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Civil Society Organizations in Ukraine: The State and Dynamics

2002-2011

CCC Creative Center
Ukraine, Kyiv
2013

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This publication presents the results of the annual survey of Ukrainian civil society organizations (CSOs) conducted in May 2012. The major goal of the survey was to observe the capacity of Ukrainian CSOs for sustainable development during 2002-2011. Also, the publication presents the dynamics of CSO activity during last ten years (2002-2011).

Acknowledgements

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We would like to thank all 651 CSOs representatives for investing their time in the survey and for sharing knowledge and information about their organizations and experiences in the CSO field. Our special appreciation goes to those CSOs representatives who have taken part in the surveys since 2002.

The regional coordinators of the survey, CCC and other NGOs representatives, successfully gathered information during the field phase. Without their knowledge and expertise this survey would not have been as complete and as professional as it is. We would like to thank all CCC staff and volunteers who have contributed their time and efforts to the successful completion of the survey.

Most importantly, this survey and publication would not be possible without the financial support of the UNITER Project funded by USAID and implemented by Pact, Inc.

List of Abbreviations

NGO – Non-governmental Organization

CSO – Civil Society Organization

CCC – CCC Creative Center Charitable Foundation

INTRAC – The International NGO Training and Research Centre, UK

ISC – The Institute for Sustainable Communities, USA

USAID – The United States Agency for International Development

UNITER – The Ukraine National Initiatives to Enhance Reforms

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Executive Summary

The CCC Creative Center has been surveying the state and dynamics of the Ukrainian civil society organizations since 2002. The purpose of this study was to determine the level of development of the Ukrainian CSOs. The study had the following objectives: 1) to define the capacity of CSOs; 2) to review external communication the organizations had including interaction with public authorities, mass media, communities and other CSOs; 3) to review the overall programme activities of the organizations; 4) to evaluate the advocacy capacity of the organizations; 5) to identify the CSOs' legitimacy; 6) to assess CSOs' engagement in networks/coalitions; 7) to follow the dynamics/progress of the CSOs over the last ten years (2002-2011) in the above-mentioned areas and specify development trends observed.

During 2002-2011 the number of survey **participants** varied between 560 and 637 Ukrainian NGOs. The majority of 637 respondents (58%) surveyed in 2012 had participated in the survey at least once during previous years. The respondents have an equal representation of administrative-territorial units of Ukraine, in particular, 24 oblasts, the Autonomous Republic of Crimea and the city of Kyiv. The majority of people surveyed during 2002-2011 (72%) were registered in the period of 2000-2004 or after 2005. The following trend has been observed in the division of **registration types** over the course of the last years: the majority of polled organizations (88%) are registered as non-governmental organizations and only 12% of organizations are registered as charitable foundations. Over the last ten years the most popular **areas** among the Ukrainian CSOs have included *children and youth, human rights, civic education and social issues*. The principle **activities** such as *advocacy and lobbying, trainings and consultations and information sharing* have remained unchanged. The main **customers** of CSOs have not changed either; they are *youth, children and members of the organizations, general public and CSOs*. Over the course of the study a remarkable increase of NGOs that have their own **website** has been observed. For instance, in 2011 41% of polled organizations commented that they had their own Internet-resource and back in 2002 only 12% of CSOs had it available.

Organizational capacity or internal capacity “to exist”. The availability of a **mission statement** in a written form remains strong in the organizations in 2011. However, it is much lower when compared to the previous years' findings (79% in 2011 and 89% back in 2002). The main **reasons for creating** an organization also remain the same, in particular, to have *a possibility to influence the society development and a desire to help other people*. Over the course of the last ten years the number of CSOs that had a **strategic plan** has decreased, in particular

it was 75% back in 2002 and only 54% in 2011. The large number of organizations has strategic plans developed for *three, more years or just one year*. There is a growing trend toward fewer CSOs that have **permanent staff**; in particular, there were 64% of organizations back in 2002 and 45% of organizations in 2011. In 2011 an average Ukrainian organization had **4 regular employees** (6 regular employees working in a charitable foundation and 3 regular employees in a civil society organization). In 2006 the CSOs employed **6 regular people** on average. It should be noted that the number of organizations that worked with **volunteers** has decreased over the last ten years, in particular, from 78% back in 2002 to 69% in 2011. The Ukrainian organizations have started to involve students and service beneficiaries more actively in **volunteering**. The majority of CSOs have necessary **material resources** to ensure smooth operations. The number of organizations that had computer equipment, access to the Internet, fax, telephone, copying machine and rented office facilities noticeably increased between 2002 and 2011. However, the number of CSOs that had received office facilities free of charge decreased.

The sources of funding have not changed. The Ukrainian organizations mostly receive finance from international donor organizations and charitable contributions from business and people. Between 2002 and 2011 the number of organizations that received **funding** from the below listed sources decreased as follows: international donors (from 69% in 2002 to 56% in 2011), own economic activities (from 30% back in 2002 to 09% in 2011), grants provided by the local organizations (from 22% in 2002 to 13% in 2011), support from the public budget (from 36% in 2002 to 21% in 2011). But the number of organizations that generated funding thanks to membership dues and charitable contributions has increased from 28% in 2002 to 33% in 2011 and from 22% in 2002 to 38% in 2011 respectively. For the last ten years there has been a trend toward a decrease of charitable contributions from business in the **CSO's budget**, in particular, from 20% in 2002 to 13% in 2011 and an increase of grants' share provided by the international organizations, in particular, from 35% in 2002 to 45% in 2011. At the same time the percentage of CSOs that have a fundraising plan has dropped from 38% back in 2003 to 32% in 2011.

External relations or capacity of an organization to coexist. There is a trend toward a decrease of **cooperation** between various CSOs in the period of 2003-2011. The most popular **types of cooperation** include service delivery, partnership projects and consultations. The majority of CSOs still perceives business as a funding source solely. However, in the period of 2002-2011 there was a continuous upward trend in growth of CSOs that cooperated with business and had partner relations with business, in particular from 37% in 2007 to 54% in 2011. When compared to 2002 more CSOs have started **to share in-**

formation via own websites or websites of other CSOs. This trend can be linked to an increased number of organizations that have their own website. CSOs have regular interaction with **public authorities** and for the most part both parties are interested in cooperation (58% in 2011). If compared to previous years in 2011 public authorities were less reluctant to cooperate with CSOs as supported by the comments of fewer respondents who mentioned unwillingness of public authorities to cooperate with the CSOs (from 47% back in 2007 to 41% in 2011). Half of polled organizations believe that CSOs and public authorities have common goals but different ways of achieving them, **in other words their activities complement each other**. Each fourth polled person thinks that CSOs and public authorities **clash**, only 16% of CSOs comment that CSOs and public authorities have common goals and ways of achieving them (**in other words, they coordinate their actions**) and fewer respondents (in particular by 4% thus making it 12%) think that CSOs and public authorities have different goals but same ways of achieving them (**in other words, public authorities use CSOs to pursue their own ends**).

Programme activities. The number of **completed projects** has not drastically changed over the course of ten years. Around 19% of organizations carried out more than 5 projects between 2002 and 2011, 17% of CSOs implemented 4-5 projects in 2002 and 20% of CSOs in 2011, 53% of respondents completed 1-3 projects in 2002 and 54% of respondents in 2011. For the last ten years CSOs have increased their awareness about the importance of transparent financial management. However, there is a downward trend when it comes to number of organizations that have had **an audit** (from 52% in 2009 to 23% in 2011). The number of organizations that conduct **needs assessment of their target groups** increased between 2002 and 2011 (from 89% in 2002 to 93% in 2011). The number of CSOs that **evaluate their projects and programmes** decreased between 2002 and 2011, in particular, from 85% in 2002 to 70% in 2011. There is a strong trend toward an increase of CSOs that prepare **annual reports** about their activities, in particular, from 37% in 2002 to 54% in 2011.

In addition to the internal, external and programme review of CSOs the CCC looks at four indexes of organizational activities. The findings of these index assessments are listed below.

Ukrainian CSOs Capacity Building Index. The average score of the capacity building index in 2011 (0.57 out of 1 respectively) demonstrates that the overall capacity of Ukrainian CSOs is at the average level and in general CSOs have management standards in place. By and large the non-governmental organizations have good governance/management procedures as well as fundraising routines. But one can mention that the governing bodies are not the most effective one, the strategic management procedures have to be improved,

the staff is engaged in decision making but not on a regular basis, fundraising is for the most part sporadic. In the period of 2002-2011 the index varied between 0.58 in 2002 and 0.53 in 2007 and 0.57 in 2011. This is an indication of a slight decrease in the level of organizational capacity building among the Ukrainian CSOs.

Ukrainian CSOs Advocacy Index. The advocacy index of the Ukrainian CSOs is above average and it amounts to 3.37 in 2011 (with 5 being the maximum score). This index has significantly increased between 2002 and 2011, in particular, it has grown from 2.28 in 2001 to 3.37 in 2011. Advocacy is one of the most popular areas the Ukrainian CSOs are active in. The weakest side of the index is the definition and protection of the developed stand, whereas the strongest side is the collection of information and preparation of the agenda/development of issues in focus of an advocacy campaign.

Ukrainian CSOs Participation in Coalitions and Networks Index. The participation in coalitions and networks index of the Ukrainian CSOs is below average and it amounted to 0.40 in 2011 (with 1 being the maximum score). This index has significantly decreased when compared to the past years' indicators, in particular, it was 0.71 in 2009 and 0.40 in 2011. It can be explained by the decreased level of cooperation between various CSOs. The majority of polled organizations are members of two coalitions. Information sharing, joint activities, meetings and consultations are the most popular types of cooperation.

Ukrainian CSOs Legitimacy Index. The legitimacy index of the Ukrainian CSOs is above average and it amounted to 0.58 in 2011 (with 1 being the maximum score). This index is not stable and it varies depending on the year, in particular, it was 0.67 in 2009 and 0.58 in 2011. The findings of the study have demonstrated that the majority of polled CSOs have at least one representative of the organizations' target group in the collective body. The majority of organizations conducts needs assessments among their target groups, perform evaluations of their projects and programmes and have mechanisms to ensure feedback of their clients. The engagement of organizations' customers in programme activities has remained the weakest part of the index throughout the years.

Introduction

In June 2012, CCC Creative Center conducted an annual poll of active civil society organizations in Ukraine. This research has been carried out annually for the last eight years. Polling was accomplished using a single filling method that required respondents to complete a personal questionnaire under supervision and support of regional coordinators.

The goal of the survey in 2012 was to define the level of Ukrainian CSO development according to the main principles of sustainable development. The Ukrainian CSO sector was the primary object of the research. The research subject was the development of CSO sector of Ukraine.

That was evaluated according to the following sustainability criteria: a level of organizational capacity; external CSO (cooperation with government, businesses, mass media, communities and other CSO); efficiency of program related activities. Also, level of CSO advocacy capacity and efficiency in representing and protecting public interests; diversity of CSO funding sources; level of CSO professionalism; degree of familiarity of CSO related legislation and the use of ethical norms in CSO activity.

The organizations whose leaders participated in the research were selected from all of Ukraine's oblasts, the Autonomous Republic of Crimea, and Kyiv. In 2010 the poll was financed by the UNITER project.

The current report summarizes the findings from the 2010 annual survey of a sample of CSOs operating in Ukraine and tracks changes in Ukrainian CSO development over the period of 2002-2011. Additionally, the report includes a problem and needs analysis of Ukrainian CSOs, a study of regional trends in the Ukrainian third sector.

This report consists of four parts and an appendix. Part I contains information about the survey goal, tasks, subject, and target group, a description of the questionnaire used for interviewing CSO leaders, a sample description of CSOs in terms of the date and method of their registration, the sectors and types of activities performed, the CSO client base, and the availability of an organizational website.

The second part of the publication consists of three chapters based on sections of the Model for Sustainable Development. They are: the internal capacity of civil society organizations, the external relations of CSOs, and CSO program activity.

The third section provides result of CSO activity according to four index: the Organizational Capacity Index, the Advocacy Index, the Coalitions/Network Index, and Legitimacy Index.

The fourth part of the report presents conclusions with regards to changes that have been observed in CSOs from 2002 to 2011.

The appendix contains the questionnaire used for researching CSOs development in 2011.

The report may be of interest to CSO leaders, government officials working in the public sector, business representatives involved in the development of social policy programs, academics and experts, representatives of donor agencies, and international consultants involved in civil society development.

Part I.

Foundations of the Survey

The first part of the report covers the research methodology. Part I contains information about the goal, tasks, subject and target group of the survey, a description of the questionnaire used for interviewing CSO leaders, a sample description, and peculiarities of survey administration. The second part, under the title “Survey Respondents,” provides description of the organizations that were interviewed in terms of the date and form of their registration, the sectors, types of activities performed, the client base, and the availability of a personal website for the organization.

1. Methodology of the Survey

1.1. The purpose, tasks, subject, and object of the research

Since 1997, the CCC Creative Center has conducted research on the needs and development of non-governmental organizations in Ukraine. This research was originally conducted within the framework of the Ukraine Citizen Action Network Program (UCAN) from 2002 to 2007. The research on NGO development was not conducted in 2008. In 2009, 2010 and 2012 research were conducted within the framework of the project implemented by “*Ukraine National Initiatives to Enhance Reform*” PACT, Inc. (USA) with the USAID support. The participants of the last polling period were organizations which had taken part in the previous seven surveys as well as new organizations in order to satisfy the methodological requirements of the research. Thus, the research can be considered to be panel research.

The goal of the research was to define the level of CSO sector development in Ukraine¹.

Within the framework of the present research, the following **objectives** were implemented:

- ✓ To define the level of CSO organizational capacity
- ✓ To define the external relations of these organizations (including their cooperation with government, business, mass media, communities, and other CSOs)
- ✓ To define the efficiency of their program activities
- ✓ To define the level of CSO capacity and efficiency in the area of representation and protection of public interests
- ✓ To define the level of CSO legitimacy
- ✓ To define the level of CSO participation in coalitions/networks
- ✓ To define the trends in CSO activities for the last ten years (2002-2011) in the above areas

The subject of the research was the development of the CSO sector in Ukraine

The object of the research is sector of the most active CSOs in Ukraine. According to the tasks of the research, a civil society organization is considered as a unit of analyst. The sources of the information for each CSO were the representatives of this organization, who had all information on its activities (these were the Head of the CSO or his/her Deputy), possessed information about the development of the CSO sector in general, and had knowledge of the legal framework which regulates the activities of the CSO sector in Ukraine.

¹ For the purposes of this research, CSOs are defined as the independent organizations representing the interests of Ukrainian citizens in order to create opportunities for the active participation of each person concerned in the development of strong and prosperous Ukraine. This definition includes non-governmental organizations (Law of Ukraine “On Associations of Citizens”) and charity funds (Law of Ukraine “On Charity and Charitable Organizations”).

1.2. Description of the questionnaire

The questionnaire used for the 2012 survey this year can be found in Appendix 1 of the report. The questionnaire consists of 120 questions. While similar to past surveys, additional questions, in accordance to the project tasks of the UNITER project were added to the questionnaire in 2012. The questionnaire contains a statement of the survey goals and objectives, instruction on how to fill it out, and other necessary information for respondents.

Basic information about the organization

Questions in this section define information about the responding organization: contact information, date and method of registration, sector of CSO activity, types of activity and client categories.

Organizational development

Contains information concerning why the organization was initially founded; its purpose, practices, strategic planning experience, structure and functions of governing bodies, human resources within the organization, funding sources and budget, and other financial management information is collected in this section. Major sources of funding are defined and types of support from government and business, such as matching funds or in-kind contributions are specified.

External relations

The questions in this section collect data on CSO relationships with external entities: major characteristics of cooperation with business, government, other CSOs, the public, mass media, donors, and others.

Program activity

This section collected information on program and service development, accountability, transparency, ethical norms of CSOs, and awareness of CSOs about existing legislation. In 2010 the part was edited by the new questions concerning annual report preparation.

Advocacy questions

This section collected data on CSO advocacy activities. The index for defining CSO capacity to participate in advocacy activities was designed on the basis of this section. In 2010 the part was edited by the new questions about advocacy activities results.

Existing needs

The aim of this section was to define the key problems and needs faced by Ukrainian CSOs such as internal organizational problems, external problems, and assistance needed.

1.3. Sample

By the end of 2011 there were 67696 civil society organizations together with their branch offices and 12680 charitable foundations in Ukraine (according to the official data from the State Statistics Service of Ukraine). Only about 3,000-4,000 of them are active (every year many CSOs cease functioning without providing formal notification). There is no precise definition for an “active CSO,” but the criteria selecting survey participants was compiled based on several factors:

- ✓ The CSO must be legally registered

- ✓ The CSO must have at least 2 years of experience implementing activities²
- ✓ The CSO must have implemented at least two programs or projects
- ✓ The CSO must have successful completion of the projects and be known in the region.

The total number of active CSOs is about 3,000-4,000. The survey sample consists of 651 CSOs. However, for the purpose of compiling the results, only 637 questionnaires were allowed for formal reasons. Some of the organizations, (58%) had previously participated in the survey process from 2002–2010. The remaining sample (42%) conformed to the sampling criteria and was chosen by coordinator-experts who used the set criteria to find and invite participants. Thus, the survey can be considered as panel research.

690 CSOs were originally selected as potential respondents. Some CSO representatives on this list were not polled for one or all of the following reasons: the CSO has changed its address or ceased to operate, the CSO did not have time to complete the questionnaire, or the CSO did not return the questionnaire or refused to complete it. The sample confidence interval is 3.56 with a confidence level of 95%.

1.4 Survey administration

Основні етапи дослідження включали:

- ✓ development of questionnaire, according with the tasks of the “Ukraine National Initiatives to Enhance Reforms (UNITER)” project
- ✓ selection and training of regional coordinators
- ✓ conducting survey in the field (questionnaire)
- ✓ coordinator’s control measures, data editing, data entry
- ✓ data analysis and report preparation..

Questionnaire development

The tool for data collection was the questionnaire. The questionnaire for determining the degree of development within the CSO sector was a base model developed in 2002 on the basis of one that had been created in questionnaire 1998. In 2008 new questions were introduced into the sections dealing with the organizational development and financial issues. The updated questionnaire accounted for changes in the CSO sector and the specific goals of the survey. New questions were also added to the sections on organizational development and programmatic activity. In 2010 the part concerning was edited to the questionnaires concerning form of annual report preparation and results of advocacy activates. The final version of the questionnaire included the following sections – information about CSOs, organizational development, external relationships, program activities, internal and external obstacles to the CSO development, accountability, ethics norms, professionalism, legislation, and the presentation of interests.

²This research was conducted within the scope of the “Ukraine National Initiatives to Enhance Reforms” project. Due to the project breadth, four CSOs, that were project grantees, were allowed to participate in the survey despite the fact that they had only registered in 2009.

Coordinators' instruction

The network of coordinators consisted of representatives of Ukraine's third sector that are working in CSOs in their respective regions and know the sector in their regions. Each coordinator was responsible for data collection in one or two regions. 21 coordinators conducted the field research. Training and instructions were provided to coordinators in May 2012. During a one-day meeting, regional coordinators were provided with information about the purpose and goal of the survey to improve NGO performance as well as instructions for completing and verifying the questionnaires.

Conducting fieldwork

The field phase of the survey began on May 14, and finished on June 25, 2012. The task of the regional coordinators was to question from 22 to 27 CSO-leaders in 24 oblasts, the Autonomous Republic of Crimea, and the city of Kyiv. Coordinators received a list of CSO research participants from the last year surveys, verified compliance with selection criteria, added new organizations when needed, and compiled a final list together with the research coordinator from CCC Creative Center. Respondents completed their questionnaires independently. However, the coordinator was responsible for delivering the questionnaire and explaining how to complete it. After the survey had been completed, it was returned to the regional coordinator.

651 completed questionnaires were received from the regional coordinators in 2012. After verifying the quality of completed, 637 of them questionnaires only were admitted to the research analysis.

Control of the coordinators' work

The coordinators work was monitored by cross-checking with individual CSOs whether the survey had been received and also re-contacting respondents as needed. The completed questionnaires were checked for quality (tracking skip patterns, number of questions answered *don't know*, the degree to which the questionnaire was completed) and an analysis of the answers. Surveys with a high percentage of skipped or *do not know* responses were not included in the survey results.

Coding

The coding and editing of questionnaires was performed in the following way: registration of questionnaires and coding; verification of the quality of responses, and instructions given for data input.

Data input

Five individuals who received personal consultations on data input and received written instructions performed data entry. Each operator could consult with an IT-specialist and questionnaire editor if needed. An independent operator controlled data input.

Data analysis

Data analysis was performed using Excel and OCA

Report preparation

The report on survey results was prepared by CCC Creative Center.

During the report preparation, the objective was to present data that described the level of the Ukrainian CSO development in 2011 according to the principles of sustainable development, to demonstrate tendencies in third sector development.

2. Survey Respondents

The data presented in this section provides a general overview of the CSO landscape in terms of the geographic location of the CSOs, the date and method of their registration, their major activity areas, their principle clients, as well as whether or not they have their own website and e-mail.

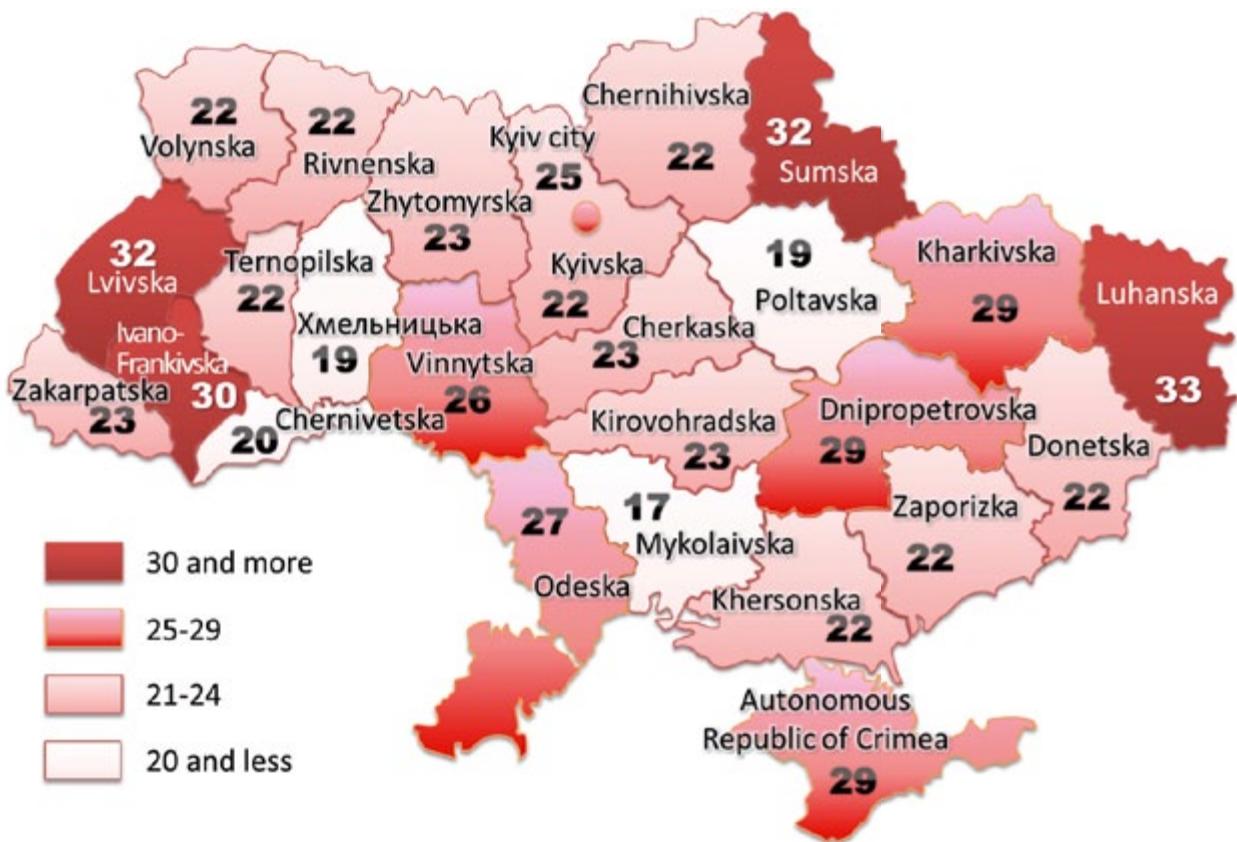
Ukrainian sector of Civil Society organization were the object of the 2012 study just as in previous years. The sources of information were representatives of CSO management bodies who were aware of information about the organization's activities. Among the CSOs surveyed in 2002-2010, 58% had participated in one or more of the previous survey waves. The number of CSOs that did not participate in 2002-2010, corresponding to general characteristics and criteria of organizations that quit the panel, is 42%.

2.1 Geographic representation of surveyed CSOs

The number of questionnaires completed by each regional unit is presented in graph 2.1.1:

Graph 2.1.1

Geographic representation of surveyed CSOs, (N=637)



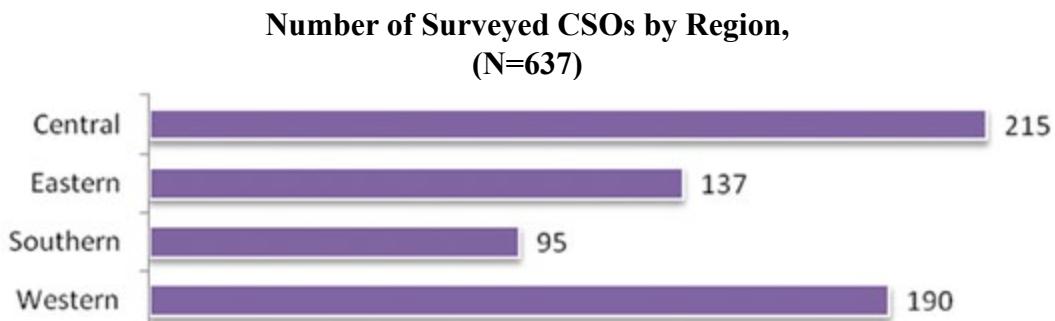
During the fieldwork phase, 637 CSO leaders in 26 geographic units in Ukraine (24 oblasts, the Autonomous Republic of Crimea, and Kyiv) were questioned.

Proceeding from the assumption that CSO development varies in different geographical regions (an assumption based on previous survey results), as well as with the aim of studying regional

trends in CSO development, CSOs were divided into 4 groups that represent 4 major regions in Ukraine: Western, Eastern, Central, and Southern. The organizations from the Western region are represented by the following oblasts: Volyn, Rivne, Lviv, Ivano-Frankivsk, Ternopil, Zakarpattia, Chernivtsi, and Khmelnytskyi. The Eastern region consists of Kharkiv, Donetsk, Dnipropetrovsk, Zaporizhzhia, and Luhansk oblasts. Ukraine's Central region is represented by CSOs from Zhytomyr, Cherkasy, Kirovohrad, Vinnytsia, Chernihiv, Sumy, Poltava, and Kyiv oblasts (including Kyiv city). The Southern region is represented by the CSOs from Kherson, Mykolaiv, Odessa, and the Autonomous Republic of Crimea.

The geographic distribution of the CSOs surveyed in 2012 by the four regions is shown in Graph 2.1.2.

Graph 2.1.2



2.2 Date and type of CSO registration

Type of CSO registration

According to current Ukrainian legislation, CSOs can be registered either as public organizations or charitable organizations (Law of Ukraine "On Public Associations", 1992; Law of Ukraine "On Charity and Charitable Organizations", 1997).

The chart below (graph 2.2.1) shows the distribution of registration classification for the surveyed CSOs in 2012..

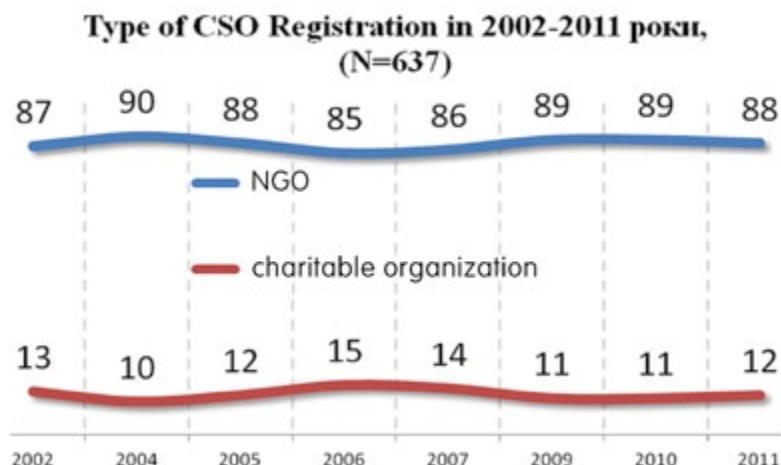
Graph 2.2.1



According to the 2012 data, the majority of surveyed CSOs (88% or 564 organizations) are registered as public organizations and 112% (74 organizations) – are registered as charitable organizations.

According to Graph 2.2.2 the type of registration of CSOs did not encounter major changes between 2002 and 2012. When compared to 2002 the number of charitable organizations that had participated in the survey has decreased only by 2%, in particular it was 12% in 2011 and 13% in 2002 with a significance level of 5%.

Graph 2.2.2.

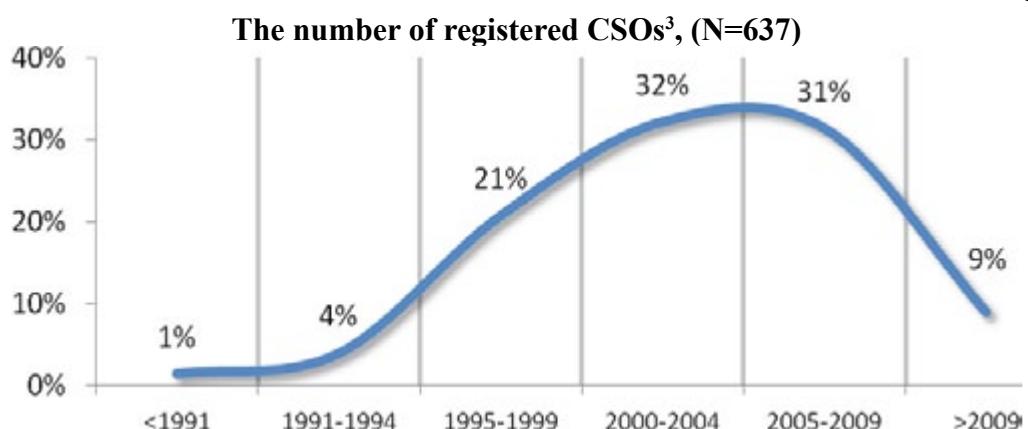


Date of CSO registration

The shares of surveyed organizations in terms of the date of their registration in 2011 do not differ from the previous research data. Such distribution of shares of registered organizations can be explained by the external factors such as the laws governing CSO activities (specifically related to registration), the activities of international technical aid programs in Ukraine, and general trends of civil society development in Ukraine.

Graph 2.2.3 presents the distribution of CSOs based on their registration date.

Graph 2.2.3



As shown on Graph 2.2.3 1% of polled organizations were registered before 1990, 5% of organizations were registered between 1991 through 1994, 21% of respondents represented organizations that were registered between 1995 and 1999, 32% of organizations started their activities between 2000 and 2004, 31% of organizations were founded between 2005 and 2009 and 9% of organizations were registered after 2009.

Conclusion

The breakdown of registration data shows that the overwhelming majority of CSOs were registered between 2000 and 2009. This can be an indication of the increased civic engagement at that time.

³ Question #7 of the Questionnaire.

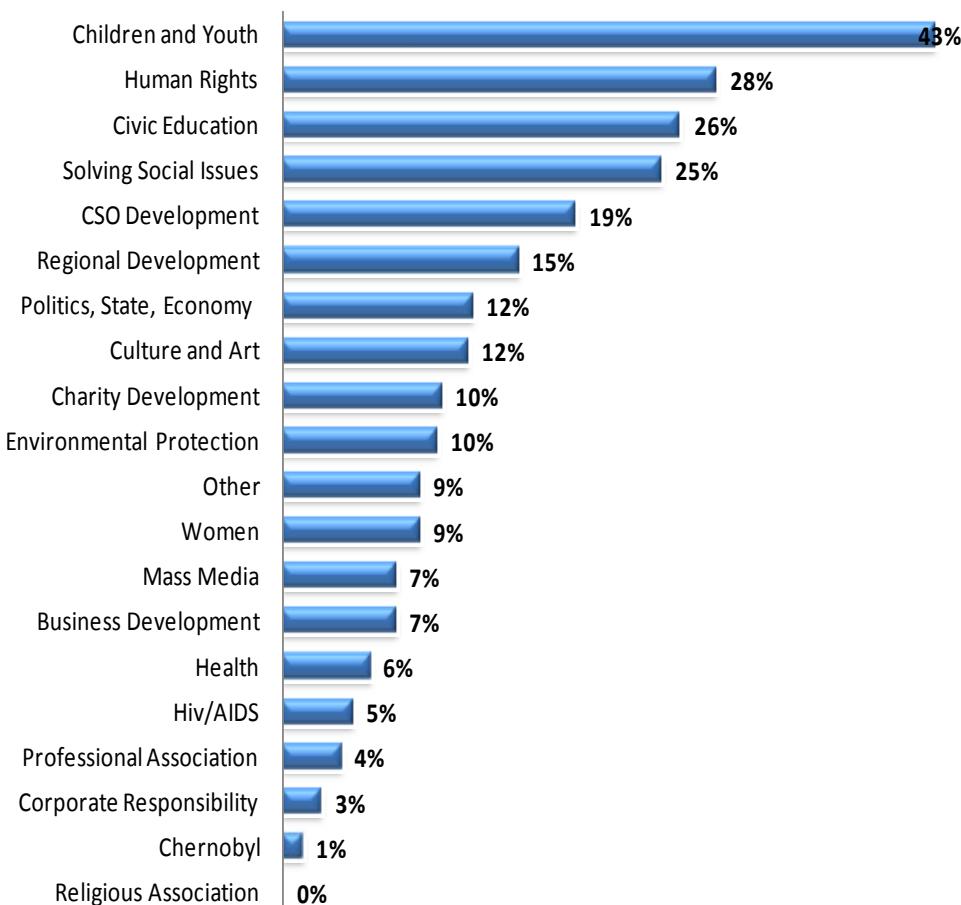
2.3 Major sectors of CSO work, types of activities, and CSO clients

Sectors of CSO activity

Respondents could select up to three major activity sectors from a list of 21. If the CSO's major activity sector was not included in the list, they had the opportunity to select other and specify in what activity they were engaged. Graph 2.3.1 shows the percentage of CSOs working in the specific activity areas.

The most popular sectors of CSO activity are *children and youth, human rights and solving social issues*.

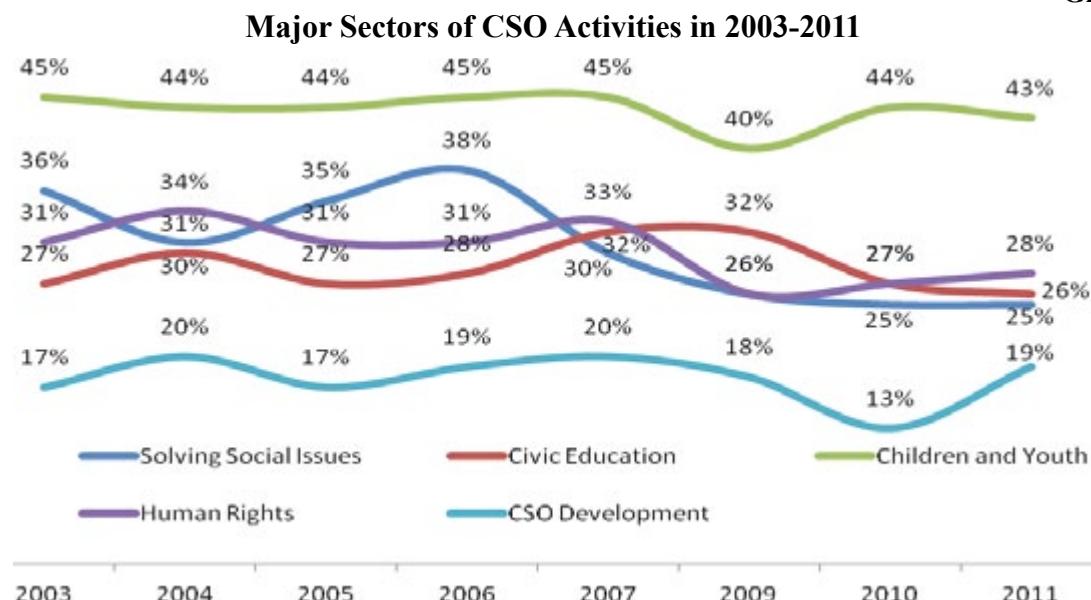
Graph 2.3.1
Major Sectors of CSO Activities in 2011⁴, (N=637)



Nearly 50% of respondents indicated *children and youth* as one of three main areas of their activities (43%), then comes the area of *human rights* (28%) and *civic education* (26%). As for the area of *social issues*, 25% of organizations polled in 2011 worked in it.

⁴ Question #9 of the Questionnaire.

Graph 2.3.2.



Graph 2.3.2 demonstrates the most popular areas the CSOs worked in between 2003 and 2011 that remained the same during the past nine years. The most popular areas are *children and youth*, *civic education*, *human rights and social issues*. Having analyzed the data from Graph 2.3.2 a conclusion can be made that between 2003 and 2011 the number of organizations working with *social issues* and *human rights* was decreased in the following way: 25% in 2011, 36% in 2003⁵ and 28% in 2011 and 31% in 2003⁶ respectively. At the same time the number of organizations that work on *CSO development* has increased in the following way: 19% of respondents in 2011 and 13% of organizations in 2010⁷.

Conclusion.

Having analyzed the findings of the survey one can draw a conclusion that the most popular areas the CSOs are active in have not changed over the past nine years. However, the number of CSOs working with *social issues* and *human rights* has significantly decreased over the years the survey was conducted for. The most common areas are *children and youth*, *civic education*, *human rights* and *social issues*. When compared to the previous year the area of *CSO development* has gained popularity. But at present this particular area is the least popular among the polled organizations.

Activities CSOs are engaged in

Types of activities the CSO are engaged in are important elements of the overall profile of CSOs. The respondents could choose up to three activities from the proposed list of activities or select the answer "other" and indicate their field of activities.

Graphs 2.3.3 and 2.3.2 give a clear picture of activities the organizations that had participated in the survey between 2002 and 2011 were engaged in. The respon-

The main types of activity are *training and consultation*, *information dissemination*, *advocacy* and *lobbying*

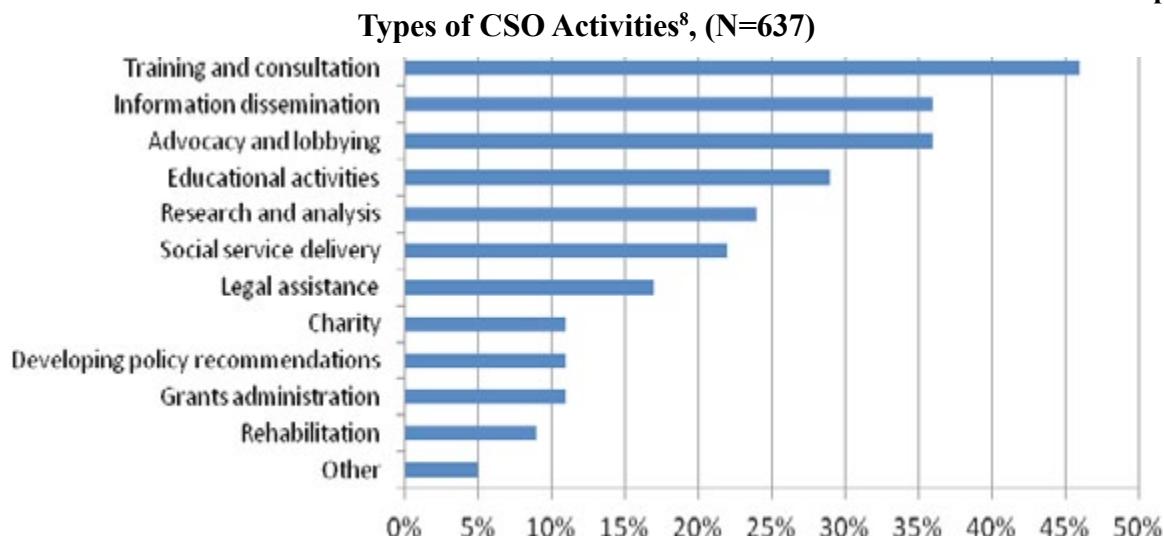
⁵ A significance level of 1%

⁶ A significance level of 1%

⁷ A significance level of 1%.

dents could select up to three answers from the proposed list. The majority of organizations indicated that they had more than one activity going.

Graph 2.3.3



In 2011 the most common types of activities among the CSOs included *training and consultation* as marked by 46% of respondents (in 2010 the number was 37%, a significance level of 1%); in 2003 the number was 41% of respondents (a significance level of 1%); *advocacy and lobbying* as indicated by 36% of respondents in 2011 and 2010 and 49% of respondents in 2009 (a significance level of 1%) and 26% of respondents in 2007; and *information dissemination* as marked by 36% of respondents between 2009 and 2011.

It should be noted that between 2003 and 2011 the number of organizations that provide training and consultation services has noticeably increased in particular from 41% in 2003 to 46% in 2011.

The organizations provide information, deliver trainings and engage citizens in local policy making to address issues important for their communities. A big share of organizations engaged in *information dissemination* clearly demonstrates this trend. In particular, there were 36% of organizations between 2009 and 2011, 8% – in 2007, 35% – in 2006, 38% – in 2005, 39% – in 2004 and 38% - in 2003. The organizations are also proactive in educational activities; in particular, 29% of CSOs were engaged in providing *educational activities* in 2010 and 2011, though when compared to the 2009 survey' findings the indicator has dropped by 3% (it was 32% in 2009) and in 2007 the number of CSOs engaged in educational activities was the highest between 2002 and 2011 (49% of respondents). One should take a notice of a sharp change of activities among the polled CSOs in 2007. The findings pertinent to the main activities differ much from the previous years and the years that followed after. That can be explained by a drastic increase of a number of of CSOs registered after 2005 and their attempts to find the niches and identify fields of activities.

The review of trends and links between areas and types of activities is provided below. Thereby there is a clear picture of what types of activities are most common for each of five areas listed above.

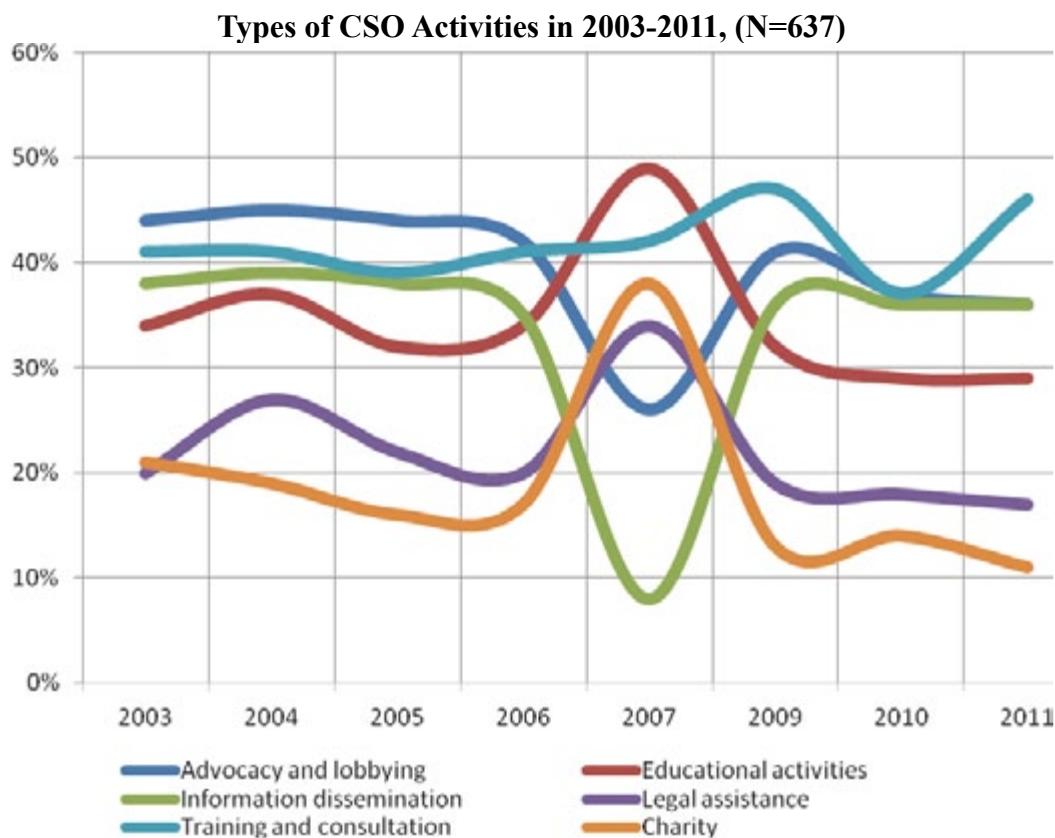
The majority of CSOs working with *children and youth* and *civic education* are focused on providing educational activities, delivering training and consultations, ensuring information dissemination and advocacy and lobbying.

⁸ Question #10 of the Questionnaire.

CSOs that work in the areas of *human rights* are mostly engaged in advocacy and lobbying, they deliver legal advice and conduct trainings and consultations.

CSOs that address social *issues* are focused on providing social services, advocacy, training and consultations and information dissemination.

Graph 2.3.4.



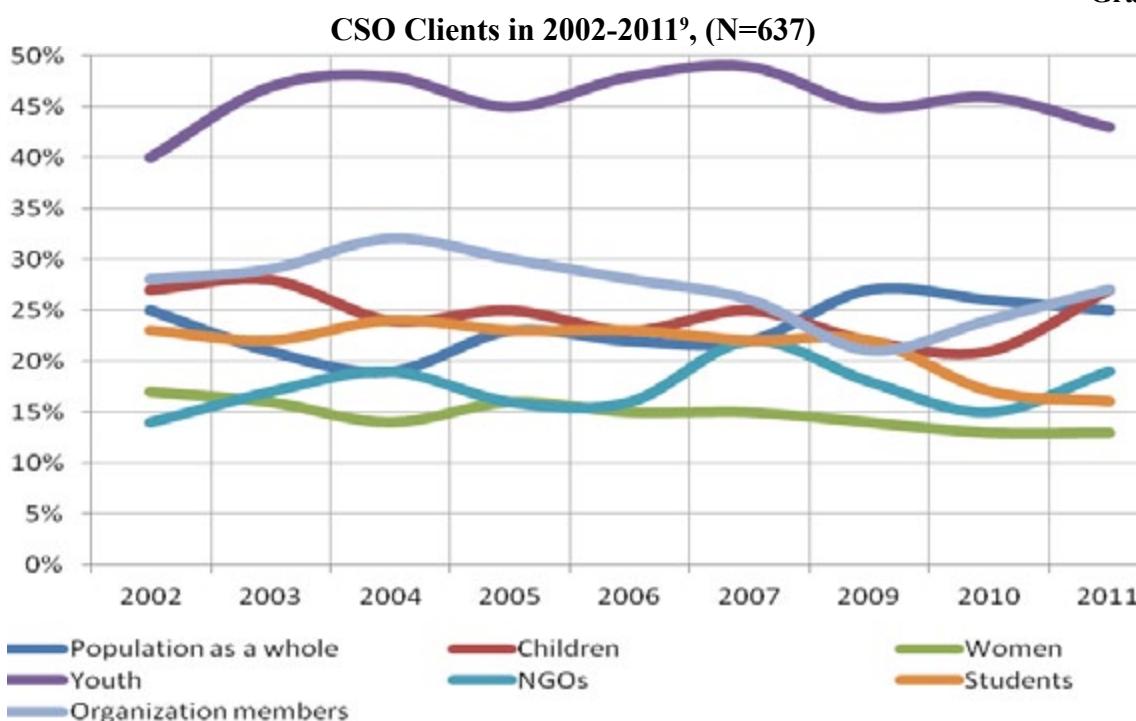
Conclusion

Having reviewed the findings of the survey one can make a conclusion that types of activities the CSOs were active in did not experience major changes between 2003 and 2011. Over the course of the past nine years the following activities remain the most popular among the Ukrainian CSOs: *training and consultation, information dissemination, advocacy and lobbying*. However, when compared to 2010 the number of CSOs that provide *training and consultation services* has significantly increased in 2011.

CSOs Clients

The respondents were asked to define their clients by selecting up to three options, similar to the way they had identified areas and types of their activities. *Youth* is the biggest group of clients of the Ukrainian CSOs (43% of respondents chose it). Then come *children* (27%), *members of organization* (27%), *population as a whole* (25%) and *NGOs* (19%).

Graph 2.3.5 shows a breakdown of CSOs working with different groups between 2002 and 2011.



The number of CSOs whose main target group is *children* increased in 2011 if compared to the data of 2010; in particular there were 27% of organizations in 2011 and 21% of CSOs in 2010. The same upward trend was observed among the CSOs whose main target group was *organization members* (there were 27% of CSOs in 2011 and 24% of CSOs in 2010) and NGOs (there were 19% of CSOs in 2011 and 14% of CSOs in 2010). But the number of organizations that worked with youth has reduced in the following way: 43% of CSOs in 2011 and 46% of CSOs in 2010 respectively.

The main clients of CSOs that work in the area of *children and youth are youth, students and children*. The main target groups of the organizations working with human rights issues include *population as a whole, youth, organization members and disabled people*. The *youth, population as a whole and children* is the biggest target group of the organizations that work in the area of civic education. The respondents that deal with social issues mainly solve the problems of *youth, disabled people and children*. The main target group of the organizations that work in the area of policy, legislation and state includes *youth, organization members, civil servants and population as a whole*.

By comparing the outcomes of the survey completed in 2002 and 2011 a conclusion can be drawn that during 2002 and 2011 the main target groups and clients of CSOs did not change and that the quantity of clients in various groups varied within 5% limit.

Conclusion

Youth, children, organization members, population as a whole and NGOs are the most important clients of the polled CSOs. The main target groups have not changed much in the period of 2003 and 2011.

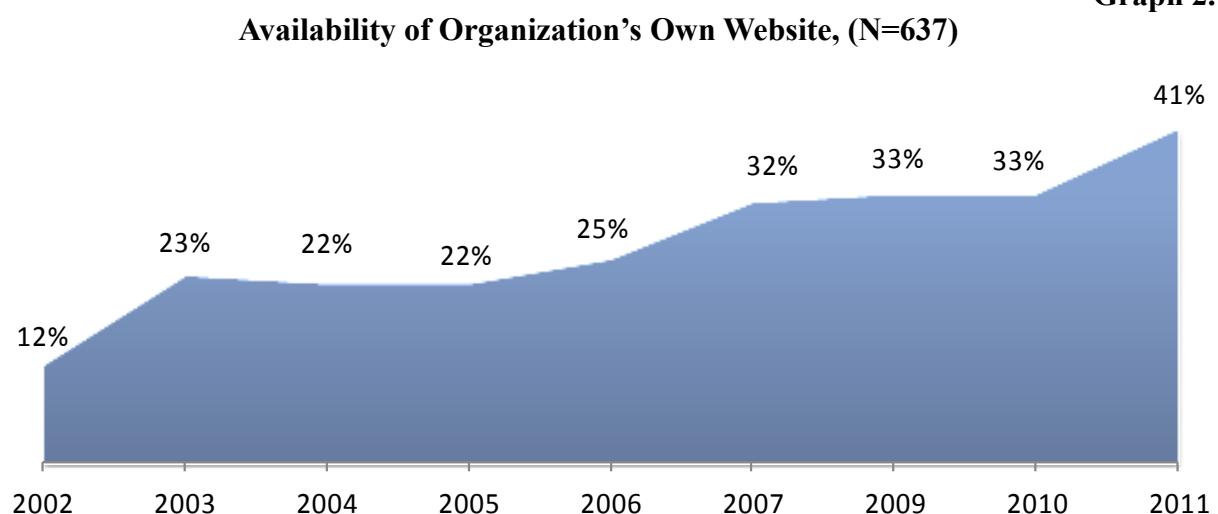
⁹ Question #11 of the Questionnaire.

2.4 Availability of organization's own website

The review of the Internet-based resources created and maintained by CSOs has demonstrated an increased number of CSOs that have their own web-resources. In 2002 only 12% of CSOs provided the web-addresses; in 2006 the number of such organizations was already 25%, in 2007 – 32%, in 2009 and 2010 – 33% and in 2011 – 41%¹⁰ of organizations stated that they had their own web-site.

According to the findings of the survey the largest part of polled CSOs are registered to Facebook (32%) and noticeably less to Twitter (6%). Around 27% of respondents indicated "Other"; other most common answers in this category included VKontakte (In Contact), YouTube, Live Journal etc.

Graph 2.4.1.



Conclusion

Over the course of the past ten years there has been an increase of CSOs that have their own website. However, very often the respondents mean only a page or a profile at a portal on CSO, a blog or an entry in the social network. During the past years the CSOs have been increasingly proactive in social networks.

¹⁰ A significance level of 1%.

Part II.

Results of the Survey Using the INTRAC Model for Sustainable Development

The second part of the publication consists of three chapters based on the Model for Sustainable Development. Part II includes an analysis of: the internal capacity of civil society organizations; external relations of CSOs, and CSO program activity. The first chapter presents data on the CSOs' missions, strategic planning, leadership and management, human and material resources, work with volunteers and members, financial sources and fundraising. Survey results on CSO cooperation with the government, other CSOs, businesses, donor organizations, community, and mass media can be found in the second chapter. The third chapter concerns program activities of CSOs that are involved in service provision and program development, reporting, transparency and accountability, ethical norms, partnerships, participation in coalitions and legislative issues.

The 2011 survey results were compared with the results obtained from 2002 to 2011 in order to study the dynamics in Civil Society Organization development during last eight years.

INTRAC NGO Capacity-Building Framework

According with present model, three key factors define the capacity of a CSO to develop and influences the level of development obtained:

1. Components of the Internal State of the Organization or the Capacity of the CSO “To Be”:

- Identity (values, vision, theory, mission, strategy)
- How far organisation is legitimate, excluding legal and social legitimacy
- Is the organization accountable to the founders
- Does the organization have the relevant structures consisting of systems of planning, financial management, monitoring, evaluation, human resources, administration management of the organization)
- What is the system of financial management
- Does the organization conduct an audit
- Does the organization have the financial plan
- Does the organization prepare the annual report
- Does the organization have the internal documentation system
- What is the structure of the organization
- What is the structure of the governing bodies. Is there defined the responsibilities of governing bodies.
- What is the procedure of decision making in the organization and who is involved in it
- What is the organizational culture of the organization
- Who is the leader of the organization
- What are the organization's resources: human, financial, logistical

2. Components of External Relationships or the Capacity of the CSO “To Relate”:

- What are the relationships with donors, other CSOs, government, business, media, community
- How is the organization involved in the strategic alliances, coalitions, and networks
- Does CSOs work with its clients
- Does the organization maintain the independence and have the exit-strategy for difficult situations

3. Components of Program Activity or the Capacity of the CSO “To Perform”:

- Does the organization impact the community (micro level)
- Does the organization improve the lives and strengthens community
- Does the organization identify and protect the interests of its clients
- Does the organization impact the public policy (macro level)
- How and to whom are CSOs reporting about their activities
- What is the level of clarity and transparency of CSOs
- Does the organization have knowledge about relevant legislature

3. The Internal State of an Organization

“To Be”

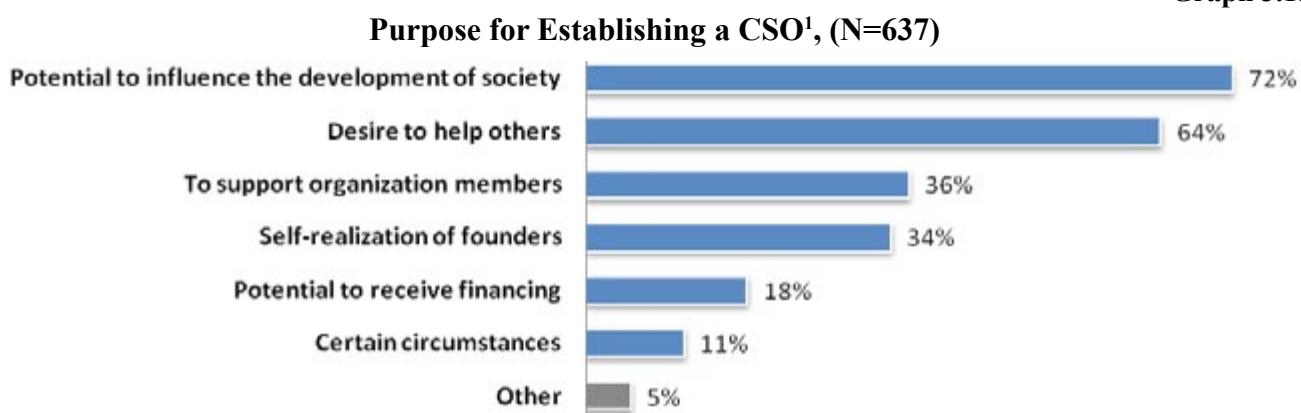
In this section the analysis of the internal capacity of third sector organizations is presented. This was conducted based on 2011 research data from Ukrainian civil society organizations. An analysis of tendencies in internal capacity development from 2002 to 2011 is also described in this section.

3.1 Purpose for establishing a CSO

Self-determination/identity regulation of an organization is one of the most crucial elements of the internal capacity and it is the basis of the programme activities. The goal of the organization and its mission are basic pre-requisites for establishing an organization. The question about the purpose for establishing a CSO was posed to the respondents. Among the main reasons for establishing an organization the heads of CSOs have mentioned *a potential to affect the development of the society* (as indicated by 72% of CSOs) and *a desire to help other people* (as indicated by 64% of CSOs). About 36% of respondents chose *support to organization members*, *the personal fulfilment of the founders* was selected by 34% of polled organizations, whereas *a potential to receive financing* and *certain circumstances* were indicated by 18% and 11% of CSOs respectively. According to the findings of the 2011 survey received with the help of the panel sampling method there have not been any major changes in the answers of the respondents concerning the purpose of establishing a CSO over the past ten years. The only exception is the option of *personal fulfilment of the founders* –between 2007 and 2011 the number of CSOs that indicated this option has decreased by 7% (there were 41% of CSOs in 2002, 40% - in 2004, 37% - in 2005, 36% - in 2006, 40% - in 2007, 34% - in 2009, 33% - in 2010 and 34% - in 2011), with a significance level of 1%. During 2002 and 2011 the number of organizations that selected the option of support to organization members has increased as follows: 36% of CSOs in 2011 and 32% of CSOs back in 2002 respectively with a significance level of 1%.

The detailed information about the purposes for establishing a CSO derived from the 2011 survey is provided in Graph 3.1.1.

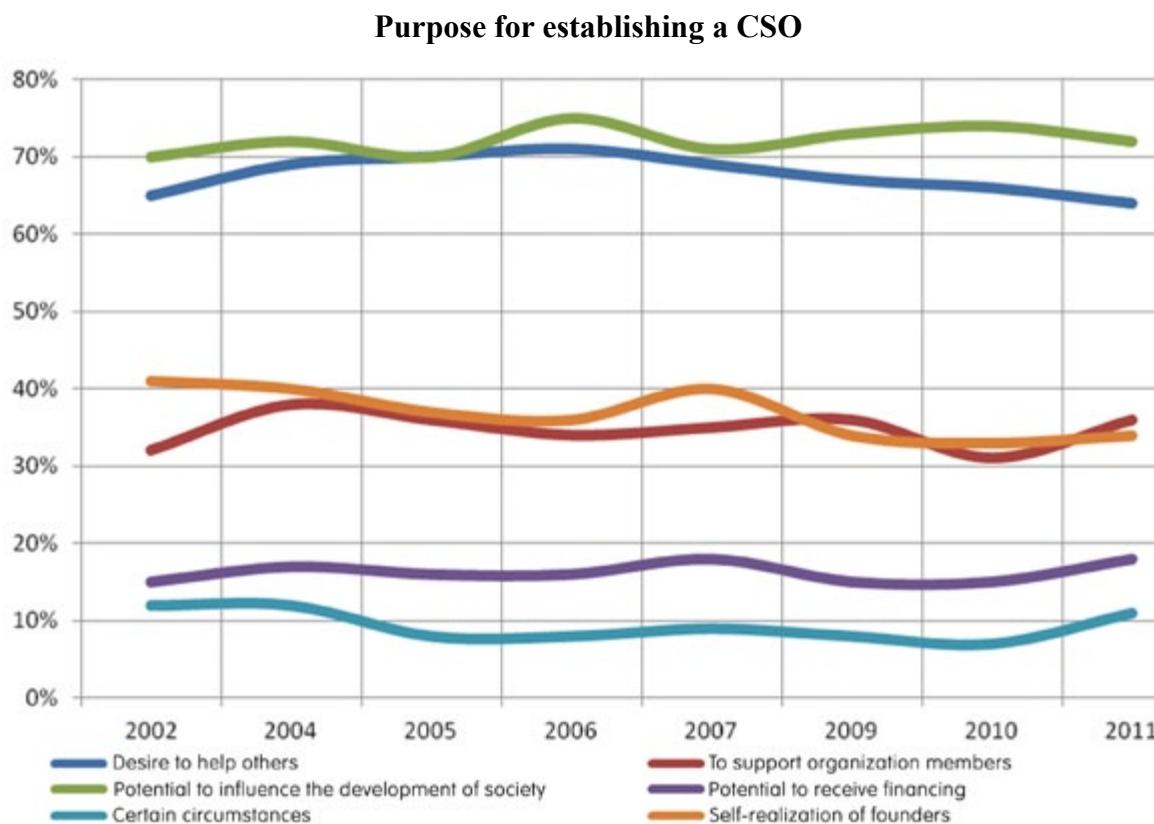
Graph 3.1.1



¹ Question # 12 of the Questionnaire.

Graph 3.1.2 provides a comparative data about the purposes for establishing a CSO over the years.

Graph 3.1.2



CSO mission

The majority of CSOs (79%) polled in 2011 have a written mission statement that defines the goal of the organization. In particular, there were 79% of CSOs in 2011, 78% in 2009, 86% in 2006, 83% in 2005, 87% in 2004 and 89% in 2002 and 2003. The review of relevant statistics has revealed a downward trend in the number of organizations that have a written mission statement available (with a significance level of 1%).

79% of polled CSOs have a written mission statement. At the same time over the past ten years there has been a downward trend in the number of CSOs that have a written mission statement (89% in 2002).

Conclusion

The findings of the survey demonstrate that CSOs are established for advocacy purposes since the main reasons for starting an organization included *a potential to affect the development of the society* and *the desire to help other people*. Twice as many leaders of CSOs have selected these two options as *personal fulfillment of the founders* or *support to the organization members*. At the same time a small number of respondents commented that the purpose for establishing a CSO was a potential to receive financing or certain circumstances. During the past ten years there has been a trend toward a decreased number of CSOs that have a written mission statement in place.

3.2 Strategic planning

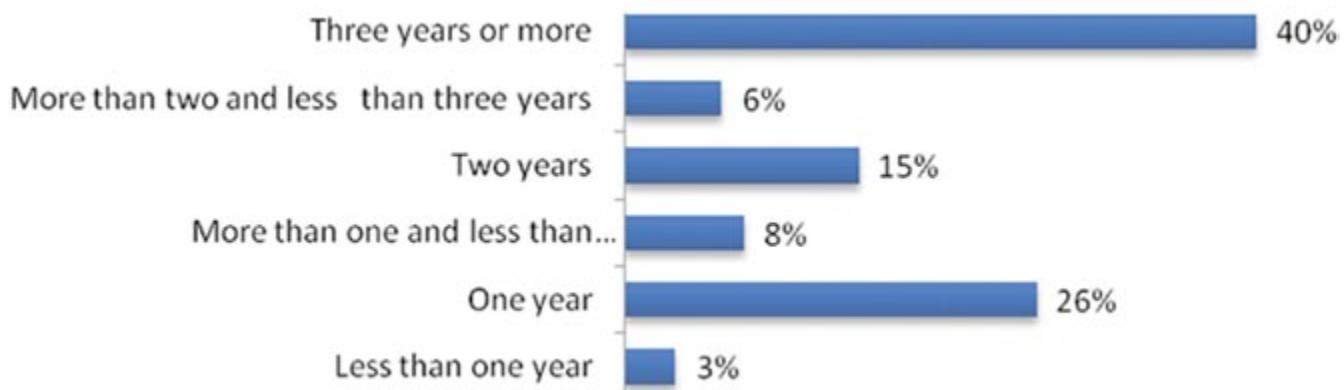
Strategic planning is an integral element of the sustainability of an organization and a reflection of how hard the organization tries to build own capacity and to foresee opportunities and threats. In 2011 54% of respondents said that their organizations had a strategic plan.

Only half of respondents (54%) have a strategic plan.

Having reviewed the findings of the survey one can see a downward trend in the number of organizations that have a strategic plan available. In 2002 75% of organizations had such plan and the share gradually decreased to 61% in 2005, in 2006 the number increased up to 68% and in 2007 it decreased to 59%, the figure remained unchanged in 2009 and decreased to 55% in 2010². In 2011 the number of organizations that had a strategic plan decreased to 54%.

According to the findings of the 2011 survey as regards the timeframe of the strategic plan (Please see Graph 3.2.1) 40% of polled organizations have strategic plans for three years and more and this indicator is by 9% higher than it was back in 2010³. As of 2011 26% of respondents have strategic plans designed only for one year and 15% of polled organizations have strategic plans for two years, 8% of organizations have strategic plans designed for more than one year but less than two years and around 6% of organizations have strategic plans for more than two years but less than three years and 3% of respondents have their strategic plans for the period of less than one year.

Graph 3.2.1
Time Period Covered by the Strategic Plan⁴, (N=637)



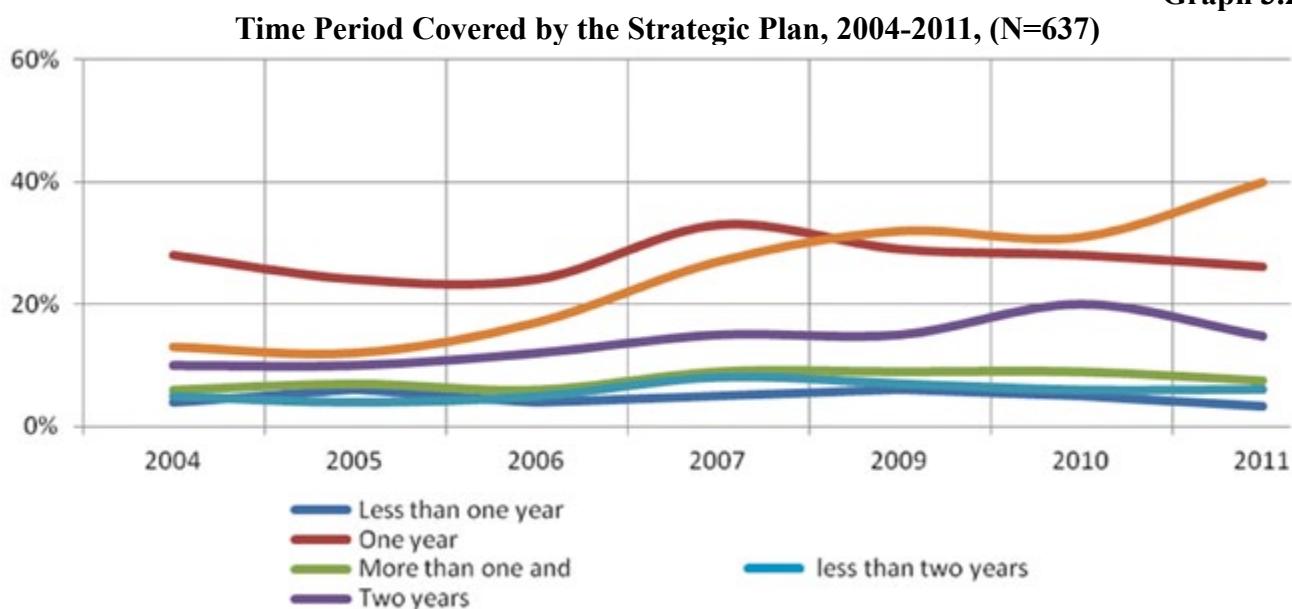
Looking at the data of Graph 3.2.2 a conclusion can be made that during 2004 and 2011 the number of CSOs that had a strategic plan for more than three years was significantly increased, in particular it was 13% back in 2004⁵ and 40% in 2011).

² A significance level of 1%

³ A significance level of 1%

⁴ Question # 15 of the Questionnaire

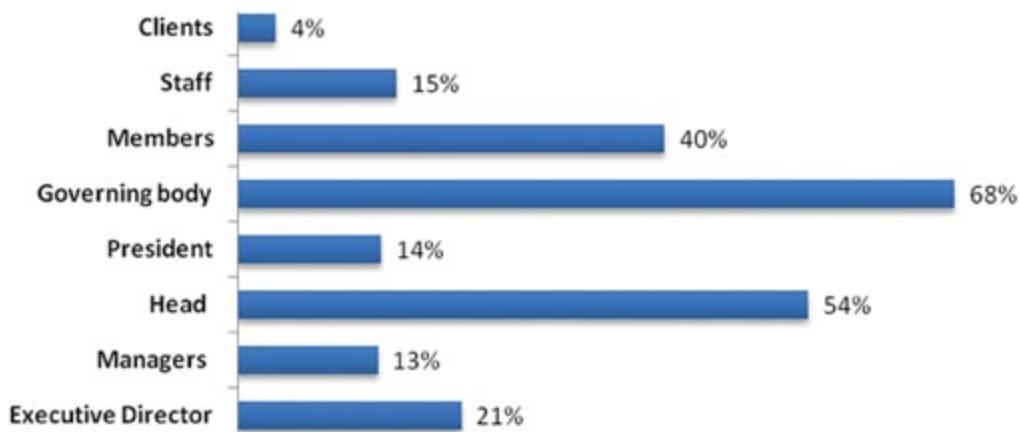
⁵ A significance level of 1%.

Graph 3.2.2.

Individuals who are responsible for the development of the strategic plan in the organizations are listed in Graph 3.2.2.

Graph 3.2.3

**Individuals and Groups
Responsible for Developing the CSO's Strategic Plan⁶, (N=637)**



Individuals and groups engaged in the development of the strategic plans are shown only for the organizations that have such plans available, in particular 54% of CSOs.

The collective governing body headed by the president/head represents a "legislative" branch of power in the CSOs and the high percentage of their engagement in the development of the strategic plan does not come as a surprise. The review of this particular issue is somewhat complicated due to peculiarities of the organizational structure of the CSOs. Such titles as president, executive director and head stand for the highest leadership position in the majority of civil society organizations in Ukraine but they use different names for it. Very often one person combines two positions. Therefore the head of the organization be it the president or the executive director or the head are engaged in strategic planning in 89% of polled organizations that have such plan available. The reason that the total percentage of all provided options exceeds 100% is that the head

⁶ Question # 16 of the Questionnaire.

of the organization and the staff, clients and/or the governing body are involved in the strategic planning. It is crucial as the one-man planning falls short when it comes to the development of a strategic plan that would be adequate for the internal capacity of an organization.

According to the survey, 66% of organizations that develop a strategic plan update it every two years at least. This is an indication that the plan is not always perceived as a working document and that it exists independently. The respondents selected all individuals responsible for the update of a strategic plan from the proposed list of people engaged in its development.

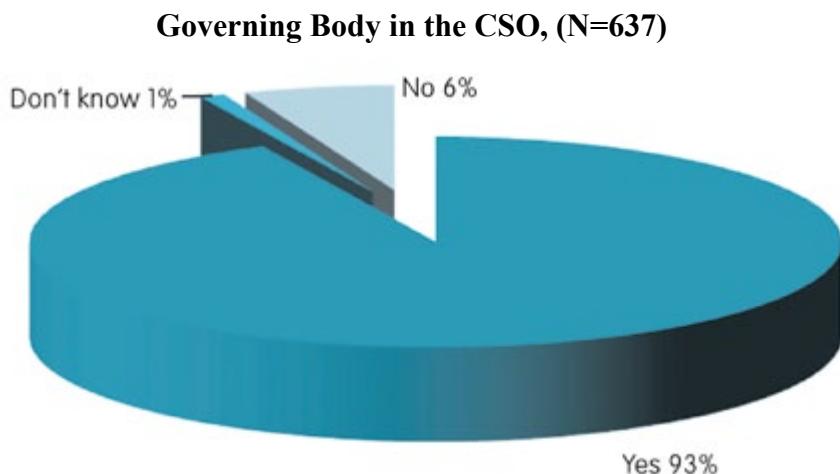
Conclusion

The survey has revealed that only one half of polled organizations have strategic plans. Over the past ten years there has been a downward trend in the number of CSOs that have strategic plans. The majority of CSOs have strategic plans designed for three and more years. The collective governing body, head or members of the organization prepare the strategic plans in the majority of organizations.

3.3 Structure, governance and leadership

Around 93% of CSOs polled in 2011 have a collective governing body (See Graph 3.3.1). This figure varies from one year to the next. In 2010 the figure was 89% with a significance level of 1%.

Graph 3.3.1



The breakdown of organizations that have such a body (93% of CSOs) according to the type of their governing bodies looks as follows: the majority of polled organizations (72%) have a board, whereas one third of organizations (28%) have different kinds of councils, in particular, advisory council, supervisory council, council of directors, academic councils, association councils etc. According to the legislation, the main governing body of the association of people is the General meeting of its members but other governing bodies such as the Board, Supervisory Council, Board of Directors and other operate as governing bodies in-between the General meetings.

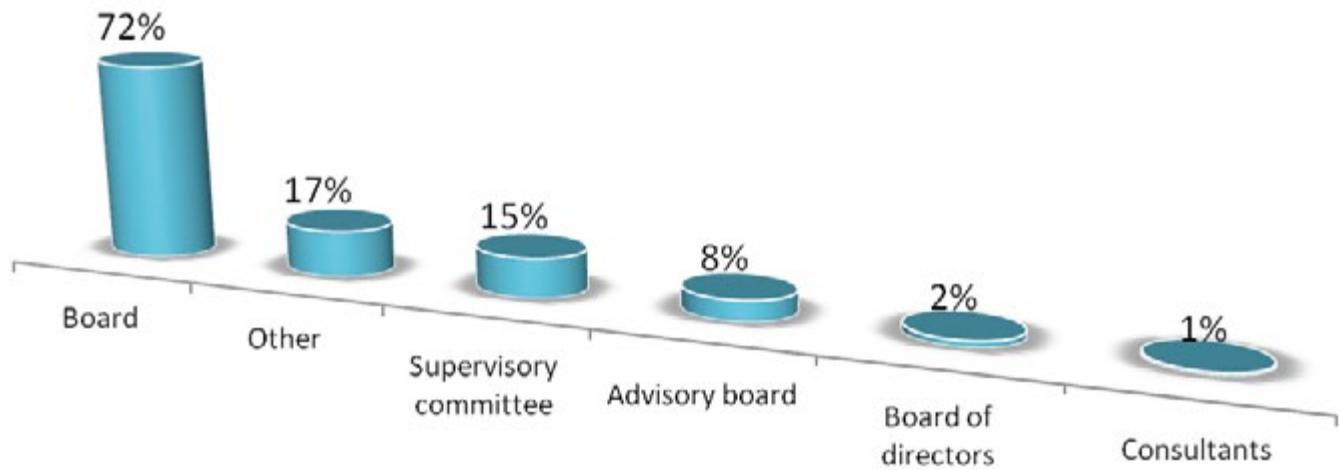
93% of polled organizations have a governing body.

About 17% of CSOs marked "Other" and indicated the following types of governing body: councils of different kind, meetings of the members, panel.

In addition there are several CSOs that have chosen the option of *consultants* (1% of polled CSOs) and *advisory boards* (8% of polled CSOs). These answers do not stand for governing bodies but for advisory ones.

Graph 3.3.2

Types of Governing Bodies in CSOs⁷, (N=637)



Around 90% of polled CSOs that have a collective governing body also have a written document that defines the duties and responsibilities of the collective governing body (it is usually the Statute of an organization). An executive director attends the meetings of the collective governing body in 97% of polled organizations.

About 83% of respondents commented that the elections to the collective governing body took place at least one time since it was formed. In 2010 the number was 80%, in 2009 – 80%, in 2006 – 78%, in 2003 – 70%, in 2004 – 76% and in 2005⁸ – 73%.

Conclusion

The survey findings have demonstrated that the overwhelming majority of civil society organizations have a collective governing body. The Board is the most common type of the governing body. Around 90% of respondents that have a collective governing body have a written document that regulates its activities.

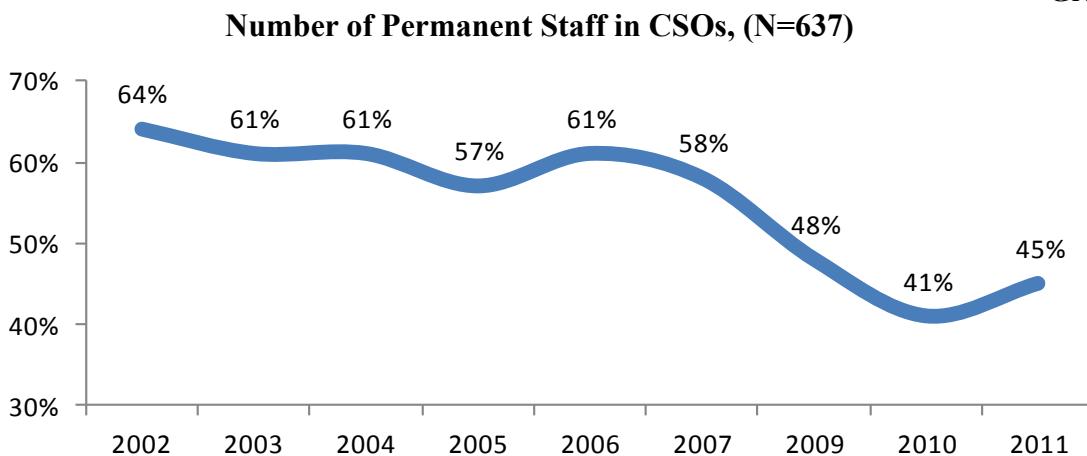
3.4 CSOs' human resources

In 2011 about 45% of respondents commented that their organizations had permanent staff. This figure has increased when compared to 2010 (41%) but it is lower when compared to previous years, in particular, it was 48%⁹ in 2009, 58% in 2007, 61% in 2006, 57% in 2005, 64% in 2002. Having reviewed Graph 3.4.1 one can see a downward trend in the number of CSO that have permanent staff.

⁷ Question # 22 of the Questionnaire

⁸ A significance level of 5%

⁹ A significance level of 1%.



On average there are four permanent staff members in the organization.

On average there are four permanent staff members in the organization. This figure is higher than it was back in 2010 (3 people) and similar to what it was between 2006 and 2009. The organizations had the biggest number of employees in 2005 (they had 5 permanent staff members with a significance level of 5%). The civil society organization employs 3 regular employees and the charitable foundation employs 6 permanent staff members on average.

As for types of employment in CSOs, 24% of polled organizations (25% in 2010 and 26% in 2009) have permanent staff members; 21% of CSOs (19% in 2010, 24% in 2009) have people working on a contract basis; 14% of respondents (15% in 2010 and 14% in 2009) have employees who combine jobs, 3% of CSOs (4% in 2010 and 1% in 2009) are paid by the hour and 14% of organizations (14% in 2010 and 17% in 2009) hire people for particular one-time jobs. Having reviewed types of employment in CSOs a conclusion can be made that no major changes have taken place over the years. The figures differ by 2-4% from one year to the next year.

The average wage in the polled CSOs varies between 971 and 2486 UAH per month in 2011. To put this in perspective, the average wage of a public servant working in the social field was 1778 UAH per month in 2009 (according to the National Statistics Committee of Ukraine¹⁰).

Around 77% of polled organizations have written duties and responsibilities for their staff, 62% of organizations have internal administrative rules and procedures/order of work developed and documented.

Only 24% of organizations that have written administrative rules and procedures updated them during the past year. The head of the organization develops the administrative rules and procedures in 57% of polled organizations; the collective governing body prepares these rules and procedures in 44% of polled CSOs, the members of organization develop the rules and procedures in 17% of CSOs, the managers prepare these rules and procedures in 5% of CSOs and it is the staff who develop them in 5% of CSOs.

The collective governing body and members of CSOs very often participate in the development of administrative rules and procedures. This is an indication of the engagement of all interested individuals and groups in management of an organization including the ones that it concerns.

¹⁰ <http://www.ukrstat.gov.ua/>

Around 65% of organizations that participated in the survey encourage competence development by allocating funds for their staff to attend conferences, round table discussions or learning and training events.

Conclusion

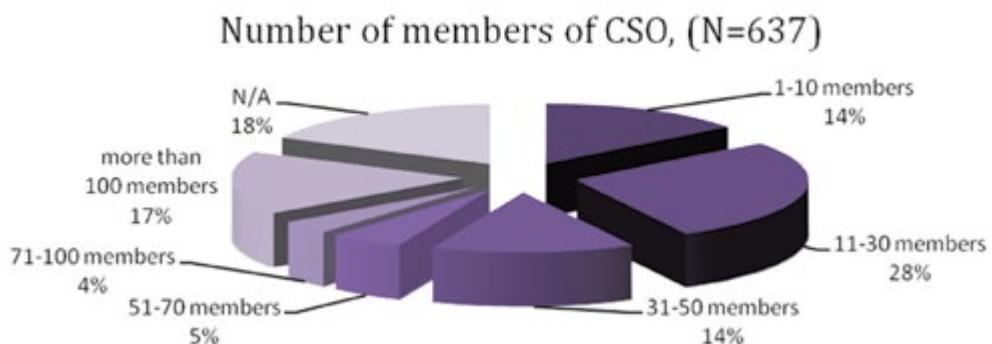
In 2011 the number of CSOs that have permanent staff members was increased. However, if compared to the data received in the period between 2002 and 2008, the number of regular staff members was significantly decreased. The number of regular staff members was reduced in 2011. As for other indicators concerning human resources in CSOs, no major changes were observed.

3.5 CSOs' membership

About 82% of polled organizations are membership organizations: 2% of them have from 11 to 30 members; around 25% of CSOs have more than 100 members. Graph 3.5.1 demonstrates the division of CSOs' by the number of their members.

82% of CSOs are membership organizations.

Graph 3.5.1¹¹



Around 36% of organizations polled in 2011 (48% in 2010¹²) reported that the number of members in their organizations was increased if compared to the previous year; 39% of organizations commented that the number of members remained the same and 9% of polled CSO reported the decreased number of their members.

The main method for engaging new members in the organization was own initiative of new members (in 26% of polled CSOs), personal contacts of CSOs' members (was reported by 24% of respondents). However, 13% of respondents conducted joint events and 9% engaged new people with the help of their employees. Advertisements and information dissemination via the mass media helped bring new members only to 9% of polled CSOs.

Conclusion

The responses of the leaders of non-governmental organizations provided in 2011 showed that the number of membership organizations and ways of engaging new members did not change in the period between 2002 and 2010. However, the number of CSOs that managed to increase their membership was smaller if compared to the past year.

¹¹ Question #36b of the Questionnaire

¹² A significance level of 1%.

3.6 Work with volunteers

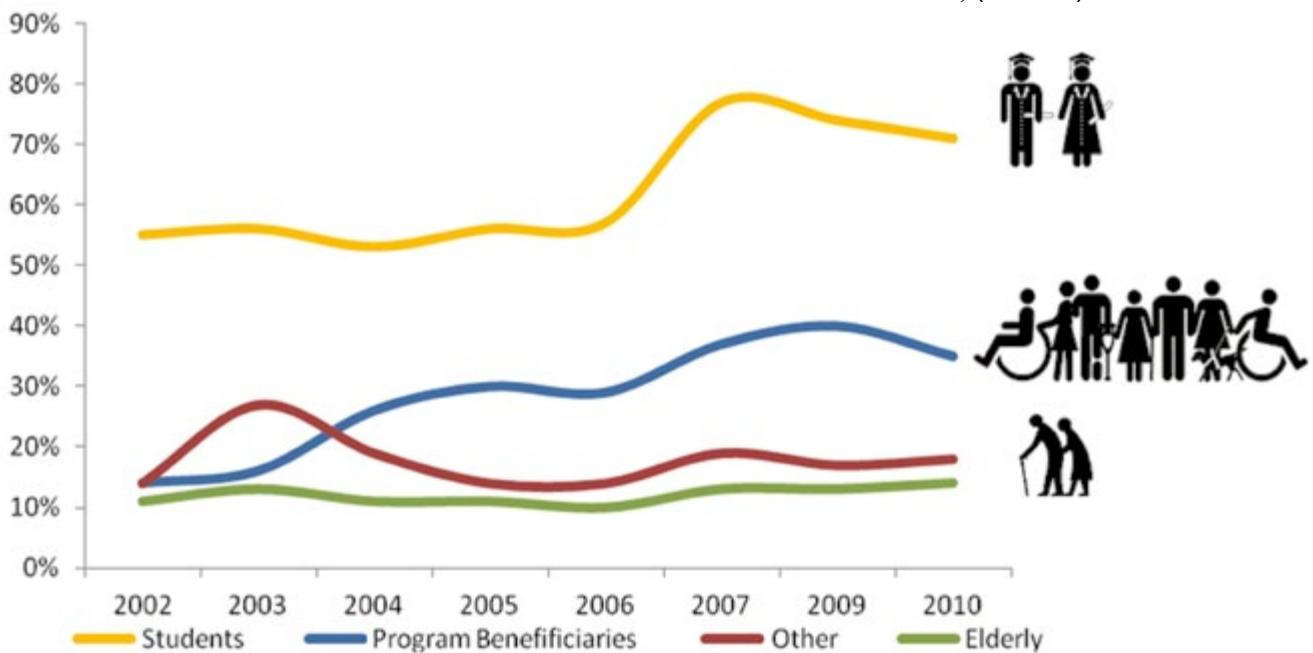
According to the findings of the survey completed in 2012 there were 69% of CSO that worked with volunteers in 2011. This is the lowest figure for the past ten years. On average a non-governmental organization has about 50 volunteers. Such large average number can be explained by the fact that some organizations have many volunteers thus affecting the average number for the sector. If we put aside respondents that have over 50 volunteers in their organizations then we will have 5 volunteers working in a civil society organization and 9 volunteers working in a charitable foundation on average. The volunteer roughly spends 6 working hours a week in the organization. In 2011 35% of CSOs managed to increase the average number of hours per week of volunteers' work, 64% of organizations reported no changes in the amount of hours and 16% of CSOs commented that the number was reduced.

But if the quantity of volunteers remained the same in 46% of polled CSOs during the past year, 35% of polled CSOs reported an increase (it was 39%¹³ in 2010) and 16% of CSOs reported a decrease in the number of their volunteers during the past year (the number was the same in 2010).

Graph 3.6.1 shows a social profile of volunteers that worked in the CSOs between 2002 and 2011. The findings of the 2011 survey demonstrate that volunteers in 73% of CSOs were students. One third of polled CSOs engage program beneficiaries as volunteers (34%), 16% of CSOs engage unemployed people, 11% of polled organizations involve elderly people and 8% of organizations work with housewives.

Graph 3.6.1

Persons who worked as CSO volunteers in 2002-2011, (N=637)



¹³ A significance level of 1%.

Over the past ten years there has been an upward trend in the number of CSOs that engage program beneficiaries in volunteer work. In particular in 2002 only 14% of respondents engaged program beneficiaries in volunteer work if compared to 34% in 2011¹⁴. It should be noted that the number of CSOs that engaged program beneficiaries in volunteer work was decreased by 6%¹⁵ in 2011 if compared to 2009; it was 34% in 2011 and 40% in 2009 respectively. When compared to the findings of the 2002 survey, in 2011 the share of students engaged in volunteer work was significantly higher. However, this figure was decreased when compared to 2007, in particular, 73% of CSOs in 2011 and 77% of CSOs in 2007¹⁶. An assumption can be made that the increased engagement of youth between 2002 and 2010 was connected to the overall increased public activity among the youth, increased unemployment and tougher competition on the market.

In 2011 the issue of remuneration of volunteer work was studied. The survey showed that 65% of respondents provide remuneration to volunteers. The majority of these CSOs (60% of organizations) do so by offering an opportunity to improve the volunteers' knowledge, 51% of CSOs help volunteers get access to information on various issues and 24% of CSOs give them opportunities to advance within the organization. Around 11% of CSOs provide in-kind support to volunteers and 5% of organizations give financial support to their volunteers.

Conclusion

Around 69% of polled organizations work with volunteers. There has been a steady downward trend in the number of organizations that work with volunteers over the period of 2002 and 2010. The most common groups of volunteers working with CSOs include students, program beneficiaries, elderly people and housewives.

3.7 Material resources of CSOs

The availability of material resources/infrastructure is a crucial element of the organizational capacity to implement project and render services. In addition, the material resources of CSOs reflect the sustainability and independence of the organization. For instance, the availability of own office space enables the organization to perform and provide services even when there is no external funding provided. The existing material resources are presented in Table 3.7.1 as reported by the CSOs' leaders.

Having reviewed the data provided in Table 3.7.1 a conclusion can be made that the number of organizations that have received office space free of charge¹⁷ and organizations that have office furniture¹⁸ was significantly decreased in 2011. Having reviewed the survey findings a conclusion can be made that the number of CSOs that have received office space for free varied within the range of 10% between 2002 and 2011. In 2011 the number of polled organizations that received office space for free is one of the lowest in the period of 2002 and 2011.

¹⁴ A significance level of 1%

¹⁵ A significance level of 1%

¹⁶ A significance level of 1%.

¹⁷ A significance level of 1%

¹⁸ A significance level of 1%.

Table 3.7.1
Material Resources, (N=637)

Elements of material cover	2002	2003	2004	2005	2006	2007	2009	2010	2011								
Free office space	40%	—	38%	—	37%	—	35%	—	30%	—	28%	↑	35%	↓	35%	↓	31%
Own office space	—		11%	—	13%	—	14%	—	12%		11%	—	11%	↓	12%	↓	11%
Rented office space	40%	↑	47%	—	44%	—	45%	—	48%	↑	53%	—	47%	↓	46%	↑	47%
Office furniture	59%	↑	70%	—	70%	—	71%	—	70%	↑	73%	—	74%	↓	72%	↓	66%
Phone	65%	↑	82%	—	79%	—	83%	—	84%	·	82%	—	84%	↓	76%	↓	75%
Fax	40%	↑	50%	—	48%	—	51%	—	51%	↑	59%	—	54%	↓	50%	↓	49%
Photocopier	37%	↑	45%	—	43%	—	46%	—	47%	↑	55%	—	56%	↑	59%	↑	62%
Computer	55%	↑	76%	—	75%	—	79%	—	81%	↑	82%	—	84%	↓	82%	—	82%
E-mail/internet	47%	↑	67%	—	65%	—	67%	↑	75%	—	75%	↑	79%	↓	77%	↑	79%
Car	9%	—	12%	—	11%	—	9%	—	12%	—	11%	—	10%	↓	11%	↑	12%

The number of computers was noticeably increased in 2005 and the number has not changed for six years in a row. In 2011 about 21% of CSOs still don't have access to the Internet and e-mail. The access to the Internet and e-mail was greatly improved in 2006 and varied within the range of 4% in the period of 2007 and 2011. The number of e-mail addresses listed in the questionnaire forms in 2010 is somewhat higher than the number of CSOs that have access to e-mail and to the Internet. This difference is a sign that some NGOs use these resources outside their organizations, perhaps, they have personal access or use the resources of other organizations.

Conclusion

The study of material resources available to CSOs between 2002 and 2011 demonstrates that the overall infrastructure at the CSOs coincides with the general market trends in Ukraine. Over the past ten years the computer equipment has become cheaper and more affordable. It has led to the increased number of CSOs that have a computer, access to the Internet and a copy machine.

3.8 CSOs sources of funding

This chapter provides information about sources of funding of the Ukrainian CSOs, reviews shares of funding generated from various sources and presents the total budget of the organizations. As a result, the diversity and intensity of fundraising activities, the share of each funding source and total volume of funding are assessed as well as the dynamics of annual budgets of the polled organizations.

Only 32% of polled CSOs have a fundraising plan.

In addition to purely financial questions the respondents also provided answers about the availability of fundraising plan for at least for one year. Such plan is an indication of a financial planning in the organization carried out in compliance with the mission, strategic plan and priority areas and not just a response to the donors' calls for proposals. Only 32% of polled organizations have

a written fundraising plan in 2012. This number has dropped by 2% if compared to the findings of the 2010 survey (34%)¹⁹.

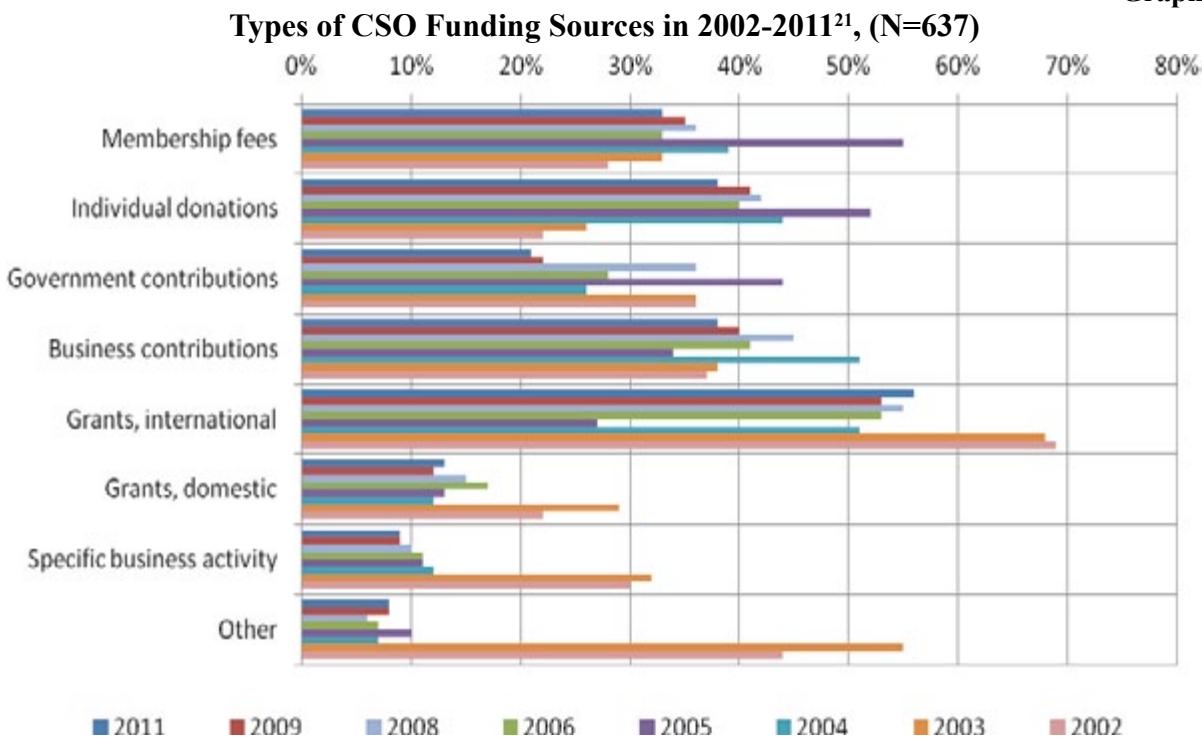
The review of answers provided to the question about individuals responsible for fundraising in CSOs has revealed that the fundraising duties lack clarity and are divided between the staff of the organizations in many cases.

The findings of the 2011 survey have demonstrated that the share of CSOs (79%), in which the head of organization is *always* responsible for fundraising activities has been increased to 68%, with a significance level of 1%. The head of organization is *mostly* responsible for fundraising in 15% of polled CSOs. The collective governing body is *always responsible* for fundraising activities in 26% of polled organizations, *in most cases* - in 27% of organizations, *from time to time* - in 14% of CSOs. The members of organization are *always engaged* in fundraising only in 11% of polled organizations, *in most cases* – in 17% of CSOs, *from time to time* – in 25% of polled CSOs and *in certain circumstances* – in 18% of organizations. The situation with the engagement of various representatives of CSOs in fundraising activities has not experienced any major changes over the past ten years except for an increased role of the executive director in this process.

The situation with the availability of written financial plans of organizations separate from the project financial plans is at somewhat lower level than the situation with the availability of a fundraising plan. Only 26% of CSOs polled in 2011 have written financial plans of organizations separate from the project financial plans. In 2010 the share amounted to 32%²⁰. It should be mentioned that only 26% of polled CSOs that have a fundraising plan also have a strategic plan.

Graph 3.8.1 shows funding sources of the Ukrainian CSOs. The share indicated in the graph stands for number of organizations that receive funding from this source. All financial questions listed in the questionnaire pertain to the 2011 calendar year.

Graph 3.8.1



¹⁹ A significance level of 1%

²⁰ A significance level of 1%.

²¹ Question #47 of the Questionnaire.

The average share of a funding source in the budget of an organization provides a better picture of revenues of the Ukrainian third sector. Having reviewed the data of Graphs 3.8.1 and 3.8.2 a conclusion can be made about the budget of an average CSO. For instance, 38% of polled CSOs reported financial support from the business community; however, the share of business contributions amounts only to 13% of the organization's budget. The number of CSOs that received funding from the international donors is higher and it amounts to 56% of polled CSOs but the share of international grants in the budget of CSOs amounts to 45%. Similar to this, 21% of respondents receive government contributions but they only make 8% of the CSO's budget. Around 38% of CSOs receive individual donations and their share in the overall budget is only 12%. Around 13% of CSOs receive domestic grants and their share makes 3% in the total budget of an organization. Own business activities provide funding for 9% of respondents but their share amounts only to 3% in the total budget.

Graph 3.8.2 shows the share of each funding source in the NGO's budget and changes it has undergone in the period between 2002 and 2011. The share of a particular funding source is provided for NGOs that use the particular source.

Table 3.8.2

Percentage of 2002-2011 CSO Funding from Specific Sources, (N=637)

	2002		2003		2004		2005		2006		2008		2009		2011
Citizen contributions	11%	-	11%	↑	12%	↓	11%	↑	12%	↓	11%	↑	12%	-	12%
Grants, domestic	3%	-	3%	↑	4%	↑	5%	↑	5%	↑	4%	↑	5%	↓	3%
Membership fees	12%	↑	14%	↓	12%	↓	9%	↑	12%	↑	10%	-	10%	↑	13%
Specific business activity such as social enterprise	4%	↓	3%	↑	4%	-	4%	-	4%	↗	3%	-	3%	-	3%
Government contributions	11%	↓	10%	↓	9%	↑	10%	↑	10%	↑	13%	↑	10%	↓	8%
Business contributions	20%	↑	21%	↑	19%	-	19%	↓	15%	↑	16%	↓	14%	↓	13%
Others	4%	↑	6%	↓	3%	↑	4%	↓	3%	↑	2%	-	3%	-	3%
Grants, international	35%	↓	32%	↑	37%	↑	38%	↑	39%	↑	41%	↑	43%	↑	45%

Having reviewed Table 3.8.2 a conclusion can be made that the share of membership fees and grants from the international donor organizations was increased in 2011. At the same time the share of membership fees and public finance was decreased. There has been a downward trend in the share of business contributions in the budgets of CSOs and an upward trend in the share of international grants over the course of the past ten years.

Sources of funding for NGO and their budget share, 2011 p.

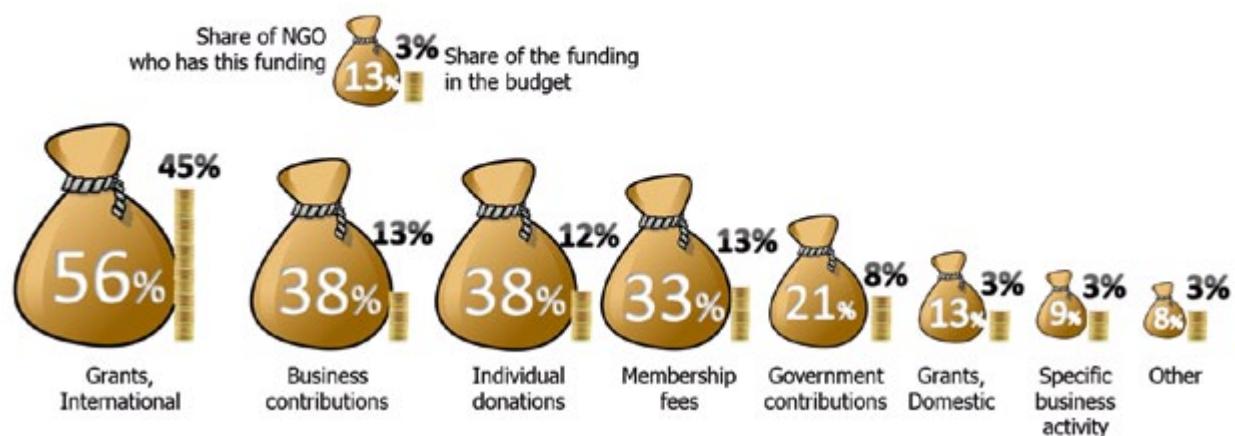


Table 3.8.3 provides information about the budget of NGOs polled between 2002 and 2011.

Table 3.8.3

2002-2011 CSO Funding Base ²², (N=637)

	2002	2003	2004	2005	2006	2008	2009	2011							
\$0 – \$500	26%	↓	25%	↓	24%	↓	21%	↓	7%	↑	15%	↑	16%	↓	13%
\$501 – \$999	11%	↓	10%	↑	12%	↑	13%	↑	18%	↓	11%	↓	9%	↓	8%
\$1 000 – \$4 999	17%	↑	20%	↓	18%	-	18%	↓	7%	↑	16%	↑	17%	↑	18%
\$5 000 – \$9 999	12%	-	12%	↓	11%	↓	9%	↑	15%	↓	13%	↑	14%	↓	11%
\$10 000 – \$19 999	10%	↓	9%	↑	12%	↓	11%	↑	15%	↓	10%	↑	11%	↑	14%
\$20 000 – \$29 999	4%	↑	6%	-	6%	↑	8%	↓	10%	↓	7%	-	7%	↑	9%
\$30 000 – \$49 999	3%	-	3%	↑	4%	↑	6%	↑	8%	↓	7%	-	7%	↓	6%
More than \$50 000	6%	↓	5%	↑	8%	↑	9%	↓	5%	↑	12%	↓	10%	-	10%
Don't know	11%	↓	10%	↓	5%	↑	5%	↑	15%	↓	9%	↓	9%	↑	11%

Between 2002 and 2011 the number of CSOs that have an annual budget up to 500 USD varies. In 2002 26% of respondents reported the budget under 500 USD, in 2003 the figure was 25%, in 2004 – 24%, in 2005 – 21%, in 2006 the number of CSOs that had an annual budget under 500 USD fell down to 7% and in 2008 the number almost doubled and amounted to 15% of polled CSOs²³. In 2009 the number was 16% and in 2011 the number of CSOs with the budget under 500 USD was slightly increased and reached 13%.

In 2011 the number of organizations that have an annual budget below 10000 USD was decreased by 3%; in particular it was 11% in 2011 and 14% - in 2009. The number of CSOs with an annual budget under 20000 USD was increased by 3%; in particular it was 14% in 2011 and 11% in 2009.

Conclusion

Only one third of polled organizations have a fundraising plan. The most common sources of funding for the Ukrainian CSOs include grants from the international donor organizations, business contributions, citizen contributions and membership dues. During the past ten years there has been a downward trend in the share of business contributions and an upward trend in the share of grants provided by the international organizations in the CSOs' budgets. The most common types of budgets of the Ukrainian CSOs are as follows: 0 USD – 500 USD, 1000 USD – 4999 USD, 10000 USD – 19 999 USD and within 5000 USD and from 10000 to 20000. Only one in ten organizations has a budget over 50000 USD.

Funding from the government

This chapter of the report provides information about the financial and in-kind contribution from the state/government.

Around 24% of CSOs reported the financial support received from the state in 2011. In particular, 21% of these organizations received funding less than 500 USD (see Graph 3.8.4). It should

²² Question #49 of the Questionnaire.

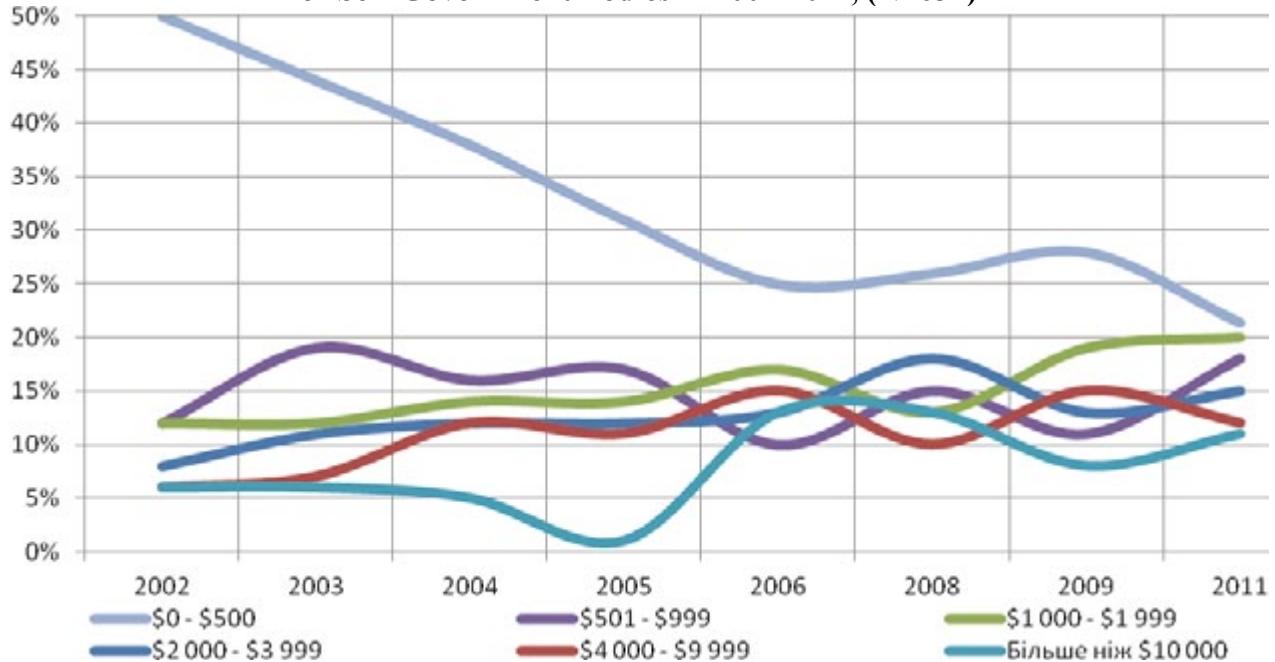
²³ A significance level of 1%.

be noted that this number is the lowest since 2002 and it has dropped by 7%²⁴ when compared to the 2009 data. The increase of the financial support within the range of 501 USD to 999 USD (18% in 2011²⁵, 11% in 2009, 15% in 2008²⁶ and 10% in 2006 respectively) should be mentioned as well as the increase of the financial support over 10000 USD (11% in 2011 and 8% in 2009²⁷).

Only 24% of CSOs received financial support from the state/government in 2011.

Graph 3.8.4

Financial Support Received by CSOs from Government or Self-Government Bodies in 2002-2011, (N=637)



Around 19% of CSOs received in-kind contributions from the governmental agencies or local self-government bodies, in particular it included free facilities, office furniture etc. It should be noted that the number of CSOs that receive in-kind contributions from the government agencies or local self-government bodies was greatly decreased in 2011, in particular, it was 47% in 2009, 41% in 2008²⁸ and 38% in 2006²⁹). In 2011 40% of these organizations received in-kind contributions less than 500 USD. It was 47%³⁰ in 2009, 41%³¹ in 2008, 38%³² in 2006, 49% in 2005, 55% in 2004, 64% in 2003 and 65% in 2002 (see Graph 3.8.5). It should be noted that the number of respondents that had received in-kind contributions over 10000 USD was noticeably increased in 2011, in particular, it was 9% in 2011 and 3% back in 2009³³ and under 1000 USD, in particular, it was 18% in 2011 and 11% in 2009³⁴.

²⁴ A significance level of 1%

²⁵ A significance level of 1%

²⁶ A significance level of 1%

²⁷ A significance level of 1%

²⁸ A significance level of 1%

²⁹ A significance level of 1%

³⁰ A significance level of 1%.

³¹ A significance level of 1%.

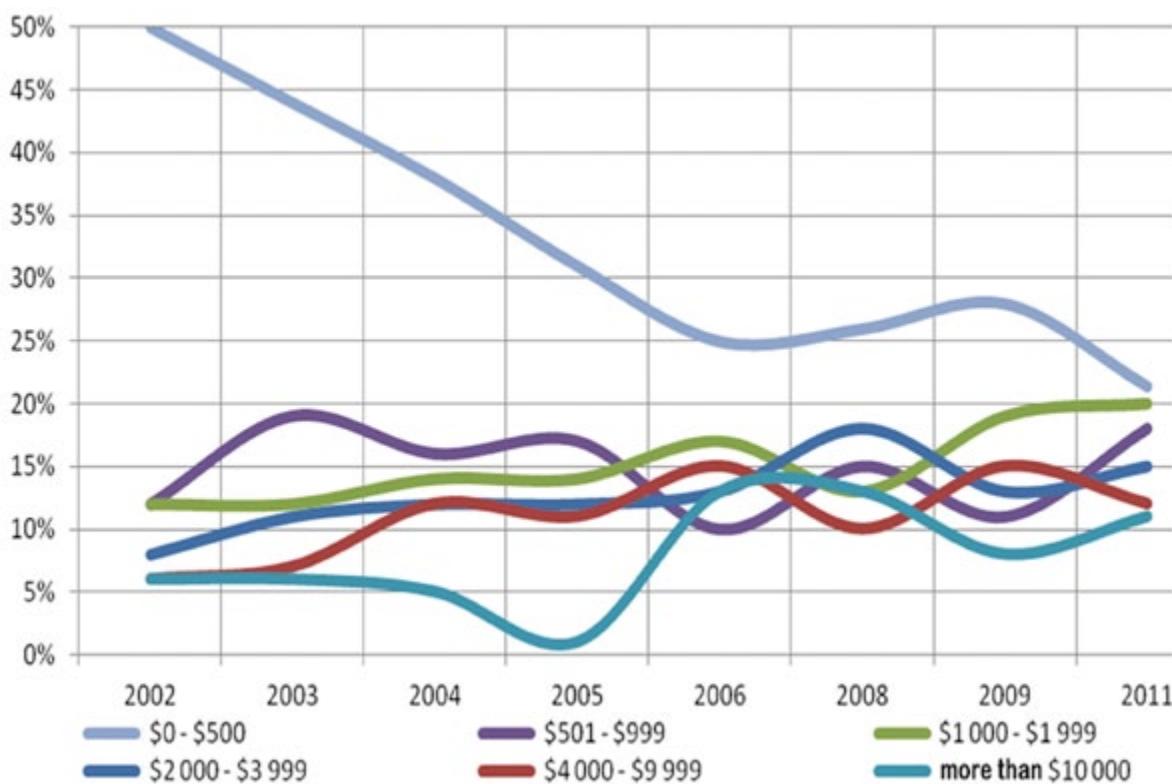
³² A significance level of 5%

³³ A significance level of 1%

³⁴ A significance level of 1%

Graph 3.8.5

Amount of In-Kind Contributions to CSOs from Government or Self-Government Bodies in 2002-2011³⁵, (N=637)



Conclusion

In 2011 the number of organizations that received financial support and in-kind contributions from the government and local self-government bodies was decreased when compared to the previous years. The significant increase of the financial support from the government in the amount of 501 USD to 999 USD and 10000 USD and the increase of the in-kind contributions below 500 USD, below 1000 USD and over 10000 USD should be mentioned.

Funding from business

In 2011 the polled CSOs received both financial support and in-kind contributions from the business community.

Around 35% of polled CSOs received financial support from the local business community in 2011, in particular 33% of these organizations received financial support under 500 USD per year, it was 45% in 2009³⁶, 38% in 2008³⁷ and 36% in 2006; 17% of respondents received funding under 1000 USD, it was 12% in 2009³⁸; 18% of polled organizations received funding under 2000 USD, it was 12% in 2009³⁹ (see Graph 3.8.6).

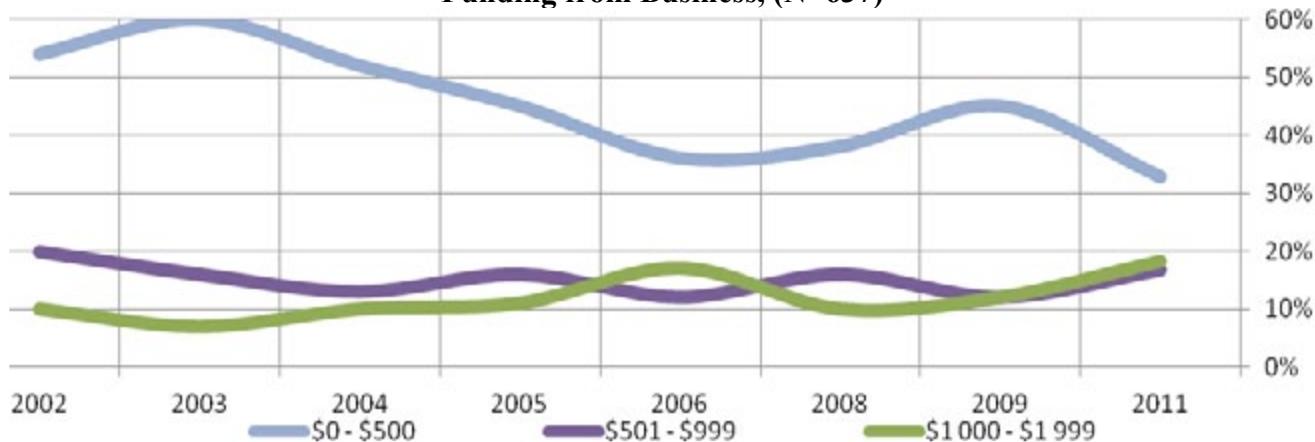
³⁵ Question #52b of the Questionnaire

³⁶ A significance level of 1%.

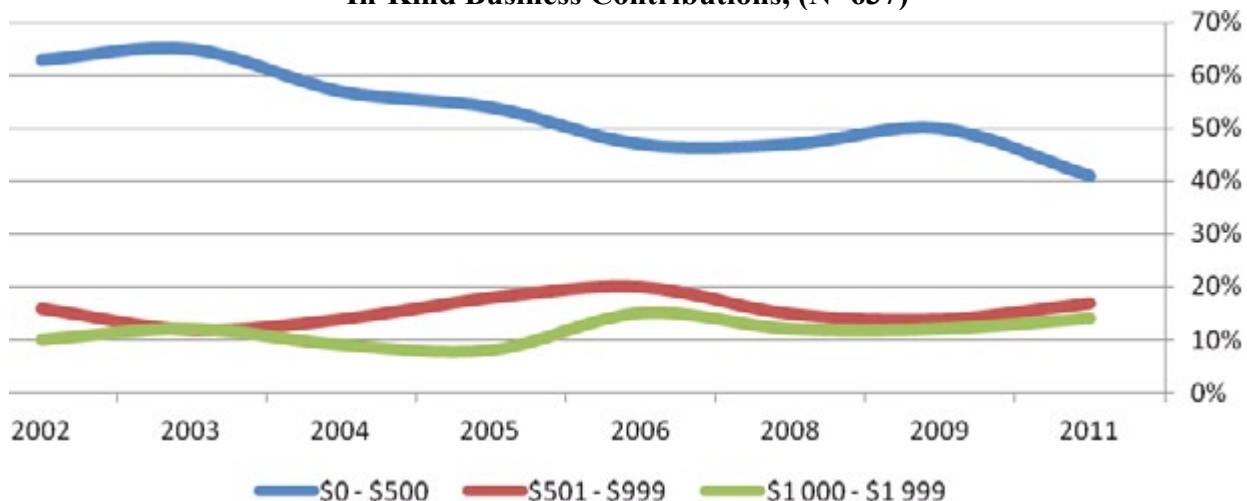
³⁷ A significance level of 1%.

³⁸ A significance level of 1%

³⁹ A significance level of 1%

Graph 3.8.6**Funding from Business, (N=637)**

Around 35% of CSOs received in-kind contributions from the business community in 2011; in particular it included office furniture, telephone, fax, copy machine, access to e-mail and the Internet. Around 41% of organizations that received in-kind contributions from the business community got under 500 USD; it was 50% of organizations in 2009⁴⁰, 47% of CSOs in 2008 and 2006⁴¹. The increase of in-kind contributions from the business up to 1000 USD (17% of CSOs in 2011 and 14% of CSOs back in 2009) and up to 2000 USD (14% of CSOs in 2011 and 12% in 2009) should be noted. The in-kind contributions are depicted on Graph 3.8.7.

Graph 3.8.7**In-Kind Business Contributions, (N=637)****Conclusion**

In 2011 the number of CSOs that received financial support from the local business community was decreased if compared to the 2010 data. However, the number of polled CSOs that received the in-kind contributions was increased. The largest share of CSOs received financial support under 500 USD per year from the local business community.

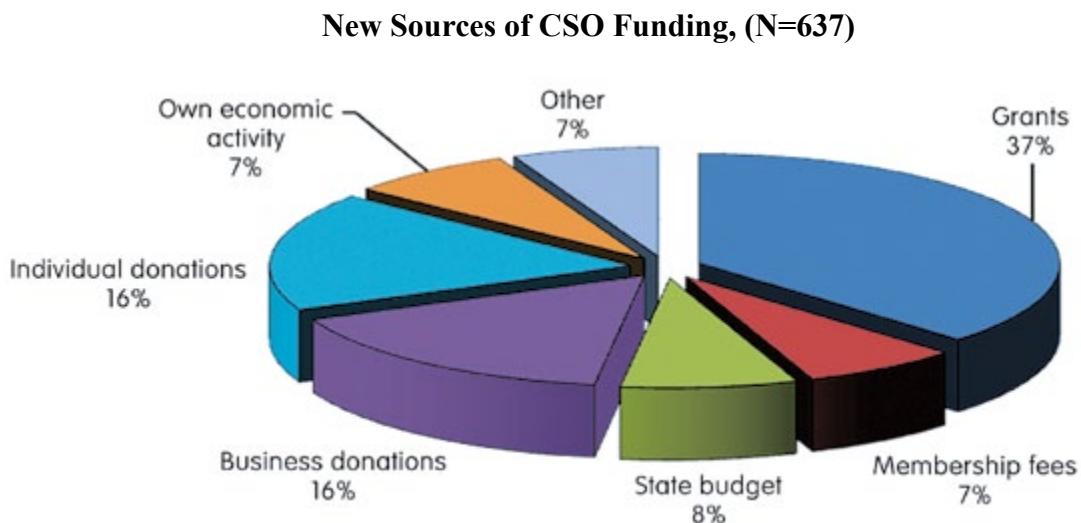
⁴⁰ A significance level of 1%

⁴¹ An insignificance level of 5%.

3.9 Fundraising strategies

About 36% of respondents raise money in *compliance with the strategic plan of the organization*, 25% of respondents do it on an ad hoc basis and 23% of CSOs conduct special fundraising campaigns. Around 26% of CSOs reported new sources of funding that were not available in the previous year. The division of the new sources of funding is shown on Graph 3.9.1.

Graph 3.9.1



It should be mentioned that only 26% of organizations that have a fundraising plan also have a strategic plan. The share of CSOs that have reported an increase in funding when compared to the previous year has significantly been decreased when compared to the past years; in particular, it was 20% in 2011, 33% in 2010⁴² and 34% in 2009. The share of CSOs that reported a decrease in funding was 27% back in 2002, 20% in 2005 and in 2006 the number dropped again to the level of 2002 (26% of CSOs). In 2009⁴³ this indicator was 35%, in 2010 the number dropped to 32% and in 2011 it was 33%.

Conclusion

Despite the fact that fundraising is one of the crucial elements that affects the sustainability of CSOs the organizations still lack understanding that the pre-requisite of successful fundraising strategy does not mean short-term or ad hoc campaigns but rather sound internal financial planning and fundraising planning according to the mission of an CSO. The organizations demonstrated experience in financial planning and fundraising from various sources but they still lack a holistic approach both to planning and operating in line with the developed plans. In 2011 the number of polled CSOs that experienced a decrease in funding during the past year was significantly increased.

⁴² A significance level of 1%

⁴³ A significance level of 1%.

3.10 Management systems in organizations

The management systems of CSOs include the decision-making process in the organization, a system of internal control and procedures for delegating responsibilities in order to improve the internal capacity of a CSO. The availability of proven management systems in the organization facilitates its ability to implement projects and demonstrate sustainability.

The respondents provided answers about individuals and groups of people engaged in decision making about programs and activities of their organizations. The executive director is *always* and *most of the time* takes part in the decision making in 94% of polled organizations. The collective governing body is involved in decision making to a similar extent in 75% of organizations. The staff participates in the decision making *most of the time* and *always* in 32% of organizations. The members of CSO take part in decision making *most of the time* and *sometimes* in 57% of CSOs and *always* – in 13% of CSOs. The full information about the breakdown of individuals and groups engaged in the decision making in the organizations is provided in Table 3.10.1.

Table 3.10.1

**Individuals and Groups Involved in Decisions
Regarding CSOs Programs and Activities (%)⁴⁴,
(N=637)**

	Never	Rarely	Sometimes	Most of the time	Always
Executive Director	0%	0%	1%	8%	86%
Governing Body	3 %	3%	8%	31%	44%
Staff	15%	7%	15%	22%	10%
Financial Director	5%	13%	28%	29%	13%
Organization Members	17%	22%	21%	8%	3%

In many organizations the executive director, collective governing body and members of CSO are responsible for decision making. The participation of the collective governing body in the decision making regarding project activities is an indication that the collective governing body not only takes part in the strategic planning but is also directly engaged in the activities of an organization and that goes against its primary role that it is supposed to perform in the CSO.

A big number of organizations, in particular, 84% in 2011, 86% in 2010 and 2009 and 84% in 2006⁴⁵ and 61% in 2002⁴⁶, in which the head delegates program and/or administrative responsibilities to the staff, is an indication of a participatory approach to management, on one hand. On the other hand, when reviewing the findings of the survey it is important to remember that it was the heads of organizations that answered the questions about the delegation of responsibilities.

The organizations scored high in terms of the availability of a formal document registration system. Around 83% of CSOs polled in 2011 said that they had the formal document registration system (printed or electronic), in 2010 the figure was 84%, in 2009 it was 81%, in 2006 the figure was 81%⁴⁷ and in 2003 it was 88%⁴⁸.

⁴⁴ Question # 94 of the Questionnaire

⁴⁵ A significance level of 5%

⁴⁶ A significance level of 1%

⁴⁷ A significance level of 5%

⁴⁸ A significance level of 1%.

The Ukrainian CSOs also demonstrated high scores in the field of financial management and monitoring/control. More than two thirds of polled organizations have an accountant (68%); 64% of respondents believe that their accounting system is in line with the national and international accounting standards. Around 62% of polled CSOs mentioned that their organizations have introduced financial management system for planning, funds allocation and financial reporting.

About 23% of respondents are experienced with *the external audit* and 23% of polled organizations have not had an audit but are ready for it. One half of polled organizations said that they were not ready for an audit (48% of respondents respectively).

Only 49% of polled organizations separate the institutional budget from the project budgets and only 26% of respondents have financial plan developed.

Around 78% of organizations evaluate their activities, which is a positive development that demonstrates that the CSOs are aware about the benefits of evaluation and the role it plays for the overall management. On the other hand, only 19% of polled organizations engage external experts to conduct such evaluations. The figure is lower than it was in 2010 (it was 24⁴⁹ back then). However, there might be a partiality factor in the evaluation as they are held by the internal specialists.

Conclusion

The CSOs showed high scores in terms of the availability of formal management elements such as document registration system, internal financial control system, decision making and participation of staff members in decision making pertinent to the program and operational activities of the CSOs.

⁴⁹ A significance level of 1%.

4. External Relationships of CSOs or the Ability of the Organization “To Co-Exist”

This section presents the data characterizing relations between the surveyed CSOs and the state, business, donor organizations, public, mass media, and their cooperation with other CSOs.

4.1 Cooperation with the state institutions

Cooperation between CSOs and government structures is an important factor that influences the capacity of the CSO to advocate and to influence the formation of a democratic society. For many CSOs, fruitful cooperation with local government provides an opportunity to get funding from local sources to deliver social services and to involve the representatives of government structures and interest them in the organization's development by means of their personal participation in CSO activities. In view of this, it is possible for CSOs to efficiently influence state policy and achieve sustainability at the local level, but only if the state sector is involved in the work and problem solving of the third sector.

In order to define the types and forms of cooperation between CSOs and government, the respondents were asked to answer a wide range of different questions.

At present the contacts between CSOs and the government are mostly initiated by both parties (as reported by 58% of respondents). However, there is a downward trend in this number, in particular in 2010 it was 62% of CSOs (by 4% higher) and in 2009 it was 65%. Nevertheless the share of contacts initiated by CSOs continues to increase; in particular it was 37% in 2011 and 30% in the previous year. The low activity of the government as regards initiating contacts with CSOs (only 3% reported in 2010) has dropped even further and amounts only to 1% in 2011.

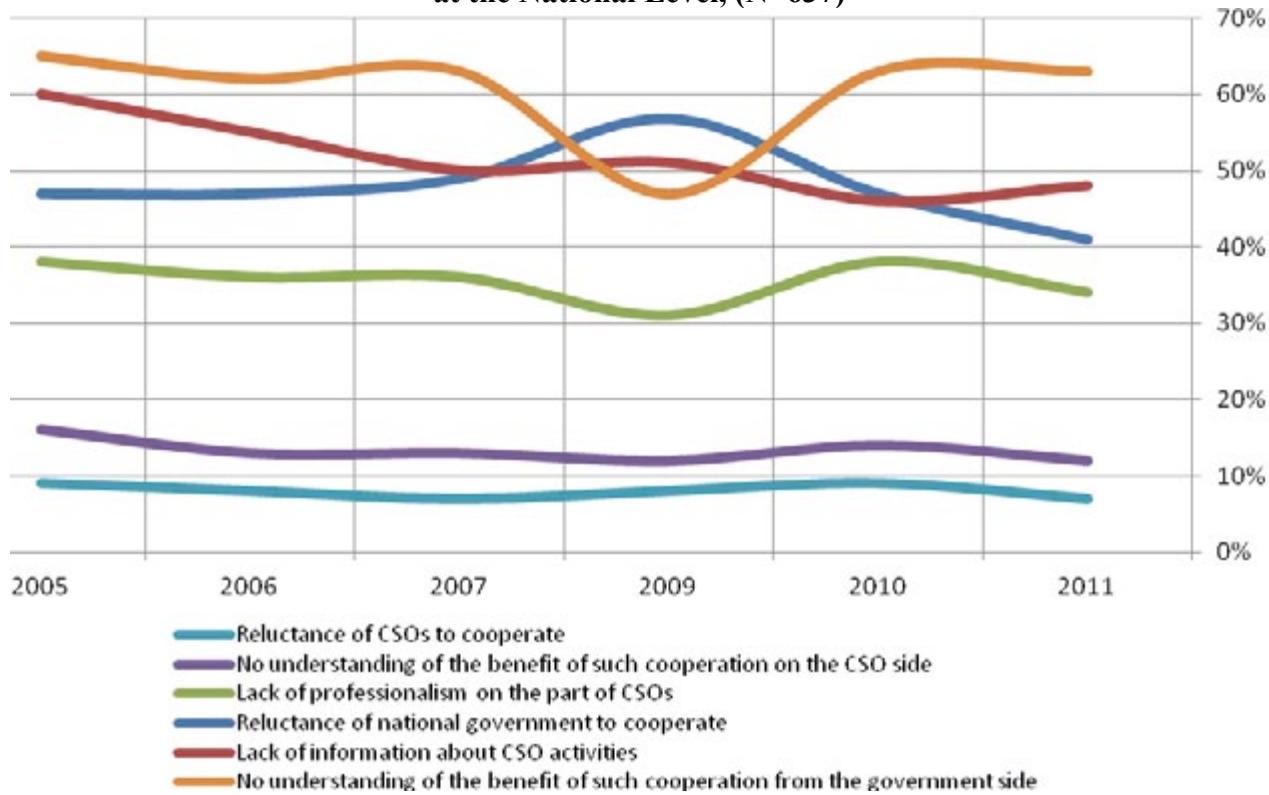
In the 2011 survey the respondents were asked to provide an answer about the type and focus of cooperation of the CSOs and the government during the previous year.

Nearly one half of respondents (49%) cooperated with the government in the area of service provision. One third of organizations (33%) had cooperation in the area of advocacy campaigns, whereas more than a quarter of CSOs (28%) developed draft regulations together with the public authorities.

The representatives of CSOs identified reasons why CSOs and the government had limited cooperation. The respondents could choose as many options as they wished from the list. The findings are presented in Graph 4.1.3 (by percentage).

Graph 4.1.3

Reasons for Limited Cooperation between CSOs and Government at the National Level, (N=637)



The number of respondents who mentioned *the lack of understanding of the benefit of such cooperation from the government side* as a reason for limited cooperation of CSOs and the government at the national level was steady and varied within the range of 62% and 65% between 2005 and 2011. The year of 2009 became an exception since that option was selected by 47% of respondents. Also the findings of the 2009 survey recorded a drastic change in the provided answers; in particular, less people selected the option of *lack of professionalism on the part of CSOs* and an increase in the number of organizations that selected the option of *reluctance of the national government to cooperate*.

In 2011 the number of CSOs that reported *the reluctance of the national government to cooperate* continued to go down. In particular it was 41% in 2011, 47% in 2010, 57% in 2009, 49% in 2007, 47% in 2006 and 2005. According to the findings of the 2011 survey the number of CSOs that selected the option of *lack of professionalism on the part of CSOs* was decreased by 4%. In particular, it was 34% in 2011, 38% in 2010, 31% in 2009⁵⁰, 36% of polled CSOs in 2006-2007 and 38% in 2005⁵¹. The number of CSOs that selected the option of *lack of information about CSO activities* was slightly increased (by 2%); in particular it was 48% in 2011, 46% in 2010, 51% in 2009⁵², 50% in 2007, 55% in 2006 and 60% in 2005.

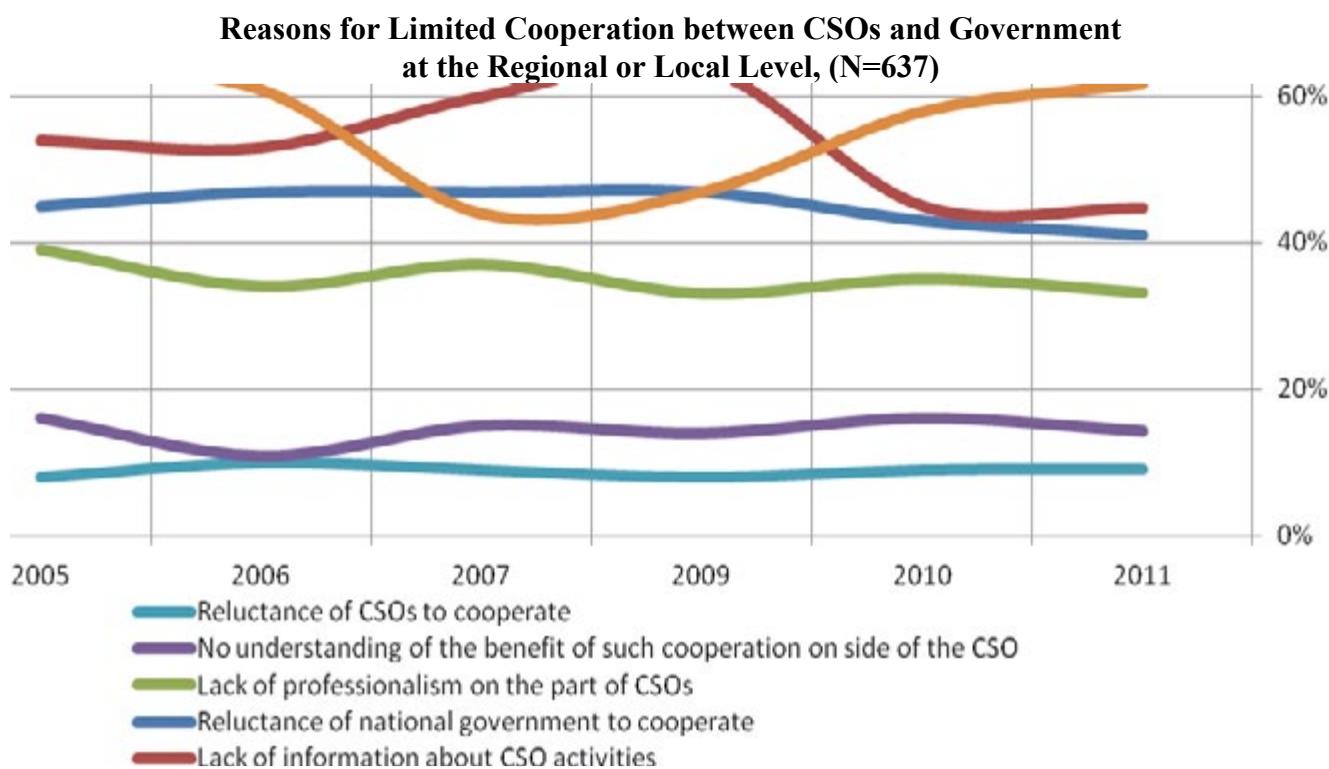
The respondents were also asked to define the main reasons why the cooperation at the regional or local level was also limited and poor (see Graph 4.1.5).

⁵⁰ A significance level of 1%

⁵¹ A significance level of 1%

⁵² As indicated by 47% of polled CSOs.

Graph 4.1.5



The CSOs identified the main obstacles such as *lack of understanding of the benefit of such cooperation on the government side* (62%), *lack of information about CSO activities on the part of the government* (45%) and *reluctance of the national government to cooperate* (41%). Therefore, the representatives of the third sector in Ukraine are inclined to shift the blame for limited cooperation on the government similar to previous years.

The review of dynamics of these indicators between 2003 and 2011 shows a decrease in the number of CSOs that have reported *the reluctance of the national government to cooperate with CSOs* in 2011. In 2011 around 41% of polled CSOs selected that option, whereas the number was 43% in 2010 and 47% of respondents reported that answer as the main reason for limited cooperation of CSOs and the government in 2006-2009⁵³. In 2005 around 45% of CSOs chose that option.

The number of organizations that selected the option of *lack of information about CSO activities on the part of the national government* did not change in 2011 when compared to 2010; in particular, the number was 45% in 2011 and 2010, 64% in 2009⁵⁴, 60% in 2007, 53% in 2006 and 54% in 2005.

It should be also mentioned that there was a continuous upward trend in the number of organizations that selected the option of *lack of understanding of the benefit of such cooperation on the part of the national government* in 2011; in particular, there were 62% of organizations in 2011, 58% in 2010, 47% in 2009⁵⁵, 44% in 2007, 61% in 2006 and 64% in 2005.

Having reviewed the reasons why the cooperation of CSOs and the government was limited at the national and regional level one can notice that the difference between the answers of respondents is small and insignificant (mainly within a 1%-5% range) if compared to the previous year

⁵³ A significance level of 1%.

⁵⁴ A significance level of 1%.

⁵⁵ A significance level of 1%.

of 2010. An assumption can be made that as a result of centralization of all levels of the government that has been going on in Ukraine over the past few years the local public authorities have started to coordinate more their work and seek approval from the central authorities thus limiting the possibility to develop initiatives at the grassroots level. Eventually this trend has leveled down the effectiveness and ineffectiveness of cooperation of CSOs and public authorities both at the national and regional level.

At the same time several negative trends can be observed including the increased number of CSOs that reported lack of understanding of the benefit of such cooperation on the part of the government at the local level. In addition more CSOs reported lack of information and awareness about CSOs' work displayed by the public authorities at the national level.

In order to get a better picture of the cooperation of CSOs and the government in Ukraine the respondents were asked to define the nature of cooperation by selecting from four options (4C's). Nearly one half of CSOs (46%) think that the CSOs and the public authorities share common goals but different ways of achieving them (this type of cooperation is called *complementation*, in other words "mutual complement/enrichment"). Moreover, almost one in four respondents (23% of polled CSOs) believes that the civil society organizations and the public authorities *clash*, in other words they have different goals and different ways of achieving them. Around 16% of CSOs think that the CSOs and public authorities share the same goals and same ways of achieving them (*coordination*) and 12% think that the CSOs and the public authorities have the same ways of achieving the goals but the goals are different (*cooptation*).

The survey has also demonstrated the increased level of self-assessment of overall professionalism and competence of CSOs. However, the share of respondents that think that one of the main reasons why the cooperation with the public authorities is limited is the lack of professionalism was decreased.

Conclusion

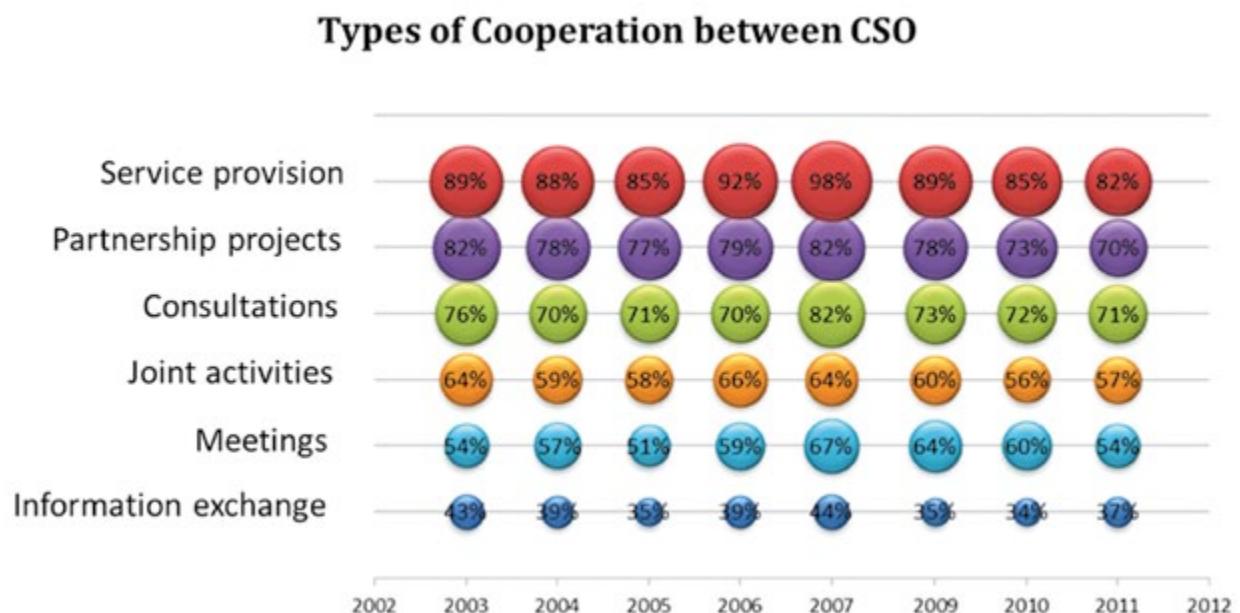
CSOs have regular contacts with the government agencies and in most cases both parties are interested in cooperation. The survey findings show that in many cases both parties initiate such contacts and interaction. In 2011 the public authorities were less reluctant to work with the CSOs according to the smaller number of respondents who reported the reluctance of the government to cooperate with the CSOs. Half of polled CSOs think that they and the public authorities have the same goals but different ways of achieving them (Complementation), one in four organization believes that CSOs and the public authorities clash; only 16% of CSOs think that CSOs and the public authorities share the same goals and ways of achieving them (Coordination) and 12% of organizations think that CSOs and the public authorities have the same ways of achieving the goals but the goals are different.

4.2 Cooperation with other CSOs

Knowing what other CSOs are doing is the first step towards cooperation. The respondents were asked about their level of knowledge about the activities of the CSOs that deal with the same or similar issues at the international, national, regional or local level. About 27% of CSOs are well informed about the activities at the international level. About 48% of respondents are aware about the activities of their peers at the national level. When speaking about the regional or local level the percentage of CSOs familiar with the activities of other CSOs goes up. For instance, 81% of polled organizations reported that their representatives were aware and informed about similar organizations operating at the local level and 70% of CSOs at the regional level. It should be mentioned that all awareness indicators were increased by 2-4% if compared to 2010.

Around 93% of respondents commented that they cooperated with other CSOs. Graph 4.2.1 demonstrates types of cooperation; the respondents had a possibility to choose several options. The responses show that the large share of polled CSOs (82%) are engaged in information sharing. Around 70% of respondents have joint meetings. At the same time the cooperation in the form of service provision is less common (only 37% of CSOs reported it). In the period of 2007 and 2011 there was a downward trend in the number of partnership projects (from 68% to 54%), consultations (from 64% to 57%), information sharing (from 98% to 82%), joint activities (from 73% to 71%) and meetings (from 82% to 70%). In general, there is a downward trend in the level of cooperation of CSOs between 2003 and 2011.

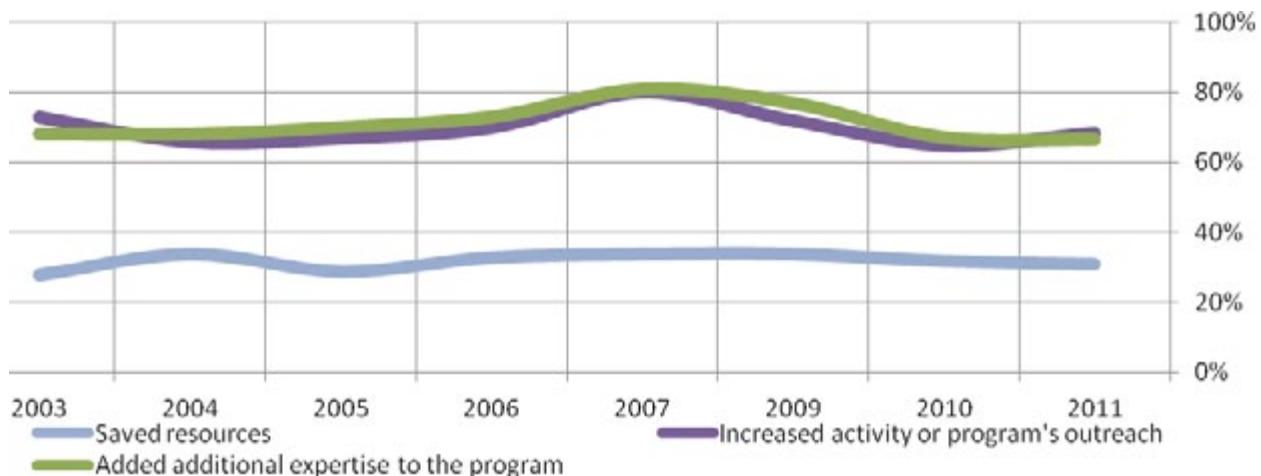
Graph 4.2.1



Graph 4.2.2 demonstrates the benefits of cooperation of CSOs as indicated by the respondents.

Graph 4.2.2

Benefits of Cooperation between NGOs, (N=637)

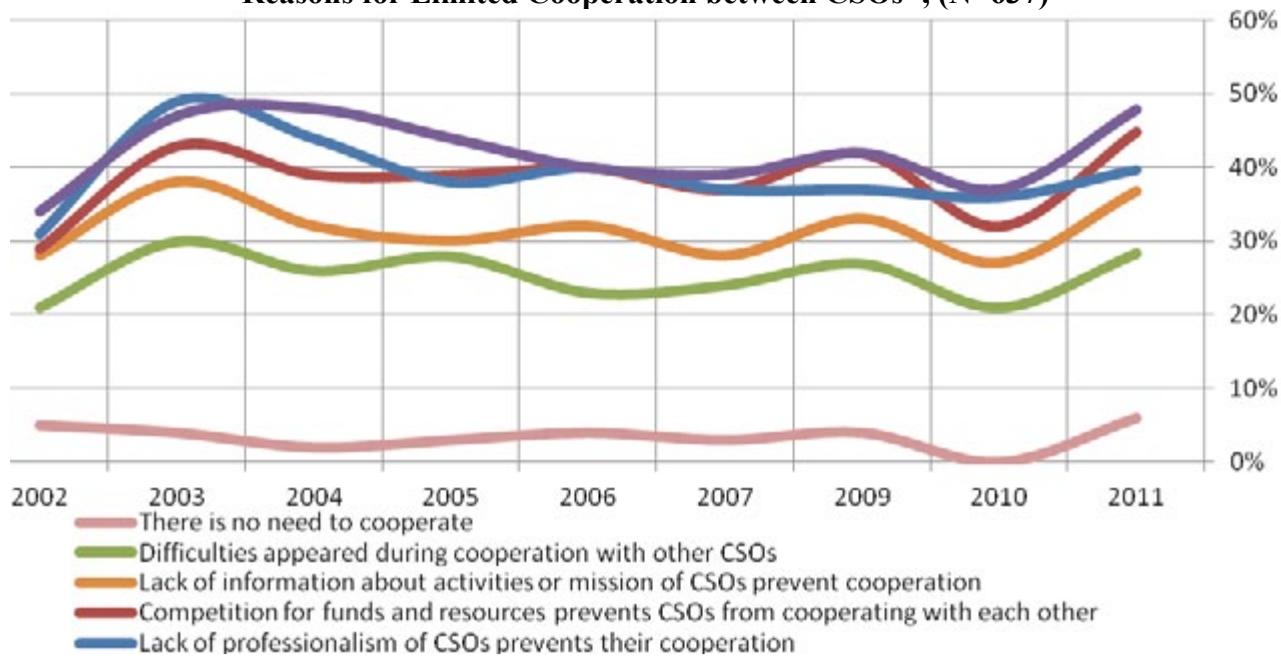


The majority of respondents think that the cooperation of CSOs enables to improve the quality of provided services by combining expertise (according to 66% of CSOs) and to expand the activities and program's outreach (according to 68% of CSOs). Around 31% of respondents mentioned that the joint activities helped them save resources. And only 1% of organizations reported that cooperation was not a success. According to the findings of the 2011 survey the shares of responses about the benefits of cooperation with other CSOs have not changed much.

Despite the fact that many representatives of CSOs reported the cooperation with other organizations and qualified it as successful and beneficial, the majority of respondents (around 65%) still think that the level of cooperation of non-governmental organizations is not sufficient. Graph 4.2.3 demonstrates the breakdown of answers about the reasons why the cooperation of CSOs is limited.

Graph 4.2.3

Reasons for Limited Cooperation between CSOs⁵⁶, (N=637)



⁵⁶ Question # 80 of the Questionnaire

In 2011 48% of respondents mentioned the arrogance of leaders; the figure was 37% back in 2010, 42% in 2009, 39% in 2007, 40% in 2006, 44% in 2005, 48% in 2004, 47% in 2003 and 34% in 2002.

Around 40% of respondents indicated *lack of professionalism of CSOs* in 2011, 36% in 2010, 37% in 2009 and 2007, 40% in 2006 and 49% in 2003.

About 45% of respondents mentioned *competition for funds and resources* in 2011, 32% in 2010, 42% in 2009, 37% in 2007, 40% in 2006, 39% in 2005, 39% in 2004, 43% in 2003 and 29% in 2002. Therefore, there is additional evidence to support the assumption made during the last year's survey that the increased *competition amongst the polled organizations* was the result of reduced funding from the international and local donors.

Difficulties faced during cooperation with other CSOs were quoted more often if compared to 2010 (21%), 2009 (27%⁵⁷), 2007⁵⁸(24%), 2006 (23%) and 2004 (26%). However in 2005 (28%) and 2003 (30%) the number of organizations that had indicated that factor was the same or higher. An assumption can be made that this is due to the poor information activities of CSOs and unwillingness to cooperate with other CSOs to some extent.

The 2011 survey was complemented with a question whether a CSO a respondent represented was a member of a coalition, a network or a working group with other organizations and institutions. Two thirds of polled organizations (67%) provided a positive answer. This is an indication of a rather high level of formal relations of CSOs.

The main outcomes of a CSO's participation in the coalitions, networks and working groups include primarily increased publicity (as indicated by 54% of polled CSOs), a possibility to meet leaders of other CSOs (as mentioned by 53% of CSOs) and an opportunity to plan joint events (according to 50% of respondents). Over one quarter of respondents (27%) see these foras as a way to bring new clients. Only 9% of polled representatives found participation in various coalitions, networks and working group totally useless.

Conclusion

The level of cooperation of CSOs has remained high over the past ten years. The representatives of civil society organizations share information and take part in joint activities and meetings. The most common types of cooperation include experience sharing, meetings and joint activities. However, according to the increased number of CSOs, the factors that limit the cooperation of CSOs include the arrogance of leaders and conflicts between the leaders, competition for funds and resources, lack of information about the activities and mission of other CSO and difficulties faced in the course of the cooperation. During previous years fewer respondents selected these options. As a result of cooperation with other CSOs the majority of respondents managed to gain new experience, expand their activities and outreach.

⁵⁷ An insignificance level of 1%

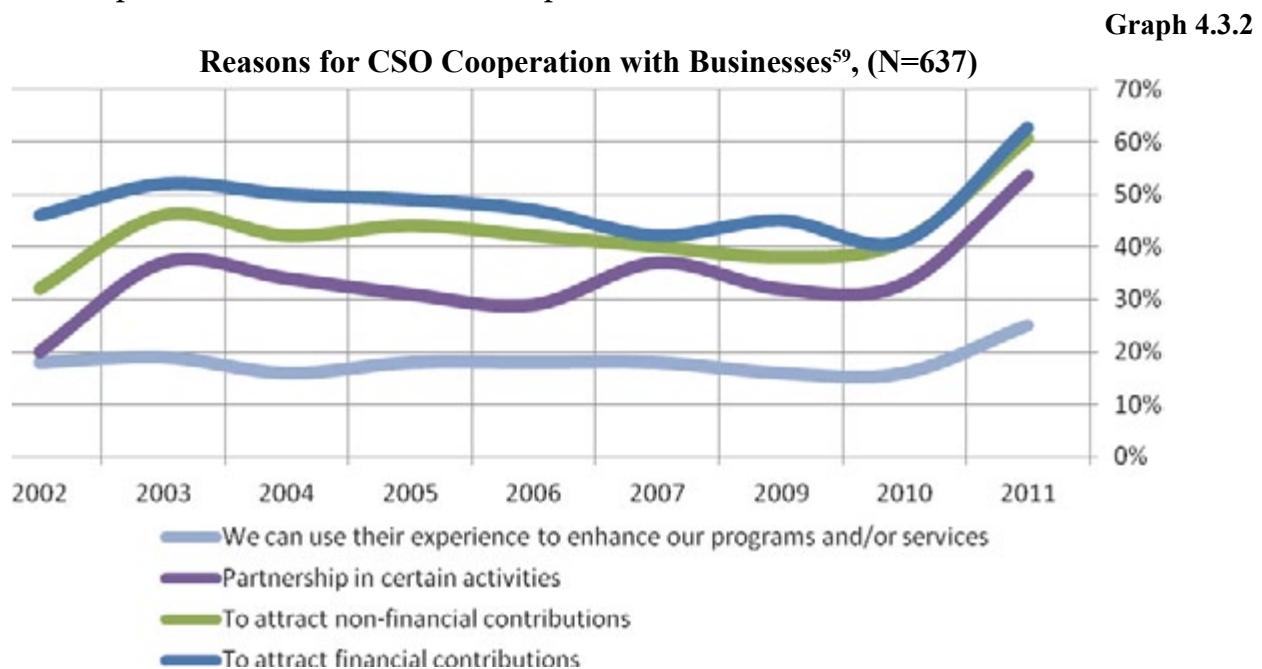
⁵⁸ A significance level of 5%.

4.3 Cooperation with business

Cooperation with business not only indicates the ability of a CSO to co-exist with this sector, but also demonstrates their ability to involve local businesses in funding CSO activities and create relationships that are mutually beneficial.

The analysis of CSO cooperation with the business sector is even more interesting considering the fact that a significant percentage of budgetary money comes from business sources.

Similar to the way the cooperation with other CSOs was studied the representatives of the third sector were asked to identify the main factors that made them cooperate with business (see Graph 4.3.2). The respondents could select several options.



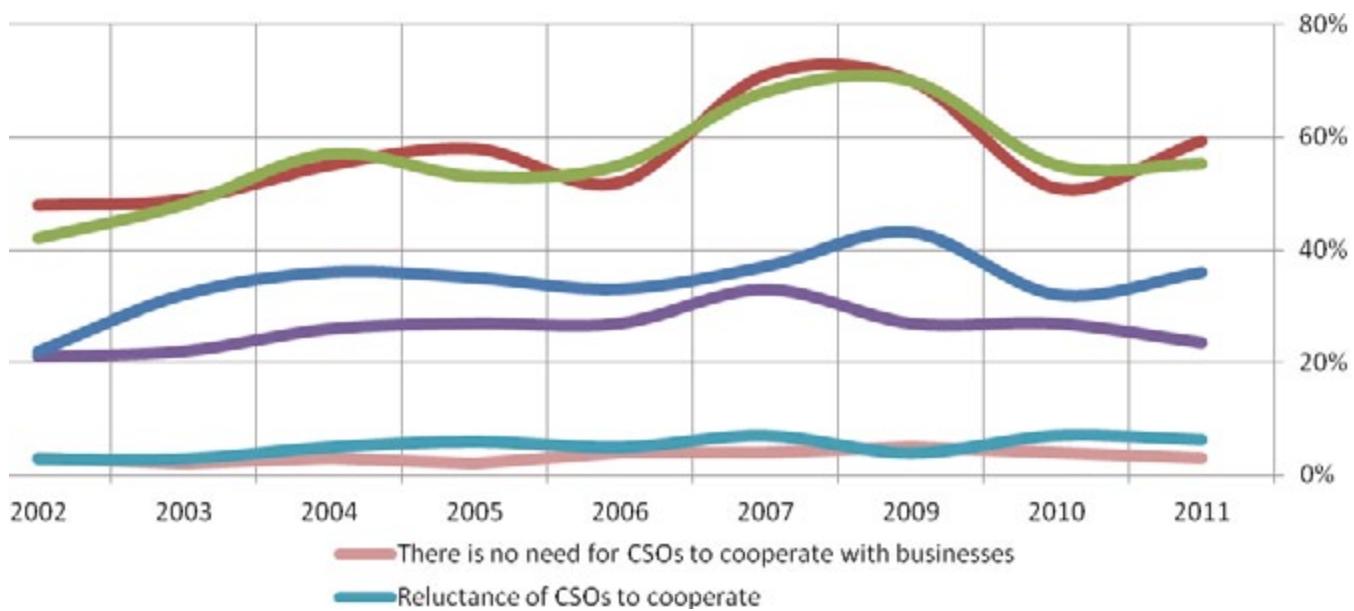
As shown on Graph 4.3.2 the CSOs mainly perceive business as a source of monetary and material support, a partner to implement certain activities and less frequently as a source of additional expertise. The share of respondents that use the expertise of the business and that has not changed much over the period of 2002 and 2010 (16% in 2010), was increased in 2011 and amounted to 25%, though it remains the lowest one when compared to other options. The number of CSOs that reported partnerships with business in certain activities was significantly increased in 2011 up to 54%; in particular, the number was 33% in 2010, 32% in 2009 and 37% in 2007. The number of respondents that received material support (in-kind support) was increased in the following way: 61% in 2011, 41% in 2010 and 38% in 2009. The monetary support was granted to 63% of respondents and this is 1.5 times higher than it was in 2010 (41%). That can be attributed to a better interaction of CSOs with the business community and the increased potential of the business thanks to the end of the financial turmoil.

As a rule, the polled organizations make the business responsible for low cooperation of CSOs and the business community. The breakdown of answers is presented in Graph 4.3.3.

⁵⁹ Question # 84 of the Questionnaire

Graph 4.3.3

Reasons for Limited Cooperation between CSOs and Business, (N=637)



The main factors that hinder the cooperation of CSOs and the business community are reluctance to cooperate displayed by the business (in the opinion of 55% of polled CSOs) and unawareness/lack of knowledge of the business community about the activities of CSOs (59%). In 2011 36% of respondents thought that lack of professionalism of CSOs impeded the cooperation with the business. The increased number of respondents who selected the options of unawareness of the business community about the activities of CSOs and lack of professionalism of CSOs can be an indication of the business preparedness to cooperate only with CSOs that are renowned, that enjoy the media coverage and are professional.

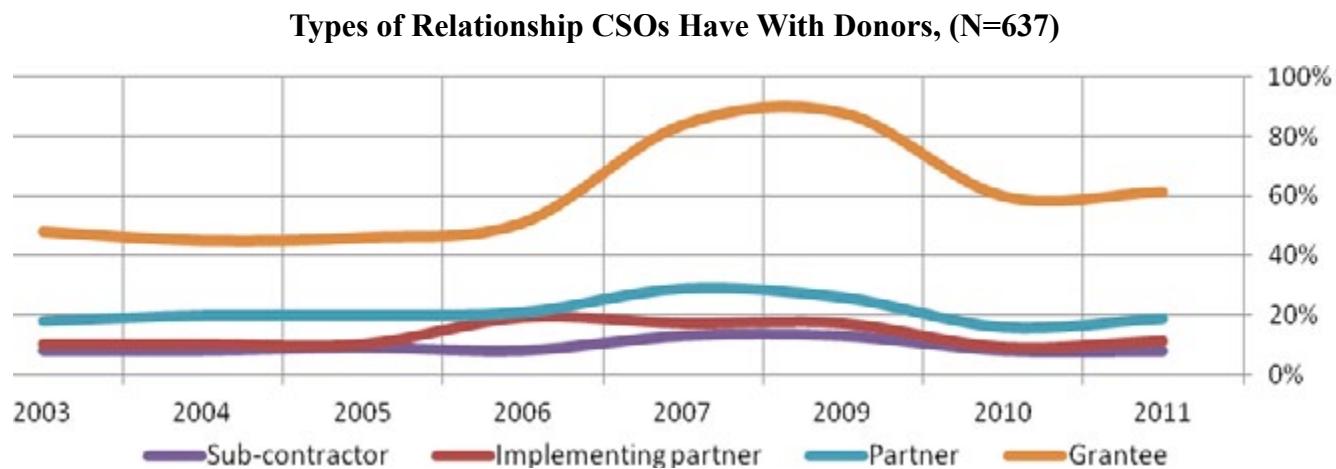
Conclusion

Similar to previous years CSOs perceive business primarily as a source of funding in 2011. It should be mentioned that between 2002 and 2011 there was an upward trend in the number of CSOs that cooperated with the business as partners. The increased share of all options related to the question about the main reasons for cooperating with the business community should be noted. In 2011 the effectiveness of the cooperation of business and CSOs remained at the same level as in previous years. On one hand, the number of organizations that indicated the unawareness/lack of knowledge of business about the activities of CSOs and lack of professionalism of CSOs as the factors that caused limited cooperation was somewhat increased. On the other hand, the number of respondents that mentioned the unwillingness of the business to cooperate with the CSOs has remained the same.

4.4 Cooperation with donors

The CSOs leaders had a possibility to indicate all types of existing cooperation with the donors. The answers are provided in Graph 4.4.1.

Graph 4.4.1



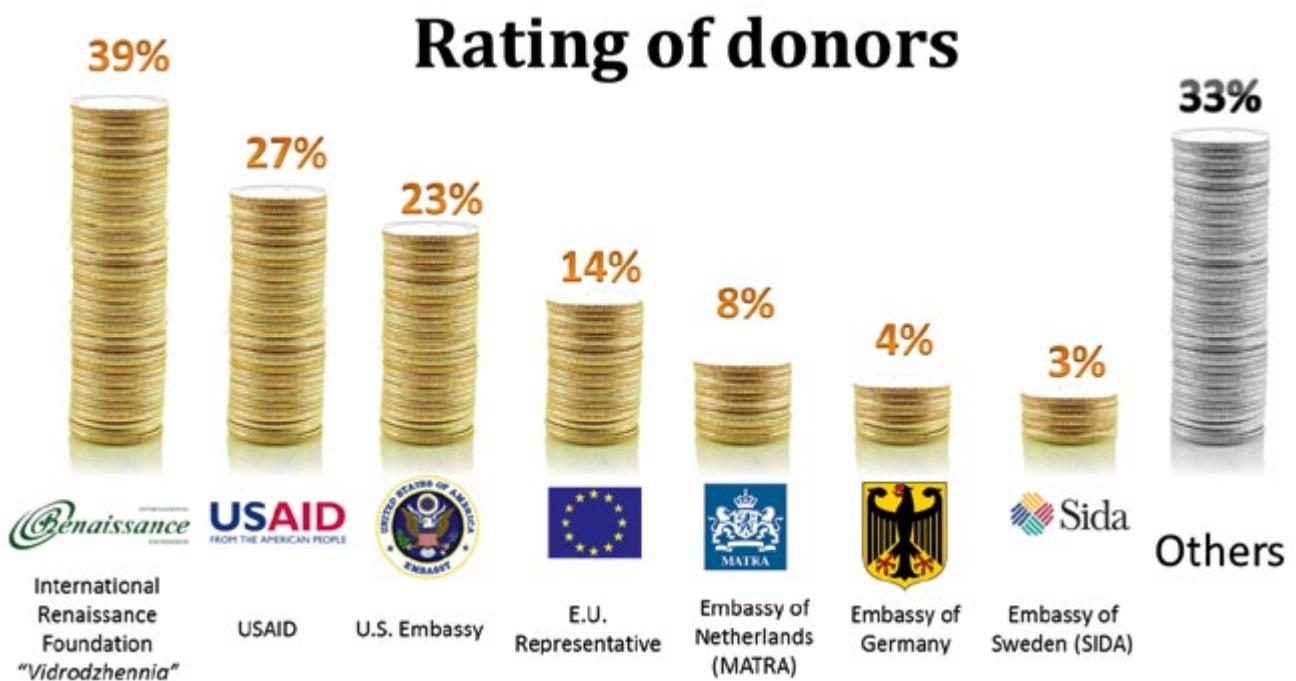
Despite the fact that the most common type of cooperation of CSOs and donor organizations is financial support and technical assistance rendered by the latter, some organizations cooperate with the donors on a higher level and act as partners or implementing partners. In 2011 the percentage of CSOs that acted as partners was increased from 16% to 19% if compared to 2010; however, it is lower than it was back in 2007 when there were 29% of organizations that were partners with the donors. The number of CSOs that work with the donors as implementing partners was also increased to some extent; in particular, it was 9% in 2010 and 11% in 2011. The number of organizations that work with the donors as sub-contractors has not changed; it was 8% in 2010 and 2011.

The number of CSOs that act as grantees has not changed much; in particular, it was 61% in 2011, 60% in 2010, 88% in 2009, 84% in 2007, 51% in 2006, 46% in 2005, 45% in 2004 and 48% in 2003.

The organizations that act as grantees have the largest budget; in particular, 52% of organizations that have a budget over 50000 USD against 22% of organizations that act as partners, 18% of CSOs that are implementing partners and 16% of organizations that work as sub-contractors.

In 2011 the organizations were asked to name the donor organizations they cooperated the most. The answers are presented in Graph 4.4.2.

As shown on the Graph 4.4.2 the largest number of CSOs (39%) cooperates with the International Renaissance Foundation. About one quarter of CSOs (27%) cooperates with the United States Agency for International Development (USAID) and 23% of CSOs work directly with the United States Embassy to Ukraine. About 14% of CSOs work with the Delegation of the European Union to Ukraine. Less than 10% of CSOs cooperate with the Embassies of other countries; in particular, 8% of CSOs cooperate with the Embassy of Netherlands (MATRA Program), 4% work with the Embassy of Germany and 3% with the Embassy of Sweden (SIDA Program). At the same time, one third of polled respondents (34%) commented that their CSOs cooperate with the donors not listed in the options.



Conclusion

In 2011 the majority of CSOs acted as grantees just like in previous years. The number of organizations that cooperated with the donors as partners and implementing partners was slightly increased. Half of respondents commented that they worked with the American donors, in particular the United States Agency for International Development and directly with the US Embassy. However, if speaking about concrete donors, the International Renaissance Foundation is the donor most civil society organizations work with.

4.5 Cooperation with community

CSOs need steady and long-term cooperation with the community to encourage civic activeness and citizen participation in organizational activities. Moreover, CSO activities need community support in order to lobby successfully.

Graph 4.5.2 shows how CSOs usually distribute information about the organization and own activities.

The most popular way of distributing information about the activities of CSO is to share the information with the mass media; 84% of CSOs did so in 2011, 85% in 2010, 84% in 2009, 80% in 2007⁶⁰, 78% in 2006 and 88% in 2005. About 45% of respondents disseminated brochures or leaflets in 2011, 48% in 2010, 55% in 2009⁶¹ and 51% in 2007. Around 40% of CSOs conducted presentations in 2011, 46% in 2010, 53% in 2009⁶² and 49% in 2007. When reviewing the trend over the past ten years one can see that the following ways of distributing information about the

⁶⁰ A significance level of 1%

⁶¹ A significance level of 1%

⁶² A significance level of 1%.

organization have gained popularity – sharing information with the mass media, conducting presentations and publishing information on the webpages.

Graph 4.5.2

Method for Publicizing CSO Activities, (N=637)

	Through press releases to the mass media	Distributing brochures and flyers	Through presentations	Through websites of other CSOs	Through own organization's website	By publishing newsletters	Through annual reports
2010	85%	48%	46%	40%	38%	18%	17%
2009	84%	55%	53%	39%	38%	19%	19%
2007	80%	51%	49%	35%	36%	22%	19%
2006	78%	60%	51%	33%	31%	22%	20%
2005	88%	53%	46%	28%	26%	21%	19%
2004	85%	50%	42%	27%	24%	23%	23%
2003	86%	52%	43%	23%	25%	24%	20%
2002	81%	48%	39%	18%	18%	19%	14%

The CSOs were asked to assess to what extent the general public was aware about their activities. Around 24% of respondents commented that people knew they existed, 51% of organizations stated that the general public was aware about their activities. Both figures have increased if compared to the 2010 survey. Another 20% of respondents said that the general public supported CSOs in what they did. This figure coincides with the previous year data.

4.6 Cooperation with mass media

The types and frequency of contacts that CSOs have with mass media illustrates the ability of CSOs to influence public opinion on important issues as well as their willingness and ability to present this information to the general public.

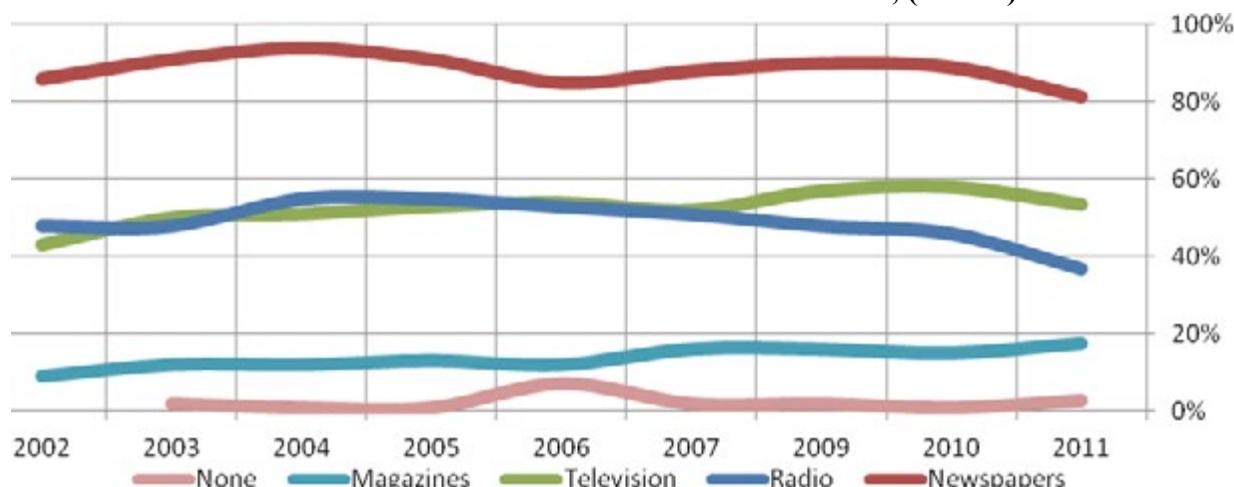
The respondents were asked to list the most common types of media sources that provided information about the activities of non-governmental organizations over the course of the past year (see Graph 4.6.1).

According to the responses of CSOs the newspapers were the most used type of media sources (81% of organizations selected that option). This figure was decreased by 8% when compared to 2010 and was the lowest for the whole period of the survey. Then comes television – around 54% of CSOs use that source to present information themselves. Although the figure is by 4% lower than it was in 2010 the increased number of organizations that has cooperated with the television over the course of few past years is very indicative. The cooperation with the radio continues to lose points starting from 2005; in particular it was 37% in 2011, 46% in 2010, 48% in 2009, 51%⁶³ in 2007, 53% in 2006, 55% in 2005 and 2004 and 48% in 2003 and 2002. The cooperation with magazines has increased when compared to 2010; in particular, it was 17% in 2011 and 11% in 2009. In general, there has been a steady continuous upward trend in the number of organizations that use magazines to highlight their activities over the entire period of the survey.

⁶³ A significance level of 5%.

Media Sources Used to Disseminate Information, (N=637)

Graph 4.6.1



Conclusion

The Ukrainian CSOs use mass media to distribute information about their activities the most. This channel has been the most popular one over the past ten years. Other popular ways of distributing information about CSOs include dissemination of brochures and leaflets about the organization, presentations and information sharing via social networks, own website or websites of other organizations. There is an upward trend in the number of CSOs that share information via their own websites or websites of other CSOs. It can be connected to the increased number of organizations that have their own website. The information about the activities of CSOs is mostly published in newspapers, presented on the radio and television.

5. Program Activity or the Capacity of an Organization “To Perform”

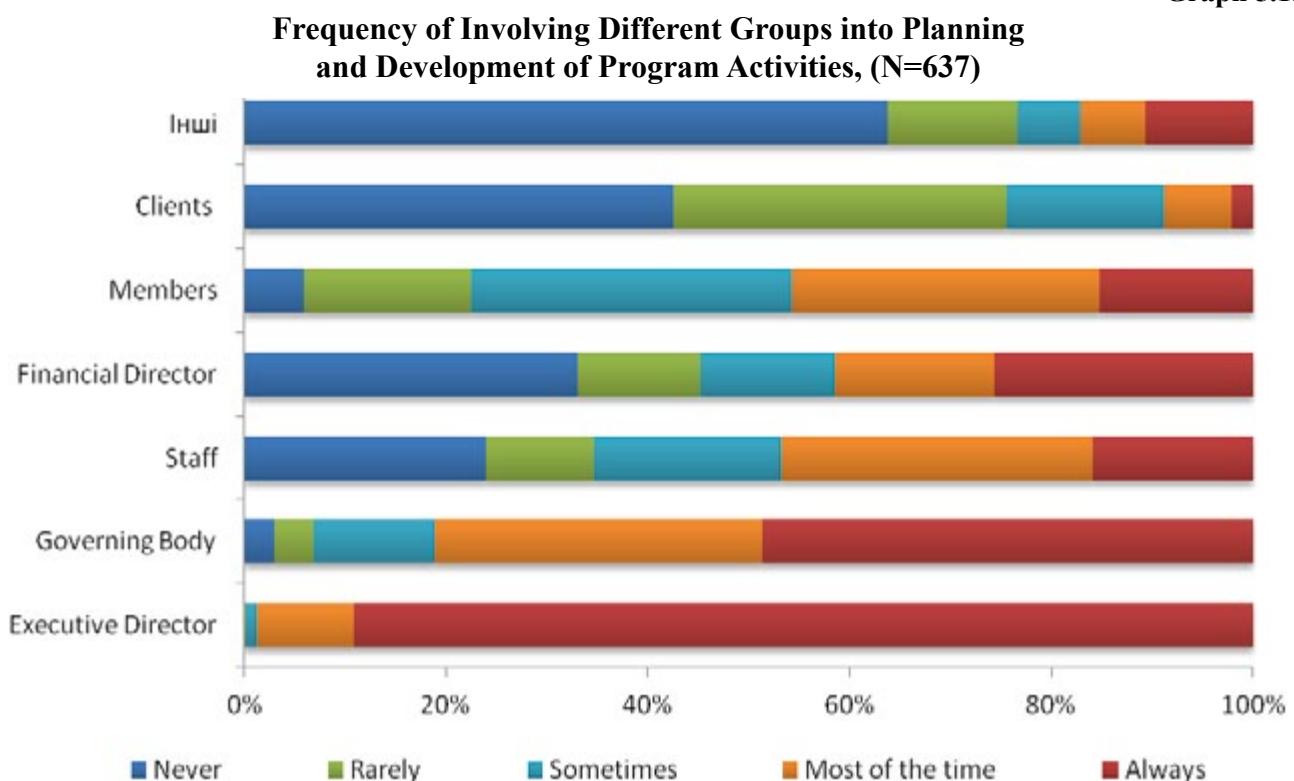
Program activity defines the capacity of the CSO to fulfil its stated goals and to provide different services within its mission. Program activities demonstrate which services are provided to the clients, how these services are developed, whether they correspond to the needs of the client, as well as assessing and reporting on the service provision.

At the same time, such aspects as partnership and understanding of applicable legislation that strengthen the organization’s capacity to carry out its program activities were.

5.1 Services and program development

Graph 5.1.1 shows the respondent’s answers regarding the frequency of member, staff, volunteer, and client involvement in the planning and development of CSO program activities.

Graph 5.1.1



According to the findings of the survey the executive director bears the main responsibility for program activities planning. Around 97% of respondents selected the options of *always* and *most of the time*.

Similar to 2011 the collective governing body was largely engaged in program activities planning in 72% of organizations. Therefore the indicator of engagement of the collective governing body in program activities planning is rather high.

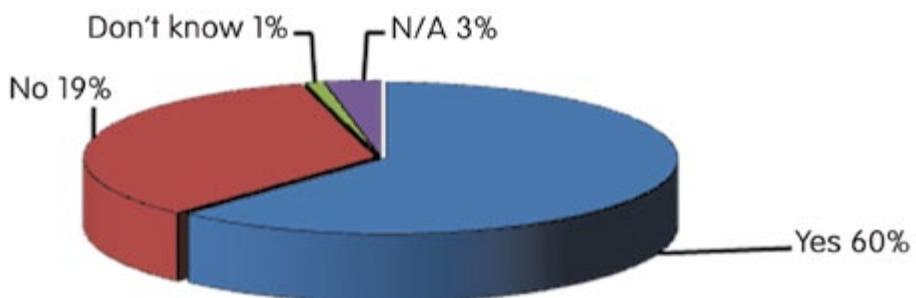
The staff, financial director and members of organization are engaged in this process at the level that can be described as *sometimes*, *most of the time* and *from time to time*. However, having reviewed the nature of the jobs of these groups one should take a notice of low frequency of the option of “I don’t know”. This option was used when the respondent either did not know the answer or could not choose any other option due to the absence of such position in his/her organization. For instance, less than fifty per cent of polled CSOs had the position of financial director in their organizations. And only 22% of the organizations that have a position of financial director in the staff don’t engage him/her in program activities planning and development.

Rather high engagement of volunteers in program activities planning, in particular, 12% of CSOs reported the option of “*always/most of the time*” and 16% of CSOs selected the answer “*from time to time*”, can be attributed to a so-called volunteer composition of the Ukrainian CSOs, when the main players work as volunteers in an organization. The level of clients’ engagement in program activities planning and development turned to be very low and much lower when compared to the level of volunteers’ engagement in program activities planning; in particular, 5% of CSOs reported “*always/most of the time*” and 10% of CSOs reported “*from time to time*”.

According to Graph 5.1.2 a conclusion can be made that the majority of polled CSOs (60%) keep track of their clients. But a rather big number of organizations (33%) don’t keep track of their clients.

Graph 5.1.2

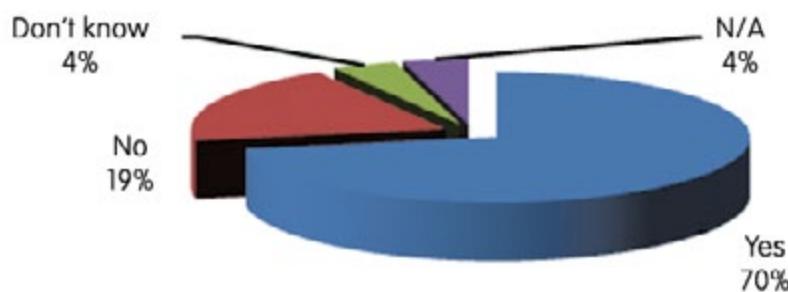
Does CSO conduct clients accounting of organization, (N=637)



According to the findings of the 2011 survey around 70% of polled CSOs had a feedback mechanism in place to ensure communication with their clients and 19% of CSOs did not have such a mechanism. According to the survey, 591 of 637 polled organizations (93%) conduct needs assessment of the target groups the project/program is designed for. The survey has revealed that 498 organizations (78%) conduct program/projects evaluation and 18% of these organizations do that every six months and 46% of CSOs once a year. Around 32% of CSOs that conduct evaluations do that at the request of the donors, 58% of CSOs conduct evaluations to comply with the internal management procedures, 4% of organizations conduct evaluations at the request of their clients and 2% of CSOs conduct evaluations at the request of the public authorities. Only 19% of CSOs (122 polled organizations) engage external experts to conduct evaluations.

Graph 5.1.3

Does the mechanism of inversely connection work with organization clients?
(N=637)



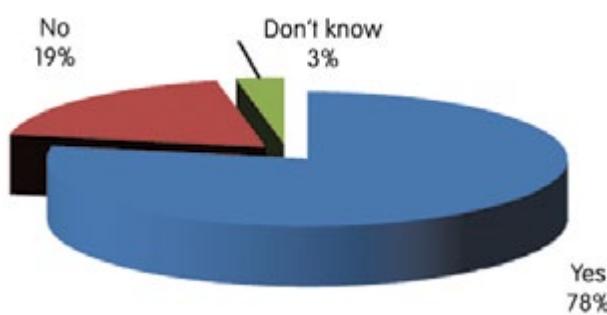
Capacity building assessment is not a common practice among the Ukrainian organizations. This can be explained by the fact that only a small number of CSOs understand the importance of the organizational capacity building and the great attention the donors give to building the capacity of organizations in the area of advocacy and lobbying of interests of their target groups. However, during the past ten years the international donors paid a lot of attention to the CSO' capacity building. In particular, 13 media organizations have a possibility to receive core support to build their capacity provided that they pass the capacity building audit. The CSOs can get vouchers for capacity development after they complete a self-assessment. Over 230 organizations have used this opportunity so far. The capacity building evaluation is also conducted for organizations working with the HIV/AIDS issues.

According to Graph 5.1.4 78% of polled CSOs evaluated their projects and programs, 19% of CSOs don't conduct the evaluations and 3% of CSOs could not decide what to answer.

Organizations engaged in advocacy and lobbying activities perform the monitoring of state and municipal programs and the legislation. According to the survey 374 (59%) of 637 organizations polled in 2012 commented that they conducted monitoring of the legislation pertinent to the goals and objectives of CSOs at the local or national level. About 45% of these organizations do that on a regular basis and the rest - from time to time or very seldom.

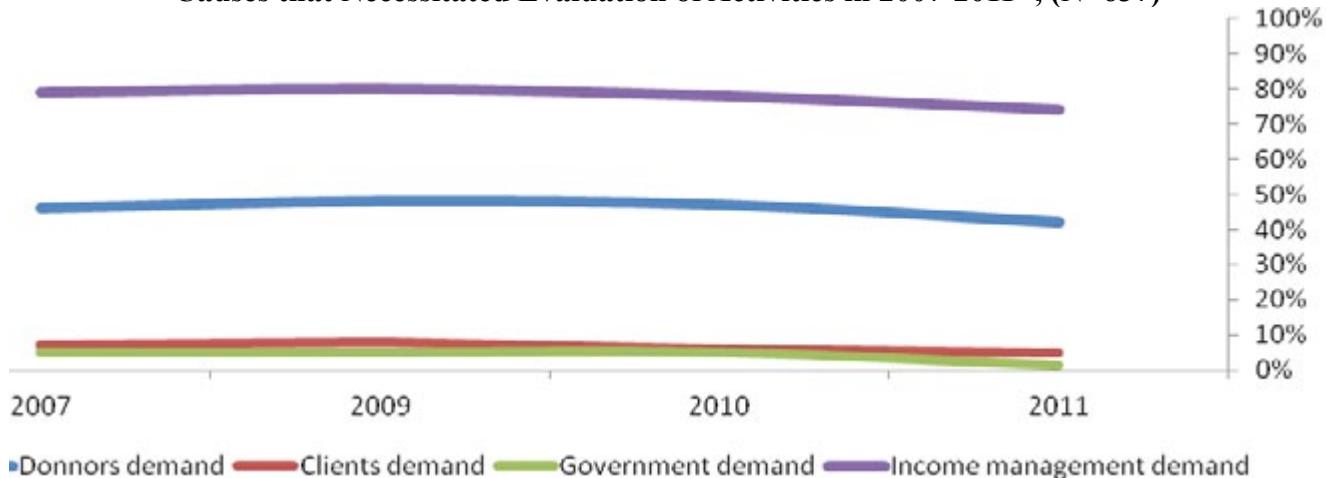
Graph 5.1.4

Evaluation of the programs/projects, (N=637)



The data shown on Graph 5.1.5 gives grounds to compare reasons why polled CSOs decided to conduct self-assessments. The respondents had an opportunity to select all suitable options. Around 78% of respondents commented that they conducted the evaluation to comply with the internal management procedures, 42% said that they had the evaluation at the donors' request and only 5% of organizations conducted the evaluation at the request of their clients and 2% of CSOs conducted the evaluation at the request of the public authorities.

Graph 5.1.5
Causes that Necessitated Evaluation of Activities in 2007-2011⁶⁴, (N=637)



Graph 5.1.6 demonstrates the intensity of program activities carried out by the Ukrainian CSOs in 2011. More than one half of organizations (54% of respondents) implemented from one to three projects, much less organizations (20%) implemented from four to five projects and 19% of CSOs that participated in the survey implemented over five projects in 2011. The number of projects implemented last year helps get an idea about the third sector performance. However it does not provide information about the scale and quality of these projects. The most popular sources of funding among the organizations that conduct self-evaluation include grants from the international donor organizations and local organizations, own economic activities, membership dues and charitable donations from the community.

Graph 5.1.6
Number of Projects Implemented in the Previous Year⁶⁵, (N=637)



Conclusion

The head of the organizations or the collective governing body is responsible for program activities planning in the majority of polled CSOs. Many CSOs keep track of their clients, they have an effective mechanism in place to cooperate with their clients and they evaluate the programs and projects they carry out.

⁶⁴ Question # 96 of the Questionnaire

⁶⁵ Question № 95b of the Questionnaire.

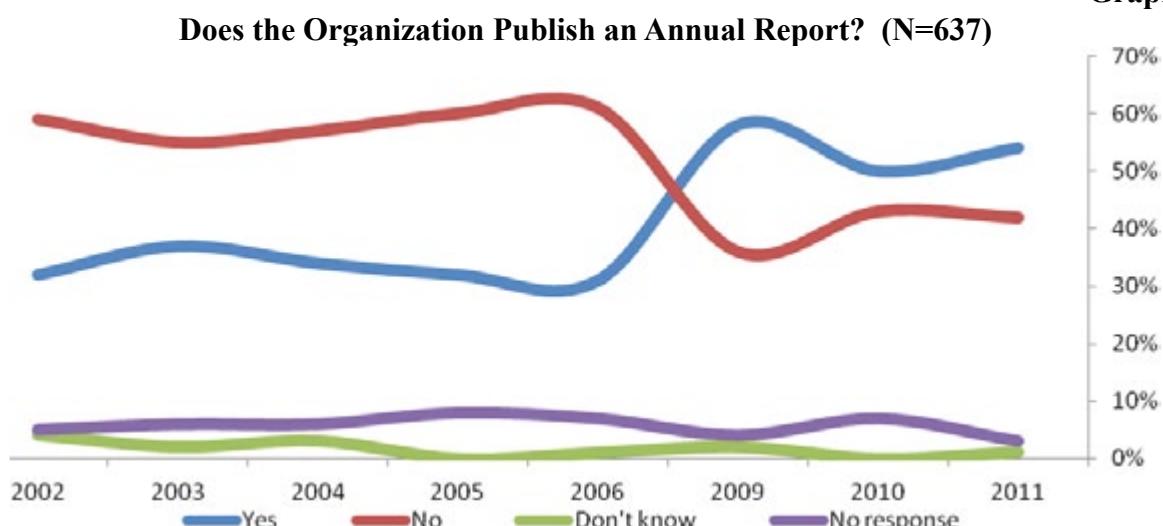
5.2 Reporting

The existence of an effective accounting system and a system for monitoring CSO activity secures the long-term sustainability of the organization and its effective function regardless of the leader's personality.

One can be positive that CSOs that publish their annual reports about their activities are more open to the general public. In 2011 around 54% of CSOs stated that their organization published an annual report. This number has grown if compared to the 2010 data (it was 50% in 2010⁶⁶). The majority of CSOs publish the electronic copy of the annual report on their own website (27% of CSOs), 19% of CSOs distribute it via the mailing lists and 10% of CSOs publish it in the mass media. Around 16% of polled organizations distribute the annual report at various events organized by CSOs. The printed copies of the annual reports are mostly distributed at the CSOs' events by 49% of CSOs and via the direct mail by 13% of organizations.

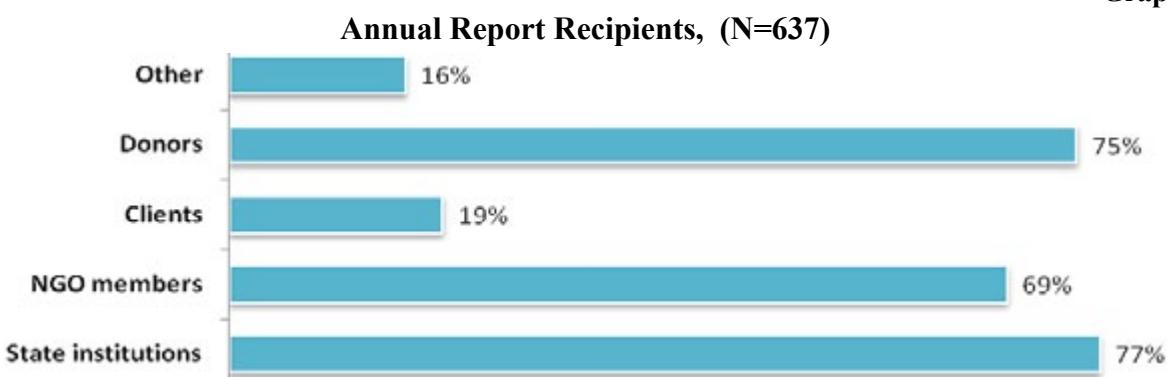
An annual report is a reliable and comprehensive document that you can use to inform people about the successes of your organization. The annual report is an evidence of the civic development of your organization; it supports its efficiency and financial capacity.

Graph 5.2.1



The findings of the survey revealed that 77% of polled organizations distribute their annual reports to government agencies, 69% of CSOs send the report to the members of their organizations, 75% of CSOs inform the donors with the help of their annual reports and only 19% of respondents send the reports to their clients.

Graph 5.2.2



⁶⁶ A significance level of 1%.

In general the Ukrainian CSOs have established system of financial management and control. Over two thirds of organizations (68%) have an accountant, 64% of CSOs believe that their financial system is in line with the national and/or international standards. Around 62% of CSOs have the financial management system in place to enable proper planning, implementation and reporting.

In 2011 the external financial audit was conducted only in 23% of polled CSOs. Around 48% of organizations did not have such an audit but were ready to be audited, whereas 17% of CSOs did not have the audit and were not ready for it.

In 2012 the CCC Creative Center organized a competition of annual reports among the CSOs. Despite the fact that more than a half of CSOs prepare annual reports in accordance with the findings of the survey only 27 organizations participated in the competition.

Having reviewed the submitted annual reports a conclusion can be made that the weakest element of the annual reports developed by the Ukrainian CSOs is financial reporting and the lack of auditors' report about the activities of the organization.

Conclusion

Over two thirds of CSOs prepare an annual report about their activities. The CSOs mostly distribute the electronic copy of their report via own website, mailing lists and by publishing it in the mass media. The hard copies of the reports are distributed at various events organized by CSOs and by direct mail. Many organizations have an accountant in the staff and believe that their bookkeeping is in line with the national and/or international standards. But only 23% of CSOs have had an audit.

5.3 Partnerships and coalitions

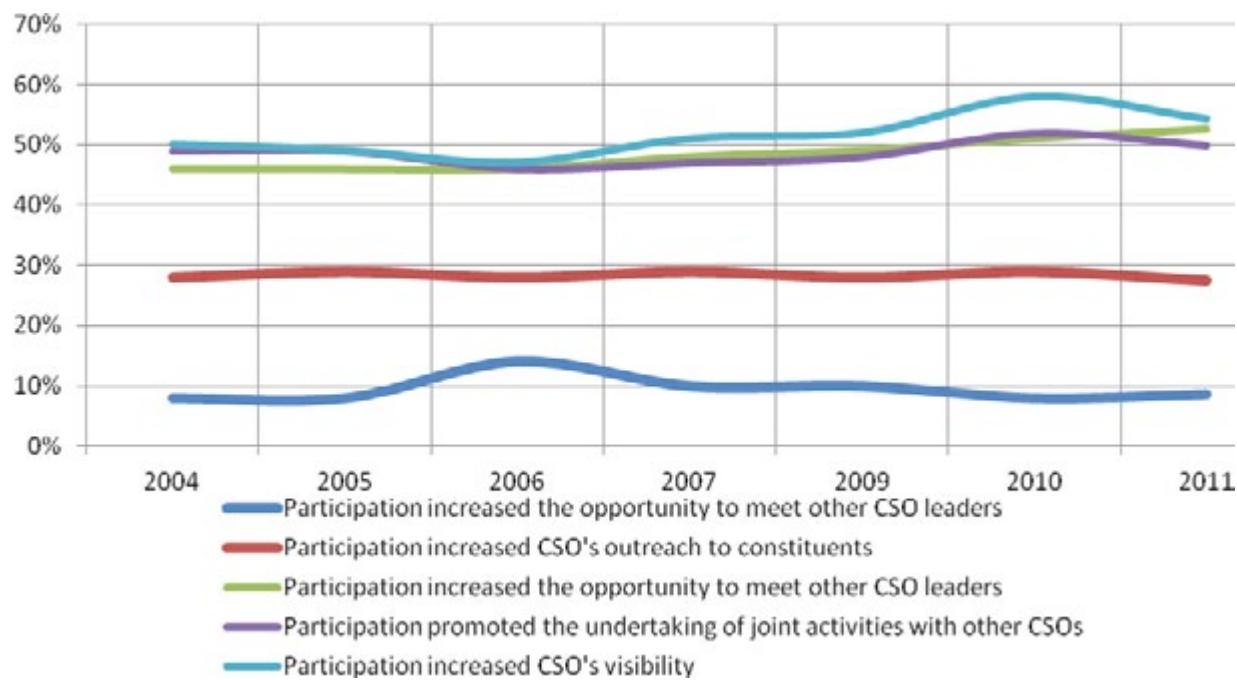
The importance of partnerships and coalitions was emphasized in many parts of this report when the external relations of CSOs with other institutions were described. Partnership development is an important indicator of organizational maturity and readiness to work with more output for the community. Effective partnerships between civil society organizations guarantee the success of advocacy and lobbying campaigns and are crucial for strengthening the voice of Ukrainian citizens.

Around 67% of CSOs are members of coalitions and working groups. The information presented on Graph 5.3.1 shows the experience the organizations have in working in coalitions or working groups with other organizations. The respondents had a possibility to select all suitable options.

According to the Graph the majority of CSOs found the participation in the coalitions and working groups to be instrumental. The participation helped CSOs gain publicity, plan joint actions with other organizations; it increased the opportunity to meet leaders of other CSOs and improved the CSO's outreach to constituents. Around 9% of CSOs did mention that the participation in the coalitions or working groups was not useful for them. This figure remained the same when compared to 2010.

Graph 5.3.1

Evaluation Past Participation in Coalitions or Working Groups⁶⁷, (N=637)



When comparing the findings of the 2004-2011 survey a conclusion can be made that the number of organizations that stated that their publicity improved thanks to the cooperation with other CSOs was decreased, in particular, it was 54% of CSOs in 2011, 58%⁶⁸ of CSOs in 2010, 52⁶⁹ of CSOs in 2009, 51% of CSOs in 2007, 47% of CSOs in 2006, 49% of CSOs in 2005, 50% of CSOs in 2004. Between 2004 and 2011 the number of CSOs that selected the option of meeting the leaders of other CSOs was increased, in particular, it was 53% in 2011, 51% in 2010, 49% in 2009, 48% in 2007 and 46% in 2004-2006⁷⁰).

Conclusion

The majority of Ukrainian CSOs are members of coalitions or working groups. Many organizations find their participation in the coalitions or the working groups to be useful. As a result of such cooperation the CSOs gained publicity, planned joint events with other organizations, received opportunities to meet the leaders of other CSOs and increased their outreach to constituents and perspective clients.

5.4 Accountability. Transparency. Ethical Norms

Should they wish so the members of organization can have an access to the financial documents of the organization in 83% of membership organizations.

The information presented on Graph 5.4.1 shows that the majority of organizations are accountable to their members; in particular, 73% of CSOs including 46% of charitable organizations and 27% of civil society organizations; 64% of CSOs are accountable to the donor organizations, in

⁶⁷ Question # 82 of the Questionnaire

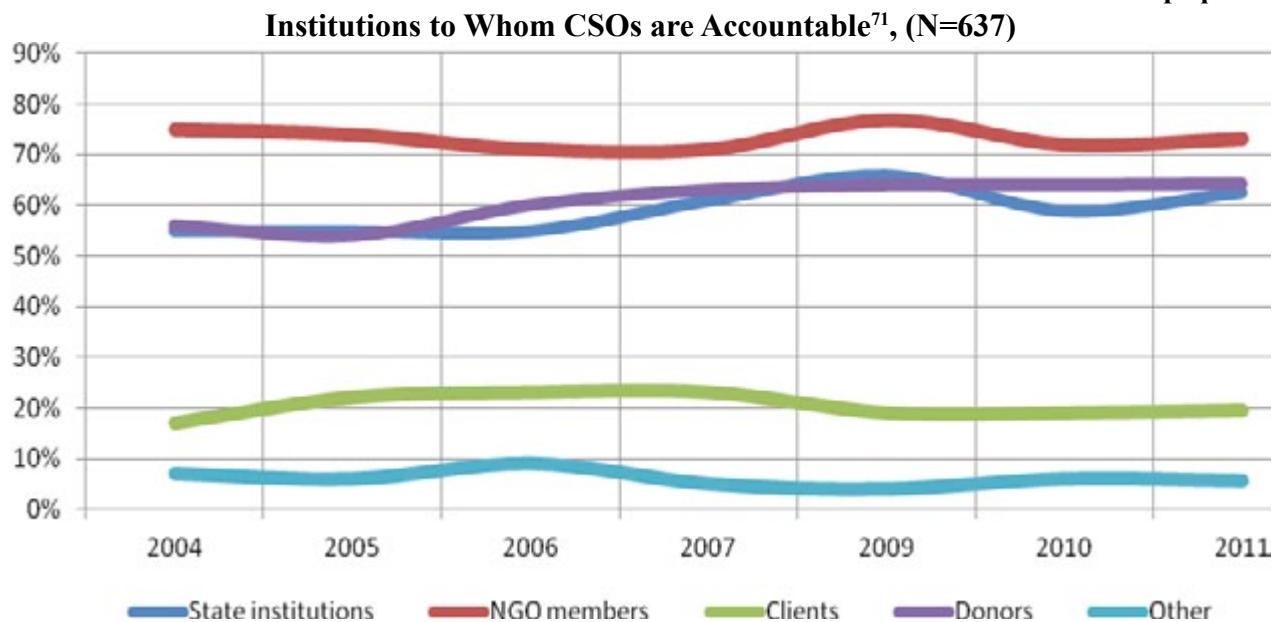
⁶⁸ A significance level of 1%

⁶⁹ A significance level of 1%

⁷⁰ A significance level of 1%.

particular, 43% of charitable foundations and 21% of civil society organizations and 63% of CSOs to the state institutions, in particular, 36% of charitable foundations and 27% of civil society organizations and 19% of CSOs are accountable to their clients, in particular, 10% of charitable organizations and 9% of civil society organizations. Between 2004 and 2011 the number of organizations that were accountable to the members of organization and the state institutions varied. The number of organizations that were accountable to the donor organizations and the state institutions was increased when compared to 2004. The last trend can be explained by the improved quality of reporting of CSOs and their aspiration to present themselves as a reliable and responsible partner to the state institutions and the donor organizations.

Графік 5.4.1



Graph 5.4.2 reflects the opinion of respondents about the need for transparency in program and financial activities among the CSOs.

Graph 5.4.2



In 2011 the large majority of respondents (96%) commented on the need to inform the general public about the program activities; this figure was somewhat higher in 2010. It should be mentioned that between 2002 and 2012 no significant changes took place in this area.

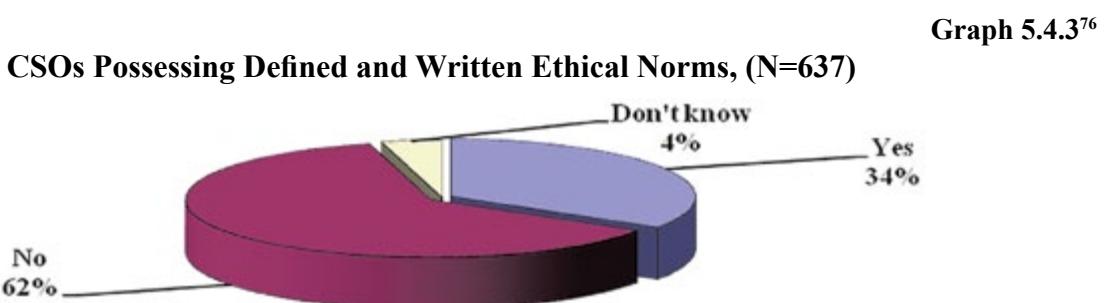
⁷¹ Question # 98 of the Questionnaire

⁷² Question # 99 of the Questionnaire

Around 74% of CSOs commented on the need to inform the general public about the financial activities of CSOs. The indicator has increased when compared to 2010 (69%)⁷³.

The share of CSOs that think that the third sector needs to have a code of ethics and professional standards has gradually increased from 81% in 2002 to 88% in 2005 (a significance level of 1%) and in 2006 it has dropped again to 83%, it was 86% in 2009, 87% in 2010⁷⁴ and 82% in 2011⁷⁵.

According to the findings of the 2011 survey 34% of organizations have a defined and written code of ethics.



Conclusion

The majority of Ukrainian CSOs are accountable to the members of their organization, donor organizations and state institutions. Only one third of respondents have the code of ethics defined and presented in a written form.

5.5 Legislation

Legislation that regulates third sector activity is one of the most important factors influencing the ability of CSOs to effectively conduct its activity and affect the external environment. The knowledge and awareness of the current legislation by CSOs is essential for avoiding problems with taxation, for writing statutes, for maintaining a non-profit status, for improving its sustainability, etc.

The majority of polled CSOs (59%) believe that they are very knowledgeable about the acting legislation relevant to the activities of civil society organizations. Around 39% of respondents comment that they are somewhat knowledgeable about the current legislation pertinent to their work and only 1% of CSOs confessed that they lack any knowledge about the legislation on CSOs. The number of organizations knowledgeable about the legislation changes all the time, in particular it was 53% in 2002 and then 64% in 2004, 58% in 2005 and 60% in 2006, 62% in 2009, 57% in 2010 (a significance level of 1%) and 59% in 2011.

In 2011 the main shortcomings of the legislation relevant to the development of the third sector were the legislation in general (as mentioned by 41% of respondents), tax legislation according to 41% of polled CSOs, inactivity of CSOs in ensuring the implementation of laws and regulations in a proper way according to 39% of respondents and lack of knowledge about the laws as mentioned by 34% of respondents. The review of Graph 5.5.1 shows that one of the most significant legislative obstacles in the development of the third sector is the tax legislation according to the

⁷³ A significance level of 1%

⁷⁴ A significance level of 1%

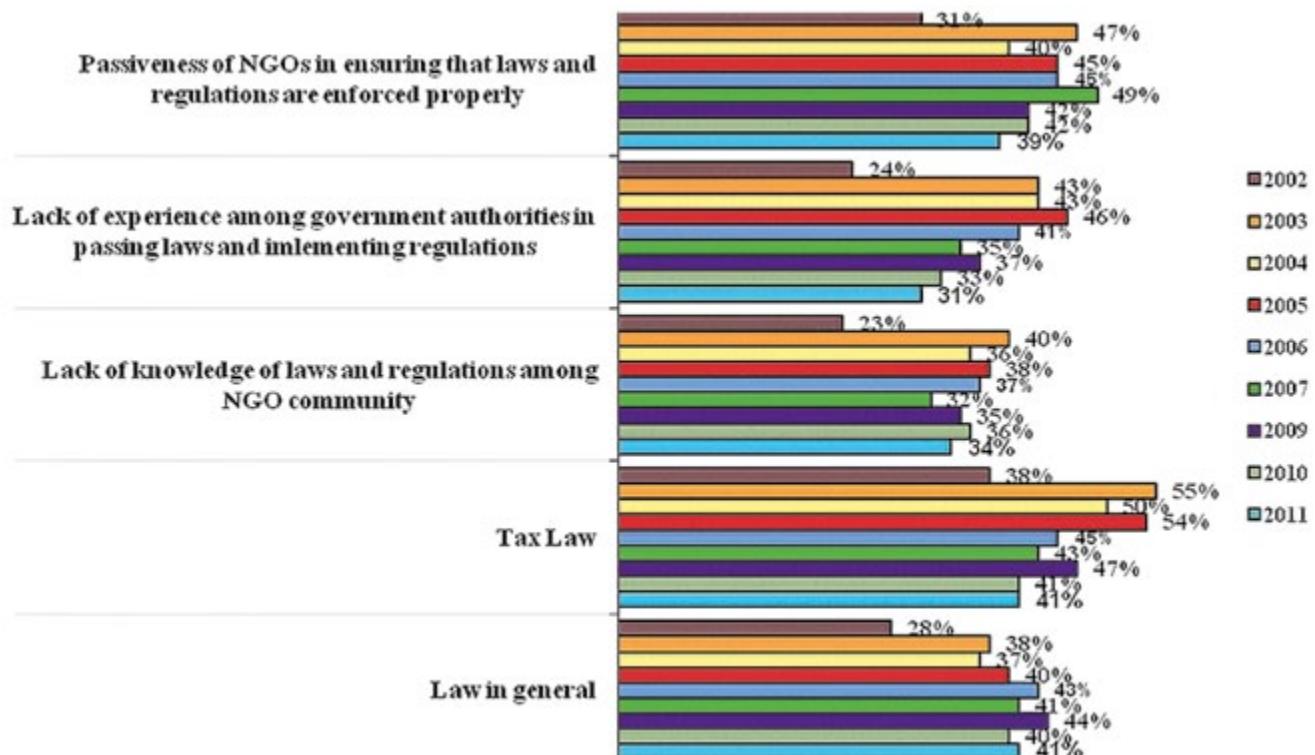
⁷⁵ A significance level of 1%

⁷⁶ Question #104 of the Questionnaire

findings of the 2002-2010 survey; in particular, there were 35% of respondents in 2002, 55% of CSOs in 2003, 50% of CSOs in 2004, 54% of CSOs in 2005, 45% of CSOs in 2006, 43% of CSOs in 2007, 47% of CSOs in 2009 and 41% of CSOs in⁷⁷ and 39% of CSOs in 2011.

Graph 5.5.1

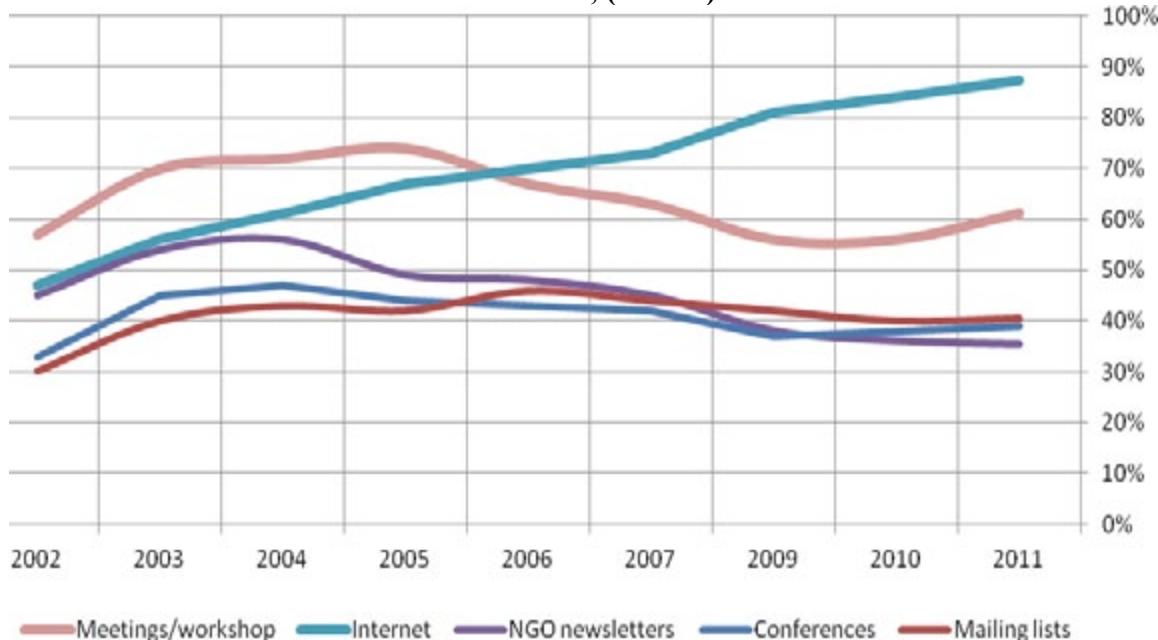
Main Obstacles to the Development of the CSO Sector 2002-2011, (N=637)



Graph 5.5.2 reflects the growth and diversity of information sources available to CSOs to get updates about the legislation.

Graph 5.5.2

Sources of Information about Changes to Legislation⁷⁸ 2002-2011, (N=637)



⁷⁷ A significance level of 1%.

⁷⁸ Question # 107 of the Questionnaire

Having reviewed the information presented on Graph 5.5.2 a conclusion can be made that high numbers for each option is an indication of the situation when the majority of organizations use several sources of information at the same time.

In 2011 CSOs used the following sources of information to learn about changes to the legislation: meetings/workshops (as indicated by 61% of respondents; the figure was 56% in 2010⁷⁹), the Internet (as indicated by 87% of respondents; the figure was 84% in 2010). A great increase of the role of the Internet and mailing lists as information sources for the Ukrainian CSOs over the course of the past ten years should be mentioned. NGO newsletters have somewhat lost their attractiveness as a source of information among the Ukrainian CSOs.

The information about the Internet use by the Ukrainian CSOs between 2002 and 2010 is presented in Table 5.5.3.

Table 5.5.3.
Internet Usage by Ukrainian CSOs, 2002-2011, (N=637)

	2002		2003		2004		2005		2006		2007		2009		2010		2011
CSO has an e-mail	58%	↑	70%	-	70%	↑	73%	↑	76%	↑	79%	↑	86%	↓	85%	↑	90%
CSO has own website	13%	↑	23%	-	20%	-	22%	-	25%	↑	32%	↑	33%	-	33%	↑	41%
CSO uses the internet as a source of information about changes/updates to existing laws and regulations	47%	↑	56%	-	61%	↑	67%	↑	70%	↑	73%	↑	81%	↑	84%	↑	
iCSO has an e-mail																	87%

The review of Table 5.5.3 demonstrates an upward trend in the number of CSOs that have an e-mail and own webpage in the period of 2002 and 2011.

Conclusion

The main shortcomings of legislation pertinent to the development of the third sector between 2002 and 2011 were legislation in general, tax legislation, inactivity of CSOs in ensuring the implementation of laws and regulations in a proper way and lack of knowledge about the laws. The respondents mainly receive information about changes/updates of the legislation during the meetings/workshops, the Internet and via the mailing lists. There has been an upward trend in the number of CSOs that receive the legislation updates via the Internet over the course of the past ten years.

⁷⁹ A significance level of 1%.

Part III

Studies on Different Aspects of CSO Activities and Development

The third section provides a description of several indexes: The Organizational Capacity Index and The Advocacy Index, Coalitions/Networks Effectiveness Index, and the Constituency Legitimacy Index are included.

6. The Organizational Capacity Index of Ukrainian CSOs

Organizational Capacity Index description. As the research is focused on NGOs, the term *capacity development* will be used exclusively in terms of organizational capacity. Peter Morgan (1996) defined capacity building as “the ability of individuals, groups, institutions and organizations to identify and solve development problems over time.” Organizational capacity development can be viewed as a closed or open system. From a closed point of view, organizational capacity must be focused on internal functions of development, from an open point of view – the organization is a part of the external environment, which influences the organization by its social values and political and economic contexts.

Most authors have identified different components of organizational capacity development, which include, but are not limited to: clear organizational vision and mission, identified strategic objectives, knowledgeable and skilful human resources, delegating and democratic leadership, teamwork and participatory management practices, developed management systems and structures, and the availability of financial and material resources to support organizational performance.

The Institute for Sustainable Communities within the Ukrainian Citizen Action Network project developed its own model of organizational capacity assessment. Each of the index components should be rated on a scale, such as the following 5-point scale, where 1 = none or very little capacity and 5 = extensive or very strong capacity. In 2009 the model of organizational capacity assessment Index was reviewed by CCC Creative Center in the framework of the project “The Ukraine National Initiatives to Enhance Reforms” (UNITER). This model consists of seven components. Each of the index components should be rated on a scale, such as the following from 1 to 0, where 0 = none or very little capacity and 1 = extensive or very strong capacity

The results are based on empirical data on Ukrainian CSOs, received during the 2002-2011 survey.

The models of organization development, introduced below, allow differences to be compared and detected (new indexes are presented in italics).

Nº	Components of Organizational Capacity Index description during 2002-2007	Components of Organizational Capacity Index description in 2011
1	Strategic Management <ul style="list-style-type: none">Organization is registered as a legal entityThe organization has a mission statement and adheres to its principlesStrategic goals are defined and clear to membersMembers and leadership meet regularly to discuss, review and, when necessary, correct strategies, goals, and tasks	Strategic Management <ul style="list-style-type: none">Organization is registered as a legal entityThe organization has a mission statement and adheres to its principles<i>The organization has a written strategic plan</i>Strategic goals are defined and clear to membersA monitoring and evaluation system is functioning and data analysis is integrated into decision-making

№	Components of Organizational Capacity Index description during 2002-2007	Components of Organizational Capacity Index description in 2011
1	<ul style="list-style-type: none"> A monitoring and evaluation system is functioning and data analysis is integrated into decision-making. 	<ul style="list-style-type: none"> Members and leadership meet regularly to discuss, review and, when necessary, correct strategies, goals, and tasks <i>The organization's program activity is based on the organization's mission</i>
2.	<p>Governance Structure</p> <ul style="list-style-type: none"> The CSO has an active governing body (external-Board of Directors, Advisory Board, and/or internal — Executive Committee, Management team — or both) The functions and responsibilities of members of the governing body are clearly defined The governing body regularly communicates with the Executive Director (they meet regularly) Strategic decisions are made through joint discussions with governing body members and CSO management Rotation principles and leadership transition mechanisms are defined and in operation NGO Director delegates his authorities and aspires to create an organization able to work during his absence Members take part in a process of decision making and problems solving through team work, work with project, meetings with paid staff Paid staff feels their authorities to manage work process, to set intelligible targets and keep the terms of target realization, to solve problems and make decisions in sphere of their responsibility NGO Director delegates his authorities and obligations on realization of project or functions to paid staff 	<p>Governance Structure</p> <ul style="list-style-type: none"> The CSO has an active governing body (external-Board of Directors, Advisory Board, and/or internal — Executive Committee, Management team — or both) The functions and responsibilities of members of the governing body are clearly defined The governing body regularly communicates with the Executive Director (they meet regularly) Strategic decisions are made through joint discussions with governing body members and CSO management Rotation principles and leadership transition mechanisms are defined and in operation
3.	<p>Leadership and Management Style</p> <ul style="list-style-type: none"> The CSO director delegates authority and is committed to building an organization which is sustainable without his/her presence Staff is involved in problem solving and decision making through team work, projects, staff meetings, brainstorming sessions, etc. Employees feel empowered to manage their own work, set and follow-up on goals and deadlines, to solve problems, and make decisions in their area of responsibility 	<p>Leadership and Management Style</p> <ul style="list-style-type: none"> The CSO director delegates authority and is committed to building an organization which is sustainable without his/her presence Staff is involved in problem solving and decision making through team work, projects, staff meetings, brainstorming sessions, etc. Employees feel empowered to manage their own work, set and follow-up on goals and deadlines, to solve problems, and make decisions in their area of responsibility

№	Components of Organizational Capacity Index description during 2002-2007	Components of Organizational Capacity Index description in 2011
3.	<ul style="list-style-type: none"> The CSO director delegates responsibility and authority for some projects or functions to staff members 	<ul style="list-style-type: none"> The CSO director delegates responsibility and authority for some projects or functions to staff members <i>The organization has defined administrative rules and procedures</i> <i>Executive members, personnel and the members of organization participate in developing administrative rules and procedures</i> <i>Administrative rules and procedures are reviewed annually</i>
4.	<p>Fundraising Strategy</p> <ul style="list-style-type: none"> The CSO has a written, long-term (minimum of two-year) plan for financial sustainability A designated person or group of people are responsible for seeking new sources of funding or generating new income to finance strategic goals Existing database of possible funding sources The CSO has at least two different types of funding sources (i.e., entrepreneurial activities/paid services, donors, business and individual sponsors, membership fees, or fees from other international organizations The CSO has been able to secure at least 30% of its financing for one year of operations from sources other than international organizations (for example, from local donors, paid services, government contracts, the private sector, etc.) 	<p>Fundraising Strategy</p> <ul style="list-style-type: none"> <i>The CSO has a written, long-term (minimum of one-year) plan for financial sustainability</i> <i>The CSO has a written, long-term plan for financial sustainability separate from its financial plans</i> A designated person or group of people are responsible for seeking new sources of funding or generating new income to finance strategic goals Existing database of possible funding sources The CSO has at least two different types of funding sources (i.e., entrepreneurial activities/paid services, donors, business and individual sponsors, membership fees, or fees from other international organizations The CSO has been able to secure at least 30% of its financing for one year of operations from sources other than international organizations (for example, from local donors, paid services, government contracts, the private sector, etc.)
5.	<p>Financial Management Systems</p> <ul style="list-style-type: none"> The CSO has an accountant and an accounting system Internal financial controls are in place (separation of functions) The annual operating budget is separate from project budgets The CSO has undergone or is prepared to undergo an external financial audit Financial documentation is available to the organization's members 	<p>Financial Management Systems</p> <ul style="list-style-type: none"> The CSO has an accountant and an accounting system Internal financial controls are in place (separation of functions) The annual operating budget is separate from project budgets The CSO has undergone or is prepared to undergo an external financial audit Financial documentation is available to the organization's members. CSO has a fixed system for financial management CSO led financial audit of income CSO prepares annual budget report

№	Components of Organizational Capacity Index description during 2002-2007	Components of Organizational Capacity Index description in 2011
6.	<p>1) Sufficient Management Procedures</p> <ul style="list-style-type: none"> • Ролі та обов'язки працівників є чіткими та незмінними. • Існує система менеджменту персоналу, віписані посадові інструкції, процедура набору та працевлаштування, тощо. • Існує система діловодства. • Чітко розписані адміністративні процедури. • Професійний розвиток є складовою частиною загального розвитку всієї організації. 	<p>2) Sufficient Management Procedures</p> <ul style="list-style-type: none"> • Staff roles and responsibilities are clear and dependable • Formal personnel systems exist (job descriptions, recruitment and hiring procedures, etc.) • A formal file system exists • Administrative procedures are written down • Professional development is considered part of the overall development of organization and is supported by individual career development plans • CSO has paid staff • CSO has defined the needs of target groups on which the project will focus • CSO has the calculation of organization clients. • The organization has a feedback mechanism for CSO services • The organization led the mark of their own programs. • When evaluating programs, the CSO uses external experts • CSO is a member of a coalition, or network or other working group
7.		<p>Legitimacy, Reporting and Cooperation in Coalitions/Networks:</p> <ul style="list-style-type: none"> • <i>CSO clients are present in their executive bodies</i> • <i>CSO clients participate in planning program activities</i> • <i>CSO evaluates its programs</i> • <i>CSO prepares, publishes, and distributes copies of its annual report among clients</i> • <i>CSO has clients' calculation and has a mechanism of contra connection with them.</i> • <i>CSO is a member of coalitions and networks.</i>

Results (2002-2007): The average score on a 5-point scale of the organizational index is **2,65** in 2007 (in 2006 – **2,9**, in 2005 – **2.89**, in 2004 – **2.94**, and in 2003 – **3.14**), this is an indication of a maintenance of the average capacity in Ukrainian CSOs. In general, CSOs have relevant management and fundraising procedures. During 2003-2007, a gradual decrease in the index occurred. However, we can state that the governing bodies do not perform with the highest effectiveness; the procedures of the internal management can be improved; the staff gets involved in the decision making only occasionally; and the fundraising is rather sporadic.

Table 6.1 shows the Organizational Capacity Index for separate components in 2002 and 2007. For comparison with the results of 2009-2010, Organizational Capacity Index, obtained in 2002-2011 were transferred to 1-scale.

Table 6.1.
Organizational Capacity Index by Components in 2002-2007

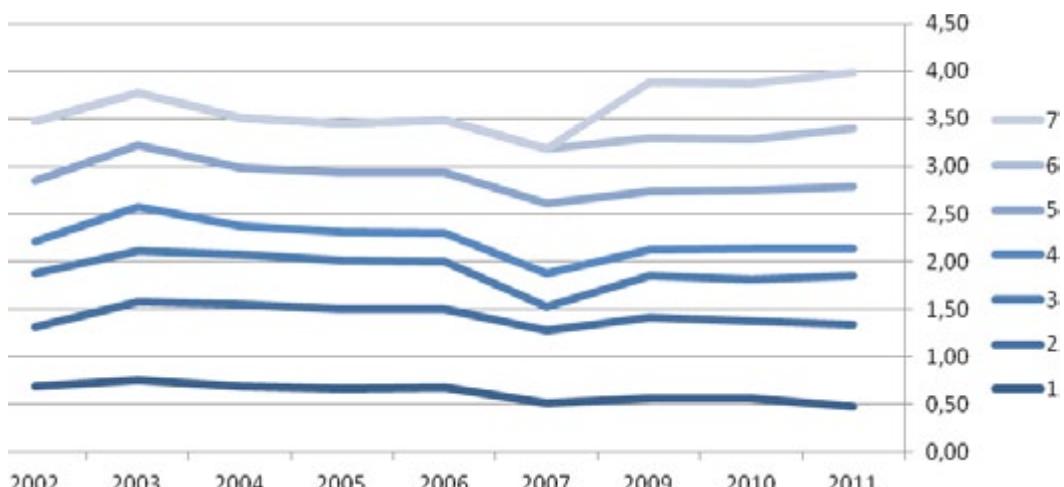
Component	Index					
	2002	2003	2004	2005	2006	2007
Component 1. CSO practices strategic management	3,45	3,73	3,47	3,34	3,4	2,62
Component 2. CSO has an effective governance structure	3,11	4,09	4,29	4,17	4,1	3,74
Component 3. CSO leadership and management style is participatory	2,85	2,71	2,59	2,53	2,52	1,32
Component 4. CSO has a fundraising strategy	1,67	2,29	1,50	1,49	1,49	1,68
Component 5. CSO financial management systems meet accounting standards	3,20	3,25	3,12	3,10	3,22	3,68
Component 6. CSO has sufficient human and financial resources management procedures	3,10	2,75	2,60	2,61	2,71	2,87
Average Index Score (5-point scale)	2,90	3,14	2,93	2,87	2,91	2,65
Average Index Score (1-point scale)	0,58	0,63	0,59	0,57	0,58	0,53

Description of the 2011 findings:

In 2011 the average score for the organizational capacity index was **0.57** (on a 1-point scale). This is an indication of a medium capacity of the Ukrainian CSOs. The number has slightly increased when compared to the results of 2010; in particular, it was **0.55** back then. In general the non-governmental organizations have proper rules and procedures for management of resources and fundraising. Over the year the NGOs advanced their capacity in the area of governance, management and leadership, financial management, HR management and material resources handling. At the same time in 2011 the organizations started to apply the strategic management less in their everyday work and the fundraising strategy got worsened.

The distribution of the scores of the organizational system index presented below helps us identify the strengths and weaknesses of Ukrainian CSOs according to the suggested model (Graph 6.3.)

Graph 6.2.
Organizational Capacity Index by Components in 2009,2010 and 2011, (N=637)



The same information is presented in Graph 6.2. The lines connect the average meaning of the index component of the same year. The number of the component in the diagram corresponds with the number of that component in Table 6.3

Table 6.3 shows the Organizational Capacity Index for separate components in 2009, 2010 and 2011.

The findings of the 2011 survey demonstrate that the Ukrainian CSOs have strategic management skills and the indicator of the governance structure in the organizations is rather high. However, the governance and management structures are not separated in many organizations thus hindering the effective development of organizations. The financial management systems generally comply with the national and international standards; organizations have all relevant financial procedures. The majority of organizations have not had an external audit but many of them have expressed willingness to have it. The level of organizational legitimacy is also rather high; the majority of organizations publishes their annual reports and participates in the work of various coalitions or networks.

Table 6.3
Organizational Capacity Index by Components, 2011

Component	Index 2009	Index 2010	Index 2011
Component 1. CSO practices strategic management	0,56	0,56	0,47
Component 2. CSO has an effective governance structure	0,85	0,82	0,86
Component 3. CSO leadership and management style is participatory	0,44	0,43	0,52
Component 4. CSO has a fundraising strategy	0,27	0,33	0,28
Component 5. CSO financial management systems meet accounting standards	0,62	0,61	0,65
Component 6. CSO has sufficient human and financial resources management procedures	0,56	0,54	0,60
Component 7. CSO legitimacy	0,58	0,58	0,58
Average Index Score	0,6	0,55	0,57

The availability of effective governance structures is the strongest component of the organizational capacity index according to the 2011 survey. The Ukrainian CSOs have demonstrated that they have operational governing bodies with clearly defined and written responsibilities and order of work. The governing bodies are engaged in the strategic decision making. There are relevant mechanisms in place to ensure changes in and rotation of the members of the governing bodies. Although this component has received the highest average score when compared to other elements of the CSO's activities it hasn't yet reached its maximum potential.

The component that placed second is related to the financial management of a CSO. According to the findings of the survey the organizations have scored above average for this component. The majority of polled organizations has a professional accountant in the staff and thinks that their

financial system is in line with the national or international standards. Not all polled CSOs have undergone an audit but many of them are ready for it.

According to the findings of the survey the score for the legitimacy is rather high. At least one representative of a target group is represented in the collective governing body in the majority of polled CSOs, in particular in 500 of 637 organizations.

The component of *the CSO's fundraising strategy* scored the lowest; this component includes information about the availability of a long-term fundraising plan, awareness about the existing funding opportunities and various funding sources. Only 202 of 637 polled organizations have a fundraising plan for the period of one year. It should be mentioned that the score for this component has had a slight increase if compared to the 2009 survey.

Conclusion

The average score for the organizational capacity index means that in general the capacity of the Ukrainian CSOs for organizational development is at the medium level and overall the CSOs have management standards in place. The low score for fundraising strategy should be taken notice of. According to the 2011 survey 61% of polled organizations don't have a written fundraising plan and only 32% of CSOs have a fundraising plan in a written form. In 2011 the effectiveness of the governance system has the highest score. According to the findings of the survey 93% of polled CSOs have a collective governing body, 90% of CSO have a written document that defines the responsibilities of the governing bodies. Around 83% of polled CSOs elect their governing bodies. A conclusion can be made that the polled CSOs have a solid system of governing bodies, mechanism for electing them and the respective documents that regulate their activities.

7. The Advocacy and Lobbying Index of Ukrainian CSOs

In general, advocacy activity focuses on making changes in politics, policy positions, and programs through institutions that represent the organized interests and needs of their clients. Advocacy can include many different activities, such as civil education campaigns, informing mass media, lobbying elected or appointed officials, drafting legislation, and any other means to influence or achieve the desired results. Advocacy and lobbying build public policies that improve people's lives and the places where they live.

Index description: In order to better evaluate a CSO's capacity to carry out advocacy activities, the Institute for Sustainable Communities, during the implementation of their project, "Ukrainian Community Action Network" (2002-2008), developed a useful measurement tool. The components help assess a CSO's ability to research issues that are important for a community, and the ability to track the community's reaction to crucial events and decisions. Also essential is the CSO's ability to define its own position, and to commit material and financial resources in order to organize information campaigns in the community, as well as working to influence political decisions.

Each of the index components should be rated on a scale, such as the following 5 point scale, where 1 = none or very little capacity, 5 = extensive or very strong capacity. Components of the index are the following:

1) The CSO collects information and researches issue:

- Issue is of vital concern to the group's constituents
- Relevant government agencies and their respective roles in the issue are identified at national and local levels; knowledge and positions investigated
- Interests and stakeholders are identified
- Existing information and data on the issue is collected for summaries or position papers
- Policy analyses on legal, political, social justice, or health aspects of the issue are performed

2) The CSO systematically seeks input and response from its members and the public on the issue:

- CSO members meet to discuss information collected
- General public input is solicited (including from women and minorities) via public meetings, focus groups, conferences, seminars, call-in programs, etc.
- Media campaigns are conducted
- The CSO adjusts its strategy in response to input

3) The CSO formulates a viable policy position on the issue:

- Policy formulation is done in a participatory (and gender-sensitive) manner
- Policy being advocated exists in writing, with formats and levels of detail that are appropriate for various audiences and policy makers
- Policy position is clearly and persuasively articulated and uses information collected in component 1
- Presentation of the policy position uses attractive and effective formats, such as graphs

4) The CSO obtains and/or allocates resources (especially time and money) for advocacy the issue:

- Contributions are collected from members, interested citizens, and/or from other organizations (businesses, foundations, religious groups, etc.)
- Financial or other resources are assigned to the issue from within the CSO
- Volunteer time to help advocate the issue is obtained and well managed
- The CSO seeks contributions from outside sources (donors, business sector, local organizations, etc.)
- Human resources of the organization are well managed and advocacy activity is made a priority

5) The CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue:

- Other groups and individuals with interests related to the issue are identified or persuaded to take an interest (may include govt. organizations which share concerns)
- Coalition formed (defined as any type of joint working group)
- An existing or new coalition or network is activated through informal contacts, joint meetings, identifying common interests, sharing resources, etc.
- Joint or coordinated actions planned and monitored

6) CSO communicates position/stand on the issue:

- Communication plan put in place
- News releases generated or public meetings held
- Events scheduled to educate public on the position/stand
- Response mechanism exists for all outreach efforts (for further input and to assess public interest)
- Relevant policy position papers and disseminated recommendations are based on the input collected and the coalition's joint interests
- Effective and well-developed techniques of mass influence are applied (for example, advertisement on radio, TV, billboards etc.)

7) The CSO takes follow-up actions to influence policy and/or to maintain public interest:

- Members/citizens are encouraged to take appropriate actions, such as writing letters to legislators
- Active lobbying conducted for the policy position, such as testifying in hearings, personal visits to legislators, etc.
- Monitoring the status of the law, policy or court decision, and informing and mobilizing the public at critical junctures
- Some staff or volunteer time and resources are allocated to the issue for monitoring
- [If desired policy passed] Monitoring implementation and possible public awareness campaign undertaken to create or renew a sense of urgency on the issue
- [If desired policy not passed] At least a minimal level of advocacy maintained to take advantage of upcoming opportunities for pressing the issue, perhaps with a reformulated approach or different specifics

The findings of the survey. According to the survey advocacy and lobbying of interests are the most common types of activities among the CSOs. Around 36% of organizations have this area as one of three main areas. This is an indication that the CSOs perceive themselves as advocates of

their beneficiaries. The capacity of Ukrainian CSOs for advocacy and lobbying has a score of 3.37 and that means that their capacity to play a role in lobbying of important issues and to influence the decision making is above average. The score of 2011 is the highest for the past ten years. The table below shows the level of CSOs' engagement in advocacy and lobbying according to each component of the index.

Seven components were identified as the ones that promote or hinder the development of CSOs' capacity for advocacy and lobbying. The comparison of the general average score for the index (it was 2.3 in 2002) and the elements of the index by separate components demonstrates positive developments among the Ukrainian CSOs in the area of advocacy over the past ten years.

Only one component, in particular formulation and promotion of the policy position on the issue, has not scored 3. This component is one of the weakest elements of the advocacy index by tradition.

«When they lobby a certain law it results in something complex and cumbersome and we have something general and vague at the end. If there is a task to provide lighting or construct a playground then it is very hands-on and practical and clear... and when there is a task to lobby a strategic law then we are hopeless. It is a general trend.” This is a quote from the focus-group discussion on the capacity of civil society organizations for advocacy and lobbying. The discussion was conducted by the CCC in Vinnytsia in January 2012.

Table 7.1
Index Breakdown by Components in 2002, 2004, 2005, 2006, 2007, 2009, 2010, 2011

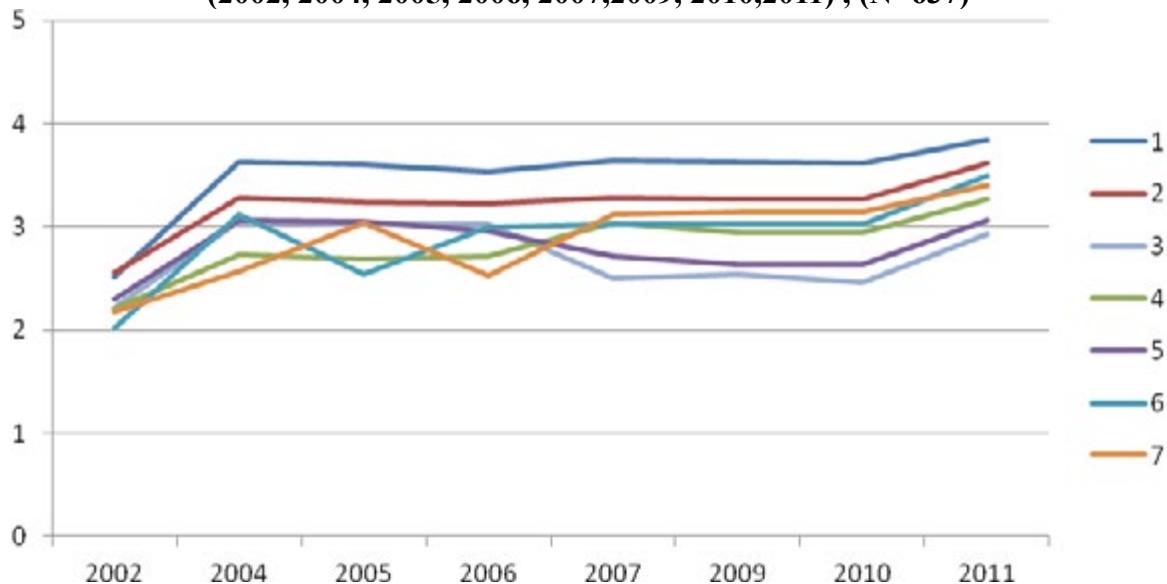
	<i>Component</i>	Index, 2002	Index, 2004	Index, 2005	Index, 2006	Index, 2007	Index, 2009	Index, 2010	Index, 2011
1	CSO collects information and researches the issue	2,51	3,63	3,6	3,54	3,64	3,63	3,61	3,85
2	CSO systematically seeks input and response from its members and the public on the issue	2,55	3,28	3,24	3,22	3,28	3,26	3,27	3,61
3	CSO formulates a viable policy position on the issue	2,22	3,05	3,02	3,03	2,50	2,54	2,46	2,93
4	CSO communicate position/ stand on the issue	2,2	2,73	2,69	2,72	3,04	2,99	2,94	3,26
5	CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue	2,3	3,07	3,05	2,95	2,71	2,72	2,64	3,07
6	CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue	2,02	3,12	3,04	3	3,02	3,04	3,02	3,50

	Component	Index, 2002	Index, 2004	Index, 2005	Index, 2006	Index, 2007	Index, 2009	Index, 2010	Index, 2011
7	CSO takes follow-up actions to influence policy and/or to maintain public interest.	2,17	2,56	2,54	2,52	3,12	3,13	3,14	3,40
	OVERALL INDEX	2,28	3,06	3,03	3,00	3,04	3,04	3,01 ¹	3,37 ²

The information about the breakdown of the index components is presented on Graph 7.1. The lines connect mean value of the index components of one year.

Graph 7.1.

**Distribution of the 7 Index Components
(2002, 2004, 2005, 2006, 2007, 2009, 2010, 2011), (N=637)**



The regional differences in the advocacy index are presented in the table below. According to Table 7.2 the organizations from the Southern Ukraine have the highest advocacy index.

**Table 7.2.
Regional Differences by Components of the Advocacy Index
and Overall Index Scores**

	West	East	Center	South	Average Index Score
OVERALL INDEX	3.16	3.52	3.35	3.69	3.37
Component 1. CSO collects information and researches the issue	3.59	4.18	3.83	4.16	3.85
Component 2. CSO systematically seeks input and response from its members and the public on the issue	3.52	3.71	3.59	3.78	3.61
Component 3. CSO formulates a viable policy position on the issue	2.56	2.21	2.95	3.30	2.93
Component 4. CSO communicate position/stand on the issue	3.09	3.24	3.28	3.55	3.26

	West	East	Center	South	Average Index Score
Component 5. CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue	3.04	3.11	2.96	3.38	3.07
Component 6. CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue	3.09	3.70	3.47	3.92	3.50
Component 7. CSO takes follow up actions to influence policy and/or to maintain public interest	3.22	3.47	3.38	3.72	3.40

Conclusion

The advocacy index is above average. There has been a positive trend toward an improved capacity of the Ukrainian CSOs for advocacy and lobbying over the past ten years. The Ukrainian CSOs gather information and monitor issues important for their clients on a regular basis; they conduct repeat events to influence the general social and political situation and raise the awareness of citizens. At the same time the weakness of the Ukrainian CSOs lies in the formulation of a strong and viable position and regular engagement of members of CSOs and the general public in the review and update of their stand in compliance with the current situation. The CSOs are good at advocacy work, which is typical for day-to-day activities of CSOs, for instance, conducting meetings and workshops, ensuring feedback from the community, conducting external monitoring. But they are not used to more complicated activities that include interaction with the law makers and civil servants, formulation of a strong and viable position on issues important to the clients, monitoring of development and implementation of various laws. The CSOs initiate new coalitions and associations but that does not mean that these coalitions are effective in terms of advocacy. The role of CSOs as the representatives of the interests of Ukrainian citizens has been strengthened lately. But CSOs still have to work on a better coordination and planning, resources allocation, regular monitoring and adjustment to changes in the volatile environment.

8. The Coalition/Network Effectiveness Index

CSOs often work in coalitions and networks as this gives them a stronger voice in any advocacy campaign, helps increase resources, expertise, visibility, and influence.

Coalition/Network Effectiveness Index description: the effectiveness Index in the coalition/networks was first researched this year in the framework of the “Ukraine National Initiatives to Enhance Reforms” project.

In this research, CCC developed a new measurement tool to define the level of Coalition/Network Effectiveness. The index consisted of the following questions:

1. How does your organization cooperate with other organizations?
2. Is your CSO currently a member of a coalition or network?
3. If yes, how many?

Coalition is a group of individuals or organizations that work to address a certain issue. If compared to the network the coalition tends to have a formalized structure, membership, responsibilities, division of roles and resources.

Networks are fluid and flexible associations of people and groups united by joint interests or interested in sharing information or ideas.

Table 8.1.

The Coalition/Network Effectiveness Index, 2011

Component	Index 2009	Index 2010	Index 2011
By types of cooperation	0.55	0.68	0.56
By membership in a coalition or network	–	–	0.67
By number of coalitions an NGO is a member of	0.16	0.15	0.17
AVERAGE SCORE	0.71	0.41	0.40

It should be mentioned that the coalition/network effectiveness index can have a low value if an NGO does not cooperate and is not a member of any coalition/network. It should be noted that this index has changed if compared to 2010 and 2009; in particular, it was 0.41 in 2010 and 0.71 in 2009⁸⁰). This can be explained by the reduced level of cooperation between the CSOs in the course of the past three years.

Conclusion

The CSO coalition/network effectiveness index is below average. The findings of the 2011 survey revealed that the most popular types of cooperation between the polled CSOs included information sharing according to 82% of polled CSOs, joint activities as reported by 71% of organizations, meetings as indicated by 70% of respondents and consultations according to 57% of polled organizations. It should be noted that 619 of 637 polled organizations reported their participation in the coalition work. The majority of these organizations participate in the work of two coalitions. At the same time there is a trend toward a decrease of this Index observed between 2002 and 2011.

⁸⁰ An insignificance level of 5%.

9. The Constituency Legitimacy Index

Too often, CSOs plan for people rather than with them. In real terms, increasing CSO legitimacy among its constituency means involving CSO beneficiaries in all stages of organizational programming. When a CSO has legitimacy, its actions are based on wide public support and allow an organization to defend itself against accusations of elitism by the government. By planting strong roots in the community, a CSO will speak from a position of authority when engaging and influencing policymakers.

Constituency Legitimacy Index description.

The legitimacy index was first research in 2009 in the framework of the “Ukraine National Initiatives to Enhance Reforms” project. In this research CCC developed a new measurement tool to define the level of Constituency Legitimacy among UNITER grantees. The index consists of the following questions:

1. Does your Board of Directors include at least one former or current direct beneficiary of the program?
2. To what extent are beneficiaries of your organization involved in planning programs and projects for the organization?
3. Does the CSO assess the needs of the project target group?
4. Does the CSO keep a record of all the beneficiaries that received services from the organization?
5. Does the CSO have a feedback mechanism in place for its services?
6. Does the CSO normally conduct evaluations?
7. Does the CSO usually use external evaluators?

Legitimacy is a right to exist and act in the society, in other words, the organization and its activities are legitimate, acceptable and legally valid.

Legitimacy is the perception of the existence, activities and influence of the CSO by the key stakeholders in the society as lawful and relevant to the values identified by the society and the institutions.

There are several **types of legitimacy**, i.e. legislative, regulatory, pragmatic and cognitive/informative.

Table 9.1.
The Constituency Legitimacy Index, 2011

COMPONENT	INDEX 2009	INDEX 2010	INDEX 2011
Question 1. Our Board of Directors includes at least one former or current direct beneficiary of our program	0.78	0.76	0.79
Question 2. To what extent are beneficiaries of your organization involved in planning programs and projects for the organization?	0.06	0.05	0.05
Question 3. Does the CSO assess the needs of the project target group?	0.92	0.89	0.92
Question 4. Does the CSO keep a record of all the beneficiaries that received services from the organization?	0.55	0.54	0.54

COMPONENT	INDEX 2009	INDEX 2010	INDEX 2011
Question 5. Does the CSO have a feedback mechanism in place for its services?	0.69	0.69	0.60
Question 6. Does the CSO normally conduct evaluations?	0.79	0.78	0.70
Question 7. Does the CSO usually use external evaluators?	0.22	0.23	0.19
AVERAGE SCORE	0.67	0.56	0.58

Conclusion

The legitimacy index is above average. The findings of the survey have demonstrated that the majority of polled CSOs had at least one representative of their beneficiaries in the collective governing body (0.79). The majority of polled organizations studied the needs of their target groups before developing a project/program (0.92), they conducted evaluations of their projects and programs (0.70) and had a feedback mechanism in place to ensure communication with their beneficiaries (0.60). The level of beneficiaries' engagement in the program activities planning was rather low (0.05). When comparing the findings of the survey received in 2009, 2010 and 2011 a conclusion can be made that this index has slightly grown if compared to 2010 (0.56 in 2010⁸¹) but it was lower in 2009 (0.67 in 2009⁸²).

⁸¹ An insignificance level of 5%

⁸² An insignificance level of 5%.

10. Problems and Needs Analysis of Ukrainian CSOs

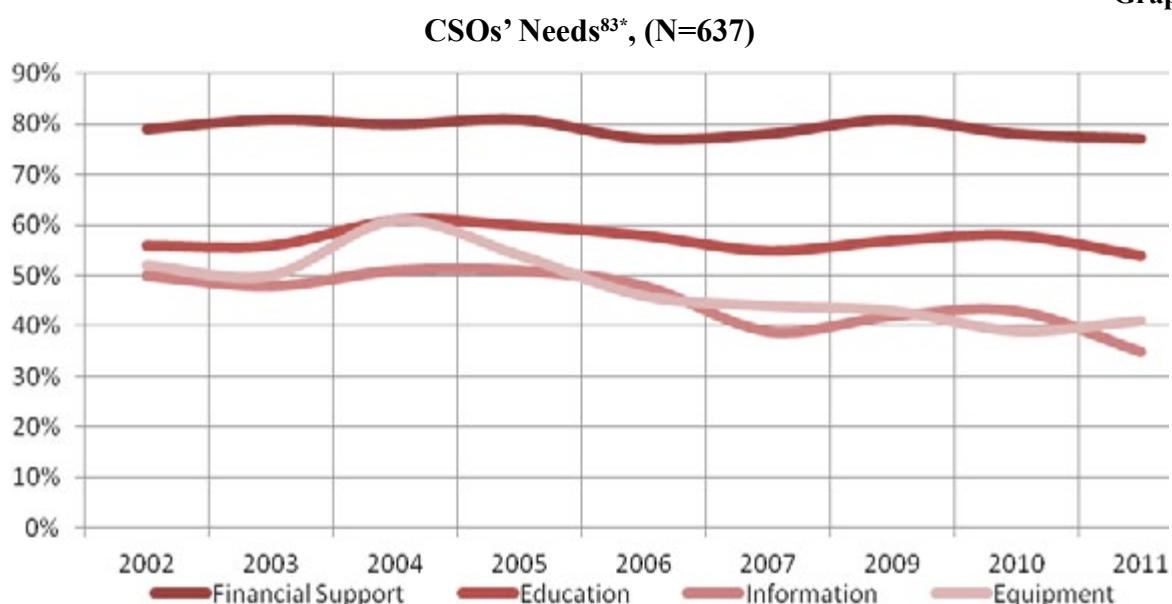
This section is a comparative analysis of the needs of Ukrainian CSOs between 2002 and 2009. In particular, it covers internal/external organizational problems, general, and training needs. The respondents could choose multiple answers.

After analyzing the respondents' answers from this and previous years, the main needs of Ukrainian CSOs were identified as the following: material resources, clear legislation, and fruitful co-operation with business structures and governmental agencies.

CSO representatives estimated both their own organizational capacity as well as their cooperation with other CSOs and community as being quite high. Thus they do not see any serious problems in these aspects of their activities.

General needs. Graph 10.1 makes it possible to trace the trend observed in the recent years related the general needs of CSOs. The respondents could choose an answer from ten options. Graph 10.1. shows the most relevant problems for the CSOs that took part in the survey.

Graph 10.1



The 2011 survey data demonstrates that 77% of polled CSOs have identified financial aid as the most pressing issue. The indicator has remained high over the course of the past ten years. However, when compared to the findings of the 2009 survey the need for financial aid has decreased by 4% (it is a minor difference of 5%). Around 54% of respondents commented on the need for learning. About 41% of polled CSOs indicated the need for equipment. This indicator has decreased by 11% since 2002.

Having analyzed the findings of the survey for the past ten years one can draw a conclusion that information is no longer an issue for CSOs as it used to be before. About 35% of respondents have indicated their need for information and this is the lowest indicator observed for the last ten years.

⁸³ Question № 117

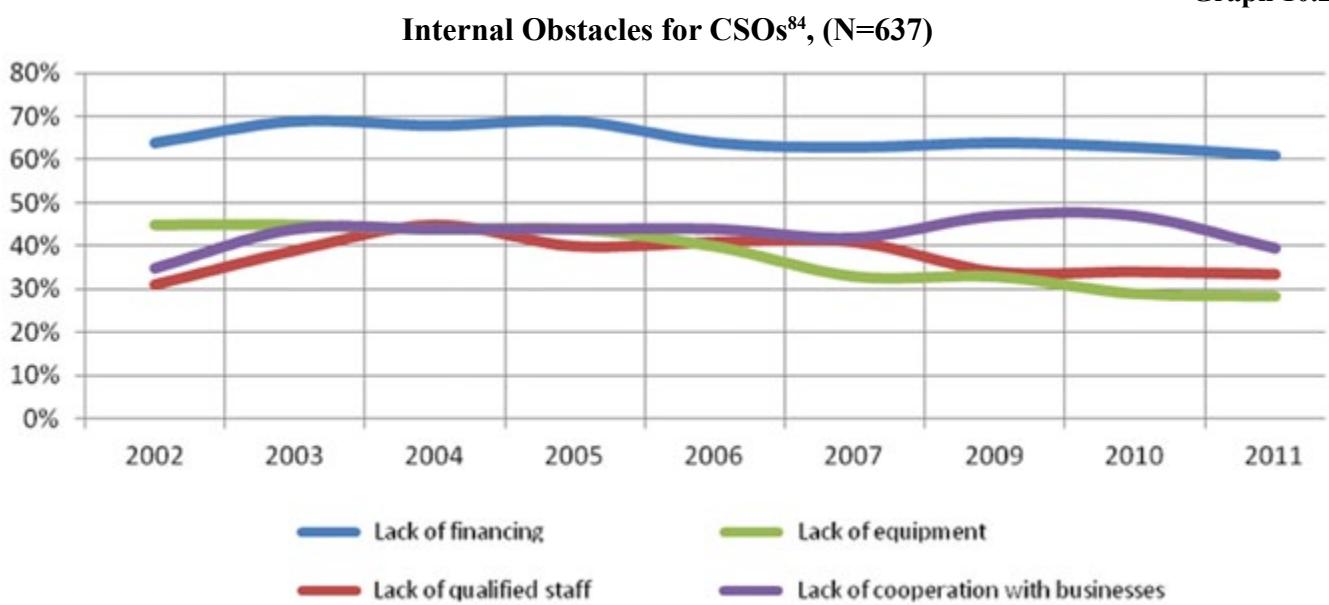
The 2011 survey had a question about the type of assistance CSOs expected from the public authorities. The provided answers made it clear that CSOs primarily expected financial aid from the public authorities (54%). That corresponds to the question about the general needs of CSOs since the most common answer to it was the financial aid. But the fact that a smaller quantity of respondents expected financial aid from the public authorities (by 23% less) can be an indication that CSOs count more on financial support from non-public donors and business.

On the other hand, 42% of respondents commented that they needed information support from the public authorities and this is by 7% higher than the number of CSOs that have indicated the need for information. Besides, more than half of respondents (51%) expect to receive support from the public authorities when implementing joint projects and around one third of organizations (31%) expect the public authorities to provide facilities and premises.

At the same time, 35% of respondents think it is important that the state does not interfere with the activities of CSOs/stays out of the way and 26% of organizations would like to receive moral support from the state.

Internal Obstacles for CSOs. Lack of financing remains the biggest internal challenge for the Ukrainian CSOs for the tenth year in a row. The need of finance outscores all other needs by 21% in 2011.

Graph 10.2



The 2011 survey has revealed that the issue of insufficient cooperation with business is no longer pressing. One can make an assumption that this is related to the increased share of finance provided by business to CSOs and a better willingness of business to cooperate with CSOs and their higher awareness about the activities of CSOs.

The review of findings of the 2002-2011 survey gives grounds to state that the need for equipment has significantly decreased. When compared to 2010 the need for equipment decreased by 1% in 2011. But over the course of the past ten years the indicator has fallen down from 45%, in other words by 17%.

⁸⁴ Question № 115

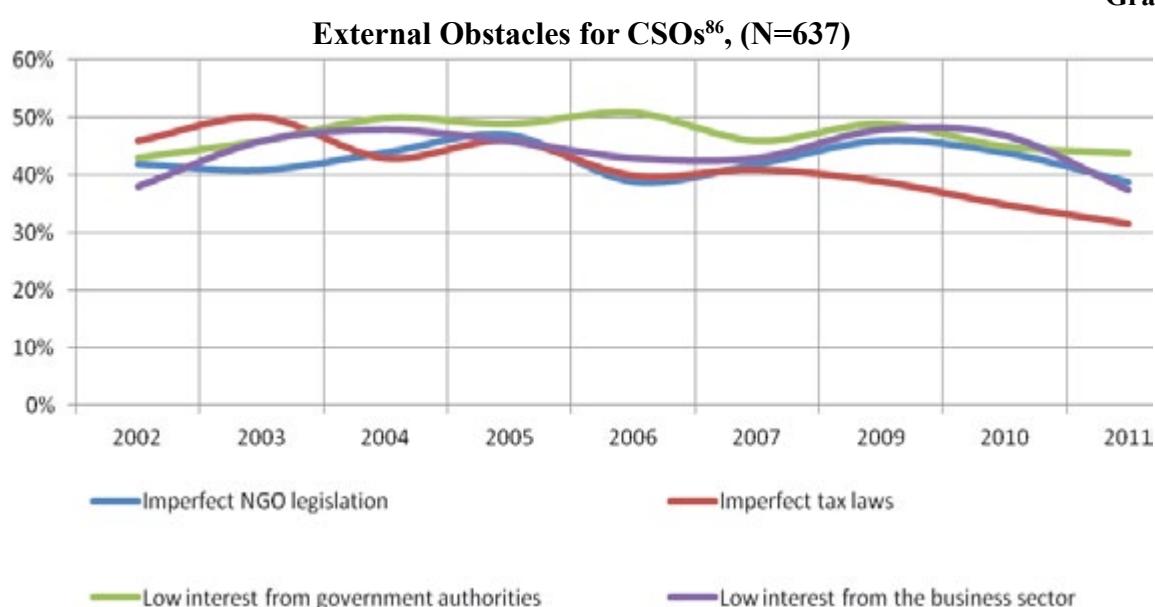
Conclusion

Lack of finance remains the most pressing issue for the Ukrainian CSOs. It should be noted that the problem has somewhat been solved if compared to the previous three years. Lack of cooperation with business and lack of equipment remain high in the course of the past ten years.

External obstacles. Graph 10.3 illustrates main external obstacles faced by CSOs in the period of 2002-2011. Thus the main challenges are low interest from the business sector (by 37% of CSOs), low interest from the government authorities (44%), shortcomings of the CSO related legislation (39%) and imperfect tax legislation in particular (32%). The issue of low interest from the government authorities in the CSOs' activities has decreased by 1% when compared to 2010 (44% of respondents in 2011 and 45% of respondents in 2010)⁸⁵. The low interest of the government authorities in the activities of CSOs can be explained by the lack of information about their work. In 2011 the issue of low interest from the business sector in the activities of CSOs was drastically improved (by 10%). This can be explained by several positive developments such as a increased interest of business in the work of CSOs and better awareness of business about what civil society organizations do, better cooperation of CSOs and business and also by the increased share of funding provided by business to the CSOs.

Graph 10.3 demonstrates the trend toward a decreased number of respondents who have chosen the answer of imperfect CSO legislation.

Graph 10.3



Conclusion

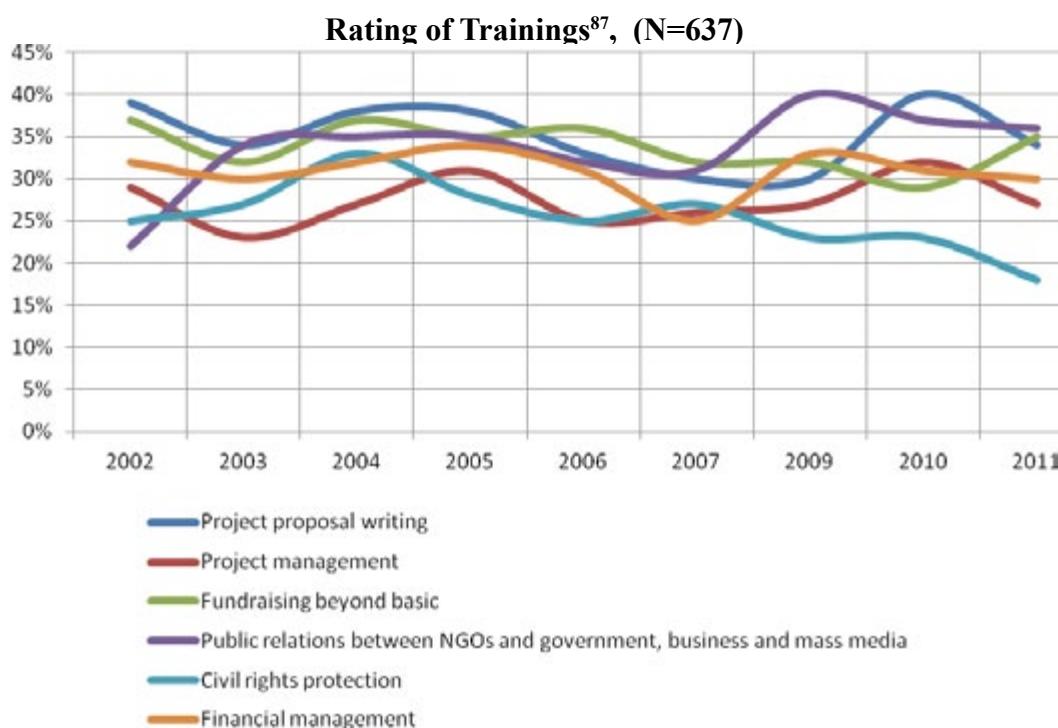
The majority of polled CSOs indicated that the low interest of the government authorities in the activities of CSOs was the main external obstacle the Ukrainian civil society organizations faced. It should be noted that the number of positive answers to each proposed option of the question about the external obstacles has decreased if compared to the previous years. This can be viewed as an overall decrease of the external problems the CSOs had.

⁸⁵ Significant difference at the level of 5% .

⁸⁶ Question № 116

Need for training. As shown on Graph 10.4 the demand for trainings on fundraising beyond basic was noticeably increased in 2011.

Graph 10.4



Having analysed the graph one can make a conclusion that the number of organizations interested in the training on fundraising beyond basic and other topics was increased up to 35% in 2011. The demand for all other trainings that used to be most popular back 2010 such as project writing and project management, fundraising beyond basic and civil rights protection has decreased.

The rating of the training on project management significantly decreased in 2011, in particular it was 27% in 2011, 32% in 2010, 27% in 2009⁸⁸, 26% in 2007, 25% in 2006, 31% in 2005, 27% in 2004, 23% in 2003 and 29% in 2002.

The rating of the trainings on financial management and public relations between NGOs and government, business and mass media (30% and 36% respectively) remains steady.

Conclusion

One can state that the external and internal problems the Ukrainian CSOs face have been decreased if compared to 2010. A smaller number of respondents have commented on various external or internal issues. At the same time, the challenges remain unchanged. The main external obstacle is the low interest of the public authorities in the activities of CSOs, whereas the main internal problem is the lack of funding. Better cooperation with business is a positive development observed in other parts of the survey. On the other hand, the CSOs display less interest in trainings when compared to 2010. The only subject the NGOs have showed an increased interest is fundraising. Perhaps this can be explained by a better cooperation of NGOs and business.

⁸⁷

⁸⁸ Significant difference at the level of 1%.

Part IV

Conclusions on the Dynamics of Ukrainian CSO Development: 2002 – 2011

Conclusions on the dynamics of CSOs' overall development and needs in the period of 2002 and 2011 are presented in this chapter.

Profile of Respondents

The most popular areas of CSOs' activities have remained unchanged over the course of the past ten years. The most common areas of activities include working with children and youth, rendering civic education, advocating for human rights and tackling social issues.

Trainings and consulting, information sharing, advocacy and lobbying remain the most popular types of activities for CSOs during the last ten years.

The surveyed CSOs indicated youth, children, members of their organization, general public and CSOs as the most important target groups. The target groups have not significantly changed between 2003 and 2011.

During the past ten years the number of CSOs that have their own website has drastically increased.

Internal Management

The main reason for establishing an NGO is a possibility to influence the society development and a strong aspiration to help other people. Over the past ten years there has been a downward trend in the number of CSOs that have a written mission in place.

The survey has revealed that only fifty per cent of polled organizations have a developed strategic plan. Over the past ten years there has been a downward trend in the share of CSOs that have a strategic plan. The majority of CSOs have a strategic plan that covers three and more years.

Collective Governing Body

According to the findings of the survey the largest part of the civil society organizations have a collective governing body. The Board remained the most popular type of a collective governing body during the past ten years.

Human Resources

Over the past nine years there has been a downward trend in the number of CSOs that have permanent staff.

Between 2002 and 2010 the number of membership organizations and ways of engaging new members did not experience major changes.

More than half of CSOs work with volunteers. During 2001 and 2011 there was a trend toward a decreased number of organizations that

worked with volunteers. Students, service beneficiaries, elderly people and housewives make the pool of the most common volunteers working with CSOs.

Infrastructure/Material Resources

The majority of Ukrainian CSOs have all necessary materials resources available. But only 11% of Ukrainian CSOs have their own office facilities and around fifty per cent of respondents rent their premises.

Only one third of polled organizations have a fundraising plan in place. According to the surveyed organizations the most common sources of funding include grants from the international organizations, charitable contributions from the business community, charitable donations from citizens and membership dues.

During the past ten years one can see a downward trend in the share of charitable contributions from the business community and an upward trend in the percentage of grants from the international organizations in the budget of CSOs. The most common annual budgets among the Ukrainian CSOs vary between \$1 000 - \$4 999, \$10 000 - \$19 999 and \$0 - \$500.

The polled organizations are experienced with financial planning and diverse fundraising but they still lack a systemic approach to planning and following the developed plan when conducting various activities.

Management Systems in the Organisation

NGOs have demonstrated high marks for formal management components such as document registration, internal financial control, decision making and engaging members of an organization in the decision making about programmes and activities of an NGO.

External Relations and Communication

CSOs have regular contacts with government agencies and in most cases both parties are interested in cooperation. The findings of the survey demonstrate the both parties initiate the contacts in most cases.

The level of cooperation of various NGOs remains high during the past nine years. The representatives of non-governmental organizations share information and participate in joint activities and meetings. Information sharing, meetings and joint activities are the most popular types of cooperation among the CSOs.

Like previous years in 2011 CSOs perceive business community primarily as a source of funding. It should be mentioned that there has

been an upward trend in the number of CSOs that cooperate with business as partners over the course of the past eleven years.

During eleven years the CSOs cooperated with donors as grant beneficiaries for the most part. The largest part of organization work with the International Renaissance Foundation.

The Ukrainian CSOs disseminate information about their activities through the mass media. Such cooperation has proved to be most effective during the past nine years. Distribution of booklets and leaflets about the organization, presentations and disseminating information via social networks, own website or website of other organizations are popular ways of communicating with the public and keeping it informed.

Programme Activities

It is the head of the organization or the collective governing body that is responsible for programme activities planning in the majority of polled CSOs. The larger part of CSOs keeps track of their clients, they have a mechanism in place to interact with them and they evaluate the programmes.

The majority of CSOs that have participated in the survey prepare annual reports about their work. CSOs mostly distribute the electronic version of their annual reports on their website; they also ensure electronic distribution and make publications in mass media. The hard copies of the annual reports are mostly disseminated at the events organized by CSOs and via the direct mail.

CSOs mostly report to their members, donors and government agencies. Only one third of respondents have clear-cut ethical standards in a written form.

The majority of Ukrainian CSOs have an accountant and believe that their accounting system corresponds to the national and/or international standards.

The main shortcomings of the legislation pertinent to the development of the third sector during 2002 and 2011 are the legislation itself, tax legislation, inactivity of CSOs when it comes to ensuring proper implementation of laws and regulations and lack of knowledge about the laws. The respondents receive information about the laws and updates mostly at various meetings and workshops, via the Internet and direct mail. Over the past nine years there has been a trend toward an increased number of CSOs that receive updates on the legislation via the Internet.

Capacity Building Index

The Ukrainian organizations have a medium capacity building level. The capacity building index was 0.57 in 2011 with a maximum score of 1. During 2002 and 2011 there is a trend toward a slight decrease of the capacity building index among the Ukrainian CSOs, in particular, from 0.58 to 0.57.

Ukrainian CSO Advocacy Index

The advocacy index is above average and was 3.37 in 2011 with a maximum score of 5. This index has significantly increased in the period of 2002 and 2011, in particular from 2.28 to 3.37. Advocacy is one of the most popular activities of the Ukrainian CSOs. The weakest element of the index is the definition and further lobbying of the accepted stand and the strongest element is the data collection and study of the advocacy campaign subject matter.

CSO Participation in Coalitions and Networks Effectiveness Index

The CSO participation in coalitions and networks effectiveness index is below average and it amounted to 0.40 in 2011 with a maximum score of 1. This index has drastically decreased if compared to the previous years' data, in particular from 0.71 to 0.40. The majority of polled organizations are members of two coalitions; the most popular types of cooperation include information sharing, joint activities, meetings and consultations. There has been a downward trend in the index in the period of 2009 and 2011.

Polled Organizations Legitimacy Index

The legitimacy index of the Ukrainian CSOs is above average and it amounted to 0.58 in 2011 with a maximum score of 1. This index is not stable and it varies from one year to the next, in particular from 0.67 to 0.58. The engagement of clients of an organization in programme activities planning remains the weakest element of the index over the period of several years.

Internal Challenges of CSOs

The lack of funding is the most pressing internal challenge for Ukrainian NGOs. The issues of weak cooperation with business and lack of relevant equipment have remained extremely pressing over the past ten years.

External Challenges of CSOs

During 2002 and 2011 the main external problem of the Ukrainian CSOs was the low interest of public authorities in the activities of CSOs.

CSOs Needs in Trainings

The Ukrainian CSOs have identified the following topics as the most relevant ones: civic-business relations of CSOs and public authorities, business community and mass media, fundraising beyond basic, financial management, project management and project writing.

Appendix

Questionnaire for investigation of non-governmental organizations` development and requirement in Ukraine

ID Number: _____

QUESTIONNAIRE for investigation of non-governmental organizations` development and requirement in Ukraine.

Your organization is invited to participate in the 2012 NGO progress and development study. The aim of the research is to define NGO needs and conditions for their development. The investigation is conducted with the help of financial support from the “Ukraine National Initiatives To Enhance Reforms”(UNITER) program and by CCC Creative Center. CCC Creative Center conducted an annual review during 2002-2012, which define the scale, intensity, and quality indicators of the NGO sector in Ukraine. You can become familiar with this previous research on the “Research” and “Library” links on the CCC Creative Center website (www.ccc-tck.org.ua). All information given by your organization is private and will not be released to outside parties.

General instructions for completing the questionnaire:

- The questionnaire includes questions related to the structure, operations, finances, needs, and concerns of NGOs. As such, it is most helpful if the questionnaire is completed by an individual who is the most knowledgeable about the operations and finances of the institution (manager; president; director; the person responsible for financing or organization activities);
- Please record only one response to each question unless otherwise noted.
- Please do not use a red pen or pencil when completing the questionnaire.
- There are no repeat questions. Even if some questions appear similar, differences exist.
- Please read questions and responses carefully as there are skip patterns that need to be followed on some questions.
- At the end of the questionnaire, we have asked you to provide comments and suggestions. We would appreciate your feedback on the questionnaire.

Good luck!

Thanks again for your participation!

Information about Your Organization

(Please make sure that this section is filled out completely)

1a. Name of NGO representative completing the survey _____

1b. Position of NGO representative completing the survey _____

2. Date when survey is completed _____

3. What is the name of your NGO? _____

4. Can you please state the exact mailing address of the NGO? _____

5a. What is the NGO's telephone number? (____) _____

5b. What is the NGO's fax number? (____) _____

6a. What is the NGO's email address, if any? _____

6b. What is the NGO's website address, if any? _____

6c. In what social network your NGO is registered, if any?

Facebook <input type="checkbox"/>	YouTube <input type="checkbox"/>
Twitter <input type="checkbox"/>	Other (please specify) <input type="checkbox"/>

7. In what year was the NGO legally registered? _____ Renewal date (if any) _____

8. Is your NGO registered as a civic organization or as a charity fund?

Civic Organization Charity Fund

9. Does your NGO work in any of the following sectors? (Please identify no more than 3 sectors)

Agricultural Development	<input type="checkbox"/>	Human Rights	<input type="checkbox"/>
Business Development	<input type="checkbox"/>	Mass media	<input type="checkbox"/>
Chernobyl	<input type="checkbox"/>	Politics, state, economy	<input type="checkbox"/>
Children and Youth	<input type="checkbox"/>	Professional Association	<input type="checkbox"/>
Civic Education	<input type="checkbox"/>	Religious Association	<input type="checkbox"/>
Consumer Rights	<input type="checkbox"/>	Women	<input type="checkbox"/>
Culture and Art	<input type="checkbox"/>	Solving social issues	<input type="checkbox"/>
Ecology and Environmental Protection	<input type="checkbox"/>	HIV/AIDS	<input type="checkbox"/>
Health	<input type="checkbox"/>	Regional Development	<input type="checkbox"/>
CSO development	<input type="checkbox"/>	Other (please specify):	<input type="checkbox"/>
Agricultural Development	<input type="checkbox"/>		
Business Development	<input type="checkbox"/>	Don't know	<input type="checkbox"/>

10. Which of the following activities is your NGO engaged in? (Please identify no more than 3 activities)

Advocacy and lobbying	<input type="checkbox"/>	Educational activities	<input type="checkbox"/>
Research and analysis	<input type="checkbox"/>	Information dissemination	<input type="checkbox"/>
Grants administration	<input type="checkbox"/>	Charity	<input type="checkbox"/>
Training and consultation	<input type="checkbox"/>	Social service delivery	<input type="checkbox"/>
Rehabilitation	<input type="checkbox"/>	Legal assistance	<input type="checkbox"/>
Developing policy recommendations	<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>

11. Who are the main clients of your NGO? Are they... (Please identify no more than 3 client groups from the following list)?

Children	<input type="checkbox"/>	Youth	<input type="checkbox"/>
Women	<input type="checkbox"/>	Students	<input type="checkbox"/>
Orphans	<input type="checkbox"/>	Artists	<input type="checkbox"/>
Consumers	<input type="checkbox"/>	Professional Groups	<input type="checkbox"/>
Government representatives	<input type="checkbox"/>	Business people	<input type="checkbox"/>
Pensioners	<input type="checkbox"/>	Farmers	<input type="checkbox"/>
Elderly People	<input type="checkbox"/>	Scientists	<input type="checkbox"/>
Disabled	<input type="checkbox"/>	Mass Media	<input type="checkbox"/>
Poor and needy people	<input type="checkbox"/>	NGOs	<input type="checkbox"/>
Refugees and migrants	<input type="checkbox"/>	Population as a whole	<input type="checkbox"/>
Organization members	<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>

ORGANIZATIONAL DEVELOPMENT

12. From the

following list, please identify the reason(s) why the organization was established? (Please check ALL that apply)

<input type="checkbox"/> Desire to help others	<input type="checkbox"/> Potential to influence the development of society
<input type="checkbox"/> Self-realization of founders	<input type="checkbox"/> Certain circumstances
<input type="checkbox"/> To support organization members	<input type="checkbox"/> Other (please specify) _____
<input type="checkbox"/> Potential to receive financing	

13. Does your NGO have a written mission statement that guide NGO activities?

Yes No Don't know

14. Are members and personnel of the NGO aware of goals and objectives of the organization? (choose ONE variant for each category; mark with a (✓) to answer

	Goals			Objectives		
	Yes	No	Don't know	Yes	No	Don't know
Members						
Staff						

15a. Does your NGO have a strategic plan?

Yes No (Skip to q. 19) Don't know Skip to q. 19)

15b. If yes, what time period does it cover?

Less than one year More than one and less than two years More than two and less than three years Don't know
 One year Two years Three years or more

16. Who, within your organization, developed your strategic plan? From the following list, please identify ALL that apply.

Executive Director President Clients
 Managers Governing body Staff
 Head of governing body Members Other (please specify)

17. Has your strategic plan been updated in the last 2 years?

Yes No Don't know

18. Who, within in your organization, was involved in updating your strategic plan? (From the following list, please identify ALL that apply)

Executive Director President Clients
 Managers Governing body Staff
 Director Members Other (please specify)

19. Has the NGO ever conducted any self-evaluations of the organization's progress towards achievement of goals and objectives?

Yes No (Skip to q. 21) Don't know

20. If yes, do the results of the evaluations influence strategic goals, activity plans, or decision making?

Yes No Don't know Does Not Apply

21. Does the NGO have a governing body?

Yes No (Skip to q. 27) Don't know

22. What type of governing body does your NGO have? From the following list please identify ALL that apply.

Advisory board Supervisory committee Board of directors Don't know
 Consultants Board Other (please specify)

23. Does your organization's charter include written by-laws that outline the roles and responsibilities of the governing body?

Yes No Don't know

24. Does the Executive Director attend governing board meetings or meet regularly with the governing body?

Yes No Don't know

25. Has the NGO held elections for members of the governing body since the governing body was formed?

Yes No Don't know

26. Does the governing body provide input into the strategic plans, goals, and/or activities of the NGO?

Yes No Don't know

26a. Is at least one member of your target audience represented in your managing body?

Yes No Don't know

27. Does your NGO have any paid staff?

Yes No (Skip to q. 30)

27a. How many full-time paid staff does your NGO have?

Steadily employed _____
 By contract _____
 Combination _____
 Hourly _____
 Task dependant _____

27c. What are the salary limitations for staff (in UAH)?

From (minimum) _____ to (maximum) _____

28. Does the NGO have written job descriptions for employees?

Yes No Don't know Does not apply

29. Does your organization have written administrative policies and procedures?

Yes No (Skip to q. 32) Don't know

30. Who is expected to follow administrative policies and procedures? From the following list please identify ALL that apply.

<input type="checkbox"/> Executive Director	<input type="checkbox"/> Staff
<input type="checkbox"/> Governing body	<input type="checkbox"/> Managers
<input type="checkbox"/> Members	<input type="checkbox"/> Other

31. Have your written administrative policies and procedures been updated in the past year?

Yes No Don't know

32. Does the NGO encourage professional development among paid staff members by contributing to costs associated with activities such as attending conferences, workshops, or education and training courses?

Yes No Don't know Does not apply

33. How frequently are the following individuals or groups involved in decisions about the NGO's programs and activities? By how frequently, we would like to know whether they are involved always, most of the time, sometimes, rarely, or never. (One answer per individual and/or group)

	Always	Most of the time	Sometimes	Rarely	Never
Executive Director					
Governing body					
Staff					
Managers					
Members					
Volunteers					

34. Does the Executive Director delegate authority for program and/or administrative tasks to staff members so that the organization can operate in the Director's absence?

Yes No Don't know Does not apply

35. Does the NGO's office have a formal filing (paper and/or electronic) system?

Yes No Don't know

36a. Is your organization membership based?

Yes No (Skip to q. 39) Don't know

36b. How big is the membership of your organization?

1-10 members 51-70 members
 11-30 members 71-100 members
 31-50 members More than 100 members

37. Would you say that membership of your NGO has increased, decreased, or stayed the same since last year?
 Increased Stayed the same (Skip to q.39) Decreased (Skip to q.39) Don't know (Skip to q.39)

38. In your opinion, what contributed to an increase in new members? From the following list please identify ALL that apply.
 New members' own initiative Through staff Other (please specify)
 Information in the mass media Through personal contacts
 Conduct special outreach campaign Don't know

39. Does the organization currently have any volunteers?
 Yes No (Skip to q. 44) Don't know

40a. If yes, how many volunteers does the NGO currently have? _____

40b. On average how many hours per week do typical volunteers contribute to the NGO? _____

41. Has the number of volunteers increased, stayed the same, or decreased since last year?
 Increased Stayed the same Decreased Don't know

42. Has the average number of hours contributed by volunteers increased, stayed the same or decreased since last year?
 Increased Stayed the same Decreased Don't know

43. In general, who volunteers for your organization? (From the following list, please identify ALL that apply)
 Students Program Beneficiaries
 Housewives Other (please specify) _____
 Elderly
 Unemployed

43a. Do volunteers at your organization get payment for their work?
 Yes No Don't know

44. Does your NGO have a written fundraising plan for at least one year?
 Yes No Don't know

45. The following is a list of people and groups that may be involved with the NGO. Please indicate to what extent they are involved in fundraising for the NGO. (Please check one response per individual and/or group)

	Always	Most of the Time	Sometimes	Rarely	Never
Executive Director					
Governing body					
Members					
Staff					
Financial Director					
Volunteers					
Clients					
Other (please specify) _____					

46. Does your NGO have a written financial plan for the organization as opposed to financial plans for projects and activities?

Yes No (Skip to q. 48) Don't know

47. What were the sources of the NGO's funding in the 2009 calendar year? From the following list, please identify ALL that apply.

Membership Fees Grants, International
 Individual donations Grants, Domestic
 Government contributions Specific business activity such as social enterprise
 Business contributions Other, please specify _____

48. Given the sources of funding you identified in the last question, can you give us your best estimate of the percentage of the NGO's funding base in 2009 calendar year that came from each source? (Please make sure that the sum adds up to 100% and do not use fractions or decimals. Please round the numbers for percentages. Proper response for example can be 1% or 25%)

	Percent
Membership Fees	
Individual donations	
Government contributions	
Business contributions	
Grants, International	
Specific business activity such as social enterprise	
Grants, Domestic	
Other	
TOTAL	100%
Don't know	

49. What was your funding base during the 2011 calendar year?

\$0 - \$500 \$5,000 - \$9,999 \$30,000 - \$49,999
 \$501 - \$999 \$10,000 - \$19,999 more than \$50,000
 \$1,000 - \$4,999 \$20,000 - \$29,999 Don't know

50. Did the NGO receive any matching funds from government sources during the 2011 calendar year?

Yes No (Skip to q. 52a) Don't know

51. If yes, what was the value of these contributions for the 2011-calendar year?

\$0 - \$500 \$2,000 - \$3,999 Don't know
 \$501 - \$999 \$4,000 - \$9,999
 \$1,000 - \$1,999 more than \$10,000

52a. Did the NGO receive any in-kind contributions from the government or local self-government bodies during the 2011 calendar year?

Yes No (Skip to q. 53a) Don't know

52b. If yes, what was the value of these contributions for the 2011-calendar year?

\$0 - \$500 \$2,000 - \$3,999 Don't know
 \$501 - \$999 \$4,000 - \$9,999
 \$1,000 - \$1,999 more than \$10,000

53a. Did the NGO receive matching funds from local businesses during the 2011 calendar year?

Yes No (Skip to q. 54a)

53b. If yes, what was the value of these contributions for the 2011-calendar year?

\$0 - \$500 \$2,000 - \$3,999 Don't know
 \$501 - \$999 \$4,000 - \$9,999
 \$1,000 - \$1,999 more than \$10,000

54a. Did the NGO receive any in-kind contributions from local businesses during the 2011 calendar year?

Yes No (Skip to q. 55) Don't know

54b. If yes, what was the value of these contributions in 2011-calendar year?

\$0 - \$500 \$2,000 - \$3,999 Don't know
 \$501 - \$999 \$4,000 - \$9,999
 \$1,000 - \$1,999 more than \$10,000

55. Does your organization update a database of potential funding sources?

Yes No Don't know Does Not Apply

56. Did the NGO receive matching funds from the citizens?

57. From the following list of responses, which best describes the way in which your NGO attracts funding?

- According to the NGO's strategic plan
- Through fundraising campaign
- Spontaneously
- Don't know
- Other, *please specify* _____

58. Would you say that the NGO's funding level has increased, stayed the same, or decreased since last year?

- Increased
- Stayed the same
- Decreased
- Don't know

58a. What percentage of your funding came from international donors over the time period from 2010 through 2011? _____

59. Does the NGO have new sources of funding this year compared to last year?

- Yes
- No (*Skip to q. 61*)
- Don't know (*Skip to q. 61*)

60. If yes, are any of the following among your new sources of funding? *Please check ALL that apply.*

<input type="checkbox"/> Grants	<input type="checkbox"/> Individual donations
<input type="checkbox"/> Membership fees	<input type="checkbox"/> Own economic activity
<input type="checkbox"/> Government	<input type="checkbox"/> Other (<i>please specify</i>) _____
<input type="checkbox"/> Business donation	

61. The following is a list of resources that your NGO may have. Please indicate whether or not the NGO has this resource today. *Please check ALL that apply.*

Free office space		Copier	
Own office space		Computer	
Rented office space		Email / Internet Access	
Office furniture		Vehicle	
Telephone		Other (<i>please specify</i>) _____	
Fax			

62. Does the NGO have an accountant?

- Yes
- No
- Don't know

63. Would you say that the NGO's accounting system complies with national / international standards for accounting?

- Yes
- No
- Don't know

64. Which of the following three statements best describes your NGO's status with respect to auditing?

- Yes, NGO has undergone an audit
- No, NGO hasn't undergone an audit but is prepared to do so.
- No, NGO has not undergone an audit and is not prepared to do so.
- Don't know

65. Does your NGO have internal financial systems in place for planning, implementation, and reporting?

- Yes
- No
- Don't know

66. Does the NGO keep project budgets separate from the organization's overall budget?

- Yes
- No
- Don't know

67. Does your organization prepare an annual budget?

- Yes
- No
- Don't know

68. Can the NGO's members access the organization's financial reports if they wish to do so?

- Yes
- No
- Don't know
- Does Not Apply

EXTERNAL RELATONS

Cooperation with the Government

69. Which institution initiates contact between the NGO and government authorities?

The NGO Government Both sides Other Don't know Does Not Apply

70. What types of cooperation have you had with the government?

Service
 Advocacy
 Development of a documents
 Other
 Don't know

71. What are the reasons for limited cooperation between NGOs and government at the national level? Please select ALL that apply.

Reluctance of NGOs to cooperate No understanding of the benefit of such cooperation on the government side
 Reluctance of the national government to cooperate No understanding of the benefit of such cooperation on the NGO side
 Lack of professionalism on the part of NGOs Other (please specify) _____
 Lack of information about NGO activities Don't know

72. In your opinion, which of the following statements best describes the level of cooperation between NGOs and government at the regional or local level?

There is a lot of cooperation There is some cooperation There is limited cooperation There is no cooperation

73. Which of the following statements does suit the best for describing the level of cooperation between CSOs and government? (please choose one of the given variants):

NGO and the government are seeking similar ends with similar means to achieve them (coordination)
NGO and the government are seeking similar ends but preferring dissimilar means to achieve them (complementation)
NGO and the government are seeking similar means but dissimilar ends (cooptation)
NGO and the government are seeking dissimilar ends with dissimilar means to achieve them (confrontation)

Cooperation with Other NGOs

74. How familiar are you with the activities of NGOs that work on similar issues at the international, national, regional, or local level? Please record one response per category

Level	Very familiar	Somewhat familiar	Not familiar	Don't know
International				
National				
Regional				
Local				

75. Do you cooperate with other NGOs?

Yes No (Skip to q. 79) Don't know (Skip to q. 79)

76. What types of cooperation have you had with other NGOs? From the following list please identify ALL that apply.

<input type="checkbox"/> Information exchange	<input type="checkbox"/> Partnership projects
<input type="checkbox"/> Joint activities	<input type="checkbox"/> Service provision
<input type="checkbox"/> Meetings	<input type="checkbox"/> Other (please specify)
<input type="checkbox"/> Consultations	

77. How beneficial was the cooperation between your NGO and other NGOs? Please select ALL that apply from the following statements:

It was not beneficial Saved resources Added additional expertise to the program Increased activity or program's outreach Other (please specify) _____

78. Do you think that there is limited cooperation among NGOs?

Yes No (Skip to q. 80) Don't know

79. What are the reasons for the limited cooperation among NGOs? Please check ALL that apply

<input type="checkbox"/> Competition for funds and resources	<input type="checkbox"/> There is no need for NGOs to cooperate
<input type="checkbox"/> NGOs leaders' ambitions creates conflicts	<input type="checkbox"/> Past difficulties with other NGOs
<input type="checkbox"/> Lack of professionalism of NGOs	<input type="checkbox"/> Lack of information about activities or mission of NGOs
<input type="checkbox"/> Other _____	

80. Is your NGO currently a member of a coalition or working group?

Yes No Don't know

How many coalitions do you cooperate with? _____

81. How would you characterize your NGO's previous experiences in participating in a coalition or working group? Please check ALL that apply.

<input type="checkbox"/> Participation was not beneficial	
<input type="checkbox"/> Participation promoted the undertaking of joint activities with other NGOs	
<input type="checkbox"/> Participation increased NGO's visibility	
<input type="checkbox"/> Participation increased NGO's outreach to constituents	
<input type="checkbox"/> Participation increased opportunity to meet other NGO leaders	
<input type="checkbox"/> Other _____	

Cooperation with Business

82. How many business institutions do you cooperate with?

0 (Skip to q. 84) 1-2 3-5 More than 5 Don't know

83. What are the reasons for the limited cooperation between NGOs and business? Please check ALL that apply.

<input type="checkbox"/> Reluctance of NGOs to cooperate	<input type="checkbox"/> Past difficulties with businesses prevents cooperation
<input type="checkbox"/> Reluctance on the part of businesses to cooperate	<input type="checkbox"/> Businesses are generally unaware of NGO activities
<input type="checkbox"/> Lack of professionalism on the part of NGOs	<input type="checkbox"/> Other (please specify) _____
<input type="checkbox"/> There is no need for NGOs to cooperate with businesses	

NGO-Donor Relations

85. What type of relationship do you have with your donors? From the following list please check ALL that apply.

<input type="checkbox"/> Sub-contractor	<input type="checkbox"/> Partner
<input type="checkbox"/> Grantee	<input type="checkbox"/> Other (please specify) _____
<input type="checkbox"/> Implementing partner	

85. Name the donor organizations they cooperated the most?

<input type="checkbox"/> U.S. Embassy	<input type="checkbox"/> IRF
<input type="checkbox"/> USAID	<input type="checkbox"/> Embassy of Sweden (SIDA)
<input type="checkbox"/> Embassy of Netherlands (MATRA)	<input type="checkbox"/> Embassy of German
<input type="checkbox"/> E.U. Representative	<input type="checkbox"/> Other (please specify) _____
<input type="checkbox"/>	

Cooperation with the Community

86. How does the organization usually disseminate information about itself and its activities? Please identify from the list ALL that apply.

<input type="checkbox"/> Through press releases to the mass media	<input type="checkbox"/> Through websites of other NGOs
<input type="checkbox"/> By publishing newsletters	<input type="checkbox"/> Through presentations
<input type="checkbox"/> Distributing brochures and flyers	<input type="checkbox"/> Through annual reports
<input type="checkbox"/> Through our organization's website	<input type="checkbox"/> Other (please specify) _____

87. Which of the following statements best describes the community's awareness or knowledge of your NGO?

<input type="checkbox"/> The community knows the NGO exists	<input type="checkbox"/> The community supports the NGO by participating in events
<input type="checkbox"/> The community knows or is aware of the NGO's activities	<input type="checkbox"/> Don't know

Cooperation with Mass Media

88. From the following media sources, which ones have disseminated information about your activities in the past year?

<input type="checkbox"/> Newspapers	<input type="checkbox"/> Television
<input type="checkbox"/> Magazines	<input type="checkbox"/> None
<input type="checkbox"/> Radio	<input type="checkbox"/> Other (please specify) _____

PROGRAM ACTIVITY

89. In which media sources has information about your NGO activity been published during the past year?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	<input type="checkbox"/> The object of the theme is absent
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89. The following is a list of people and groups that may be involved with the NGO. Please indicate to what extent they are involved in planning NGO programs and projects.

	Always	Most of the Time	Sometimes	Rarely	Never	Don't know
Executive Director						
Governing body						
Staff						
Financial Director						
Members						
Volunteers						
Clients						
Other (please specify)						

91. Does the NGO assess the needs of project target groups?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	<input type="checkbox"/> Do not apply
------------------------------	-----------------------------	-------------------------------------	---------------------------------------

92. The clients, to whom your organization provide service, are people from (choose all which are approached):

Your surrounding _____	Your region _____
Your community _____	Yours oblast _____
Yours city _____	Other _____

93. On average, how many direct clients does your organization serve?

Weekly _____	Yearly _____
Monthly _____	Other _____

94. Does your organization register the clients to whom you provide services?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	<input type="checkbox"/> Do not apply
------------------------------	-----------------------------	-------------------------------------	---------------------------------------

95. Does your organization have a feedback mechanism in place for its services?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	<input type="checkbox"/> Do not apply
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95a. How many projects did the NGO implement in the last year?

0	<input type="checkbox"/> 4-5	<input type="checkbox"/> Don't know
1-3	<input type="checkbox"/> More than 5	

95b. Does the NGO normally conduct evaluations? (for example, evaluation of projects, organizational development, or others)

<input type="checkbox"/> Yes	<input type="checkbox"/> No (Skip to q. 98)	<input type="checkbox"/> Don't know
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96. If yes, what prompted the NGO to conduct the last evaluation? Please indicate ALL that apply from the following list.

<input type="checkbox"/> Donor requirement	<input type="checkbox"/> Government requirement	<input type="checkbox"/> Other _____
<input type="checkbox"/> Client's request	<input type="checkbox"/> Internal management purposes	<input type="checkbox"/> Don't know

97. If yes, do you usually use external evaluators?

Yes No Don't know

ACCOUNTABILITY, ETHICS, PROFESSIONALISM, and LEGISLATION

98. In your opinion, from the following list, to whom is the NGO accountable?

State institutions Donors
 NGO members Other (please specify)
 Clients _____

99. In your opinion, should the NGO be open to the public in the following areas?

	Yes	No
Program activity		
Financial reporting		
Don't know		

100. Does your organization publish an annual report?

Yes No Don't know

100a. What form your share the annual report? Please check all that apply.

Form	NGOs website	website another NGO	Via e-mail	Via media	via post mailing	NGOs activates	Another (please specify)
Electronic form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-		
Printed form	-	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	

101. From the following list, to whom do you normally send an annual report?

State institution Donors
 NGO members Other (please specify):
 Clients _____

102. In your opinion, does the NGO sector need standards or a code of conduct?

Yes No Don't know

103. Does your organization have defined rules of conduct or a code of ethics?

Yes No Don't Know

104. How informed would you say you are about the laws and regulations that affect NGOs?

Very informed Somewhat informed Not informed

105. In your opinion, from the following list, which factors are the main legal obstacles to the development of the NGO sector? Please check ALL that apply.

Law in general Passiveness of NGOs in ensuring that laws and regulations are enforced properly
 Tax law There are no obstacles
 Lack of knowledge of laws and regulations among the NGO community Other _____
 Lack of experience among government authorities in passing laws and implementing regulations Don't know

106. How do you learn about changes/updates to existing laws and regulations? Please check ALL that apply from the following list.

NGO newsletters Meetings / Workshops
 Internet Conferences
 Mailing lists Other (please specify) _____

ADVOCACY INDEX

	Always	Most of the Time	Sometimes	Rarely	Never
108a. Does the NGO collect information and research issues of vital concern to its constituent groups?	1	2	3	4	5
108b. Does the NGO investigate relevant government agencies and their roles in relation to the goals and objectives of the NGO on behalf of constituents and beneficiaries?	1	2	3	4	5
108c. Does the NGO identify the interests of stakeholders on issues of concern to constituents?	1	2	3	4	5
108d. Does the NGO conduct detailed analysis for establishing a policy position for issues of concern to constituents?	1	2	3	4	5
109a. Do NGO members meet to discuss information collected about issues of concern to constituents?	1	2	3	4	5
109b. Does the NGO solicit public input via public meetings, focus groups, surveys, call-in programs, or other such methods?	1	2	3	4	5
109c. How often does the NGO target a number of media outlets for one of its positions?	1	2	3	4	5
109d. Does your NGO changes its strategy as a response to input received from its constituents, open membership, or the public?	1	2	3	4	5
110a. Does your NGO have a practice of writing down its policy goals and objectives?	1	2	3	4	5
110b. Does the NGO differentiate between various audiences on specific issues of concern and customize its policy goals and objectives for the different groups?	1	2	3	4	5
110c. Would you say that the NGO utilizes data collected from different sources in order to support its positions, goals, and objectives?	1	2	3	4	5
111a. Does the NGO collect contributions from members, interested citizens, and/or other organizations such as businesses, foundations, or religious groups to conduct activities promoting positions, goals, and objectives?	1	2	3	4	5
111b. Does the NGO allocate and expend internal resources, such as time or money, for advocacy efforts?	1	2	3	4	5
111c. Does the NGO use and manage volunteers for its advocacy efforts?	1	2	3	4	5
111d. Does the NGO try to collect funding from outside sources such as donors, businesses, local organizations, or others for its advocacy efforts?	1	2	3	4	5
112a. Does the NGO usually seek the involvement of other groups and individuals with similar interests in promoting issues of concern to constituents?	1	2	3	4	5
112b. How often does the NGO become a part of a coalition or network through formal or informal means?	1	2	3	4	5
112c. Do you form a coalition, network, or joint working group to promote issues of concern and interest to constituents?	1	2	3	4	5
113a. How often does the NGO prepare a communication plan?	1	2	3	4	5
113b. Does the NGO work with the media such as newspapers, radio, or television as a means to inform the public about its activities?	1	2	3	4	5
113c. Does the NGO hold meetings, seminars or other events to inform the general public about its activities or position?	1	2	3	4	5
113d. Does the NGO usually undertake follow-up activities to solicit further input on positions of interest to constituents or gauge public response?	1	2	3	4	5

113e. How often does the NGO revise its policy or position papers based on input collected and the position of interested parties, including coalition partners?	1	2	3	4	5
114a. Does the NGO encourage members, citizens or constituents to contact government officials, such as writing letters to legislators, on issues of concern or the goals and objectives of the NGO?	1	2	3	4	5
114b. Does the NGO actively lobby for its policy position or interests of constituents by testifying in hearings, conducting visits to government officials, etc.?	1	2	3	4	5
114c. How often does the NGO monitor government activities at the local or national level on issues of concern or goals and objectives of the NGO?	1	2	3	4	5
114d. Does the NGO mobilize the public around decisions undertaken by local or national government bodies on issues of concern to constituents?	1	2	3	4	5
114e. Does the NGO allocate and/or spend resources on policy monitoring activities?	1	2	3	4	5
114f. Does the NGO monitor and keep interested stakeholders informed on the implementation of new or existing laws and regulations as a result of successful recommendations made by the NGO on issues of concern to constituents?	1	2	3	4	5
114g. Does the NGO revise its approach for promoting a policy issue, goal or objective should actions prove unsuccessful in achieving desired outcomes?	1	2	3	4	5

115a. To which extent were your recommendations/proposals to the regulatory legal acts (RLA) taken into consideration? (please, check ALL answers that apply)

All proposals were included in draft RLA No proposals were included in draft RLA
 Most proposals were included in draft RLA Proposals are under consideration
 Only some proposals were included in draft RLA Other _____
 _____ Don't know

115b. Which regulatory legal acts were adopted as a result of campaign implementation?

Acts Decisions Included into priorities RLA not adopted Don't know
 Other variant

115c. What was the role of your organization in the public advocacy campaign? (please, check ALL answers that apply)

Organization of a media campaign Development of a campaign
 Monitoring of changes Other _____
 Don't know
 Organization of events
 Submission of expert proposals

EXISTING NEEDS AND ASSISTANCE NEEDED

116. In your opinion, which of the following are internal organizational barriers for your NGO: (Please check ALL that apply)

No clear mission Insufficient technical skills
 Chaotic activity Lack of equipment
 No planning of activities Absence of email and internet access
 Lack of financing Lack of cooperation with mass media
 Poor management skills Lack of cooperation with government authorities
 Internal conflicts Lack of cooperation with businesses
 Poor financial management skills Poor public image of organization
 Lack of qualified staff Other, please specify _____

117. In your opinion, which of the following are external organization barriers:
(Please check ALL that apply)

- Imperfect NGO legislation
- Imperfect tax Law
- No opportunity to sell services
- Poor NGO public image
- Non-coordinated NGO activity
- High competition for financing among NGOs
- Low interest from mass media
- Low interest from government authorities
- Low interest from the public
- Low interest from the business sector
- Other, *please specify* _____

118. The following is a list of types of support that can be provided to NGOs to overcome internal and external barriers.
Based on your opinion, please indicate from the following list, ALL areas which apply to your NGO.

<input type="checkbox"/> Financial support	<input type="checkbox"/> Cooperation with government
<input type="checkbox"/> Equipment	<input type="checkbox"/> Cooperation with other NGOs
<input type="checkbox"/> Facilities	<input type="checkbox"/> Opportunity to share experiences with other NGOs
<input type="checkbox"/> Information	<input type="checkbox"/> Internet access
<input type="checkbox"/> Education	<input type="checkbox"/> Other (<i>please specify</i>) _____

119. Please, indicate ALL the trainings that would be useful for your organization.

<input type="checkbox"/> Public Relations between NGOs and government, business and mass media	<input type="checkbox"/> Models of Effective Governance
<input type="checkbox"/> Principles of NGO Project Proposal Writing and Project Management	<input type="checkbox"/> NGO Governance: From Theory to Practice
<input type="checkbox"/> NGO Management	<input type="checkbox"/> Governing body of Directors: For What and How
<input type="checkbox"/> Social Enterprise Development	<input type="checkbox"/> Mission, Vision, Structure, Leadership
<input type="checkbox"/> Training of Trainers – TOT	<input type="checkbox"/> PR Techniques during Election Campaign (Level I and Level II)
<input type="checkbox"/> Strategic Planning	<input type="checkbox"/> Fundraising: Beyond the Basics
<input type="checkbox"/> Financial Management	<input type="checkbox"/> Introduction to the Election Campaign
<input type="checkbox"/> Working with Volunteers - Sustainability	<input type="checkbox"/> Cooperation of NGOs and Mass Media During an Election Campaign
<input type="checkbox"/> Conflict Resolution	<input type="checkbox"/> Civil Rights Protection
<input type="checkbox"/> Work with Personnel	<input type="checkbox"/> Voter's Education
<input type="checkbox"/> Advocacy	<input type="checkbox"/> Voter's Mobilization
<input type="checkbox"/> Lobbying and Coalition Building	<input type="checkbox"/> Peculiarities in Working with Socially Unprotected Groups of Society
<input type="checkbox"/> Strategies of Working with the Mass Media	<input type="checkbox"/> Employment Principles
<input type="checkbox"/> Effective Communication, Presentation, Negotiation	<input type="checkbox"/> Organization of Work with Families with a Disabled Child
<input type="checkbox"/> Report Writing	<input type="checkbox"/> Psychological and Social Rehabilitation of Children and Youth with Special Needs
<input type="checkbox"/> Human Resources Management	<input type="checkbox"/> Practical Law
<input type="checkbox"/> Art of Sales	<input type="checkbox"/> Children's Rights
<input type="checkbox"/> Sales Management	<input type="checkbox"/> Human Rights
<input type="checkbox"/> Social Marketing	<input type="checkbox"/> Participatory Evaluation
<input type="checkbox"/> Time Management	<input type="checkbox"/> Other (<i>please specify</i>) _____
<input type="checkbox"/> Needs Assessment	
<input type="checkbox"/> Team Building	
<input type="checkbox"/> Project Monitoring	
<input type="checkbox"/> Project Evaluation	
<input type="checkbox"/> Project Monitoring and Evaluation	

120. What kind of support is needed from government authorities? (Please check ALL that apply)

<input type="checkbox"/> Information	<input type="checkbox"/> Accommodation
<input type="checkbox"/> Financial support	<input type="checkbox"/> Partnership on projects
<input type="checkbox"/> Moral support	<input type="checkbox"/> Other (<i>please specify</i>) _____
<input type="checkbox"/> Not to interfere	

Thank you for your time in completing this questionnaire!

Date "____" _____ 2012

Person in charge _____

We would appreciate it if you could provide us with comments and suggestions in the space below regarding the practicality and benefit of this survey to your organization and the third sector of Ukraine in general.

Comments:

NOTES

Charity Fund CCC Creative Center

is a Ukrainian non-governmental organization created in 1996

CCC Creative Center Mission:

To support the development of civic initiatives aimed at strengthening of civil society in Ukraine.

The Spheres of Activity:

- Supporting the development of civil society organizations in Ukraine
- Enhancing community development
- Promoting the development of charity in Ukraine

Major Activities:

- Providing training and consultative services
- Providing information and distributing publications
- Conducting research and evaluation
- Administrating grant programs
- Advocacy and lobbying interests of civil society.

Our clients:

- Public activists
- Civil Society Organizations
- Regional Communities
- Governing bodies
- Socially responsible businesses

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The program addresses systemic, sector-wide challenges to civil society as well as supports NGO monitoring and advocacy initiatives across various spheres of public life, which are essential in advancing Ukraine’s reform process.

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