



DEMYSTIFYING ORGANISATIONAL DEVELOPMENT

A REFERENCE-GUIDE
FOR PRACTITIONERS



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DEMYSTIFYING

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ABBREVIATIONS & ACRONYMS

CSO	Civil society organization
UNDP	United Nations Development Programme
OD	Organisational development
Danida	Denmark's development cooperation under the Ministry of Foreign Affairs
DMFA	Danish Ministry of Foreign Affairs
DHRP	UNDP Democratization, Human Rights and Civil Society Development Programme in Ukraine Programme 2013-2016
HRBA	Human-rights based approach
CSDR	UNDP Civil Society for Enhanced Democracy and Human Rights in Ukraine Programme 2017– 2022
OA	Organisational (capacity) assessment
TOC	Theory of change
INGOs	(International) Non-Governmental Organisations
PEST	Political, economic, social and technological (analysis)
SWOT	Strengths, Weaknesses, Opportunities, Threats
SATT/OSS	The Seat at the Table Index / the Organisational Systems and Standards Index
M&E	Monitoring and evaluation
PROSE	Participatory Results-Oriented Self-Evaluation
HRBA	Human Rights Based Approach
CEDAW	The Convention on the Elimination of All Forms of Discrimination against Women
OHCHR	The Office of the United Nations High Commissioner for Human Rights
EU HR	Strategy European Union Human Rights Strategy
UPR	Universal Periodic Review
NHRIs	National Human Rights Institutions



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FOREWORD & PUBLICATION STRUCTURE

Since its establishment in 1965, the United Nations Development Programme (UNDP) has been cooperating with various actors in the countries it operates in to unite efforts in building resilient communities and implementing sustainable solutions for societal and policy issues at hand. Currently, UNDP at the global level pursues three core avenues for cooperation with the non-governmental, civic sector. These principles also underpin UNDP's relevant policy documents¹.

- UNDP invests in civil society organisations (CSOs) and civic engagement by building an enabling environment for the civil society. It supports and partners with the civil society for policy impact and revitalizing UN(DP) capacity and environment to engage with a fuller range of non-governmental actors who can contribute to a positive social change and foster civic engagement.
- UNDP facilitates citizen action for democratic governance and development, and helps organisations scale up community actions for local development. UNDP makes sure that good practices are replicated and up-streamed.
- Finally, UNDP strengthens civic engagement to promote multilateralism and human development through UNDP-civil society partnerships for human development as well as UN(DP)-civil society dialogue mechanisms at national, regional and global levels to ensure inclusive participation in development processes. The Sustainable Development Goals under Agenda 2030 are an important space for such collaboration.

In the context of Ukraine, support to the civil society has been rendered since the launch of the UNDP Country Office in the mid-90s. Over time, as policy challenges and societal transformations took place, the partnership relations with the third sector evolved as well. One of the first truly large-scale programmes, targeted primarily towards the support of the third sector, was launched in 2009 as the Civil Society Development Programme. This was implemented with the financial support of the Danish Ministry of Foreign Affairs, and ran until 2012 as part of the democratic governance cluster of the UNDP Ukraine office.

As experience of cooperation with civil society was accumulated and analysed, the need for development of a comprehensive approach to strengthening not only programmatic aspects of CSO operations, but also institutional foundations thereof, became clear. Throughout the first several years of in-depth collaboration with CSOs, the “learning by doing” approach was deployed for the most part. This meant that organisational development considerations were dealt with mainly as they arose in the process of solving programmatic challenges.

For instance, if certain principles or policies were lacking, and were thus hampering effective programmatic work, the issue would be solved on a needs-basis. With time, though, the systemic essence of some of these challenges became evident, and the need for a more structured approach that, at the same time, would be very practical, began crystallising.

The need for aligning the existing experiential knowledge of UNDP Ukraine with widely-accepted principles and best-fit

¹ These two core policy documents are the UNDP Corporate Strategy on Civil Society and Civic Engagement (2012) and the UNDP and Civil Society Organizations: A Policy of Engagement (2001).



practices in the sphere of CSO organisational development (OD) resulted in revised approaches under the auspices of the 2013-2016 Democratisation and Human Rights in Ukraine Programme. Under this initiative, UNDP Ukraine developed its comprehensive approach to OD, and ran the first round of the OD programme for a network of mid-sized regional CSO-leaders. This programme resulted in a wealth of experiences and data, and it gradually became evident that it would be necessary at one point to revisit the progress made, the tools used, and the lessons learned in their application.

This is how this guide came about. It stems from the need to retain the knowledge gathered over time, and to summarise the approaches that have worked, noting down the practicalities of the OD process. Such a guide was also seen as necessary to describe the wide array of tools that UNDP Ukraine and its partners applied together, and to enable other development partners in Ukraine or civil society organisations to look deeper into the experience accumulated – hopefully, to expedite progress and avoid pitfalls.

The guide takes readers through the full cycle of OD processes, as happening under the UNDP approach and unfolding under the new UNDP Civil Society for Enhanced Democracy and Human Rights in Ukraine Programme 2017–2022 implemented with DMFA support.

In the very beginning, the readers are taken through some of the core **principles** of organizational development, and are introduced to the four **indicators** that are used to measure the organizational strength of partner-CSOs. In addition to this, the notion of the human rights based approach to organizational operations is introduced, and four main dimensions of HRBA as applicable to internal organizational operations are noted. The next section describes one of the **models** that a CSO may be described through, and pictures the **OD cycle** that explains steps undertaken under an OD programme or initiative. Each of the steps is presented in brief, and linked to the subsequent ones to establish an iterative process of organisational growth. One of the crucial elements in an OD process is the **initial organisational assessment** of

current stronger and weaker sides, areas for improvement and systemic challenges. The guide provides a brief overview of three organisational assessment instruments used by other development partners. After that, the UNDP Ukraine instrument, PROSE (more known as the “three circles”), is introduced. Lessons learned in its application are summarised for OD teams. Considerations pertaining to development of **select organisational capacities** are then presented under headings of the four foundational indicators of OD and the pertinent principles of HRBA. Brief elements of practical advice are given regarding the approaches to fortifying these areas. Finally, useful **templates and guidance documents** are listed in the last section, responding to the needs discussed with the UNDP partner-CSOs. Each of the sections is followed by a summary of main points discussed and things to remember.

Without claiming comprehensiveness, UNDP Ukraine hopes that this publication will help its partners and colleagues in the development sector stimulate the discussion regarding “what works” in organisational development, and will catalyse the OD-related discussion in the civil society support sector of Ukraine.



INTRODUCTION. DEFINITION OF OD. INDICATORS OF SUSTAINABILITY. FOUR PILLARS OF HRBA

Organisational development (OD), understood as a structured process of building resilience and sustainability of organisations in the governmental, non-profit and business sectors is a discipline rich in history and approaches currently in use.

OD for non-profit organisations started growing rapidly relatively recently, in the last quarter of the past century. At the same time, experimental studies into organisational behaviour, observations into issues of leadership, hierarchy, organisational culture, motivation and other constituent elements date back at least to the beginning of the twentieth century to Hawthorne experiments² of the late 1920s and the early 1930s and subsequent studies. In mid-twentieth century research and practice-oriented interventions by Kurt Lewin, Eric Trist, Douglas MacGregor and many other social scientists helped pave the way towards a contemporary understanding of organisational development, making it a distinct area of both scholarly work and praxis.

Despite a significant volume of works dedicated to OD – or maybe exactly because of this fact – it is not easy come up with one universally-accepted definition of the approach. Moreover, different “schools of thought” in this area would argue that various “lenses”, elements, techniques and instruments are suitable or, on the contrary, detrimental to organisational development.

In this practical manual and throughout the work of the UNDP Civil Society for Enhanced Democracy and Human Rights in

Ukraine (CSDR) Programme for 2017 – 2022, the following definition could be adopted: *‘Organization development is a system-wide application and transfer of behavioural science knowledge to the planned development, improvement, and reinforcement of strategies, structures, and processes that lead to organization effectiveness’³.*

A definition like this helps deconstruct the processes that are supported in partnership between UNDP Ukraine and the select civil society organisations. The Programme and its



AN ALTERNATIVE VIEW: DEFINITION OF OD

“Based on (1) a set of values, largely humanistic; (2) application of the behavioural sciences; and (3) open system theory, organization development is a system-wide process of planned change aimed toward improving overall organization effectiveness by way of enhanced congruence of such key organizational dimensions as: external environment, mission, strategy, leadership, culture, structure, information and reward systems, and work policies and procedures.”

Quoted from “Reinventing Organization Development: New Approaches to Change in Organizations”, David L. Bradford & W. Warner Burke, Pfeiffer, 2005. http://media.wiley.com/product_data/excerpt/84/07879811/0787981184.pdf

² See “The Hawthorne Experiments” by Frederick J. Roethlisberger in “Classic Readings in Organisational Behaviour”, 2008, Wadsworth, Cengage Learning.

³ See “Organization Development and Change” by Thomas G. Cummings, Christopher G. Worley, 2005, Thomson/South-Western.



partner institutions in the civil society sector aim at taking a holistic approach to strengthening of various aspects of CSO operations, paying attention to organisational culture and history, as well as the human dimension. As such, the OD approach taken by UNDP Ukraine is indeed system-wide.

The methods and tools used to strengthen the partner organisations and enable their growth in the longer-term have been carefully collected and tested over the period of 2013-2017, and are based on the good practices of

10 CORE OD INGREDIENTS UNDER THE UNDP UKRAINE APPROACH

- 1 The goal of organisational development is not just that an organisation can deal with its current issue or solve its current problem today, but that it can be strengthened to deal with future challenges too;
- 2 OD helps organisations become more able to learn;
- 3 OD sees organisations as whole systems of interrelated components, working with groups not just with individuals;
- 4 OD focuses on organisational culture;
- 5 OD is about conscious not accidental change;
- 6 OD encompasses a process of collaborative diagnosis based on action research;
- 7 OD focuses on people not physical resources;
- 8 OD uses both micro- and increasingly macro-activities;
- 9 OD is about ongoing processes not just time-limited interventions;
- 10 OD focuses on improving the organisation's effectiveness as defined by the organization itself.

Quoted from "Developing Organisational Capacity Assessment and Development of CSOs in Ukraine, Moldova and Belarus. Organisation Development (OD) Guide" Developed by INTRAC for UNDP DHRP

organisational psychology and behavioural science. In other words, the UNDP Ukraine approach is deploying the tools that work, as proven by both experimental scientific research, and by application in the Ukrainian field.

An important element of UNDP Ukraine OD work done under the auspices of the CSDR Programme in 2016-2021 is the planned approach to change. While, as will be shown throughout this publication, OD processes are a good mix of art and science (with the necessary degree of flexibility in application and leeway for transformations "on-the-go"), an important element to the introduced approach is its intentional transformation focus and structural design.

Finally, the approach which is implemented within CSDR and by its CSO partners targets three essential elements of a successful organization.

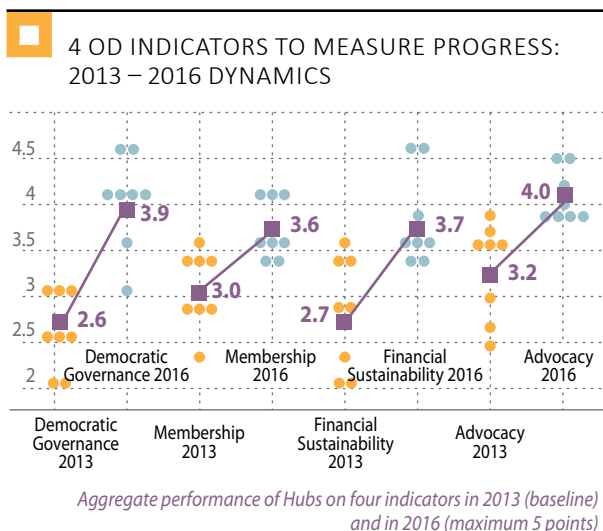
These include: strategies (and the operational instruments to make the strategies work), structural issues (which include, but are not limited to organizational architecture and flow of decision-making, set-up of oversight and executive bodies, membership, volunteer and constituency structures, as well as – in some cases – internal physical office arrangements), and processes (meaning internal procedures which may be codified or not).

One of the final elements that is not captured in the definition presented above but could be worthwhile highlighting, is organizational culture. While the UNDP Ukraine approach does not aim at redesigning organizational cultures per se (as this would be seen counter to the partnership approach), the Programme helps the CSOs to elicit issues where problems or bottlenecks are perceived, and assists the partners in assessing, whether part of the issue at stake could be linked to prevalent organisational cultural norms. In some of the cases, such as the ones linked to greater transparency, absence of a conflict of interest or accountability towards the constituency, CSDR offers concepts, tools and approaches that help its partner-CSOs nurture the underpinning organisational culture norms or strengthen the existing ones.

As demonstrated in the definition above, the ultimate goal of the OD process is to help organisations achieve effectiveness – in what they work on (programmatic aspect, or “to do”), in how they are built internally and what tools they use to function (systemic aspect, or “to be”), and how they are able to interact and connect to outside stakeholders (relational aspect, or “to relate”). While there is no universal recipe to be prescribed for organisational effectiveness and sustainability, certain priority areas (organisational capacity

3. Improving **financial sustainability**, mobilising domestic resources and reducing dependence on external donors;
4. Intensifying **advocacy** and ensuring **constructive dialogue** with the authorities;

In addition to these four indicators, the first phase of the OD programme paid attention to developing the abilities of the CSO-partners (the so-called ‘regional CSO Hubs’ or simply ‘Hubs’) to become even more effective in the democratisation and human rights sector in their respective macro-regions (two or three oblasts were originally seen as a target), and to ensure proper planning, implementation and monitoring of small-scale projects. The basic theory of change that underpinned the process in 2013-2017 was that if the partner-CSOs are given the necessary resources, guidance and support to work on 4 indicators over the time-span of the OD programme, then their sustainability and effectiveness as regional leaders will be greatly boosted, because better performance of selected indicators is believed to be a strong foundation for organisational growth for regional CSOs in the Ukrainian context. As such, these four indicators will continue to be used throughout the UNDP Ukraine approach to both ensure comparability of the results between the first “wave” of the Hubs and newly on-boarded organisations, and to have a common frame of reference and consistency in approaches between DHRP and CSDR.



aspects) were selected at the launch of the OD initiative by the predecessor programme, the UNDP Democratization, Human Rights and Civil Society Development Programme (DHRP), as core indicators of organisational sustainability. The indicators include:

1. Strengthening **membership, constituency** and the role of **volunteers**;
2. Developing a **democratic, accountable, transparent internal governance**;

Finally, development of CSOs in the CSDR framework envisages verification that the partner-organisations know and, to the best of their ability, put to practice the four principles that underpin the human-rights based approach (HRBA) to organisational inner works and, to the extent possible, programmatic activity in the field of democratisation and human rights. While introduction of HRBA as a practical operational lens requires a separate at-length discussion⁴, it is worthwhile mentioning that application of HRBA has a two-dimensional nature. Thus, the Approach may be applied a) solely to the external activities of an organisation, b) only to

⁴ See, for instance, a comprehensive resource “The Human Rights-Based Approach in Belarus, Moldova and Ukraine: Regional Study and Practical Guidance on the Application of HRBA by Civil Society Organisations”, UNDP DHRP, 2016. Available at: <http://bit.ly/2haBfmH>; and CSO-targeted guideline “Applying a rights-based approach: An inspirational guide for civil society”, Danish Institute for Human Rights, 2007. Available at: <http://bit.ly/2vS6ExD>

the inner working principles and operations and c) to both the internal and external organisational performance. Since organisational development is, for the most part, oriented towards internal operations of an entity (with effects, of course, being manifest in the programmatic work), the four HRBA pillars are seen in this manual only in their “introspective” dimension, i.e. applied to the organisation’s own policies, procedures, practices and organisational culture rather than project and programme activities.

HRBA principles, as applied to the realm of inner growth and development, may be interpreted as follows:

HRBA Principle	Internal application within an organisation
Participation	The organisation’s beneficiaries or stakeholders are welcome to take part in the internal activities of the organisation. Participation of clients and constituency is encouraged.
Non-discrimination	Equal (non-discriminatory) treatment of staff members, clients, and constituency representatives is an essential internal value of the organisation that is not only declared but also lived.
Transparency	Information about plans and decisions (e.g. strategy, action plan, overall budget, sources of funding) of the organisation are available to the public.
Accountability	If it is discovered that a staff member in the organisation has violated any right, this person is held accountable for his or her actions. The organization takes responsibility for its actions if they result in a rights violation (deliberate or inadvertent).

Quoted from ‘Regional Study and Practical Guidance on the Application of HRBA by Civil Society Organisations’



THINGS TO REMEMBER:

As such, the UNDP Ukraine approach to organisational development, as presented in this handbook, is rooted in a holistic approach to organisational operations, culture, internal rules and traditional ways of doing things, and attempts to harness these to strengthen the partner institutions to achieve greater sustainability.

In this approach, sustainability is thought to be underpinned by a) better traction with the constituency, volunteer and member pools, b) open, transparent and democratic governance structures, c) improved financial sustainability and d) better advocacy skills and constructive relations with authorities.

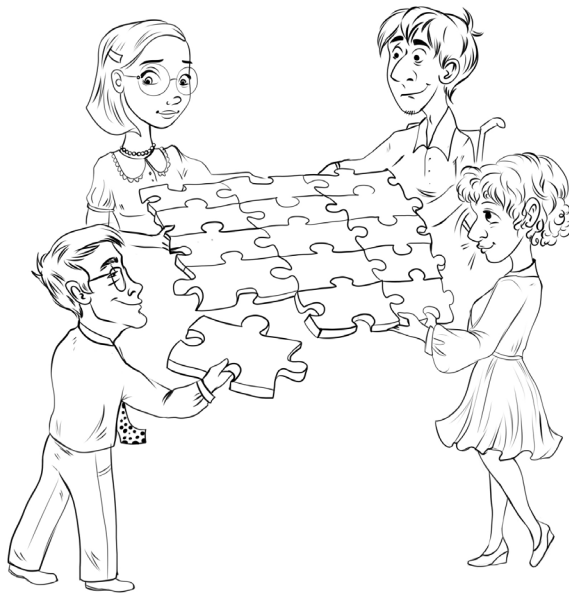
While increasing organisational capacities and working towards better scores on the four core indicators, organisations should keep in mind the four HRBA principles applied introspectively. This means that throughout organisational development (design of policies and procedures, strategic and operational planning, or designing a fundraising plan), the partner-organisations and CSDR itself should keep their eye out for principles of a) participation, b) non-discrimination, c) transparency and d) accountability which are pillars for the human-rights based approach.

2

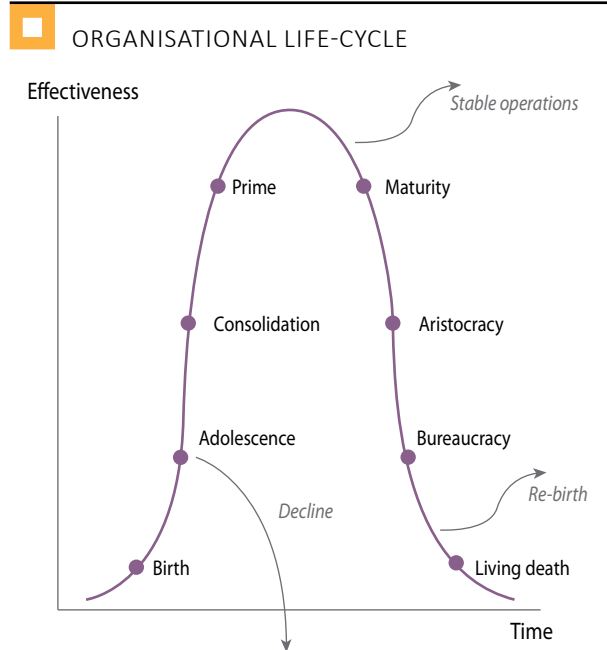
ORGANISATIONAL LIFECYCLE. UNDP ORGANISATIONAL MODEL & OD WORK-CYCLE

While there are many behavioural science frameworks to talk about organisations (including “organisations as living organisms”, “organisations as machines”, as well as even “organisations as the jungle”), the UNDP Ukraine approach it views organisations through the following prism of development.

different challenges and “growing pains”. It is also worthwhile underscoring that the time-span for each of the stages may be different in length and, in principle, each of the stages may last for a rather protracted period of time if the organisation remains in its comfort zone. Also, it does not mean that all organisations will necessarily pass through all of the stages,



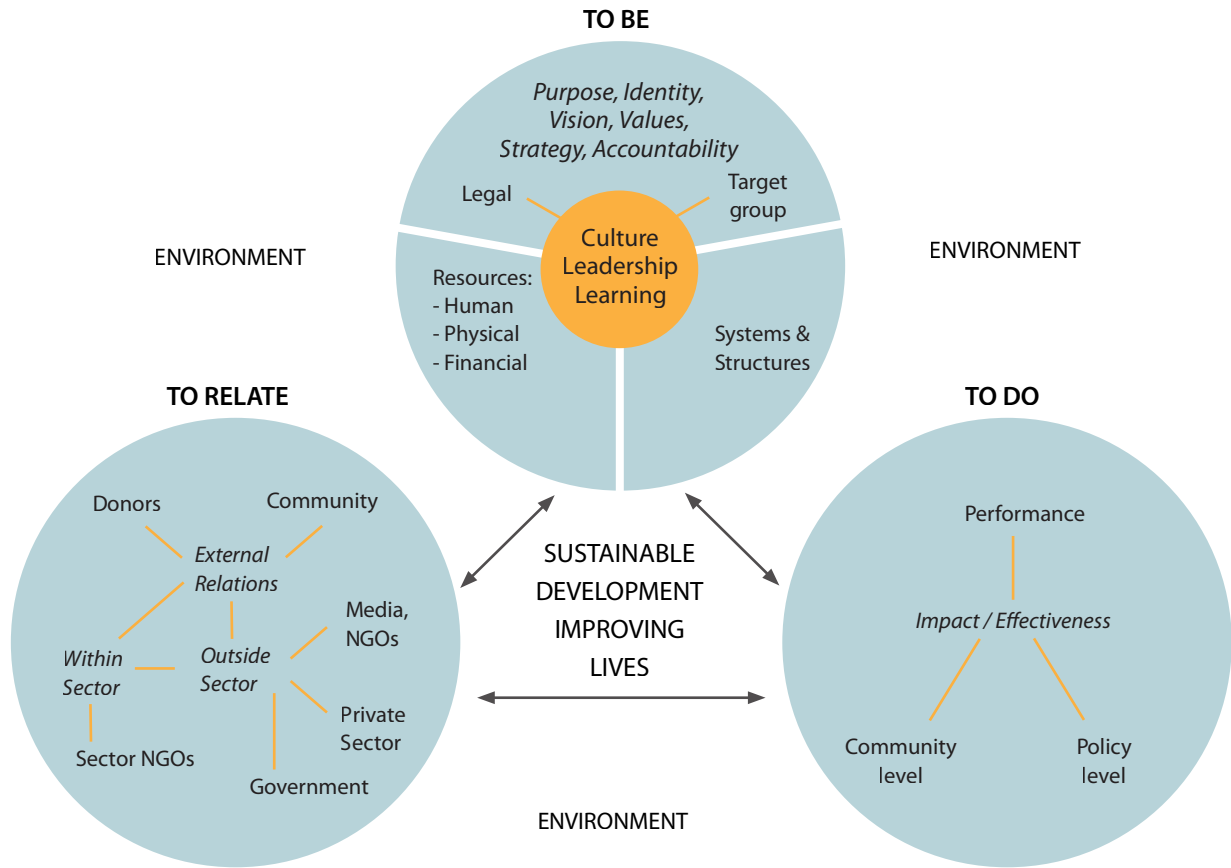
The organisational life-cycle presented in the diagram is a potentially cyclical development, where an organisation, over time, passes through eight stages and, at each of them, faces



Adapted from "Developing Organisational Capacity Assessment and Development of CSOs in Ukraine, Moldova and Belarus. Organisation Development (OD) Guide" Developed by INTRAC for UNDP DHRP



THE THREE-CIRCLE MODEL



Quoted from 'Pilot methodology for Organisational Assessment of CSOs', UNDP Ukraine, 2013

as at times growth and decline trends may be so strong that certain aspects are hurdled.

Understanding of the approximate stage, at which the partner-organisation sits, is helpful, as it could help guide the processes of organisational assessment and, subsequently, organisational development with more precision. The team conducting the assessment or working with the

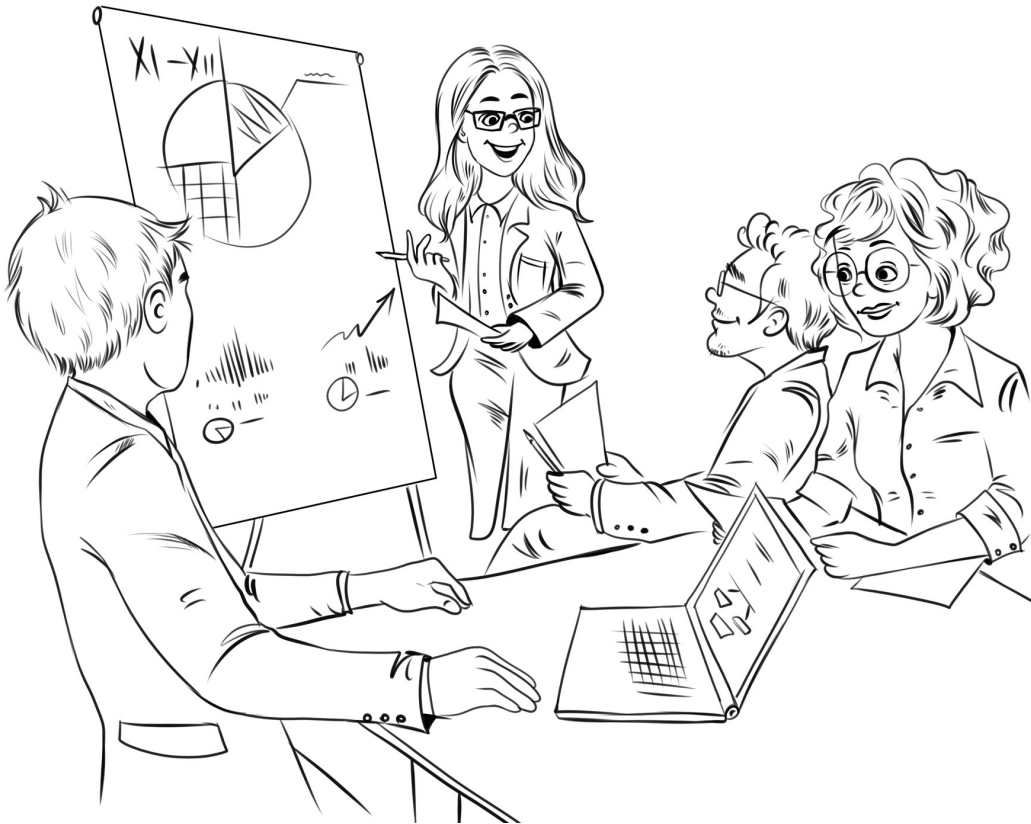
organisation on an organisational development plan drafting, implementation and M&E can double-check their findings against the table of most frequent challenges that emerge at different stages of organisational development given in Annex 1.

In the UNDP Ukraine approach, the partner organisation is viewed as an inter-related complex of functions, constituent

dimensions and aspects. The three core elements thereof were already mentioned earlier on in the previous section, and are: a) the programmatic pillar, or “to do”, b) the systemic pillar, or “to be” and c) the relational pillar, or “to relate”. This organisational model is called “the three-circle model” and was the foundation for OD work performed by UNDP Ukraine within the DHRP Programme with partner-institutions in 2013-2017. It is also the foundation for the currently applied UNDP Ukraine approach, which maintains that attention to all three pillars (circles) is important to make sure that progress is made on the four indicators. In turn, the four HRBA principles may, in fact, be applied to each of the three pillars to see whether the organisation is paying attention to the HRBA lens.

As seen above, a partner-CSO may be represented as a combination of three core elements that all contribute to achievement of sustainable development for the organisation and improving lives of the CSO’s target audience / clients. Akin to a three-legged stool, the organisation is only as strong as its weakest pillar and, therefore, both throughout the organisational assessment and the organisational capacity-building, attention will have to be dedicated to all three core aspects, albeit with a degree of intensity depending on the organisational situation at hand.

Once the decision has been made regarding a CSO to enter the OD programme, the process may be presented as a cycle



that has much in common with the one used in elaboration of policies or searching for a suitable solution to a problem.

Throughout this cycle, the UNDP Ukraine approach envisages constant feedback loops between the partner-CSO that is undergoing the transformation process and the resource-organisation that provides the support, peer-to-peer advice or mentorship.

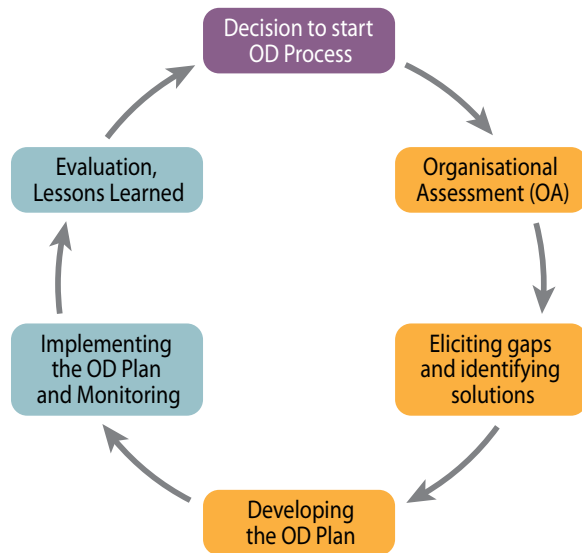
The **decision to start the OD process** is, the initial important and meaningful step forward, when the partner-organisation takes it consciously and is motivated by understanding that the OD programme may be helpful for it not only to receive financial or mentorship support but can – if made full use of – become a strong driver for change inside of the organisation and help propel it to a different level of development. While the newly-admitted partner-CSOs will have to internalise their decisions for conscious and purposeful transformation, those CSOs that had previously gone through one iteration of the OD Programme are likely to be more receptive to ideas of change, and will likely have a simpler re-entry into the OD cycle. In the application of the CSDR OD approach, it is important to start immersing the pre-selected partner-CSOs into the ideas of appreciative inquiry (please see Section 3 for more details) and change management early on. Awareness of the “essential” and “elective” aspects of the OD Programme and setting the right levels of expectation from the OD Process (including the unease of stepping outside of comfort zones) will help those partner-CSOs that have not yet gone through the OD Programme to have an easier adaptation period, as change begins to take place.

The process of **organisational assessment** and the tools that may be used for that (including the three-circle tool, and other instruments that may be put to work) are briefly described in Section 3, as well as in the UNDP DHRP publication “Pilot methodology for Organisational Assessment of CSOs”⁵. At this stage, the pre-selected partner-CSOs would enter the more proactive phase of assessing their own capacities, and getting

these scores triangulated with information obtained from the CSDR facilitators and the external stakeholders. The OA process should complete itself with a detailed snapshot of agreed scores on several essential organisational aspects, and understanding of the largest gaps that the organisation is facing.

At the next stage, as the **gaps are clarified and prioritised**, the organisation and its peer or mentor begin the process of

DECISION TO START THE OD PROCESS



assessing what tools exist to patch up the gaps, or what areas are the effective, low-hanging fruits that could start bringing organisational benefits with relatively minor efforts dedicated thereto.

Development of the OD plan that would be a) comprehensive, yet realistic enough, b) concrete and measurable, c) well-resourced and prioritised may look as a formidable task in itself. At the same time, this is by far one of the most important

⁵The publication is available at: <http://bit.ly/2eFG32r>

preparatory stages of the OD process. In fact, one may argue that drafting, polishing and agreeing on a plan is, an organisational development exercise, as it entails agreement on change necessary, assessment of one's resources and capacities and fleshing out the vision of the change that is planned and intentional. A template of an OD plan is presented in Section 7, which contains useful illustrative material and ideas for commonly-requested instruments.

Implementation of the OD plan (coupled with its ongoing monitoring) is the longest phase of the OD process and depends on the length of the negotiated OD programme. Throughout the OD plan implementation, a wide variety of methods could be used to increase the determined capacities and to bridge gaps. The array of these tools can include: peer exchange instruments, knowledge management techniques, mentoring and coaching exercises, training and skill-building events, as well as targeted consultancy services.

The final stage of the cycle envisages **assessment of the progress made** (desirably, a combination of self-assessment with one of the tools presented below and an externally-facilitated assessment). The core principle in this area is to remain as impartial as possible, and to have an honest overview of progress made so far –if only for the benefit of organisation's development in the future. Lessons learned throughout the cycle are crucial to continue improving organisational capacities in the future in a more effective way, as well as for the partner-CSO to become a valuable resource for other organisations to learn from and rely on.



THINGS TO REMEMBER:

Organisations may be studied and seen through a variety of lenses. One of them proposes to see entities as going through different stages of life – from birth and early childhood to, potential, death. Each of the stages has OD challenges, and determining (at least

with a reasonable degree of validity) the current stage of CSO development is a helpful practice. At any stage of growth, nevertheless, an organisation may be seen as an inter-connected sum of three systemic pillars of “to be” (systemic aspect, organisational inner operations), “to do” (programmatic aspect, organisational projects, activities and fieldwork), and “to relate” (relational aspect of connections, collaborations, and partnerships).

The division between the three circles in the UNDP Ukraine model is not necessarily rigid, and the organisation is always a bit more than the sum of its constituent parts.

At the same time, the three-circle model is useful both for conceptualising a CSO, and for assessing its elements (as will be shown in sections below).

The OD cycle model that is used in the UNDP Ukraine approach is built on a classic “policy cycle” and envisages 6 main steps. The entry point for all work intended is a conscious and determined decision to enter the OD process, desirably after being exposed to the essentials of change management and becoming aware of “what it could take” from the partner-CSO side.

The latter is important to ensure realistic expectation-setting and minimise drop-out chances. The second leg of the cycle consists of three stages that comprise: organisational assessment (OA), defining the gaps and deficiencies and listing the spectrum of tools / activities that could be used to address these, and furnishing a time-bound, resource-based, trackable OD plan. As the OD plan is being put in practice, constant monitoring of its performance needs to be in place.

Finally, at the stage of summarising the lessons learned, it is important to have a reflexive process that honestly speaks of what was successful, and what could be improved, and “packages” the partner-CSO's knowledge to be further shared in the community.



3

FOUNDATIONAL APPROACHES: ACCURACY AND PRECISION, APPRECIATIVE INQUIRY, TRIANGULATION OF DATA. ORGANISATIONAL ASSESSMENT: TOOLS AND PRISMS

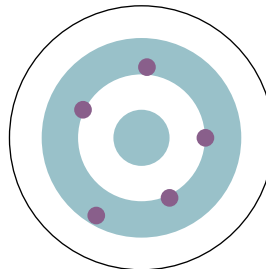
Prior to introducing toolkits that can be deployed to conduct organisational assessments, a brief discussion is due to distinguish between two terms, oftentimes confused in the area of monitoring and evaluation. Here we are referring to the concepts of “accuracy” and “precision”.

The first concept tells us whether we are measuring something that we intend to measure: whether by shooting at the target, our arrows tend to strike close to the bull’s eye. The second concept tells us whether the tools that we use are calibrated enough to give us a reliable result over time: whether the shots that we take get the arrows to strike close to one another. With accuracy we hope to measure exactly what we want; with precision we hope that no matter how many times we conduct the measurement, the result will be the same or very close to the previous attempts.

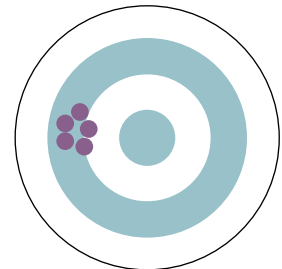
A brief discussion like this is due before looking into the assessment instruments because too often there are great attempts to arrive at precise measurements (with decimal points) at the expense of measurement accuracy. In organisational development work, it can be argued, it is much more important to be accurately imprecise (to get to the heart of things instead of pursuing mathematically correct calculations of weighted scores) than precisely inaccurate (getting all the numbers right while totally missing the heart of the challenge).

CONCEPTS OF “ACCURACY” AND “PRECISION”

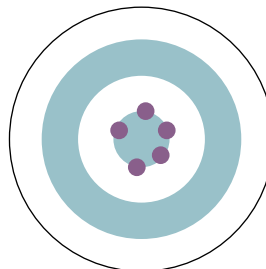
**A. Low Accuracy:
Low Precision**



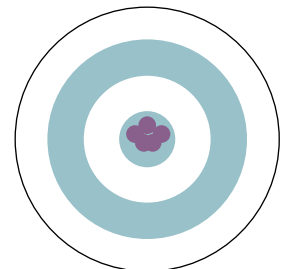
**B. Low Accuracy:
High Precision**



**A. High Accuracy:
Low Precision**



**B. High Accuracy:
High Precision**



To mitigate this risk, the UNDP Ukraine approach relies on some of the principles behind appreciative inquiry and on triangulation of data obtained from various sources to drive the arrows closer to the centre, even if the numbers do not always match.

 **TECHNIQUE IN BRIEF:
APPRECIATIVE INQUIRY STAGES**

Commonly used 4-Dimensional model of appreciative inquiry involves:

- **Discovering:** people talk to one another, often via structured interviews, to discover the times when the organisation is at its best. These stories are told as richly as possible;
- **Dreaming:** the dream phase is often run as a large group conference where people are encouraged to envision the organisation as if the peak moments discovered in the 'discover' phase were the norm rather than exceptional;
- **Designing:** a small team is empowered to go away and design ways of creating the organisation dreamt of;
- **Deploying:** making the desired change happen.

*Adapted from "New Paradigm – Appreciative Inquiry"
<http://bit.ly/2vg7pm5>*

Appreciative inquiry in OA is an approach to ensure that change is not imposed from outside but rather felt, internalised and driven by the organisation itself. This does not mean, though, that there is no role for a facilitated search for ways to improve the current situation. The UNDP Ukraine approach, therefore, takes the best of the appreciative inquiry method, namely its organisational focus, respect for uniqueness and potential for self-driven change. At the same time, the OD programme under CSDR is built on

a more structured and guided process, including for the reason of tight programmatic time-frames.

To make sure that information gathered throughout the assessment (and further on monitoring and evaluation stages) is more accurate, i.e. describes the real state of events as closely to reality as possible, the UNDP Ukraine approach envisages triangulation of results obtained. This means that the information, opinions and facts are sourced both from within the organisation and from the outside stakeholders (beneficiaries, state authorities, peer-CSOs). Observations of the assessment team are also added into the equation to produce a three-source (triangular) structure of data.

As demonstrated in the previous section, prior to initiating the OD process, a well-rounded view of organisational status in its core dimensions is necessary. Over the years of proactive OD work in the civil society sector, several tools were designed by different organisations and initiatives both for internal and for outside use to ensure expedient data-collection on various aspects of organisational capacities. In this section we briefly dwell on some of these tools. The CSDR-applied "three circle" assessment method is presented later on in more detail. Alternative instruments are presented for the sake of comparison, and to highlight one important consideration: despite important differences (for instance, in terms of rigidity of questionnaires or time-limits for application), all of the noted instruments essentially measure the same aspects and aim at laying the foundation for systemic CSO strengthening through attention to universal bedrock elements.

THE OCTAGON. SIDA

As noted in the tool description, the Octagon was designed around year 2000 to *"structure the dialogue with a partner organisation when the aim is to obtain an overall picture of the organisation and to get to know it well. It can also serve as an aid for the selection of partners; [and] for grouping partner*



organisations in relation to their needs of internal organisation development⁶. The instrument is based on four pillars that are measured throughout its implementation: 1) organisation's management and administrative structures (so-called base), 2) organisation's efficacy in programmatic work (output), 3) capacity to succeed in programmatic work (including skills and funds to get the work done) (capacity development) and 4) organisation's capacity to create and maintain relations with its target groups and other actors (relations). These four pillars of OA under the Octagon model are then assessed through two variables per each pillar, and each variable is, in turn, assessed through two aspects. A condensed presentation of the Octagon's assessment framework (the 4 pillars, their 8 variables and 16 aspects) is given in Annex 2.

the external facilitators (alternative scores) to then come to a common vision and produce the organisational octagonal (hence, the name) chart of OD aspects. The scale used in the Octagon is 1 to 7, with the following point definitions: 1 – Non-existent, 2 – Very weak, 3 – Weak, 4 – Reasonable, 5 – Good, 6 – Very good, 7 – Excellent.

Due to simplicity of application and only a limited number of aspects to be assessed (16 to be ranked from 1 to 7), the Octagon tool is easily deployed. At the same time, its authors also note that it is "a tool for making a rough initial analysis of an organisation. Thereafter, other tools must be used [for organisational development purposes]."

THE OCTAGON TOOL RESULTS

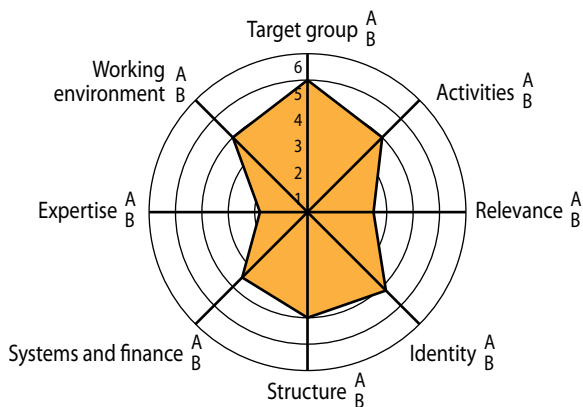


Illustration from "The Octagon: A tool for the assessment of strengths and weaknesses in NGOs"

The process of the assessment per se may be organised either as a fully-internal self-assessment or (preferably, after the interviews with the key personnel) as a collaborative exercise between the organisation itself (producing own scores) and

ORGANISATIONAL CAPACITY ASSESSMENT. PACT

One of the widely used instruments of OA is the Organizational Capacity Assessment (OCA) by Pact⁷, which comes in a wide variety of modifications (Classic OCA, Rapid OCA, Cohort OCA, Community Based Organisation OCA and Negotiated OCA) and is – in its classic version – a greatly participative process that, nonetheless, tends to touch upon some of the capacity areas discussed above.

The distinctive feature in the classic OCA approach, which dates back to 90s, is that the organisation is not presented with a set, pre-determined list of capacity areas that are inflexible and exhaustive. Instead, after a pre-OCA partner preparation phase (that may last for 1-2 months), the CSO staff (as well as volunteers and members – depending on the situation) gather for a 1 – 3 day facilitated workshop to shape the capacity areas that they agree on. In addition, this meeting results in "statements of excellence" (indicators), and a deliberate scoring scale. The latter may vary from a classic Likert sequence of "strongly agree" – "agree" – "neutral" – "disagree" – "strongly disagree" to a highly-calibrated system where a narrative description of standards for each level of excellence is developed.

⁶ Hereinafter – adaptation and summary from the Octagon Guide: <http://bit.ly/2tvBug0>

⁷ Hereinafter – adaptation and summary from the Pact Organizational Capacity Assessment (OCA) Handbook: <http://bit.ly/2uEPpil>

PACT'S OCA PROCESS AND TIMELINE

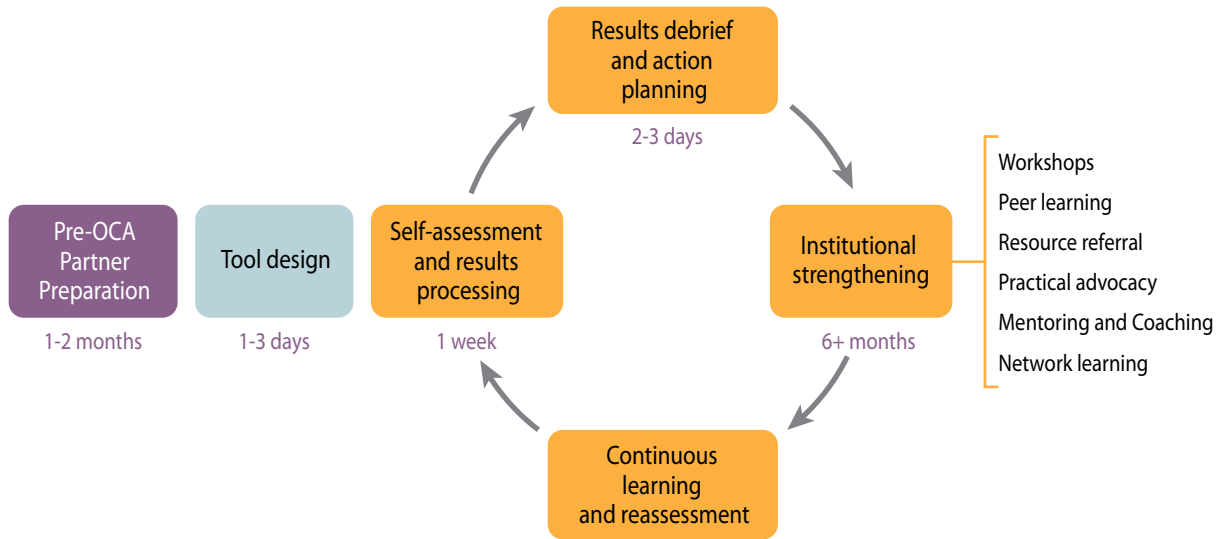


Illustration from "Pact Organizational Capacity Assessment (OCA) Handbook: A practical guide to the OCA tool for practitioners and development professionals"

After the system of scoring is designed and the areas to be assessed are agreed, the OCA approach envisages a workshop that includes guided self-assessment and processing of the results. Importantly, the results of the assessment are entered into specifically-designed Excel-sheets that are programmed to calculate both the capacity levels, and the consensus of those, who participated in the assessment. Based on the data received, an action plan is designed to strengthen the defined capacity areas, listing the action items, goals, timelines and responsibilities.

SATT / OSS. INTERNEWS NETWORK

The two tools used together by the Internews Network to assess capacities of its partners and are two sides of the

same coin: while the Seat at the Table Index (SATT) measures key aspects of organisational effectiveness in its external operations, the Organizational Systems and Standards Index (OSS) is an introspective instrument that measures CSO's internal systems, policies, and procedures.

The SATT / OSS tools comprise 48 dimensions (21 for external performance under SATT; 27 for the internal operations under OSS). Each of the dimensions is fitted with an in-depth definition and an elaborate scoring system where points from 1 to 5 correspond to a certain level of development under the capacity area. Capacity areas assessed under SATT / OSS are presented in Annex 3. Throughout a session that usually lasts at least one day, the CSO team conducts a self-assessment (frequently with assistance of an external facilitator) and positions the

scores on the Descartes' plain with colour codes with the following meanings:

- **Red:** 'Live or Die: Which capacities are critical to your survival right now?
- **Orange:** 'Critical': Which ones are crucial to your longer-term sustainability?
- **Yellow:** 'Priority': Which ones represent priority areas of concern?
- **Green:** 'Significant': Which ones are significant, but not a priority at this time?
- **Blue:** 'Not Now': Which ones are not significant / relevant at this time?



THINGS TO REMEMBER:

In terms of assessing the status of organisational development at one given point of time, caution should be taken to keep a good balance between degrees of accuracy (measuring what we want) and precision (getting similar results over time). At the same time, as OD is an area where the mathematical component is only one of the factors for success, it could be better to err more to the side of accuracy of measurement.

One of the ways to make sure that there is sufficient buy-in from the partner-CSO into the process of organisational development is application of the "appreciative inquiry" approach. Instead of looking for gaps and faults within an organisation, this approach emphasizes ownership of the process, concentration on what works best, and imagining of what could be an even better situation within the CSO.

The UNDP Ukraine approach partially makes use of the appreciative inquiry technique – amongst others, to emphasize ownership, and to position issues as areas for growth and improvement rather than possible faults or deficiencies. In terms of OA processes, techniques abound.

Three instruments were briefly presented: 'Octagon' by Sida, 'OCA' by Pact, and 'SATT / OSS' by Internews. The tools differ in depth of dimensions covered (8 in the Octagon and 48 in SATT / OSS), in the prescriptive nature of the questionnaires (extensive in SATT / OSS and fluid / co-designed in OCA), and in the time-frames necessary for application. At the same time, one feature remains common – areas that are covered by the tools are fairly universal, and the goals of the tools are identical: (i.e. stimulating the organisations to identify their strong points and areas where more attention is required).

4

USING THE THREE-CIRCLE OA MODEL (AKA PROSE) OF UNDP DHRP / CSDR. TIPS AND TRICKS

The PROSE instrument (acronym of Participatory Results-Oriented Self-Evaluation), commonly referred to in DHRP / CSDR practice as the “three circles” assessment tool was developed for UNDP Ukraine by Intrac in 2013 and finalised (after a pilot study) in 2014⁸.

This tool, used in the first stage of OD-programme in 2013-2014, is also intended for deployment in the subsequent assessments consists of three sets of capacity dimensions grouped by three circles of an organisation: “to be” (12), “to do” (8) and “to relate” (6). A comprehensive list of these 26 capacity dimensions broken down by the circles is presented in Annex 4. These 26 dimensions may be further on grouped into clusters – to measure the four aggregate indicators that were introduced in Section 1, and to contribute to the four pillars of HRBA.

To assess each of the 26 dimensions, the PROSE tool has a gradation of 5 descriptive levels of proficiency ranging from 1 – Embryonic to 5 – Exemplary with a step of 0.5 (i.e. the ability to put 1.5, 2.5, 3.5, etc. as resulting grades). These five levels for each of the dimensions are given in Annex 5.

It is important to emphasize – again – that throughout the whole process of assessment, as well as design of the OD plan, it is much more important to strive for deeper understanding of the organisation, and triangulate the findings to get to the heart of the issue than to attempt a mathematically precise evaluation of the organisational capacities.

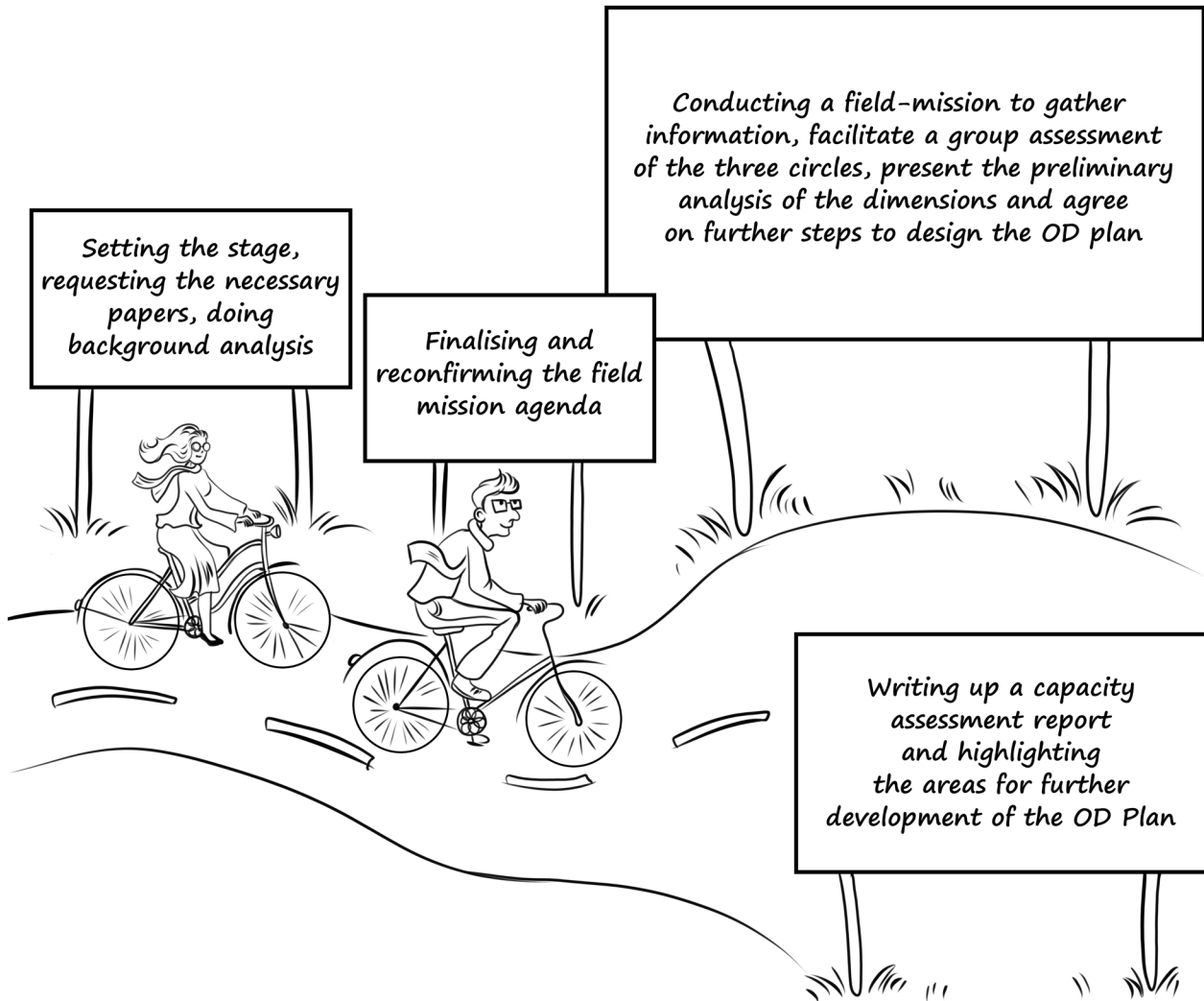
In general, the OA process consists of the following elements:

1. Setting the stage, requesting the necessary papers, doing background analysis;
2. Finalising the agenda, reconfirming the acceptability of dates and buy-in for the partner-CSO;
3. Conducting a 2.5-day field-mission to:
 - gather information from a) the organisation and b) its external stakeholders
 - facilitate a group assessment of the three circles
 - present the preliminary analysis of the dimensions
 - agree on further steps to design the OD plan
4. Writing up a capacity assessment report that would summarise all information obtained and highlight the areas where there seems to be consensus for immediate attention, thus setting the stage for putting together the OD Plan.

Principles and guidelines for conducting the OA are summarised in significant detail in the publication “Pilot methodology for Organisational Assessment of CSOs” published in Ukrainian by UNDP DHRP in 2013. It is therefore seen as redundant to be quoting detailed sections and steps presented in that material.

⁸ Hereinafter – adaptation, summary and revision of Developing Organisational Capacity Assessment and Development of CSOs in Ukraine, Moldova and Belarus – Organisation Assessment Guide





At the same time, some practitioner tips may be elicited from practical experience of applying the “three circles” in practice over the years, and these issues are briefly charted out herein.

PROSE PUT TO PRACTICE: WHAT WE'VE LEARNED

- **Do the necessary explanations, prepare the ground, persuade, be open and set right expectations.** As the prospects of becoming part of an OD programme start becoming more and more palpable for the CSOs, it is only natural that their excitement (mixed, possibly, with apprehension) will grow.

Even prior to entering into any pre-commitments and conducting any screenings and assessments, it is important to set the expectations right. Change may be uncomfortable, it will challenge the set rites and rituals, leadership may feel that it is becoming more vulnerable, and attributes of change (such as policies and procedures) may be initially seen as 'trinkets' that are necessary to tolerate so that one can benefit from the funding. That is why, some of the international OD practitioner-partners advise strongly against tying OD processes to conditional funding.

At the same time, no matter what conditions and arrangements are in place, it is necessary to let the CSOs know what they could be up against, what phases to expect (more on this in the tools Section 7 dealing with change processes), and how to take this in a positive, transformative way, as a journey to embrace rather than a set of misunderstood conditionalities to bear.

CSDR has a unique resource in this regard – embodied by the Hubs that have already gone through phase one of the OD programme, and who can share honest impressions and stories. Internalisation of change, in this

case, will happen from a peer institution which is seen as a much more trusted channel by many organisations. A semi-official get-together for partner-CSOs regardless of their further engagement into the OD / institutional development programme may be good to set the realistic but friendly tone of the process.

- **Do the background scanning.** The field mission described in the model agenda of Annex 6 is the grand finale of the preparatory work that is carried out by the OA team. Preparatory steps (after item one described above as setting the ground and shaping positive expectations) include: doing deeper research into the prospective partner-CSO above what is available in the application forms or general information on the web. Oftentimes, social media are a good source to learn of the CSO activities (if a page exists) or to look out for the pages of the leadership and the Board members – to have an idea of what values may be prevalent in the organisation, what drives the leadership or main driver-activists. Network references are also a valuable source.

Remember that the goal of this stage (as well as subsequent ones) is not to pre-condition the OA mission or shape opinions (and potentially even prejudices) from what may be found or referenced. The goal is, instead, to try and gather the "puzzle-pieces". In this respect, the principles of appreciative inquiry quoted above are useful as guides.



PROSE PUT TO PRACTICE: WHAT WE'VE LEARNED

- **Do the document-related homework.** While it may be tempting to think that one can cover all necessary aspects throughout the 2.5-day field-mission, this is a faulty assumption. It is useful to work side by side the prospective partner-CSO at least two weeks prior to the visit to go through the list of the documents that the organisation has (please refer to the model List of policies and documents that could be requested prior to conducting OA for inspiration). The more documents (no matter what quality!) are available at the pre-mission stage, the more pieces of the puzzle will be collected into the box for further piecing together with the CSO. Make notes of the main impressions of the documents but, again, make no judgements. Sometimes, there would not be a written procedure, but a perfectly legitimate unwritten routine that is a) workable, b) known to the staff well. Save the questions for the interview and feedback sessions of the field-visit.
- **Do rely on the partner-CSO arrangements but be prepared to play it by ear.** Well-prepared and coordinated visits tend to go well. At the same time, even the best of our plans sometimes shift and run aground. It is important to communicate to the focal points in the partner-CSO that all items on the agenda are important, and that all elements should be covered in the visit. At the same time, be prepared to trust your feelings, finish earlier or take a bit longer time if crucial information is discussed. Substance is more important than adherence to the set agenda.
- **Have enough human resources to take up the task and triangulate the data.** The original methodology envisaged that there could be two persons running the field mission agenda. Practice has shown, nonetheless, that a three-person-expert team works better, especially if one of the experts is well versed in issues of finance and administration (not necessarily auditing or latest accounting trends – while that of course is ideal, should such expertise be in the team list). Furthermore, a three-expert team is better suited for diversity of opinions. Moreover, as two experts go through the circles, the third could be asked to take up the task of note-taking.
- **Always maintain a balanced, friendly and non-promising tone.** It is important that the organisations that undergo OA feel that the team that is working with them is not inspecting them, is not grading them as ready or not for any support, and is – ultimately – not the one that will make the final decision on any further cooperation in financial or non-financial terms (while, of course, may partake in this decision-making).

The team is there on a field mission first and foremost to offer friendly advice or better still – show the partner-CSO how to use the tools that could help them find a path towards more sustainable operations. Needless to say, the OA team should make it absolutely clear that they cannot – even in a friendly manner – accept any kind of hospitality from the partner-CSO (housing, meals

PROSE PUT TO PRACTICE: WHAT WE'VE LEARNED

or any other items or services). An exception may be made for the partner-CSO promotional materials (cups, pens, calendars) – but only if they were already in stock and not designed specifically for the visit.

- **Ask, ask, ask – and show genuine interest.** After all, this is what the process is about: nothing dampens the enthusiasm more than a formalistic attitude towards the exercise or a 'tick-the-box' approach. An atmosphere like this may skew the data and distort the overall picture in the organisation. Be genuine and be interested, but keep track of the time, which tends to run quickly as discussions go into details and in-depth!
- **Be balanced and moderate well.** While this may seem trite, the success of the OA lies, in part, on having a well-skilled moderator on the team who would be able to manage the discussions held throughout the 'three circles' debate. Making sure that all (shy or social, outspoken and not) colleagues of the partner-CSO are able to voice their beliefs and views is what makes the exercise truly inclusive and participatory.

- **Always leave a door open.** It is true that the CSDR OA approach is not about making final and ultimate judgements. Make sure that the organisation understands – they will be given draft versions to read, they will be consulted prior to assessments being finalised, and there always will be a chance to add missing information, correct misunderstandings, and clarify things. As the organisations feel that they always have a door open for them, and that they are going to be consulted on things, things get easier for discussion.



THINGS TO REMEMBER:

PROSE (three circles) is a comprehensive methodology that allows one to assess the capacity dimensions of potential partner-CSOs in an engaging, non-threatening way. If applied well and with properly-conducted ground-setting, the methodology, after its application, will leave the CSO empowered for change, and understanding the relevance of the exercise for further growth. It may be that the scores that are put by the OA team and the CSO differ a lot, it also may be that there are dissenting opinions discovered throughout the discussion process. Yet, the core thing to remember is the ultimate goal of the exercise: helping the organisation chart its strong sides and areas for growth, and to set foundations of ownership that the OD Plan will be based on.



5

INSTRUMENTS AND TIPS FOR STRENGTHENING ORGANISATIONAL CAPACITIES. SELECTED CONSIDERATIONS

Prior to delving into the thematic components of the four capacity indicators, it could be beneficial to provide a brief overview of the OD planning process and technicalities connected to that. The OD plan that is owned by the organisation and is equipped with all necessary components, is a powerful guiding tool for the partner-CSOs to internalise change and have a clear pathway towards internal development.

Design of a solid OD plan is an exercise in and of itself that may require at least two stages in the process: a) priority setting for the capacity dimensions through a number of criteria / filters and b) seminar for compiling the OD plan into a solid, comprehensive document.

The process for the OD plan preparation should start, ideally, immediately after the finalization of the OA report and its agreement by the partner-CSO. The seminar for the OD planning should be scheduled approximately a week after final agreement of the OA results, which serves a double purpose: of allowing the information from the OA exercise to sink in and be internalized by the organization, and of allowing for the logistics of the second field visit to be finalized.

The field visit for facilitating the OD plan is called to help the CSO prioritise the capacity areas, identify what may be achieved with the organisation itself, what would require mentoring and expert support of the CSDR team and / or the more experienced Hubs, and what activities require narrowly-specialised knowledge that may be sought on the market.

Preliminary discussions on the priority of the defined capacity dimensions to be dealt with and the ability to address them with own forces or through outside assistance may happen prior to the second field mission. At the same time, there will still have to be a full-scale discussion on this prior to filling out the OD plan. Aspects to be considered in prioritising the capacity areas may include the following:

- The need to strengthen capacities critical to the success of the organisation and foundational for its operations (**bedrock challenges**);
- The need to address serious capacity deficits (**largest gaps**);
- The need to fill in a gap that creates a problem in meeting important stakeholder requirements;
- Where improvements to one capacity would have positive effects on a several other, related capacities (e.g. improving governance);
- Where potential to improve the capacity is high (**big promise**, potential success story);
- Where improvement in capacity could be achieved quickly or relatively easily to give confidence to those involved and send a signal to others in the organisation that change is achievable and leads to tangible benefits (**low-hanging fruit**);
- The amount of resources (human, time, financial) needed for making any required changes (**low- and high-investment**);

- The need to avoid over-committing the organisation with the development of too many capacities at the same time (spread in time);
- An awareness of other change processes that are happening in the organisation and the potential for synergy⁹.

The preliminary discussions taking place prior to the facilitated creation of the OD plan will help the process run faster and be more “prepared” than “spontaneous”. At the same time, the field stage is likely to contain discussions regarding the realistic nature of the CSO expectations and assessments, and the assigned importance of the capacity areas. For instance, the area of democratic governance, namely establishment of external, electable, independent Boards may not be prioritised by the CSO but is valued highly by UNDP Ukraine as a foundational value and is a priority to be addressed by the plan, should it receive funding from the programme.

Once the partner-CSO has gone through the capacity areas like that, a grouping should emerge in clusters (for instance, as noted above “low-hanging fruit”, “bedrock challenges”, “big promise”, etc.) tagging the areas with the expected involvement of the CSO staff, peers, UNDP assistance under CSDR and outside expertise. This allows for a preliminary visualisation of the tasks at hand and sets the stage for unpacking the capacity areas into activities, defining the necessary indicators for progress, conducting the costing exercise, and setting the deadlines and milestones. This unpacking process happens throughout preparation of the OD plan file.

One of the possible templates for the OD plan is presented in Section 6, and can be used effectively for planning the change. The initial listing of the organizational capacity areas may be done in accordance with the clustering that happened at the previous stage. After that, the essence of the issue with the capacity dimension has to be described

in a concise and easily-identifiable way, noting the focus of the intended change intervention. Basically, this entails a short problem statement or desired standard to be achieved. Upon defining the challenge that is present with a given capacity area, the actions that will be undertaken to remedy the situation or further strengthen an area are listed. Please note that it will likely take more than one action to address the development issue. For instance, in the dimension of strategic planning, one would likely list a) conducting a participatory session for drafting the plan with beneficiaries and stakeholders b) finalising the plan’s text, completing the costing exercise and designing an annual work plan based on the strategic plan, c) running an end-of-year progress assessment and introducing the relevant changes to the plan, etc. Outcomes that are expected after completion of the activities are the measurable change, or rather even effect of such change for the organisation¹⁰. After the activities and the relevant outcome are identified, the organisation assigns a responsible party to each of the capacity dimensions, and identifies who will be delivering the necessary work – either the organisation itself or an external actor. One of the last (and trickier) stages is to define the indicator(s) and the target value(s) to measure the outcome from implementation of the OD-oriented activities. One of the things to keep in mind is the necessity to maintain indicators that are relatively easy to measure, which are clearly connected to the change that is expected to happen, and to set realistic targets.

In summary, the OD plan creation is a moderated and facilitated process to help the partner-CSOs to shape their “discovery” (the OA results) into their “roadmap” (the OD plan) for change. Doubtlessly, all principles behind the OA process are also applicable to the OD planning as well.

In the next sub-sections, we will go into more detail into the four organisational development indicators, into their relative capacity areas, as well as into some of the practical

⁹ Quoted and adapted from Developing Organisational Capacity Assessment and Development of CSOs in Ukraine, Moldova and Belarus – Organisation Assessment Guide

¹⁰ Recall that “an adopted Strategic Plan” is an output, whereas an outcome in this area could be “level of awareness and satisfaction of internal and external stakeholders with the strategic planning process and estimated Strategic Plan relevance”.



considerations for working on them. Not all 26 capacity areas are described in the following paragraphs, and the selection is based rather on experience of facing difficulties or in-depth discussions with the partner-CSOs regarding these particular aspect or dilemma. Moreover, not all of the capacity indicators necessarily have the same weight for the organisations – for instance having a proper Board or a financial / accounting policy weighs in more than the relationship with media, in the majority of cases.



INDICATOR 1: Developing democratic, accountable, transparent internal governance. HRBA principle – accountability

Working on this indicator includes building up a system that is governed by clear and understandable rules and policies, proper organizational culture, as well as democratically-elected bodies that are free from conflict of interest and have the necessary degree of independence. It measures whether the organization is transparent in its operations, and whether the organization can stand up and be accountable for the work that it does, for its “word and deed” vis-à-vis partners and beneficiaries.

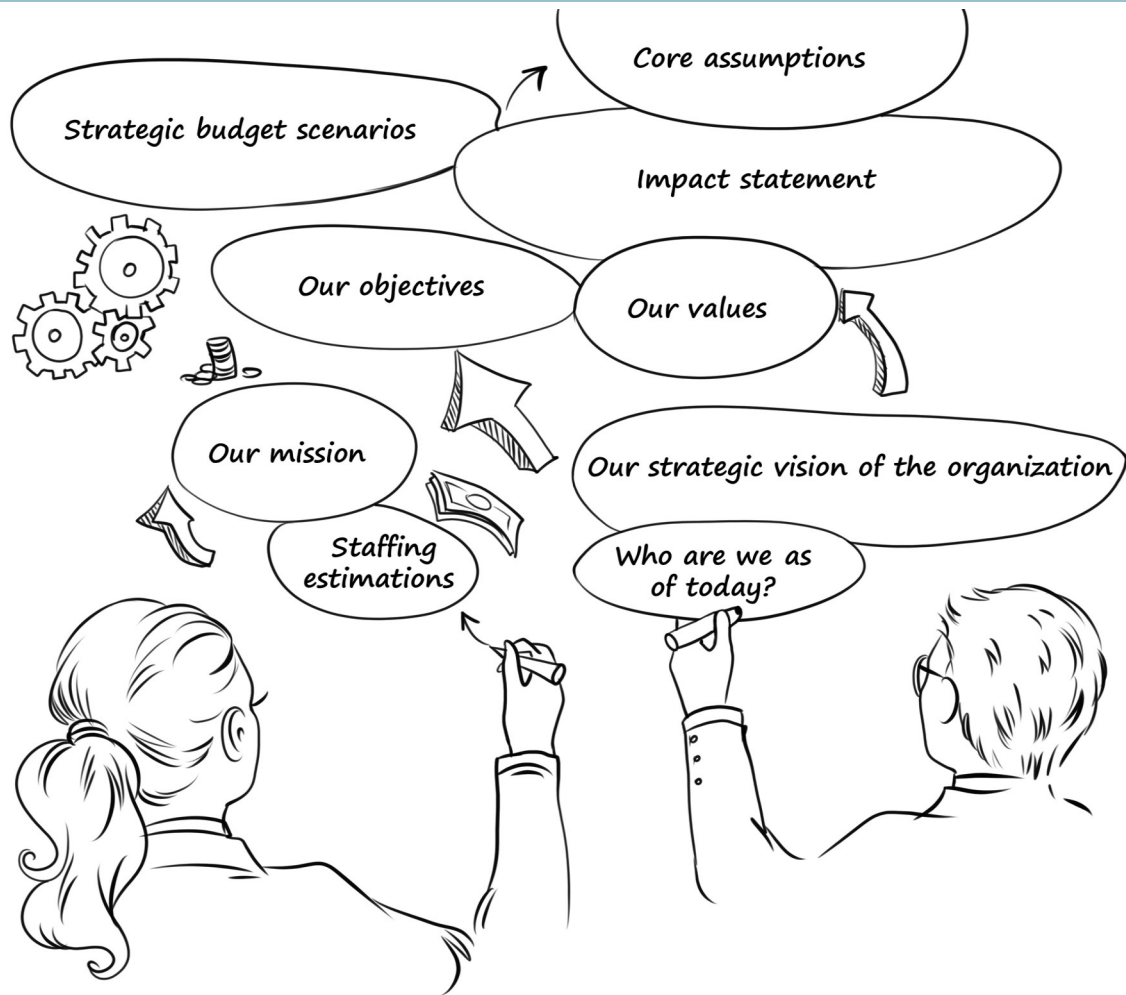
CAPACITY AREAS: STRATEGIC PLAN, ORGANISATIONAL VISION AND MISSION (PURPOSE), SHARED VALUES AND BELIEFS

As indicated in the explanatory note to the Strategic plan template (Section 7, Elements of a strategic plan), the Strategic plan should be present in an organisation that wants to make sure that it knows where it is headed in the next three to five years, and would like to have a clear identity that goes with its programmatic work. Creation of a Strategic plan always runs one of the two risks – design of a document that is too formalistic or idealistic to be useful (creating – shelving

– forgetting) or creating a framework that is too loose and that is revised too often to be a guiding planning document (creating and constantly revising). There are no silver bullet recipes to avoid any of these risks. At the same time, there are approaches aimed at making the plan owned and therefore defended by the organisation itself.

As a general rule, the Strategic plan design would include a number of brainstorming / drafting sessions, some of which should be open to the external stakeholders / beneficiaries / partners. Inclusion of external parties into the Strategic consultations process is not ‘meddling with internal affairs of a CSO’ as some believe, but rather an opportunity to validate ideas, and to make sure that the trap of groupthink is avoided by the organisation. Brainstorming / group sessions are then followed up by the actual process of document drafting and, thereafter, finalisation by the staff of the organisation, validation by the Board (if existent) and adoption by the General Assembly meeting (either regular end-of year or ad-hoc, if necessary). This process could be therefore depicted as follows:

- Announcement of the Strategic planning process in the CSO internally;
- Collection of information, requests to team leaders to think in advance, collect information, data, ideas;
- *Strategic session 1:* Consultations with external stakeholders (direct beneficiaries, government authorities, sister-CSOs and peers from the sector);
- *Strategic session 2:* Review of the organisational vision (organisational and programmatic, mission and values (possibly also with participation of external stakeholders);
- *Strategic session 3:* Processing of externally-provided information, adding internally-gathered information, design of the Theory of Change and goal tree;
- Internal drafting process: designated staff (usually, a development director, an executive director or a team of dedicated personnel) draft the text of the plan into a coherent document, and – together with the financial director and / or fundraiser – estimate the costs for the



optimistic, base or pessimistic scenario. Development of all other constituent elements: indicator frameworks, communications strategy (as part of the Strategic plan or separate);

- Validation process internally and externally: internal commenting on the text by the staff, presentation of the main elements to the external stakeholders and opportunity for the members to comment;
- Approval by the Board and the General Assembly;

Once the plan is in place to set the general direction of the organisational development for the designated time-span, a procedure has also to be established to revisit the plan regularly, and to reflect on the strategic risks that have been noted in the document (risk re-assessment). Both the participative nature of the plan development and the regular revision processes help the organisation to keep the plan in their focus and build programmatic work around its core principles.



CAPACITY AREAS: GOVERNANCE: BOARD COMPOSITION AND FUNCTIONING, ORGANISATIONAL STRUCTURE AND COMMUNICATIONS

These two capacity areas are clustered together in this subsection, as they depict the organisational whole in terms of management at higher and operational levels. Leadership and management science has dozens of models for organisational structuring including flat and network structures, and the partner-CSOs are to choose any model that serves them well, and is effective for attaining their goals. At the same time, there are several guiding principles that are recognized as good practices in building up an organisational governance model:

- Division of responsibility between the strategic decision-making bodies and the operational level. Clear division of labour between the bodies within one layer;
- Open and democratic election of the supreme decision-making body in-between General Assembly sessions. Unpaid status. Absence of conflict of interest;
- Open and democratic election of the chief executive officer for the organisation (the executive director). Absence of conflict of interest;
- Balance in membership between organisational employees and external members;

The above-mentioned principles, when applied to an organisational structure, translate into the following model:

Strategic level:

- **General Assembly (Conference of members)** – final approval and clearance of all strategic documents (Statute, Strategic plan for the next year, internal report of the organisation for the year), election of the Board members, approval of the rules and policies regarding membership (including fees, on-boarding and expulsion);

- **Board (правління)** – the supreme body for decision-making serving on an unpaid basis in-between the General Assembly (Conference) meetings and elected from outside individuals. Approval of such documents and policies as the Operational plan and budget, overall staffing grid and pay-bands for salaries, the salary of the Executive director, organisational diagram, financial policies and other major (foundational) documents.
- **Advisory council / Supervisory council (експертна рада / наглядова рада)** – both bodies are sometimes present in the Ukrainian CSO structures and have varied functions: from serving as a group of unpaid advisers and celebrity-faces in their realm for the CSO, to actually having some oversight function as a committee that is there to fulfil oversight functions in terms of ethics, as a complain mechanism or even as an internal audit body. At the same time, this entity may be seen as a “desirable but non-essential”, and may be put together at the organisation’s discretion.
- **Internal auditor / Control committee (контрольно-ревізійна комісія)** – is a mostly defunct entity in many of the Ukrainian organizations. The idea is that this body is supposed to perform the function of an internal (mostly financial) controller pre-external-audit and is supposed to be separate from the administrative / financial unit. At the same time, if the organization regularly (once a year) conducts an independent external audit, the function of this entity is minimized.

Operational level:

- **Chief executive officer / Executive director** – a paid employee who has as his / her function the proper implementation of the strategic and operational plan, and much discretion in everyday operations of the organisation. Approves all operational documents, payments up to a certain threshold (large-scale approved also by the Board), and is the day-to-day highest officer of

the organisation. In periods of transition, organisational founders often choose to apply to become the Executive directors – to retain the day-to-day control over organisational performance.

- **Organisational staff** – the specialists who are hired to cover the organisational priorities and deliver the work envisaged by the organisational annual operations plan and within the framework of projects. May be members of the organisation, but in that case the majority in the General Assembly has to belong to the outside members.

CAPACITY AREA: MANAGEMENT AND FINANCIAL CONTROL

Under this area, one can speak not only of the tools to ensure proper management of funds and payments, but also about the whole spectrum of policies and procedures that an organisation has to have, and which have to be known and understood by staff. An approximate (non-exhaustive) list of policies is presented in Section 7 as a checklist for the OA team. At the same time, a word of caution is due in this respect. The policies and procedures are only as effective as a) they are known and owned, b) they are adaptive to the situation in which the organisation is operating and c) they are actually put to use on a regular basis. In this sense, it is better to have the policies which are succinct and are designed from within an organisation than those that are lengthy and legally-correct but imported into the organisation from within.

Certain policies may be non-negotiable (such as cases of discrimination, sexual harassment, anti-corruption) while others will undergo change and development as the organisation matures, and as operational environment changes (for instance, communications). In the latter case, new items and principles are going to be added to the policy, new situations envisaged and codified. While copy-pasting someone else's policy is not going to bring about the desired positive change, exchange of opinions, sharing, discussions and asking for peer experience is a path to be followed.

CAPACITY AREA: SHARED VALUES AND BELIEFS (ETHICAL NORMS)

Trust to the civil society organisations is, in many ways, based on their openness, alleged integrity of operations and impeccable “business reputation”. As societal change is demanded, and as private and political interests are exposed by partner-CSOs or threatened through their activities, the organisations may easily find themselves under attack – in media, social networks or even physically. The most reliable tactic in this case is to truly have on file and follow the principles of corruption prevention and integrity. Ethical behaviour of staff, regular renewal of relevant anti-corruption and ethics knowledge and ability to spot, prevent or effectively address such issues as documentary fraud, conflict of interest, siphoning of funds, double reporting and accounting irregularities etc. are some of the predictors for a successful defence strategy. Some of the considerations for elements of an anti-corruption policy are listed under Section 7.



INDICATOR 2: Strengthening membership, constituency and the role of volunteers. HRBA principle – participation and non-discrimination

CAPACITY AREA: RECRUITMENT AND MAINTENANCE OF MEMBERSHIP (INDIVIDUAL OR ORGANISATIONAL)

The area of membership is one of the more problematic areas for Ukrainian CSOs, partially due to the history of the third-sector development in Ukraine. Unlike the “Nordic model” where most of the CSOs have their roots in the mass movements of the twentieth century or the trade unions, Ukrainian non-governmental organisations are rarely so. The latter ones are, usually, initiatives by very few individuals (founders) who are trying to get like-minded people to join the team and address a certain wide or narrow social problem. It is only later, and only if the organisation sees value in a



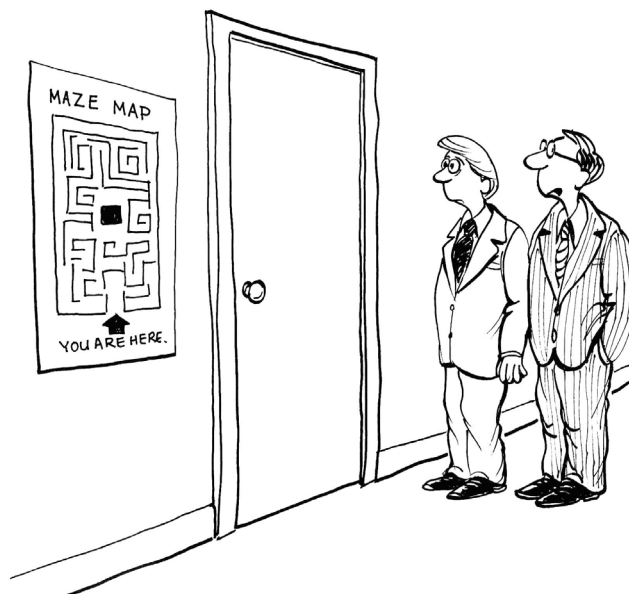
wider membership, that the membership base grows. An alternative pathway is that after a CSO that started off as a small group of passionate individuals starts becoming more and more effective, and begins applying to foreign funding, that is where the “donor conditionality” for membership starts being met. In this case, the membership in the organisation is usually very superficial, and either recruited “for a grant” to meet the requirements, or is built in such a way that the organisation does not benefit anyhow from its members – instead the members may boast around that they have a membership status.

Neither of the situations is ideal, and, keeping in mind that membership fees are an extremely rare phenomenon amongst organisations in the democratisation and human rights area, even the financial argument fails to meet the reality test (which is also a wider cultural phenomenon for the society in Ukraine to avoid paying for membership, subscriptions and other similar arrangements).

Well-maintained (even if not massive) membership for an organisation has several benefits that should be definitely communicated to the partner-CSOs. Such are, for instance:

- Ability to have information points and allies in different sectors and organisations (members as “eyes and ears” in the external environment);
- Ability to tap into knowledge and skills of the members, who could either provide small services to the CSO as volunteers or, being part of a professional community, advise the organisation on certain specialists;
- Ability to demonstrate legitimacy, as an organisation without members may be seen as a “shell company” of the civic sector, just working off grants, and thus catering to the needs of the donors rather than the community in and for which the CSO operates;
- Ability to have a fully-democratic governance structure where it is not the founder or an alpha-leader that decides on everything, but rather a wider, participatory group;

Throughout many interviews with the Ukrainian CSOs – upon reaching a level of trust and confidence – fears were voiced that a wide membership structure could take over or hijack the organisation and, thereby, kill it by making wrong or just imprudent decisions. In a situation where, as described above, much is at stake for the power structures, and the CSO makes life uneasy, attempts may be made to undermine the organisation through using members or deceiving them into making decisions that do not have organisational values at heart. There may also be yet another reason even deeper below, and that is the apprehension that a wider membership may pose a threat to the original founders by voting them out of positions on the Board and, as a consequence, even from the Executive directorship.



While any democratic procedure bears risks and may be abused for someone’s gain, these are not grounds to be abolishing such procedures in their entirety. Instead, in the

UNDP Ukraine approach, we concentrate on several guiding principles for membership:

- *Quality over quantity*: the quality of a limited membership (up to 30 members, for instance) is much more valuable than having a wide but disinterested and dysfunctional membership (a hundred members but only on paper);
- *Balance of powers within and outside the CSO*: the approach envisages that the staff of the organisation may also have a membership status. At the same time, in the General Assembly, the staff-members should not have more voices than the non-staff members. At least a parity should be in place;
- *Keeping membership alive*: the organisation should pay attention to engaging its members proactively throughout the year, not only gathering them at the time of the General Assembly. Approaches to retaining existing members and making sure that both members and the organisation benefit from this should be in place;

Volunteers are another type of an organisational asset, and are a valuable resource to advance goals of the organisation forwards. While Ukrainian legislation is not very conducive to having a body of registered volunteers (as per provisions of the law “On Volunteering” as of 19 April 2011), many of the Ukrainian CSOs continue engaging volunteers unofficially (i.e. without a written contract). In this area, additional legal research could be necessary in the light of reported new amendments into the labour law and related legislation that further regulate volunteering activities.

Constituency are the “wider circle” of the CSO stakeholders. These are the individuals who may not be direct beneficiaries of the organisation or its financial donors, they may not have visited organisational events or volunteered for the team but may, in general, be viewed as supporters of the CSO. These are the people who would come to a rally, if it were organised by the CSO, who would help spread the news and be a subscriber and contributor to the CSO page on

Facebook. Those individuals generally have a sentiment of trust towards the CSO and share the values that they think the organisation espouses. To a certain extent, they may be called “passive unregistered members with a positive attitude”. This human resource is especially valuable for having a trustworthy image of the organisation and to mobilise supporters for important causes when this is needed. Constituency is built, in part, due to proactive info-campaigning and leveraging connections inside of the thematic groups that help spread the word.

CAPACITY AREA: *PROJECT AND PROGRAMME DEVELOPMENT WITH A PARTICIPATORY APPROACH. RELATIONS WITH COMMUNITY, THE WIDER PUBLIC*

As already noted vis-a-vis the process of Strategic planning, participation of external stakeholders is an important indicator of openness, relevance of the organisation and its intent to be attuned to the community that it works for. Indeed, participation in the processes of programmatic design or strategic planning do not mean that the organisation shall necessarily take into account all suggestions or give in to pushy stakeholders who may be wishing to dominate the scene. Equally unacceptable is a process where consultations are conducted just to “tick the box”.

In fact, many of the donors in the democratisation and human rights realm are requesting, in their project proposals to note whether relevant consultations have been conducted with the relevant stakeholders, target populations, direct and indirect beneficiaries. From the donor standpoint, involvement of the stakeholders into the very design process is one of the guarantees that the activities will be seen as a) relevant, b) accepted by and c) more impactful due to better buy-in from the target community.

One of the aspects in such participatory design is to consider opportunities for a truly open process that does not have structural or any other barriers to potential participation of diverse stakeholders in the process. The principles



of anti-discrimination and inclusion have to be put to practice throughout the consultations process. In practice, implementation of the non-discriminatory approaches would mean answering several questions (the list may be made much more extensive and audience-specific):

- Have we used the appropriate communications channels to invite participation of the stakeholders?
- Are we making sure that the participants feel secure and comfortable at the event? Have the questions about preferred anonymity been asked? Is there a need to have the stakeholders broken into separate groups (if some of the groups “don’t mix well”)?
- Is the venue in a place that is accessible for people with disabilities?
- Are the meeting hours appropriate for the working individuals? Is there any possibility to make arrangements for participants with children?
- Is there an opportunity for those who cannot be present in person to tune in from a distance?
- etc.



INDICATOR 3: Improving financial sustainability, mobilising domestic resources and reducing dependence on external donors. HRBA principle – transparency

CAPACITY AREA: FINANCIAL RESOURCE BASE AND FUNDRAISING STRATEGY

Organisations that work in different thematic areas have over the years witnessed varied levels of donor activity in supporting interventions on issues of democratisation and human rights. While after the Revolution of Dignity the levels of foreign donor support have grown in comparison to previous years, and many resources were allocated specifically

for support of the out-of-Kyiv initiatives and organisations, there is no guarantee that this trend will remain. In this vein, planning for organisational financial sustainability is no longer an option but rather a requirement.

There are no ready-made recipes for financial sustainability, and each organisation is likely to face several issues in this regard depending on the region where it operates (and hence, the potential to fundraise from businesses), the political setup in the local government authorities, the ability to tap into the resources of the newly-amalgamated communities, and many other similar considerations.

Several issues to be taken into account in this vein are given in Section 7, and experience in the first phase of the OD programme has shown that reaching financial sustainability will remain a challenging indicator to show progress on.

Finally, it is worthwhile noting the reason why the HRBA principle of transparency is quoted as characterising this indicator. Transparency and accountability in terms of fundraising, reporting on the funds accumulated and spent and proactive reporting on the funds that were received, especially from citizens or businesses, are all key factors for further sustainable giving.



INDICATOR 4: Intensifying advocacy and ensuring constructive dialogue with the authorities. HRBA principles – participation, non-discrimination, accountability

CAPACITY AREA: ADVOCACY AND POLICY DEVELOPMENT, STRATEGIC ANALYSIS OF APPROPRIATE RELATIONS (GOVERNMENT, BUSINESS OR CIVIL SOCIETY) ACCORDING TO ORGANISATION'S MISSION AND OBJECTIVES

In fact, the advocacy block of the OD programme could list all sections in the “to relate” cluster, adding on the ability to

impact the policy development and implementation in the relevant area of operation.

Within the framework of this OD programme, advocacy is seen not as much of a skill or a required area of operations (as some of the partner-CSOs are not necessarily prioritising “classic advocacy” in their everyday work), but rather as the proven ability to change the rules of the game, going beyond charity or service provision. Usually, testimony to the skill of making local transformative changes happen are local government decisions passed, amended or cancelled, or even nation-wide changes, if they are rooted in a regional case.

Over the years that DHRP and its first partner groups-CSO Hubs were going through the OD cycle, there were times more conducive of well-developed relations with the local authorities as well as times of rather tense interactions. At the same time, the measure of success has always been the ability to come up with a workable solution and persistently work on change through various channels. For inspiration on best practices and tips regarding advocacy, one could refer to a summary publication by the Donetsk Committee of Voters of Ukraine – one of the first wave Hubs¹¹.



THINGS TO REMEMBER:

The participative nature of the organisational assessment procedure remains identical for the process of guiding the OD plan design. Preliminary “thought process” within the CSO in terms of categorising capacity dimensions and conducting preliminary prioritisation, is an expediting factor for the OD plan creation. A well-moderated OD plan will be owned by the organisation and will be realistic, measurable and transformative for the CSO.

Development of capacities under the four indicators is expected to take all the time of the OD programme. There rarely are “silver bullet” solutions to the organisational challenges (for instance, finding the best balance in terms of membership, understanding how to build fundraising properly in the given environment, balancing a detailed approach to policies with making sure that these instruments actually work). At the same time, some foundational elements and key concerns have been presented here to foster a discussion.

¹¹Please refer to “Donetsk Mysteries: small secrets of large advocacy campaigns”. Available at: <http://bit.ly/2eWbbuO>



6

STIMULATING AND TRACKING THE PROGRESS MADE, LESSONS LEARNT. SAMPLE OD PROGRAMME TIMEFRAME

To be sustainable and self-driven, the need for change has to be internalized by the partner-CSO itself. At the same time, there always will be factors that impact this determination and understanding. Organisations are complex, and even if the top-management is inclined or determined towards change, this does not mean that the operational level in the CSO will necessarily have the same buy-in. More often than not, even after seeing successful examples and hearing first-hand experience of peers, the partner-CSOs may stay apprehensive or sceptical of change in a certain area, as there are no two identical situations, local politics and business environment take a toll, and even somewhat similar organisations operating in different thematic fields will have a different story to tell.

In this vein, it is important to render continuous support to change intended by the partner-CSO, provide encouragement and stimuli so that the initial inspiration and hopefulness does not get stifled by small setbacks or day-to-day mundane work. Throughout the previous stage of the OD programme, the following tools were identified as possible support factors and instruments:

- **Institutional (core) support**, part of which is channelled towards OD purposes – the philosophy of the UNDP Ukraine approach is that select partner-CSOs are provided an institutional grant.¹² This granting modality in most cases works as a proportion model where a portion of the grant is allocated to issues of

organisational development, while the other one may be used by the organisation to programmatic issues at the discretion of the organisation. There are no rigid rules for that, as each OD plan will envisage different activities and needs for funding or, alternatively, in-kind support. Caution has to be exercised, though, in making sure that the OD plan is not seen as conditionality for receiving the funds that may be spent in a discretionary manner. The risk in this case is that the partners may view the OD plan commitments are imposed conditionality that may merit a “tick the box” approach instead of a genuine transformation process.

- **Networks and communities of practice** – this tool is also coming to the fore in the second phase of the OD programme under CSDR, since the initial steps towards shaping the Hub network have already been undertaken. So far, the experience exchange in that group has been highly-positive and valued, and the same attitude may, hopefully, be sustained throughout the next phase of the OD programme. At the same time, effective mechanisms for information exchange within the Hub network are currently being discussed and will be probed in the future to make sure that this exchange is natural and valuable to all members of the network.
- **Systematic experience exchange: internships, shadowing, mentorship** – these are some of the tools that may be

¹²This does not mean, though, that all of the CSOs that have gone through the OD planning process will necessarily benefit from an institutional grant. The final decision for support to the ‘finalists’ is based on a several criteria that are, in part, dependent on the overall situation in the oblasts where the prospective new Hubs would be operating. At the same time, CSDR believes that assistance in the form of a fully-operational OD plan that stems from an OA process is assistance to organisational growth in itself.

deployed to stimulate organisation-to-organisation learning. As the full composition of the future network is known, and OD plans of the new partner-CSOs are analysed, certain activities may be scheduled in-between the Hubs, or even with outside partners to show-case good practices and help spread knowledge. The tools are labelled as systemic in this case because they are mostly low-key, working level instruments that usually have a rather protracted character.

- **Catalytic experience exchange: conferences, presentations, webinars, contests** – in most cases, such events are limited in time and, in some cases, have a one-off character (except for such fora as the Isar Ednannia annual Capacity Development Forum). Events and tools like this have a catalytic nature, since they serve as a

strong “push” towards change, but have to be harnessed while the inspiration and drive are still fresh.

- **Ongoing expert support** – is probably one of the most day-to-day instruments for supporting the change process. The previous phase of the OD programme benefited from a trustworthy and success-oriented relationship between the programme team and the partner-CSOs, and the needs expressed by the Hubs were assessed on a continuous basis to be addressed either through in-house capacity, or through external expert assistance.

Some of the core lessons learnt from the previous phase of the OD programme, including application of the above-mentioned tools, are summarised below.

Core indicator	Common challenges identified	Response deployed	Remaining concerns	Factors for sustainability of change
Developing democratic, accountable, transparent internal governance	<ul style="list-style-type: none"> • Management in boards (overlap of functions) • Families in boards (conflict of interest) • Pro forma boards (paper tigers) 	<ul style="list-style-type: none"> • Management separated from the boards • Conflict of interest removed in all cases • New people who are well credited invited to boards • Governance policies (Board instructions, rules and regulations) adopted 	<ul style="list-style-type: none"> • Boards still very new and may not be as active as they should • Boards do not fulfil some functions they should (e.g. fundraising) • Even in the best-case scenario, the Boards as we see them now are a new practice (the test of time is still to be passed) 	<ul style="list-style-type: none"> • Democratic governance principles (especially Board functioning) enshrined into updated Statutes. Harder to change than policies, hence more sustainable • Showcasing Hubs’ achievements in DG at national fora (e.g. ISAR Capacity Development Forum) & popularizing their successes. Means more pressure on them to continue performing well. All 8 co-organizers of the regional forums on OD.
Strengthening membership, constituency and the role of volunteers	<ul style="list-style-type: none"> • Membership value not understood • Volunteer outreach and cooperation unsystematic and one-way (we get – time, services, expertise) 	<ul style="list-style-type: none"> • Membership – putting the existing systems in order, nudging (not coercion) membership growth 	<ul style="list-style-type: none"> • Still no philosophy for necessity of wider membership; seen as a risk for independence rather than a benefit 	<ul style="list-style-type: none"> • Volunteer-management policies & procedures in 8 / 8 Hubs • Incentive systems for retention of volunteers (still need improvement, though, but process launched)

	<ul style="list-style-type: none"> • Constituency (clientele, wider community) unin- volved in strategy, programming 	<ul style="list-style-type: none"> • Volunteers – proactive out- reach stimulated, policies put in place, non-monetary stimuli in place for volunteer retention • Constituency – stimulate involvement into strategic planning (programming still a challenge...) 	<ul style="list-style-type: none"> • Despite progress in man- agement of volunteerism, dedicated staff are rare (in 3/8 Hubs) • Involvement of the consti- tuency has been successful at the strategic planning stage. Program- matic planning – a challenge 	<ul style="list-style-type: none"> • Through events such as inclu- sive strategic planning and public reporting, constituen- cies galvanized and received more information on Hubs. Bottom-up pressure to be included into what Hubs do and how they do it
Improving financial sustainability, mobilising domestic resources and reducing dependence on external donors	<ul style="list-style-type: none"> • Serious issues with policies (finance, procurement, bud- get reporting). Poor accounting • Budgets – small, project-based, al- most no “rainy day” savings • Low capacities of financial staff • Project approach to budgeting 	<ul style="list-style-type: none"> • Policies developed • Knowledge on good practice for financial sustainability, accounting practices delivered • Financial audits conducted for 2014-2015 in 8/8 Hubs • Fundraising strategies developed in 8 / 8 Hubs • A model for establishment of endowments researched and offered • Resources of income diversified (yet, ~ 90-95% still donor funds) 	<ul style="list-style-type: none"> • While it exists and has expanded, generation of resource inflow from the re- gional level still insufficient • Accounting practices re- quire much more attention • Project approach to budget- ing (and overall perfor- mance) remained • Fundraising strategies are there but not yet imple- mented 	<ul style="list-style-type: none"> • Rainy day funds established by each of the Hubs • Gained knowledge already put to an experiential test (e.g. EU grant) • The necessary capacity pre-requisites (staff knowl- edge and skills) are there
Intensifying advocacy and ensuring constructive dialogue with the authorities	<ul style="list-style-type: none"> • Oftentimes anything that includes public action termed as advocacy (lack of understanding) • What was done – done without a system • Staff lacking knowl- edge. In many cases lacking staff itself 	<ul style="list-style-type: none"> • Built knowledge (seminar on advocacy, analysis of cam- paigns) • A total of 25 campaigns con- ducted • Throughout initiated cam- paigns, ongoing consultations and mentorship available from UNDP • Stimulated peer-learning from those Hubs that have more experience 	<ul style="list-style-type: none"> • Advocacy not the main area for most organizations • As such, no dedicated staff for that • Hubs still feel it more com- fortable to participate in coalitions than lead them 	<ul style="list-style-type: none"> • Started experience exchange between Hubs and show- cased skills of more advanced colleagues to the others • Now that they have gone out publicly as faces of such campaigns, demands are mounting for them to con- tinue doing this (bottom-up pressure from constituency)

In summary, factors that have proven helpful in stimulating OD with the partner-CSOs in the past include:

- **Normative** – embedding norms and principles into statues and policies;
- **Human capital** – building capacities of staff to do things well and knowingly;
- **External catalysis** – galvanizing bottom-up pressure and expectations of continued good performance;

- **Cultural** – nurturing growth of the principles into organizational philosophy – “this is the way to do it”;
- **Financial** – allowing organizations to set aside a modest “rainy day fund”;
- **Experiential** – pushing to actually live the policies and practices so that they become habitual and internalized;

USEFUL TEMPLATES, POLICY ELEMENTS AND CHECKLISTS

This section of the publication may seem a motley collection of tools and approaches that can be used both for organisational development purposes and as elements that strengthen the four indicators described above. It would be too ambitious, and probably senseless to provide a template or recommendation for every aspect of the OD process and the policies that support the main organisational capacity dimensions. Therefore, the tools and issues presented here were brainstormed and discussed at the Planning Meeting with the Hub Network held on 30 June – 1 July 2017, and included into the subsections below.



LIST OF POLICIES AND DOCUMENTS THAT COULD BE REQUESTED PRIOR TO CONDUCTING OA

While each organisation will have its own, unique list of policies and practical tools (and some of the traditional ways of doing things will not have been codified on paper), the below list provides for a rather comprehensive view of what a highly-developed CSO should (in principle) have on hand in terms of policies and documentation. The template list in alphabetical order:

- Accounting policy;
- Aggregate budget of the organisation (not the donor budgets by projects);
- Annual reports of the organisation for external (and / or internal) use;
- Anti-corruption policy and Conflict of interest policy. Ethical guidelines;
- Board meeting minutes;
- Brand-book on organisational communications;
- Communications strategy / Communications plan / policy of working with media;
- Duly registered (re-registered as per Section V, Paragraph 8 of the Law of Ukraine “On Civic Unions” as of 22 March 2012) Statute / Charter of the CSO;
- Excerpts from digital accounting software¹³;
- General assembly minutes;
- Human resources policy with due account of “full-time, labour contract” employees and “FOP consultant” employees;
- Inventory book with all assets listed and regularly updated;
- IT security policy and (preferably) terms of reference for a simple IT audit;
- Job descriptions for all staff;
- Labour compensation policy (both labour contracts and hired private entrepreneurs), and policy on bonuses;
- List of all IT equipment and licensed software installed thereon;
- Management book (guideline on project management) – irrespective of the donor;
- Mission and vision (internal – what an organisation sees

¹³The latter area has been lately plagued with issues, as 1C software fell under sanctions, and M.E.Doc software recently fell under suspicion in connection with a massive hacker attack in June 2017.

itself at the end of the strategic period and external – what change does the organisation want to see in the world);

- Monitoring and evaluation policy;
- Operational (annual work) plan that includes all projects (not for the donors);
- Organigram;
- Policy on re-granting (oversight of small grantees) -if the CSO does award grants.;
- Policy on social media use for professional purposes;
- Procurement policy that includes thresholds, clear indication of procurement methods (direct procurement, “three proposals”, open tender) and a closed list of well-grounded exceptions from the rules;
- Regulation on membership;
- Regulation on volunteering and template agreement with volunteers;
- Regulations that govern operations of the Board;
- Regulations that govern operations of the General Assembly (Conference of members, etc);
- Regulations that govern operations of the Internal Revision body;
- Regulations that govern operations of the Supervisory Council / Advisory Council;
- Risk matrix for the year / risk management policy;
- Staff development and learning policy;
- Staff meeting minutes;
- Terms of reference for an independent external audit and audit results;
- Updated and duly adopted Strategic Plan with all necessary elements;



ELEMENTS OF A STRATEGIC PLAN

A strategic plan is one of the core elements for mid- to long-term planning, and testimony to organization’s determination to plan its future and follow the chose path. As discussed before, in the relevant section on capacities, strategic plans oftentimes fall prey to two extremes – either of formalistic adoption (design-adopt-shelve-forget) or to opportunistic amendments every time that a new funding opportunity “does not quite fit” the adopted vision. While the below elements of a plan are, by no means, remedy from these two evils, they should at least ensure a degree of thought and ownership of the document, so that it remains alive but anchoring for an organization.

- In general, the following aspects / sections are recommended for inclusion into a strategic plan:
- Brief organisational description. Who we are as of today. Where we are coming from and why we are strategising like this / at this point of time. Why is this strategic time-frame (number of years) chosen.
- Your vision. External vision – what change in the world we would like to see (short but concrete and forward-looking)¹⁴. Organisational, internal vision – who are you at the end of the strategic period (a think tank? a community mobiliser? an advocacy centre?).
- Your mission. What is your specific role in bringing the external vision closer to life? Are you a convener? Are you the lead? Why you and what is your role?
- Your values. What principles is your organisation based on? Which principles will you not betray even for a good cause?
- Impact statement¹⁵. Theory of change leading to the desired result (optional) / Structure of objectives which

¹⁴For example, the vision-statement of UNFPA: “A world where every pregnancy is wanted, every childbirth is safe and every young person’s potential is fulfilled.”

¹⁵It could be easily and rightfully argued that impact is to be measured over at least a 10-year horizon and would be notoriously hard to attribute. At the same time, in this context an impact statement is taken to mean a SMART-based goal that should be at least partially attainable due to Strategic Plan implementation.





TEMPLATE FOR AN OPERATIONAL (ANNUAL WORK) PLAN

LOGFRAME					GANTT CHART												BUDGET		MONITORING AND EVALUATION		
Strategic plan outcome / pillar	Project output	Project activity	Responsible	Deadline	Quarter 1			Quarter 2			Quarter 3			Quarter 4			Budget planned	Budget spent	Indicator	Baseline	Target
					1	2	3	4	5	6	7	8	9	10	11	12					
Strategic plan outcome / pillar #1																					
Project #1 under Strategic plan outcome / pillar #1																					
					<i>Total for Project #1</i>																
Project #2 under Strategic plan outcome / pillar #1																					
					<i>Total for Project #2</i>																
Project #3 under Strategic plan outcome / pillar #1																					
					<i>Total for Project #3</i>																
Strategic plan outcome / pillar #2																					
Project #4 under Strategic plan outcome / pillar #2																					
					<i>Total for Project #4</i>																
Strategic plan outcome / pillar #3																					
Project #5 under Strategic plan outcome / pillar #3																					
					<i>Total for Project #4</i>																





STRUCTURE OF A COMMUNICATIONS STRATEGY

Communications strategies are important tools to determine how the organisation will position itself throughout the strategic period, which tools it will use to reach out to target audiences and – in fact – what these audiences are likely to be. There are numerous good resources on designing communications strategies¹⁶. At the same time, it is generally seen as good practice to include the following elements into a communications strategy:

- Situation analysis. What are the major traits of the thematic environment where the CSO intends to operate in the strategic period. What are the levels of social trust / public opinion characteristics;
- Strategic communications goal. This could be either organisation-centric or issue-centric¹⁷. Main communications objectives.
- Messages (desirably, pre-tested on the target audiences!)
- Segmentation of the target audiences. Whom do we target – describe as precisely as possible (age, social status, occupation, economic status, territorial characteristics, etc).
- Channels of message delivery to the target audiences: face-to-face, social media, website, web-video, press, blogs, television, marketing reports, etc.
- Partnerships (including media partnerships, intent to become member of wider communities and use those for information dissemination). Mutually-beneficial arrangements – such as part of Corporate Social Responsibility (CSR), etc.
- General budget (approximate) for the time-period covered by the Strategy.
- Monitoring and evaluation considerations. System for tracking mentions and mention modality (positive, neutral, negative) and connotations (context of mention). Media monitoring.
- Principles of crisis communications and overall brand management (optional but desirable).



TEMPLATE FOR A COMMUNICATIONS WORK PLAN

This is a template of an actual annual communications plan developed by a small UNDP country office for 2015.

ANNUAL WORK PLAN 2015									
Activities	Targets for planned activities	Time Frame				Responsible Party	Funding Source	Budget (US\$)	Unfunded
		Q1	Q2	Q3	Q4				
Activity 1: Maintaining and ensuring quality, consistency, and adherence to UNDP corporate standards in disseminating information shared to public domain and other stakeholders									
Activity 1.1: Update the Country Office (CO) Website to have the latest delivery, budget figures, project/programme details and other relevant information.	All project and programme details including budget updated	X				UNDP	UNDP	Nil	

¹⁶ For instance, "Writing a Communications Strategy for Development Programmes", UNICEF, 2008. Available at: <http://uni.cf/2gwarLZ>

¹⁷ This means that the strategy could, for instance, aim at making the organization the source of choice for media to comment on a certain topic, or – on the other hand – to make sure that a certain issue becomes widely discussed by the public or the community (elevate the item on the discourse agenda).

Activity 1.2: Train 3 UNDP staff (1 from operations side and 2 from programme side) to handle UNDP CO Website.	3 UNDP Staff trained to use website as a backup	X				UNDP	UNDP	Nil	
Activity 1.3: Conduct a workshop on communications and success story writing to programme staff with support from APRC.	Workshop held.			X		UNDP	UNDP		
Activity 2: Strengthening the existing relationship with media organizations and news outlets and keeping the media informed of UNDP's work in the country									
Activity 2.1: Organize two 'coffee with media', one on first quarter and one on fourth quarter.	Two 'Coffee with Media' meetings	X			X	UNDP	UNDP	2,500	
Activity 2.2: Arrange media visits	Separate meetings held with all key media outlets	X	X	X	X	UNDP	UNDP	Nil	
Activity 2.3: Organize media briefing/information sessions on each unit's work done.	Three media briefing sessions held, one for each unit	X	X	X		UNDP	UNDP	3,000	
Activity 2.4: Organize media familiarization workshops on UN System and UNDP	3 Workshops held		X	X	X	UNDP	UNDP	7,000	



TEMPLATE FOR A RISK-MATRIX

Risk matrices are widely recognized as tools for analysing possible risks, identifying probabilities of such risks materialising and being prepared to kick-in options for risk response measures if the situation that was anticipated materialises. The risk-log is usually presented in the form of a table that contains the following information:

- **Essence** of the risk (for instance, adoption of an unfavourable piece of legislation);
- **Probability** of the risk materialising: usually ranked on a scale of 'low' – 'medium' – 'high' – 'almost certain' or similar;
- **Impact** of the risk on a) the organisation, b) activities of the organisation on a scale of 'low' – 'medium' – 'high' – 'catastrophic' or similar;
- **Response strategy** if the risk materialises;
- **Responsible parties** – this column lists the organisational sections or staff who are responsible for risk monitoring and for undertaking the necessary measures to address the effects of the risk as it materialises.





TEMPLATE FOR AN ORGANISATIONAL DEVELOPMENT PLAN

In principle, as organisational development could be considered a project in its own right, a template similar to the one used for the Operational (annual work) plan could be

used for that purpose. An alternative version is shown below, based on the OD plans that had been developed earlier by the DHRP Hubs in the previous stage of the OD Programme.

Capacity area (from 26 areas of the 3-circle model – those prioritised for development)	Challenge identified	Actions to fill the gap / address the challenge (could be several, sequential)	Outcome expected after completion of the action	Responsible party	Provider	Deadline	Expected budget	Indicator and target value	Priority		
									Urgent	Important	Desirable

Additional options include breakdown of the relevant column with results into two – to show both the short-term and the longer effect of the intervention undertaken. Thus, for instance, an area for improvement identified could be ‘necessity to update the Board composition’, the output would

then be ‘a democratic procedure for Board election in place; new composition of the Board elected’, and the outcome would then be ‘governance system of the organisation improved in line with democratic standards’.



ELEMENTS OF A FUNDRAISING STRATEGY + FUNDRAISING PLAN

Elements of a fundraising strategy are, in many ways, similar to those that were already highlighted for the organisational and communications strategy and answer the three foundational questions of ‘where we are today’, ‘where it is that we want to be’ (i.e. what financial indicators we would like to achieve) and ‘how do we get there’ (i.e. the mix of sources of funding and planned introduction of new funding channels or retirement of the old ones). And yet, all of this sounds easier said than done and launched into work.

As such, the fundraising strategy starts with answering the question of what the current situation in the organisation is, what shares of funding come from which resources, and whether this situation is likely to last for some time (for instance, in the event of a several-year institutional grant or

a multi-year project grant). The more honest this overview is, the better – as looking into own finance is useful only with the highest degree of sincerity with the organisation itself.

The next section should look at the “master-list” of all real sources of funding or non-financial assistance (thus, for instance the TechSoup-administered programme of Microsoft Software Donations enables the CSO to save on licensed software; vouchers from the Marketplace programme allow to save on expert services). The usual sources include: grants from foreign governments, embassies, multilateral donors and international organisations, grants received as re-granting from Ukrainian organisations, CSOs, networks or foundations, Corporate Social Responsibility funding or non-financial support from large international business and,

increasingly, Ukrainian businesses, crowd-funding platforms (such as bigggidea.com). While membership fees and establishment of endowments¹⁸ are also options, albeit used more seldom than the donor-funding. Finally, one needs not forget the creation of so-called 'social enterprises' that channel all income to the statutory activities of the CSO. While there still is widely-shared apprehension regarding provision of 'for profit' services, the cost of which is then



channelled to CSO core mandate purposes is yet another option. In the upcoming months, there may appear a summary of the latest tax code changes commissioned by the Embassy of Sweden in Ukraine that could help clarify some of the existing pitfalls in this realm and help CSOs utilise this source more proactively.

The selection of the right mix of funding sources to attain the goals set forth in the initial sections is the next step. Understandably, there are no universal recipes here, as much will depend on a complex of factors with a given CSO – such as the area where it operates, its previous granting history, the local situation in the oblast (including the adopted

Programme for Fostering CSO Development in a given area), as well as even the situation with the amalgamated territorial communities that, with the increased fiscal decentralisation, may become more lucrative fundraising targets.

One important consideration that needs to go into the strategy of this kind, is the strategic relationship-building with the donor structures. Too often do the international partners face a situation of being besieged by requests for support to all kinds of initiatives and projects. At the same time, examples of true partnership-building are rare. Strategic donor relations means, first and foremost, becoming genuinely interested in the donor priorities and activities, develop and maintain relations that go beyond the grant-giver and grantee relations, and nurture a partnership of trust. This, amongst other things, may be done through systemically finding out what the donor interests are, providing information, sharing analysis and remembering to keep the partner-institutions in the loop.

As far as the fundraising plan is concerned, this technical instrument generally includes two elements: a resource-list where potential granting opportunities are stored (and frequently monitored) alongside a list of focal points at various donor institutions, as well as a calendar (potentially, an electronic one) that is used to set reminders of deadlines and important fundraising-related events.



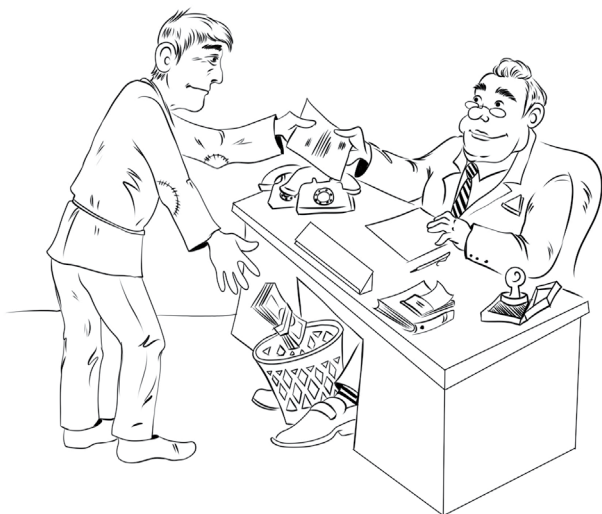
ELEMENTS OF AN ANTI-CORRUPTION / ETHICS POLICY

A well-considered and duly implemented anti-corruption policy is a set of rules and regulations that are intended for both new staff (as new knowledge) and for the experienced professionals (to renew their knowledge). If implemented properly, the anti-corruption policy is also a safeguard for

¹⁸Please see 'Creating and managing endowments in Ukraine', UNDP DHRP, 2014. Available at: <http://bit.ly/2w8AOMr>



the organisational image – if a staff member knew of the regulations and policy but acted in contravention of them, the organisation would find it easier to fend off corruption charges and deploy sanctions as envisaged by the rules. One needs also mention that as societal relations get ever more complicated, so do the intricacies of the ethical principles and anti-corruption norms. In this sense, the elements provided below are only some of the more frequently-used



elements of a policy. It is advisable that the partner-CSO staff take this short but very illustrative online course co-designed by the UNODC and the Global Compact: <http://thefightagainstcorruption.org/> (the course is available in Ukrainian, and other languages).

- Some of the most commonly used elements of an anti-corruption / ethics policy are:
- Definition of corruption (a wider one, that would include such aspects as graft, siphoning of funds, conflict of interest, documentary fraud, nepotism, etc).
- Prohibition of corrupt behaviour and model of action if one spots irregularities (including a system

of anonymous reporting on suspicious behaviour). Protection of persons reporting possible corruption-related behaviour.

- Safeguards against conflict of interest in staffing issues, organisational operations, procurement (could be included into the procurement policy). Means of avoiding conflict of interest, declaring it and seeking guidance on the issue. Declaring interests on an annual basis and with relation to procurement processes.
- Overall ethical principles for employees.
- Sanctions for non-compliance.

While by no means fully applicable to the civil society sector, the Ukrainian law 'On Prevention of Corruption' of 2014 contains many relevant ideas that could be 'tried on' by the partner-CSOs to see if such or similar situations could be applicable to their operations.



ELEMENTS OF A GENDER POLICY

Definition and proper application of the gender lens are an enormous area of knowledge, and require a separate discussion in and of themselves. Moreover, with greater application of the Human Rights Based Approach (HRBA), there is an ongoing discussion whether gender equality considerations are to be emphasized under the overall auspices of comprehensive HRBA rather than being treated as a separate foundation for organisational programming and performance. There are numerous guides and manuals designed for specific application of the gender lens, for instance in the budgeting process (gender budgeting), education, labour market, political empowerment and participation, prevention and response to gender-based violence, and many more aspects. One of the 'one-stop-shops' to visit for a variety of tools is the web-site of the European Institute for Gender Equality: <http://bit.ly/2vGRJJu>.

ORGANISATIONS AND GENDER

Organisation theory demonstrates that the informal and invisible rules and regulations of an administration are crucial for understanding organisations. Organisations are not mechanical entities running according to fixed rules; instead they are entities with a certain momentum and non-documented rules and regulations, which are reflected in a specific organisational culture.

The core elements of organisational culture are implicit; they are practiced in daily routines, give a common direction to the members of an organisation, and are the result of learning and internal coordination within an organisation. Furthermore, they constitute a specific view of the world.

Individuals do not consciously learn an organisational culture, but they internalise it within a process of socialisation. This shows that institutional transformation can occur only if organisational culture is taken into account.

KEY POINTS:

- Organisations are not gender-neutral entities.
- Gender issues within an organisation are partly visible and partly tacit. The representation of women and men at all hierarchal stages of an organisation is only one (visible) indicator that organisations are gendered.
- Organisations deal with gender differently – e.g. in an inadvertent manner or with a managed approach.
- Processes aiming to bring about organisational change have to be adapted to suit the respective organisational culture.

Quoted from "Institutional Transformation: Gender mainstreaming toolkit", EIGE, 2016. <http://bit.ly/2tRJGZW>

Here, nonetheless, we find it important to highlight the main issues that a partner-CSO should consider including under the list of principles of its gender policy, and are referencing the Danida HRBA and Gender Equality Screening Tool that may serve as inspiration for introspective analysis of partner-CSO programming vis-a-vis proactive equality and non-discrimination principles. While originally intended for internal Danida programming assessment, it packs – into a brief and applicable format – the considerations that may be raised throughout project / programme design by any actor. Much more extensive reading on the Danida approach to gender equality in general may be found in the recently-published Gender Equality Toolbox¹⁹.

ELEMENTS AND CONSIDERATIONS FOR A GENDER POLICY

The essence of a gender policy for an organisation needs to consider both the 'external' (operational and programmatic) dimensions of the organisation, and the 'internal' (oftentimes implicit) aspects of internal operations, traditions and culture.

On the operational side the policy should state (at the minimum) that:

- The organisation always uses the gender lens when planning the activities for an intervention. This takes place even if the plans seem to be gender-neutral (more likely – gender-blind). Explicit screening of the intended activities and plans is not driven by external factors (because the donor said so) but by the deeply-rooted belief that such analysis will make operations more effective for the organisational constituency and clients: both male and female;
- The organisation attempts to take into account internally and make it explicit to the stakeholders that there are gender considerations taken into account

¹⁹This publication is available to download from: <http://bit.ly/2ugDBm0>

when designing events. Child- and family-friendly considerations may be one way of making sure that this is explicit.

- The organisation in its communications activities never uses sexist or discriminatory approaches, messages or imagery. Vendors (such as creative agencies, publishers, video-makers, screen-writers, etc.) are informed/warned that the communications / outreach materials produced in cooperation with the CSO are to follow strict rules in this regard.
- The organisation monitors its activities through the lens of gender-disaggregated data, and tries not only to write down the proportions of women and men, but also to ask the question “why” –to understand the reasons for the situation at hand.

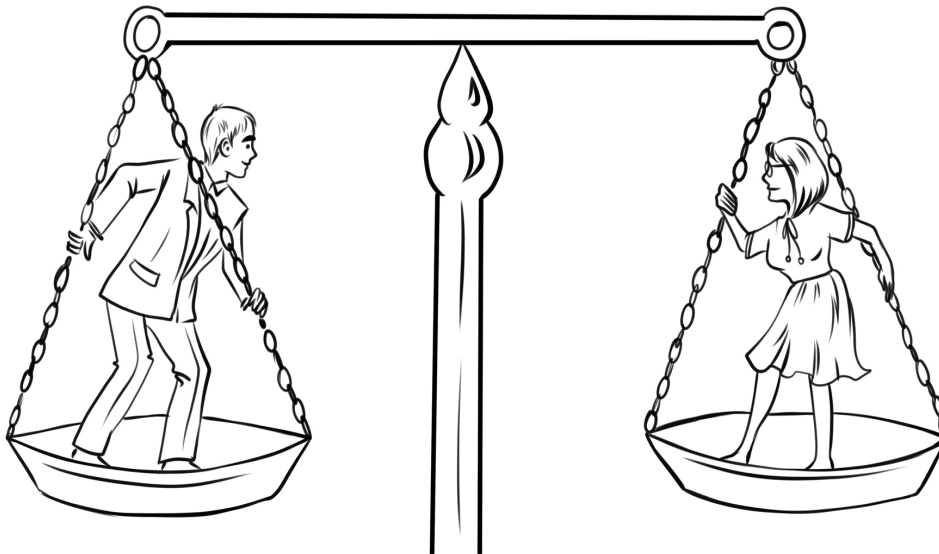
On the institutional side the policy should state (at the minimum) that:

- The organisation has a strict non-discrimination policy in the internal operations. It attempts to build a culture

of mutual respect and equality of opportunity – not equality of imposed proportions.

- The organisation is serious about the policy of responsible parenthood, and encourages personnel (especially male) to take up parental leave and allocate time and effort to family matters. Equally, the organisation remains not only tolerant, but welcoming towards those specialists who are planning on / expecting increase in the number of family members.
- The organisation commits to building an internal culture based on principles of gender equality and awareness of them. The latter presupposes regular (at least annual) training both in gender issues and in gender-sensitive instruments (M&E, budgeting, participatory programme design, etc).

The lists of items for both categories may be expanded more, and those organisations that are willing to delve deeper into the issue, are encouraged to review good practices of other CSOs or run through a process that is detailed here: <http://bit.ly/2vNvcXz>.



**TOOL FOR HUMAN RIGHTS BASED APPROACH (HRBA) AND GENDER EQUALITY SCREENING**

Purpose: The HRBA and Gender Screening Note complement the HRBA Guidance Note and the Gender Equality Strategy and the Gender Equality Toolbox. The purpose of the note is to facilitate and strengthen the application of the Human Rights Based Approach and mainstreaming of gender equality programming related to Danish development cooperation. It can be used as an inspirational checklist by all staff.

The information in the note should be based on the analysis undertaken as part of the preparation of the Country policy paper and should draw on major Human Rights and gender equality analysis relevant for the country such as UPR-processes, reports and documents from OHCHR, EU HR Strategy, CEDAW-reporting as well as relevant analysis prepared by other major donors. The Screening Note should be attached to the country programme concept note, and the questions raised below should be reflected in the country programme document. Appraisal of country programmes will include a specific focus on HRBA and Gender Equality.

BASIC INFO

Title	
Country/ region	
Budget	
Starting date and duration	

HUMAN RIGHTS BASED APPROACH

Assess whether a Human Rights (HR) Based Approach has been applied in the programme:

Human Rights Assessment and Standards

Issues:	yes	no	Explain:
Have major HR analysis relevant for the country been consulted (UPR, OHCHR, EU HR Strategy, other relevant donor documents)			
Have key international HR standards and/or mechanisms influenced choice and formulation of outcome areas?			
Where relevant, is application at national level, including major gaps between human rights in principle vs. human rights in practice, evaluated and identified?			
Are key recommendations from UPR for the thematic programmes and from any treaty bodies, special procedures, INGOs, HNRIs etc. that require follow up at national level considered?			
Are rights-holders identified?			
Are duty-bearers identified?			



Assess whether Human Rights Principles have been applied in the preparation and in the design of the programme?			
Non-discrimination: Are any groups among rights-holders excluded from access and influence in the thematic programme areas identified?			
Are disaggregated data available on most vulnerable groups?			
List any key support elements included to promote non-discrimination			
Participation and inclusion: Are barriers for participation, inclusion and empowerment of rights holders identified?			
List any key support elements included to promote participation and inclusion			
Transparency: Is the extent to which information is accessible to rights holders including marginalised groups assessed?			
Where relevant, whether information is available in other than official languages of the country in question should be indicated.			
List any key support elements included to promote transparency			
Are key Accountability mechanisms in the relevant area – both horizontal and vertical listed?			
Are obstacles, e.g. capacity and political-economy incentives that duty-bearers and rights holders face to exercise their obligations and rights listed?			
List any key support elements included to promote accountability			
Results/Indicators			
List any indicators designed to monitor the realisation of specific human rights	model – those prioritised for deve	model – those prioritised for deve	a. b. c. d. ...
List any indicators designed to monitor the integration of the four principles			a. b. c. d. ...
List any key indicators chosen to track capacity of key partners (both rights holders and duty bearers)			a. b. c. d. ...

Dialogue Partners

Define key dialogue partners (duty bearers) to be addressed by the country programme

Define key alliance partners, including other likeminded donors, multilateral partners and CSO's

State major dilemmas/risks associated with the policy dialogue and proposed mitigation measures (incl. reference to Framework for Risk Assessment)

GENDER SCREENING TOOL

Are key challenges and opportunities for gender equality identified?

Are reference made to CEDAW-reporting, UPR, and other relevant gender assessments?

Identify opportunities/constraints for addressing gender equality issues

Describe key strategic interventions to promote gender equality within each thematic programme?

Explain how gender specific purposes will be reached, which strategic approach, what activities are planned

Define expected outputs

Identify gender equality indicators aligned with national targets on gender if possible.



PHASES OF A CHANGE PROCESS

The following phases of a change process and guiding description are borrowed from a manual developed by the UNDP Regional Centre for Latin America and the Caribbean²⁰ and are a variation of a tool presented at the change management seminar under UNDP DHRP operations.

'Change processes are dynamic and impermanent. That is, they evolve as a result of dynamic and emergent interactions that

continuously go through different stages. Although we may plan to promote actively certain interactions and change processes, the result emerging from them is quite uncertain and cannot be fully controlled. To simplify and didactically illustrate this dynamic sequence, it can be said that, in one way or another, every process of change passes through four main phases:

1. *Satisfaction phase (unconscious competence): where no change dynamics are created since, and yet, there is no consciousness of the need for change. People have acquired and integrated a series of mental models, behaviours, institutional practices, cultural habits, relational dynamics,*

²⁰Please refer to: Theory of Change: A thinking and action approach to navigate in the complexity of social change processes. Available at: <http://bit.ly/2eW005v>

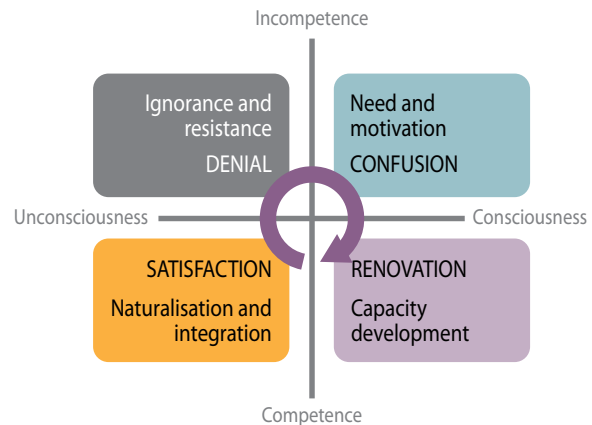


etc. and do not feel that it is pertinent or necessary to be changed. The system is balanced well enough to make for a certain stability and consistency. In social and political terms, there may be differences between actors in the satisfaction phase: some actors may be satisfied, while others are not. In this case, the system will stay in the satisfaction phase until an unsatisfied critical mass pushes toward change.

2. **Denial phase (unconscious incompetence):** there is a perception that something is not working well and there already is a disjunction between what is and what ought to be. Yet, there is resistance to changing the status quo for fear of the unknown, behavioural and intellectual inertia, or for what is anticipated to be an unwanted reconfiguration of the power structure. A breach in the balance of the system is visible but there is great tension and resistance that impede progress toward a realignment of the elements of the system; and, in the end, of their relationship to each other.
3. **Confusion phase (conscious incompetence):** the actors are motivated to undertake change once initial resistance is overcome. This may happen because those actors who were satisfied can no longer stay in that phase due to the pressure of an unsatisfied critical mass demanding change (extrinsic motivation). Or else, a set of individuals feels the need for change due to their personal situation (poverty, exclusion, etc.) and come together campaigning for change (intrinsic motivation). Nevertheless, it is not too clear how to progress or what direction to take because the process of change is so new, unknown, and uncertain. Different actors are not able to agree on what the path for change is. Or else they may find themselves lacking the competence to undertake the desired change and need to develop new capacities for change. This is a moment of major vulnerability for the actors, given the consequences of finding themselves out of their individual political, cognitive-emotional and relational comfort zones. This is the moment of major cognitive dissonance between

what is known and what is perceived to be the need to be learned/known. The conscious recognition of the lack of knowledge of what should be known creates anxiety. The same is true when recognizing the need to change a specific political position: there is knowledge of the need to move toward another position but it is still not sufficiently clear what this new position might be. The system is very dispersed which makes for chaotic conditions. Here there is a need to help actors find a way forward by developing future scenarios, opening cooperative learning spaces, facilitating multi-stakeholder dialogue spaces, etc. At this stage, social change process facilitators have a key role in managing anxiety and allowing new and collaborative dynamics between different actors; so to build up trusting relationships and a shared meaning of what has to be known and done.

PHASES OF A CHANGE PROCESS



4. **Renovation phase (conscious competence):** starting from the explicit and conscious need to develop new alternatives, there is movement toward a virtuous dynamic supported by a critical mass. The need for change is individually and socially accepted; and this

new context helps the development of those conditions needed for the desired change to happen. There is the start of a change process, transformation and renewal that achieves to consolidate the foundations for change. The system is able to reconfigure the dynamic of equilibrium and, gradually, there is progress toward a new order. This order is based on an active equilibrium which means that no system stays static but has a tendency to move in different directions, away from a static equilibrium. There is chaos and order and actors need to manage this dynamic equilibrium by coming together and agreeing on how the system moves.



THEORY OF CHANGE: BRIEF PRESENTATION AND SOME ESSENTIAL ELEMENTS

Theory of change is becoming a more and more popular method to speak about desired / expected results of activities that CSOs (as well as other entities) undertake. As with any relatively recent concept, there are misperceptions and a good degree of apprehension in applying the new method. Questionnaires and interviews undertaken by DHRP also confirmed, at one point of time, that there is general interest amongst partner-CSOs to understand more of this technique and to apply it to larger-scale intervention planning.

Readers who are interested in learning deeply about the ToC are encouraged to acquaint themselves with a manual developed by the UNDP Regional Centre for Latin America and the Caribbean. It is a hands-on guide for designing the ToC and even model workshop materials for replication and adaptation²¹. Hereinafter, the ideas and presentation material is quoted from this manual, as well as from the materials published by the inFocus consultancy.

DEFINING THE THEORY OF CHANGE

In short, a Theory of Change is:

- **A conscious and creative visualization exercise** that enables us to focus our energy on specific future realities which are not only desirable, but also possible and probable;
- **A set of assumptions and abstract projections** regarding how we believe reality could unfold in the immediate future, based on i) a realistic analysis of the current context, ii) a self-assessment about our capabilities of process facilitation, and iii) a critical and explicit review of our assumptions;
- **A thinking-action approach** that helps us to identify milestones and conditions that have to occur on the path towards the change that we want to contribute to happen.
- **A multi-stakeholder and collaborative experiential learning exercise that encourages the development of the flexible logic** needed to analyse complex social change processes;
- **A semi-structured change map** that links our strategic actions to certain process results that we want to contribute to happen in our immediate environment.
- **A process tool** that helps us to monitor consciously and critically our individual and also collective way of thinking and acting.

It is as important to differentiate ToC from other approaches as to define what it is not. Therefore, a ToC is not:

- **An absolute truth** of how change has to happen, of how it is going to occur or even of how we want it to occur.
- **A definitive recipe that helps to eliminate the uncertainty** existing in complex and emerging social processes.

²¹Please refer to: Theory of Change: A thinking and action approach to navigate in the complexity of social change processes. Available at: <http://bit.ly/2eW005v>



- **A substitute of the Logical Framework** as a rigid planning tool.

The ToC process is well summarized in a simplified form by a video material from inFocus consulting, the transcript of which is presented below.

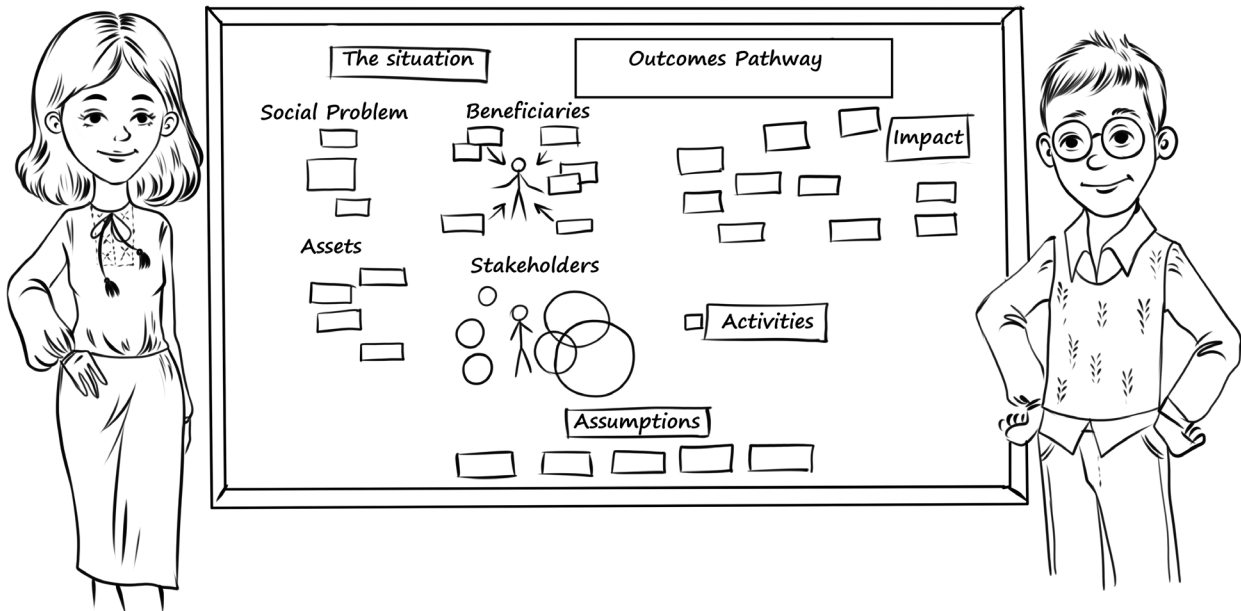
BASICS OF THEORY OF CHANGE DESIGN

'We start developing the theory of change by describing the situation in which the organization or a programme operates. This involves defining the social problem that the organization is seeking to address, and identifying the characteristics of the beneficiaries and stakeholders. The process also involves defining the assets available to the organization due to its situation, location and stakeholders. Assets in this context refer to any available resource

that could support the running of the activities and the achievement of outcomes.

One of the distinguishing features of the theory of change is that unlike other programme mapping techniques (such as logical frameworks), we start by defining the impact – the longest-term change sought by the organization for its target communities or wider society, and work backwards to define outcomes – the changes that occur for beneficiaries and in communities and the society for the impact to take place. These are often called 'preconditions', as they relate to the conditions that are required for social change to occur.

The subsequent outcomes pathway depicts both changes happening through organization's activities as well as the wider social changes or conditions that need to occur for the impact to take place. The penultimate step is to consider the specific activities that are directed towards bringing about specific



outcomes and impact. We map these against the outcomes or outcomes pathway to identify any missing outcomes and the extent to which the organization is contributing to the impact.

The final part of the process is to consider key assumptions under the theory of change which, as we described earlier are the core beliefs that underpin the theory of change and explain how and why certain activities are expected to lead to the desired results.

Once this is complete, we can also create a written narrative which is the story of the theory of change. And the theory of change 'light' that creates a more top-level, digestible version of the overall theory of change.²²



ASSESSMENT INSTRUMENTS: SWOT, PEST(LE)+G, Stakeholder matrix

The three mentioned tools are frequently used by organisations to examine their own potential and determine areas where growth is needed (SWOT), to assess an issue area or the external environment that surrounds a problem that is to be addressed by an organisational intervention (PEST(LE)), and to pinpoint the external stakeholders in a given area, and to determine a cooperation modality with them. The three tools are a good instrument to structure one's thinking of a problem in a comprehensive manner and could be applied to strengthen the programmatic aspect of CSO operations ('to do').

SWOT

Probably one of the best-known and easy-to-use instruments for assessing the organisation's stand in a certain situation, intervention or as a whole. The classic

SWOT is built on 4 dimensions of 'strengths', 'weaknesses', 'opportunities' and 'threats'. The terms may be defined, in general, as follows:

- **Strengths** – internal characteristics of a CSO that give it a cutting edge advantage amongst its peers or competitors. Either unique assets (knowledge, expertise, positioning, relations, etc.) or those where the CSO has a decisive leadership;
- **Weaknesses** – internal vulnerabilities of a CSO that may be used by competitors, hostile institutions or overall circumstances to torpedo activities or significantly delay (derail) activities in a given realm, or damage the image of the CSO;
- **Opportunities** – external factors that have not yet been utilised (or not to their fullest) to significantly advance organisation's work, assist in implementation of an activity. Factors that can become catalysts if used properly or if materialised on their own;
- **Threats** – external factors that have not yet materialised but may have a destabilising, or at least chilling effect on implementation of an activity or development of the given sector. Factors to be avoided or mitigated to the degree possible.

	SWOT-analysis of a given issue	
	Helpful for the cause	Harmful to the cause
Internal factors	Strengths: 1. 2. 3.	Weaknesses: 1. 2. 3.
External factors	Opportunities: 1. 2. 3.	Threats: 1. 2. 3.

²²For the original video animation, please refer to: <http://bit.ly/2vGzNyZ>





THINGS TO REMEMBER:

It is important to avoid the trap of listing too many too general issues into the SWOT cells. The exercise is more helpful if the factors are described in detail (rather than just saying 'legislation on ___', it is best to note 'restrictive legislative provisions that do not allow ___'). It could also be helpful to have a first go at the exercise and collect all of the factors, and then – throughout round two – prioritise them, leaving only 3 to 5 items per cell. The SWOT analysis could be nurtured through ideas gathered through PEST(LE) analysis presented below.

PEST(LE)+G

This tool is frequently used to assess an external environment for a given intervention or issue area and to determine which external environment forces are likely to be impacting the area (for instance, whether the prospect of snap elections could help advocate a certain issue so that politicians could make good publicity of their support to a cause). While there are variations of the tool that add on more external factors and drop some of them, the 'classic' version's components are presented below:

- **P**(olitical factors) – current political situation pertinent to the issue, likelihood of political shifts and mobilisation of politicians to support or oppose an issue, probability of elections, etc;
- **E**(conomic) – factors in the realm of economics (both major trends in the country economy and the local budgetary stipulations). Attitudes and mobilisation potential of businesses for a cause;
- **S**(ocial) – the social / sociological dimension of the issue, including beliefs and attitudes, societal mobilisation potential, protest potential and other factors that

describe the attitude of the society (could be as narrow as the local territorial community) to an issue;

- **T**(echnical) – this dimension could be useful if one considers an issue linked to utilisation of technological foundations for a solution (for instance, working with open data, one has to be mindful of the emerging formats, protocols and technical novelties that could impact the work). This dimension could also be important to consider if IT tools are used to assist the cause (for instance, communications through social media);
- **L**(egal) – a crucial factor that in many cases has a direct impact on the degree of success if a given initiative. This includes not only laws per se, but also the subsidiary regulations, local government decisions, and should consider possible legal collisions (when regulations contradict one another);
- **E**(nvironmental) – as certain causes have dimensions that touch upon environmental matters, it could be important to consider these as well.

Finally, an analysis like this would always benefit from a **G**ender lens being applied to it – in other words, to determine how the issue is currently impacting women and men, what are the differences in impact, and whether there are inequalities of access or opportunity that should be bridged by action.

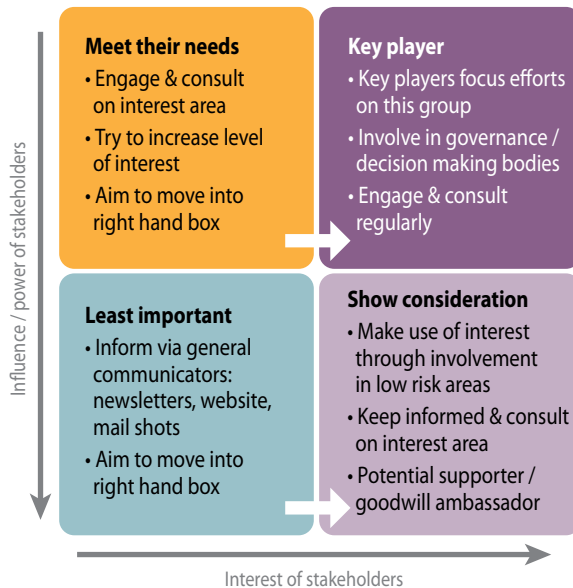


THINGS TO REMEMBER:

As in the case with SWOT, it is important to describe the factors under each of the dimensions to a significant level of detail and make sure that the issues under each of the headings are prioritised in terms of relevance to the particular issue area being analysed.

STAKEHOLDER MATRIX

This is another simple and commonly-used instrument for mapping those external stakeholders that have an impact on the issue-area that is being advocated for or against. This instrument is also frequently used in designing communications strategies or interventions – in order to segment the target audiences and determine which communications channels are appropriate for each of the external stakeholders. In general, the exercise lies in listing the stakeholders that have (or could have) a direct impact on the issue at hand and then mapping them in accordance with two dimensions: ‘influence/ power’ and ‘interest’ on a map as the one presented below:





ANNEX 1. OD Challenges at Different Stages of the Organisational Life-Cycle

Stage	Status	'Growing pains' and issues
Birth	Embryo	<ul style="list-style-type: none"> • Create a strong vision; • Focus on core idea and reality-test; • Find like-minded supporters;
Early childhood	Infancy	<ul style="list-style-type: none"> • Develop strategies for securing funding and other types of support; • Identify relevant sources of experience; • Develop basic systems and structures;
	Energizer	<ul style="list-style-type: none"> • Delegate responsibility / avoid the 'Founder's Trap'; • Identify and develop organisational competence; • Learn to prioritise, avoid unwise diversification and stick to the mission; • Develop management and leadership competence;
Adolescence	Adolescence	<ul style="list-style-type: none"> • Develop appropriate structures, systems and procedures; • Develop open internal communication systems and structures; • Manage and use conflict constructively; • Raise awareness of organisational culture;
Maturity	Prime	<ul style="list-style-type: none"> • Perhaps move from project to program focus; • Review and, if necessary, renew organisational vision and mission; • Restructure if necessary; • Strengthen organisational learning; • Review and renew partnerships;
	Maturity	<ul style="list-style-type: none"> • Maintain or renew staff energy and commitment; • Review and, if necessary, renew organisational vision and mission; • Focus on work quality; • Re-engage with constituency and beneficiaries; • Strengthen internal learning and communication;
	Aristocracy	<ul style="list-style-type: none"> • Rigorously assess organisation as a holistic system; • Review and, if necessary, renew organisational vision and mission; • Re-examine organisational governance; • Re-engage with all stakeholders;
Stagnation or rebirth	Early bureaucracy	<ul style="list-style-type: none"> • Rigorously assess organisation as a holistic system; • Review and, if necessary, renew organisational vision and mission; • Deal with internal conflicts or poor internal communication; • Consider leadership change; • Re-examine organisational governance;
	Bureaucracy	<ul style="list-style-type: none"> • Assess continuing relevance of organization; • Recognise need to change; • Review and, if necessary, renew organisational vision and mission;
	Death	<ul style="list-style-type: none"> • Document and ensure that learning is passed on to others; • Provide a fitting 'funeral'.

Quoted from: 'Developing Organisational Capacity Assessment and Development of CSOs in Ukraine, Moldova and Belarus. Organisation Development (OD) Guide' Developed by INTRAC for UNDP DHRP



ANNEX 2. The 'Octagon' Capacity Dimensions

Pillar 1. Organisational Base:

Variable 1.1: Organisation's basic values and identity

- *Aspect 1.1.1: Formulation of the organisation's vision and mission*
- *Aspect 1.1.2: Formulation of relevant strategies in relation to the vision*

Variable 1.2: Structure and organisation of activities

- *Aspect 1.2.1: Application of a clear division of duties and responsibilities*
- *Aspect 1.2.2: Application of democratic rules*

Pillar 2. Activities – output:

Variable 2.1: Implementation of activities

- *Aspect 2.1.1: Planning for the implementation of activities*
- *Aspect 2.1.2: Follow-up and learning from work undertaken*

Variable 2.2: Relevance

- *Aspect 2.2.1: The content of activities correspond with the vision*
- *Aspect 2.2.2: Working methods correspond with the vision*

Pillar 3. Capacity:

Variable 3.1: Right skills in relation to activities

- *Aspect 3.1.1: The professional qualifications and experience of the staff*
- *Aspect 3.1.2: The ability of management*

Variable 3.2: Systems for financing and administration

- *Aspect 3.2.1: Administration of financial resources*
- *Aspect 3.2.2: Administrative routines*

Pillar 4. Relations:

Variable 4.1: Target groups

- *Aspect 4.1.1: Support and acceptance by target groups*
- *Aspect 4.1.2: Dialogue with the target groups*

Variable 4.2: The working environment

- *Aspect 4.2.1: Legitimacy for its work*
- *Aspect 4.2.2: Active participation in networks*





ANNEX 3. The SATT / OSS Capacity Dimensions

SEAT AT THE TABLE INDEX (SATT)

1. Financial Viability/ Resource Mobilization

- 1.1 Fundraising Strategy
- 1.2 Internal Fundraising Resources/ Capacities
- 1.3 Diversity of Funding Sources
- 1.4 Local Resource Mobilization

2. Service Delivery

- 2.1 Sector Expertise
- 2.2 Client Orientation and Involvement
- 2.3 Service Standards/Quality Assurance
- 2.4 Program Development

3. Productive Partnerships and Collaboration

- 3.1 Relations with National Government
- 3.2 Relations with Local Government
- 3.3 Relations with Private Sector
- 3.4 Relations with Other NGOs
- 3.5 Regional and international networks or memberships

4. Strategic Outreach and Branding

- 4.1 Community Presence and Legitimacy
- 4.2 PR and Communications Strategy
- 4.3 Media Relations/ Media Strategy
- 4.4 Marketing/ Outreach Materials

5. Sectoral Leadership

- 5.1 Leadership Role
- 5.2 Capacity Building/ Service Provision to the Sector
- 5.3 Involvement in Activities that Promote the Sector
- 5.4 Information and Knowledge Sharing

ORGANIZATIONAL SYSTEMS AND STANDARDS INDEX (OSS)

1. Governance and Leadership

- 1.1 Legal and Institutional Framework
- 1.2 Governing Body Composition and Commitment
- 1.3 Governing Body Effectiveness
- 1.4 Governing Body / Senior Management Relations
- 1.5 Leadership and Management Style

2. Mission and Strategic Management

- 2.1 Mission
- 2.2 Strategic Planning
- 2.3 Operational Planning

3. Management Practices and Systems

- 3.1 Policies and Procedures
- 3.2 Information Systems/Records Keeping
- 3.3 Program Reporting
- 3.4 Work Organization/ Communications

4. Human Resources

- 4.1 Recruitment Process
- 4.2 Personnel System
- 4.3 Staff Orientation and Development
- 4.4 Performance Management
- 4.5 Compensation and Benefits
- 4.6 Staff Skills
- 4.7 Diversity

5. Financial Management Systems

- 5.1 Budgeting/ Planning
- 5.2 Accounting Systems
- 5.3 Internal Controls
- 5.4 Financial Reporting

6. Adaptive Capacity

- 6.1 Programmatic M&E
- 6.2 Organizational M&E
- 6.3 M&E Integration into Decision-making
- 6.4 Monitoring of Program Landscape



ANNEX 4. The Three Circles (PROSE) Capacity Dimensions

TO BE		TO DO		TO RELATE	
1	Organisational vision and mission (purpose)	1	Analysis of the external environment and current trends in field of operation	1	Strategic analysis of appropriate relations (government, business or civil society) according to organisation's mission and objectives
2	Shared values and beliefs (ethical norms)	2	Project and programme development with a participatory approach	2	Building cooperation with other CSOs (including work in partnerships and coalitions)
3	Strategic plan	3	Capacity building activities	3	Relationships with donors
4	Governance: board composition and functioning	4	Monitoring, evaluation and reporting of projects and programmes	4	Relations with community, the wider public
5	Leadership (individuals at team or organisational level)	5	Effectiveness of work undertaken	5	Cooperation with government authorities
6	Organisational structure and communications	6	Small grants management	6	Relations with mass media
7	Recruitment and maintenance of membership (individual or organisational)	7	Advocacy and policy development (DHR themes)		
8	Management and financial control	8	Learning culture and innovative approach		
9	Staffing levels and profile (including specialists in DHR issues)				
10	Managing people (staff and volunteers)				
11	Financial resource base and fundraising strategy				
12	Physical resources (office, equipment, transport, workshop venues, materials)				



ANNEX 5. Assessment Sheets for the Three Circles

INTERNAL ORGANIZATION ('to be')								
Nº	Capacity	CSO score	OA team score	Level 1 – Embryonic	Level 2 – Developing	Level 3 – Moderately developed	Level 4 – Well-developed	Level 5 – Exemplary
1	Organizational vision and mission (purpose)			No clear vision or mission	Vision / mission is in place but is unclear and not widely known by members, volunteers, staff etc.	Clear vision and mission in place. These are only known and understood by a few members, volunteers, staff etc. They are not used to guide policy or general decision making nor are recognised outside the organization	Clear shared vision and mission in place. These are understood and can be explained by all members, volunteers & staff and are referred to fairly regularly when discussing policy or making decisions. Mission is not widely recognised outside the organization.	Clear shared vision and mission which can be explained by all levels of the organization and recognised by outsiders. Systematic reference made to them when establishing policies or making decisions.
2	Shared values and beliefs (ethical norms)			No common set of basic values or beliefs	Existence of some common beliefs and values, but these are not explicitly recognised or shared broadly.	Explicit recognition of a set of beliefs and values which are shared by many in the organization, but not reflected in individual and organisational behaviour. Beliefs and values are rarely drawn upon to enhance organization's impact.	Common set of beliefs and values but which are not consistently reflected in individual and organizational behaviour. Beliefs and values are sometimes drawn upon to enhance impact.	Common set of beliefs and values are consistently reflected in individual and organizational behaviour. Beliefs and values are a source of motivation and are drawn upon to enhance impact. Beliefs and values are embodied by current leader and are kept consistently whenever there are leadership changes.
3	Strategic Plan			No strategic plan or framework for activities in place	Strategic Plan or framework for the programme area ('to do') in place but the internal and relational dimensions of the organisation have not been identified.	Comprehensive strategic plan or framework in place (Programme, Internal & Relational Objectives) but not translated into clearly defined annual operating plans.	Strategic plan or framework in place with annual operating plans. But these are not translated into individual volunteer or staff work programmes	Strategic plan or framework has been translated into annual operational plans which shape the activities of all members, volunteers, staff etc. The strategic plan is reviewed and updated as necessary.

4	Governance: board composition & functioning			The organisation has a collective governing body, but it does not have an adequate number of members and/or it doesn't meet regularly. There is no clear definition of the roles and accountability of board members. Their skills mix is not sufficient for the nature of the organisation & its level of development.	A full board is in place but it lacks necessary skills, representation or commitment. The board meets regularly and normally has the legally required number of members present. The roles and accountability of board members are in the process of clarification.	Full board in place with basic skills and representation, but with excessively low or high turnover. The roles and accountability are clear & the board fulfils its basic responsibilities. However, the board cannot provide strategic direction, review staff or leadership performance, or decentralise decision making where appropriate.	A representative, skilled, dedicated and committed board is in place but not yet functioning well as a team. Fulfils all basic responsibilities & provides some strategic direction and reviews performance occasionally. Some decisions are delegated where appropriate.	A representative, skilled, dedicated & committed board is in place actively working together as a team to promote the interests of the organization Roles clearly differentiated & understood. Board fully meets governance & strategic responsibilities, with appropriate delegation of decision making and regularly reviewing performance.
5	Leadership (individuals at team or organisation level)			The organisation's leader or leadership has no clear vision, poor rapport with members, volunteers, staff etc. with poor delegation and trust of others to make decisions.	Leadership provide some direction, has reasonable rapport with others, and delegates and trust them to make decisions to a limited extent. The organization is dependent on one individual leader to provide vision and drive it forward.	Leadership provide vision, are articulate, informed & inspire others. There is limited encouragement of other people's development, and of others to make decisions and take charge. Others recognise and trust the leadership. But there is an element of dependence on the leader in decision-making.	Leadership provide vision, are articulate, informed & inspire others. They are good listeners, have empathy with others & encourage their development, and trust others to make decisions and take charge. Limited dependence on an individual leader.	Leadership provides vision, is articulate, informed & inspires others inside and outside the organization. They are good listeners, have empathy with others & provide opportunities for other people's development. They are able to let others make decisions and take charge. Sufficient leadership developed internally that organization is not dependent upon an individual leader.
6	Organizational structure and communications			Organizational structure or lack of structure is an obstacle to effective working. Members, volunteers, staff are poorly informed about relevant issues and developments.	Organizational structure is not totally suitable for its current work. Lack of clarity in the roles and responsibilities of individuals & teams. Informal communication amongst members, volunteers & staff. People feel that they are not sufficiently informed.	Organizational structure broadly supports its current work. Some roles and responsibilities are clearly defined but others are not. Some formal communication mechanisms e.g. meetings. Informal communication is the main source of information. People feel that they are not systematically informed.	The organizational structure is designed to support the organization's current work. All roles and responsibilities are defined – but may not reflect what happens in practice. Formal communication mechanisms are in place. Informal communication is encouraged. People feel reasonably well informed.	Organizational structure is designed to support its current and future planned work programme. Roles and responsibilities are formalised, clear and complementary. Formal communications mechanisms function well (frequent communications using diverse means such as email, newsletters etc). Good informal communication and an open environment. People feel well informed and that they are involved whenever relevant.



7	Recruitment and maintenance of membership (individual or organisational).			Minimal efforts to build membership, and little contact with existing members. Low membership (in relation to national context) and/or high turnover.	Some efforts being made to increase membership. Minimal service given to existing members. Membership is not actively supporting the organization. Low membership and low retention of members.	Membership being actively recruited, and some efforts are being made to manage and service the membership. Relatively stable membership base, with good level of retention.	Proactive and somewhat targeted recruitment. Serious efforts being made to manage and service the membership. Membership sometimes active in supporting programme and/or fundraising goals.	Proactive targeted recruitment. Management of relationships with members to maximise mutual benefits. Loyal and high membership base which is active in supporting organization in achieving its objectives.
8	Management and financial control			Little understanding of organisational management and internal & external factors that work for change. Financial procedures not established. No manual of procedures exists.	Growing awareness and initial steps taken to establish systems, policies & procedures for managing people, resources, information etc. But little awareness of how to respond to factors that work for change. Some financial systems established (budgeting and control) but few written procedures. Below satisfactory performance in internal and/or external audits. Few audit recommendations have been implemented.	Systems, policies & procedures established in parts of the organisation. Management of change tends to be superficial and not strategic. Financial procedures established but not consistently applied. Written procedures for budgeting and some but not all operations. Variable performance in internal and/or external audits, sometimes below satisfactory level. Some audit recommendations have been implemented.	Systems, policies & procedures established throughout the organisation. Some forward planning for change is taking place. Changes are not always implemented in a planned and sensitive manner. Financial procedures established and consistently applied. Written procedures for budgeting and most operations. Consistently satisfactory performance in internal and/or external audits. All audit recommendations are implemented.	Systems, policies & procedures established throughout the organisation, and shared with other CSOs. Necessary changes & development of the organization are planned and change process is managed smoothly and sensitively. Clear written financial procedures implemented in all areas. Consistently high performance in internal and/or external audits. All audit recommendations are implemented.
9	Staffing levels and profile (including specialists in DHR issues)			Organisation inadequately staffed to operate effectively. Volunteers are drawn from a narrow range of backgrounds and experience. Some staff are under-qualified or under-experienced for their jobs.	Minimal volunteer/ staff base is in place, but some specialist positions are unfilled or filled temporarily. Volunteers and staff drawn from a narrow range of backgrounds and experience. They have limited ability to solve problems as they arise. .	Core volunteer and staff positions filled but some functions not fully covered. Some diversity of volunteer/ staff background and experiences, good capabilities to fulfil their individual roles, including some ability to solve problems as they arise. Many are interested in work beyond their current jobs.	The organization is fully staffed but turnover excessively high/low in some departments. Volunteers/staff drawn from diverse and appropriate background and experiences and bring a broad range of skills: Most are highly capable in their individual roles and eager to learn and develop.	Sufficient paid & unpaid (voluntary) staff to run the organisation according to plan. Healthy level of staff turnover. Volunteers and staff are drawn from diverse background and experience and bring a broad range of skills. Most are highly capable in multiple roles, committed to continuous learning and development, and capable of collaborating across the organization.

10	Managing People (staff and volunteers)			Responsibilities for human resource management unclear. No HR policy or formal contracting situation and minimal procedures in place. Little systematic support provided to staff and no awareness of volunteer recruitment, management and development.	Clear allocation of responsibility for HR issues, but without written HR policy. Practice is variable (recruitment, contracts, salaries, support and supervision etc.) No systematic attention paid to volunteer recruitment or management (retention, motivation etc.) Management recognizes need for volunteer/staff development but no processes in place to address needs.	No comprehensive HR policy. Some good and systematic practices in place, but not systematically monitored. Policies/ systems for volunteer retention being identified. Staff development needs are identified but limited efforts made to address them. Volunteer recruitment plans developed.	Documented overall HR policy (in line with local legal standards) in place, but not widely communicated or fully implemented. Some good practices in place and regularly monitored. Volunteer recruitment and management strategy in implementation. Staff development needs are identified and used as a basis for development plans.	Documented HR policy, clearly understood, and implemented – reflected in good practice and serving as a 'model' for other CSOs. Volunteer retention and motivation is also a model for other CSOs. Volunteer/ staff development plans in place and fully implemented.
11	Financial resource base and fundraising strategy			Financial goals not clearly defined. High dependence on limited number of sources of funding with little/ no flexibility in use of funds (funds tied to specific projects/activities). Regular cash flow difficulties. Little proactive seeking of funds.	Minimal requirements to cover costs for next 2-3 years identified, but broader financial goals not clearly defined. Financially vulnerable with dependence on limited number of sources and limited flexibility in use of funds. Constant attention is required to ensure all activities funded. Occasional cash flow difficulties. Opportunist approach to raising funds, accessing easily available sources.	Financial goals clearly defined. No single source provides more than 40% of total funding. Limited flexibility in use of funds. Financially stable (no significant deficits or liabilities). No significant cash flow difficulties. Fundraising plan in place, but still reliant on ad hoc funding to meet financial targets.	Fundraising plan delivering adequate funding. No single source provides more than 30% of total funding. Flexibility in use of funds, with significant unrestricted funding. Financially stable. Some reserves established. New approaches to fundraising being tested.	Fundraising plan actively being implemented and monitored in a co-ordinated approach. Fundraising goals being met or exceeded. Diversity of significant income sources, with no single source providing more than 25% of total funding. Flexibility in use of funds. Organization is in a position to reject funding opportunities if they do not meet the strategic objectives or fit with its policies.
12	Physical Resources (office, equipment, transport, workshop venues, materials)			Minimal resources available for organisation. No plans in place to secure them.	Secure office space available for rent, together with minimum amount of office equipment & materials. Identification of need to develop longer term plan for obtaining appropriate physical resources.	Secure office space available for rent, together with sufficient equipment/materials for current level of programme activity. Longer term plan developed and starting to be implemented.	Secure office space, meeting rooms & transport (rent or owned), equipment/ materials sufficient for next growth period. Some funds available for occasional hire of additional resources as and when needed. New ideas for obtaining more resources are added to plan.	Secure office space, meeting rooms & transport (owned), equipment/ materials sufficient for continued growth. Adequate funds available for occasional hire of additional resources as and when needed. Physical Resource plan constantly reviewed and updated.



PROGRAMMATIC ACTIVITIES ('to do')

№	Capacity	CSO score	OA team score	Level 1 – Embryonic	Level 2 – Developing	Level 3 – Moderately developed	Level 4 – Well-developed	Level 5 – Exemplary
1	Analysis of the external environment and current trends in field of operation			Little awareness of the need to analyse and respond to the external environment. Limited up to date knowledge of the democracy and human rights field/specialism.	Some understanding of the need to analyse and respond to the external environment but analysis of current trends is not part of programme planning. Some individuals have up to date knowledge of trends in democracy and human rights but this is not shared with others or used in the planning and implementing of work.	Some ability to monitor and analyse the external environment, with the results sometimes being used in the programme planning process. Some first attempts to systematically track trends in democracy and human rights. Individuals with up to date knowledge are starting to ensure they are used in the programme planning and implementation.	Good monitoring and analysis of the external environment, sometimes with external help, with the information being used in the planning process but not always taken into account in all decision making. Some programmes planned on the basis of this analysis. Ability to track the trends in the democracy and human rights, nationally and internationally, but this information is not always taken into account in decision making.	Organization has the ability to analyse and monitor the external environment without external support. Programmes of work are planned on the basis of comprehensive analysis and modified in response to significant changes. Organization systematically tracks and records developments in the democracy and human rights field, nationally & internationally, and takes account of changes in decision making. Organization is a reference point in the sector, providing up to date information on the trends in this sector.
2	Project and programme development with a participatory approach			Little knowledge and recognition of the need for comprehensive project or programme planning. Communities, members or other key stakeholders are not consulted or involved in the design or implementation of work.	Some staff have an understanding of the essential features of project or programme planning but limited ability to apply them. Few projects are designed using appropriate tools e.g. Project Cycle Management. Limited consultation with communities, members or other key stakeholders on the effects the work might have on them.	The value of good project and programme planning is recognised. A few staff have an understanding of analysis and planning methods. Some projects are well designed but plans are not used as management tools throughout the project lifecycle. Consultation with the community, members or other key stakeholders does not include all groups and has a limited influence on work design and implementation.	The use of rigorous planning methodologies is encouraged. Some staff have the necessary knowledge and ability. Nearly all projects and programmes are well designed. Some project plans are used as management tools e.g. for prioritization of tasks. Consultation takes place with all key stakeholders on project design and views expressed are usually taken into consideration in decision making.	A high standard of project and programme planning and management is required. The majority of staff understand the basic concepts and have the ability to design and manage projects or support others in doing so. The majority of projects are well planned and managed, with a clear prioritization of work. Active and equal stakeholder involvement in project planning, decision-making and monitoring of ongoing work.

3	Capacity building activities			The organisation has not undertaken activities to train or build capacity of other organisations in its community. It has a limited vision of its own capacity building needs.	The organisation has taken part in some capacity building activities at local level, leading to better joint understanding of training and organisational development priorities. It has identified its own immediate staff and organisational development needs.	The organisation has taken the lead in providing training courses or discussion platforms regarding capacity building and organisation development at local level. It has incorporated staff and organisation development into its plan and programme activities.	The organisation has developed a number of key staff or experts in the area of human resource and organisation development. These individuals are called on occasionally by other local organisations. The organisation has a deeper understanding of its own needs and shares this with other capacity building and CSO support organisations.	The organisation is recognised locally and nationally as a capacity building provider. Its trainers and experts are actively involved in capacity building forums and their services are in demand by CSOs. Locally, the organisation makes active efforts to raise the capacity of other smaller CSOs. This has become an integral part of its long-term strategy.
4	Monitoring, evaluation and reporting of projects and programmes			Monitoring & evaluation not considered a priority. Limited or no systematic monitoring of progress in projects. Evaluations when required by donor. Reporting has low quality.	Recognition of the need for M&E but limited/no monitoring taking place. Little understanding of the differences between monitoring and evaluation. When evaluation is required by the donor, the reports focus mainly on outputs, activities and quantitative data; little qualitative analysis is done.	There is an understanding of M&E but limited knowledge of how to do it. No standard M&E systems. Reports for donors mainly focus on examining outputs/activities, with a little qualitative data being gathered or analysed. .	M&E actively encouraged. Key individuals are knowledgeable. Monitoring plans and systems being put in place, but not fully operational. Some projects are effectively monitored and evaluated, with information feeding into decision making and adaptation taking place. Most of the analysis is qualitative in nature, with attention being paid to longer term outcomes and changes.	M&E plans and systems at all levels in place and used by all relevant individuals. Monitoring and evaluation information feeds back into decision making, resulting in changes to practice. Some efforts have been made to assess long-term impact. The organisation provides help to others in M&E system development.
5	Effectiveness of work undertaken			Organisation sometimes fails to implement all the planned activities. No evidence to show how the work is contributing to the organisation's mission.	Organisation is implementing all the planned activities, but not necessarily achieving specific objectives related to addressing identified problems. Little evidence to show how the work is contributing to the organisation's mission.	Organisation is implementing all the planned activities. Some of the work is achieving specific objectives related to addressing identified problems. Some evidence available to show how the work is contributing to the organisation's mission.	All planned activities successfully completed. Most of the work undertaken is making a difference and addressing identified problems. Good quality examples and evidence to show how the work is contributing to the organisation's mission and vision.	All planned activities successfully completed. The work regularly achieves specific objectives related to addressing identified problems. Excellent range of evidence available to show how the work is making a real contribution to the organisation's mission and vision. The organisation's successes are a reference for others.



6	Small grants management			No experience of small grants management. No financial procedures exist for this.	The organisation has some experience of making small grants to individuals or community groups. Its financial systems have supported this in the past. While it has made appropriate granting decisions, the system for decision-making is undeveloped. There is minimal monitoring of grants.	The organisation has administered small grants for a donor. Financial procedures were established but are not well developed. Written procedures for some but not all operations. Variable level of monitoring of grants (content and finance), Not all grants were implemented satisfactorily and the systems were unable to monitor this in time.	The financial procedures for small grants management are consistently applied, with a well-established and independent grants committee. There are written procedures for some but not all decisions and operations. External audit of the small grants management showed satisfactory performance. Audit recommendations were implemented.	The organisation is an experienced small grants manager, with a well-respected, independent grants making committee. Clear written financial procedures are implemented in all areas. Donors are happy to route grant funds through the organisation. It has a consistently high performance in internal and external audits. All audit recommendations are implemented.
7	Advocacy & Lobbying (democracy and human rights themes)			Limited awareness of what government legislation or donor policy regarding democracy and human rights, and how work in this area could help achieve the organization's objectives. The organization's focus is solely on delivery of services.	Awareness and recognition of the potential of policy work in achieving organization's objectives, but little or no ability to do policy work.	Some understanding of policy work. Some lobbying or policy influencing activities are being undertaken, but these may be separate from the rest of the organization's programme. Little understanding of the need for a strategic approach in advocacy and lobbying.	Thorough understanding of importance of policy work. Some individuals are confident in using policy influencing skills in the democracy and human rights fields. Policy work is integrated into several parts of the organization's programme and some positive results have been achieved. First steps towards advocacy strategies.	Policy work is accepted as important approach, and is an integral part of the organization's programme. All relevant staff has policy influencing skills and experience, and is contributing to the design and implementation of advocacy strategies. Policy activities are contributing to the achievement of the organization's objectives, at local and international levels. The organisation is a reference point for decision makers.
8	Learning culture and innovative approach			The organisation has a 'doing' culture. Work is undertaken with little or no reflection at any stage. Learning and experimentation are not actively encouraged. Little discussion or different possible approaches.	Some learning taking place in an ad hoc way. Learning and experimentation are given some encouragement. Limited discussion of different and innovative approaches.	More systematic reflection and learning. Learning and experimentation encouraged and supported, Some 'mistakes' are allowed (without punishment). Questioning of approaches is accepted and Innovative work is actively encouraged. But lessons learnt from innovation are not proactively shared.	Mechanisms for reflection and shared learning are in place and being used by individuals and teams. Learning and experimentation is supported. 'Mistakes' are learnt from. Innovation actively encouraged and happening frequently. Processes in place to ensure shared learning on new approaches	Open culture in which reflection, constructive debate, dialogue and, experimentation can take place, both at team and organizational level. Innovative approaches communicated and applied elsewhere. Processes in place to ensure shared learning of new approaches. Organization's innovations are a reference for other CSO's

EXTERNAL RELATIONS ('to relate')

Nº	Capacity	CSO score	OA team score	Level 1 – Embryonic	Level 2 – Developing	Level 3 – Moderately developed	Level 4 – Well-developed	Level 5 – Exemplary
1	<p>Strategic analysis of appropriate relationships (government, business or civil society) according to organization's mission and objectives</p>			<p>No systematic analysis of stakeholders and their interests. Little recognition of the need to carefully identify with whom to have relationships, their purpose and nature, and their contribution to organization's objectives. Relationships initiated in a sporadic ad hoc manner.</p>	<p>Informal analysis of key stakeholders and their interests. Organization recognizes the need to carefully identify appropriate relationships. However this is rarely reflected in the initiation of relationships in practice.</p>	<p>Organization undertakes formal analysis of stakeholders and their interests. It applies its understanding of relationships to identify and initiate potential relationships, but not consistently. A number of different types of relationships are identified.</p>	<p>Formal analysis of stakeholders and their interests is incorporated in discussions. Organization uses a consistent and systematic approach to identify and initiate potential relationships. Different types of relationships are actively pursued. Some review and prioritization of existing relationships.</p>	<p>Formal analysis of stakeholders and their interests incorporated in decision making. Organization uses a consistent & systematic approach to identify & initiate potential relationships. It regularly reviews & renegotiates existing portfolio of relationships (including planned exit strategies where appropriate). Established relationships are prioritised, and include donors, relevant government officials, media, community leaders and 'like minded' organisations & individuals.</p>
2	<p>Building cooperation with other CSOs (including work in partnerships and coalitions)</p>			<p>Most relationships with other CSOs weak or ineffective. The organisation does not engage in partnerships or belong to coalitions.</p>	<p>Most relationships functioning at a basic level of joint activities. Little regular communication, sharing of information or analysis of shared interests. Some awareness of potential partnerships and coalition work but no substantial efforts to join them.</p>	<p>Responsibility for managing external relationships not clearly assigned. Most relationships functioning at a basic level but some are healthy, well-managed, and effective. Need for strategic approach to communication, information sharing and partnership and coalition building has been recognised but with limited practical effects.</p>	<p>Responsibility for managing each external relationship clearly assigned. Many relationships healthy and effective. Strategic communication & information sharing has begun and cooperation with other CSOs via partnership and coalitions building begins to contribute to achievement of the organisation's mission.</p>	<p>All external relationships are well managed, and everyone is satisfied that their objectives are being met. There is regular, open communication and effective interaction & collaboration with partners and coalition allies. The parties within these relationships regularly review their nature and progress.</p>

3	Relationships with donors			Funds accepted from donors but limited dialogue or understanding of respective goals. Minimal accountability to donors and low level of mutual trust with them. Organization is often driven by donor agenda.	Developing dialogue with donors on respective goals. Low level of trust. Organization has little recognition of need for better accountability to donors or how to manage its relationships with them.	Some good relationships with donors based on common understanding. Organization does not always demonstrate that it is accountable or able to deliver. It has limited skills in managing its relationship with donors.	Good, well managed relationships with most donors based on developing trust and transparency. Organization is occasionally able to influence donor agenda. Donor respect for organization is growing	Strong donor relationships based on mutual trust and transparency. Organization is well respected by donors, and able to influence them. Organization is acknowledged by donor as professional, accountable, and able to deliver.
4	Relations with community, the wider public			No systematic analysis of key target audience at community or wider levels. No awareness of strategic approach to communications or marketing.	Key target audience at community or wider level identified, but little profile established. Little awareness of need for PR strategy.	Organisation developing its profile with key target audiences at community level but not known to general public. Need for PR strategy recognised.	Organisation becoming known to the general public & is well-known to key target audience at local level. PR strategy developed & partially used.	Organisation has built up a strong profile in the eyes of the general public, with open communication channels, accessible & bi-(or tri-) lingual information. Organisation implements a PR strategy.
5	Cooperation with government authorities			Minimal or no working relations with relevant departments/ agencies. Little participation in official events / consultation. Little or no capacity for negotiations with government	Working relations with a few public sector agencies, but only limited influence. Low negotiating capacity and few results from it.	Good relationships developed with some government agencies. Negotiating skills being developed and a few one-off successes in influencing government.	Good relationships developed with many relevant agencies. Organization is listened to by the authorities. It has developed a range of skills in negotiation and is reviewing and building on these experiences.	Organization is well respected by relevant government agencies. It exerts a strong influence on policy through good working relationships at different levels. It is confident in its negotiating capacity and can clearly identify the ways in which successful cooperation has contributed to its objectives & mission.
6	Relations with mass media			No systematic analysis of potential media contacts. Lack of understanding of the importance of the media and of their requirements.	Key media contacts identified but little contact or nurturing of personal relationships. Some understanding of the different media and their requirements.	Information base on key media contacts and their interests in place, with understanding of the requirements of the media, but limited capacity to respond to these.	Regular proactive contacts with media, and nurturing of personal media relationship, with organisation sometimes used as a source of information.	Extensive contacts with media, which are nurtured, maintained and exploited to achieve organisation's goals. Organisation is used by media as a respected source of information.



ANNEX 6. Template Organisational Assessment Agenda

DAY ONE			
	TEAM MEMBER 1	TEAM MEMBER 2	TEAM MEMBER 3
9.00-9.45	Introductory meeting and presentation of the approach to the CSO staff		
10.00-11.30	Interview with the Executive Director		
11.30– 13.00	Interview with Project Manager 1	Interview with Project Manager 2	Interview with Head of Finance
14.00-15.30	Focus group with Programme Staff		Look at key finance documentation
15.30-17.45	Meeting of all staff for self-assessment on 'To Be' circle (except Executive Director)		
17.45-18.30	OA team meets to compare notes, look at documentation etc.		
DAY TWO			
9.00-10.00			Assessment of the circles with the Executive Director
10.00-11.20	Focus group with organisation beneficiaries . This meeting could be held at the CSO or preferably in a different location.	Meeting with local government partners (government office)	
11.30– 13.00	Group meeting with NGO or CBO partners of the CSO	Meeting with the Board and / or Advisory Council	Interview with the Communicator
14.00-16.30	Meeting for self-assessment on 'To Do' and 'To Relate' circles		
16.30-17.15	Meeting with Executive Director or management team to review the whole visit		
17.15-19.00	OA team meets to discuss notes and make scoring. Creation of the spidergrams and notes for the presentation		
DAY THREE			
9.00-10.00	Preparation for summary meeting with CSOs working group		
10.30-11.30	Summary meeting to present self-assessment and hear OA views		
11.30-13.00	Summing up visit and next steps towards Action Plan		



ANNEX 7. Sample questions for the interviews

EXECUTIVE DIRECTOR

1. What motivates you in your work?
2. Please tell us what your organisation does, and why it does it. What are you proudest of, in terms of your organization's achievements?
3. Do you think outsiders know how good you are?
4. Do you think your motivation is shared by Board/Staff/Volunteers/Members? How do you know this?
5. Does your organisation have a Strategic plan? If so, how useful is it to you when planning operations? Please explain why it is or isn't useful. What about an operational (annual working) plan?
6. How often, and in what ways, does your organisation review its operations?
7. How is your relationship with the Board, in terms of role boundaries and communication?
8. Are you missing any key skills from your Board at present? What plans do you have to fix this?
9. What are the main ways you communicate with your staff and volunteers, formally and informally?
10. What are the main ways you communicate with your beneficiaries, formally and informally?
11. What would you consider as your organisation's main strengths in terms of administration and management? What would you want to improve?
12. Are you a membership organisation? How do you communicate and consult with your members?
13. To what extent do you find the policies and procedures you work to fit for purpose?

14. What is your current staffing situation, as regards staff and volunteers? Are there gaps you have problems filling?
15. How often do you work in partnership with other agencies? How do you find this experience?
16. What are your main concerns as regards fundraising for your work? How does the process of annual budgeting happen?

PROJECT / PROGRAMME MANAGER

1. Please tell us what your organisation does, and why it does it. What are you proudest of, in terms of your organization's achievements?
2. Do you think your partners and others know what you have achieved?
3. Does your organisation have a Strategic plan? If so, how useful is it to you when doing your work? Please explain why it is or isn't useful. What about an operational (annual working) plan?
4. Please outline how you view your relationship with your boss, in terms of role boundaries and communication. To what extent do you feel that your expertise and experience is respected and well-used? Are you clear what your job is, your responsibilities and the support you can expect?
5. What are the main ways you communicate with your staff and volunteers? Do you find that formal or informal communication works best?
6. What are the main ways you communicate with your beneficiaries?
7. Do you think your organisation is efficient and well-managed, or not? Why?
8. To what extent do you find the policies and procedures you work to fit for purpose?

9. What is your current staffing situation, as regards staff and volunteers? Are there gaps you have problems filling? What are actions are you planning to fill possible gaps?
10. How often do you work in partnership with other agencies? How do you find this experience?
11. What are your future funding and resource needs? How much confidence do you have that they will be met?

HEAD OF FINANCE

1. Please tell us what your organisation does, and why it does it.
2. Does your organisation have a Strategic plan? If so, how useful is it to you in your role? Please explain why it is or isn't useful. Is the Strategic plan costed?
3. How does the process of annual budgeting happen? What is your assessment of how effective your organisation is in terms of developing and managing budgets? Give us some examples to illustrate.
4. Please outline how you view your relationship with your boss and Board, in terms of role boundaries and communication.
5. What are the main ways you communicate with your colleagues, staff and volunteers? How effective do you find this?
6. What would you consider as your organisation's main strengths in terms of administration and management? What would you like to improve?
7. To what extent do you find the policies and procedures you work to fit for purpose?
8. What policies / procedures / unwritten principles do you have to prevent corruption or funding mismanagement?
9. How effective do you find your procurement policy (if submitted prior to the mission)?
10. Do you use specialised accounting software? Which?

11. What are your main concerns as regards managing future funding and resources?
12. How well would you say the finance function works in partnership with programmatic work?

BOARD

1. When was the Board established and through which procedure?
2. Why are you interested in being members of the Board? What motivates you? Why this organisation and not some other CSO?
3. What is the mandate of the Board members (also, in comparison to what is specified in the Statute)?
4. How many days per month would you say that you dedicate to your role as the Board member?
5. What do you think you are bringing to the organisation? Would you like to have some additional skills to bring to the table? Which ones?
6. Were you involved in the process of Strategic planning?
7. What would you say are the strongest sides of this organisation in terms of administration and management? What do you think is worthwhile improving?
8. How is your relationship with the Executive Director? What issues do you discuss most?
9. What are your main concerns as regards managing future funding and resources for this organisation? Do you approve the annual budgets and annual working plans?
10. Do you believe that the organisation has strong enough safeguards against unethical behaviour / conflict of interest / corruption, etc.?

FOCUS GROUP WITH STAFF

1. What does your organisation do, and why? What motivates you in your work? What are you proudest of, in terms of your organisations achievements?
2. Are you clear what your job is, what's expected of you and what you can expect in return?
3. Is there a plan you are all working towards? If so, what input did you have to it? Does it work?
4. What are the main ways you communicate with others in your organisation? Do they work?
5. What would you consider as your organisation's main strengths in terms of administration and management? Anything they could do better?
6. Were you trained in procedures or made to read policies? To what extent do you find the policies and procedures you work to fit for purpose?
7. Are there gaps in paid or unpaid staffing? What could be done to fill them?
8. What confidence do you have that there will be the resources in future to get the job done?
9. What would you do if you saw / felt / heard that there is a situation that you are uncomfortable with ethically? Would you talk to someone? Whom?

FOCUS GROUP WITH ORGANISATION BENEFICIARIES

(to be arranged in advance – they should be as relevant as possible to democracy and human rights activities)

1. What does this organisation do?
2. What do you think they achieve?
3. In your opinion, how well do they meet your needs?
4. Have you been formally or informally consulted as regards what the organisation does, how it does it and how well it meets your needs?

5. Do you feel you have an influence on what they do?
6. What would make your experience of the organisation better?
7. How do you feel other people see the organisation?

GROUP MEETING WITH NGO OR CBO PARTNERS

1. Please tell us what you think the organisation does, and how it does it.
2. Why do you think they do what they do? Do you know what their vision is?
3. Do you have a clear idea of this organisation's future plans and long-term strategy?
4. Are there any elements of their work that need improvement?
5. Are there any gaps in their capacity, in terms of staffing or skills?
6. What joint projects or campaigns have you carried out with them?
7. What was the benefit of working together?
8. Do they communicate effectively? If not, how can they improve?
9. To what extent do you think they can lead on DHR in your region?

MEETING WITH LOCAL GOVERNMENT PARTNERS

1. Please tell us what you understand this organisation does, and why it does it.
2. Why do you think they do what they do? Do you know what their vision is?
3. Do you have a clear idea of this organisation's future plans and long-term strategy?

4. Are there any elements of their work that need improvement?
5. Are there any gaps in their capacity, in terms of staffing or skills?
6. How do you see the capacity of their Board? Do they need to recruit other people? Whom?
7. Are they well resourced? Have they ever had to let you down because of resource problems?
8. Do they communicate effectively? If not, how can they improve?
9. How does their mission and objectives match with yours?
10. Are they a good or bad organisation to partner with? Why?
11. Are there many organisations working in this field in your region?
12. How do they compare? Do you need more or fewer such groups?





8

USEFUL LINKS & REFERENCE MATERIAL

- 'Pilot methodology for Organisational Assessment of CSOs' (Ukrainian), UNDP Ukraine, 2013 – <http://bit.ly/2eFG32r>
- 'Creating and managing endowments in Ukraine' (Ukrainian), UNDP Ukraine, 2014 – <http://bit.ly/2vN8Vcw>
- 'Organisational development programme for regional CSO-leaders 2014-2016' (Ukrainian), UNDP Ukraine, 2016 – <http://bit.ly/2vxVfCK>
- 'Analytical report: Summary of the UNDP programme for organisational development of regional CSO-leaders' (Ukrainian), UNDP Ukraine, 2016 – <http://bit.ly/2uM-HeDL>
- 'Theory of Change: A thinking and action approach to navigate in the complexity of social change processes' (English), UNDP Regional Centre for Latin America and the Caribbean, 2011 – <http://bit.ly/2tBf9zu>
- 'Pact Organizational Capacity Assessment (OCA) Handbook' (English), Pact Inc., 2012 – <http://bit.ly/2uEPpil>
- 'Pact's Approach to Capacity Development' (English), Pact Inc. – <http://bit.ly/2tB9ZTW>
- 'The Octagon: a tool for the assessment of strengths and weaknesses in NGOs' (English), Sida, 2002 – <http://bit.ly/2tvBug0>



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