Assessing effectiveness in building the capacity of organisations and institutions in the South

Draft for consultation

March 2011

The Bond Effectiveness Programme

The Bond Effectiveness Programme aims to support UK NGOs in improving how they assess, learn from and demonstrate their effectiveness this involves:

1. Developing agreement and supporting implementation of:
   - Sector wide **framework of indicators, data collection tools and assessment methods** to improve the consistency of how NGOs measure, learn from and report results (Improve It Framework)
   - **Online organisational health-check tool and resource portal** that enables benchmarking with peers, sign posts to existing tools, and supports improvements in effectiveness systems and capacities

2. Building **knowledge and skills** to support members in measuring and managing effectiveness through training, peer learning and support, piloting, and resource development

3. Creating an **enabling environment** that encourages and supports organisations to deliver improvements in their effectiveness through engagement with donors, NGO leaders and promoting greater transparency about performance

The Bond Effectiveness Programme is supported financially by a number of organisations: ActionAid UK, Cafod, Care International UK, Christian Aid, Comic Relief, Department for International Development, Everychild, Islamic Relief, Mercy Corp, Oxfam GB, Plan UK, Practical Action, Save the Children UK, Sightsavers, Tearfund, VSO, WaterAid, World Vision and WWF

1. Background to the Improve It Framework

What is it?

It is a framework grounded in the **distinctive contributions** that UK NGOs make to international development that will support organisations to **measure, learn from** and **communicate** their effectiveness more **robustly** and **consistently.** The framework will provide the UK NGO sector with a platform for systematic learning and sharing on measuring effectiveness, and a shared framework that can be used both by individual organisations and collectively by the sector to tell a more robust story of how their work makes a difference to the lives of poor and marginalised people.

The Framework has three interlinked components (see diagram below):
- **Thematic areas**: the long term areas of change that UK NGOs seek to contribute to;
- **Ways of working**: the distinctive strategies and approaches adopted by UK NGOs to contribute to social change;
- **Core principles of assessing effectiveness**: the key considerations that need to be reflected in any assessment of effectiveness.
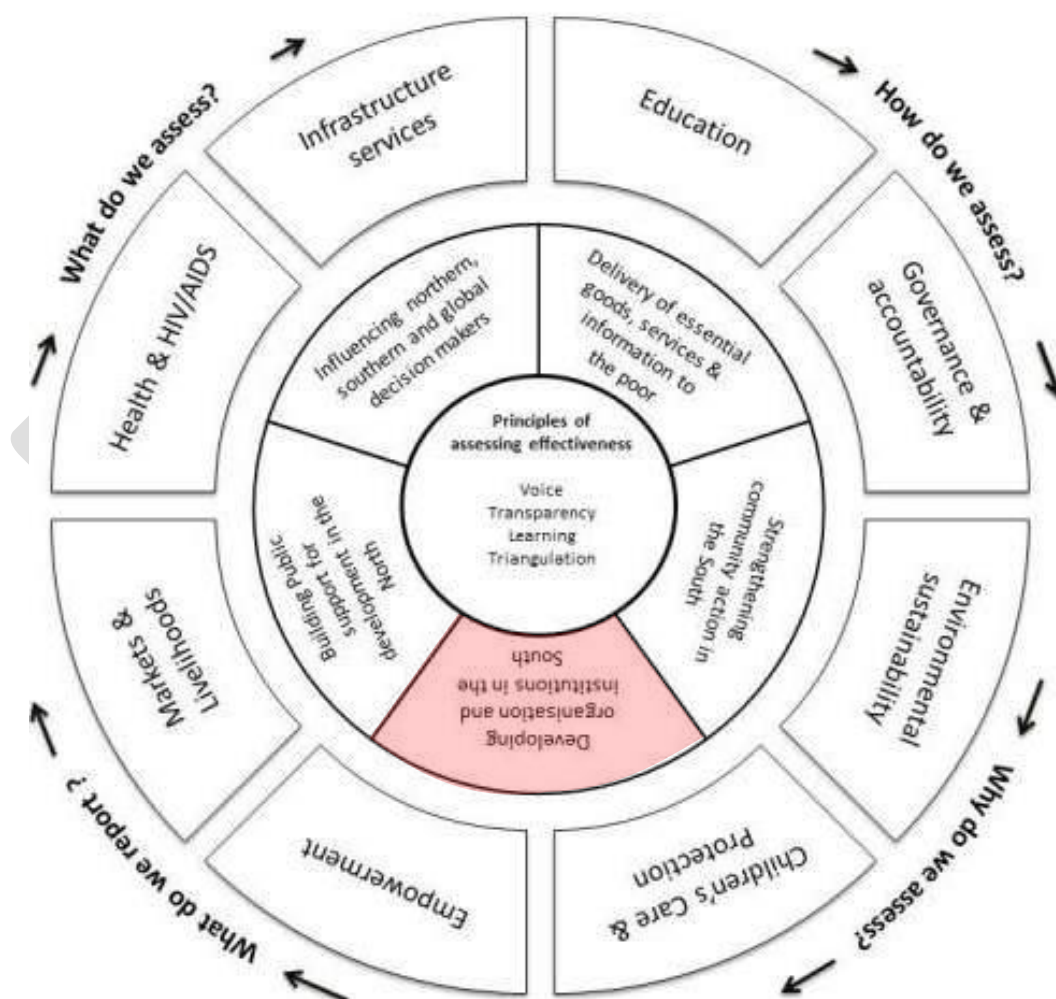
Why are we developing it?

The challenges facing UK NGOs in engaging with the results agenda are numerous: developing approaches and systems for measurement which are sufficiently rigorous, but at the same time cost effective to implement; credible enough to stand up to external scrutiny, but flexible enough to be of use in day to day decision making; sophisticated enough to reveal key drivers of success and failures, but accessible enough to all staff and partners; appropriate for supporting upward reporting but also able to support the process of empowering poor and marginalised people. This is a challenge for all UK NGOs and one that Bond believes will benefit from members pooling resources and knowledge and developing a shared approach.

Furthermore, while individual organisations need to be able to tell a robust story of their contribution to change, **we also need to start building the same robust and consistent narrative at sector level.** We need to be able to talk about the collective contributions of UK NGOs as well as our individual contributions. Identifying common domains of change and outcome areas, encouraging greater convergence of data collection methods and identifying indicators that, while flexible, give clarity around what should be measured, will support greater consistency in how the sector communicates its added value and evidences its effectiveness.

These papers form the core of the Improve It framework, which will be an online tool launched in July 2012

The Improve It Framework: myth busting	
What the Improve It Framework IS going to do	**What the Improve It Framework IS NOT going to do**
Provide a **collective resource** that UK NGOs can draw on when developing their own context specific monitoring and evaluation frameworks	Create a single way of assessing effectiveness. It is about encouraging **greater harmonisation and consistency** where appropriate
Promote **shared approaches** to assessing effectiveness where appropriate	Offer an 'off the shelf' answer to measuring effectiveness. It will provide a **common starting point** for all UK NGOs. Individual agencies will need to make it relevant to their context
Provide UK NGOs with practical **tools to be able to tell a more robust story** of how they are contributing to social change	Produce an encyclopaedia of indicators and tools. There will be an element of **prioritisation** in what is presented in the final framework
Continue to evolve even once it is complete in April 2012. The Framework will be updated as NGOs pilot it and as practice and experience with the sector on how best to assess effectiveness develops	Provide a framework that a NGO will see a 100% of what they do in. It is not an organisation specific tool, but rather a sector wide framework. It has to be general. If an NGO can see **60%** of itself in the Framework that is '**good enough**'

What is the role of this paper in the development of the Improve It Framework?

The development of the Improve It Framework is currently being taken forward by over 200 people from more than 100 UK NGOs. This paper is an important contribution to the process presenting a **mapping and synthesis** of how UK NGOs currently understand change and their approaches to evidencing it in one of the ways of working: building the capacity of organisations and institutions in the South.

The paper is not meant to offer a definitive position. **Its purpose is rather to surface the commonalities in NGO approaches to capacity building and offer suggestions and examples of what organisations should be assessing and how**.

Similar papers are being developed for each of the eight thematic areas of the Improve It Framework, the key principles for assessing effectiveness, and the other four ways of working:
- strengthening community action in the South,
- building public support for development in the North,
- influencing Northern, Southern and global decision makers
- delivery of essential goods, services and information to the poor

2. Indicators and tools for measuring capacity building outcomes

2.1. Using the process of change diagram, and the indicators and tools tables

Bond has developed a diagram of the general process and domains of change for capacity building (see page 8). The upper portion of the diagram shows the **outcomes** of capacity building - the general *types of changes* that UK NGOs seek to support in Southern partners - the lower part shows the activities (or outputs) that UK NGOs conduct to realise these changes. The outcomes have been grouped into three main domains: Improved capacity, improved performance and enabling environment. Some organisations will work across all of these outcomes, some across just one or two.

For each outcome Bond has identified the different types of evidence **(indicators)**, which can be used to measure the outcomes (see the tables on pages 8-20)**.** The indicators have been taken from documentation sent in by Bond and NIDOS members Comic Relief grantees and from additional research by Bond. For each outcome area we have identified and described the tools that can be used to measure that area. These tools are described in greater depth in the tables on pages 21-27.

Many of the tools that are included below are self-assessment tools where organisations assess their capacity on a scale. Some require CSOs to rate the extent to which they meets a standard, eg 'not at all', 'partially', 'fully'; others describe what practice might look like for different levels of capacity and require the user to identify which level best describes their organisation. A large number offer a comprehensive assessment of the entire organisation for example covering human resources to governance, to programme management to monitoring and evaluation, others only look at a specific capacity issue such as accountability to beneficiaries or gender mainstreaming.

The benefits of assessing capacity using a scaled self assessment is threefold: first, it avoids reducing the monitoring of capacity development to the existence or absence of a particular policy or practice and allows crucial issues of quality, culture, leadership, commitment etc to be explored and monitored as part of the assessment exercise. Second, it provides a means of aggregating large amounts of qualitative information into quantitative scores, which can be communicated easily internally and externally. Finally, it allows the process of assessing capacity and action planning be led by the organisation itself which is key to the ultimate success of any capacity building exercise. It is important to note however that any self-assessment process is only as strong as the discussion that takes place during the assessment, the evidence that is used to back up the final scores, and the

action points and learning that emerge from the self-assessment process. To be accepted as credible evidence, the self-assessment needs to be conducted in a robust way.[1]
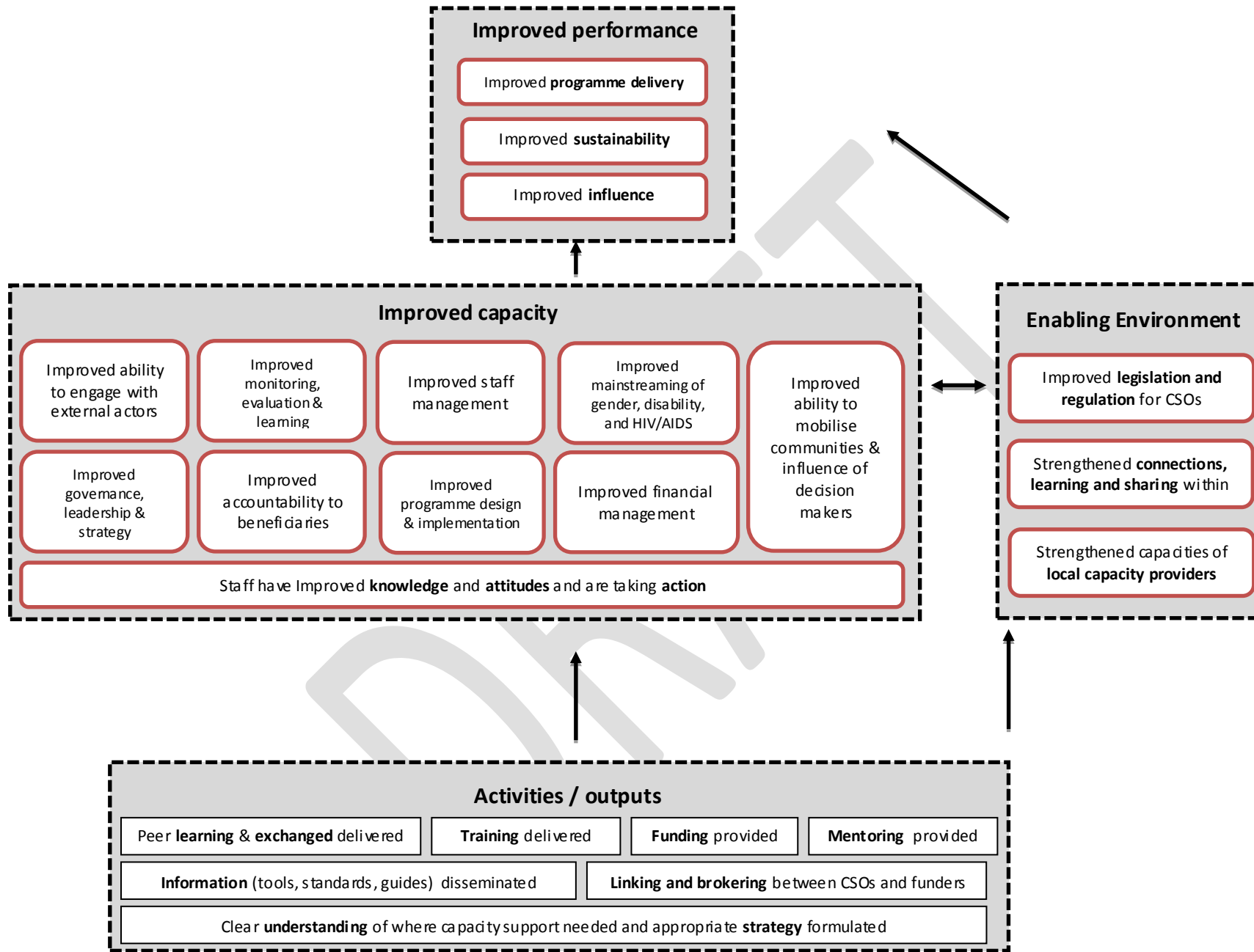
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[1] Bond and the PPA Learning group on measuring empowerment and accountability is currently facilitating a learning group on the use of self-assessment tools. The group will be producing a set of key principles for using scaler tools and what key steps need to be followed in order to generate robust and credible evidence.

Developing organisations & institutions in the South

Improved performance

- Improved **programme delivery**
- Improved **sustainability**
- Improved **influence**

Improved capacity

- Improved ability to engage with external actors
- Improved monitoring, evaluation & learning
- Improved staff management
- Improved mainstreaming of gender, disability, and HIV/AIDS
- Improved ability to mobilise communities & influence of decision makers
- Improved governance, leadership & strategy
- Improved accountability to beneficiaries
- Improved programme design & implementation
- Improved financial management

Staff have Improved **knowledge** and **attitudes** and are taking **action**

Enabling Environment

- Improved **legislation and regulation** for CSOs
- Strengthened **connections, learning and sharing** within
- Strengthened capacities of **local capacity providers**

Activities / outputs

- Peer **learning** & **exchanged** delivered
- **Training** delivered
- **Funding** provided
- **Mentoring** provided
- **Information** (tools, standards, guides) disseminated
- **Linking and brokering** between CSOs and funders
- Clear **understanding** of where capacity support needed and appropriate **strategy** formulated

Sphere of influence (outcomes)

Sphere of control (outputs)

Improved capacity of organisations and institutions	
Staff have improved knowledge and attitudes and are taking action	
Indicators	**Tools**

Improved knowledge
• # and % staff reporting that engaging in activities organised by [*organisation x*] has improved their knowledge of [*issue y*]
    ○ Eg *# women / men reported to have increased skills and knowledge to integrate gender equality in programming*
    ○ *Eg. # women / men reported to have increased skills and knowledge in policy dialogue.*
	Post activity evaluation form (eg training evaluation form)

• # and % staff demonstrating an improved understanding of [*issue x*] ○ Eg *# and % staff demonstrating an improved understanding of the policy making process and how to influence policy*	Depending on the capacity support, staff could be asked a set of questions that test the extent of their knowledge and understanding of the issue in question
Improved attitude • # and % staff reporting that engaging in activities organised by [*organisation x*] has improved their confidence on [*issue y*]	Post activity evaluation form (eg training evaluation form)
Behaviour changes • # staff that can describe specific changes they have made to their practice as a result of the support they received from [*organisation x*] • # and description of cases where staff have applied learning back in the workplace that can be plausibly linked to the support provided by [*organisation x*]	Periodic follow up with staff individually (eg email survey or phone call) or collectively (focus group) to establish if (and what) they have done differently as a result of engaging in the capacity support
Improved governance, leadership and strategy	
Indicators	**Tools**
Overall improvement in governance, leadership and/or strategy • % or # of supported CSOs demonstrating enhanced capacity in [governance or leadership or strategy] through support from [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of governance, leadership and/or

<table>
<tr><td></td><td>strategy issues. With all of the tools CSO identify which score best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools which cover issues of governance, leadership and strategy include: Bond Organisational Health Check; ADD International - Five Core Capability Framework; Tearfund – Capacity self-assessment; Progressio – Capacity Assessment of Partners; WWF – PPA capacity assessment tool; Common Ground initiative - OCAT; International Service – Organisational Assessment Tool; McKinsey– Capacity assessment grid; One World Trust / Commonwealth foundation – accountability self-assessment **;** Pact OCA tool</td></tr>
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- Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in governance, leadership and/or strategy

Governance
- # and % of supported CSOs with full governing boards

Leadership
- % of youth leaders showing leadership (initiative, timeliness in deadlines, deliverables met) in their program responsibilities and project roles from start to finish of the program

Strategic planning
- # of CSOs that have strategic plan developed in consultation with stakeholders
- # and % of CSOs with evidence based annual operational plans

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Case studies of change

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Improved accountability to beneficiaries	
Indicators	**Tools**
Overall improvement in accountability to beneficiaries • % or # of supported CSOs demonstrating improved accountability to beneficiaries through the support of [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs accountability to beneficiaries by unpacking accountability into a number of key capacity areas such as: participation, transparency, feedback etc. With all of the tools the CSO identifies which score best described their current capacity and practice and periodically repeats the assessment to monitor change. Tools which cover

Indicators	Tools
• % or # of supported CSOs meeting minimum accountability standards	beneficiary accountability include: Bond Organisational Health check, Oxfam GB downward accountability matrix, the Listen First methodology, and One World Trust / Common wealth Foundation Accountability self-assessment. In order to measure this indicator a specific threshold needs to be set of what is an acceptable level of accountability. Partners then need to provide a self assessment against these standards providing evidence of compliance. Tools for scoring this include: the CAFOD minimum standards of accountability
• Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in accountability to beneficiaries	Case studies of change happened
Beneficiary participation • # and % of CSOs with a strategic plan developed in consultation with community stakeholders	Copy of strategic plan with details of stakeholder input and how the organisation responded to this
• # and % of supported CSOs which have beneficiaries represented on the Board • # and % of beneficiaries on decision making bodies for CSOs	List of board members with profiles
Existence of complaints mechanisms • # CSOs that have complaints procedures in place for receiving feedback, including of a sensitive nature, from beneficiaries	Details of policy
• # and description of complaints dealt with by CSOs within x months	Details of complaints received and response given
Improved programme design and implementation	
Indicators	**Tools**
Overall improvement in programme management • % and # of supported CSOs demonstrating improvements in programme design and implementation through support from [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs capacity to manage programmes including identification, design, setting indicators, monitoring etc . With all of the tools CSO identify which score or level best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools which cover programme management include: Bond Organisational Health Check; ADD International Five Core Capability Framework; Tearfund – Capacity self-assessment; Progressio – Capacity Assessment of Partners; WWF – Capacity

Indicators	Tools
	assessment tool; Common Ground initiative - OCAT; International Service – Organisational Assessment Tool; McKinsey capacity – Capacity assessment grid;
• % and # of supported CSO meeting minimum quality standards in programme design and implementation	In order to measure this indicator a specific threshold needs to be set of what is an acceptable level of practice in programme design and implementation. Partners then need to provide a self assessment against these standards providing evidence of compliance.
• Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in programme management and delivery	Case studies on how change emerged
Improved financial management	
Indicators	**Tools**
Overall improvement in financial management capacity • % and # of supported CSOs demonstrating improvements in financial management through support from [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs capacity to manage finances and include such issues as accounting systems, financial reporting, financial planning etc. With all of the tools CSO identify which score or level best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: McKinsey capacity – Capacity assessment grid; MANGO Health Check; Bond Organisational Health Check; Five Core Capability Framework; Pact, Inc. Management Control Assessment Tool ; Progressio – Capacity Assessment of Partners; WWF – Capacity assessment tool; Common Ground initiative - OCAT; International Service – Organisational Assessment Tool; Tearfund – Capacity self-assessment; Mercy Corp NGO Performance Index
• Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in the management of finances	Case studies of how change happened
Financial management • # and % of CSOs meeting minimum financial management requirements	In order to measure this indicator a specific threshold needs to be set of what is an acceptable level of practice in financial management. Partners then need to provide a self assessment against these standards providing evidence of compliance.
Financial stability	

Indicators	Tools
• % core funding increases from XX to XX, by XX • # days per year when CSOs experience funding gaps • Level of institutional funding increased from XX to XX • Income increased by XX% from X to X • Ratio of largest funder to overall revenue • # of successful funding applications • # of funders supporting organisation • # of new funder relationships established • # organisations with resource mobilisation plan in place • % of CSOs with a budget coming from different sources • % of staff that believe there is alignment of funding with core priorities and competencies	Financial records of an organisation should include this information.
Improved ability to engage with external actors	
Indicators	**Tools**
Overall improvement in external relationships • % and # of supported CSOs demonstrating improvements in their capacity to build and maintain quality relationships with key external stakeholders	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs capacity to build and maintain relationships. They cover stakeholders such as donors, think tanks, government, other CSOs etc. With all of the tools the CSO identifies which score or level best described their current capacity and practice and periodically repeats the assessment to monitor change. Tools include: Bond Organisational Health Check; Five Core Capability Framework; Progressio – Capacity Assessment of Partners; WWF – Capacity assessment tool; Common Ground initiative - OCAT; International Service – Organisational Assessment Tool
• % and # of supported CSOs demonstrating improvements in their relationships with [*stakeholder x*]	Many of the same self-assessment tools as above can be used to measure the strength of a relationship with specific stakeholder groups. Stakeholders that are included in most of the tools include: donors, government, research institutes, supporters/volunteers, other CSOs, networks and private sector.
Joint working to deliver services • # and % of CSOs that work in partnership with public/private providers, or other	

CSOs to deliver services at the community level

Relationships with CSOs
- # agreed shared positions, objectives and work plans
- # of joint actions by civil society movements, networks and alliances
- % network/alliance members satisfied with joint activities, information sharing / decision making
- % of participating CSOs reporting a change in perception of the effectiveness of a network

Relationships with national / local government
(indicators needed)

Relationships with the private sector
(indicators needed)

Improved monitoring, evaluation and learning	
Indicators	**Tools**
Overall improvement in monitoring, evaluation, learning & innovation - % and # of supported CSOs demonstrating improvements in monitoring, evaluation and learning through support from [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs capacity to monitor and evaluate. They cover issues such as learning, data collection, reporting etc. With all of the tools CSO identify which score or level best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: Bond Organisational Health Check; Five Core Capability Framework; Progressio – Capacity Assessment of Partners; WWF – PPA Capacity Assessment Tool; Common Ground Initiative - OCAT; International Service – Organisational Assessment Tool; Mercy Corp NGO Performance Index
- Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in how the organisation monitors, evaluates and learns	Case studies of how change happened

Indicators	Tools
• # and % of CSOs with mechanisms and tools for data collection and analysis. • # of CSOs with a costed M&E plan in place • # of CSOs that conduct regular reviews of their own programme performance in the past XX month • # of CSOs that achieve learning targets • # and % of CSOs with at least one staff member trained in M&E • % staff stating they have sufficient time to reflect and learn	Organisation's tools, plans and records for monitoring and evaluation. Staff surveys
Improved staff management	
Indicators	**Tools**
Overall improvement in people management • % and # of supported CSOs demonstrating improvements in human resource management through support from [*organisation x*]	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs capacity to manage staff and include such issues as human resource systems, managing staff performance, recruitment practices etc. With all of the tools CSO identify which score or level best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools which include sections on human resource management include: Bond Organisational Health Check; Pact OCA tool; Progressio – Capacity Assessment of Partners; WWF – Capacity assessment tool; Common Ground initiative - OCAT; International Service – Organisational Assessment Tool; McKinsey capacity – Capacity assessment grid; Mercy Corp NGO Performance Index
• Evidence from supported CSOs of how support from [*organisation x*] contributed to improvements in how they recruit and/or manage staff and/or volunteers	Case studies of how change happened
Policies are in place and in use • # and description or organisational HR policies and procedures in place	Copy of policies and procedures
• # and % of staff with knowledge of different policies (eg. Workplace policy, human resource policy)	Staff survey
• Evidence of policies being implemented	Details of policy and evidence that it is being implemented eg. Examples of when it has been used as reference point by staff or specific instances when it has been enforced

Staff participation in internal decision making • # and % of personnel who believe that management and strategic decision-making processes are inclusive	Staff survey
• Established and functioning mechanism that guarantees the participation of personnel in management and decision-making processes.	Details of mechanism and evidence that working eg example of when it has been used, summary of staff inputs and details of the responses from management
Staff retention and satisfaction • Staff turnover reduced from XX% to XX%	Staff retention figures are usually calculated by: Total number of leavers over [*period x*] / average # of staff employed over [*period x*] * 100
• Staff satisfaction increase from XX% to XX%	Annual staff survey
Improved mainstreaming of gender, disability and HIV/AIDS	
Indicators	**Tools**
Inclusive of people with disabilities • # and % of CSOs that meet at least three of the six criteria for inclusive policy and practice for people with disabilities	This indicator can be measured using ADD international's six criteria for inclusive policy and practice for people with disabilities
Inclusive of all genders • % and # of CSO partners that are integrating gender equity into their programmes	A number of self-assessment tools exist that can be used to measure this indicator. They all provide a comprehensive assessment of a CSOs integration of gender equity into the organisation and/or programmes. With all of the tools CSO identify which score best describes their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: VSO Gender Equality scale; and Trocaire Partner Capacity Framework
• Evidence of enhanced organisational capacity for gender sensitive planning, implementation, monitoring and advocacy (gender balance, gender resource persons and gender analysis skills).	Focus groups, case studies
• % of senior positions in the CSO filled by women • # and % of CSOs with women in senior positions • % of staff in the CSO who are women	Job descriptions and organisational records
	Details of policy and evidence that it is being implemented eg. Examples of when it

• # and % of CSOs who have gender policies in place and are implementing them	has been used as reference point by staff or when it has been enforced
• # and % of CSO proposals and projects demonstrating gender analysis with strategies that have been adapted based on this.	Copies of CSO proposals
CSOs are inclusive of people living with HIV/AIDS • % and # of CSO partners that demonstrate improved integration of HIV into their projects and programmes	A number of self-assessment tools exist that can be used to score this indicator. They all provide a comprehensive assessment of a CSOs integration of HIV into the organisation and/or programmes. With all of the tools CSO identify which score best describes their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: VSO scale on HIV/AIDS services; Pact Rapid Organizational Scan for CSOs Operating in the HIV/AIDS Sector in Malawi; HIV/AIDS Code of Good Practice self-assessment for HIV Mainstreaming
• # and % of partners who have HIV workplace policies and are implementing them	Details of policy and evidence that it is being implemented eg. Examples of when it has been used as reference point by staff or when it has been enforced
• Improved uptake of support available for staff infected and affected by HIV e.g. time off, medical assistance etc as defined in workplace policy • Number and % of programmes and projects demonstrating analysis of vulnerability and risks associated with HIV and adaptation of strategies as a result of this analysis	Programme/project plans

Improved capacity to mobilise communities and influence decision makers

Indicators	Tools
Overall improvement in capacity to influence decision makers • % and # of supported CSOs demonstrating improved capacity to engage with and influence decision makers through the support of [*organisation x*]	A number of self-assessment tools exist can be used to score this indicator. They provide a comprehensive assessment of a CSOs advocacy capacity covering a wide range of advocacy capacity issues such as identifying targets a key messages, relationship with decision makers, evidence based research etc. With all of the tools CSO identify which score best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: Bond Organisational Health Check; The USAID Advocacy Index Capacity; Pact BONGA Advocacy Index Tool; CAFOD Voice and Accountability tool, Trocaire Partner Capacity Framework, Progressio Participation and Transparency Tool, Save the Children Advocacy Capacity Assessment; VSO civil society strengthening scale;

	WWF – PPA Capacity Assessment Tool
• % and # of supported CSOs demonstrating improved capacity to mobilise communities to engage with policy through the support of [*organisation x*] **For more indicators on how to assess the outcomes of advocacy work go to the Bond paper on 'assessing effectiveness in influencing decision makers'**	A number of self-assessment tools exist can be used to score this indicator. They provide a comprehensive assessment of a CSOs capcity to support citizen action. With all of the tools CSO identify which score best described their current capacity and practice and periodically repeated the assessment to monitor change. Tools include: CAFOD Voice and Accountability tool, Trocaire Partner Capacity Framework, Progressio Participation and Transparency Tool; WWF PPA Capacity Assessment Tool; Bond Organisational Health Check

Creating an enabling environment for developing organisations & institutions in the South
Strengthened capacities of local capacity providers

Indicators	Tools
• # and range of organisations providing relevant technical / vocational skills • Increased training skills of partner staff, project staff and local consultants • Improved capacity of supported CSO to deliver effective trainings Indicators needed	To measure this indicator MercyCorp, as part their NGO Performance Index, use a number of standardised quality criteria to review current levels of training quality. Evidence is based on document review and participant observation.
Strengthened learning and sharing within civil society	
Indicators	**Tools**

Improved legislation and regulation for CSOs	
Indicators	**Tools**
Existence and quality of CSO legislation • Existence of policy and practice allowing freedom of association • Evidence that CSOs are free to engage in advocacy / criticise the government • # and description of Civil Society Organisations reporting intimidation for pursuing their activities • Evidence that governments engage CSOs in the development / review of CSO legislation	The Civicus Civil Society Index: section 2 (Environment); Open Forum Enabling Environment

Improved performance	
Improved sustainability	
Indicators	**Tools**
• Partners express confidence in ability to provide sustainable services that are not dependant on external resources – i.e. can be resourced by partner or through fees for services (VSO) • Partners have the capacity to continue activities at the end of the project	
Improved engagement with and Influence over decision makers	
Indicators	**Tools**
• # and description of policy changes with a verifiable contribution by [organisation XX] to the change	A number of data collection tools exist that can be used to collect evidence on a NGOs contribution to a particular policy change, these include: WaterAid's Advocacy Scrapbook; The Save the Children Advocacy measurement tool; Progressio Portfolio of evidence
• # and % of supported CSOs demonstrating improved levels of engagement with and influence over decision makers	A number of self-assessment tools exist that can be used to score this indicator. They all provide an assessment of a CSOs evolving engagement with decision makers and indicate the intermediate steps towards influence. Tools include: the VSO advocacy success scale; Cafod Voice and Accountability; Progressio PATT; WWF's Commitment and Action tool; TI Policy Scale; The democratic and political space ladder.
• Evidence of improvements in the level of CSOs engagement and influence on policy and practice on [*issue x*] **For more indicators on how to assess the outcomes of advocacy work go to the Bond paper on 'assessing effectiveness in influencing decision makers'**	Evidence could include verbal and written material, legal or treaty material, budgetary material, or media. See Progressio Portfolio of evidence for examples of different types of these materials.
Improved programme delivery	
Indicators	**Tools**
• % of partner organisations reporting improved performance in programme delivery that can be plausibly linked to org XX, by type of improvement	*To measure the improvement in programmes use the section of the Improve It framework for the relevant thematic area: Children's Protection and Care;*

• Rating (low, medium, high) by partner agencies of the significance of reported programme performance improvement, by improvement	*Education; Empowerment; Environmental Sustainability; Governance & Accountability; Health &HIV/AIDS; Infrastructure; Markets & Livelihoods*
• % and # of supported CSO meeting minimum quality standards in programme design and implementation	In order to measure this indicator a specific threshold needs to be set of what is an acceptable level of practice in programme design and implementation. Partners then need to provide a self assessment against these standards providing evidence of compliance.

Tool	What does it cover	What kind of tool is it	Which Improve It outcomes can it measure
ADD International – 5 Core Capability Framework	Organisational capacity across five capabilities (capability to commit and act, to achieve development results, to relate, to adapt and self-renew, and to balance diversity and coherence)	For each core capability the organisation rates themselves on a scale from 0-5 in several key areas. Issues and evidence to consider when rating each area are listed.	Improved governance, leadership and strategy; Improved programme design and implementation; Improved management and mobilisation of money; Improved external relationships; Improved monitoring, evaluation and learning
ADD International- criteria for inclusive policy and practice	Asks if organisations have: disabled employees in country and HQ; accessibility of offices in country and HQ; disaggregated data of beneficiaries that includes disability; engagement with DPOs for mainstream project implementation; engagement with DPOs for disability specific project implementation; disability in country budgets and strategic plans	A checklist on which of the six criteria are fulfilled by organisations	Improved mainstreaming of gender, disability and HIV/AIDS
Bond Organisational Health Check	A CSO's capacity across eleven pillars: Identity and integrity; Leadership and strategy; working with partners; working with beneficiaries; managing programmes; managing people; managing money; external relations;	For each pillar organisations rate themselves from 1-5 across a set of building blocks. Indicators exist for each level describing what capacity looks like at that level.	Improved governance, leadership and strategy; Improved accountability to beneficiaries; Improved

			programme design and implementation; Improved management and mobilisation of money; Improved external relationships; Improved monitoring, evaluation and learning; Improved people management; improved ability to mobilise communities and influence decision makers
CAFOD – Voice and Accountability Tool	An CSO's capacity and practice in four areas: Involvement in government processes, advocacy strategy development, community and constituency building, and involvement in corporate structures.	Organisations use the tool to rate themselves on a scale from 1-5 across the four areas. Each level along the scale contains a number of indicators.	Improved ability to mobilise communities and influence decision makers; Improved engagement with and Influence over decision makers
CAFOD – Accountability minimum standards	Partner accountability across twelve specific accountability questions, based on the benchmarks in the Humanitarian Accountability Partnership (HAP) 2007 standard	For each question the organisation identifies whether a process is 'in place', 'partially done' or 'not in place'	Improved accountability to beneficiaries
Civicus - Civil Society Index	The capacity and values and impact of civil society and the enabling environment for civil society. The indicators measure overall performance of civil society at a local/national level, rather than the performance of individual organisations.	It measures a large number of indicators on civil society capacity and performance on a scale of 0-3.	Improved legislation and regulation for CSOs
Common Ground initiative - OCAT	Looks at organisational capacity across two main areas: internal organisation and programme and linkages. Each area contains ten to twelve indicators.	Organisations use the tool to rate themselves from 1 (embryonic) to 5 (exemplary) on each indicator. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved governance, leadership and strategy; Improved programme design and implementation; Improved management and mobilisation of money; Improved external

			relationships; Improved monitoring, evaluation and learning; Improved people management
Concern Worldwide/Mango – Listen First methodology	Measures programme accountability across four areas (providing information publicly, involving people in making decisions, listening to feedback and complaints procedures, and staff attitudes and behaviour).	Organisations use the tool to rate themselves as being sapling, maturing, flowering or fruit bearing in each of the four areas.	Improved accountability to beneficiaries
HIV Code - Self-Assessment Checklist: Mainstreaming HIV	Measures an organisation's approach to mainstreaming HIV across five areas: general/organisational; minimising risk; access and relevance; impact mitigation and advocacy. There are sector specific questions for clinics, peer educators, savings and credit, water and sanitation, food and agriculture, humanitarian relief and education programming. There are a number of indicators for each area.	For each indicator organisations rate themselves as Y (Yes, we undertake this work/activity), I (Insufficient, in preparation, or being considered), N (No, we've not yet tackled this work/activity), NR (Not relevant to our work)	Improved mainstreaming of gender, disability and HIV/AIDS
International Service – Organisational Assessment Tool	Looks at organisational capacity across three main areas: internal organisation, external relations, and programme activity. Each area contains several indicators: there are 52 overall.	Organisations use the tool to rate themselves from a-e on each of the 52 indicators. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved governance, leadership and strategy; Improved programme design and implementation; Improved management and mobilisation of money; Improved external relationships; Improved monitoring, evaluation and learning; Improved people management
MANGO's Financial Management Health check	Assesses financial management across six sections: planning and budgeting; basic accounting systems; financial reporting; internal controls; grant management; and staffing. For each section there are about ten indicators.	For each indicator organisations score themselves as 0 (This is not in place, or is not true or does not happen), 1(Close to 0, but not that poor), 4 (Close to 5 but not quite there), or 5 (Our practice is totally in accordance in with the statement).	Improved management and mobilisation of money;
McKinsey Capacity assessment grid	Measures organisational capacity across seven sections: aspirations; strategy; organisational skills; human	Organisations use the tool to rate themselves from 1 (clear need for increased capacity) to 4 (high level of	Improved governance, leadership and strategy;

	resources; systems and infrastructure; organisational structure; and culture. Each section is broken down into several indicators.	capacity in place) on each indicator. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved programme design and implementation; Improved management and mobilisation of money; Improved people management
Mercy Corp NGO Performance Index	Measures organisational capacity across five areas: financial accountability; monitoring, evaluation & reporting; staff performance; training; capacity building	A mix of spot checks and document reviews is used to assess the extent to which an organisation is meeting indicators under each of the main areas	Improved staff performance; improved monitoring, evaluation and learning; improved financial management
One World Trust / Commonwealth foundation – accountability self-assessment	Measures an organisation's accountability across four areas: accountability basics; accountable governance; accountable programmes; accountable resource management. Each area contains several indicators.	For each indicator organisations rate whether they have achieved the descriptor fully, partly, or not at all, or if they don't know.	Improved accountability to beneficiaries
Oxfam GB – Downward accountability matrix	Programme accountability across four areas: feedback mechanisms, information sharing, staff behaviours and attitudes, and participation.	Organisations use the tool to rate themselves across three levels of accountability ('They do what we want', 'Active listening and learning', and 'We do what they want').	Improved accountability to beneficiaries
Open Forum for CSO Development Effectiveness-Enabling Environment Assessment	Measures the enabling environment for development CSOs across five categories: fulfilment of human rights obligations, recognising CSOs as development actors in their own right; democratic political and policy dialogue; accountability and transparency for development; enabling financing.	Across each category there are a number of indicators, for which organisations can assess if the standard is respected or applied, the description of the barrier, the importance of the barrier to CSO development effectiveness, and the likelihood of achieving change through advocacy.	Improved legislation and regulation for CSOs
Pact Building Organisational Networks for Good Governance and Advocacy tool (BONGA)	Measures organisational capacity across five areas: governance and management; financial resources; human resources; external relations; and actual advocacy work. Each area is broken down into a number of subsections and indicators.	For each indicator organisations rate how far they have achieved the descriptor on a scale from 1-6.	Improved capacity to mobilise communities and influence decision makers
Pact Management	Measures management capacity across four areas:	For each indicator the organisation scores themselves	Improved management and

Control Assessment tool	accounting procedures; internal controls; budgeting, reporting, auditing; and policy environment. Each area is divided into subsections and each subsection contains a number of indicators.	from 1 (Never/definitive "no") to 6 (Always/Definitive "yes"/Strong capacity) on whether they achieve the descriptor.	mobilisation of money
Pact Organisation Capacity Assessment (OCA) tool	Measures organisational capacity across a range of indicators (statements of excellence) that are defined by the organisation. These indicators are divided into capacity areas also defined by the organisation- these could include: purpose and planning; programmes and services; governance; organisational sustainability; financial and operational management; human resources; monitoring and evaluation; and networking.	For each statement of excellence the organisation rates itself from 1-7 on the scale of excellence. The importance of each statement of excellence to the organisation is also rated. Discussion activities to explore each capacity area are included with the tool.	Improved governance, leadership and strategy; Improved people management
Pact Rapid Organizational Scan for CSOs Operating in the HIV/AIDS Sector in Malawi	Assesses organisation capacity for organisations in the HIV/AIDS sector in: mission and strategy; financial management; human resources; leadership and governance; accountability; service delivery; care and support; treatment; testing and counselling; prevention; advocacy; capacity building; impact mitigation (which includes the inclusion of PLWHA and the reduction of discrimination). Overall there are 60 indicators.	For each indicator organisations rate if they agree, somewhat agree, or disagree that the descriptor matches their organisation.	Improved mainstreaming of gender, disability and HIV/AIDS
Progressio – Capacity Assessment of Partners	Looks at organisational capacity across three main areas: internal organisation, external relations, and programme activity. Each area contains several indicators: there are 52 overall.	Organisations use the tool to rate themselves from 1-5 on each of the 52 indicators. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved governance, leadership and strategy; Improved programme design and implementation; Improved management and mobilisation of money; Improved people management; Improved external relationships; Improved monitoring, evaluation and learning
Progressio – Participation and Transparency Tool	A CSO's capacity for advocacy and impact of advocacy work across five areas: involvement in government processes on a national level, involvement in corporate structures on a national level, organisational	Organisations use the tool to rate themselves from 1-5 across the five areas.	Improved capacity to mobilise communities and influence decision makers; Improved engagement with

	development, community/constituency building, and engagement with international institutions or corporate sector bodies.		and Influence over decision makers
Progressio Portfolio of evidence	Presents a summary of evidence coming from outside the organisation that advocacy objectives have been achieved and that Progressio and the partner have played a demonstrable role. The portfolio should include a mix of verbal material, written material, legal or treaty material, budgetary material, and media.	Should be used together with the Participatory and Transparency tool to provide evidence to back up the stated changes. A maximum of ten pieces of evidence should be used demonstrate each of the following: outputs, short and medium term outcomes, and long term outcomes and impact.	Improved engagement with and Influence over decision makers
Save the children Advocacy Capacity Assessment	The capacity of CSOs to carry out advocacy across ten key areas: policy analysis and research; long-term strategy; communication and influencing; working in networks; monitoring and evaluation; sustainability; planning and managing; responding to a changing environment; stakeholder participation; public mobilisation.	Organisations use the tool to score themselves from 1-4 and to comment on each advocacy capacity area.	Improved capacity to mobilise communities and influence decision makers
Save the children advocacy measurement tool	A record of advocacy activities including level at which advocacy took place (eg. national/local), what it was advocating for (eg. change in policy, change in budget), level of Save the Children involvement, how advocacy was carried out, results and challenges, and funding and timeframe.	A spreadsheet where information on each question can be stored by programme staff.	Improved engagement with and Influence over decision makers
Tearfund – Capacity self-assessment	Includes three modules: internal organisation, external linkages and projects. Each module is broken down into 12 to 20 key indicators.	An organisation scores itself from 1 (rarely) to 4 (always) on how frequently they achieve each of the indicators. Templates for an action plan and a structure for a workshop sit alongside the tool.	Improved governance, leadership and strategy; Improved programme design and implementation; Improved management and mobilisation of money;
Trocaire – Partner capacity framework (tool is a working draft)	A CSO's capacity and practice in three areas: influence with government, supporting citizen action, and gender equality.	Organisations use the tool to rate themselves on a scale of 1-5 on each area. It is possible to rate organisations as 'high' or 'low' on each step of the scale.	Improved ability to mobilise communities and influence decision makers; Improved engagement with and Influence over decision makers; Improved mainstreaming of gender, disability and HIV/AIDS

USAID Advocacy Index	Measures CSO capacity for advocacy across twelve areas, including planning, resource allocation, coalition building, taking action to influence policy, and organisational management.	Organisations use the tool to rate themselves from 0 (no capacity) to 6 (notable achievement) in each of the twelve capacities for advocacy.	Improved engagement with and Influence over decision makers
VSO – Civil Society Strengthening scale	Looks at a CSO's capacity across four areas: inclusiveness; management and funding; building relationships with and influencing decision makers; and working in networks and coalitions.	Organisations use the tool to rate themselves from 1-4 in each of the four areas.	Improved capacity to mobilise communities and influence decision makers
VSO- Quality scale for HIV and AIDS services	Measures quality of HIV/AIDS services across three areas: integration of services, tailoring of services, and addressing stigma and discrimination.	Organisations use the tool to rate themselves from 1-4 across some or all of the three areas. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved mainstreaming of gender, disability and HIV/AIDS
WaterAid – The Advocacy Scrapbook	Used to log occurrences where an advocacy activity has had an impact and level of the organisation's contribution.	For each impact the activity that led to change, the change objective, desired outcome, level and justification of the organisation's contribution, potential counterfactuals, challenges, learning and source of information are logged in a table.	Improved engagement with and Influence over decision makers
WWF – PPA Capacity Assessment Tool	Looks at organisational capacity across three main areas: internal capacity, external relations, and advocacy and monitoring and evaluation. Each area is broken down into several indicators.	Organisations use the tool to rate themselves from 0-4 on each indicator. Detailed descriptions are given of the stage of the organisation at each level in each indicator.	Improved governance, leadership and strategy; Improved monitoring, evaluation and learning; Improved capacity to mobilise communities and influence decision makers