bond
FOR INTERNATIONAL DEVELOPMENT

Assessing effectiveness in governance and accountability programmes

Thematic paper – 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 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

Table of contents

1. BACKGROUND TO THE IMPROVE IT FRAMEWORK 4

1.1. What is it? 4
1.2. Why are we developing it? 5
1.3. What is the role of this paper in the development of the Improve It Framework? 5
1.4. How has the paper been developed? 6
1.5. How will the process be moving forward? 6

2. EFFECTIVE PROGRAMMES IN GOVERNANCE AND ACCOUNTABILITY 7

2.1. The Domains of Change Framework 7
2.2. Assessing effectiveness in governance and accountability: key considerations 9

3. ASSESSING AND COMMUNICATING EFFECTIVENESS: INDICATORS AND DATA COLLECTION TOOLS FOR GOVERNANCE AND ACCOUNTABILITY 10

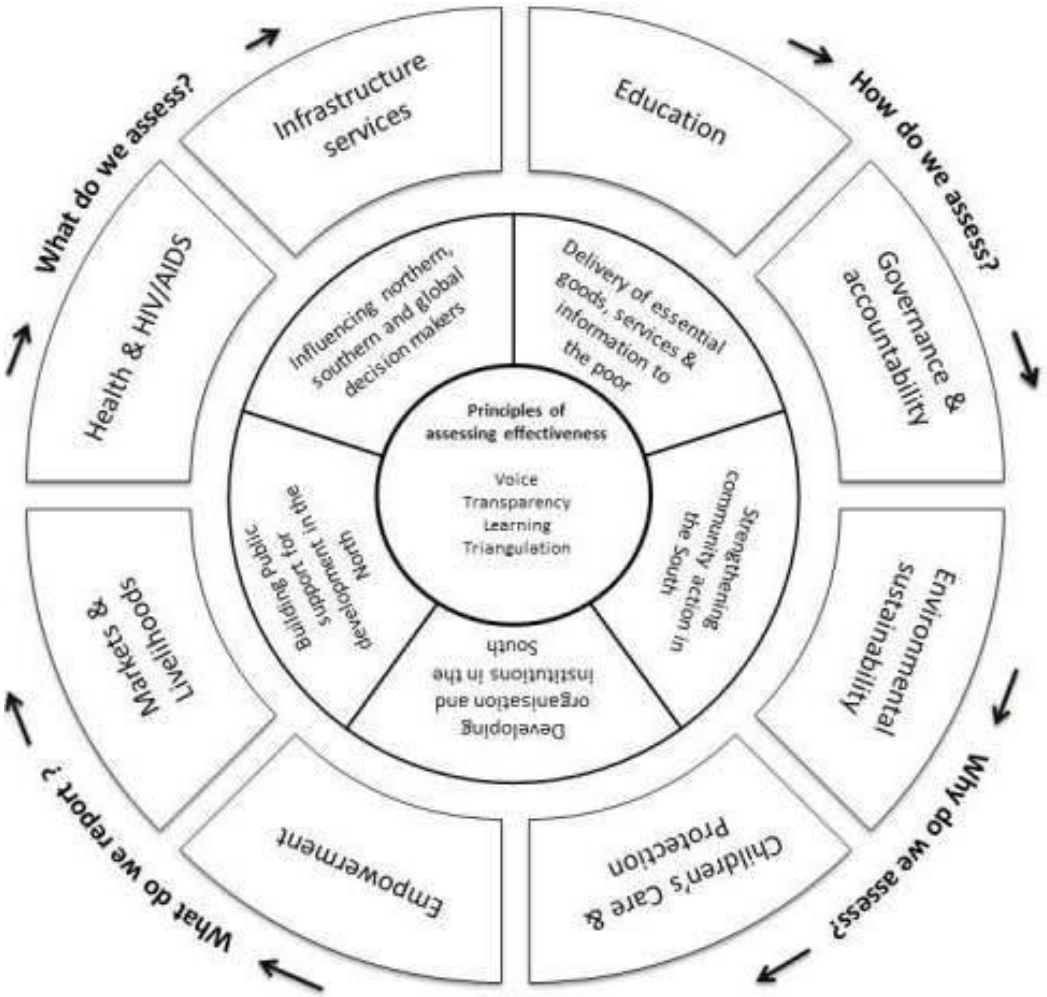
3.1. Table of Indicators and Tools for Domain of Change Framework 10
3.2. Guides to using specific tools 21

1. Background to the Improve It Framework

1.1. What is it?

Since 2008, the Bond Effectiveness Programme has been working to support UK NGOs[1] working in international development to strengthen the rigour and consistency with which they assess and demonstrate their effectiveness. The drivers for this work are twofold. First, to enable organisations to better understand what works within their own contexts. Second, to enable organisations to tell a more robust story of how aid make a difference to the lives of poor and marginalised people – both as individual NGOs and collectively as a sector.

A key part of the Effectiveness Programme is the Improve It Framework. Once completed, the framework will guide organisations in identifying: **what to assess, how to assess and what to communicate.** It will provide the UK NGO sector with a platform for **systematic learning and sharing** on measuring effectiveness; and a **shared framework** reflecting current sector best practice**,** that can be used both by individual organisations and collectively by the sector to tell a more robust story of how aid funds make a difference to the lives of poor and marginalised people.



[1] This includes members of Bond, Nidos (Network for International Development Organisations in Scotland) and CADA (Coalition of Aid and Development Agencies within Northern Ireland.)

The Framework has three interlinked components (see Diagram above):

- **Thematic areas**: these are the long term changes in the lives of poor and marginalised people in the South that UK NGOs seek to contribute to
- **Ways of working**: these are the distinctive strategies and approaches adopted by UK NGOs to contribute to and create an enabling environment for social change in the South
- **Core principles of assessing effectiveness**: these are the key considerations that need to be reflected in any NGO assessment of effectiveness to ensure it supports the development process, generates data that is sufficiently robust and credible, and leads to learning and improvement.

1.2. Why are we developing it?

Improving how NGOs measure and learn from their effectiveness is a sector wide challenge and one that will benefit from greater sector wide coordination and collaboration. The **Improve It Framework is an effort to pool the sectors' collective resources and experiences, develop shared approaches and encourage greater consistency in how NGOs evidence change**.

While individual organisations need to be able to tell a robust story of their contribution to change, the same robust and consistent narrative needs to be built 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 areas of change, encouraging greater convergence of data collection methods, and identifying indicators that while flexible give clarity around what should be measured, will support greater harmonisation in how the sector communicates its added value and evidences its effectiveness.

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**'

1.3. 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 155 people from more than 70 UK NGOs. Bond, NIDOS and CADA members and UK based Comic Relief grantees are engaging through eight thematic task groups. Work started in Jan 2011 and will continue up until June 2012. This paper is an important contribution to the process presenting a **mapping and**

synthesis of how the UK NGOs currently understand change and their approaches to evidencing it in one of the thematic areas: governance and accountability.

The paper is not meant to offer a definitive position. **Its purpose is rather to surface the commonalities in NGO approaches to governance and accountability programmes and offer suggestions and examples of what organisations should be assessing and how.** How the contents of the paper are taken forward and what aspects of it are included in the final Improve It Framework will be decided by the Task Group in discussion with the Bond Effectiveness Programme Team and taken forward in early 2012.

Similar papers have also been written for each of the other seven thematic areas of the Improve It Framework: Education, Children's Protection and Care, Health and HIV, Empowerment, Markets and Livelihoods, Environmental Sustainability and Infrastructure. Alongside these papers work is also being conducted in collaboration with UK NGOs on developing each of the Improve It Frameworks five ways of working and the key principles for assessing effectiveness.

1.4. How has the paper been developed?

Between July and December 2011 Bond staff and consultants from INTRAC, working in close collaboration with task group members, reviewed hundreds of documents submitted by Bond and Nidos members and Comic Relief grantees detailing organisational approaches, frameworks and indicators and tools used to understand and communicate change. Commonalities were identified in how UK NGOs understand effectiveness in each of the themes, the types of changes they worked towards and the supporting outcomes. These were presented as 'Domains of Change Frameworks' (See the Governance and Accountability framework on page 8). The indicators and data collection tools sent in by members were then filtered and mapped onto the outcomes and domains that had been identified for each of the themes (See the indicator tables on page 11).

The draft Domains of Change Frameworks and common indicators were discussed, improved and validated at a consultation workshop in September 2011 with over 70 members from the eight task groups, through written feedback, and through consultation with experts. Based on this feedback, further iterations of the Framework were made. There are currently 188 people from 96 organisations engaging with the development of various aspects of the Improve It framework.

1.5. How will the process be moving forward?

- **Jan– May 2012**: thematic task groups work with Bond to revise and finalise the background papers, agree the Domains of Change Frameworks and identify the indicator and data collection methods to be included in the final Improve It Framework
- **Jan – May 2012**: Consultation with UK NGOs on each of the five ways of working and the development of background papers on assessing effectiveness in each area
- **July** – Launch of the Improve It Framework as an online tool

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2. Effective Programmes in Governance and Accountability

2.1. The Domains of Change Framework

The Domains of Change Framework for Governance and Accountability illustrated on the following page, provides a synthesis of thinking and practice from UK NGOs around how NGOs can make effective contributions to supporting Governments, other public and private institutions, Civil Society and citizens in order to guarantee the realization of human rights in the countries and contexts where they work.

- The **Central Domain (Domain 1)** reflects the top level change to which all programmes in this thematic area should contribute.
- The **Outer Domains (Domains 2- 4)** describe key results which – together - would support the achievement of the higher level changes described in Domain 1.
- For each of the Outer Domains, there is an **menu of outcomes** that would contribute to achieving positive changes in each domain. (Section 3 identifies indicators and tools to collect relevant data for each of these outcomes.)

It is important to note that **these Domains are inter-related and interdependent**. While no one NGO is expected to contribute to changes in all Domains, significant improvements in governance and accountability are only likely to be achieved if positive changes are achieved across all of these areas.

In addition, **the Domains of Change Framework is not meant to be normative and is not attempting to present a single theory of change**. There are countless pathways to achieving the changes reflected in the diagram and these will be informed by an organisation's mission, values, niche and the context in which they are working.

The task of developing a Domains of Change Framework for governance and accountability is challenging. This is because organisations working on these issues are informed by widely differing approaches and theories of change. Some are explicitly political and aim to achieve sustainable changes in power relations; while others approach governance and accountability more as a means to achieving results in other sectors (more transparent education budgets will contribute improved quality of education, for example). Some organisations focus specifically on vertical accountability - holding government and non state actors to account – whilst others adopt more horizontal accountability - equitable citizen representation, and more inclusive spaces for public engagement, for example. Many organisations work across these approaches.

The common areas of focus among UK NGOs that have been surfaced are: improving the capacity of power holders to ensure the rights of all citizens, ensuring that power holders are transparent, responsive and accountable to all citizens, and ensuring that citizens are empowered, organised and active in holding power holders to account. Many programmes pay particular attention to the inclusion of the most marginalised citizens, such as women or youth.

Because of the wide scope of governance and accountability programmes the range of topics reflected in the Domain of Change Framework is extensive. It includes: security and justice, civil society reform; parliamentary support, corruption, human rights, the media and citizen empowerment.

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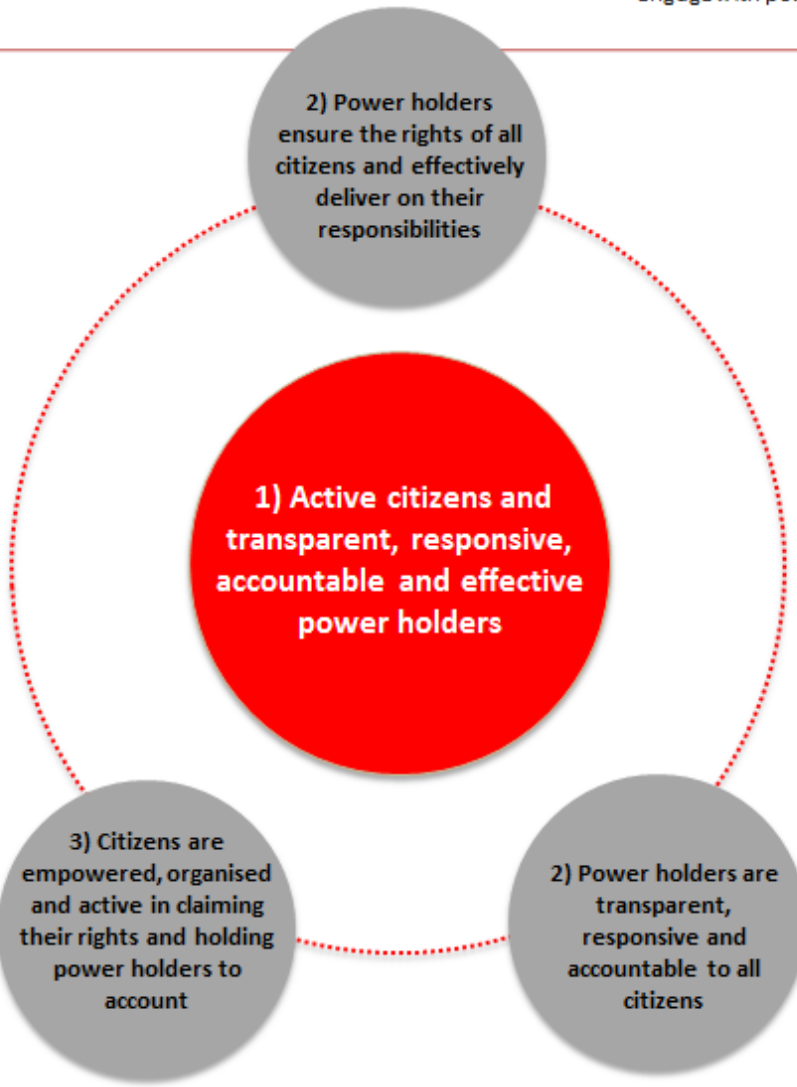
Domains of Change Framework for Governance and Accountability

Outcomes				
a) Power holders deliver high quality services equitably to all citizens	b) Governments manage and allocate resources equitably to all citizens	c) The rule of law is effective and justice is administered equitably and impartially	d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders	e) Power holders effectively fight fraud and corruption



Outcomes
a) Citizens have the capacity and are organised to claim their rights and engage with power holders
b) Citizens are monitoring and making claims of power holders
c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
d) CSOs are representative of and accountable to citizens
e) Alliances and partnerships between actors are string and operating effectively

Outcomes
a) Power holders provide accessible and timely information to citizens
b) Spaces/mechanisms for citizens engagement and dialogue with power holders are created/claimed, expanded and inclusive
c) Power holders are responsive to citizen voices and claims
d) Citizens participate in free and fair elections
e) Power holders have the capacity to be transparent, responsive and accountable to citizens

2.2. Assessing effectiveness in governance and accountability: key considerations

When developing indicators, governance and accountability is a more complex area than some of the other sectors. This is partly because some organisations focus on governance and accountability as a means to an end (e.g. improving education quality by making budgeting more transparent), whilst others see it as an end in itself. For the former it may be enough to focus, at times, on the visible outcomes of improved governance and accountability. However, where governance and accountability are linked to areas such as empowerment, mobilisation and participation, the tools used (and therefore the indicators generated) need to reflect this.

Two particular types of indicators are more evident in the governance and accountability sectors than in other sectors: those depending on expert analysis and observation, such as the views and conclusions of expert observers on the running of free and fair elections); and perceptions of user groups, such as their trust and confidence in the accountability of key institutions. It is important to include tools and indicators that look at perceptions of change in attitudes and relationships. While these may not be very easy to quantify, relationships and attitudes are some of the key elements that governance programmes seeks to affect. This allows for more participatory M&E and enables project participants to make their own assessment of success.

For governance programmes, it can also be useful to allow scope for M&E tools to pick up changes that happen as an effect of the project but were not a direct aim of the project activities. Governance programmes have the potential to have positive spill-over effects into other non-target sectors.

Many of the tools included in this paper are self-assessment tools that an organisation uses to assess its organisational capacity or ability to mobilise and influence others on a scale (eg. the CAFOD Voice and Accountability tool). These tools are designed to be used and discussed in consultation with staff and stakeholders. A score needs to be backed up by verifiable and (where possible) triangulated evidence, which should be recorded alongside the score.

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3. Assessing and communicating effectiveness: indicators and data collection tools for Governance and Accountability

3.1. Table of Indicators and Tools for Domain of Change Framework (for further descriptions of tools and links to some tools see the tools table in section 3.2)

Domain 2: Power holders ensure the rights of all citizens and effectively deliver on their responsibilities	
2a) Power holders deliver high quality equitable services to all citizens	
Indicators	**Tools**
• Increase from x to y in the number and effectiveness of pro-poor policies and programmes with a verifiable contribution from programme activity • % of national budget targeting issue *x* (eg. health/education/food security etc) • Increase from x to Y in the delivery of Government policies and services • Evidence of improvements, worsening or no change in service delivery • # of vulnerable and excluded groups reporting enhanced access to, and satisfaction with, government services and public goods • Description of the geographical spread of services • Level of user satisfaction with services • # and % of services compliant with national/international standards *For more indicators on assessing the quality of services go to the relevant thematic paper (eg. Education, Children's Care and Protection, Health and HIV/AIDS)*	**Score cards/report cards** are used by communities and CSOs to rate government/power holder performance across a range of issues. To assess service delivery communities develop criteria or 'indicators' for services, which are then scored against the indicators. **The Trocaire Access index** measures individuals' access to their rights (including services)
2b) Government manages and allocates resources equitably to all citizens	
Indicators	**Tools**
• Examples of improvements in citizen participation in budgets leading to reduced wastefulness / inefficient expenditure **Transparency and effectiveness in tax collection** • Transparency of taxpayer obligations and liabilities • Effectiveness of measures for taxpayer registration and tax assessment	***Identify tools***

DRAFT

• Effectiveness in collection of tax payments *Identify additional indicators*	
2c) The rule of law is effective and justice is administered equitably and impartially	
Indicators	**Tools**
Legal frameworks in place • # and description of specific judicial precedents set in national, regional or international courts leading to redress of rights, to the tackling of the culture of impunity, to positive legal reforms and changes in practices **Access to justice** • # citizens using primary justice system over the past *x* months • % of citizens who say they have access to (formal/informal) court systems to resolve disputes • # and % cases dropped due to inability to afford costs • # and % of cases using alternative justice systems • Average time for case disposition • # of people reinstated with their rights through formal and informal judicial mechanisms (e.g. widows/ prisoners/ bonded labourers) • Verifiable examples of cases where people have had their rights supported or reinstated **Quality of justice** • # and % of citizens using primary justice system in last year reporting satisfaction with the process • % of vulnerable people and stakeholders (local authorities, civil society, donors) perceiving the rule of law as being 'very effective' or 'effective' • Evidence of improved trust in the formal and customary legal systems by different stakeholders at different government levels	
2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders	
Indicators	**Tools**

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Enabling environment for CSOs • Overall quality of enabling environment for CSOs • Existence of policy and practice allowing freedom of association • Evidence that CSOs are free to engage in advocacy / criticise the government • # of Civil Society Organisations reporting intimidation for pursuing their activities (along with qualitative reports of type of intimidation) • Evidence that governments engage CSOs in the development / review of CSO legislation ***Free and independent media*** • Existence of policy and practice allowing freedom of expression • Degree to which the media is regarded as free • % of media owners that are satisfied with regulatory framework • # and % of citizens with access to the media • # and % of citizens that believe they have access to free media • # and % of citizens satisfied with media quality • Level of trust in State Broadcasting and other media amongst citizens • # and diversity of media outlets (disaggregated by type of media, e.g. newspapers, TV, etc.) • # social and political interests and groups represented by the media • # newspapers, television, radio and internet channels covering a certain issues (eg. corruption, electoral misconduct, political violence stories, etc.) • # and description of incidents where media opposes governments / vested interests	Open Society Forum for CSO development effectiveness: Enabling Environment Assessment, the Civicus Civil Society Index: section 2 (Environment) Media coverage, survey / interviews with media personnel, citizen surveys The media pillar of the Transparency International National Integrity System (NIS) indicators and foundations scalar tool measures the enabling environment for an independent media, media transparency, media accountability, and the level of activity of the media in exposing corruption.

2e) Power holders effectively fight fraud and corruption

Indicators	Tools
Level of corruption • Overall public perceptions of corruption • # and description of reports of corruption at different levels **Action taken**	Transparency International has developed a large number of indices, surveys and barometers that can be used to measure the public's perception of issues around corruption and transparency. The most widely known in the Corruption Perceptions Index.

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• # and description of anti-corruption legislation mechanisms proposed, introduced or implemented • # and description of corruption cases • Existence of an independent anti-corruption body • % of reported cases investigated by anti-corruption body (domestic or international) • % of reported cases lead to prosecution (domestic or international) • Descriptions and results of investigations or prosecutions **Perceptions of corruption** • % targeted citizens who believe government is committed to tackling corruption in public sector • % citizens satisfied with police complaints system (or any other kind of complaints system) • Attitudes of citizens towards corruption in state and non-state institutions	The UNDP Index for measuring responsibility, transparency and accountability at local level measures the existence and functioning of anti-corruption mechanisms in urban planning, financial management and property, and public procurement.

Domain 3: Power holders are transparent, responsive and accountable to all citizens	
3a) Power holders provide accessible and timely information to citizens	
Indicators	**Tools**
Overall levels of transparency • Improvements in a power holders overall levels of transparency (at national level) • Increased public provision of timely, accurate and useful public finance information **Legal framework** • Existence (and implementation) of a right to information law	There are a number of indexes that rate the overall transparency of a particular institution or sector. They can be used for tracking overall changes in transparency: Global Witness, Forest Sector Transparency Report Card, Transparency International National Integrity System (NIS) Open budget index subscore measuring public access to budget information The UNDP paper *A guide to Measuring the Impact of Right to Information Programmes* has useful checklists of questions that can be used to assess Right to Information focussed interventions.

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Capacity to provide information • Existence of a budget set aside for implementation • # of officials trained in the right to information legislation **Access to information** • # and description of requests for information made • # and description of cases where sought information was not made available • # appeals against refusals to provide information • # and % of lobby groups/CSOs/media/political parties stating they have accessed voting records/debate information/parliamentary information in the past x months • % citizens who are successful in their attempt to secure access to government information • Description of perceived barriers to acquiring government information • Evidence that official information is provided in accessible forms (eg. % of publicly available government information that is accessible in local/ethnic minority languages) **Amount of information published** • Increase from x to y of number of key information documents available to the media and public in a timely manner throughout the budget/policy cycle over *z* years • # and % of local, district, and national government bodies that publish xx type of information (eg. budgetary information), or make it available in other ways	
3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are claimed/created, expanded and inclusive	
Indicators	**Tools**
Overall level of CSO participation in decision making • Improvements in the level of CSO participation in government / corporate decision making ***Specific mechanisms/spaces exist*** • # and description of new institutionalised spaces and mechanisms for citizens to engage and participate in local, district and national policy development, planning and budgeting • # and description of citizen monitoring mechanisms in place at a local, district and national level (e.g. budget monitoring mechanisms) • # of (and degree of public participation in) community meetings facilitated by government or non-government service providers to enable feedback / complaints to	A number of self-assessment tools exist that can be used to rate the level of CSO engagement in government decision making on an evolving scale: CAFOD Voice and Accountability tool, Trocaire Partner Capacity Framework, Progressio Participation and Transparency Tool, the WWF core level of engagement tool, the democratic and political space ladder

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be heard • # CSOs consulted on policy development, plans or budgets • # of requests for organisation XX to contribute to a policy processes ***Mechanisms/spaces are being used*** • # and range of CBO/CSO/networks involved local, district and national policy development, planning and budgeting • # and range of government officials engaging with citizens through spaces / mechanisms • # and % of local, district and national bodies with increased involvement of citizens in policy development, planning and budgeting ***Quality of the mechanism/space*** • Evidence that mechanism/space is accessible to and is involving marginalised groups • Evidence that citizens / CSOs are involved in shaping what is discussed at meetings • Satisfaction of those engaging with the process/space/mechanism, both government and citizens/CSOs • Frequency and quality of meetings between marginalized groups and relevant authorities • # and % of CSOs stating they benefit from constructive engagement with decision makers • Satisfaction levels with the relationship with decision makers • # of CSOs / networks reporting improved relationship with decision makers	
3c) Power holders are responsive to citizen claims	
Indicators	**Tools**
Responsiveness at the local level to communities/CBOs • # of projects with evidence of positive response to specific claim • # cases supported with successful resolution • # government plans / budgets that reflect expressed community priorities • Evidence that issues raised by community are receiving positive response • # of community priorities accepted and implemented by government • # and description of complaints dealt with by x within x months • # and description of cases where monitoring results increased implementation of existing government commitments • Examples of improvements in citizen participation in budgets leading to reduced wastefulness / inefficient expenditure	

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Responsiveness at national level to CSO/CBO advocacy • # and description of policy changes with a verifiable contribution by [organisation XX] to the change • Improvements in the level of CSO engagement and influence on policy and practice • # and description of policy changes with a verifiable contribution by CSO to the change • Evidence that CSO research is being used by decisions makers • Evidence that language of CSOs is being used by decision makers • # times CSOs invited by power holders to contribute to policy discussions • Evidence of power holders supporting an issue in public	A number of self-assessment tools exist that can be used to rate the level of CSO engagement in and influence on decision making on an evolving scale: CAFOD Voice and Accountability tool, Trocaire Partner Capacity Framework, Progressio Participation and Transparency Tool, VSO Advocacy Success scale, The WWF Commitment and Action tool, the Transparency International policy scale. WaterAid's Advocacy Scrapbook, Progressio Portfolio of Evidence, Save the Children advocacy measurement tool

3d) Citizens participate in free and fair elections

Indicators	Tools
Participation in elections • # and % people aware of how to vote • # and % of people registered to vote in elections • % of different groups registered to vote (e.g. sex, ethnicity, marginalised people) • # and % voter turnout **Quality of elections** • Views and conclusions of external observers on the running of free and fair elections • # and % voters declaring they were satisfied with the voting experience • % citizens who trust electoral process as means of legitimizing power	

3e) Power holders have the capacity to be transparent, responsive and accountable to citizens

Indicators	Tools
Indicators	Tools

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Domain 4: **Citizens are empowered, organised and active in claiming their rights and holding power holders to account**	
4a) Citizens have the capacity and are organised to claim their rights and engage with power holders	
Indicators	**Tools**
Citizens are aware of their rights and how to engage with power holders • % of marginalised people that have a specific level of awareness of a specific right	Trocaire Awareness index - self-assessment tool that individuals use to rate themselves using a 1-5 scale on how much they know about a particular rights, how much they know about a particular duty bearer and how important particular rights are to them at the moment
• # or % of community that know how to raise issue of concern with the authorities	GTF rights claiming score card – communities' rate themselves on a scale of 1-5 on the extent to which they know how to raise a concern with the authorities
• # or % of community members who can identify how they can access information about local, district and regional government policies, plans and budgets • # or % of community members who can describe the core content of local, district and regional government policies, plans and budgets around issue X • # or % of citizens who can describe # of methods for contacting local, district and national government	
Scale of citizen organising • # and % of people that have come together as a group to take action about common issues of concern	GTF rights claiming score card: communities' rate themselves on a scale of 1-5 on the extent to which they have come together as a group to take action about common issues of concern.
• # and range of functioning CBOs/ self-help groups • # of groups established that are focused on claiming rights	
Capacity of communities to organise and take action • Improved capacity among Community based organisations in areas defined by them as **priority**	Trocaire CBO capacity framework is a self-assessment tool for CBOs to rate their current levels of capacity on a 1-5 scale
• # of CBOs developing action plans for influencing power holders • # communities using action plans to advocate on issues of concern to local authorities	
4b) Citizens are monitoring and making claims of power holders	
Indicators	**Tools**

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Scale of claims / monitoring • % of marginalised groups that engage in specific types of action, including collective action • # people/communities/groups monitoring government policies, plans and budgets • # and description of actions and cases people take to be reinstated with their rights through the use of formal and traditional legal and non-legal redress mechanisms **Quality of claims / monitoring** • # and description of claims which present clear recommendations / demands • # of CBOs developing clear claims • # or % of communities which state that they follow up with and challenge authorities if they do not receive a response to issues raised	Trociare Action Analysis tool – self-assessment tool that individuals use to rate themselves based on if they undertook a specific type of action in their community in past 6 month GTF rights claiming score card – communities rate themselves on a scale of 1-5 on the extent to which they would follow up if they raised an issue with the authorities and they didn't respond
4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders	
Indicators	**Tools**
CSOs supporting citizen action • Improved level of representation of people that are poor and marginalised by CSOs **Influence of CSO advocacy** • Improved CSO engagement with and influence over government processes • Improved CSO engagement with and influence over corporate actors • # and description of policy changes with a verifiable contribution by CSO to the change • Evidence that CSO research is being used by decisions makers • Evidence that language of CSO being used by decision makers • # times CSOs invited by power holders to contribute to policy discussions • Evidence of power holders supporting an issue in public **Capacity of CSOs to undertake advocacy** • CSOs demonstrate improvements in their capacity to engage with power holders	CAFOD Voice and Accountability Tool, Progresso Participation and Transparency, Trocaire Partner Capacity Framework Trocaire Partner Capacity Framework, CAFOD Voice and Accountability Tool, Progresso Participation and Transparency, VSO Advocacy Success scale, the WWF Commitment and Action tool, the Transparency International policy scale CAFOD Voice and Accountability Tool, Progressio Participation and Transparency WaterAid's Advocacy Scrapbook, Progressio Portfolio of Evidence, Save the Children's advocacy measurement tool A number of self-assessment tools exist for rating the level of a CSOs advocacy capacity: Save the children UK advocacy capacity assessment , Bond effectiveness self-assessment, Ecumenical Advocacy Alliance Evaluating

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	advocacy planning tool , CAFOD Voice and Accountability tool (strategic advocacy dimension), VSO civil society strengthening scale, USAID Advocacy Index
4d) CSOs are representative of and accountable to citizens	
Indicators	**Tools**
Overall level of accountability • # CSOs that achieve minimum accountability standards • # or % of CSOs demonstrating improvements in their accountability to communities • Improved level of representation of people that are poor and marginalised in CSO advocacy **Existence of accountability mechanisms/practice** • # or % of beneficiaries on decision making bodies for CSOs • # and description of complaints dealt with by CSOs within x months • # CSOs that have complaints procedures in place	CAFOD minimum standards of accountability – 12 questions that are answered with either: 'in place', 'partially done' or 'not in place' A number of self-assessment tools exist that can be used assess levels of accountability to communities.: Oxfam GB downward accountability matrix, the Listen First methodology, Bond Organisational Health Check CAFOD Voice and Accountability Tool, Progresso Participation and Transparency, Trocaire Partner Capacity Framework
4e) Alliances and partnerships between actors are strong and operating effectively	
Indicators	**Tools**
Existence of alliances /partnerships • # and range of civil society movements, networks and alliances • # constituencies represented by members of civil society movements, networks and alliances • # members of civil society movements, networks and alliances • # NGOs publicly recognising, supporting and voicing the ideas of CSO X ***Capacity of alliances/partnerships*** • Improved capacity of alliance/network to coordinate and deliver collective action ***Quality of alliances/partnerships*** • # agreed shared positions, objectives and work plans • # of joint actions by civil society movements, networks and alliances	HIV/AIDS Alliance network capacity assessment tool, VicHealth partnership analysis tool

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• % network/alliance members satisfied with joint activities, information sharing / decision making	

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3.2. Guides to using specific tools

Tool	What does it cover	What kind of tool is it	Which Improve It outcomes can it measure
Bond Organisational Health Check– working with beneficiaries and influencing decisions makers pillars	Organisational capacity to work with beneficiaries in an accountable way and organisational capacity for influencing decision makers.	Organisations use the tool to rate themselves from 1-5 across a set of key indicators in each pillar.	4d) CSOs are representative of and accountable to citizens;
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'	4d) CSOs are representative of and accountable to citizens;
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.	3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are claimed/created, expanded and inclusive; 3c) Power holders are responsive to citizen claims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
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.	2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders
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.	4d) CSOs are representative of and accountable to citizens;
Democratic and Political space ladder	The level of participation of CSOs in political decision making. Can be used to measure the progress of an individual CSO or with groups of CSOs to measure the local/national level of engagement with CSOs.	Identifies nine escalating levels of participation. Organisations identify which level of participation they are at.	3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are claimed/created, expanded

DRAFT

			and inclusive;
Ecumenical Advocacy Alliance Evaluating advocacy planning tool	CSO capacity to plan advocacy across six capacities: problem analysis; situation analysis; policy context analysis; stakeholder analysis and targets; SWOT analysis; theory of change, objectives and strategy.	Organisations use the tool to rate themselves from 1-4 on four indicators in each of the planning capacity. The average scores for each capacity are then mapped onto a spidergram.	4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
Global Witness Forest Sector Transparency Report Card	Assesses 70 transparency indicators across 15 themes ranging from 'Are forest land use/ownership maps available' to 'Are logging contracts made public' and 'Is there a freedom of information act'. Whilst this is specific to forestry, a similar tool could be used for other sectors.	The tool asks for 'yes' or 'no' answers for each indicator which are supported by evidence and comment. A traffic light system (Red, Amber, Green) is used to score each of the themes. It is repeated every year and changes are analysed.	3a) Power holders provide accessible and timely information to citizens
Governance and Transparency Fund (GTF) rights claiming score card	Measures the way in which citizens and CSOs are taking action to claim their rights, and the level of responsiveness to their activities from power holders.	Project participants choose which of five statements best reflect their level of activity/level of response from power holders for seven questions.	4a) Citizens have the capacity and are organised to claim their rights and engage with power holders; 4b) Citizens are monitoring and making claims of power holders
HIV/AIDS Alliance- Network capacity analysis	Assesses the strength of networks across six areas: involvement and accountability, leadership, knowledge and skills, internal communication, advocacy and external communication, and management and finance.	Organisations use the tool to rate themselves from 1-4, and which prompts organisations to identify action points and the resources needed to take action.	4d) Alliance and partnerships between actors are strong and operating effectively
Media tracking	Measures the media coverage of a particular issue and can determine, for example, how issues are framed in the media, the sources reporters use, and where coverage appears (eg. on the front page versus elsewhere).	Typically media tracking uses an online database like LexisNexis to gather media output for analysis. LexisNexis is a news-tracking service that offers one of the world's largest searchable databases of content from national, state, and local print and broadcast media. Content analysis then has to be done on the media articles.	2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders
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	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	2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders

DRAFT

	development; enabling financing.	development effectiveness, and the likelihood of achieving change through advocacy.	
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').	4d) CSOs are representative of and accountable to citizens;
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 development, community/constituency building, and engagement with international institutions or corporate sector bodies.	Organisations use the tool to rate themselves from 1-5 across the five areas.	3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are daimed/created, expanded and inclusive; 3c) Power holders are responsive to citizen daims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
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.	3c) Power holders are responsive to citizen daims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
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.	4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
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	A spreadsheet where information on each question can be stored by programme staff.	3c) Power holders are responsive to citizen daims; 4c) CSOs have the capacity and are effective in supporting citizen

DRAFT

	budget), level of Save the Children involvement, how advocacy was carried out, results and challenges, and funding and timeframe.		action and influencing power holders
Transparency International – Policy scale	Identifies seven stages of policy changes (no change, change in discourse, policy development, policy adoptions, implementation, enforcement, change in culture), and the indicators that provide evidence of policy change at each level.	Used to rate the stage of policy or practice change currently occurring.	3c) Power holders are responsive to citizen claims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
Transparency International National Integrity Systems Indicators and Foundations tool	Measures the enabling environment for an independent media, media transparency, media accountability, and the level of activity of the media in exposing corruption.	A tool that rates the media on a scale of 1 to 5 across 13 indicators, with guiding questions to enable scoring. The tool looks at the state of the media nationally, rather than individual media outlets.	2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders
Trocaire – Access index (tool is a working draft)	Individuals' access to their rights, whether access to rights has improved or worsened, and how it access could improve.	For two questions (eg. Is it getting easier or harder for you to get these rights, compared to last year) the individual chooses the statement from a scale of five statements which best represents their response. For two questions the individual gives open ended responses.	2a) Power holders deliver high quality equitable services to all citizens
Trocaire – Action analysis tool (tool is a working draft)	The likelihood that individuals will take action on a particular issue in six different ways (discussing the issue informally with family/friends/neighbours, discussing the issues with a community group/organisation, discussing the issues with local authorities/political party, contact with the duty bearer directly, join in with organised actions, play an active role in a group/organisation working on these issues).	Individuals rate on a scale of 1-5 the likelihood they will engage in a particular action, and indicate whether they have taken this action in the past six months.	4b) Citizens are monitoring and making claims of power holders
Trocaire – Awareness index (tool is a working draft)	Individuals' awareness of their rights, their knowledge of the role of duty bearers, and the salience of these rights for individuals.	For each question the individual chooses the statement from a scale of five statements which best represents their response.	4a) Citizens have the capacity and are organised to claim their rights and engage with power holders
Trocaire – CBO capacity framework (tool is a working draft)	The capacity of community based organisations (CBOs) across three dimensions (eg. gender and inclusiveness, influencing, and management). These	Organisations use the tool to score themselves on a scale of 0-2 on their performance across a number of indicators,	4a) Citizens have the capacity and are organised to claim their rights and engage with

DRAFT

	dimensions should be adapted based on the local context.	for instance the number of women included in committees, in each of the capacity dimensions.	power holders
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.	3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are claimed/created, expanded and inclusive; 3c) Power holders are responsive to citizen claims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
UNDP Guide to measuring the impact of right to information programmes	Measures the impact of right to information programmes across four areas: the legal regime for the right to information; implementation of right to information legislation by government; use of the right to information by the general public and civil society; use of the right to information by marginalised groups	The tool provides tick lists of questions and example indicators that can be used to assess each of the four areas.	2d) An enabling legislative and regulatory environment exists for citizens and CSOs to organise, claim rights and engage with power holders
UNDP Index for measuring responsibility, transparency and accountability at local level	Measures the existence and functioning of anti-corruption mechanisms in urban planning, financial management and property, and public procurement.	Provides lists of 'critical points' of corruption in each area, the anticorruption mechanism for addressing each critical point, and the indicators and scoring guide for measuring the performance of the anti-corruption mechanisms.	2e) Power holders effectively fight fraud and corruption
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.	4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
VicHealth partnerships analysis tool	Maps partnerships and assesses the strength of partnerships. The mapping uses a partnership continuum which covers four types of relationship: networking, coordinating, cooperating, and collaborating. The scoring exercise scores partnerships across a number of indicators divided into seven key	The tool uses a mapping exercise to define the types of relationships between partners, and a self-assessment tool which organisations use to rate the quality of their partnerships from 1-5 across a number of indicators.	4d) Alliance and partnerships between actors are strong and operating effectively

DRAFT

	criteria for partnership success.		
VSO – Advocacy Success scale	Key inputs and outputs that can be measured at each of the different stages of advocacy work, through from planning to policy change.	The tool identifies eight stages of successful advocacy work and two or three key inputs and outputs that can be measured at each stage.	3c) Power holders are responsive to citizen claims
VSO – Civil Society Strengthening scale- output 2 on capacity for advocacy work	A CSO's capacity for advocacy work in four areas, two internal (inclusivity and accountability, and financial and human resources), and two external (relationship building, and working in networks and coalitions).	Organisations use the tool to rate themselves from 1-4 in each of the four areas.	4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
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.	3c) Power holders are responsive to citizen claims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
WWF- Commitment and Action Tool	Used to measure the extent to which targeted actors/institutions have: engaged in, adopted and/or implemented policies or practices.	Targeted actors/institutions are rated on a scale of 0 (passive) to 5 (Impact) on their level of commitment and action on changing policy and practice. Examples are given of the types of commitments/actions that can be expected to be seen at each level.	3c) Power holders are responsive to citizen claims; 4c) CSOs have the capacity and are effective in supporting citizen action and influencing power holders
WWF- Core Level of Engagement tool	Measures the extent to which organisations are able to raise the profile of a particular policy/practice issue through a process which leads ultimately to more regular and focussed dialogue with key targeted actors/organisations.	The level of engagement between the organisation and the key targeted actor is rated on a scale from 0 (no tangible engagement with partners or influential actors) to 4 (changing rhetoric and deeper, more regular formal dialogue/exchange on issue). Examples are given of the type of interaction and behaviours that can be expected to be seen at each level.	3b) Spaces /mechanisms for citizens engagement and dialogue with power holders are claimed/created, expanded and inclusive;

DRAFT