if any, existed to convince them?
  - Was your plan to convince them written?
- c. **Did you have a written action plan for** \_\_\_\_\_ ?
- What did it contain? (*activities, tasks assigned to specific staff members, due dates*)
- d. **Who was involved in creating the action plan for** \_\_\_\_\_ ? (e.g. *target groups, key stakeholders, beneficiaries, partners, decision-makers...were they involved?*)
- e. **What alternative options did you plan for** \_\_\_\_\_ **initiative, if any? [For example, if your first plan did not work, did you have alternative plans in place before you started your initiative?]**
- How many alternative plans did you have?

## 3. CSO collects information and input about the issue

- a. **Which decision-makers played an important role in** \_\_\_\_\_ **issue?**
- What did they know about the issue for which you were advocating?
  - At the outset of your initiative, do you know, what was their position on \_\_\_\_\_ ?
  - And in \_\_\_\_\_ initiative?
- b. **How was the public involved in providing information about** \_\_\_\_\_ , **if at all** (for example in *public meetings, focus groups, interviews, a survey*)? [Researcher: note if the public/people consulted went beyond the immediate stakeholders]
- How were women involved in providing information about \_\_\_\_\_ issue, if at all?
  - How were minorities involved in providing information about \_\_\_\_\_ issue, if at all?
  - How about in your other advocacy initiative on \_\_\_\_\_ : how was the public involved in providing information about \_\_\_\_\_ ?
- c. **[If they did a survey] How did you select your sample to collect information about** \_\_\_\_\_ ?
- How did you ensure input from all relevant groups was collected (e.g. women, minorities)?
  - How about for \_\_\_\_\_ advocacy initiative?
- d. **How did you use the information that you collected in** \_\_\_\_\_ **to make a summary, position paper, or recommendations?**
- And in other advocacy initiatives?
- e. **What existing legislation was relevant to your advocacy initiative on** \_\_\_\_\_ ?

- What about in other advocacy initiatives?

#### 4. CSO formulates a viable policy position on the issue

- How were stakeholders involved in formulating your recommendations on \_\_\_\_\_ advocacy initiative, if at all?**
  - How if at all was a gender perspective considered in formulating the recommendation? (Example?)
  - How were stakeholders involved in formulating recommendations in your other initiatives? For example?
- What was your position on the issue \_\_\_\_\_?**
  - (Researcher check: *is it clear? Is it convincing?*)
  - What was your policy position on \_\_\_\_\_ advocacy initiative?
- How has the information that you collected about the issue \_\_\_\_\_ informed your position, if at all?**
  - (Researcher check: *is it coherent? Is it persuasive? You can also examine the policy position itself for this question*)
  - How about in \_\_\_\_\_ advocacy initiative?

#### 5. CSO obtains and/or allocates resources (especially time and money for advocacy

- What contributions did you collect from people or groups in Kyrgyzstan to support your advocacy initiative on \_\_\_\_\_, if any (human, financial, etc.)?**
  - Who contributed (e.g. members, interested citizens, other organizations, businesses, Kyrgyz foundations, and/or religious groups)?
  - How about for your other advocacy initiative on \_\_\_\_\_?
- What resources did your organization assign to the advocacy initiative on \_\_\_\_\_?**
  - What types of resources (e.g. financial, human, other)?
  - To what extent did you have sufficient resources (e.g. staff, finances)?
  - How about in other advocacy initiatives?
- How were volunteers involved in your advocacy initiative, if at all?**
  - How many were involved?
  - Who within your organization managed their time/involvement, if anyone?
  - How was the board involved in your advocacy efforts, if at all (e.g. *speaking publicly, fundraising*)?
  - What did they do?
  - How about in your other advocacy initiative on \_\_\_\_\_: were volunteers involved??
- Which international agencies were interested in this issue?**
  - Did you apply to them for financial support for your advocacy around this issue?
  - Did they fund your organization?
  - How about for your other issue on \_\_\_\_\_?

#### 6. CSO builds coalitions & networks to cooperate in joint action on the issue

- Which individuals or groups outside your organization were involved in your advocacy initiative, if any? (Note: Researcher note how many and diversity of groups)**
  - How about in \_\_\_\_\_ advocacy initiative?

- b. **Was your organization involved in any coalition or working group on \_\_\_\_\_?**
- If a coalition did not exist, did you start one?
  - What role did you play in that coalition? (*Note: how active? Take lead? Steering committee?*)
  - How about for \_\_\_\_\_ advocacy initiative: were you involved in a coalition?
- c. **In \_\_\_\_\_ advocacy initiative, how did your organization share information with other organizations/groups that have similar interests, if at all?**
- Did you have ad-hoc or regular meetings?
  - Did you make joint plans to coordinate your efforts?
  - Did you share resources (e.g. financial, human)?
  - How about in \_\_\_\_\_: how did you share information with other organizations / groups?
- d. **In \_\_\_\_\_ initiative, how did you cooperate in any joint actions or partnerships with other interested groups?**
- Which other interested groups were involved (*Researcher: number*)?
  - How would you describe cooperation among the partner organizations?
  - Did you share human or financial resources with your partners?
  - How about for your other advocacy initiative on \_\_\_\_\_?

## 7. CSO takes actions to influence policy or other aspects of the issue

- a. **How did you engage media in \_\_\_\_\_, if at all? (*Researcher: multiple media covered advocacy initiative: radio, print, TV, different regions, debates, news*)?**
- How many media covered your advocacy initiative?
  - What about in \_\_\_\_\_ advocacy initiative?
- b. **Did you hold any meetings with the public to raise awareness about the issue and/or gain public support? [Examples...]**
- How many did you have?
  - How about in your other advocacy initiatives?
- c. **In \_\_\_\_\_, how did you involve your members or citizens in taking direct actions to advocate for the issue, if at all? (e.g. letter-writing, public demonstrations)**
- How many members / citizens were involved?
  - And in other advocacy initiatives?
- d. **In \_\_\_\_\_ initiative, how did you advocate for your policy position to relevant policy-makers, if at all? [e.g. testifying in hearings, personal visits to legislators, prominent public faces speaking publicly for the issue]**
- Who was involved [*Researcher: only CSO or other citizens, opinion-makers were involved as well; how many; diverse?*]
  - What about in \_\_\_\_\_ advocacy effort?
- e. **Did your organization prepare any law/policy or recommendations for a law?**
- **To whom did you give it?** (*Researcher: legislators*)
  - (*Researcher: take copy and review for the precision of the recommendations*)
  - How about in other advocacy campaigns?
- f. **In \_\_\_\_\_, in which formats did you present your policy position (posters, reports, pamphlets, official documents)?**
- To whom did you present each of these? [*Researcher did they present it in a format appropriate for the audience?*]
  - Was it presented orally or in writing?
    - If it was in writing, may we please see it?

- How did you change the format or information in your written policy position for different audiences, if at all (e.g. general public, minister, policy experts)?
- How about for \_\_\_\_\_ advocacy initiative?

**g. In \_\_\_\_\_ advocacy initiative, how did you present your position *visually* to stakeholders, if at all?**

- For example, did you use graphs or illustrations?
- Can we please see some examples?
- (*Researcher check examples: is it attractive? Is it effective?*)
- How about in other advocacy initiatives?

## 8. CSO takes follow up actions to foster implementation/public interest

**a. After the law/policy/court decision you advocated for was passed, what efforts have you taken to monitor the implementation of this decision?**

- How often did you monitor? [*Regular or ad-hoc*]
- How did you consult with stakeholders to see how the decision impacted them, if at all?
- And what about in \_\_\_\_\_ advocacy initiative?

**b. Who is responsible for monitoring the implementation of \_\_\_\_\_? (*Researcher: staff/volunteer*)**

- How much time did they dedicate to monitoring (*part/full-time*)?
- **Were any resources dedicated to monitoring?** Please explain.
- How about in \_\_\_\_\_ advocacy initiative?

**c. [If desired policy was not passed] did you continue to advocate for your recommendations?**

- Did you watch for opportunities to bring the issue up again? For example?
- Did you try a different approach? Please tell me about them.
- What about in \_\_\_\_\_ advocacy initiative?

**d. [If desired policy was not passed] How if at all did you monitor public awareness in your \_\_\_\_\_ initiative to look for examples, incidents, or opportunities to create a sense of urgency on the issue? For example?**

- How about in \_\_\_\_\_ advocacy initiative?

**We're curious to know if you found anything from our discussion today interesting or new?**

**Do you have anything else that you would like to add?**

### Documents to Collect

**I. Organizational Assessment**

- Mission statement
- Organizational strategy
- Annual report / financial report
- Examples of PR materials

**II. Advocacy Assessment**

- Copies of summaries / position papers
- Copies of written analyses of laws/policies (may be inside other research)
- Copy of law or recommendations for a law that the CSO drafted
- Copies of formats they presented their position / recommendations in (pamphlets, reports, etc.)

### Researcher notes

***To be completed by the researcher immediately after the interview***

*Please describe any issues encountered with the interview (e.g. the respondent did not have enough time to complete it and/or the interview was rushed; the respondent was hesitant to talk; the respondent expressed frustration with the long process and/or questions, etc.)*

*Please note any comments made by the respondent(s) during the interview, including: a) how they felt about the process and b) any comments made that illustrated learning/capacity-building (e.g. "Hmm, I never thought of that before"; "Oh, that's a good idea... [and/or] we'll do that next time.")*

## Annex 5. Advocacy Index Scorecard

Index Component	Scores				
	1	2	3	4	5
<b>1. Issue is timely and significant</b>					
<b>a. Issue is of vital concern to the group's constituents</b>	CSO has <b>no</b> evidence that the issue is of vital concern to constituents (e.g. from consultations or existing data) and/or does not know who constituents are; CSO <b>never</b> has such evidence	CSO has a <b>little</b> vague / poor quality evidence that issue is of concern to its constituents; CSO only <b>rarely</b> collects such evidence	CSO has <b>some</b> evidence that the issue is of concern to its constituents (but more/diverse constituents could have been consulted and/or more/better evidence could have been gathered); CSO <b>sometimes</b> but not always gathers evidence that the issue is vital to constituents.	CSO has <b>much</b> evidence that the issue is a vital concern to constituents, but fails to consider a some crucial constituents (e.g. by age, gender economic status, ethnicity, etc.); CSO <b>usually</b> collects evidence to identify issues as key concerns	CSO has <b>extensive</b> evidence from diverse constituents (e.g. age, gender, economic status, ethnicity etc.) that the issue is a vital concern; CSO <b>always</b> does this for every advocacy campaign
<b>b. Issue is critically important to the current or future well-being of the CSO and/or its clients, but its importance is not yet broadly understood</b>	Issue is <b>not</b> critically important and/or CSO has <b>not</b> considered whether it is important; CSO <b>never</b> considers/has such evidence	Issue is a <b>little</b> but not critically important; CSO has <b>minimal/poor quality</b> evidence that it is important; CSO <b>rarely</b> collects evidence of importance for advocacy campaigns	<b>Moderate</b> evidence exists that issue is <b>rather important</b> , but the evidence could be stronger; CSO only <b>sometimes</b> considers how the issue is important	CSO has <b>much</b> evidence that the issue is <b>very important</b> , but could still have stronger evidence; CSO <b>usually</b> gathers such evidence, but not always	CSO has <b>extensive</b> evidence that the issue is <b>critically</b> important; CSO always does this for <b>every</b> advocacy campaign
<b>c. New opportunities for effective action exist (Note: A51 may be upcoming elections, new governing authorities, public pressure, int'l pressure, newfound resources, CSO or other partners willing to support efforts, etc.)</b>	<b>No opportunities</b> for the action exist and/or CSO has <b>not</b> considered whether new opportunities exist or if they will be effective. CSO <b>never</b> considers whether opportunities for action exist	<b>Minimal</b> opportunities for the action exist and/or will contribute <b>little</b> to the effectiveness of the action; CSO <b>rarely</b> considers whether opportunities for advocacy actions exist	<b>A few</b> opportunities for action exist; the opportunities will contribute <b>somewhat</b> to the effectiveness of the action; CSO only <b>sometimes</b> considers opportunities for effective action	CSO identifies <b>multiple</b> opportunities; the opportunities will contribute to the <b>effectiveness</b> of the action; CSO <b>usually</b> identifies opportunities for effective action	CSO <b>details many</b> opportunities for <b>very effective</b> action; CSO can detail effective opportunities for <b>every</b> advocacy initiative
<b>d. At least a few key decision makers are receptive to the issue (Note: a "key" decision-maker is one who is relevant to the campaign)</b>	CSO does <b>not</b> know if decision-makers are receptive or <b>no</b> decision-makers are receptive; CSO <b>never</b> ensures a few key decision-makers are receptive	<b>Few</b> decision-makers are receptive and they are not key decision-makers; CSO <b>rarely</b> ensures key decision-makers are receptive.	<b>Some</b> decision-makers are receptive, but <b>few</b> are key decision-makers; CSO only <b>sometimes</b> ensures key decision-makers are receptive	<b>Multiple key</b> decision-makers are receptive; CSO <b>usually</b> ensures key decision-makers are receptive	<b>Many key</b> decision-makers are receptive to issue; CSO <b>always</b> ensures key decision-makers are receptive
<b>2. CSO devises strategy or action plan for its advocacy initiative</b>					
<b>a. CSO "maps" key stakeholders and their positions on the issue</b>	CSO <b>did not consider</b> any stakeholders or their position on the issue; CSO <b>never</b> considers key stakeholders or their position	CSO has <b>minimal</b> consideration of key stakeholders, but does not examine their positions; CSO <b>rarely</b> considers key stakeholders and their positions	CSO has <b>some</b> consideration of key stakeholders <b>and some mapping</b> of their positions on the issue; CSO <b>sometimes</b> considers key stakeholders and their positions	CSO undertakes <b>basic</b> mapping exercise of key stakeholders and their positions on the issue; CSO <b>usually</b> undertakes such a mapping exercise	CSO undertakes <b>extensive, detailed</b> mapping of the key stakeholders and their positions on the issue; CSO <b>always</b> undertakes such mapping

<b>b. Strategy considers ways to bring uncommitted and opposition groups over to CSO's side</b>	CSO does <b>not</b> have any strategy; CSO <b>never</b> has any strategy	CSO identifies who uncommitted or opposition might be, but does not make strategy to convince them; CSO <b>rarely strategizes</b> to convince uncommitted/opposition	CSO identifies uncommitted OR opposition as well as <b>strategy</b> to convince them; CSO <b>sometimes</b> considers strategy for uncommitted or opposition	CSO identifies uncommitted and opposition, as well as some strategy to convince them; CSO usually identifies uncommitted and opposition	CSO identifies <b>uncommitted and opposition</b> and has <b>clear strategy</b> for convincing them; CSO <b>always</b> has clear strategy for convincing them
<b>c. CSO makes strategy or work plan with concrete activities and tasks assigned</b>	CSO does <b>not</b> have any strategy; CSO <b>never</b> has any strategy	CSO has <b>vague, unwritten</b> strategy; CSO <b>rarely</b> has any strategy	CSO has <b>some</b> strategy, but it is not very specific; CSO <b>sometimes</b> has a strategy	CSO has <b>clear strategy</b> with activities but perhaps unclear who will do them; CSO has <b>usually</b> has strategy	CSO has <b>very clear</b> strategy with concrete activities and <b>tasks assigned</b> to relevant persons; CSO <b>always</b> has such a clear strategy
<b>d. Diverse stakeholders involved in compiling strategy</b>	CSO does <b>not</b> involve any stakeholders in compiling strategy; CSO <b>never</b> involves stakeholders in compiling strategy	CSO consults <b>minimally</b> with a <b>few</b> stakeholders; CSO <b>rarely</b> consults with stakeholders in compiling strategy	CSO consults <b>some</b> with <b>key</b> stakeholders; CSO <b>sometimes</b> consults with stakeholders in compiling strategy	CSO consults with <b>multiple</b> key stakeholders in compiling strategy; CSO <b>usually</b> consults with key stakeholders for strategy	CSO consults <b>extensively</b> with <b>diverse</b> stakeholders; CSO <b>always</b> consults with diverse stakeholders in compiling strategy
<b>e. Various possible strategies or approaches to advocacy are considered, including a contingency</b>	CSO does <b>not</b> consider alternative approaches; CSO <b>never</b> considers alternative approaches	CSO has <b>vague, minimal</b> consideration of alternative strategies; CSO <b>rarely</b> considers alternative approaches	CSO <b>considers carefully</b> 1-2 alternative advocacy strategies; CSO <b>sometimes</b> considers alternative strategies	CSO <b>carefully considers multiple</b> possible advocacy strategies; CSO <b>usually</b> considers multiple possible strategies	CSO <b>carefully considers a full range</b> of possible alternative strategies and makes <b>contingency plans</b> ; CSO <b>always</b> considers alternative strategies
<b>3. CSO collects information and input about the issue</b>					
<b>a. Relevant government agencies and their respective roles in the issue are identified at national and local levels; knowledge and positions investigated</b>	CSO <b>did not</b> consider which agencies were relevant, their roles, knowledge about the issue or position on the issue; CSO <b>never</b> considered this in advocacy efforts	CSO identified a <b>few</b> government agencies, but they are <b>not relevant</b> ; CSO has very vague notion of what the gov. roles, knowledge about the issue and/or position on the issue are. CSO <b>rarely</b> examines relevant gov. agencies' roles, etc.	CSO identifies <b>some relevant</b> gov. agencies; has <b>some</b> understanding of their roles, knowledge about the issue, and/or position on the issue; CSO <b>sometimes</b> identifies the relevant gov. agencies and their roles, knowledge, and position on issues.	CSO identifies <b>all relevant</b> gov. agencies; knows their roles; has <b>some</b> understanding of the relevant agencies' knowledge and/or positions on the issue; CSO <b>usually</b> identifies relevant gov. agencies and has some understanding.	CSO identifies <b>all relevant</b> gov. agencies; investigates <b>extensively</b> their roles, knowledge and position regarding the issue; CSO <b>always</b> does this for every advocacy initiative.
<b>b. General public input is solicited (including from women and minorities) on the issue via public meetings, focus groups, etc.</b>	CSO <b>did not</b> collect any public input; CSO <b>never</b> collects any public input.	CSO collected <b>ad-hoc</b> public input from a few non-representative people; CSO <b>rarely</b> collects public input	CSO gathers <b>some</b> public input on the issue, but diverse interests/input are not included and/or the method of collecting input is inappropriate; CSO only <b>sometimes</b> gathers public input	CSO gathers <b>diverse</b> public input, but the method(s) could have been more appropriate and/or more diverse input gathered (e.g. beyond immediate stakeholders); the CSO <b>usually</b> collects public input from diverse stakeholders	CSO <b>extensively collected</b> input about the issue from <b>diverse</b> members of the general public (women, minorities, ages, economic status, etc.), including from beyond immediate stakeholders using <b>appropriate</b> methods; CSO <b>always</b> collects such diverse input for its advocacy

c. Representative input is collected on the issue via surveys (including from women and minorities, where appropriate)	CSO does <b>not</b> use a survey to collect representative input; CSO <b>never</b> collects representative input	CSO collects <b>ad-hoc/informally</b> input, but it is not representative and/or does not include women and minorities although their input is appropriate; CSO <b>rarely</b> collects representative input	CSO uses survey to collect representative input on the issue, but sampling is <b>problematic</b> and/or relevant groups (e.g. women and minorities) are not represented; CSO only <b>sometimes</b> gathers representative input	CSO uses survey to collect representative input on the issue, including from relevant groups (e.g. women and minorities); CSO <b>usually</b> carries out representative surveys to collect input	CSO uses a survey to collect representative input on the issue, including from relevant groups (e.g. women and minorities); CSO <b>always</b> uses a survey to collect representative input for its advocacy initiatives
d. Existing information and data collected on the issue is used in summaries and/or to inform policy position papers	CSO <b>does not</b> use collected information and data on the issue in making policy recommendations; CSO <b>never</b> uses existing information or data for advocacy positions	CSO does <b>not</b> compile information/data in a summary or position paper; CSO <b>rarely</b> uses information on the issue	CSO writes a <b>basic</b> summary/position paper using that information; CSO <b>sometimes</b> does this	CSO uses the information collected to write a <b>good</b> summary/position paper; CSO <b>usually</b> does this	CSO uses information and data in a <b>well-written</b> summary/position paper on the issue; CSO <b>always</b> does this
e. Policy analyses, such as the legal, political, social justice, or health aspects of the issue, are conducted	CSO <b>does not</b> conduct policy analyses on the issue; CSO <b>never</b> conducts policy analyses on the issue	CSO conducts <b>weak</b> policy analysis; CSO <b>rarely</b> conducts policy analyses to inform advocacy initiatives	CSO analyzes a <b>few</b> policies on the issue (though not all that are relevant); CSO <b>sometimes</b> does this	CSO analyzes <b>multiple</b> relevant policies; CSO <b>usually</b> does this	CSO analyzes <b>all</b> relevant policies; CSO <b>always</b> does this
<b>4. CSO formulates a viable policy position on the issue</b>					
a. Policy formulation done in participatory (and gender-sensitive) manner	CSO <b>does not</b> involve stakeholders in formulating its policy position; CSO <b>never</b> involves stakeholders in formulating the policy position	CSO has <b>minimal</b> involvement of stakeholders in formulating its policy position; CSO <b>rarely</b> involves stakeholders in formulating its policy position	CSO <b>involves</b> stakeholders in formulating its policy position, but some key stakeholders are left out and/or a gender perspective is not considered; CSO <b>sometimes</b> involves stakeholders in formulating its policy position	CSO involves <b>diverse stakeholders</b> in formulating its policy position; the policy position is <b>gender-sensitive</b> ; the CSO <b>usually</b> involves diverse stakeholders in formulating its policy position	CSO involves <b>diverse stakeholders</b> in formulating its policy position; the policy position is <b>gender-sensitive</b> ; the CSO <b>always</b> involves diverse stakeholders in formulating its policy position
b. Policy position is clearly and convincingly articulated <i>(Note: this does not have to be in writing, though it might help)</i>	CSO <b>does not</b> have a clearly or convincingly articulated policy position; CSO <b>never</b> has a clear or convincingly articulated policy position	CSO has a policy position, but it is <b>unclear and unconvincing</b> ; CSO <b>rarely</b> has a clear/convincing policy position	CSO has a policy position that is <b>somewhat</b> clear OR convincing (but not both); CSO <b>sometimes</b> has clear or convincing policy position	CSO has a <b>rather clear and convincing</b> policy position; CSO <b>usually</b> has a clear and convincing policy position	CSO has a <b>very clear and very convincing</b> policy position; CSO <b>always</b> has a very clear and very convincing policy position
c. Rationale for policy is coherent, persuasive, and uses information collected in component 2	CSO <b>does not</b> have coherent, persuasive rationale for its policy position; CSO <b>does not</b> draw from information collected (2); CSO <b>never</b> does this	CSO has <b>rationale</b> for policy position, but it is <b>incoherent and unpersuasive</b> ; CSO uses <b>minimal</b> information collected (2) to formulate rationale; CSO <b>rarely</b> has coherent/persuasive rationale with (2) information for its policy position	CSO has a <b>rationale</b> for its policy position that is <b>coherent OR persuasive</b> (not both); CSO uses <b>some</b> information that it collected (2) to support its policy position; CSO <b>sometimes</b> has coherent or persuasive position based on information collected (2)	CSO has a <b>coherent and persuasive rationale</b> for its policy position; CSO uses a <b>lot</b> of information that it collected (2) to support its policy position; CSO <b>usually</b> has a coherent, persuasive rationale that is based on information collected (2)	CSO has a <b>very coherent and very persuasive rationale</b> for its policy position, which is supported by <b>extensive</b> evidence collected (2); CSO <b>always</b> has/does this

5. CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue					
<b>a. Contributions [financial] collected from members, interested citizens, and/or from other [local] organizations (businesses, foundations, religious groups, etc.)</b>	CSO <b>does not</b> collect any contributions from local groups; CSO <b>never</b> does this	CSO collects a contribution from <b>1</b> of these local groups; CSO <b>rarely</b> collects contributions from local groups	CSO collects contributions from <b>2</b> of these local groups; CSO <b>sometimes</b> collects contributions from local groups	CSO collects contributions from <b>3</b> of these local groups; CSO <b>usually</b> collects contributions from local groups for its advocacy initiatives	CSO collects contributions from <b>4+</b> local groups; CSO <b>always</b> collects contributions from multiple local groups
<b>b. Financial or other resources assigned to the issue from within the CSO</b>	CSO <b>does not</b> assign any of its own resources to the advocacy initiative; CSO <b>never</b> assigns any resources to its advocacy initiatives	CSO assigns <b>minimal/insufficient</b> resources for the advocacy initiative; CSO <b>rarely</b> assigns sufficient internal resources for its advocacy initiatives	CSO assigns <b>some financial OR human</b> resources to the advocacy initiative, but could allocate more resources; CSO <b>sometimes</b> assigns these resources	CSO assigns <b>financial and human</b> resources to the advocacy initiative; CSO <b>usually</b> assigns financial and human resources to its advocacy initiatives	CSO assigns <b>significant financial and human</b> resources to the advocacy initiative; CSO <b>always</b> assigns significant resources to its advocacy initiatives
<b>c. Volunteer time to help advocate for the issue obtained and well managed (including from the Board)</b>	CSO <b>does not</b> engage any volunteers in its advocacy; CSO <b>never</b> engages volunteers in its advocacy	CSO engages <b>1-2</b> volunteers in its advocacy effort but <b>not Board</b> members and/or they are <b>not well-managed</b> ; CSO <b>rarely</b> engages volunteers in its advocacy	CSO engages <b>a few</b> volunteers in its advocacy effort and <b>1-2 Board members</b> ; the volunteers receive <b>some, but insufficient</b> oversight/management; CSO only <b>sometimes</b> engages volunteers	CSO engages <b>many</b> volunteers in its advocacy, <b>including Board members</b> ; a staff person is <b>responsible</b> for managing the volunteers; CSO <b>usually</b> involves volunteers in its advocacy	CSO <b>consistently</b> engages <b>numerous</b> volunteers, <b>including Board members</b> in its advocacy; their time is <b>well-managed</b> by a designated staff person; the CSO <b>always</b> does this in its advocacy
<b>d. International agencies with interests in the issue area identified, and their procedures for applying for financial support determined</b>	CSO <b>does not</b> identify any int'l agencies interested in the issue or apply for financial support; CSO <b>never</b> identifies int'l agencies that may be interested in supporting their advocacy	CSO identifies <b>1</b> int'l agency interested in the issue, but <b>does not apply</b> for financial support; CSO <b>rarely</b> identifies int'l agencies interested in supporting their advocacy	CSO identifies <b>1-2</b> int'l agencies interested in the issue and <b>applies</b> for financial support; CSO <b>sometimes</b> identifies and applies to int'l agencies interested in the issue	CSO identifies <b>multiple</b> int'l agencies interested in the issue, <b>applies, and secures financial support</b> from <b>1 agency</b> for their advocacy initiative; CSO <b>usually</b> identifies, applies, and secures support from at least 1 agency	CSO identifies <b>multiple</b> int'l agencies interested in the issue, <b>applies, and secures financial support</b> from <b>2+ agencies</b> for their advocacy initiatives; CSO <b>always</b> secures support from multiple int'l agencies for its advocacy
6. CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue					
<b>a. Other groups and individuals with interests concerning the issue identified or persuaded to take an interest (may include govt. organizations which share concerns)</b>	CSO <b>does not</b> persuade/involve any stakeholders in the advocacy initiatives; CSO <b>never</b> involves other stakeholders in advocacy	CSO persuades <b>1</b> other stakeholder to become involved in the advocacy initiative; CSO <b>rarely</b> involves other stakeholders in advocacy	CSO persuades <b>a few</b> groups or individuals to become involved in the advocacy initiative; CSO <b>sometimes</b> involves groups/individuals in advocacy	CSO persuades <b>multiple</b> groups and individuals to become involved in the advocacy initiative; CSO <b>usually</b> convinces multiple individuals and groups to become involved its advocacy	CSO persuades <b>many diverse</b> groups and individuals to become involved in the advocacy initiative; CSO <b>always</b> persuades a many diverse individuals and groups to be involved
<b>b. [Participation and/or formation of a] coalition/network (defined as any type of joint working group) [around the specific advocacy issue]</b>	CSO <b>does not</b> form or participate in any type of coalition/working group; CSO <b>never</b> participates in coalitions/working groups	CSO <b>once</b> participated in a coalition/working group on the issue, but the coalition is <b>inactive</b> now and/or the CSO no longer participates in it; CSO <b>rarely</b> participates in coalitions/working groups	CSO participates <b>sometimes</b> in coalitions/working groups on the issue; CSO <b>sometimes</b> is involved in coalitions/working groups related to its advocacy efforts	CSO <b>often</b> participates <b>actively</b> in coalitions/ working groups on the issue; CSO <b>usually</b> participates in coalitions/working groups related to its advocacy efforts	CSO participates <b>actively</b> in coalitions/ working groups on the issue and <b>takes a lead</b> in these groups (e.g. forming them if they do not exist); CSO <b>always</b> participates in relevant coalitions/working groups

c. <i>[Coordination, cooperation, and information-sharing]</i> with other NGOs/groups that have similar interests, such as by having informal contacts, joint meetings, identifying common interests, etc.	CSO <b>does not</b> meet with other interested parties; CSO <b>never</b> coordinates its advocacy efforts with other potentially interested groups	CSO participates in a <b>few informal</b> meetings with other interested parties; CSO <b>rarely</b> coordinates efforts with other potentially interested groups	CSO meets <b>regularly</b> with other groups that have a similar interest to share information, but they <b>do not coordinate</b> formally; CSO <b>sometimes</b> coordinates its advocacy efforts with other interested groups	CSO <b>regularly</b> meets other groups with a similar interest to share information and coordinate joint efforts; CSO <b>usually</b> has such cooperation with other groups for its advocacy efforts	CSO <b>regularly</b> meets other groups with a similar interest to share information, <b>coordinate</b> joint efforts, and <b>share</b> resources; CSO <b>always</b> has such cooperation with other groups for its advocacy efforts
d. Joint or coordinated actions planned [partnerships] (see #6 and #7 below, for carrying out the actions, including sharing resources)	CSO <b>does not plan</b> any joint actions or share resources with other stakeholders; CSO <b>never</b> plans such advocacy efforts with other interested groups	CSO makes some <b>informal</b> plans with another group, but the plans are <b>not implemented and resources are not shared</b> ; CSO <b>rarely</b> plans to coordinate actions with other interested groups	CSO plans <b>concrete</b> joint actions/partnerships with <b>one</b> other group and <b>implements</b> this action, but <b>does not</b> share resources; CSO <b>sometimes</b> plans and implements coordinated actions	CSO plans <b>concrete</b> joint actions/partnerships with <b>multiple</b> other interested groups and implements the action, though perhaps the coordination could be <b>improved/ resources better shared</b> ; CSO <b>usually</b> partners with other groups	CSO plans and implements <b>concrete</b> joint actions/partnerships with <b>multiple</b> interested groups ( <b>good coordination</b> occurs among the groups, including <b>sharing of resources</b> ); CSO <b>always</b> has such quality partnerships with multiple stakeholders
<b>7. CSO takes actions to influence policy or other aspects of the issue</b>					
a. CSO involves diverse media in quality coverage of the issue, towards raising public awareness and securing public support	CSO <b>does not have</b> any media coverage; CSO <b>never</b> has any media coverage of its advocacy initiatives	CSO initiative/issue is <b>poorly</b> covered by 1 media; CSO <b>rarely</b> has media coverage as part of its advocacy	CSO receives coverage in 2-3 <b>media</b> ; coverage is of <b>ok</b> quality; CSO <b>sometimes</b> has media coverage	CSO <b>quality media coverage from multiple</b> sources; CSO <b>usually</b> has coverage of its advocacy	CSO generates <b>extensive quality</b> media coverage from <b>diverse</b> sources; CSO <b>always</b> has news coverage and public meetings as part of its advocacy
b. Public meetings increase public awareness of the issue and encourage citizen involvement ( <i>involving diverse stakeholders</i> )	CSO <b>does not have</b> any public meetings; CSO <b>never</b> has any news releases or public meetings for its advocacy initiatives	CSO has <b>1</b> public meeting to raise awareness / influence policy; CSO <b>rarely</b> has public meetings as part of its advocacy	CSO holds <b>2-3 public meetings</b> to raise awareness / influence policy; CSO <b>sometimes</b> has public meetings as part of its advocacy	CSO organizes <b>multiple</b> public meeting to raise awareness/ influence policy (though participants not diverse); CSO <b>usually</b> has public meetings as part of its advocacy	CSO organizes <b>multiple</b> public meeting <b>that</b> raise awareness/ influence policy; CSO <b>always</b> has public meetings as part of its advocacy
c. Members/citizens encouraged to take appropriate actions, such as writing letters to legislators	CSO <b>does not</b> involve members/citizens in taking actions; CSO <b>never</b> involves members/citizens in direct actions	CSO involves <b>1-2</b> members/citizens in direct actions; CSO <b>rarely</b> involves members/citizens in direct actions	CSO involves <b>a few</b> members/citizens in direct actions; CSO <b>sometimes</b> involves members/citizens in direct actions	CSO involves a <b>multiple</b> members/citizens in direct actions; CSO <b>usually</b> involves members/citizens in direct actions	CSO involves <b>multiple and diverse</b> members/ citizens in <b>numerous</b> direct actions; CSO <b>always</b> involves members/citizens in direct actions
d. Active lobbying conducted for the policy position, such as by testifying in hearings, personal visits to legislators, etc.	CSO <b>does not</b> actively lobby for its policy position; CSO <b>never</b> actively lobbies for its policy position	CSO undertakes <b>minimal, ad-hoc</b> lobbying for its policy position; CSO <b>rarely</b> lobbies actively for its policy position	CSO undertakes <b>some organized</b> lobbying efforts for its policy position; CSO <b>sometimes</b> lobbies actively for its policy position	CSO undertakes <b>multiple, active</b> lobbying efforts for its policy position and involves <b>a few</b> other stakeholders in lobbying; CSO <b>usually</b> lobbies actively for its policy position	<b>CSO and members/ citizens</b> actively lobby for policy position, using a <b>diverse</b> range of skills (e.g. testimonies, meetings with legislators, famous faces, etc.); CSO <b>always</b> involves <b>diverse</b> stakeholders in active lobbying

e. Model legislation drafted and circulated to legislators	CSO <b>does not</b> participate in drafting legislation or circulating it to legislators; CSO <b>never</b> participates in drafting/circulating legislation	CSO drafts <b>some</b> policy ideas but <b>does not circulate</b> them to legislators; CSO <b>rarely</b> drafts/circulates draft legislation to legislators	CSO drafts <b>some</b> policy ideas <b>and circulates</b> them to legislators; CSO <b>sometimes</b> drafts/ circulates draft legislation to legislators	CSO drafts <b>model legislation and circulates</b> it to legislators; CSO <b>usually</b> drafts/circulates legislation	CSO drafts <b>precise model legislation and circulates</b> it broadly to legislators; CSO <b>always</b> drafts/circulates model legislation to legislators
f. Policy being advocated exists in writing, with formats and levels of detail that are appropriate for various audiences and policy makers	CSO <b>does not</b> have any written documentation of policy position; CSO <b>never</b> has any written documentation of its policy positions	CSO has <b>one</b> format/type of documentation of its policy position that is <b>does not</b> have the appropriate format/detail for the relevant audience; CSO <b>rarely</b> has a written policy position	CSO has <b>2 versions/</b> formats of its policy position in <b>writing</b> , but the format/ level of detail is only <b>somewhat</b> appropriate for the relevant audiences; CSO <b>sometimes</b> has multiple versions of its policy position in writing	CSO has <b>3 versions/</b> formats of its policy position in writing; the formats/level of detail <b>are adjusted</b> to the <b>appropriate</b> audiences (but perhaps <b>not all</b> relevant audiences); CSO <b>usually</b> does this	CSO has <b>4+</b> versions / formats of its policy position in writing; they <b>all</b> have the <b>appropriate</b> formats/levels of detail for <b>all relevant</b> audiences; the CSO <b>always</b> does this
g. Presentation of policy position uses attractive and effective formats, such as graphs	CSO <b>does not</b> present policy position visually; CSO <b>never</b> does this.	CSO presents policy position in an <b>unattractive and ineffective</b> format; CSO <b>rarely</b> presents the policy position in an attractive or effective format	CSO presents policy position in an <b>attractive OR effective</b> format (not both); CSO <b>sometimes</b> uses an attractive OR effective format.	CSO presents policy position in an <b>attractive and effective</b> format; CSO <b>usually</b> does this	CSO presents policy position in a <b>very attractive and very effective</b> format; CSO <b>always</b> does this
<b>8. CSO takes follow up actions, after a policy decision is made, to foster implementation and/or to maintain public interest</b>					
a. Monitoring the implementation of a newly passed law, policy or court decision, such as by making sure that authorized government funds are disbursed or implementing regulations written and disseminated, checking implementation in field sites, asking members for feedback on how well it is working, etc.	CSO has <b>not undertaken any</b> monitoring efforts; CSO <b>never</b> undertakes any monitoring efforts	CSO carries out <b>minimal, ad-hoc</b> monitoring; CSO <b>rarely</b> carries out monitoring	CSO carries out <b>some planned</b> monitoring activities, but these are insufficient; CSO <b>sometimes</b> monitors	CSO has plan for monitoring the implementation and <b>regularly</b> monitors the implementation; CSO <b>usually</b> monitors implementation	CSO has <b>detailed</b> plan and <b>regularly</b> monitors implementation, including by <b>consulting relevant stakeholders</b> to see how the policy change has impacted them; CSO <b>always</b> monitors implementation
b. Some staff or volunteer time and resources are allocated to the issue or policy for monitoring	CSO <b>has not</b> allocated any staff/volunteer time or resources to monitoring; CSO <b>never</b> allocates time/resources to monitoring	<b>Minimal</b> staff/volunteer time <b>OR resources</b> allocated to monitoring (not both); CSO <b>rarely</b> allocates time/ resources to monitoring	<b>Some</b> staff/volunteer time <b>and</b> some resources allocated to monitoring; CSO <b>sometimes</b> allocates time/resources to monitoring	<b>Significant</b> staff/volunteer time <b>and resources</b> allocated to monitoring; CSO <b>usually</b> allocates time and resources to monitoring	<b>Full-time</b> staff and <b>extensive</b> resources allocated to monitoring; CSO <b>always</b> monitors implementation
c. [If desired policy was not passed] At least a minimal level of advocacy methods maintained to take advantage of next opportunity for pressing the issue, perhaps with a reformulated approach or different specifics	CSO did <b>not</b> undertake any follow-up efforts to try to get the policy recommendations passed; CSO <b>never</b> undertakes such follow-up advocacy	CSO had <b>little/ad-hoc</b> advocacy for the policy recommendations to be passed; CSO <b>rarely</b> undertook follow-up advocacy	CSO undertakes <b>some strategic</b> advocacy for the policy recommendations to be passed; CSO <b>sometimes</b> undertakes follow-up advocacy	CSO undertakes <b>continuous</b> follow-up advocacy for the policy recommendations, including <b>some</b> monitoring of opportunities to renew pressure <b>OR</b> try a new approach; CSO <b>usually</b> undertakes such follow-up advocacy	CSO undertakes <b>continuous</b> follow-up advocacy for the policy recommendation, including <b>close</b> monitoring and <b>use</b> of opportunities to renew pressure <b>and</b> trying new approaches; CSO <b>always</b> undertakes such follow-up advocacy

<p><b>d. [If desired policy was not passed] Public awareness and interest in issue monitored, to look for examples, incidents, opportunities to create or renew a sense of urgency on the issue</b></p>	<p>CSO did <b>not</b> monitor public awareness/ interest in the issue for ways to renew urgency on the issue; CSO <b>never</b> monitors opportunities for renewed pressure</p>	<p>CSO had <b>little/ad-hoc</b> monitoring of public awareness/interest in the issue and/or ways to renew urgency; CSO <b>rarely</b> monitors opportunities for renewed pressure</p>	<p>CSO undertakes <b>some</b> monitoring of public awareness/interest in the issue and has <b>some</b> monitoring of opportunities to create a renewed sense of urgency; CSO <b>sometimes</b> monitors opportunities for renewed pressure</p>	<p>CSO undertakes <b>continuous</b> monitoring of public awareness and opportunities to renew interest in the issue; CSO <b>usually</b> monitors opportunities for renewed pressure</p>	<p>CSO undertakes <b>continuous</b> monitoring of public awareness and <b>utilizes</b> every opportunity to renew interest in the issue; CSO <b>always</b> monitors opportunities for renewed pressure</p>
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## Annex 6. Organizational Capacity Assessment Index Scorecard

#	Dimensions	Scores				
		1	2	3	4	5
<b>1</b>	<b>Organizational Review and Self-Assessment</b>					
1.14	<b>Organization undertakes self-evaluation and is able to identify factors inhibiting organizational development and remedy problems</b>	Organization does not undertake any self-evaluation and has no procedural mechanism to identify and remedy problems.	Key organizational leader uses his/her individual expertise and impressions to informally determine needs of the organization. When problems emerge leader generally handles them.	Board and management meet on an ad hoc basis to discuss activities and share their personal assessments in areas of concern. Management addresses issues through policy and procedures.	Board, management, key staff meet periodically to assess the strengths and weaknesses of each element of the organization. Problems are identified and suggestions from others solicited.	Board, management, key members/stakeholders and key staff participate routinely in a formalized process of assessment and systematically examine and rank each element of the organization. All levels of management and staff are involved in solving problems and implementing solutions.
<b>2</b>	<b>Governance, Leadership and Decision-Making</b>					
2.1	<b>Statute exists and is upheld</b>	No statute exists.	Statutes still being developed.	Written statutes exist, but some elements need revisions and some are not upheld.	Written statutes exist and are upheld but need revision to best serve the organization.	Written statutes exist, are upheld, and are periodically reviewed and improved upon.
2.2	<b>Roles of governing body, management, and staff are clearly defined and separate and all levels are actively engaged.</b>	Governing body and management are the same or overlap substantially with little separation of roles. No organizational chart. Governing body is not active.	Governing body and management have some separation of duties on organizational chart, but actual roles are not clearly defined. Meetings of governing body are ad hoc and do not provide substantial guidance to the organization.	The governing body and management exist as separate entities on an organizational chart, but in practice their functions are not clearly defined. Governing body meets regularly but not frequently and guidance provided to organization is ad hoc.	The roles of both the governing body and management are defined in organizational chart; in practice there are still a few role ambiguities and communication issues. Governing body meets routinely and provides strategic direction to the organization.	The roles of the governing body and management are clearly defined in an organizational chart, understood and functionally practiced by all parties. Governing body meets routinely and fulfills all functions, including strategic guidance, hiring of executive leadership, recruitment of new members of governing body, and financial oversight.
2.3	<b>Leadership is shared and democratic</b>	A single individual controls all functions. Staff/volunteers have no input in decision-making.	A small group controls all functions. Staff/volunteers have no input in decision-making.	Most decisions made by small group with limited input from staff, members or stakeholders. Staff/volunteers are not informed about decision-making processes or their outcomes.	Management is consultative and authority is regularly delegated. Leadership provides general framework, direction, and management style includes space for consultation and consensus.	Leadership is a shared function, transparent and accountable. Staff, volunteers & members contribute to policy development. All have clear understanding of their roles.
2.4	<b>Principles of diversity and gender balance are institutionalized</b>	Organization does not consider issues of diversity or gender balance.	Organization is very constrained in considering issues of diversity and/or gender balance (e.g. by external factors).	Diversity and gender are randomly discussed and staff has some diversity and gender balance, mostly at the lower levels.	Entry-level staff and mid-level management are diverse and gender balanced, but top management and governing bodies are not.	Staff, management, and governing bodies are diverse and gender balanced through conscious planning, outreach, recruitment, and promotion. Inclusion and respect are guiding principles throughout.

3 Strategic Analysis and Planning						
3.1	<b>There is a clear vision which informs all activities and a clear mission understood at all levels</b>	No vision or mission or unclear vision or mission. Activities do not align with vision or mission.	Vague idea of the organization's vision and mission related to members and/or society, but there is no clear or written statement and/or activities are not aligned.	Vision and/or mission articulated and written but perhaps not all members are aware of it. There is some connection - but no systematic link - between vision, mission and planning or activities.	Vision and mission are articulated and written, clear to staff, volunteers, members and key stakeholders. Planning, budgeting and decision-making and are generally linked to mission.	Vision and mission are articulated and written, clear to staff, volunteers, members and key stakeholders. All planning, budgeting, decision-making, and organizational activities are in line with vision and mission.
3.2	<b>Strategic analysis leads to a strategic plan that is understood and implemented at all levels</b>	No oral or written plan exists and/or plan is gathering dust on the shelf.	No oral or written plan, but strategy is discussed as needed and/or CSO has some informal / ad hoc plans. Members know they need to implement plans but never find the time due to urgency of other activities.	CSO undertakes basic strategic planning and has simple strategic plan that requires oral explanation to understand. Key members of the organization formally meet to initiate plans, but are sometimes blocked by resistance from other members or staff.	A basic 2-3 year plan exists but is not shared with the wider organization and is not reviewed and updated. Stakeholders do not assist with compiling the plan. Key members of the organization meet to initiate plans, and are able to solicit some support and implementation within the organization.	A thorough plan (2-3 years) developed through internal/external analysis and written in such a way that all can understand the background, strategies and action plan. This plan is updated at least annually and circulated to the entire organization. Stakeholders participate in formulating the plan. All members of the organization formally meet to initiate plans, and are able to solicit full support and implementation within the organization.
3.3	<b>A written work plan or action plan exists and is followed</b>	No written plan.	Work planning is largely ad hoc. A sketchy outline exists but requires oral explanation to understand.	Work planning is done on a project-by-project basis and is largely donor driven. A basic plan exists but is not shared with the wider organization. The plan is not always used as the basis for actual activities.	There is an annual planning process to set program goals and budgets, and create a written action plan. A plan exists but is not reviewed and revised regularly.	A thorough plan has been developed through a planning process and written in such a way that all can understand the background, strategies and action plan. This plan is circulated to the entire organization, used as a roadmap for activities, and is routinely reviewed and adjusted.
4 Human Resource Management						
4.1	<b>Organization makes strategic use of human resources and clearly defines their roles and responsibilities.</b>	There is no clear link between the activities of the organization and the recruitment of staff or volunteers. No job descriptions exist. Task allocation is ad hoc.	Job descriptions exist but these may not be tied to the strategic needs of the organization. Roles between staff and volunteers are unclear. Some tasks are left undone or duplicated.	Job descriptions are updated according to the needs of the organization. Minimal to no strategic planning for human resources.	Job descriptions are updated according to the needs of the organization. Some human resource planning does take place, but may not be coherent with overall strategy.	Clear job descriptions, regularly updated. Review of human resource requirements is regularly undertaken and this is linked to strategic needs of organization. Roles and responsibilities are clearly understood by all throughout the organization.
4.2	<b>Labor policies and practices are legal, fair, consistently applied, and encourage diversity and gender equality</b>	Organization is not sure which labor laws or policies apply and leadership does as it thinks best.	Organization adheres to basic labor laws but has no other internal policies and nothing is written or shared. Practices are ad hoc.	Organization adheres to labor laws and has some written policies, but not everyone is familiar with them.	Organization adheres to labor laws and has written policies, though not everyone is familiar with them. Practices are generally perceived to be fair and diversity and equality are encouraged.	Organization adheres to labor laws and has a written policy manual that is routinely updated and distributed to appropriate persons. Policies set standards that align with international standards/best practices for recruitment, performance review, compensation, promotion, diversity and equality.
4.3	<b>Recruiting and promotion are based on equal opportunity principles: merit,</b>	Positions are filled by internally hiring colleagues or friends. Promotion is based on individual authority, not performance	Positions are sometimes filled by internally hiring colleagues and contacts. Promotion is loosely based on performance but criteria	Positions are filled based on set criteria, but interviews are not always open / involving a panel.	Positions are filled based on set criteria and through open interviews. Promotion is based on performance standards but these may not be clear to all.	New positions are advertised, with set criteria. Recruitment is through an open selection process involving a panel. Diversity is encouraged. Promotion is based on performance and standards are equally

	<b>transparency and promotion of diversity</b>	against written criteria.	are unclear and performance is not documented.			applied to all.
4.4	<b>Compensation systems and administration are stable, transparent and sufficient to attract and retain staff</b>	Sources of salary payments are ad hoc and short-term. Personnel do not have any benefits and survive on other sources of income. Reimbursements for out-of-pocket expenses are slow or staff end up paying on their own.	Sources of salary payments are ad hoc, short-term and project-based. Personnel enjoy few benefits and may survive on other sources of income. Reimbursements for out-of-pocket expenses are slow due to lack of procedures.	Salaries/benefits are low by market standards but are regularly paid and the organization can recruit and pay. Explicit salary scales may not exist. There may be inconsistencies between staff. Staff are able to be reimbursed for out-of-pocket expenses.	Salary scale is established. Salaries/benefits may be low by market standards but organization can attract and retain key staff. Guidelines for expenditures exist and all necessary and approved expenditures are reimbursed.	Salaries/benefits are sufficient to attract and retain appropriately skilled and experienced staff. Policies regarding salary scales and benefits are explicit. Clear guidelines and procedures for expenditures exist and all necessary and approved expenditures are reimbursed in full on a timely basis. Cash advances are available for anticipated expenses.
4.5	<b>Team development and work coordination are valued and institutionalized</b>	The focus is on individual work and achievement. There are no mechanisms to coordinate different initiatives.	While coordination of work may be valued in principle, in practice work is not well coordinated resulting in overlap and tensions.	Coordination is valued, but only practiced sometimes (perhaps due to busy schedules).	Teamwork is valued; work is coordinated within project areas and reporting. Time and other resources are invested to resolve overlap and conflict on an as-needed basis.	Organizational culture is highly team oriented, with formal mechanisms to facilitate coordination between levels and projects. Communication channels and skills lead to early identification/ resolution of overlap or conflicts.
4.6	<b>Board, management, staff, volunteers are motivated through conscious incentives and have access to skills development training/mentoring</b>	No conscious or regular incentives exist, as individuals should be self-motivated. No training or career development opportunities are provided.	From time-to-time leadership remembers to thank others or reward good work, but this is ad hoc. Only a few members of the organization are provided training or career development opportunities.	Leadership sometimes expresses appreciation for exceptional work and tries to motivate low performers, but those in the middle of the performance continuum are usually ignored. Individuals are encouraged to seek their own development opportunities and allowed work time and/or resources to attend, depending on personal initiative. No overall plan exists.	Leadership routinely and fairly expresses appreciation for exceptional work and tries to motivate low performers, but only sometimes rewards those in the middle of the performance continuum. Several people are selected to participate in outside training or development activities, but selection criteria usually relates to language skills or other factors instead of concrete needs.	A variety of motivating factors (praise, compensation, perks, counseling, etc.) are judiciously and fairly distributed at regular intervals based on performance. Motivational strategies are contoured to both highlight excellent work and improve poor performance. A specific training and development plan exists for each individual based upon role and needs. Organization designates resources for career development.
4.7	<b>Permanent, paid staff lead CSO (see 2.4)</b>	CSO does not have permanent, paid staff members.	CSO has 1-3 permanent paid staff members, , but does not have a sufficient number of staff members to carry out activities towards its strategic plan.	CSO has 4-9 permanent, paid staff members, but does not have a sufficient number of staff members to carry out activities towards its strategic plan.	CSO has 10-14 permanent, paid staff members, and enough to carry out its activities.	CSO has more than 14 permanent, paid staff members and a sufficient number and mix (program, fiscal, etc.) of staff to implement its strategic plan.
<b>5 Facilities, Equipment and Technology</b>						
5.1	<b>Organization has sufficient and appropriate facilities (premises,</b>	CSO does not have an office, furniture, or equipment.	CSO has very basic office, furniture, and equipment, but very poor conditions; facilities not suited to CSO's needs.	CSO has an office with basic furniture and equipment, but has an urgent need for more space, furniture, equipment or does not manage these	CSO has a fully furnished and equipped office space, and these are well-managed.	CSO owns its own office and has complete furniture and equipment. Facilities are well organized, their use is cost-effective and meets all the needs of the organization.

	furniture, equipment) for its activities			effectively.		
5.2	Organization has sufficient technology and IT expertise to meet its needs and can effectively maximize use	Organization lacks basic technology skills and IT equipment.	Organization has basic IT equipment and technology skills but only a few individuals know how to use and/or these resources are outdated and often in need of repair. Data access and knowledge management are ad hoc.	Organization has adequate IT equipment and technology skills. Up to 50% know how to use these. Maintenance may be problematic from time-to-time. Data access and knowledge management are reserved for a few key staff.	Organization has optimal IT equipment and software and hardware technology skills. 50-99% of staff know how to use IT for work purposes. Some training is offered. CSO has some knowledge of new advances. Data access and knowledge management systems are in place and shared.	Organization has optimal IT equipment and software and hardware technology and skills and all staff members know how to use these. Maintenance and training are routine and systematic. Organization is aware of new advances and consistently engages in cost-benefit analyses. Data access and knowledge management systems are in place, shared, and routinely updated.
<b>6 Project Design, Management, Monitoring and Evaluation</b>						
6.1	Adequate assessments are conducted before embarking on each project and include consideration of gender and diversity	Organization does not carry out assessments and is not aware of their importance.	Organization believes it knows the needs of its members and beneficiaries and bases project design accordingly.	Leaders discuss situation and needs informally with staff, members and beneficiaries. They base project design on discussions. Gender and/or minority needs only an afterthought.	Leaders discuss current situation and needs more formally with staff, members and beneficiaries, and base project design on more thorough assessment. Some consideration of gender and/or minority needs.	Organization carries out a comprehensive needs assessment involving staff, members, beneficiaries and other stakeholders. Project design and baseline for monitoring is tied to their findings. Gender and minority needs are incorporated at every stage.
6.2	Goals, objectives and indicators are clearly defined, and are realistic and relevant	Goals and objectives are not defined.	Goals and objectives are sketchy or not relevant. There are no indicators.	Goals and objectives are defined and mostly relevant, but indicators are not defined or relevant.	Goals and objectives are clearly defined and relevant. There is some attempt at defining indicators but these are mostly quantitative.	Goals and objectives are clearly defined and relevant. Indicators are realistic, specific and reflect both qualitative and quantitative targets.
6.3	Monitoring, data collection, and evaluation are systematically carried out	No monitoring or records kept on activities. No real evaluation process outside of anecdotal stories.	Very minimal monitoring. Some anecdotal information and data collected but not used for evaluation purposes.	Random collection of some information that is often hard to analyze or tie to performance indicators. There is limited understanding of evaluation tools.	Regular monitoring is carried out and linked to performance indicators. Organization maintains good records and data and is able to evaluate some outcomes.	Well-designed monitoring systems deliver clear quantitative and qualitative information on performance in relation to project objectives and are easily consolidated to show patterns over time. Multiple evaluation methods are used. Outside experts are also used to evaluate performance.
6.4	Evaluation results are disseminated to appropriate stakeholders	Since organization does not carry out project evaluation, no information disseminated.	Since organization does not carry out systematic project evaluation, only anecdotal information can be disseminated.	Organization disseminates results but only to donors, leadership and key staff and members.	Organization 'packages' and disseminates results to members, supporters, networks, organizations and appropriate government bodies.	Organization 'packages' and disseminates results to all members, supporters, networks, media, and appropriate government bodies. It uses data for annual report or other publications. Results are used to improve ongoing/future programs.
<b>7 Financial Planning and Management</b>						
7.1	Cash controls	Any staff member can	Some policies, procedures,	Clear policies and procedures	Clear policies and procedures	Cash controls are in place to limit access and

	<b>are in place and followed</b>	access petty cash and large amounts are held in cash. The same person controls both approval and payment of expenditures, including payroll. Bank and ATM transactions are made by and reconciled against bank statements by the same person. Cash advances to staff are not reconciled with receipts. Cash flow is unpredictable and shortages routinely occur.	and controls are in place, but need to be clarified and better implemented. Access to petty cash, ATMs and bank accounts is restricted by exceptions occur frequently. The person approving expenditures (including payroll) sometimes also makes payments. The person depositing income, using ATM, and/or paying expenditures also reviews and reconciles bank statements. Cash advances are not always reconciled to actual receipts. Cash flow shortages occur but usually only for a short period.	to control access to petty cash, ATMs and bank accounts exist but are routinely circumvented by the Executive Director or other key management. The person approving expenditures (including payroll) cannot make payments. The person depositing income, using ATM, and/or paying expenditures is not the only person to review and reconcile bank statements. Cash advances are reconciled to actual receipts but some receipts are missing. Cash flow shortages occur are managed.	to control access to cash, ATMs and bank accounts exist and are followed. Cash controls include policies and procedures to limit access and provide dual-oversight of most transactions (incoming and outgoing). All transactions are supported by written documentation and signed approvals. Cash advances are reconciled to actual receipts. Cash flow is predictable and manageable.	provide dual-oversight over petty cash, ATM, deposits, expenditures, bank accounts, and reconciliation of bank balances and payroll totals. Transactions are done in writing, approved by appropriate personnel, monitored by management, and documents are stored in locked spaces where access is limited and specified. Cash advances are reconciled to actual receipts. Cash flow is planned and anticipated and adequate cash (in petty cash and bank accounts) is available at all times.
7.2	<b>Financial procedures are adequate and transparent</b>	The organization does not have any policies and procedures in writing or practice.	The organization does not have written policies and procedures, but can describe orally clear policies and procedures. These have not been officially approved.	The organization's policies and procedures are written, but unclear. The organization tracks income and expenditures, maintains receipts, reconciles bank statements, and allocates funds to projects on a reasonable basis.	Procedures and policies to track income and expenditure are clear and usually followed. Organizational budget and cash flow are approved by management.	Procedures and policies to track income and expenditure are clear, written, and followed. Organizational budget and cash flow are approved by management and rigorously monitored.
7.3	<b>Project budgets exist, are combined into an organizational budget, and both are understood and followed</b>	Project budgets do not exist and therefore cannot be reviewed. Approval and tracking of income and expenditures is ad hoc/inaccurate and does not tie to organizational budgets. Expenses are not allocated according to specific use or program. Policies and procedures are not in place or followed and reporting is ad hoc or not accurate. No combined organizational budget exists.	Project budgets are loosely estimated and do not cover full cost of projects. Little or no comparison is made of actual allocated expense to budget. Reports by program are ad hoc and based upon estimates, meeting only minimum Board, donor or government requirements. Organization-wide budget planning is ad hoc, based on a few estimates, and no combined organizational budget exists.	Project budgets exist and are reasonably estimated to cover project costs, but may not divide direct and indirect costs. Need for budget revisions are not assessed until the end of each project when it is too late to make adjustments. The organization does not have a unified budget or cash flow projection and delays in accounting functions leave the organization not knowing exact balances in any category. A combined organizational income and expense budget is estimated.	Project budgets are reasonably estimated to cover project and overhead costs, including direct and indirect costs. Budgets are reviewed individually and in terms of overall impact each month. Predicted surpluses or deficits are understood and adjustments are periodically made. Variances by budget category are donor approved in advance of project termination. Organization can assign income and expenses, analyze variance, and evaluate and report on fiscal performance by project or donor. A basic combined organizational budget is in place. Organization	Project budgets are developed in detail including direct and indirect costs, with full consideration of funder and match requirements. Budgets are reviewed each month. Predicted surpluses or deficits are clearly understood and interventions are routinely made to ensure break even. Variance from budget (more than 5% + or -) is unusual. Variances by budget category are donor approved in advance of project termination. Organization is able to accurately assign income and expense, analyze variance, and evaluate and report on fiscal performance by project or donor. A combined organizational budget is done according to purpose and category of expense, routinely updated, and used by management for planning, fundraising and cash flow purposes. Organization has a system designed to

					does not have a system to allocate accurate portions of staff time and overheads within each grant period to each funder.	allocate accurate portions of staff time and overheads within each grant period to each funder.
7.4	<b>Systems are in place to handle accrual-based multiple-donor accounting (fund accounting)</b>	Organization uses cash-based accounting and allocates expenses to funders based on budgeted (not actual) amounts. No or inappropriate software used.	Organization uses cash-based accounting and allocates expenses to each funder based on an estimated, fair assignment of actual expenditures. Inadequate software used (e.g. Microsoft Excel).	Organization uses accrual-based accounting and allocates expenses to each funder based on an estimated, fair assignment of actual expenditures that occurred within the grant period. Can produce accurate financial reports using manual systems or Excel only, which is time-consuming and error-prone.	Organization uses accrual-based accounting and assigns actual expenditures to multiple funders using accounting software. Basic software and protocols enable organization to sort data and produce accurate and detailed financial statements and reports but these are slow and not on a regular schedule.	Organization uses accrual-based accounting and assigns actual expenditures to multiple funders using accounting software. Fiscal software enables organization to create a variety of reports. Customized reports enable management to track variances and adjust budgets or spending by program.
7.5	<b>External audit has been performed and passed</b>	No external audit requested or performed.	External audit performed. Material exceptions noted on audit report and must be rectified.	External audit performed. Multiple non-material exceptions noted on audit report; organization not taking steps to implement suggestions.	External audit performed. Multiple non-material exceptions noted on audit report, but organization is working to implement suggestions.	External audit performed. No material exceptions noted and only minimal non-material exceptions noted on audit report.
<b>8 Fundraising, Income Generation, and Sustainability / Financial Viability</b>						
8.1	<b>Organization has funding beyond current year, no deficit, and plans for sustainability</b>	Organization has debts that are carried from one fiscal period into the next. Funding is in place for 3-5 months or less, with no concrete prospects beyond that term.	Organization has no ongoing debt but no surplus or means of accruing a surplus. Funding is secured for the next 6-11 months. The organization has a few prospects for future funding of at least 30% of budget needs.	Organization has no ongoing debt and is able to create some surplus through receipt of unrestricted funds. Funding is secured for the next 6-11 months. The organization has prospects for funding about 50% of budget needs in the future.	Organization has no ongoing debt and has created an unrestricted surplus equivalent to up to 6 months of overhead and operating expenses. Funding is secured for the next year (12 months) to 18 months, with sources identified and pending for at least an additional year of full funding.	Organization has no ongoing debt and has created an unrestricted surplus equivalent to more than 6 months of overhead and operating expenses. Full funding is secured 18+ months, while additional sources and prospects are pending.
8.2	<b>Funding is diversified and includes relationships with multiple grant and in-kind donors, as well as income-generating activities</b>	CSO operates a on a few in-kind donations and has no real funding. Organization has not engaged in fundraising from local or international funders.	Funding is limited to one or two sources (for example fees, a single donor, etc.). Organization has a principle funder and is familiar with a couple of others on an ad hoc basis, but has no ongoing relationship with more than one or two.	Funding is limited to three or four sources, and all sources are restricted in use. Organization has 3 or more funders and is familiar with a few others (international and local). Relationships are not maintained particularly well.	Funding is expanded to 4 or more sources, and up to 25% or more of total budget is not restricted. Organization has 4 or more funders and is familiar with several others (international and local). Relationships are maintained and new ones are being developed.	Multiple funders and types of funding exist, including multiple grantors, fee-for-service and in-kind income, dues, or other means of support. No single donor, paying client, or grantor represents more than 10% of total income. At least 25% of funds are for unrestricted purpose. Organization has 5 or more principle donors and is familiar with and maintains communications with others, locally and internationally. Donor relationships are cultivated and new relationships are being developed.
8.3	<b>There is concrete,</b>	Organization knows that funding is essential, but	Organization takes advantage of all obvious	Organization takes advantage of known funding	Organization takes advantage of known funding opportunities,	Organization takes advantage of a variety of funding opportunities (including grants, dues,

	<b>ongoing planning for sustainability of organization</b>	discussions lead to dead ends. No one is specifically tasked with finding solutions.	funding opportunities but does not have a plan to expand its options.	opportunities, and has one person tasked with fundraising.	and has a team of people to investigate options. New funding ideas are tried with a goal of keeping at least one-two years ahead of funding needs.	fees, in-kind), and has a team of people to investigate opportunities. New fundraising ideas are routinely tried.
8.4	<b>There is a systematic schedule for membership fees and subscriptions</b>	Membership fees either do not exist.	Membership fees are symbolic and irregularly paid.	Membership fees exist, are symbolic and are regularly paid.	Organization has regular income from membership fees which represent up to 10% of the annual budget.	Organization has a well-organized fee schedule and income from services representing over 10% of the annual budget.
8.5	<b>Community resources are identified and their use is maximized</b>	CSO does not raise any funding from local sources, and does not have any non-monetary support from its community.	Organization has a few friends who occasionally donate time, supplies or other goods. Organization has no community fundraising events.	Organization has some regular volunteers. Other colleagues or supporters occasionally donate space, supplies or other goods or services (under 10% of budget). Organization occasionally organizes small-scale community fundraising events for specific projects.	Organization has regular volunteers. Other supporters donate space, supplies or other goods or services (more than 10% of budget). Organization has discount arrangements with several vendors. Organization regularly organizes community fundraising events for operational costs and specific projects.	Organization has a program to recruit, train, and manage regular volunteers. Other supporters donate space, supplies or other goods or services (20% of budget). Organization has discount arrangements with a range of businesses. Organization hosts regular fundraising events.
8.6	<b>CSO recovers costs for goods and services by charging fees</b>	CSO does not get any revenue for goods and services and is unwilling to develop such services.	CSO rarely gets minimal revenue for goods and services, but has the capacity to develop them.	CSO gets some ad hoc revenue for goods and services.	CSO often gets revenue for goods and services, but amounts are modest.	CSO always gets revenue for goods and services, including consultancies and training. This represents more than 10% of income.
<b>9</b>	<b>Service Provision</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
9.1	<b>CSO's goods and services reflect the needs and priorities of their constituents and communities</b>	CSO's goods and services do not reflect needs/priorities of constituents/communities.	CSO's goods and services have a little in common with the needs/priorities of constituents/communities.	CSO's goods and services address some needs/priorities of constituents/communities.	CSO's goods and services address many of the needs/priorities of constituents/communities.	CSO's goods and services address all of the needs/priorities of constituents/communities.
9.2	<b>CSOs have knowledge of the market demand—and the ability of distinct constituencies to pay—for those products</b>	CSOs do not know whether beneficiaries need services or which services they need and do not know extent to which beneficiaries can pay for services.	CSO have vague notion of market demand and constituencies' willingness to pay for services.	CSO offers some services in demand and a few constituencies pay modest amounts.	CSO offers many services in market demand and some constituencies pay on a sliding-scale.	All of CSO's services meet market demands and constituents regularly pay for services based on standard fee structures and ability to pay.
9.3	<b>Government provides grants or contracts to CSO to enable them to provide services</b>	Government never offers grants/contracts to CSO for services.	Government once offered grant/contract to CSO to provide services but contract was not renewed.	Government offers grants/contracts to CSO from time-to-time but there are gaps in time.	Government often offers grants/contracts to CSO to provide services but the amounts are modest and do not fully cover costs.	Government always offers grants/contracts to CSO to provide services and amounts are adequate to fully-fund costs.

9.4	<b>Local businesses contract CSOs for services</b>	No businesses contract CSO for services.	Businesses rarely contract CSO and only for ad hoc bits of work.	Businesses sometimes contract CSO, but scope and amount are modest and do not cover all expenses.	Businesses often contract CSO, and amounts are adequate to cover direct (but not indirect) costs.	Businesses regularly contract CSO and the amounts are adequate to cover both direct and indirect costs.
<b>10</b>	<b>Public Image</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
10.1	<b>A public relations and media strategy is in place</b>	Organization has no public relations or media activities.	Organization produces some written materials and invites local press to special meetings or events.	Organization produces written materials, invites local press to special meetings or events, and participates in other promotional events. One or two publicity articles are printed in the local newspaper each year.	Organization has a clear public relations plan, which includes producing written materials, inviting local press to special meetings or events, and participating in other promotional events. The CSO receives coverage from multiple media each year.	Organization has a comprehensive plan for public relations and media and a designated person or body to handle them. Organization receives positive publicity in national media at least quarterly. It hosts and/or is visible at promotional events such as NGO fairs. It competently and frequency uses social media.
10.2	<b>The government, public and business sector have a positive perception of CSOs/NGOs</b>	CSO thinks the government, public and business sector generally have a negative perception of CSOs.	CSO thinks some of the following have a negative perception of CSOs and some have a neutral perception of CSOs: government, public, business sector.	CSO thinks some of the following have a positive perception, some negative, and some a neutral perception of CSOs: government, public, business sector.	CSO thinks the government, public and business sector generally have a mostly neutral or positive perception of CSOs.	CSO thinks the government, public and business sector generally have a positive perception of CSOs.
10.3	<b>CSO publicizes its activities and promotes its public image through targeted materials and branding</b>	CSO never publicizes or promotes its public image. Organization has a few materials on copy paper. Content is not always aligned or consistent between materials.	CSO rarely publicizes or promotes its public image. A few key individuals talk to friends and neighbors on an ad hoc basis. Organization has basic descriptive materials for most programs. Branding of graphics and content is not always considered.	CSO sometimes publicizes or promotes its public image. Organization is present in the news, at community meetings or gatherings and welcomes community input. Organization has multiple materials, but sometimes the design is poor and materials are not branded.	CSO often publicizes or promotes its public image. Organization is present in the news, and at community meetings or gatherings. A formal mechanism for two-way dialogue with the community is in place. Organization has well-designed and well-aligned descriptive materials for every program, produces a newsletter and other publications or journals. Materials are targeted for different audiences. It has a website but it is not complete or regularly maintained.	CSO always publicizes and promotes its public image via diverse means. Organization is present in the news, at community meetings or gatherings and actively recruits community involvement through a highly targeted outreach plan. A formal mechanism for two-way dialogue with community is in place. Well-designed and well-aligned professional materials exist for every program and for each target audience, as well as a newsletter and other targeted publications or journals, and an up-to-date website, including links to references and partners.
10.4	<b>CSO publishes an annual report including both program and fiscal data</b>	CSO never publishes an annual report or equivalent.	CSO publishes an equivalent from time-to-time every few years.	CSO sometimes publishes an annual report, but does not include fiscal data. Distribution is minimal.	CSO always produces an annual report, with both program and fiscal data and analysis. Distribution is limited but the report is available to others who ask for it.	CSO always produces an annual report with program and financial data and analysis. Report is broadly distributed to all stakeholders and is available to the public, including online.
<b>Overall Score</b>						

## Annex 7. Sample Invitation Letter for CSOs to Participate

**Date**

**Name**

**Title**

**Organization**

**Subject:** Invitation to participate in an Organizational and Advocacy Capacity Assessment of the civil society sector in Kyrgyzstan

Dear **Name**:

It is my pleasure to invite you to participate in a CSO Organizational and Advocacy Capacity Assessment being undertaken throughout Kyrgyzstan. The assessment will be conducted as part of the Collaborative Governance Program (CGP), a five-year project funded by the United States Agency for International Development (USAID) and the British Department for International Development (DFID) and implemented by East-West Management Institute, Inc. (EWMI).

Your organization is among only 60 CSOs selected as potential participants in this assessment. Participants were selected based on interest, organizational size and scope, geographic region, and other factors. Participating in this assessment would involve an in-depth interview focusing on your organization and its prior advocacy-related work. CGP representatives will be carrying out these interviews during June - August 2013.

CGP will use the assessment findings to design capacity development opportunities, tailored to the needs and priorities of CSOs in Kyrgyzstan. Participating in this assessment may have additional benefits for your organization:

- Participation in the assessment will better prepare your organization to participate in CGP-tailored capacity-building opportunities over the next five years.
- In other countries where the assessment has been conducted, CSOs have said that they found the assessment process itself very informative and educational.
- The assessment can serve as *free* external evaluation of your organization's advocacy capacity. After the interview, your organization will receive an Advocacy Capacity Assessment Report. This report can help you focus your capacity development strategy and plan to address priority areas.
- The assessment can support your organization in establishing benchmarks against which to compare organizational progress over time. If you choose to participate, your organization will be eligible for a free, follow-up evaluation. You can then use the initial assessment to identify areas where your organization has progressed over time.

A representative from EWMI will contact you soon to confirm your participation and to schedule the timing of the interview process. At the appointed time, two or three interviewers from EWMI will visit your organization and conduct the assessment. They will need to speak with you and with members of your staff who have been involved directly in organizational strategy, financial and programmatic management, and advocacy work. They may also ask for copies of any research, policy positions, and public relations materials that you have, in order to better understand your work. Please set

aside approximately three (3) hours for the entire interview process. EWMI's international expert will also review the CGP team's findings, giving additional validity to the report that you will receive.

Assessment findings pertaining to your organization and your organization's individual Organizational and Advocacy Capacity Assessment Report will be kept confidential and may be shared only with your organization and within the EWMI program. Summary data for all 60 organizations together (without individual organization names) may be shared with USAID or other stakeholders.

We greatly appreciate your participation in this process, and look forward to meeting you in person to learn more about your organization.

Sincerely,

Lisa Hammond  
Chief of Party  
Collaborative Governance Program

## **Annex 8. Research Statement and Oral Consent Form**

June 7, 2013

**Title of Research:** Assessment of the Advocacy and Organizational Capacity of CSOs

**Researchers:** Nicole Farnsworth, Inna Rakhmanova, Nurgul Alybaeva, Cholpon Akmatova, Botogoz Bagyshbaeva.

### **1. Your Consent**

The purpose of this Statement is to explain clearly the procedures involved so that you can make an informed decision whether to participate in this research. If you agree to take part, you will be asked to offer your oral consent. You will be given a copy of the Statement to keep.

### **2. Purpose and Background**

The purpose of this research is to assess the advocacy and organizational capacity of civil society organizations (CSOs) in Kyrgyzstan. The assessment will be conducted as part of the Collaborative Governance Project (CGP), a five-year project funded by the United States Agency for International Development (USAID) and implemented by the East-West Management Institute, Inc. (EWMI). The assessment will assist CGP in offering assistance that meets the needs and priorities of CSOs like yours. Your organization is among 60 CSOs selected as potential participants in this assessment. You were selected based on your prior experience, among other factors.

### **3. Funding**

This research is being funded by USAID through EWMI CGP.

### **4. Procedures**

Participation in this project will involve an in-depth interview with members of your staff members of your staff who have been involved directly in organizational strategy, financial and programmatic management, and advocacy work. They may also ask for copies of any research, policy positions, and public relations materials that you have, in order to better understand your work.

### **5. Possible Benefits**

Possible benefits of participation include:

- Participation in the assessment will better prepare your organization to participate in CGP-tailored capacity-building opportunities over the next five years.
- In other countries where the assessment has been conducted, CSOs have said that they found the assessment process itself very informative and educational.
- The assessment can serve as *free* external evaluation of your organization's advocacy capacity. After the interview, your organization will receive an Advocacy Capacity Assessment Report. This report can help you focus your capacity development strategy and plan to address priority areas.
- The assessment can support your organization in establishing benchmarks against which to compare organizational progress over time. If you choose to participate, your organization will be eligible for a free, follow-up evaluation. You can then use the initial assessment to identify areas where your organization has progressed over time.

### **6. Privacy, Confidentiality and Disclosure of Information**

Your organization's individual Assessment Report will be shared only with your organization and will not be shared publicly.

#### **7. Results**

The results of the assessment will include an individual assessment report, which will be delivered to your organization and an internal report for EWMICGP on the overall capacity of CSOs in Kyrgyzstan.

#### **8. Participation is Voluntary**

Participation in any research is voluntary. **If you do not wish to take part, you are not obliged to.** Your decision whether or not to participate will not affect your relationship with EWMICGP. Before you decide, a member of the research team can answer any questions you have.

#### **9. Further Information, Queries or Any Problems**

If you have any complaints about any aspect of the research, the way it is being conducted or any questions about your rights as a research participant, then you may contact:

Lisa Hammond  
Chief of Party  
East-West Management Institute, Inc.  
Email: [lhammond@ewmi.org](mailto:lhammond@ewmi.org)

Thank you for your participation!

## Annex 9. Methodology

This annex describes the research methodology employed by the five-member research team. It details key terms, sampling procedures, research methods, instruments, data analysis, validity, and reliability.

### Definitions

The USAID Advocacy Index (AI) defines “advocacy” broadly, as an active process through which citizens seek to influence political and social change. According to the USAID AI, effective advocacy often includes various steps: ensuring the issue is timely, devising an effective advocacy strategy, collecting information about the issue, formulating a viable policy position, securing sufficient resources, building partnerships, taking action, and monitoring policy changes to ensure that they are implemented well. Interviews with CSOs examined their performance related to each of these advocacy “components”.

The AI is not relative in that it does not seek outright to compare one CSO with another (though it does enable some comparison). Rather, it measures individual capacities of CSOs against set criteria. The AI thus helps identify areas where CSOs can grow. In doing so, it simultaneously enables comparison and identification of stronger CSOs in terms of advocacy capacity. Notably, the AI focuses solely on advocacy capacity and does not investigate organizational capacities more broadly. For this purpose, a separate Organizational Capacity Index was used to assess organizational capacities, elaborated below.

### Sample

The assessment involved 60 CSOs most likely to lead advocacy and civic engagement initiatives at the regional and country-wide level. The CSOs sampled cannot be considered representative of the entire civil society sector in the Kyrgyz Republic. For example, organizations focusing *solely* on service provision, humanitarian aid, or religious organizations were not included in the sample. However, the sample can be considered representative of organizations focusing on advocacy.

The research team selected 60 CSOs (or “cases”) that maximized variation relevant to the research (see Annex 1). Variation sampling<sup>9</sup> involved selecting diverse CSOs by geographic location, main area of engagement, size (as a proxy for capacity), gender (e.g. women- or men-led), age (in terms of focus and leadership), and ethnicity. As a result, probabilistic generalizations can be made regarding the population of advocacy CSOs.

### Research Methods, Procedures, and Instruments

The research team developed interview protocols for the organizational and advocacy capacity assessments, respectively (see annexes 4 and 5). Interviewers used these as loose guides during interviews. Interviews began with the Advocacy Capacity Assessment, as it is typically more interesting and engaging than the Organizational Assessment. This enabled interviewers to establish rapport with respondents, prior to asking more sensitive questions (e.g. related to financial management).

The USAID Advocacy Index (AI) consists of eight advocacy components (see Annex 6):

- 1) The issue is timely and significant;
- 2) Devising a strategy or action plan for an advocacy initiative;
- 3) Collecting information and input about the issue;
- 4) Formulating a viable policy position on the issue;

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<sup>9</sup> This is also known as “theoretical” or “purposive” sampling. See King et al., *Designing Social Inquiry*, 1994.

- 5) Obtaining and/or allocating resources (especially time and money) for advocacy;
- 6) Building coalitions and networks to obtain cooperative efforts for joint action on the issue;
- 7) Taking actions to influence policy or other aspects of the issue;
- 8) Taking follow-up actions after a policy decision is made, to foster implementation and/or to maintain public interest.

The score on each component is the average of its sub-component scores. This allows for consideration of the potentially very diverse advocacy strategies that an organization may use. Multiple observations were collected for each CSO, as the research team asked CSOs to detail multiple examples from various advocacy campaigns to illustrate each sub-component (indicator) considered in the USAID AI.<sup>10</sup>

The second half of the interview focused on organizational capacity, measured as per the following 10 components (see Annex 5):

- 1) Organizational Review and Self-Assessment
- 2) Governance, Leadership and Decision-Making
- 3) Strategic Analysis and Planning
- 4) Human Resource Management
- 5) Facilities, Equipment and Technology
- 6) Project Design, Management, Monitoring and Evaluation
- 7) Financial Planning and Management
- 8) Fundraising, Income Generation, and Sustainability / Financial Viability
- 9) Service Provision
- 10) Public Image

Again, sub-components under each component were averaged to produce the component score. For both indices, component scores were averaged to produce overall scores.

Based on these two indices, the research team reviewed as per the Kyrgyz context, translated, and tested the two interview guides. The same interview guides can be used for the midterm and final assessments, enabling comparisons.

When recruiting respondents, EWMI sent an official letter requesting an interview to potential respondent organizations (see Annex 8). Researchers provided information about the research orally via telephone as well. Prior to interviews, researchers used the Internet to collect information about CSO respondents. This preliminary desk research informed interviews.

The primary research method involved in-depth face-to-face interviews with representatives of CSOs, which lasted three hours on average. The research team strived to ensure the participation of all staff members, as relevant to their roles within their organization. However in some instances only directors participated. Researchers began interviews by explaining the purpose of the research and requesting respondents' oral consent to participate, as per best practices in ethics in human research (see Annex 9). A lead interviewer facilitated the conversation-style interviews while taking brief notes. A second interviewer took detailed notes and asked additional questions, if needed.

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<sup>10</sup> Here the issue of CSOs "self-sampling" examples from more "successful" advocacy initiatives existed. Researchers sought to minimize this "selection bias" by proactively asking CSOs about different advocacy campaigns, using information from their websites, and drawing upon researcher knowledge.

Researchers also conducted some desk research, including reviewing websites, reports, policy papers, press releases, public relations materials, and other “texts”.

### Data Analysis

For data analysis, immediately after the interview two research team members scored organizations using the two index scoring sheets (see annexes 6 and 7). They entered scores into two Excel databases for analysis (for advocacy and organizational capacity, respectively). Towards furthering validity, reliability, and quality control, the international consultant reviewed all scores and their supporting evidence, requesting clarifications as needed. Research team members also prepared four-page individual reports for each CSO that participated in the assessment, highlighting their strengths and recommended areas for further improvement. The consultant used the two databases to prepare this assessment report, which was reviewed by the research team and revised based on their feedback.

### Validity and Reliability

The Score Cards contribute to reliability by standardizing data analysis as per each indicator. Their reliability has been demonstrated in similar work elsewhere by the international consultant and EWMI. Validity and/or reliability also were enhanced through:

- Triangulation of methods: interviews and textual analysis
- Triangulation of data sources: diverse CSOs, CSO representatives, CSO advocacy campaigns, CSO texts
- Triangulation of researchers: three interviewers discussed observations to arrive at conclusions
- Researcher knowledge of the context: familiarity with the CSOs, their work, and prior media coverage
- Thick description: details of the multiple observations of advocacy strategies used were entered into a database as evidence. The details serve as evidence, furthering the validity of the findings

