Civil Society Organizations in Ukraine: The State and Dynamics

2002-2009

This publication presents the results of the annual survey of Ukrainian civil society organizations (CSOs) conducted in September 2009. The major goal of the survey was to observe the capacity of Ukrainian CSOs for sustainable development during 2002-2009. Also, the publication presents the dynamics of CSO activity during last eight years (2002-2009).

Acknowledgements

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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In September 2009, 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 2009 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 criteria:
- Sustainability as a level of organizational capacity;
- External CSO networks (cooperation with government, businesses, mass media, and communities);
- Efficiency of program related activities;
- Level of CSO capacity and efficiency in representing and protecting interests;
- Diversity of CSO funding sources;
- Level of professionalism;
- Degree of familiarity with current laws and regulations that affect CSOs and the development of ethical norms.

The organizations whose leaders participated in the research were selected from all of Ukraine's oblasts, the Autonomous Republic of Crimea, and Kyiv. In 2009 the poll was financed by the UNITER project.

The current report summarizes the findings from the 2009 annual survey of a sample of CSOs operating in Ukraine and tracks changes in Ukrainian CSO development over the period of 2002-2009. Additionally, the report includes an evaluation of Ukrainian CSO websites, a problem and needs analysis of Ukrainian CSOs, a study of regional trends in the Ukrainian third sector, and an analysis of gender divisions in NGO development.

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 indexes: the Organizational Capacity Index, The Advocacy Index (several studies on different aspects of CSO activities and development), The Participation in Coalitions/Network Index, and Legitimacy Index are included. Additionally, this section contains research on CSO development and activities. The fourth part of the report presents conclusions regard changes that have been observed in CSOs from 2002 to 2009. The conclusions reflect changes observed in income management systems, formal relations, and program activity. The appendix contains the questionnaire used for researching CSOs development and requirements in Ukraine in 2009. 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 working in the field, representatives of donor agencies, and international consultants involved in civil society development.

The goal of the research is to define the level of CSO sector development in Ukraine[1].

Within the framework of the current research, the following *objectives* have been implemented:
- To define the level of CSO organizational capacity
- To define the external networks in which these organizations participate (including their cooperation with government, business, mass media, communities, and other CSOs)
- To define the effectiveness of their program related activities
- To define the level of CSO capacity and efficiency in the area of representation and protection of interests
- To define the level of CSO legitimacy
- To define the level of CSO participation in coalitions
- To define the trends in CSO activities for the last eight years in the above areas

The object of the research is the CSO sector in Ukraine.

The subject of the research is the development of CSO sector in Ukraine. According to the research tasks, each civil society organization should be considered as a separate unit for this activity. The source of the information for each CSO should be organization representatives who have (i) all information regarding their activities (these should be CSO management representatives: the Head of the CSO or his/her Deputy), (ii) information about the development of the CSO sector in general, and (iii) knowledge of the legal frameworks regulating CSO sector activities in Ukraine.

Survey Respondents

In 2009 the majority of respondents (34%) had taken part in one or more of the previous research projects carried out between 2002 and 2009.

Geographic representation:
The information provided through the CSO surveys yielded information that was relevant to the entire Ukrainian third sector.

Registration date:
A substantial part of surveyed CSOs (37%) had registered their status from 2000 to 2004. This can be explained by the favorable legislative framework for CSOs and the increase in international assistance during this period.

Form of registration:
According to the survey results, the majority of organizations (89%) are registered as public organizations the remaining 11% registered as charity foundation or organizations.

Sectors of CSO activity:
Almost half of all respondents reported that *children and youth* is one of the principle sectors in which they work (40%), 32% cover the issues of *civic education*, of CSOs work in the sphere of *human rights protection and* deal with *solving social issues*, while CSO *development* was specified by only 18% of respondents.

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[1]   For the purpose of this research, CSOs are defined as independent organizations representing the interests of Ukraine's citizens in order to create opportunities for the active participation of each person concerned in the development of a strong and prosperous Ukraine. This definition includes non-governmental organisations (Law of Ukraine "On people's communities") and charity funds (Law of Ukraine "On charity and charity organisations").

The majority of CSOs working with *children and youth (45%)*, as well as those in *civic education*, are involved in carrying out *trainings* and providing *consultations*, and *information dissemination*.

The activities of CSOs working in the *human rights* sector typically focus on: *advocacy and lobbying,* and carrying out *trainings* and *consultations* (41%).

Activities CSOs engage in: The most common activity for CSOs is *training and consultative support* (47%)*, advocacy and lobbying* (41%)*, information dissemination* (36%)*, and educational activities* (32%)*.

Clients of CSOs: The most frequently cited client groups for CSOs are *youth* (45%), *the population as a whole* (27%), *children* and *students* (22% each), and *organization members* (18%).

Existence of CSO websites: The number of organizations which have Internet resources has increased. In December 2002 only 12% of CSOs stated they had a website and identified its address. In October 2003 this number grew to 23%, in 2004-20%, 2005-22%, 2006-25%, 2007-32%, and 2009-33%[2].

2009 Survey Results

In 2002 the organizational development of Ukrainian CSOs was evaluated according to a model designed by INTRAC (The International NGO Training and Research Centre - UK)[3] . In 2009 this model was reviewed by CCC Creative Center according to the requirements and goals of the "The Ukraine National Initiatives to Enhance Reforms" project. The model consists of the following components:

Organizational Capacity, or the Internal State of an Organization "to be"

The internal state of an organization includes the CSO's identity, legitimacy, accountability, managing structures, general structure, organizational culture, leadership, and resources.

The purpose of establishing a CSO and its mission

As the data suggests, the primary reasons for establishing an organization are the following: potential to influence the development of society (73%) and willingness to help others (67%). Self-realization on the part of the founders was chosen by 34% of respondents and support for the organization by members by 36%. Potential to receive funding was selected by only 15% of CSOs. A total of 78% of CSOs have written mission statements that guide their activities.

Strategic planning

59% of civil society organizations have a written strategic plan. However, only 70% of them have updated that plan during the last two years. There is a slight increase, up to 32% in 2009 from 27% in 2007**, in the number of respondents doing strategic planning in comparison with the previous year.

The data suggests that within 69% of organizations the managing body is involved in developing the strategic plan as well updating it. In a prevalent majority of CSOs, members are aware of the strategic goals set by the organization (73%).

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[2] Difference is statistically significant at 5% level.

[3] INTRAC (The International NGO Training and Research Centre) supports NGOs and civil society organisations worldwide through policy research and the strengthening of management and organisational capacity. More detailed information may be found at http://www.intrac.org.

** Difference is statistically significant at 5% level.

Governance, the governing body and leadership

93% of CSOs have a governing body. The differentiation between the type of governing body that an organization has is as follows: The majority of CSOs (72%) have a Board while 24% have different kinds of Councils (Advisory Council, Supervisory Council, Board of Directors, Scientific Council, Organizational Council etc.). Participants who responded that their organization used an other form of leadership body most frequently cited a meeting of members, a presidium, or a council as the managerial means. 87% of CSOs that have a governing body also have a written document that specifies the duties and responsibilities of that governing body.

Human resources in an organization

48% of CSOs have permanent staff. On average, a CSO has 4 permanent staff. 74% of CSOs have written job descriptions. 50% of CSOs have written administrative policies and procedures. 67% of CSOs reported that they encourage professional development by contributing to costs associated with activities such as attending conferences, workshops or education and training courses.

For the last eight years, the level of volunteer involvement in CSO activities has been static. This year, the number came in at 76% while previous years recorded 77% in 2005, 73% in 2004, and 78% in 2002[4]. A typical organization has, on average, 13 volunteers. A typical volunteer contributes roughly 6 hours a week to the organization. In 74% of organizations surveyed, volunteers are usually students.

Membership in CSOs

89% of CSOs are membership organizations with 27% having between 11 and 30 members and 25% possessing more than 100 members. The percentage of CSOs whose number of members increased compared with the previous year remained at 36%. New members were principally gained through the new own member's initiative (67%) and through the personal contacts of organization members (66%).

Material resources

The majority of CSOs, (93%), have office space that is either owned (35%), rented, or provided free of charge. 84% of CSOs have computers and 79% of CSOs have e-mail/Internet access. As of 2009, the majority of active CSOs could be reached by phone (84%), e-mail/internet (79%), and almost all could be reached via postal services.

Although effective fundraising is one of the most important factors for CSO sustainability, Ukrainian CSOs still lack understanding that an organization will be effective in attracting funds, not through short term (28% of CSOs) or spontaneous fundraising campaigns, but only through consistent attention to finance within the organization in accordance with the CSO's mission. Only 40% of CSOs have a written fundraising plan. 28% of CSOs rely on spontaneous fundraising campaigns. Only 36% of CSOs have a written fundraising plan. Still, in 2009, 30% of CSOs claimed that they had gained new sources of funding compared to what they had in 2007.

During 2008 the widest source of funding for Ukrainian CSOs came through charitable gifts on the behalf of business and international donor support – 45% and 55% from each source. Only 36% of CSOs receive state funds.

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[4] Difference is statistically significant at 5% level.

Management system of an organization

In most Ukrainian CSOs, the executive director and managing body are always responsible for decision-making (88% and 47% respectively of CSOs questioned). The involvement of organization members (14% of CSOs) and staff (10% of CSOs) in this process is rare. 81% of CSOs have a formal (printed or electronic) incoming and outgoing document registration system.

External relationships or the Capacity of CSOs "to relate"

External relationships include relations with donors, other CSOs, government, business, mass media, the community etc.

Cooperation with government institutions

In total, 97% of CSOs cooperate with governmental agencies. 13% of CSOs contact governmental institutions on a daily basis while 30% of CSOs have weekly, 27% monthly and 12% quarterly contact with government bodies. Few CSOs contact governmental agencies on a quarterly or yearly basis or have irregular contact. In general, over the last three years the frequency of Ukrainian CSO contact with governmental institutions has remained constant.

Cooperation between CSOs and governmental agencies is principally initiated by both parties according to 60% of respondents. However, only 32% of the remaining respondents view cooperation as originating only through CSO efforts. Some CSO representatives consider the willingness of governmental agencies to initiate cooperation as very low (2% of respondents). Although some type of cooperation often occurs, the level of such cooperation is still not very high. During 2009, 36% of CSOs did not have any joint projects. In the last year, only a quarter of CSOs (22%) have worked in partnership with the government on 3 or more. According to CSO representatives, the main barriers preventing effective cooperation between CSOs and government agencies *is a lack of understanding of the benefits of such cooperation from the side of government* and *the lack of information on CSOs activities.* The data suggests that there is greater cooperation between CSOs and governmental agencies at the regional, rather than national, level.

Cooperation with other CSOs

97% of respondents state that they cooperate with other CSOs. Only 22% of CSOs reported that they are particularly familiar with the activities of CSOs that work on similar issues at the international level. On a local and regional level, the familiarity of CSOs with the activities of other CSOs increases. For example, 81% of CSOs are particularly familiar with similar organizations at the local level. The leading manner of cooperation is information exchange, reported by 89% of CSOs and joint meetings (78% of CSOs). The provision of consultations, services, carrying out joint activities, and the implementation of partner projects are quite popular among Ukrainian CSOs. The only form of cooperation which is considered unpopular is the provision of services by one CSO to others (35% of respondents).

The 2009 data suggests that cooperation among CSOs gives them an opportunity to enlarge their activities and improve program efficiency (72%) as well as to increase the quality of services by involving additional expertise (77%). Only one third of CSOs (34%) view partnership and cooperation as a way to save on resources during project implementation. Although most CSOs cooperate with other CSOs, the majority of respondents still believe that there is limited cooperation among CSOs. The most influential barriers preventing CSO effective cooperation were cited as lack of professionalism on the part of CSOs and leader ambitions creating conflicts between organizations.

Cooperation with business

About a third of CSOs (34%) do not cooperate with business institutions. 24% of CSOs cooperate with 1 to 2 business structures, 19% with 3 to 5 businesses, and 18% with more than 5 business institutions. Only a third of CSOs (32%) view business more as a source of financial and non-financial contributions and less as equal partners, while 16% view business as a mere knowledge source. Research data from the past three years prove that the number of CSOs that believe that cooperation between CSOs and businesses is limited (85%) is increasing. According to respondents, the most influential barrier preventing CSO cooperation with businesses is the businesses' lack of knowledge of CSOs activities, the unwillingness of business structures to cooperate, and the lack of professionalism on the part of CSOs. This situation may be the result of inadequate CSO management standards and ineffective PR campaigns.

CSO – donor relations

64% of CSOs cooperate with donor organizations. Although most CSOs view donors as contributors of technical and financial support, some have developed their relationship to a more advanced level - such as a partner (26% of CSOs) or implementing partner (17% of CSOs). This demonstrates that CSOs are trying to take a more active role in cooperating with donor agencies and are taking steps towards greater involvement in donor policy development.

Cooperation with the public

47% of CSOs meet their constituents on a daily basis. The most popular way for disseminating information about CSO activities is through press releases and brochures/flyers (84% and 55% of CSOs respectively). CSOs continue to increase the number of presentations (46% in 2005, 51% in 2006, 49% in 2007, and 53% in 2009[5]), use their own websites, annual reports, and the websites of other CSOs to disseminate information about the own activities. However, not all respondents use all of these mediums in their activities. Compared with the previous year, the percentage of CSOs that disseminate information through various means have increased, which demonstrates that CSOs are diversifying methods for disseminating information and are using a combination of several approaches, thus increasing their outreach.

Cooperation with mass-media

51% of CSOs cooperate regularly with mass-media and another 48% of CSOs cooperate sporadically. Thus, in total, 99% of Ukrainian CSOs cooperate with mass-media. This data is rather optimistic but it does not capture the context of cooperation between CSOs and mass-media. Various mass-media outlets cooperate with CSOs in different ways. During 2009, most CSOs disseminated information about their activities through newspapers – 90%. Radio is the next most popular medium through which 48% of CSOs publicize information about themselves. The level of cooperation between CSOs and TV is rising compared to the two previous years (57%). The level of cooperation of CSOs with magazines remains stable over the last 4 years.

Programming Activity or the Capacity of a CSO "to implement and influence"

Programming activity includes CSO community impact, representation, and protection of community interests, and public policy impact.

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[5]   Difference is statistically significant at 5% level.

Service delivery

The major activities of CSOs include advocacy and lobbying, providing trainings and consultations, information dissemination, educational activities, and solving social issues. 57% of CSOs have implemented from 1 to 3 projects during the last year. The most active organizations (23% of respondents) implement more than 5 projects per year.

Planning programming activities

In a majority of organizations, the executive director takes responsibility for planning programming activities *(always* or *almost always in 97% of CSOs).* The managing body is also involved in this process in most cases (74% of respondents). The staff, financial director, and members are involved with the planning process *from time* to time or *rarely*. 94% of CSOs reported that they assess the needs of their target groups when planning a new project or service.

Evaluation of CSO programming activity

79% of CSOs normally conduct evaluations of their programming activities and 28% use external evaluators for this purpose. Among the reasons that prompted evaluations, *internal management purposes* (80% of CSOs) took the lead. Such reason as *donor requirement* was mentioned by one second of organizations (48%), while client's requests or government requirement almost never appeared as a reason for programming activity evaluation. This is the case for 5% and 8% of organizations respectively.

Reporting

58% of CSOs claim that they publish an annual report about their activities, 38% send it to government organizations, 32% to donors, 30% to members of organization, and only 8% send their report to the organizations' clients.

67% of CSOs have an accountant, 67% of organizations believe that their accounting system corresponds to national and/or international standards. 60% of CSOs have reported that their organization has a system of financial management in place for planning, implementation, and reporting. 52% of CSOs have undergone an audit and another half (48% of respondents) have not undergone an audit yet, but are prepared to do so. All other CSOs (16%) claim that they are not ready to be audited.

Partnerships and coalitions

65% of CSOs are currently members of coalitions or working groups. When asked about the outcome of their participation in the coalition or working group, CSO responded that they: developed and implemented further joint projects with other CSOs, increased CSOs' visibility, and provided an opportunity to meet leaders from other CSOs.

Transparency. Accountability. Ethical norms

83% of all membership organization members can assess CSO financial reports if they wish to do so. 77% of membership organizations report to their members, more than half of all CSOs (66%) report to government institutions or donors (64%), and 19% of all CSOs report to clients. While 86% of organizations recognize the need for a code of ethics, only 35% of CSOs actually have their own defined code.

Legislation

The majority of CSOs (62%) believe they are well informed about laws and regulatory frameworks affecting CSO activities. Another 36% of representatives of CSOs believe they are somewhat informed. Almost half of CSOs reported that the passiveness of NGOs in ensuring that laws and regulations are enforced properly and the intricacies of the tax law are the most substantial factors impeding the development of the third sector. The most effective source of information dissemination about updates to existing laws and regulations are the internet (81% of CSOs) and meetings and workshops (56% of respondents).

Organizational Capacity of Ukrainian CSOs

The Organizational Systems Index measures the following seven components of CSO activity: practical use of strategic management, governing system, leadership and managing systems, CSO fundraising strategy, correspondence of CSO financial management to accounting standards, procedure for managing human and material resources, and legitimacy.

The average score of those CSOs that responded on the Organizational Systems Index is 0.6 (according to the five-point scale), which identifies that the CSOs have a basic capacity for organizational growth and strengthening. In general, the necessary administrative procedures for financial management as well as human resource management are in place. CSOs also have the basic elements and procedures for governance and strategic planning, and as well as management and leadership systems in place. However, these systems often do not function very efficiently: funds are attracted in a chaotic manner and not always according to a developed strategy.
According to the distribution of scores among the components, Ukrainian CSOs are good at establishing effectively functioning managing systems, which received the highest average score among all the components – 0.85. This demonstrates that the total majority of CSOs have an actively functioning managing authority with clearly defined functions and responsibilities. CSOs also have achieved high scores in the strategic management component (0.62) as well. This means that the majority of CSOs have clearly defined mission statements and strategic objectives. Principles and strategy are shared by staff and organization members, but in practice not all CSOs use long-term strategic planning. Thus the periodic update of strategic plans is not currently widely practiced.

The weakest component assessed for CSO activities, scoring only 0.27 points in 2009, is CSO fundraising strategy. This illustrates that the attention of CSO leaders to development and implementation of long-term, multi-source fundraising strategy is inadequate.

Index of Capacity of Ukrainian CSOs to Engage in Advocacy Activities

The Index of the capacity of Ukrainian CSOs to engage in advocacy activities equaled 3.04 points in 2009 (based on a five-point scale). Thus it should be noted that the level of CSO capacity for advocacy related issues and influence on the decision making process is average. Comparison of the overall average index score as well as the separate index components with previous graphs allows us to appreciate the substantial progress demonstrated by Ukrainian CSOs in advocacy related issues since data was gathered in 2004.

Ukrainian CSOs are most active at collecting information and receiving feedback and assistance from their members and the general community regarding concrete issues.

There are three index components: the ability to formulate and defend a position, conducting activities and making use of materials, the financial and temporal resources utilized by CSOs when

lobbying for and defending concrete issues, that did not reach 3 points. So, Ukrainian CSOs did not reach even an medium level in these three are as of advocacy activities.

The participation of CSOs in Coalitions/Networks Index

This index was research for the first time by CCC Creative Center in 2009 and equaled 0.71 (Difference is statistically significant at 1% level). The members of coalitions are the majority of organizations (65%) which took part in the research. The surveyed CSOs regularly cooperate with each other. The most popular types of cooperation include: information exchange, meetings, consultations, and the realization of common projects. Only a small percentage of CSOs provide services to other organizations.

The majority of CSOs are members of at least one coalition are the participants in two coalitions.

CSOs Legitimacy Index

This index was collected by CCC Creative Center for the first time in 2009 and equaled 0.67 (maximum value is 1). The results from an examination of the different components revealed that in the majority of the surveyed CSOs has at least one representative from the managing body represent a target group of the organization. The greater part of CSOs also performed evaluations on their programs and projects (0.79) and have feedback mechanisms for their clients (0.69). The rating for ability to attract CSO clients to for project planning is quite low (0.06).

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 method 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 of the research

The purpose, task, subject, and object of the research

Since 1997, the CCC Creative Center has conducted research on the requirements and development of non-governmental organizations in Ukraine. This research was originally conducted within the framework of the program "Ukraine Citizen Action Network" (UCAN) from 2002 to 2007. Research on NGO development was not conducted in 2008. In 2009, the research was revived and active non-governmental organizations in Ukraine were polled in September 2009 within the framework of the program: "Ukraine National Initiatives to Enhance Reforms" (UNITER). The participants of the last polling period were organizations which had taken part in the previous six 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 Ukraine[6].

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

- To define the level of CSO organizational capacity
- To define the external networks in which these organizations participate (including their cooperation with government, business, mass media, communities, and other CSOs)
- To define the efficiency of their program related activities
- To define the level of CSO capacity and efficiency in the area of representation and protection of interests
- To define the level of CSO legitimacy
- To define the level of CSO participation in coalitions
- To define the trends in CSO activities for the last five years (2002-2009) 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, each civil society organization should be considered as a separate unit for this activity. The sources of the information for each CSO were the representatives of this organization, who had all information on its activities (these were the CSO managerial representatives: 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.

1.2 Description of the questionnaire

The questionnaire used for the 2009 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 with project tasks of the UNITER project were added to the questionnaire in 2009. The questionnaire contains a statement of the survey goals and objectives, instruction on how to fill it out, and other necessary information for respondents.

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[6] In this research, CSOs are defined as the independent organizations representing the interests of Ukraine's 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 people's communities") and charity funds (Law of Ukraine "On charity and charity organisations").

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. New questions were added to the questionnaire concerning representatives of target groups in CSO governing bodies; CSO staff payments; compensation for volunteers work, and the willingness of the CSO to undergo an audit.

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. Some clarification questions, concerning the number of coalitions or networks in which the CSO was participating, were newly inserted in the questionnaire this year.

Program activity

This section collected information on program and service development, accountability, transparency, ethical norms of CSOs, and awareness of CSOs about existing legislation. New questions were contributed to the questionnaire evaluating to what extent the CSO's mission was reflected in the program activities; the number of clients served by the CSO, its accounting methods, feedback mechanisms for clients, and the groups to whom the annual report are delivered.

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.

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

There are about 63,000 registered non-governmental organizations in Ukraine (according to Ministry of Justice of Ukraine in 2009). Only about 3,000-4,000 of these are active (every year many CSOs cease functioning without providing formal notification)[7]. 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 activities ;
- The CSO must have implemented at least two programs or projects.
- The CSO must have successfully completed several projects and be known in the region.

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7 In 2009, the number of active, dynamic organizations decreased. In 2006 there were 4 - 5 thousand active, dynamic CSOs.

The total number of active CSOs is about 3,000-4,000. The survey sample consists of 598 CSOs. However, for the purpose of compiling the results, only 579 questionnaires were allowed for formal reasons. Some of the organizations, (34%) had previously participated in the survey process from 2002 – 2006. The remaining sample (66%) 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.

855 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 3.6 with a confidence level of 95%.

1.4 Survey administration

Major phases of survey included:
- development of questionnaire, according with project tasks "Ukraine National Initiatives to Enhance Reforms (UNITER)";
- selection and training 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 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. 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.

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. 22 coordinators took part in the field stage of research. Training and instructions were provided to coordinators in August 2009. 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 September 1st, and finished on September 25th, 2009. The task of the regional coordinators was to question 20-25 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 several years, verified compliance with selection criteria, added new organizations when needed, and compiled a final list 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.

598 completed questionnaires were received from the regional coordinators in 2009. After verifying the quality of completed surveys, 579 questionnaires 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 inputting data.

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 in cooperation with CCC Creative Center.

During the report preparation, the objective was to present data that described the level of the Ukrainian CSO development in 2009 according to the principles of sustainable development, to demonstrate three-year tendencies in Ukraine.

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 (CSOs) were the object of the 2009 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 2002-2006, 34% (119 CSOs) had participated in one or more of the previous survey waves. The number of CSOs that did not participate in 2002-2007, corresponding to general characteristics and criteria of organizations that quit the panel, is 66% (460 CSOs).

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***

During the fieldwork phase, 579 CSO leaders in 26 geographic units in Ukraine (24 oblasts, the Autonomous Republic of Crimea, and Kyiv) were questioned. For the Kyiv region, 33 CSOs from Kyiv were polled and 14 organizations from Kyiv oblast, as shown in graph 2.1.1.
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 2009 by the four regions is shown in Graph 2.1.2.

Central | 95
Western | 115
Eastern | 184
Southern | 185

Graph 2.1.2

Number of Surveyed CSOs by Region

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 2009.

Charitable Organizations 11%
Public Organizations 89%

Graph 2.2.1

Type of CSO Registration

Charitable Organization — 11 (2009), 14 (2007), 15 (2006), 12 (2005), 10 (2004), 13 (2002)
Public Organization — 89 (2009), 86 (2007), 85 (2006), 88 (2005), 90 (2004), 87 (2002)

Legend: □ 2009, ■ 2007, □ 2006, □ 2005, ■ 2004, ■ 2002

According to 2009 data, 89% of organizations or 515 respondents are registered as public organizations and 11% (64 organizations) – are registered as charitable organizations.
According to the Graph 2.2.2 the CSO registration type did not change substantially during the period of 2002 to 2009.

Compared to 2002, the quantity of charitable funds which took part in the survey has actually diminished by 2% (2009-11%, 2002-13%); difference is not statistically significant at 5% level.

Graph 2.2.2.
Type of CSO Registration
2002-2009

Date of CSO registration

The results of the 2009 analysis of the regional distribution of CSOs by date of registration did not reveal any specific patterns. Registration for defined periods of time is dependant upon external factors that are sometimes difficult to determine. Some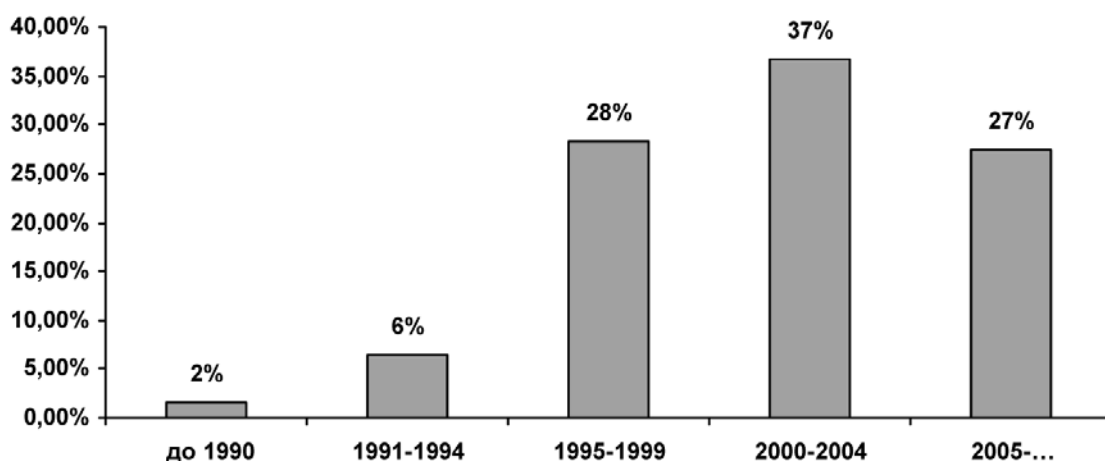 of these include the laws governing CSO activity (specifically related to registration), the activities of international technical aid programs in Ukraine, and general tendencies of civil society development in Ukraine.

Graph 2.2.3[9]

Date of CSO registration

In graph 2.2.3, the regional distribution of CSOs based on their registration date is presented.

Graph 2.2.3 shows that 2% of CSOs had been registered by 1990 and 6% in the period of 1991 to 1994. 28% of respondents had been registered in a period between 1995 and 1999. Another 37% started activities between 2000 and 2004, and 27% had been registered after 2005.

2.3 Major sectors of CSO activity, types of activities, and CSO clients.

Sectors of CSO activity

Respondents could select up to 3 major sectors of activity from a list of 21. If the CSO's major sector of activity was not offered 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 selected activity areas.

Almost half of all respondents reported that *children and youth* is one of the major sectors in which they work (40%). The next major sectors of activity are *civic education issues* (32%) and *human rights* (26%). 26% of respondents also said they that solving social issues was a main activity sector for their organization.

Graph 2.3.1   *Major Sectors of CSO Activity*[10]

[9] Question # 7
[10] Question # 9

Graph 2.3.2 shows the most popular sectors of CSO activity from 2003 to 2009. These sectors have remained popular for the last seven years. The most widespread types of activity among CSO are children and youth, civic education, human rights, and solving social issues.

CSO Development
- 18%
- 20%
- 19%
- 17%
- 20%
- 17%

Human Rights
- 26%
- 33%
- 31%
- 31%
- 34%
- 31%

Politics, State, Economy
- 15%
- 16%
- 15%
- 20%
- 19%
- 18%

Legend:
- 2009
- 2007
- 2006
- 2005
- 2004
- 2003

Children and Youth
- 40%
- 45%
- 45%
- 44%
- 44%
- 45%

Civic Education
- 32%
- 32%
- 28%
- 27%
- 30%
- 27%

Solving Social Issues
- 26%
- 30%
- 38%
- 35%
- 31%
- 36%

Graph 2.3.2.

Major Sectors of CSO Activity
2003–2009

Activities CSOs are engaged in

The types of activities that CSOs are engaged in are important characteristics of the CSO sector. Respondents were asked to identify up to 3 major types of activities they engage in or to select *other* and specify the category.

Graph 2.3.3 illustrates the various activities in which CSOs participated in 2009. Respondents selected up to 3 major types of activities from the list. The majority of organizations pointed out that they carry out several types of activities.
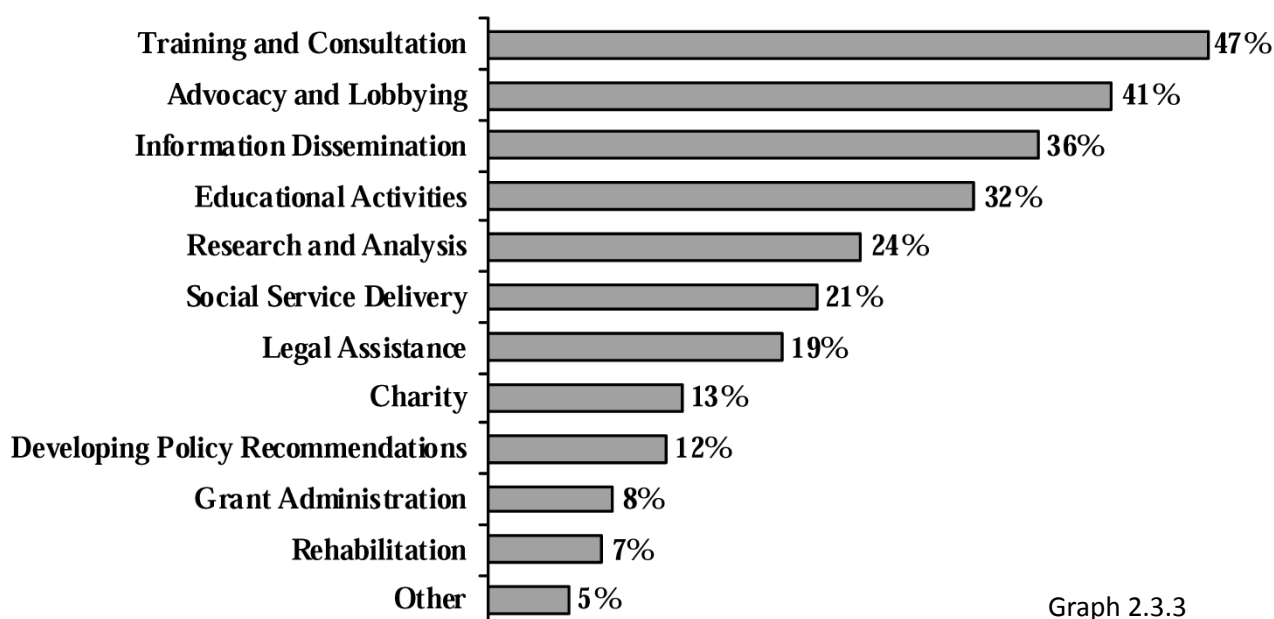
Activity	Percentage
Training and Consultation	47%
Advocacy and Lobbying	41%
Information Dissemination	36%
Educational Activities	32%
Research and Analysis	24%
Social Service Delivery	21%
Legal Assistance	19%
Charity	13%
Developing Policy Recommendations	12%
Grant Administration	8%
Rehabilitation	7%
Other	5%

Graph 2.3.3

Types of CSO Activities[1]

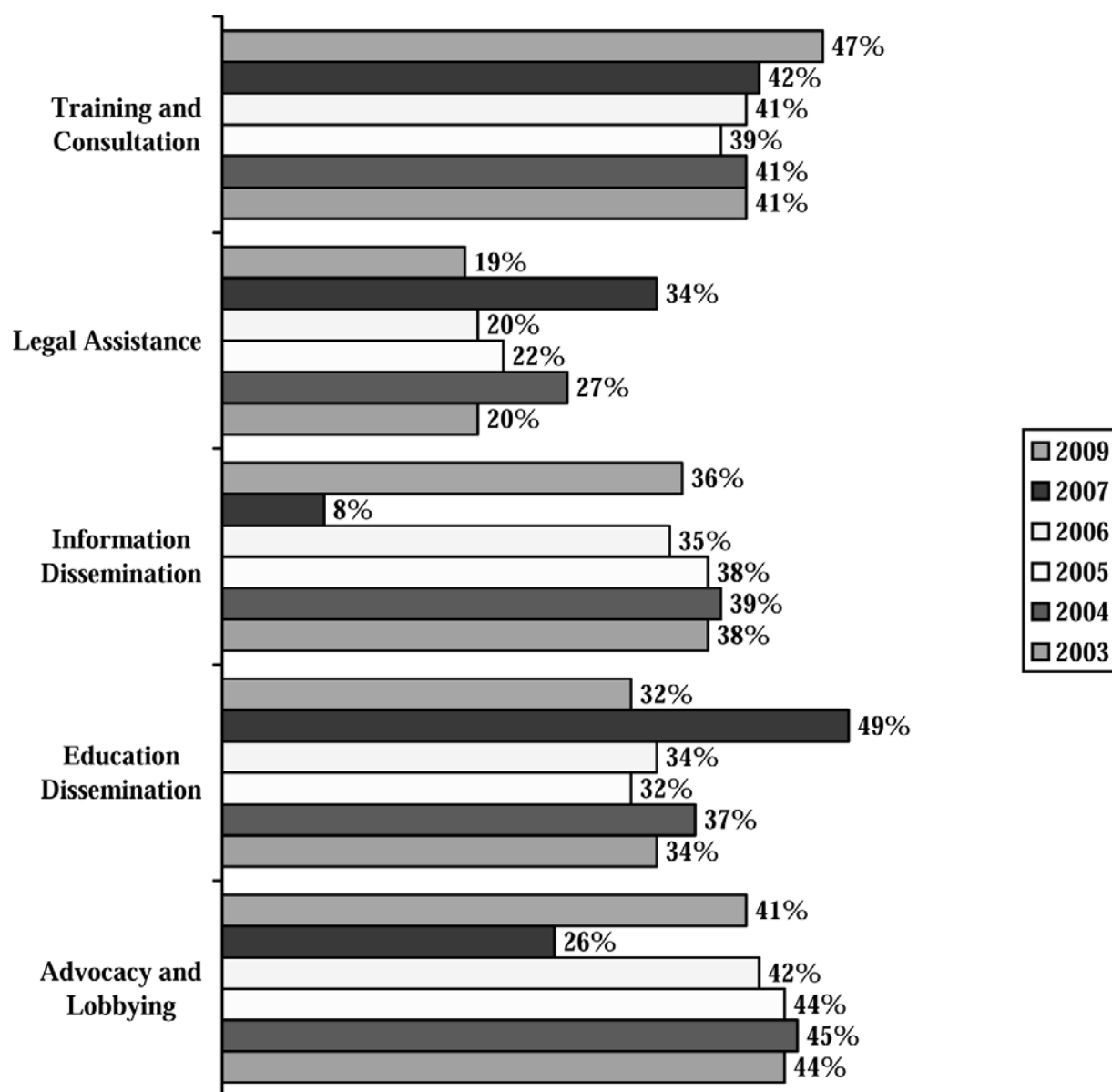Graph 2.3.4 shows the most popular types of CSO activity from 2003 to 2009.

The most common activity selected by CSOs was training and consultation, chosen by 47% respondents in 2009, 42% in 2007 (difference is statistically significant at 1% level.), 41% in 2006.

The most common activity over the last several years selected by CSOs was *advocacy and lobbying,* chosen by 41% respondents in 2009, 26% in 2007 (difference is statistically significant at 1% level), and in 2006 this type of activity was chosen by 42% of respondents.

CSOs inform, educate, and involve the community to solve issues of importance for a wide range of citizens. This is supported by data according to the proportion of CSOs that are engaged in information dissemination (36% in 2009, 8% in 2007, 35% of respondents in 2006, 38% in 2005, 39% in 2004, and 38% in 2003), educational activities (32% of CSOs in 2009). To compare with 2006, the indicated index shrank by 17% (49% in 2007, difference is statistically significant at 1% level).

Research and analysis were chosen by 24% of respondents (9% in 2007, and 23% in 2006, 2004, and 2005).

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[1] Question # 10

Graph 2.3.4.

Types of CSO Activities 2003-2009

As an overall conclusion for both the types and sectors of CSO activity, from year to year graphs remained stable, except for 200 indexes. Difference in indexes for 2007 and the years fro 2002 to-2009 years in the field of charity can be explained through the increased attention on the part of the public to developing a corporate culture and emphasizing social responsibility for businesses. The increase in the number of organizations participating in education dissemination may be due to the many complex reforms that took place in this sphere.

CSO clients

Respondents specified their clients in the same way as they did their activities: choosing from one to three alternatives. Youth make up the largest represented group of CSO clients (45% of respondents). The next largest client categories were the population as a whole (27%), children (22%), students (22%), and other CSOs (18%). The increasing number of organizations which are now working in the education sector may be explained by the many participate in education sphere may be due to the many complex reforms that have taken place in this sphere.

Graph 2.3.5 shows the number of CSOs that worked with each group of clients from 2002-2009.

Graph 2.3.5

*CSO clients***

A comparison of data from 2000 to 2007, as shown in Graph 2.3.5, reveals that the statistically significant difference level is 1% for all of the above-mentioned groups. In 2009, compared with the research in 2002, the number of CSOs with the main group of clients consisting of organization members has decreased (2009-21%, 2002-28% [11] of CSOs).

Notably, the main client groups are women (2009-14%, 2002-17% [12]), children (2009-22%, 2002-27%), and students (2009-22%, 2002-23% [13]).

Compared with 2002, in 2009 the clientele groups that saw the greatest growth were youth (2009-45%. 2002-40%), CSOs (2009-18%, 2002-14%), and the population as a whole (2009-27% of CSOs, 2002-25%)

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* Question № 11
[11] Difference is statistically significant at 1% level.
[12] Difference is statistically significant at 1% level.
[13] Difference is statistically significant at 5% level.

A cross analysis of several questions was conducted for leading sectors and types of activities. Thus, we discover the types of activities practiced within each of the five, aforementioned spheres.

The majority of CSOs working in the *Children and Youth* sector and civic education concentrate on providing trainings and consultations, conducting educational activities, performing advocacy and lobbying, and disseminating information.
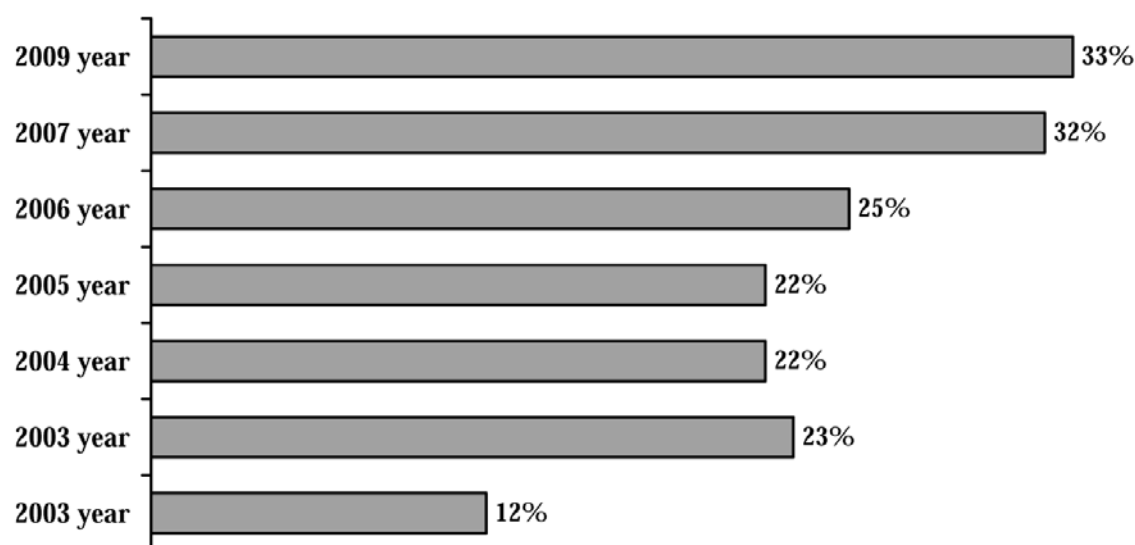
CSOs working in the CSO and *Human Rights* sector perform trainings and consultations, are involved in advocacy and lobbying, and disseminate information.

Conclusion

In each of the above mentioned sectors of CSO intervention, *advocacy and lobbying* is included as a key activity. This reveals the high number of CSOs that practice this type of activity in various sectors of CSOs activities. The most widespread types of activities are training and consultation and involvement in advocacy and lobbying. The majority of CSOs are working in the *Children and Youth* sector.

2.4 Availability of own website

The analysis of internet resources available for and supported by Ukrainian CSOs shows a growth in the number of organizations using the internet. In 2002 only 12% of CSOs stated they had a website and identified its address. In 2006 this number grew to 25%, in 2007 - 32% and in 2009 - 33% (CSOs possessing its own website). The difference in percentages between 2007 and 2009, difference is statistically significant at 5% level.

Year	Percentage
2009 year	33%
2007 year	32%
2006 year	25%
2005 year	22%
2004 year	22%
2003 year	23%
2003 year	12%

Graph 2.4.1.
Availability of Own Website

Part II.
Results of the Survey

The second part of the publication consists of three chapters based on the INTRAC 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, cooperation with 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 2009 survey results were compared with the results obtained from 2002 to 2007 in order to study the dynamics in Civil Society Organization development from 2002 to 2009.

INTRAC NGO Capacity-Building Model

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)
- Legitimacy (social and legal)
- Accountability (stakeholder satisfaction)
- Systems (financial, planning, monitoring and evaluation, communication)
- Financial management
- Audit
- Financial plan
- Annual report
- Internal documentation
- Structure
- Culture
- Leadership
- Resources (staff, financial, physical)

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

- Working relationships with donors, other NGOs and civil society organizations, government, and the private sector
- Engagement in strategic alliances
- Partnerships with the organization's clients
- Maintenance of a critical perspective

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

- Community impact (micro level)
- Improvements in lives, community capacity
- Interest articulation and empowerment
- Public policy impact (macro level)
- CSO reporting
- The level of CSO clarity and transparency
- Knowledge about relevant legislation

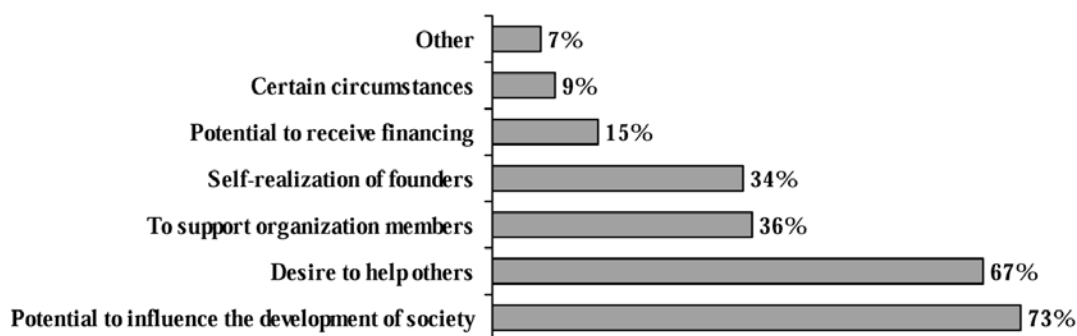### 3. The Internal State of an Organization «To Be»

In this section the analysis of the internal capacity of third sector organizations is presented. This was conducted based on 2009 research data from Ukrainian Civil Society Organizations. An analysis of tendencies in internal capacity development from 2002 to 2009 is also described in this section.

3.1 Purpose for establishing a CSO

The identity of the organization is one of the determining components for the internal capacity of the organization and the basis of its programming activity and general strategy. The purpose for establishing a CSO and its mission determine many of the basic characteristics and the identity of the organization. The respondents were asked about the purpose for establishing their CSO.
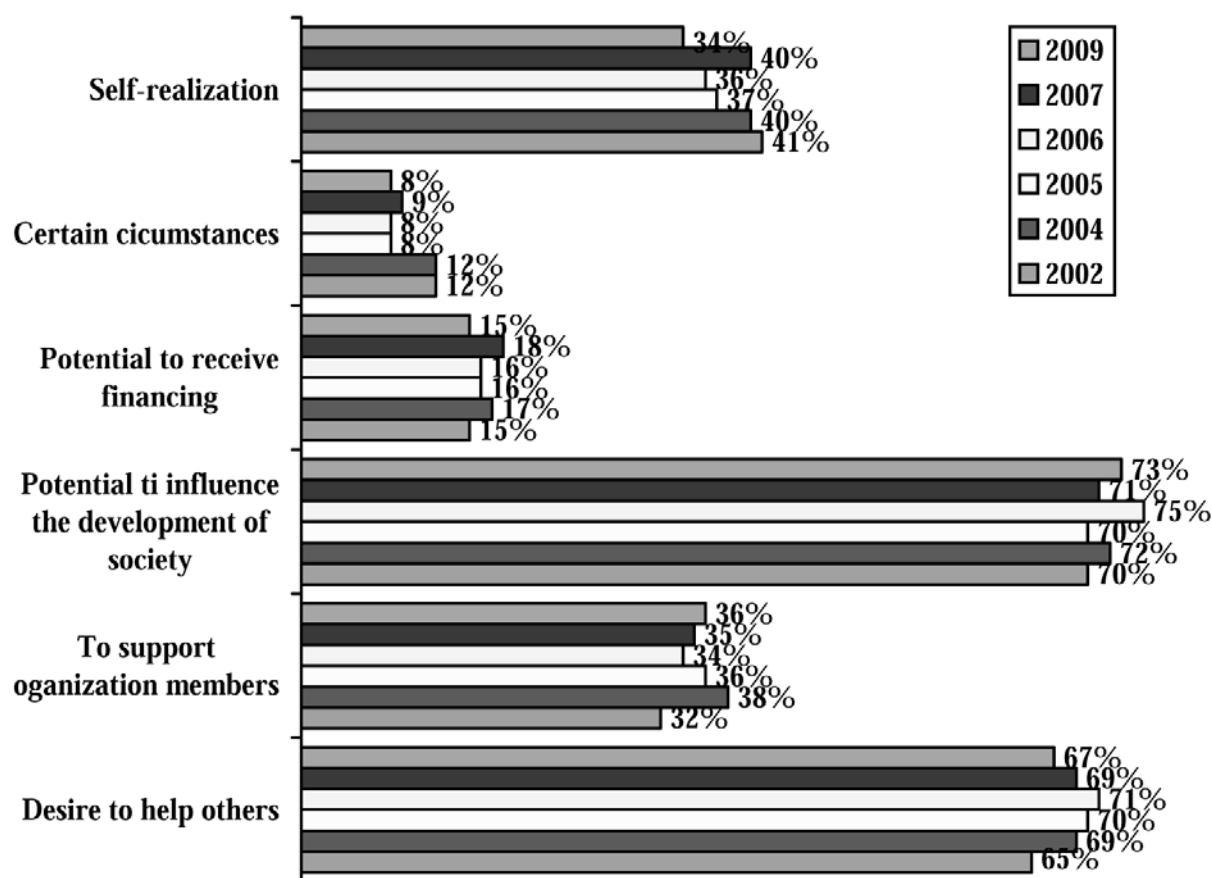
The data received shows that the main purposes for establishing a CSO were the *potential to influence the development of society* (73%) and *the desire to help others* (67%). 36% of the respondents chose *to support organization members*, 34% of respondents marked *self-realization of founders*, and only 15% of the respondents said that *the potential to receive financing* was a key reason for establishing their CSO. According to data received during the 2009 research, there were no significant changes during the last eight years in the respondents' answers regarding the purpose for establishing a CSO. *Self-realization of founders* is the only exception as from 2007 to 2009 the number of CSOs members, who choose this answer dropped by 6% (2002-41%, 2004-40%, 2005-37%, 2006-36%, 2007– 40%, 2009– 34%; difference is statistically significant at 1% level).

The full distribution of the respondents' answers in 2009 as to the purpose for establishing their CSOs is presented in Graph 3.1.1. A comparison graph for the entire research period is presented in Graph 3.1.2.

Graph 3.1.1
Purpose for Establishing a CSO[17]

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17 Question # 12

Graph 3.1.2

Purpose for Establishing a CSO: 2002–2009

CSO mission

Most CSOs (78%) stated in the 2009 survey that they have a written mission statement that directs the work of the organization (86% in 2006, 83% in 2005, 87% in 2004 and 89% in 2002 and 2003). Statistical analysis of the percentage difference in 2002, 2003, 2005 and 2006 proves the existence of a negative trend in this Index (difference is statistically significant at 1% level).

Conclusion. Collected data proves that CSOs view themselves as advocates for the public because the main purposes for establishing their organization were *the potential to influence the development of society* and *the desire to help others*. These alternatives were chosen by leaders over the self-realization of the founder or the benefit of organization members. At the same time, a small number of respondents recognized that one of the main goals of creating the organization was to improve financial circumstances. The tendency over the last years is for CSOs to be less likely to have written a mission statement that governs their activities.
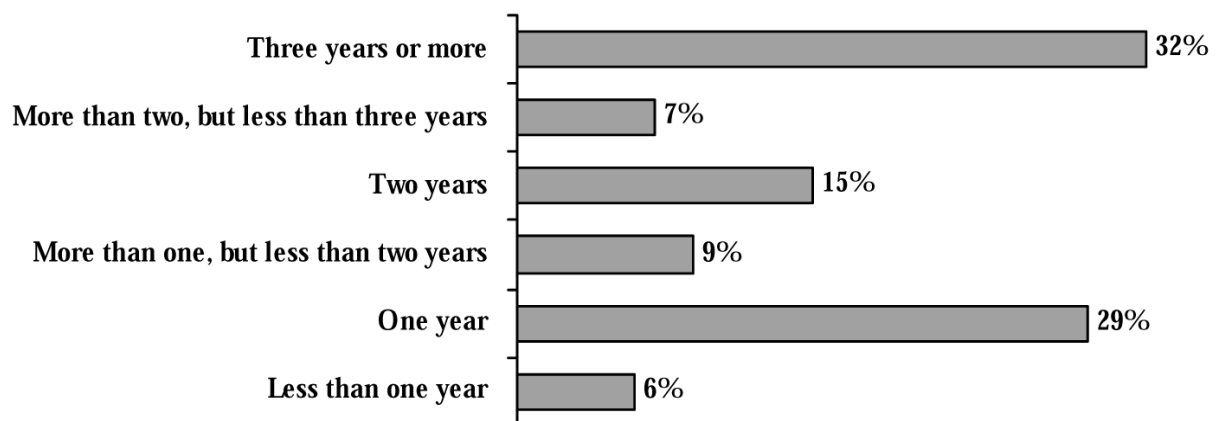
3.2 Strategic planning

The practice of strategic planning is an integral part of organizational sustainability. It demonstrates its ability to evaluate and strengthen its own capacity and increases the ability to foresee possible difficulties and threats. However, strategic planning will be effective only if the organization regularly reviews and updates the written strategic plan in accordance with changes in the external environment. 59% of the respondents in 2009 said that they have a strategic plan, though not all of them had reviewed and updated it during the last two years (70% of those who have a plan have reviewed it).

Having analyzed the research data from the previous years, a steady decrease in the number of organizations utilizing a strategic plan can be observed. In 2002, 75% of organizations wrote a strategic plan, but this percentage decreased to 61%[18] in 2005 and remained low in 2006, though increasing to 68%[19]. In 2007 it again decreased to 59% and remained unchanged in 2009[20].

According to the 2009 survey results concerning the time period covered by the strategic plan (see Graph 3.2.1), 32% of the organizations have plans for three or more years, which is higher by 5% than in 2007 (difference is statistically significant at 5% level). In 2009, 9% of the organizations said they have a strategic plan for more than 1 year, but for less than 2 years and about 7% of organizations have plans for more than 2 years, but less than 3 years. The percentage is presented in relation to the total data set, 5% of respondents have a strategic plan for less than 1 year.

Graph 3.2.1
Time Period Covered by the Strategic Plan [21]

The analysis shows us that most Ukrainian CSOs develop strategic plans for 1 year or 3 years. Further analysis shows that CSOs with one year plans are primarily young organizations, 32% of whom registered from 1995 to 1999; 32% from 2000 to 2004; 27% registering after 2005, 7% from 1991 to 1994, and only 1% who had registered before 1991. CSOs with a strategic plan covering three years or more are also young organizations founded in the following periods: 38% from 2000 to 2004, 35% from 1995 to 1999, 24% registered after 2005, 7% from 1991 to 1994, and only 1% registered till 1991.

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[18] Difference is statistically significant at 5% level.
[19] Difference is statistically significant at 1% level.
[20] Difference is statistically significant at 1% level.
21 Question # 15

Graph 3.2.2.
Time Period Covered by the Strategic Plan

Graph 3.2.2, below, specifies which individual(s) usually develops the strategic plan for the organization.

Graph 3.2.3
Individuals and Groups
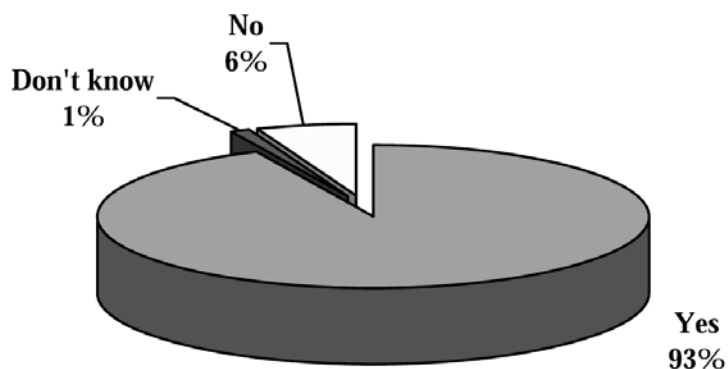*Responsible for Developing the CSO's Strategic Plan [22]*

The level of involvement in the process of strategic plan development was defined only for those organizations that have it (59% of CSOs).

[22] Question # 16

The collective governing body led by the head is the legislative power in most CSOs. Their high percentage of involvement in the process of developing the strategic plan is highly predictable. The analysis of this issue is complicated by the peculiarities of CSO structures. In most Ukrainian civil society organizations, certain positions such as President, Director, Executive Director, CEO, etc, are different titles for the head of the organization. Often only one person occupies these positions. In 91% of CSOs, the head of the organization is involved in developing the strategic plan. The fact that the sum of the percentages of all the options is over a hundred means that not only one person is involved in the strategic planning process. This is important because planning by one person is not sufficient for the development of a strategic plan capable of governing the internal capacity of the organization.

According to the data, 70% of CSOs that develop a strategic plan update it at least once every two years. This means that the plan is not always a working document and often exists separately from organizational activity. Out of the suggested list of individuals responsible for updating the strategic plan, the respondents have overwhelming chosen those who participated in its development. In 82% of the CSOs, members are aware of the strategic goals of the organization.

3.3 Structure, governance and leadership

93% of CSOs whose representatives were surveyed in 2009 (see Graph 3.3.1) have a collective governing body. Each year this index fluctuates. In 2006 this index consisted of 88% of CSOs (difference is statistically significant at 1% level).
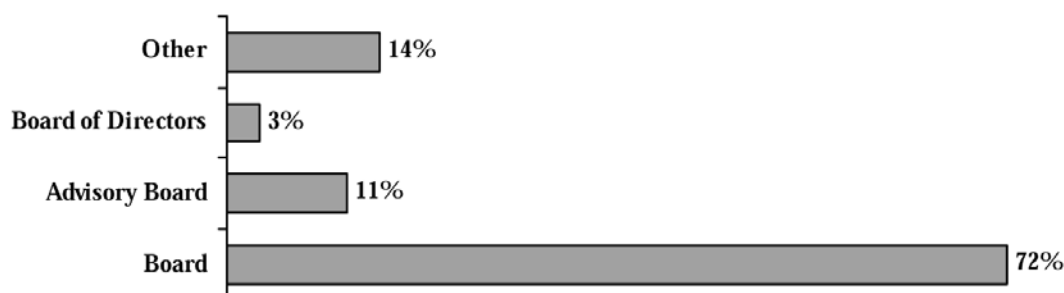

Graph 3.3.1
Governing Body in the CSO[23]

Among the 93% of CSOs that have a governing body: most (72%) have a board, a quarter of the organizations (24%) have different types of boards (an advisory board, supervisory committees, a board of directors, scientific councils, public councils, etc.). Interestingly, charity foundations are most likely to have board (50 out of 61 surveyed foundations). Nine charity had an advisory board and even less (3 out of 61) had board of directors. CSOs have the following types of collective bodies- Board (344 out of 482 CSOs), Advisory Board (46 out of 482), and a Board of Directors (18 out of 482 CSOs).

About 15% of CSOs chose the option *other* as an answer to this question. Non-standard boards, such as members' meetings or presidiums were usually designated under the option *other*.

Notably, some CSOs also designated that *consultants* (3% of CSOs) or a *supervisory committee* (7% of CSOs) made up their governing body. In the latter case, *selected options are rather advisory than governing bodies for the CSOs.* 87% of CSOs that have a collective governing body also have written functions and responsibilities defined for the collective governing body. In 30% of CSOs, the meetings of the collective government body are held more than four times a year. 177 CSOs meet quarterly. Only 99 organizations hold such meetings twice a year and 97 organizations hold collective governing body meetings once a year.
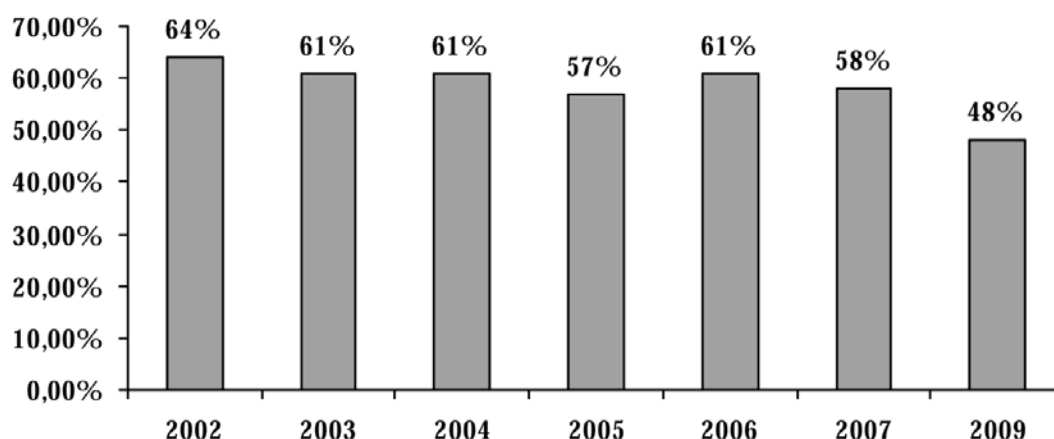
[23] Question # 23

Graph 3.3.2
Types of Governing Bodies in CSOs[24]

In 98% of CSOs, the executive director attends the meetings of the collective governing body and in 80% of CSOs, an election had been conducted to determine collective governing body members at least once since the body was established (in 2006-78%[25],70% in 2003[26], 76% in 2004, and 73% - in 2005[27]).

3.4 CSOs' human resources

In 2009, 48% of the respondents said their organization had permanent staff. However, 58% of CSOs had permanent staff in 2006, 61% in 2006, in 57% in 2005, and 64% in 2002 (difference is statistically significant at 1% level).

Graph 3.4.1.
Number of Permanent Staff in CSOs

CSOs on average have four permanent employees. The average index of permanent staff remains constant according to the 2006-2007 data. In 2005 CSOs were likely to have 5 permanent staff members (difference is statistically significant at 5% level). Regarding the method of employment, 26% have permanent employees, 24% of CSOs contract workers, 15% are hire part-time workers, 1% hire workers by the hour, and 17% employ workers for a single task or project.

The average monthly salary paid by CSOs ranged from 715 to 2,351 UAH in 2008. This figure can be compared with the average salary within the governmental sector, 1177 UAH/month in 2008[28].
74% of CSOs have written job responsibilities for their employees. 50% of CSOs have written administrative rules and procedures (e.g. Employee manual).

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24 Question # 22
25 Difference is statistically significant at 1% level.
26 Difference is statistically significant at 1% level.
27 Difference is statistically significant at 5% level.
28 State Statistics Committee of Ukraine, http://www.ukrstat.gov.ua/

50% of the CSOs that have written administrative rules and procedures had updated them during the last year. The executive director is the one who determines administrative rules and procedures in 77% of those CSOs which have them. In 61% of CSOs, the collective governing body designs the rules while the members of organizations develop them in 20% of CSOs, the staff - in 7% of CSOs, and managers – in 11%.

The fact that the collective governing body and CSO's members are involved in the process of designing administrative rules and procedures proves that in most organizations leadership and managerial functions are not separate from each other. Thus, the collective governing body is equally involved in solving strategic, as well administrative issues. This indicates a participatory style of management within the organization.
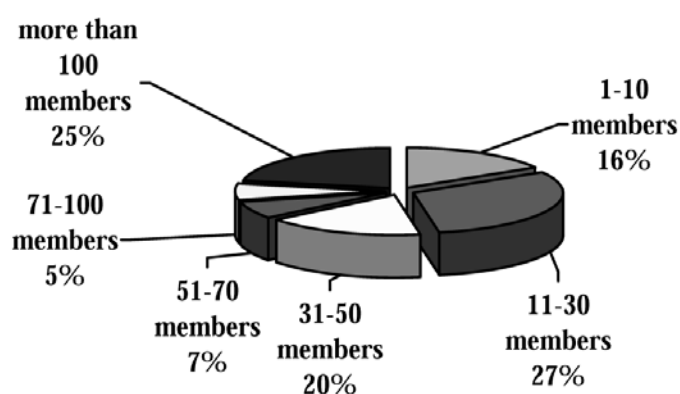
67% of the CSOs that participated in the research encouraged the professional development of their staff by allotting funds for their participation in conferences, round table meetings, or educational and training courses.

A tendency for decreasing human resources was observed over the eight year study period. Still no significant changes in other indexes for the human resources of the CSOs between 2002 and 2009 were observed.

3.5 CSOs' membership

89% of CSOs questioned are membership organizations: 27% of them have from 11 to 30 members, while 25% have more than 100 members. Graph 3.5.1 depicts the number of CSO members amongst the surveyed group.

36% of those questioned in 2009 reported that their membership increased compared to the previous year. 36% of organizations said that it remained the same and 9% of respondents said that the number decreased.

Graph 3.5.1*   *Number of members of CSO[29]*

For 67% of organizations, the main way of attracting new members was through their own personal contacts (66% of CSOs). Additionally, 39% of CSOs conduct special events and 32% of CSOs attract new members through work colleagues. In only 22% of civil society organizations did the number of members increase due to advertising or distributing information through mass media.

According to the answers of the CSOs' leaders in the 2009 survey, the characteristics of CSOs related to the number of member organizations and members and their involvement in the organization did not significantly change compared to 2002-2005.
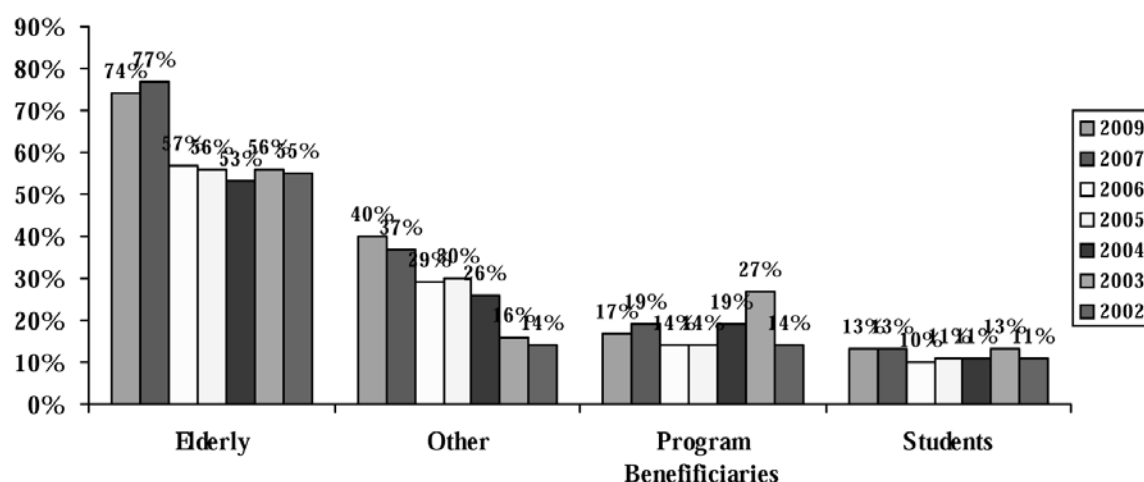
[29] Question # 36b

3.6 Work with volunteers

76% of organizations have worked with volunteers (the index has remained steady during the eight years of research). On average, 27 volunteers work in a single CSO over the course of a year. Such a high average index is due to the fact that several larger organizations have significantly larger numbers of volunteers. This in turn affects the average indicator for the sector. If we remove data for one organization that reported 6,000 volunteers, the average indicator per CSO is 13 people. On average, a volunteer spends 6 working hours a week at the CSO.

The number of volunteers in 44% of organizations remained the same during the last year; in 22% of CSOs it increased, and only in 15% of CSOs the number of volunteers decreased during the past year.

Graph 3.6.1 presents the social portrait of volunteers in CSOs who took part in polling during 2002-2009. The result of the research during 2009 shows us that in most CSOs volunteers are students (74%). Only in some organizations, volunteers are clients (40%), unemployed people (13%), housewives (7%), and others (17%).

Graph 3.6.1

Number of members of CSO [30]

It is important to note the increase in the percentage of CSOs that attract service beneficiaries as volunteers. In 2009, this index composed 40%, in 2007-37%, in 2006-29% and in 2005-30% but only 14% of the surveyed CSOs in 2002. This shows that the number of organizations using services beneficiaries as volunteers is more than double that of the percentage of beneficiaries serving as volunteers. Since 2002, the number of CSO making use of beneficiaries as volunteers has greatly increased.

The hypothesis could be put forth that his is directly due to the increasing activities aimed at the youth sector paired with youth's increasing interest in the social sector. Additionally one must consider the high level of unemployment and high competition in the labor market (difference is statistically significant at 1% level).

The index of elderly volunteers wavered from 10% to 13% during the period from 2002 to 2009. The lowest elderly index was in 2006 (10%) and the highest was13%, reached in 2003, 2007, and 2009 (difference is statistically significant at 5% level).

[30] Question # 43

The level of involvement of the unemployed wavered from 11% to 16% with the lowest number recorded in 2009 (11% of respondents) and the highest (16%) in 2004 and 2006.

The analysis of the option *other* as an answer to the question on individuals who volunteer proves that, aside from the above mentioned people, organizations also attract high school students, their parents, or experts in a specific area of CSO activity (2%) as volunteers.

The question about compensating volunteers was also investigated in 2009. The result reveals that that 72% of respondents provide some compensation to volunteers for their work.

Primarily, volunteer opportunities in CSOs are seen as an opportunity for realization (91%) and opportunity to receive beneficiary information (83%), or an opportunity for career development (41%). For 18% of CSOs – volunteering provides the opportunity to support volunteers materially and for 7 % of CSOs it allows for volunteers to be supported financially.

Compared to 2009, the average number of hours per week which volunteers work in the organization increased in 22% of organizations. In 59% of CSOs it stayed the same while decreasing in 13% of surveyed organizations.

It can be concluded that surveyed organizations have not yet completely realized the potential of community involvement. Those who are easiest to engage and motivate (for example students or graduates) have been tapped, but the remaining population remains deficiently. When comparing the 2002-2009 data, no significant changes in CSOs' work with volunteers were observed.

3.7 Material resources of CSOs

Material resources are an important element of organizational capacity to conduct projects and provide services. In addition, the material resources of CSOs tell us about the level of sustainability and independence of the organization. For instance, the availability of one's own office space allows an organization to work and provide services without the financial support of external sources. A chart of existing material resources owned by CSOs is presented in table 3.7.1.

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

Table 3.7.1
Material Resources[31]

Three elements of the material resources require a more detailed analysis: availability of free office space[32], computers[33], and access to the internet[34] and electronic mail[35].

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[31] Question № 61
[32] Difference is statistically significant at 1% level.
[33] Difference is statistically significant at 5% level.
[34] Difference is statistically significant at 1% level.
[35] Difference is statistically significant at 1% level.

Analyzed surveyed data, one can conclude that the number of CSOs, who had free office space fluctuated by about 7% from 2002 to 2009. In 2009 the number of CSOs increased by 7% compared to those who had free office space in 2007. The highest percentage of CSOs with free office space occurred in 2002 (37%) and steadily decreased until its low of 30% in 2006. Currently, we observe that the number of CSOs with free office space has again increased.

It is important to analyze number of CSOs with rented office space. This percentage has always fluctuated throughout the 2002-2009 research period. In 2002, 40% of CSOs claimed that they rented office space; in 2003 this index increased 7% (47% of respondents). From 2004 to 2006, insignificant fluctuations can be observed, but in 2007 the index jumped 5% (53% of CSOs). However, in 2009 the number of organizations which rented office space again decreased to 47%[36].

The number of computers as well as access to electronic mail and the internet greatly increased in 2003 and has not significantly changed since then (difference is statistically significant at 1% level). In 2006 this indicator increased to 81%[37](see Graph 3.7.1). In 2007 this index composed 82% of respondents, and in 2009-84%. The same dynamics can be observed in the analysis of the number of organizational website[38] and e-mail addresses[39] for CSOs. In 2009 the index of internet access composed 79% of respondents while in 2007 it composed 75%.

In 2006, 75% of CSOs had access to internet, in 2005 this percentage was lower – 67% of respondents (see Table 3.7.2). However, the number of contact e-mail addresses given in the 2009 questionnaires is greater than the number of CSOs that reported having access to electronic mail and the internet. This difference suggests that respondents use the mentioned resources outside of their organizations (they may have personal access or use the resources of other organizations).

Using the internet as a source of information about changes and updates in current legislation increased from 47% in 2002 to 81% in 2009 (difference is statistically significant at 1% level).

3.8 CSOs sources of funding

This subsection describes the funding sources of Ukrainian CSOs, analyzes the percentage of funding that came from each of the sources and contributes to the total budget of organizations. Thus, it will be possible to evaluate the variety and the intensiveness of attracting sources of funding by organizations, the value of each source and the size of donated funding. It will also be possible to observe the dynamics of the annual budgets of CSOs.

Aside from purely financial information, the researchers were interested in the existence of a written fundraising plan for at least one a year ahead. The availability of such a plan proves that civil society organizations allot time and resources to planning fundraising campaigns. It also demonstrates that CSOs raise funds according to their mission and activity areas and not based on donor requirements. In 2009, only 36% of CSOs had written fundraising plans. This indicator decreased by 5% compared to 2006 (41%)[40].

The process of identifying individuals responsible for fundraising in CSOs showed that the fundraising responsibilities are not clearly defined or distributed between the organization's employees. Unfortunately, some CSO leaders did not know which of their employees was in charge of fundraising.

In 2009, the percentage of CSOs (79%) where the executive director *always* does the fundraising increased, compared to 2003 (68%) (the difference is significant at the level of 1%). In 14% of CSOs

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[36] Difference is statistically significant at 1% level.
[37] Difference is statistically significant at 5% level
[38] Question № 6b.
[39] Question № 6a.
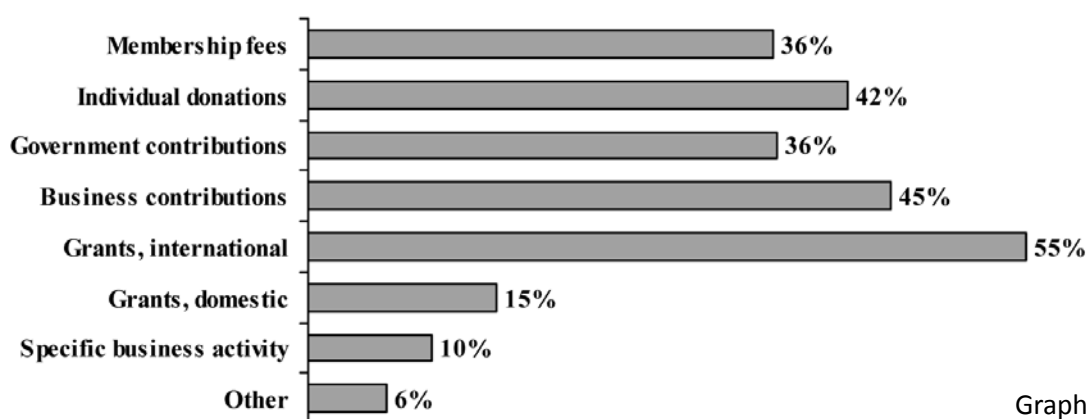[40] Difference is statistically significant at 1% level.

the Executive Director is involved in fundraising *in most cases*. The collective governing body is *always* involved in the fundraising activities in 26% of the CSOs, in most cases in 26% of the CSOs, and *from time to time* in 12% of the CSOs. The organization members *always* do fundraising only in 7% of CSOs, i*n most cases* – in 16% of CSOs, *from time to time* – in 25% of CSOs, and *sometimes* – in 18% of organizations.

The degree of involvement of CSO representatives in fundraising has not changed significantly in the last four years except for the growing role of the Executive Director within the organization.

The data allows us to isolate the following tendencies: in most organizations the executive director of the organization is responsible for fundraising. Also, the collective governing body is always and in most cases involved in this process in half of the surveyed organizations. The members of organizations are rarely involved in it, which is demonstrated by the great number of the answers from time to time and sometimes. Staff, volunteers, and CSO clients do fundraising episodically, as revealed in the popular choices of from time to time and never for these groups.

The situation regarding the availability of written organizational financial plans apart from project financial plans is even less optimistic than that of fundraising plans. Only one-third of organizations (30%) in 2009 have written financial plans separate from project financial plans (in 2006 - 37%[41]). 64% of CSOs have a financial plan developed for one year (there are no significant changes observed during 2002-2005). In 2009, 7% of organizations had plans for less than a year, in 2006 – 17%, in 2005 – 10% (11% in 2004 and 16% of CSOs in 2003).

Graph 3.8.1 demonstrates the sources of funding for CSOs. The percentages given in the graph stand for the number of organizations that use this source. All financial questions in the questionnaire were for 2008.

Graph 3.8.1

Types of CSO Funding Sources in 2008[42]

The average percentage of each funding source in the organizational budget gives us a better understanding of the funding sources of the Ukrainian third sector. By analyzing the data in Graph 3.8.1 and Graph 3.8.2, one can compare the types of funding utilized by CSOs with the actual percentage of funding received from each source. One can see that while, for example, the business sector was identified as a funding source by 45% CSOs, the actual contributions received from the business sector composed only 18% of the CSO's financing. International grants are funding sources for 55% and contribute to 41% of the budget for these respondents. In line with this, government donations make up 15% of the annual budget in 36% of surveyed organizations; contributions from citizens are received by 42% of CSOs and compose roughly 14% of their budget. Domestic grants are received by 15% of CSOs and contribute to 15% of their budget. Lastly, specific business activity on the part of the CSO is a source of financing for about 10% of CSOs, but this source only provides 6% of the budget for these organizations.

[41] Difference is not statistically significant at 5% level.
[42] Question #48

Graph 3.8.2 shows the percentage of each funding source within the CSO's budget and the changes that occurred to this indicator from 2002 to 2008. The percentage of a certain source in the budget is given for those CSOs that use it.

	2002		2003		2004		2005		2006		2008
Citizen contributions	11%	-	11%	⇑	12%	⇓	11%	⇑	12%	⇑	14%
Grants, domestic	3%	-	3%	⇑	4%	⇑	5%	⇑	17%	⇓	15%
Membership fees	12%	⇑	14%	⇓	12%	⇓	9%	⇑	15%	⇓	12%
Specific business activity such as social enterprise	4%	⇓	3%	⇑	4%	-	4%	-	4%	⇑	6%
Government contributions	11%	⇓	10%	⇓	9%	⇑	10%	⇑	13%	⇑	15%
Business contributions	20%	⇑	21%	⇑	19%	-	19%	⇓	17%	⇑	18%
Others	4%	⇑	6%	⇓	3%	⇑	4%	--	4%	⇑	5%
Grants, international	35%	⇓	32%	⇑	37%	⇑	38%	⇑	45%	⇓	41%

Graph 3.8.2
Percentage of 2002-2008 CSO Funding from Specific Sources[43]

Compared to the results from the 2006 financial year, there are no changes in the percentage of funding that comes from each of the sources.

In Graph 3.8.3 the funding base of CSOs from 2002 to 2008 is shown.

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

Graph 3.8.3
2002-2008 CSO Funding Base [44]

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[43] Question # 49
[44] Question # 50

During the period of 2002-2008 the number of CSOs which have annual budget to $500 is most fluid. In 2002-26% of respondents marked that they had a budget under 500$, in 2003-25%, in 2004-24%, and in 2005-21%. In 2006 this index decreased to 7% and in 2008 this index doubled, jumping to 15% of CSOs[45].

Compared with 2006, in 2008 the number of organization with annual budget between $500 and $1,000 decreased (in 2008-11% versus 18% in 2006)[46]. Those with an annual budget between $10,000 and $20,000 also decreased (in 2008-10%, in 2006-15%)[47]. In 2009, most CSOs (16%) marked that their annual budget for 2008 was less than $5,000 (Graph 3.8.3).

The number of CSOs with of annual budget less than or equal to $5,000 increased compared to 2006 (2008- 16%, 2006- 7%)[48] as did that of organizations with budgets over $50,000 (2008 - 12%, 2006 - 5%[49].

The portrait of a civil society organization with a budget from $1,000 to $5,000:

In general, 550 CSO representatives provided information about their organization's budget (95% of all those surveyed). Among the respondents who provided an answer, 94 respondents (17% of CSOs) said the annual budget of their CSOs was from $1,000 to $5,000. In order to have a full picture about the peculiarities of non-governmental organizations with a budget from $1,000 to $5,000, several indicators are given below regarding the researched group compared to the total data set (the 579 CSOs). Indicators are taken from the "Organizational capacity" and "External relations" sections of the survey.

As with the total number of CSOs surveyed, the 94 respondents were primarily registered as a public organization (89% of respondents with the remaining 11% registered as charity foundations).

A regional division (Central, Western, Eastern, and Southern), revealed an equal number of organizations with a budget from $1,000 to $5,000 in the South and Eastern regions (17 organizations each). 27% of respondents are situated in the Western region. The majority of organizations (33%), with a budget from $1,000 to $5,000, are situated in the Central region.

Almost all the organizations in the researched group (63 out of 94 questioned) have a written mission statement. The many of the organizations (49 or 52% out of 94) do strategic planning (compared with 59% of the 579 respondents who have strategic plans) and 92 or 98% organizations out of 94 questioned have a collective governing body (the total in the data set being 94%).

CSOs with the budgets below $5,000 use charity contributions from businesses – 54% (51 out 94), citizens– 47% (44 out of 94)), and membership fees – 41% (39 out of 94) as their main funding sources. Differences between the funding base and the total amount of respondents were observed.

45% of CSOs use charity contributions from businesses (versus 54% of all CSOs), 42% individual donations (compared with 47%), 41% - membership fees (versus 41%). A difference is also observed in fundraising approaches. Only 23% of the segment (22 out of 94) has written fundraising compared to 36% of all organizations (211 of organization out of 579).

Conclusion. The chosen registration method for those organizations with budgets greater than $5,000 is similar to that of the rest of the research group. The majority of CSOs in this segment have a written mission statement, strategic planning mechanism, and a collective governing body.

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[45] Difference is statistically significant at 1% level.
[46] Difference is statistically significant at 1% level.
[47] Difference is statistically significant at 1% level.
[48] Difference is statistically significant at 1% level.
[49] Difference is statistically significant at 1% level.

A predominant majority of the organizations have a written plan for financial involvement. This particular segment has a higher cooperation index with donors and state organizations than the rest of the research group.

The portrait of a civil society organization with a budget exceeding $50,000:

Among the respondents who provided an answer, 71 respondents said the annual budget of their CSOs is over $50,000 (the researched group). In order to have a full picture about the peculiarities of non-governmental organizations with a budget over $50,000, several indicators are given below regarding the researched group compared to the total data set – 579 CSOs (indicators are taken from the sections "Organizational capacity" and "External relations").

So far, such a form of registration among the researched CSOs as charity foundations is three times higher than the average in the data set of 579 CSOs - 27% (19 organizations out of 71) compared to 11% (64 organizations out of 579). The division by four regions (Center, West, East and South) this year demonstrated an equal number of organizations with a budget over $50,000 in Central and West regions (24 organizations in Central region and 25 organizations in West region). In Eastern region there are only 8 such organizations and in South – 14. Survey data of 2006 and 2009 coincide. In 2005 division by regions demonstrated an equal number of organizations with a budget over $50,000 in all of the four regions. In 2004, the majority of such CSOs were in the West.

Almost all the organizations in the researched group 89% (63 out of 71 questioned) have a written mission statement. The majority of organizations 81% (58 out of 71) do strategic planning (59% of 579 respondents have strategic plans) and 100% (71 out of 71) organizations have a collective governing body (the total in the data set being 94%).

CSOs with the largest budgets in Ukraine use charity contributions from citizens– grants from international organizations – 90% (64 out of 71), funding from the government 51% (27 out of 53), individual donations - 41% (29 out of 71) as their main funding sources. This actually is differing from the general situation among the non-governmental organizations (579questioned). 36% of CSOs said they received funding from the international organizations (comparing with 90% of respondents in the research group), 42% of CSOs said they received funding from the individual donations (comparing with 41% of respondents in the research group). The difference is observed in fundraising approaches. Majority of the researched CSOs -63% (45 out of 71) have written fundraising plans (36% of 579 respondents have fundraising plans).
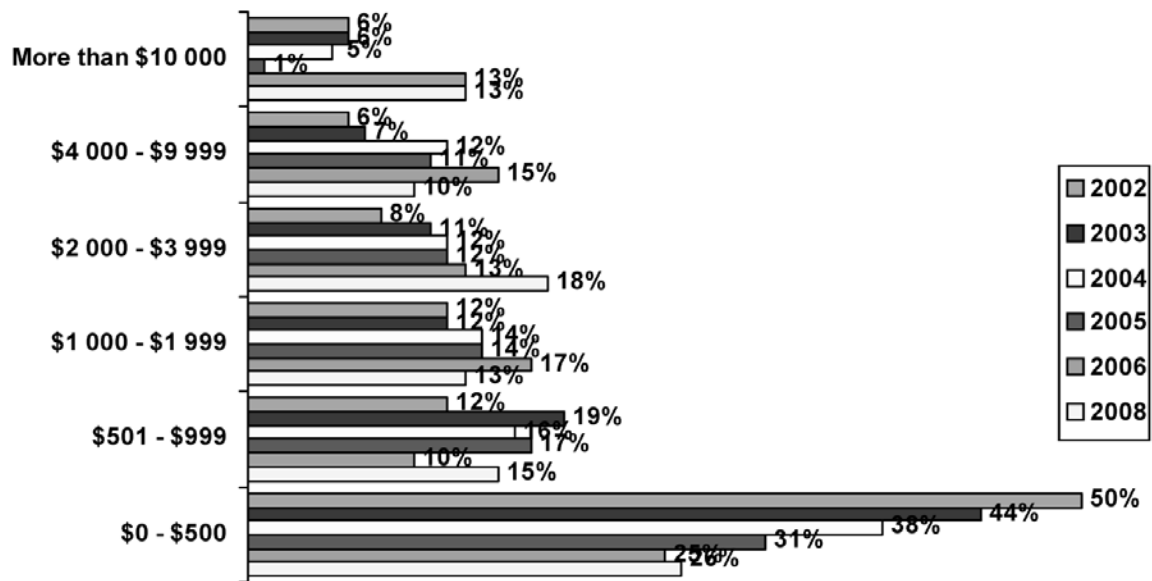
Conclusion
Among the CSOs with the budget above $50 000 the charitable legal status is more then among other research group. The majority of CSOs in this segment have a written mission statement, strategic planning mechanism, and a collective governing body. A predominant majority of the organizations have a written plan for financial involvement. This category of CSOs also has much higher indicators for the cooperation with businesses and donors, than those organizations that have lower budgets.

Funding from the government

This section of the report investigates in-kind contributions from the government.
40% of CSOs said they received funding from the government in 2008. 25% of them received less than $500 (see Graph 3.8.4).
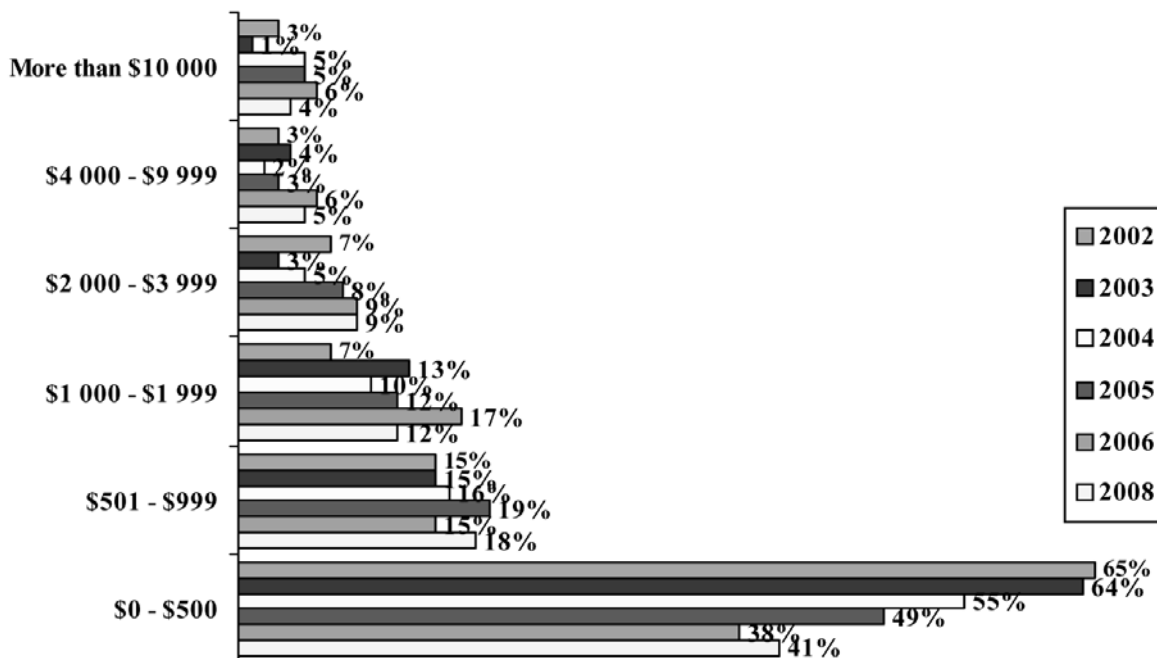
Graph 3.8.4

Funds from Government Sources 2002-2008[50]

29% of CSOs received in-kind contributions from the government or from local self-governing bodies (free office space, office furniture, etc).

In 2008, 41% of organizations received in-kind contributions totaling less than $500 (2006-38%[51], 2005-49%, 2004-55%, 2003-64%, 2002- 65%, see Graph 3.8.5).

Graph 3.8.5

Value of In-Kind Government Contributions 2002-2008[52]

[50] Question # 51b
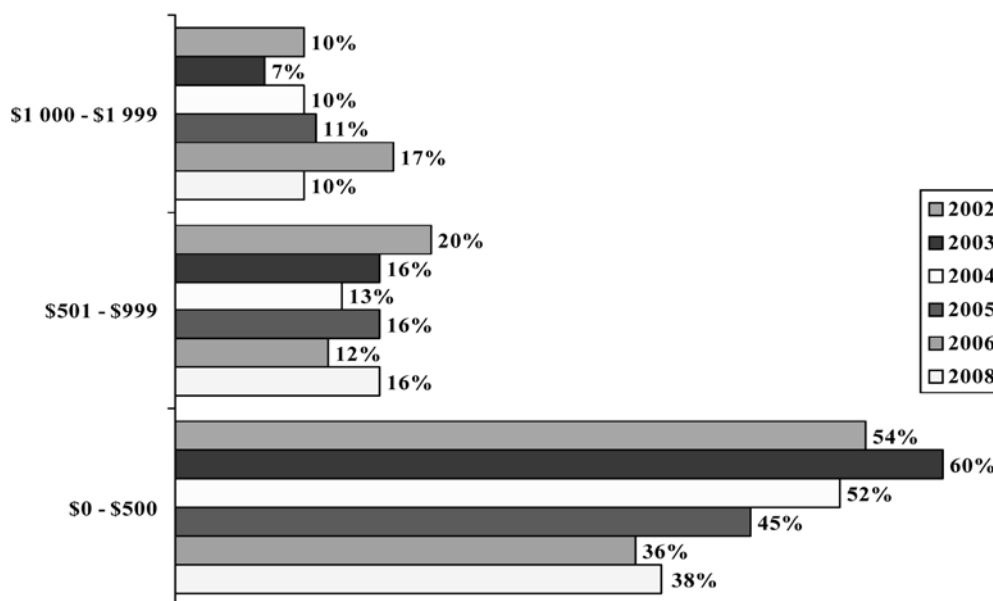[51] Difference is statistically significant at 1% level.
[52] Question # 52b

Funding from business

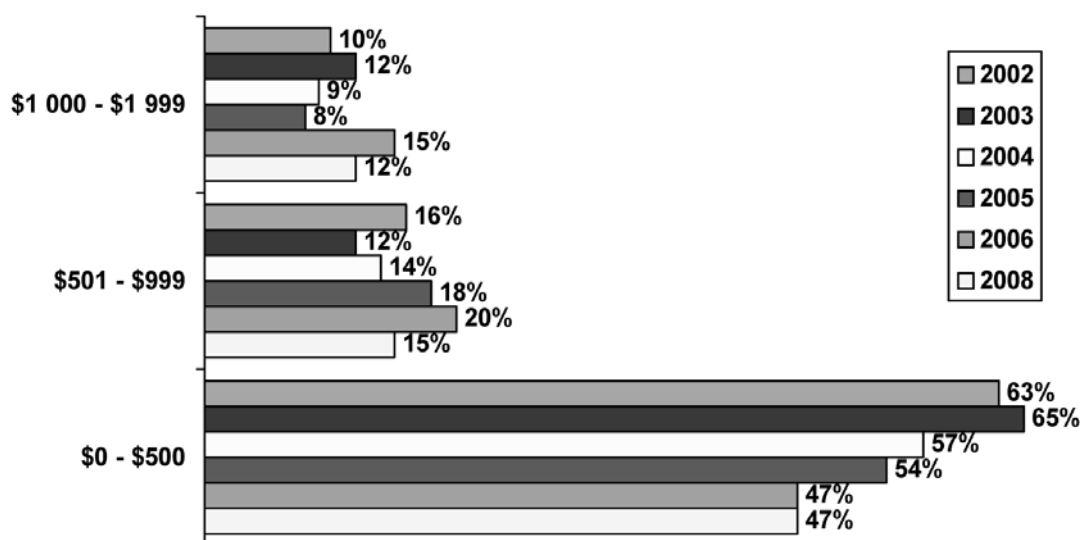CSOs received funding from businesses during the 2008 budget year which included in-kind contributions.

In 2008, 43% of CSOs received financial support from businesses. More than 38% of CSOs received support that didn't exceed $500 per year.

Compared with 2006, in 2008 the number of CSOs, which received financial support from local business, decreased to 6%. This is most likely connected with insufficient awareness of business representatives about CSO activity and financial crisis (see Graph 3.8.6).

Graph 3.8.6
Funding from Business[53]

About 33% of CSOs received in-kind contributions from businesses in 2008 (for example: office furniture, phone, fax, photocopier, and email/internet). The size of these contributions is demonstrated in Graph 3.8.7.

Graph 3.8.7
In-Kind Business Contributions[54]

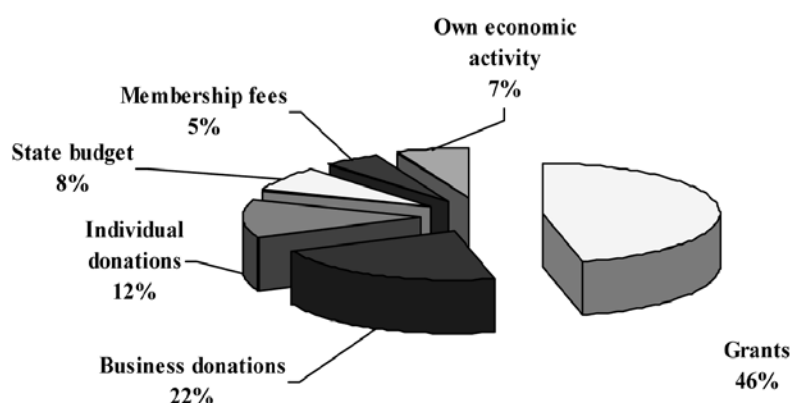[53] Question # 53b
[54] Question # 54b

3.9 Fundraising strategies

In 2009, 68% of CSOs updated their database of potential funding sources. In general, 40% of CSOs fundraise *in accordance with the strategic plan of their organization*, 28% raise funds *spontaneously*, and 20% fundraise by *conducting fundraising campaigns*.

67% of CSO report that new sources of financing did not appear in comparison to prior years. The division of new financing sources is charted in Graph 3.9.1.

The financing of NGOs has changed. The percentage of CSOs stating that their funding increased, shrank to 34% in 2009 from 38% in 2006 (difference is statistically significant at 1% level).

The number of CSOs that said the level of their funding decreased in comparison to 2002 decreased in 2005 to 20% but again rose to 26% in 2006. In 2009 this figure peaked at 35[55].

Graph 3.9.1.
*New Sources of CSO Funding ***

Conclusion. Despite the fact that fundraising is one of the most important factors influencing CSO sustainability, organizations still lack an understanding of the fact that fundraising will only be effective in the organization by completing thorough financial planning and planning fundraising activities in accordance with the mission of the organization rather than implementing short-term or spontaneous campaigns. Still, organizations demonstrated the availability of certain financial planning practices and fundraising from different sources. However, CSOs still lack systematic approaches to planning and implementing activities according to developed plans.

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 proves its ability to conduct projects and also demonstrates sustainability.

CSO leaders responded about who is involved and how often they participate in the decision making process regarding CSO programs and activities. The executive director *always* and *in most cases* is involved in the decision making process in 97% of the surveyed CSOs. The collective governing body is similarly involved in 74% of organizations. Staff is not so frequently involved in making decisions – *in most cases* and *always* in 35% of organizations. Organization members are involved in making decisions *in most cases* and *from time to time* in 52% of organizations and *always* in 14%. Clients are involved in making decisions in most cases and from time to time in 14% of organizations and *always* in 1%.

A full array of answers to this question (in percentages) is given in Table 3.10.1:

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* Question #60
[55] Difference is statistically significant at 1% level.

	Never	Rarely	Sometimes	Most of the time	Always	Don't know
Executive Director	0%	0%	0%	8%	89%	0%
Governing Body	2%	4%	8%	27%	47%	0%
Staff	11%	7%	12%	23%	15%	0%
Financial Director	11%	4%	6%	12%	21%	1%
Organization Members	5%	14%	24%	28%	14%	0%
Volunteers	19%	20%	20%	9%	4%	1%
Clients	29%	18%	10%	4%	1%	1%
Other	5%	1%	0%	0%	1%	1%

Table 3.10.1
***Individuals and Groups Involved in Decisions
Regarding CSOs Programs and Activities (%)[56]***

In most organizations the executive director, the collective governing body, and organization members are the ones responsible for making decisions. This tells us about the effectiveness of leadership and management systems of organizations, which assumes staff involvement in the decision-making process. On the other hand, the involvement of the governing body in the decision-making process concerning project activities allows a conclusion to be made that the governing body is involved not only in strategic planning, but also in the direct activities of the organization. This does not correspond to the initial role the governing body was supposed to perform in the CSO.

The large number of organizations (86% of CSOs in 2009, 84% in 2006[57], 61% in 2002[58]) in which the leader delegates responsibilities regarding program and/or administrative tasks to the staff also suggests an "involvement" approach in organizational management.

Organizations demonstrated high indices regarding the availability of a formal system of registering documentation. A formal (printed or electronic) system of registering documentation exists in 81% of organizations (in 2006 this percentage was also 81%[59], in 2003- 88%[60]).

Ukrainian CSOs also demonstrated high indices in the area of financial management systems and control. Over two-thirds of the organizations have an accountant (67%); 67% of the respondents consider their accounting system to correspond to national or international accounting standards. 60% of the respondents said their organizations have financial management systems for planning, spending, and financial reporting.

The majority of all CSOs (52% of respondents) had done an ***audit***, and almost half of the organizations (48%) have not done one but are ready to. The rest (16% of CSOs) said they were not ready to be audited. The institutional organizational budget was kept separate from the project budgets in half of the CSOs (49%).

80% of organizations evaluate their own activities. This clearly shows that CSOs are aware of the benefits and importance of evaluating their management systems. On the other hand, in 2009 only 28% of organizations attract external experts to do evaluations. This percentage is less than in 2006 (31% CSO[61]). Therefore, these evaluations are rather subjective, as internal experts from the CSOs implement them.

Conclusion. CSOs demonstrated high indicators as to the availability of such formal management systems in organizations such as registering documentation, systems for internal financial control, systems for decision making, and involving members in the decision making process for CSO programs and activities.

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[56] Question # 94
[57] Difference is statistically significant at 5% level.
[58] Difference is statistically significant at 1% level.

[59] Difference is statistically significant at 1% level.
[60] Difference is statistically significant at 1% level.
[61] Difference is statistically significant at 5% level.

4. External Relationships of CSOs or the Ability of the Organization "To Co-Exist"
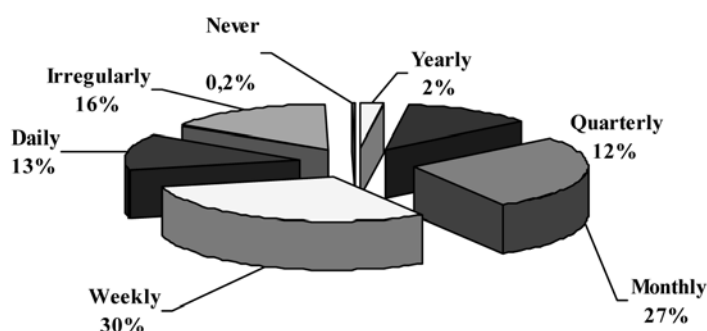
The survey results on CSO relations with the government, cooperation with other CSOs, business, donor organizations, community, and mass media are presented in this section. All the aspects of external relations are analyzed according to the model of sustainable development of CSOs.

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 activity. Because 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 activity 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. First, the objective of the research was to calculate the frequency of contact between CSO representatives and government authorities (see Graph 4.1.1.)

Most CSOs (97%) noted regular contact with government authorities (formally or informally). 13% of respondents mentioned daily cooperation between CSOs and government authorities. 30% of organizations contact government authorities at least once a week, 27% do it once a month, and 12%-quarterly. Very few CSOs contact government authorities once every four months or annually. One-fifth of CSO representatives irregularly cooperate with the state.

Graph 4.1.1.
Frequency of CSO Initiated Contact with Government Authorities Formally or Informally[62]

Nowadays, most (65%) communication between CSOs and government structures is mutually initiated. In 2007 this percentage was significantly lower – by 5%, as 60% of respondents marked that both parties initiated communication (difference is statistically significant at 1% level). CSOs initiate such communication in one-third of all situations (32%), and government authorities on their own almost never do (only in 1% of all situations).

In general, we can say that there has been an increase in the frequency of contact that Ukrainian CSOs have had with the state throughout 2002-2009. However, the high frequency of contact does not imply anything about the quality or productivity of these meetings.

In order to define the quality of cooperation between CSOs and government authorities, the respondents were asked to answer an additional question as to the quantity of collaborative projects. A large number of CSOs (48%) reported that in 2009 they worked in collaboration with government authorities on implementing one or two projects. 24% of CSOs were not involved in any joint projects with the government while a quarter of CSOs (15%) had worked in collaboration

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[62] Question # 68

with the government on implementing more than at three projects in the last year. Only (10%) had worked in collaboration with the government on implementing more than five projects.

The percentage of CSOs that did not have joint projects with government authorities has fallen from 36% in 2006 to 24% in 2009 (difference is statistically significant at 1% level).

The level of cooperation between CSOs and government remained constant since 2007.
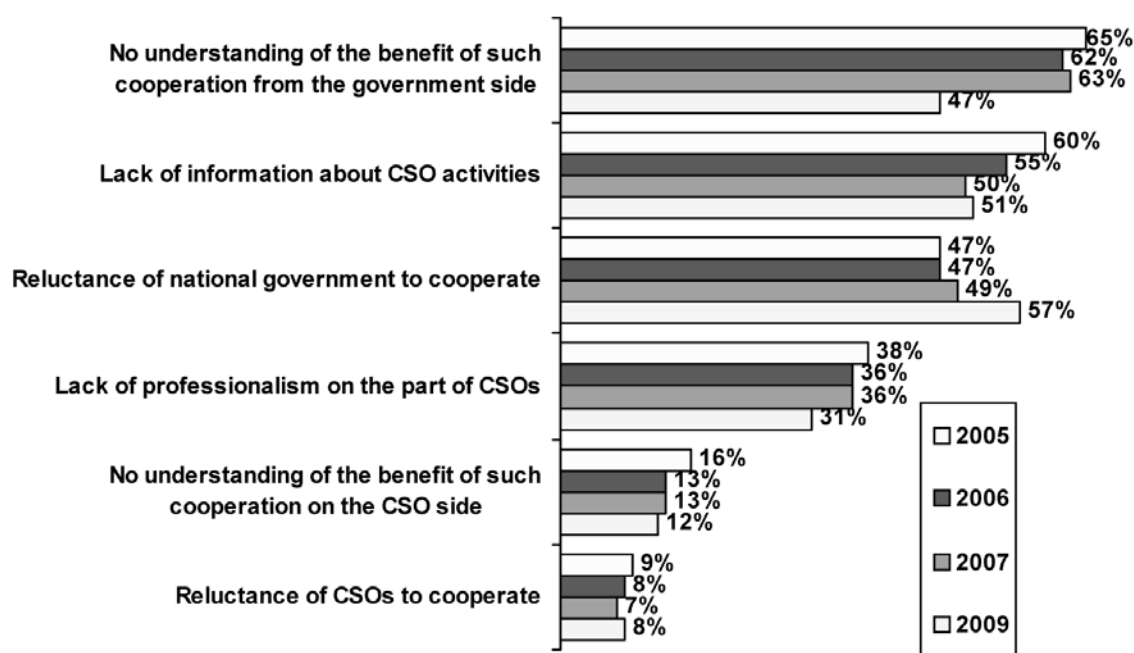Graph 4.1.2

Graph 4.1.2.
Level of Cooperation Between CSOs and Government at the Regional or Local Level [63]

As to the question referring to the effectiveness of cooperation, 82% of respondents noted that the level of cooperation between CSOs and government at the national level is average or low (see Graph 4.1.2). Only 5% of CSO representatives said that the level of cooperation between CSOs and government at the national level can be described as high. The current index increased by 1% from 2007 (4% of respondents indicated a high level of CSO cooperation with government). The number of CSOs indicating no cooperation between CSOs and government decreased by 3% (10% of those polled in 2007).

Those who said that the level of cooperation was limited, identified reasons for such a situation. When completing the questionnaire the respondents could choose the options which suited them; the results are shown in Graph 4.1.3.

Graph 4.1.3
Reasons for Limited Cooperation Between CSOs and Government at the National Level [64]

During 2005-2009, the reason for lack of cooperation between CSOs and government authorities such as no understanding of the benefit of cooperation between CSOs and government authorities from the side of government side decreased (47% of CSOs in 2009[65], 63% in 2007, 62% in 2006, 65% in 2005. Difference is statistically significant at 1% level).
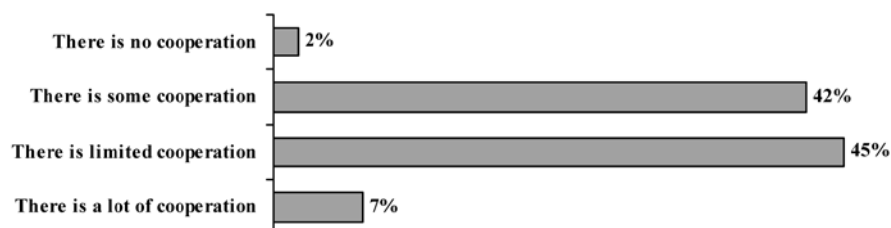
[63] Question # 71
[64] Question # 72
[65] Difference is statistically significant at 1% level.

In 2009, 57% of CSOs indicated reluctance on the part of national government to cooperate (49% of CSOs in 2007, 47% in 2006 and 2005[66]). According to the survey, the number of CSOs who choose lack of professionalism on the part of CSOs decreased by 5% in 2009 (31% in 2009, 36% in 2006-2007, and 38% in 2005[67]).

Results of the research in 2009 show the growth of trust in Ukrainian CSOs from the government side and a growing understanding of the benefit of cooperation.

CSO leaders also gave their views on the level of cooperation with government structures at the regional or local level (see Graph 4.1.4).

Graph 4.1.4
Level of Cooperation Between CSOs and Government at the Regional or Local Level

According to the data, the level of cooperation between CSOs and government authorities at the regional or local level is higher than at the national level. When talking about regional cooperation, 2% of respondents believed the absence of cooperation was lower versus the 7% who believed that cooperation at the national level was less. Also, the percentage of CSO representatives who thought the level of cooperation on average was higher for regional cooperation than for national was 45% as opposed to 30%. Both differences become significant at 1%. In comparison with 2007 data, the percentage of CSO representatives thinking that cooperation on local level exists to some degree, increased (42% in 2009 and 38% in 2007)[68]. Only 2% of respondents specified an absence of benefit for such cooperation between CSOs and the government at the regional or local level.

Respondents who defined the level of cooperation to be average, low, or non existent were asked to identify the major reasons for such a situation at the regional or local level (see Graph 4.1.5).

The opinion of CSO leaders about the main factors hindering effective cooperation with local government authorities did not change during the period of 2002-2009. Compared with 2005, the number of CSOs who considered lack of cooperation of CSO and government authority at the regional or local level to be the result of no understanding of the benefit of such cooperation from the side of government decreased (64% in 2005, during 2006-2007 this index decreased to 44% and in 2009 increased slightly to 47%[70]).

No understanding of the benefit of such cooperation from the side of government, lack of information about CSO activities, and *reluctance of national government to cooperate* were chosen as the main barriers to cooperation. Thus, CSO representatives in Ukraine tend to blame government authorities for insufficient cooperation.
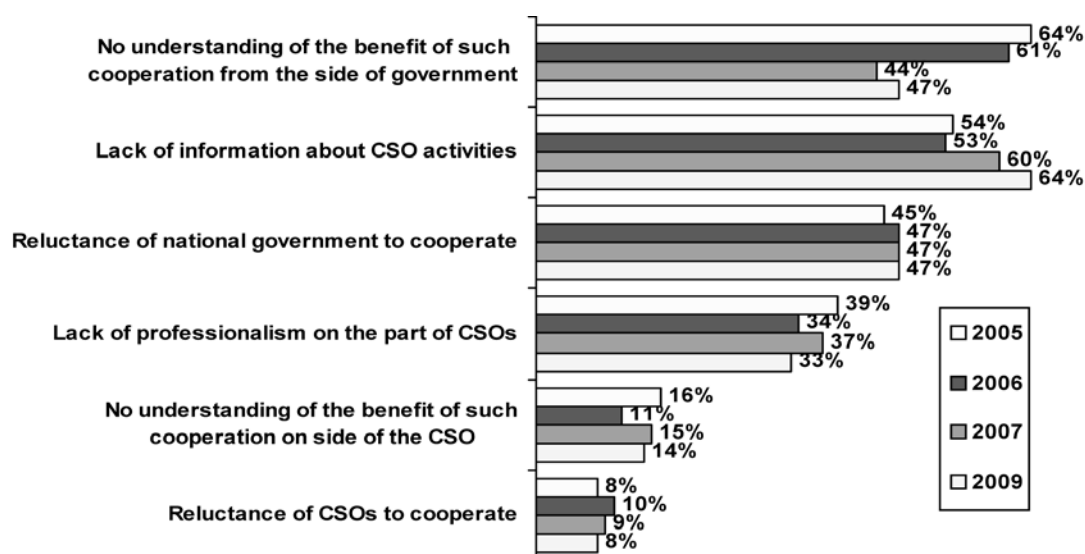
The dynamics analysis of the mentioned indicators during 2003-2009 leads one to conclude that there is relative stability in the frequency of opting for *reluctance of national government to cooper-ate.* In 2009 and in 2006, 47% of respondents chose this option as the main reason for the lack of cooperation between CSOs and government; while 38% of respondents chose the same option in 2003 (difference is statistically significant at 1% level).

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[66] Difference is statistically significant at 1% level.
[67] Difference is statistically significant at 1% level.
[68] Difference is statistically significant at 5% level.
[70] Difference is statistically significant at 5% level.

Graph 4.1.5

Reasons for Limited Cooperation Between CSOs and Government at the Regional or Local Level[69]

The number of CSOs who choose reluctance of the national government to cooperate increased by 4% according to results of the 2009 research compared to the results of 2007 (difference is statistically significant at 1% level).

To compare the results of the research in 2009 with 2007, the number of organizations who choose lack of professionalism on the part of CSOs decreased by 4% (difference is statistically significant at 5% level).

Having analyzed the reasons for lack of cooperation between CSO and government authorities at the regional or local levels, you can see that information about CSO activities is 13% lower at the regional level than at the local level.

At the regional level, local government is less informed (by 13%) than at the national level. The reason for this can be explained as follows: CSOs have more effective project information components at the national level than at the regional. The result is that national government is 10% more willing to cooperate than officials at the regional level. Reasons cited for lack of cooperation, namely the lack of professionalism on the part of CSOs, is virtually identical at both the national and regional levels.(31% and 33% respectively).

Conclusion

CSOs regularly contact government authorities. In most cases both sides are interested in cooperation. The data demonstrates that when the contact is initiated, it primarily comes from the side of the CSO. In spite of the fact that some cooperation does take place, the level of such cooperation is usually not high. For example, only around one-fourth of CSOs implemented more than three projects in collaboration with the state last year and one-third of the respondents did not have cooperative projects during this period at all. Hence, we can conclude that the cooperation for project implementation is occasional and not yet widely practiced. The answers of CSOs' leaders to the questions about the quality of cooperation and the reasons for its low level also appoint to this conclusion. The level of cooperation between CSOs and government at the regional and local level is higher than at the national level. Still, the obstacles that hinder cooperation are the same at all levels. The drawbacks of government structures are dominant among the reasons for limited cooperation between the third sector and the state (lack of information, desire, or understanding). Thus, taking into consideration their high interest in cooperating with the state, CSOs have to pay more attention to publicizing their activity and teaching and persuading the government about the benefits of such cooperation.

[69] Question # 74

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 activity of the CSOs that deal with the same or similar issues at the international, national, regional, or local level. 22% of respondents said that they know about the activity of other CSOs that work in the same or similar areas at the international level. If the same question concerns the local or regional level the percentage of CSOs that are aware of other CSO activities increases. For example, 81% of the respondents stated that their staff is well aware of the activities of similar organizations at the local level and 67% said the same about the regional level.

Almost all CSO leaders (97%) said that they cooperate with other CSOs. Graph 4.2.1 reflects the types of cooperation between organizations (the respondents were allowed to choose several options).
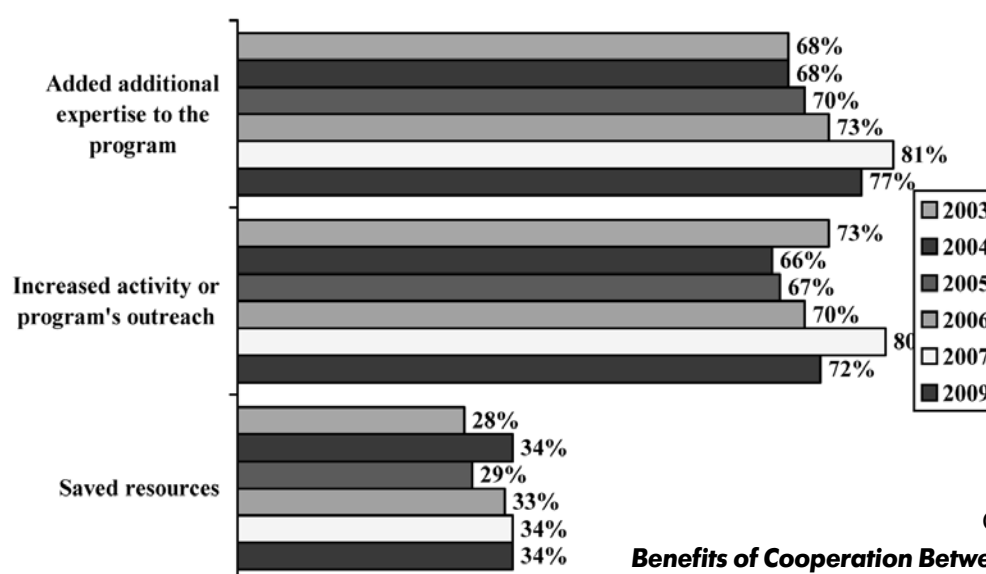
The answers demonstrate that a large number of those interviewed (89%) were involved in information exchange with other CSOs. Meetings are held by 78% of respondents. At the same time, cooperating through service provision is less widespread. There has been an overall decline in the number of organizations that carry out joint projects from 2007 to 2009 (from 68% to 64%), provide consultations (from 64% to 66%) and practice information exchange (from 98% to 89%), joint activities (from 82% to 73%), partnership projects (from 67% to 64%). The tendency for decreasing levels of cooperation between CSOs continues back through 2003-2009.

Types of Cooperation	2003	2004	2005	2006	2007	2009	
Service provision	43%	39%	35%	39%	44%	35%	⇓
Partnership projects	54%	57%	51%	59%	67%	64%	⇓
Consultations	64%	59%	58%	66%	64%	60%	⇓
Joint activities	76%	70%	71%	70%	82%	73%	⇓
Meetings	82%	78%	77%	79%	82%	78%	⇓
Information exchange	89%	88%	85%	92%	98%	89%	⇓

Graph 4.2.1
Types of Cooperation Between CSOs[71]

Graph 4.2.2 illustrates the benefits of cooperation with other CSOs that were chosen by the respondents.

Graph 4.2.2
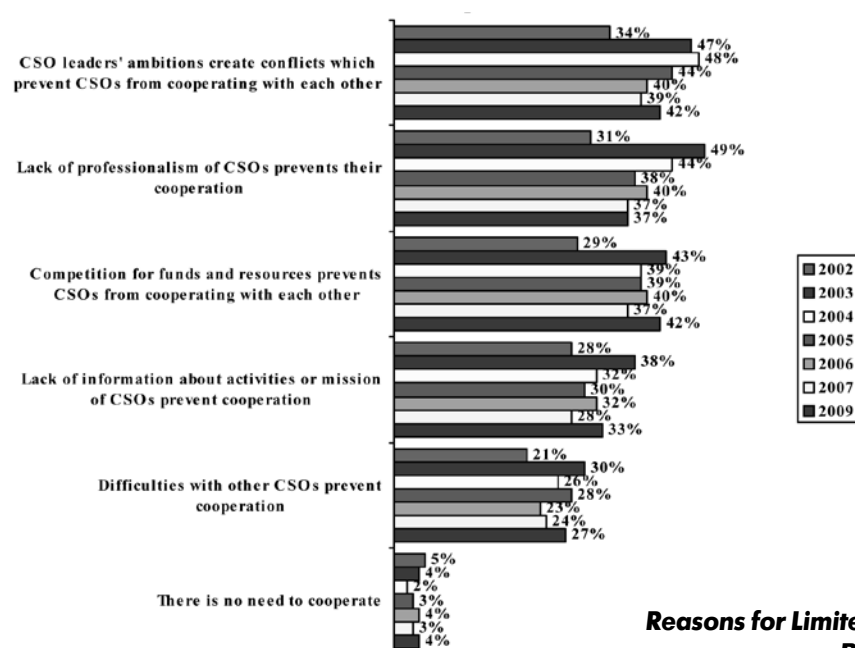*Benefits of Cooperation Between NGOs*[72]

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[71] Question # 77
[72] Question # 78

The majority of the respondents think that cooperation with other CSOs allows for *increased activity or program outreach* and improves the quality of service provision by the means of *involving additional expertise.* But according to results in 2009, the number of CSOs who considered benefit of cooperation between CSOs added additional expertise and increased the activity's or program's outreach, decreased. This can be explained by increasing competition among Ukrainian CSOs for financial resources.

One-third of all respondents noted that partnerships and cooperation helps *to save resources* during project implementation, and this percentage is the same as it was in 2006, 2007, and 2009. The indicator for the belief that cooperation provides opportunities for *increasing activity or program outreach increased* in 2009 and composed 72% of respondents (2007-80%[73], 2006-70%, 2005-67%, 2004-66%, 2003-73%).

In spite of the fact that many CSO representatives reported cooperation with other CSOs, considering it to be successful, most of the respondents think that CSOs are not collaborating enough. Graph 4.2.3 shows the distribution of answers to the question about obstacles to collaboration.

Graph 4.2.3
Reasons for Limited Cooperation Between CSOs [74]

The results of the 2009 data comparison can be explained through perhaps greater attention being paid to this question on the side of CSOs. Respondents were able to select multiple answers from the questionnaire.

Additionally, the lack of responses demonstrates reluctance on the part of CSO representatives to identify the main reasons for limited cooperation. Still this points to the tendency to select the main reasons for limited cooperation, as CSOs did not take advantage of the opportunity to choose multiple options. In 2009, 42% of respondents chose CSO leaders as the main culprits in preventing cooperation (in 2007-39%[75], 2006 – 40%, 2005– 44%, 2004 – 48%, 2003– 47%, 2002 – 34%).

42% also choose competition for funds and resources as an obstacle to cooperation (2007– 37%[76], 2006 – 40%, 2005 – 39%, 2004 – 39%, 2003 – 43%, 2002 – 29%). We can conclude that increased financial cooperation between CSOs has caused reductions in the financial help received from international and local donors.

[73] Difference is statistically significant at 1% level.
[74] Question # 80
[75] Difference is statistically significant at 5% level.
[76] Difference is statistically significant at 1% level.

In 2009, 37% of respondents chose CSOs' lack of professionalism, while in 2006 this option was chosen by 40%; in 2006, 40% of CSOs, and in 2003 this indicator was 49%. Therefore, professionalism seems to be steadily increasing among NGOs and is not significantly hindering cooperation.

Difficulties with other CSOs increased in comparison to 2007[77] (24%) and 2006 (23%), but not compared to 2005 (28%), 2004 (26%), 2003 (30%). This could be connected to the delicate balance of information sharing between NGOs as well as a hesitation to cooperate overall.
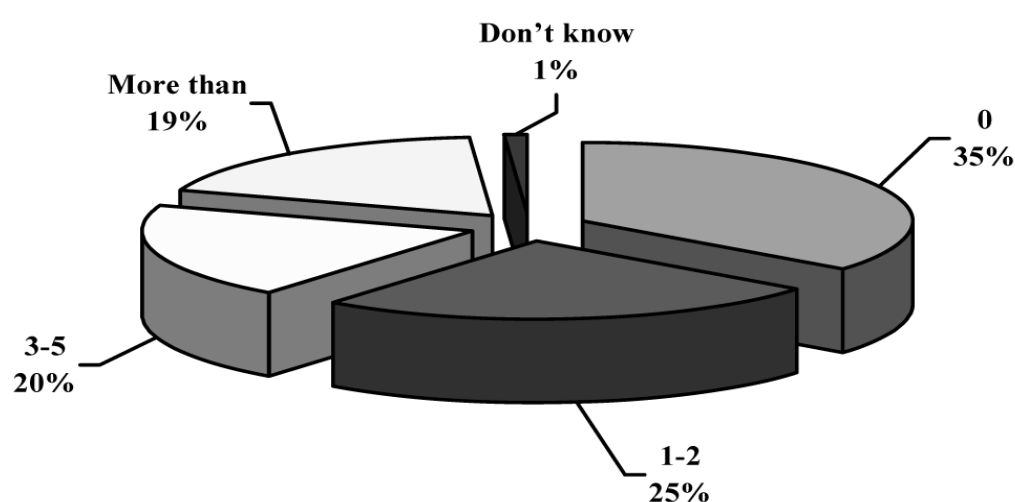
Conclusion

Each year CSO leaders report a high frequency of contact with each other and a high level of awareness of the activities of organizations that deal with similar issues. CSO representatives quite often exchange information and take part in joint activities and meetings. Leaders identified experience and resources exchange as the most typical form of collaboration.

In spite of the fact that the majority of CSOs cooperate with each other, CSO representatives point out limitations in their cooperation. During four years of research, the respondents have said that CSO leaders' ambitions, conflicts between CSOs, the lack of professionalism of CSOs, and the competition for funding and resources are the greatest obstacles to effective cooperation.

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.

About one-third (34%) of civil society organizations do not cooperate with businesses. Research data shows that 24% of CSOs cooperate with one or two businesses and 19% work with three to five. Around (18%) of the respondents said that they cooperate with more than five businesses (see Graph 4.3.1).
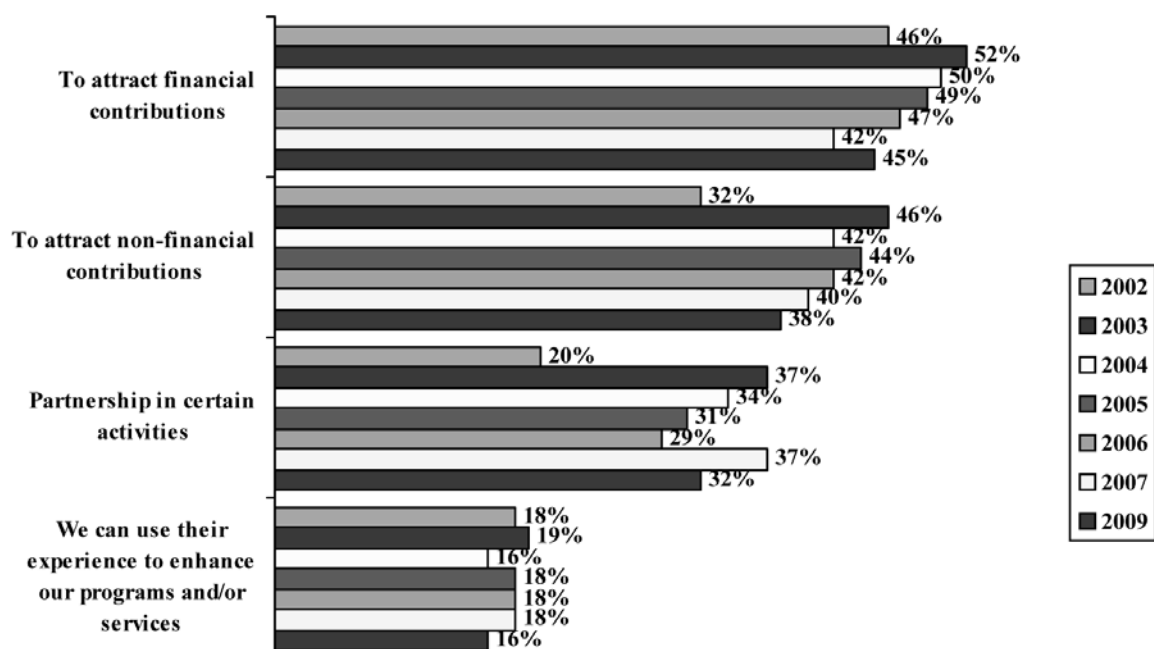

Graph 4.3.1
*Number of Business Institutions
that CSOs Cooperate With[78]*

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[77] Difference is statistically significant at 5% level.
[78] Question # 83

As in research results on cooperation with other CSOs, here the third sector representatives had to identify the main factors that encouraged them to cooperate with business (see Graph 4.3.2). The respondents could choose multiple options.

Graph 4.3.2
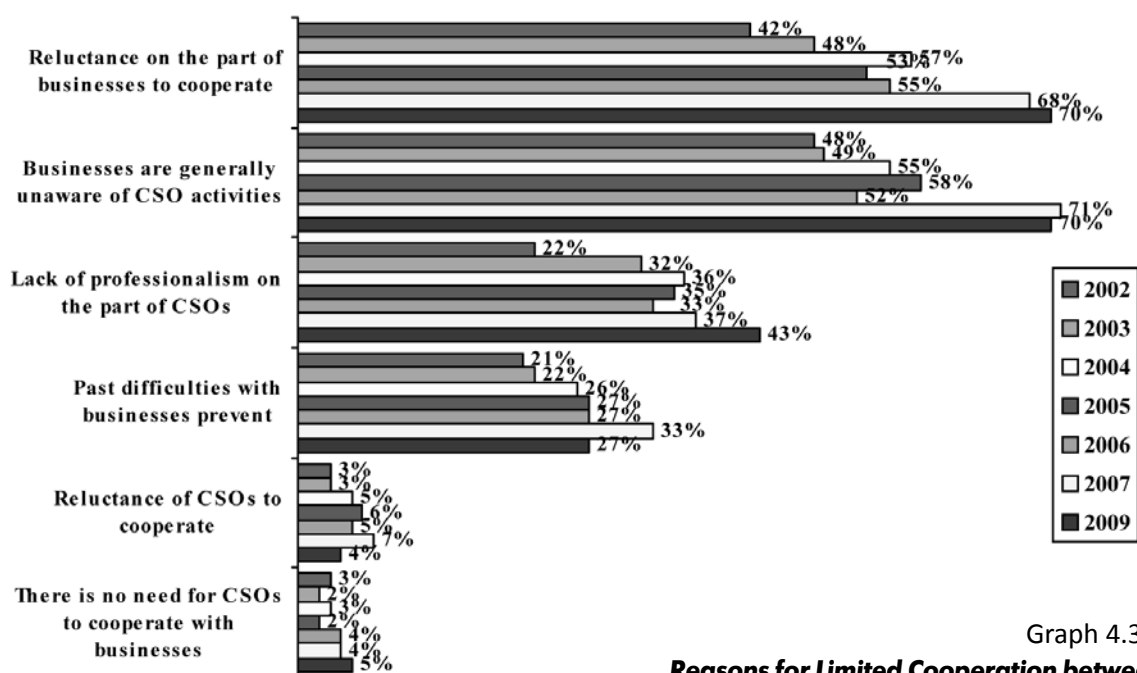***Reasons for CSO Cooperation with Businesses[79]***

As shown in Graph 4.3.2, CSOs view businesses first as a source for financial and material assistance and less frequently as partners for certain activities or the source of additional expertise. The percentage of respondents that report using businesses' expertise and experience has remained the same during 2004-2009 (16% in 2009). The frequency of choosing other alternative answers grew in 2003 (Graph 4.3.2). In 2009 the indicators decreased the statistically insignificant percentage difference of 5%, this does not apply to *partnerships*, where a negative trend can be observed (difference is statistically significant at 1% level). The negative trend in partnerships can be explained by production declining and business incomes decreasing during the financial crisis. Still, the number of respondents who were trying to attract business contributions increased (in 2009-45% of CSOs, in 2007[80]-37%), due in part to the increasing level of social responsibility among businesses in 2002-2009. The frequency of choosing other alternative answers again decreased in 2009 (Graph 4.3.2). The majority of CSO representatives interviewed (85%) think that the level of cooperation between CSOs and business is low. Such a high percentage can imply both an objectively low cooperation level and awareness on the part of CSOs of the importance of such relationships and the potential benefits of cooperation.

The respondents think that businesses are responsible for the lack of cooperation with CSOs. The response distribution for this question can be seen in Graph 4.3.3.

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79 Question # 84
80 Difference is statistically significant at 1% level.

Graph 4.3.3
Reasons for Limited Cooperation between CSOs and Business

From the respondents' perspective, the main factors preventing cooperation between CSOs and business include a lack of awareness on the part of businesses about CSOs activity and their unwillingness to cooperate with CSOs. In 2009, 43%[81] of respondents thought that the lack of CSO professionalism prevents such cooperation.

In comparison with the previous two years, the changes in CSO cooperation with businesses are not noteworthy. Thus, compared with results from previous years, the number of respondents who choose Lack of professionalism on the part of CSOs increased (43% in 2009, 37% in 2007[82]).

34% of respondents don't cooperate with businesses. 24% of CSOs cooperate with 1-2 businesses, 19% with 3-5 businesses. 18% of CSOs cooperate with more than 5 businesses. CSOs' attitude towards cooperation with businesses has not changed significantly during the research period. A large number of CSOs treat business as financial assistance sources as well as potential partners.

Conclusion

Currently Ukrainian CSOs are primarily consumers in their relationships with businesses. CSO representatives blame businesses for the low level of cooperation indicating such reasons as *unwillingness to cooperate from the side of business and unawareness on the part of businesses about CSO activity* as the main reasons preventing efficient cooperation. 61% of respondents reported that they cooperate with businesses in certain ways.
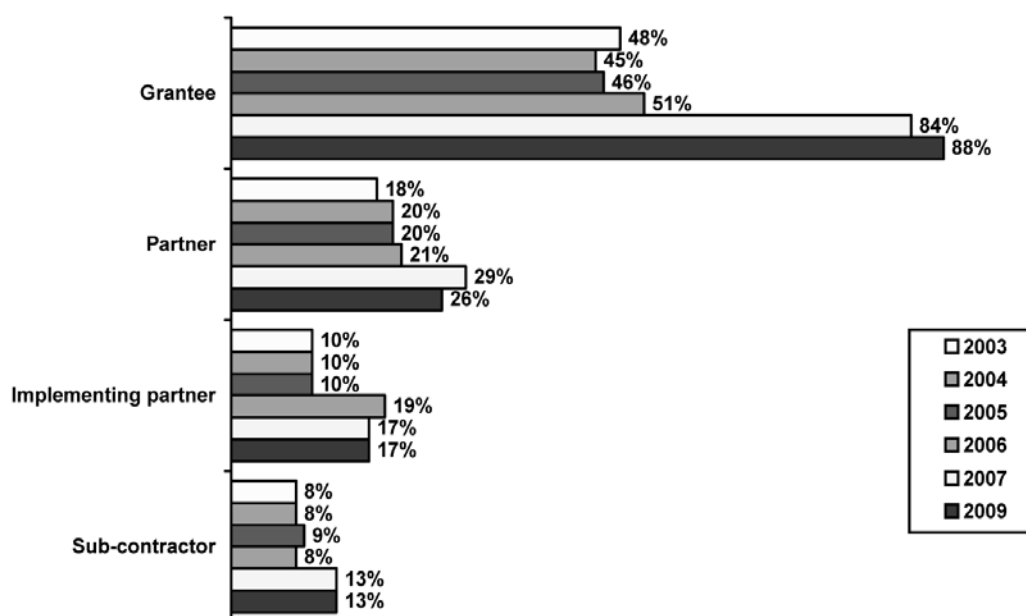
However, the majority of organizations view businesses as donors and sources of financial and material assistance rather than as interested clients and possible partners for project implementation. At the same time, CSO representatives should find ways to better inform businesses about their activities. Since more than one-third of respondents said that a lack of CSO professionalism prevents efficient cooperation, it can be concluded that this factor is among the major factors hindering cooperation as well. The unawareness of businesses about CSO activities and unwillingness to cooperate can only be the result of poor-quality CSO work and the lack of professionalism on the part of those CSO representatives who work directly with businesses.

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[81] Difference is statistically significant at 1% level.
[82] Difference is statistically significant at 1% level.

4.4 Cooperation with donors

According to the 2009 data, 64 % of CSOs in Ukraine cooperate with donors. CSO leaders were given an opportunity to specify all possible types of cooperation. The answers of the respondents can be seen in Graph 4.4.1.

Graph 4.4.1
Types of Relationship CSOs Have With Donors[83]*

In spite of the fact that the most widespread type of CSO cooperation with donors is the provision of financial or technical assistance, some organizations cooperate with donors at a higher level: as a partner or implementing partner. In 2009 the percent of CSOs, who worked with donors as a partner decreased compared to 2007 (26% versus 29%[84]). The number of CSOs, who cooperated with donors as an implementing partners didn't change based on 2007 data but did decreased compared to 2006.

According with 2002-2006, the percentage of CSOs who work with donors as a sub-contractor increased (13%-2007-2009). The number of CSOs who work with donor organizations as grantees also increased (88% in 2009, 84% in 2007[85], 51% in 2006, 46% in 2005, 45% in 2004, and 48% in 2003).

Conclusion
Nowadays, more than a half of Ukrainian non-governmental organizations work with international donor organizations. There is the opinion that donors view CSOs as catalysts for societal change. To be a catalyst, the third sector must have experience, maturity, knowledge, and skills. Not many Ukrainian CSOs have the capacity and skills needed to fulfill this role. Additionally, unwillingness on the part of CSOs to work directly with the community largely hinders fruitful cooperation with donors. Only one-fifth of Ukrainian CSOs conscientiously took on the role of partner (one-tenth as implementing partners) in joint projects with donors.

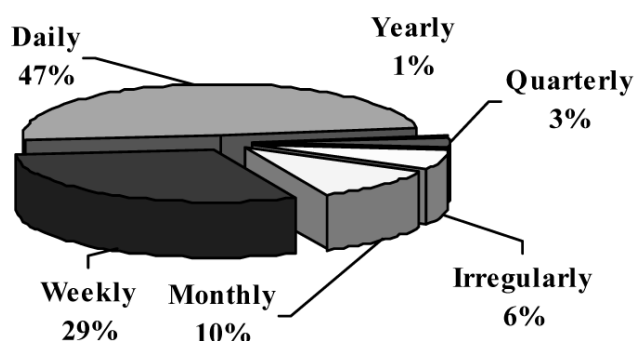**4.5 Cooperation with community**

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.

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[83] Question # 88
[84] Difference is statistically significant at 5% level.
[85] Difference is statistically significant at 1% level.

Every day, many CSO representatives (47%) meet the people to whom their activities are directed (see Graph 4.5.1). The staff at 29% of organizations meets clients *weekly*, 10% - *monthly*, 3% and 6% - *quarterly* and *irregularly*.

Graph 4.5.1.

Frequency of Meetings Between CSO Representatives and Their Constituents[86]

The number of CSO leaders that report daily meetings between CSO representatives with the clients fluctuates every year: 55% in 2002, 49% in 2003 (difference is statistically significant at 5% level), 53% in 2004, and 47% in 2005 and 2006, 40% in 2009. Regarding the remaining responses, the fluctuation of indicators is insignificant.

Table 4.5.2 presents the methods that CSOs use to publicize themselves and their activities.

	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
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%

Table 4.5.2

Method for Publicizing CSO Activities[87]

The most popular manner for publicizing CSO activities is by providing information to the press (84% of respondents in 2009, 80% of CSO in 2007[88], 78% in 2006, and 88% in 2005). 55% of organizations distributed brochures and flyers in 2009. In 2007 this method of information dissemination was used by 51% of CSOs. 53% of CSOs held presentations (49% in 2007).

Still, if the tendencies for the past eight years are analyzed, it can be observed that such publicity mechanisms such as presentations, web pages, press releases to mass media, brochures, and flyers have become increasingly popular. Regarding annual reports and bulletins, no actual tendency to increase or decrease can be observed.

CSO representatives were asked to define the level of community awareness about their activities. 31% of respondents pointed out that the community is only aware that they exist, 47% said that the community is aware of their activity. 17% of the respondents answered that the community supports the CSO through involvement in its activities.
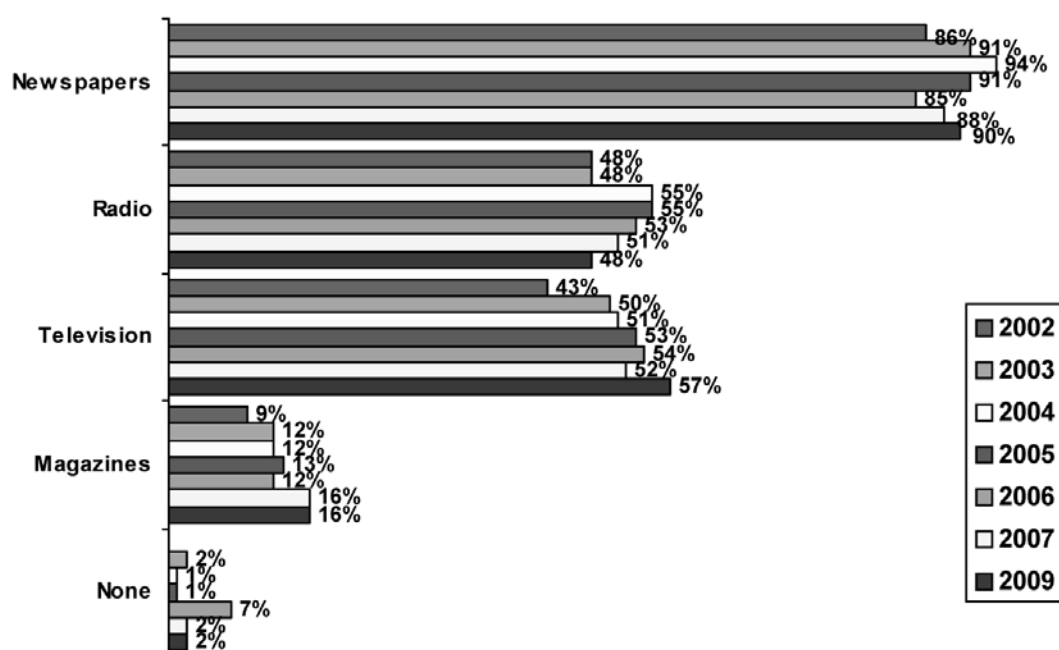
[86] Question # 89
[87] Question # 90
[88] Difference is statistically significant at 1% level.

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.

Of the CSOs that cooperate with media, 51% do so regularly while 48% do it occasionally. This data is rather optimistic, but does not reflect the quality of cooperation between CSOs and mass media. The respondents were asked to answer a question about the types of mass media that have been most frequently used to disseminate information on the activities of non-governmental organizations during the last year (see Graph 4.6.1).

Graph 4.6.1
Media Sources Used to Disseminate Information

According to the data collected, newspapers are most often used by the CSOs to publicize their activities. 90% of the respondents used newspapers to advertise themselves and their activity during the last year. This was higher than 2007 – 88% and 2006 but less than 2005-91% and 2004-94% (difference is statistically significant at 5% level). The next most popular means of information dissemination is television: 57% of CSOs use this medium to inform the public about themselves.

The increase in CSO cooperation with television during the last years is noteworthy. The frequency of using radio is less than in prior years (2009-48%, 2007-51%[89], 2006 – 53%, 2005 and 2004 – 55%, 2003 and 2002 – 48%).

The frequency of using newspapers and magazines for information dissemination has increased compared with 2006 (16% - 2007, 2009).

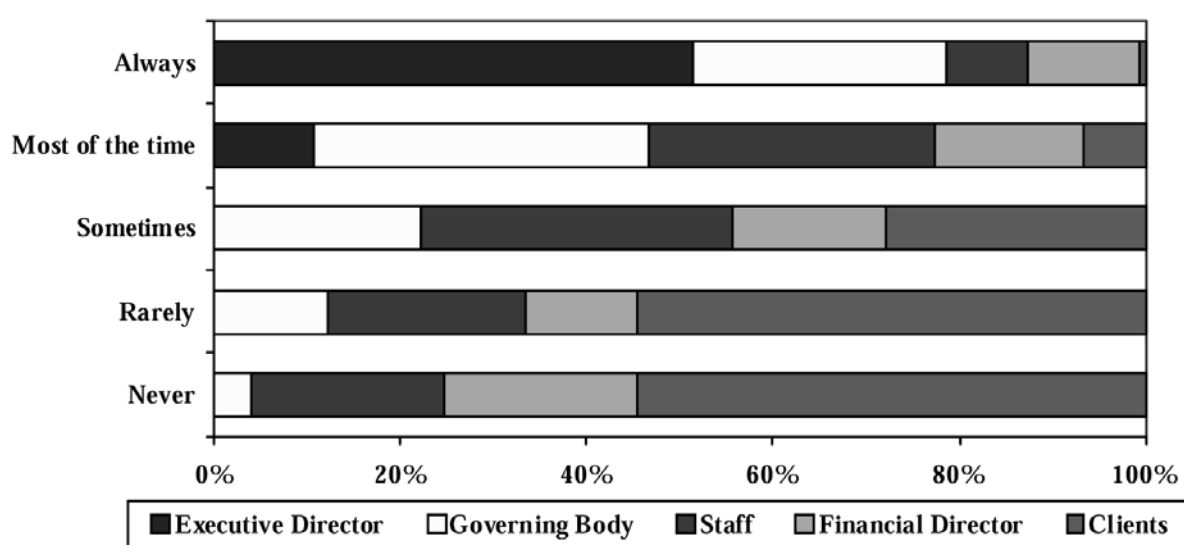[89] Difference is statistically significant at 1% level.

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

Program activity is defined by the capacity of the CSO to fulfill 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.

These, and other aspects of partnerships and legislation, were considered while researching the programming activities of CSOs.

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
Individuals Involved in Planning Program Activities[90]

According to the results, the Executive Director is the main person responsible for planning program activities in 97% of organizations (these respondents chose options such as *almost* and *most of the time*).

Similarly, in 74% of organizations, the collective governing body was largely involved in program activity planning in 2009. Thus, the indicator for collective governing body involvement in program planning is very high.
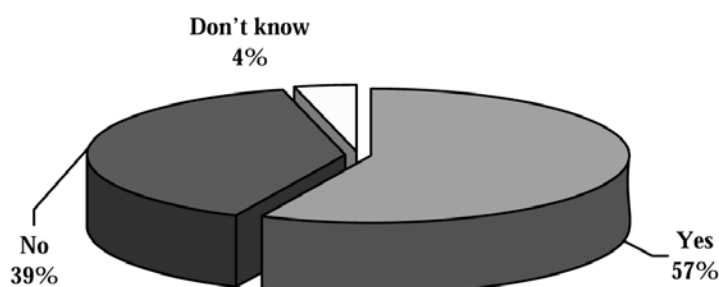
Staff, the financial director, and members of the organization are involved in the process *rarely*, *most of the time*, and *sometimes*. However, when analyzing the activity of the mentioned employees, the reasons for choosing *no response/I do not know* should be taken into consideration.

The last option was suited to situations when the respondent did not know the response or could not choose another option due to the absence of such a position in the organization. Therefore, the percentage for the option of *no response/I do not know* should be interpreted, taking into consideration the fact that on the average the staff of Ukrainian CSOs is not large. For example, the position of financial director exists in less than a half of CSOs. Those organizations that have a financial director on their staff do not involve this person in program planning and development in 11% of cases.

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[90] Question # 94

The so-called "volunteer staff" of Ukrainian CSOs (i.e. when leading activists work as volunteers) explains the high level of volunteer involvement in program planning (in 13% of CSOs – *always/ most of the time* and in 20% of organizations - *sometimes*). Client involvement in planning and development of program activities turned out to be very low and lower according with plaguing level of volunteers to planning program activities (at 6% of CSOs- always/most of the time, and at 10%- sometimes).
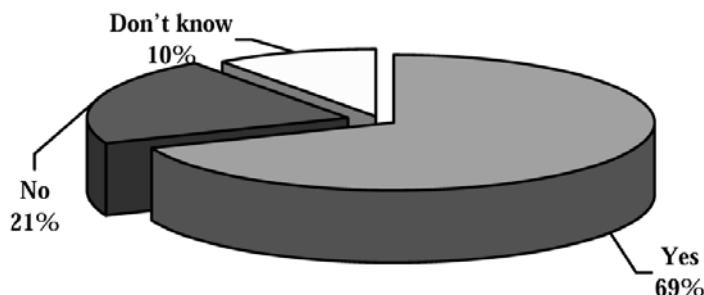
According to the data on Graph 5.1.2, you can make conclude that a majority of CSOs (57%) conduct clients accounting of organization. But rather significant percent of CSOs (39%) does not conduct clients accounting of organization.
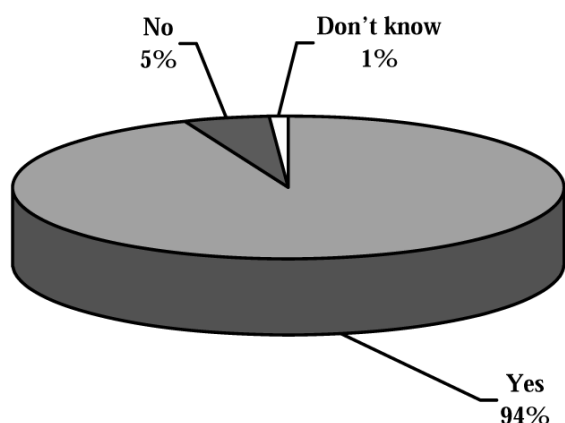

Graph 5.1.2

Does CSO conduct clients accounting of organization?

According to data from the 2009 survey, 69% of CSOs have debugged mechanism of inversely connection with organization clients. 21% of CSOs does not have mechanism of inversely connection with organization clients.

Graph 5.1.3

Does the mechanism of inversely connection work with organization clients?

Target groups' needs assessments, CSO activity monitoring, program and projects evaluation and assessment

According to the research data, 94% of CSOs conduct a needs assessment of their target groups when planning a program activity or a new kind of service and only 5% of CSOs don't conduct a needs assessment of their target groups before project.
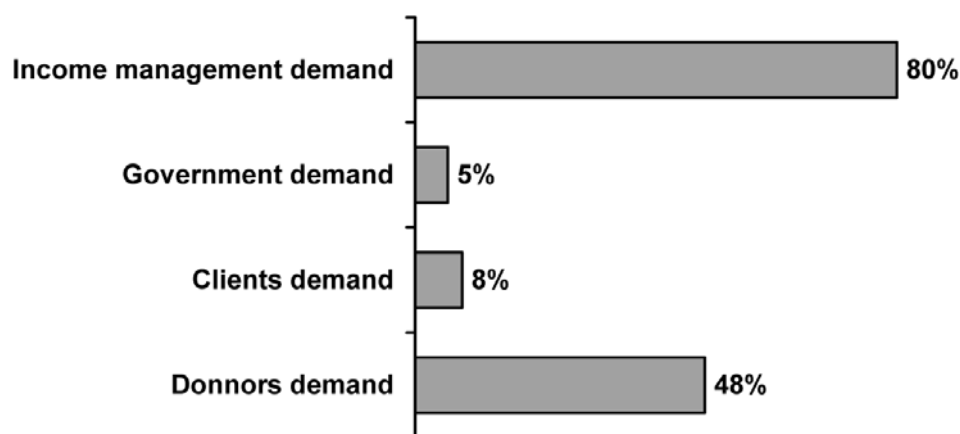
Graph 5.1.4

Number of Projects Implemented in the Previous Year[91]

91 Question # 95b

79% of respondents said that their organization monitors activities to determine whether the goals and objectives are met.

In comparison with 2006, the number of organizations where the results of the evaluation influenced the strategy and/or decision making process decreased by 4% (83%-2006).
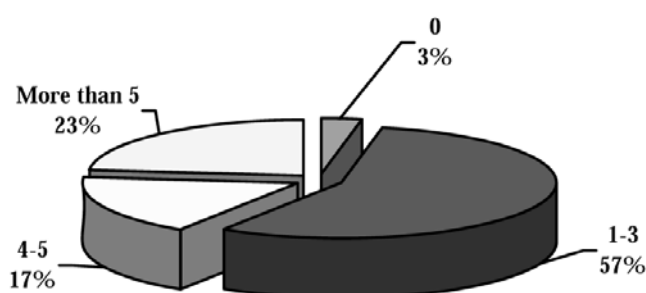
The data in Graph 5.1.5 compares the reasons, that enforced CSOs to let the mark of own activity. The respondents could choose multiple variants. Needs income management were impeled to make the mark of activity, 80% of CSOs noted, 48% indicated that they conduct income mark for donors demand, only 8% conduct the mark of activity for clients demand and 5% for government demand.

Graph 5.1.5

Number of Projects Implemented in the Previous Year [92]

Graph 5.1.6 reflects the intensiveness of program activity of Ukrainian CSOs for 2009. Half of the respondents implemented between one and three projects (57%). 17% of the organizations interviewed completed four to five projects and only one-fifth of surveyed CSOs had intense program activity (implemented more than five projects during 2009). The indicator for the number of projects completed during the past year helps to better clarify the third sector situation, but does not give information as to the quality and scale of the projects implemented.

Graph 5.1.6

Number of Projects Implemented in the Previous Year **
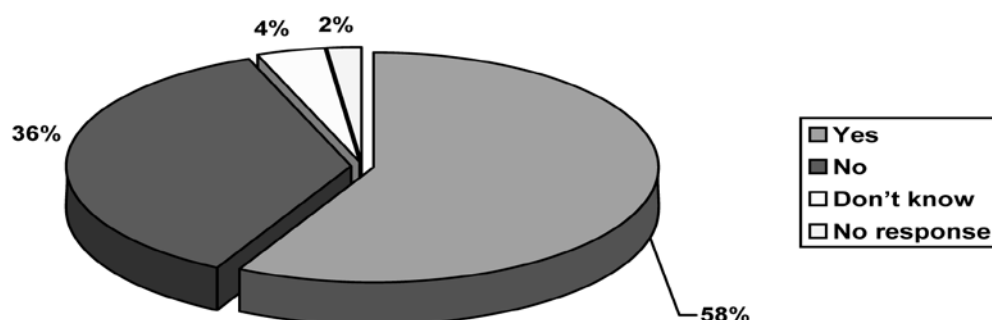
[92] Question # 95b
** Question № 95b

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 sure that CSOs that publish their annual report are more open to informing the community about their activities. In 2009, 58% of those interviewed stated that their organization publishes an annual report. This index increased considerably compared with 2006 (31%)[93]. 38% of CSOs specified that they send their annual report to a state organization, 32%- to donors, 30%- to the members of organization, and only 8% of CSOs send annual report to clients.
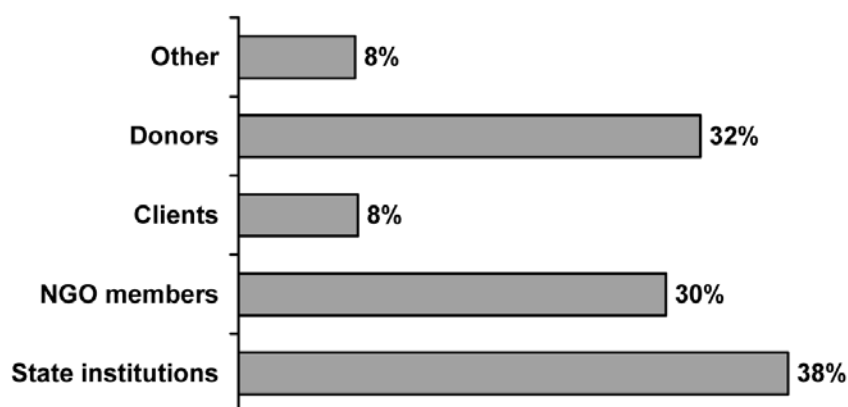Graph 5.2.1

4%   2%

36%

☐ Yes
■ No
☐ Don't know
☐ No response

58%

Graph 5.2.1

Does the Organization Publish an Annual Report?

Question about annual report recipients was first researched in 2009. The results indicated a low reporting level on the part of CSOs to their clients.

Other	8%
Donors	32%
Clients	8%
NGO members	30%
State institutions	38%

Graph 5.2.2
Annual Report Recipients

Ukrainian CSOs in general have stable systems of financial management and control. More than two-thirds of organizations (67%) have an accountant; 67% of organizations think that their accounting system corresponds with national and/or international standards. 60% of CSOs have a financial management system for financial planning, implementation and reporting.

52% of CSOs have been audited in 2009, which is more than in 2006- 25% (difference is statistically significant at 1% level). Almost a half of those interviewed (48%) have never been audited but are ready for one. The percentage of CSOs that have been audited has remained constant since 2006 and the number of CSOs that have not been audited but are prepared has decreased from 49% to 48% between 2006 and 2009 (difference is not statistically significant at 5% level). 16% of the respondents said that their organizations have never been audited and are not yet ready to undergo this procedure. This index coincides with data gathered in 2006 (16%).
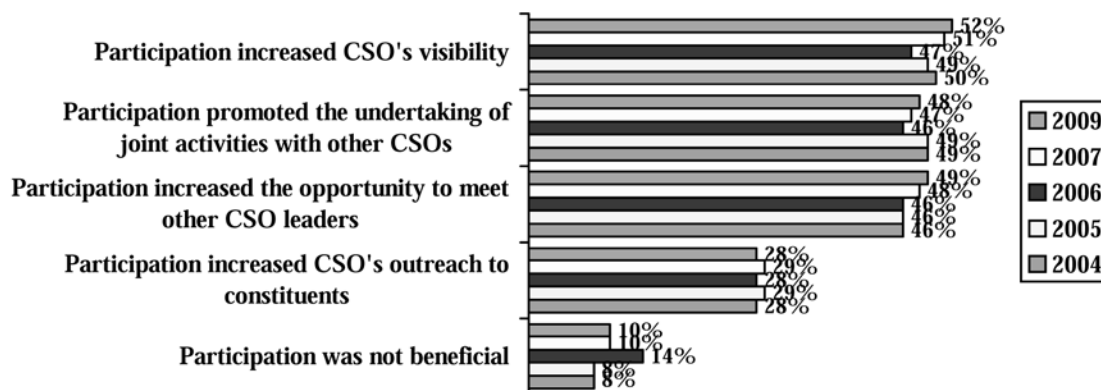
[93] Difference is statistically significant at 1% level.

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.

65% of CSOs are members of coalitions or working groups. The data presented in Graph 5.3.1 shows CSOs evaluation of participating in coalitions or working groups with other CSOs. The respondents were allowed to select multiple alternatives.
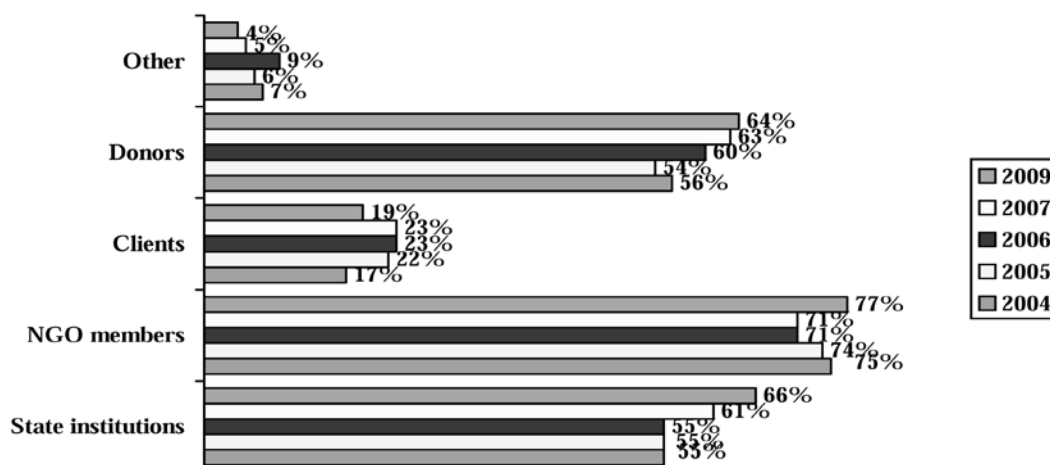

Graph 5.3.1
Evaluation Past Participation in Coalitions or Working Groups[94]

Graph 5.3.1 shows that participation in coalitions or working groups was useful for the majority of CSOs. It helped them to plan joint events with other organizations, to become better known, and to meet the leaders of other CSOs. Only a small number of CSOs (8%) said that participation in coalitions or working groups was not useful for them. This percentage increased by 4% comparedwith 2006 (difference is statistically significant at 1% level).

The tendency that can be tracked from 2004 demonstrates an increase in the percentage of CSO leaders who are coalition members. In 2002 only 35% of CSO leaders reported that they were members of coalitions or working groups. In 2004 this indicator was 41%, and it grew to 63% in 2005, in 2006 this indicator was 59%, reaching 65% in 2009 (difference is statistically significant at 1% level).

5.4 Accountability. Transparency. Ethical Norms

In 83% of organizations with members, CSO members have access to the financial documentation of the organization if the desire it.

Graph 5.4.1
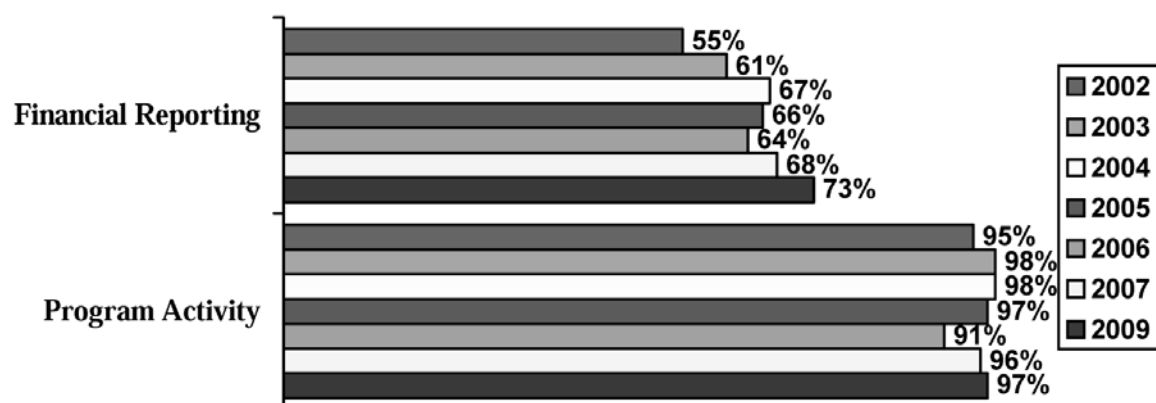*Institutions to Whom CSOs are Accountable[95]*

[94] Question # 82
[95] Question # 98

The data given in Graph 5.4.1 shows that the majority of organizations with members (77%) report to their members, 66% of CSOs report to government authorities and donors (64% of respondents). 19% of the organizations report to their clients. Data analysis for 2002-2009 shows that this indicator is not stable. The percentage of CSOs that report to their clients grew from 19% in 2002 to 27% in 2003 and in 2004 fell to 17%. During 2006-2007 this index was 23% and in 2009 decreased to 19%. All the difference is statistically significant at 1% level.

The number of the CSOs that report to the members of the organization or government officials has not changed during the period studied.

Graph 5.4.2 portrays the opinion of respondents regarding the need to be open regarding program and financial activity.
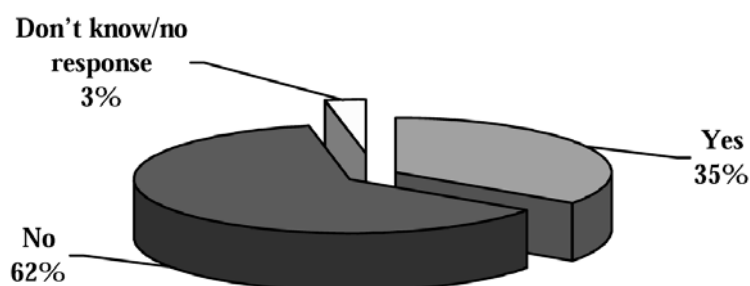

Graph 5.4.2
CSO Leaders Admitting a Need
for Transparency in Financial and Program Activity

The majority of CSOs, (97%) in 2009, admit that the community should be aware of CSO program activity. In 2007 this percentage was 96% of CSOs, in 2006-91%. Over 2002 to 2005 this index did not change (difference is statistically significant at 5% level).

46% of the respondents said that during the past year they themselves, or the Executive Director of the organization, took part in a training on developing professional standards.

The number of CSOs that think that the third sector needs a code of ethics and professional standards gradually grew from 81% in 2002 to 88% in 2005 (difference is statistically significant at 1% level), and in 2006 returned to 83% while increasing again to 86% in 2009 (difference is statistically significant at 1% level).

Graph 5.4.3*
CSOs Possessing Rules of Conduct or Codes of Ethics

According to the 2009 data, 35% of organizations have written and defined and written ethical norms for their organization.

* Question № 104
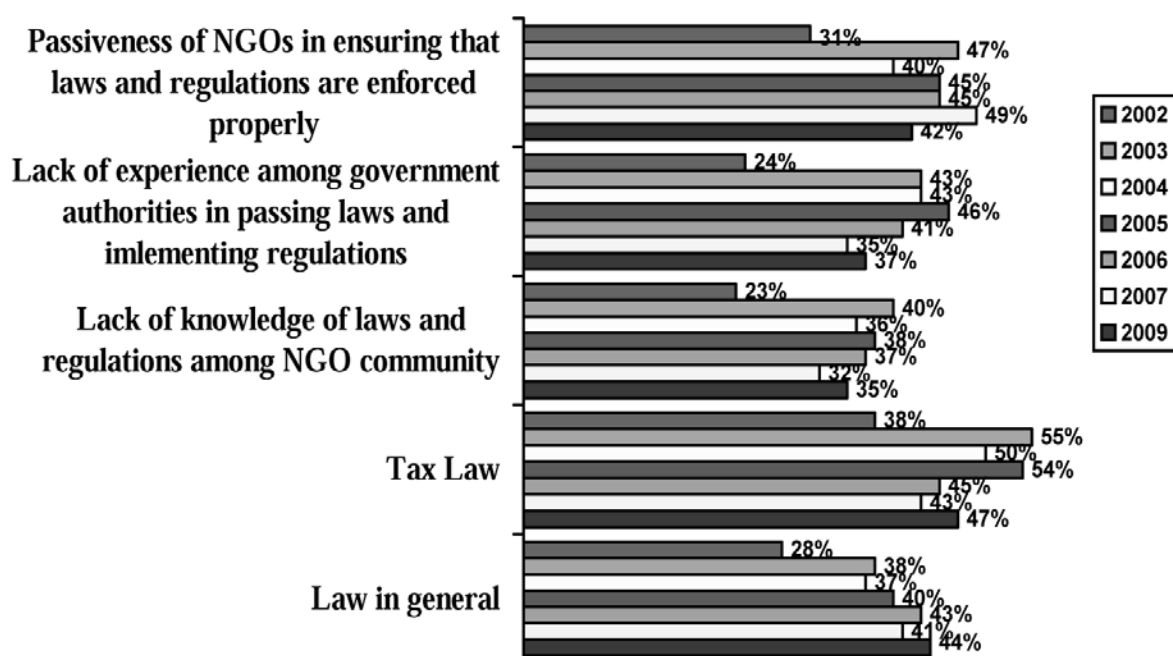
5.5 Legislation

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 the CSO representatives interviewed (62%) consider themselves to be knowledge-able about current legislation that influences the activity of their civil society organization in a certain way. 36% of the respondents think that they are partially aware, and only 3% of CSO representatives say that they do not have sufficient knowledge in this field at all.

Two percent of respondents were hesitant to answer this question. The number of people who have sufficient knowledge regarding current legislation is continually flucuating: 53% of the respondents in 2002, 64% in 2004, 58% in 2005, 60% in 2006, and 62% in 2009 (difference is not statistically significant at 5% level).

From 2003 to 2009, CSO representatives said that tax legislation was the main legislative obstacle to third sector development (see Graph 5.5.1). But in 2009, this percentage increased to 47%, in 2007-43% (difference is statistically significant at 5% level).

In 2009 the main obstacles to CSO development became: *law in general* (44% of CSOs), *the passiveness of NGOs in ensuring that laws and regulations are enforced properly* (42% of respondents), and *tax law* (47% of respondents).

Graph 5.5.1
Main Obstacles to the Development of the CSO Sector 2002-2009 [96]

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[96] Question # 106

Graph 5.5.2 illustrates the increase in, and diversity of, the sources of information on legislative changes that are available to CSOs

Graph 5.5.2
Sources of Information about Changes to Legislation*
2002-2009

In general, the number of organizations that use any of the listed information sources has increased dramatically since 2009. High indicators for each of the options illustrate that many organizations simultaneously use multiple sources.

In 2009, 81% of CSOs found the *internet* (73% in 2007) and *meetings and workshops* – 56% (63% in 2007[97]) to be the most functional information source on changes to current legislation and regulatory acts. 42% of CSOs utilize mailing lists, a slightly lower percentage than that recorded in 2007 (44%, difference is statistically significant at 5% level). It should be noted that the role of the internet as the source of information for Ukrainian CSOs has increased over the past eight years. At the same time, informational newsletters became less popular among CSOs.

One other dimension of internet usage was studied in 2009. The option *internet* was added to the questionnaire as a method for spreading information about the CSO activities. Thus, in 2009, 77% of CSOs questioned use the internet as a method for spreading information about their organization (in 2007 – 71% of CSOs[98]).

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* Question № 107
[97] Difference is statistically significant at 1% level.
[98] Difference is statistically significant at 1% level.

Internet Usage by Ukrainian CSOs, 2002-2009

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

Internet Usage by Ukrainian CSOs, 2002-2009

An analysis of CSO e-mail usages revealed that only 6% of the 2009 survey group reported that the *unavailability of e-mail and internet access is an internal organizational barrier* * (see Table 5.5.4).

	2002		2003		2004		2005		2006		2007		2009
Absence of e-mail and internet access is an internal organizational barrier for the CSO	22%	−	18%	−	16%	−	15%	⇓	11%	−	8%	⇓	6%
Access to internet is a needed support to CSO	22%	−	23%	−	21%	−	18%	⇓	15%	−	13%	⇓	8%

Table 5.5.4.
CSOs' Needs for Internet Access/e-mail, 2002-2009

In 2002 this was 22%. The cross analysis between 2002 and 2009 reveals a significant decrease in the need for internet access on the part of CSOs over the last eight year[99].

* Question # 98
[99] Difference is statistically significant at 1% level.

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. In addition, there is a problem and needs analysis of Ukrainian CSO.

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 skillful 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 2002-2009 survey. The models of organization development, introduced below, allow differences to be compared and detected (new indexes are presented in italics).

№	Components of **Organizational Capacity Index description** during 2002-2007	Components of **Organizational Capacity Index description** in 2009
1	**Strategic Management:** • Organization is registered as a legal entity • The organization has a mission statement and adheres to its principles • Strategic goals are defined and clear to members • Members and leadership meet regularly to discuss, review and, when necessary, correct strategies, goals, and tasks • A monitoring and evaluation system is functioning and data analysis is integrated into decision-making	**Strategic Management:** • Organization is registered as a legal entity • The organization has a mission statement and adheres to its principles • *The organization has a written strategic plan* • Strategic goals are defined and clear to members • A monitoring and evaluation system is functioning and data analysis is integrated into decision-making • Members and leadership meet regularly to discuss, review and, when necessary, correct strategies, goals, and tasks • *The organization's program activity is based on the organization's mission*

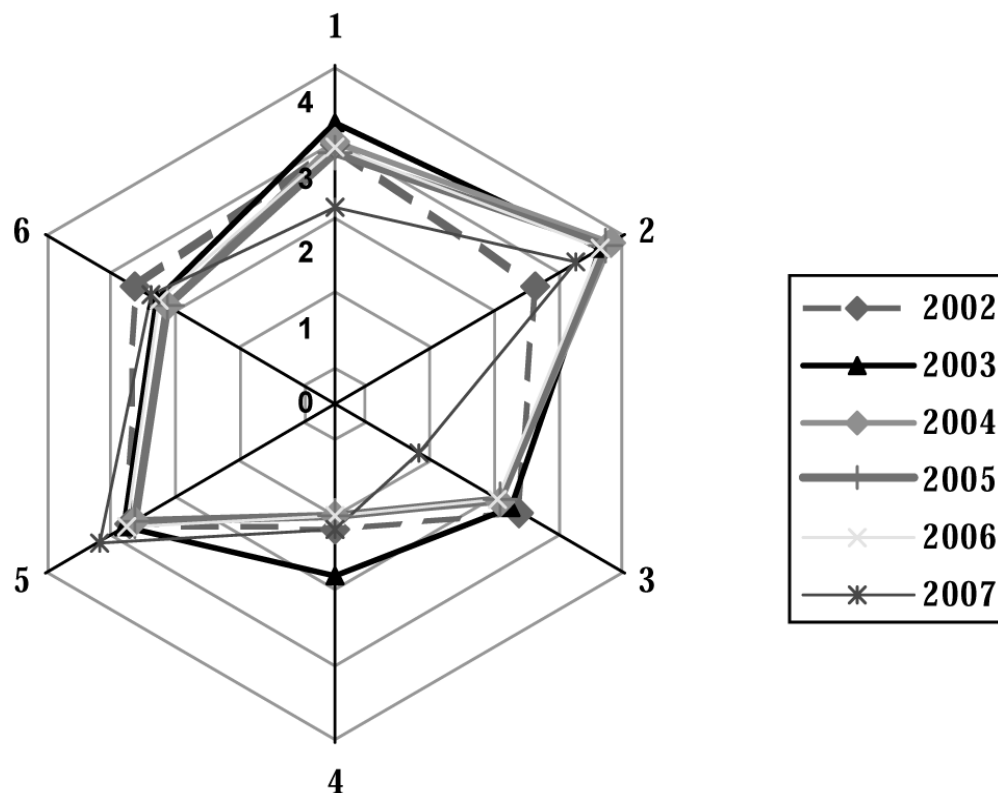|		
2.	**Governance Structure:** • The CSO has an active governing body (external-Board of Directors, Advisory Board, and/or internal – Executive Committee, Management team – or both) • The functions and responsibilities of members of the governing body are clearly defined • The governing body regularly 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 trough 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	**Governance Structure:** • 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.	**Leadership and Management Style:** • 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 • The CSO director delegates responsibility and authority for some projects or functions to staff members	**Leadership and Management Style:** • 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 • The CSO director delegates responsibility and authority for some projects or functions to staff members • *The organization has defined administrative rules and procedures* • *Executive members, personnel and the members of organization participate in developing administrative rules and procedures* • *Administrative rules and procedures are reviewed annually*

4.	**Fundraising Strategy:** • 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.)	**Fundraising Strategy:** • *The CSO has a written, long-term (minimum of one-year) plan for financial sustainability* • *The CSO has a written, long-term plan for financial sustainability separate from its financial plans* • 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.	**Financial Management Systems:** • 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	**Financial Management Systems:** • 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
6.	**1) Sufficient Management Procedures** • 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	**2) Sufficient Management Procedures:** • 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.		**Legitimacy, Reporting and Cooperation in Coalitions/Networks:** • *CSO clients are present in their executive bodies* • *CSO clients participate in planning program activities* • *CSO evaluates its programs* • *CSO prepares, publishes, and distributes copies of its annual report among clients* • *CSO has clients' calculation and has a mechanism of contra connection with them.* • *CSO is a member of coalitions and networks.*

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 occured.

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.

Graph 6.1.
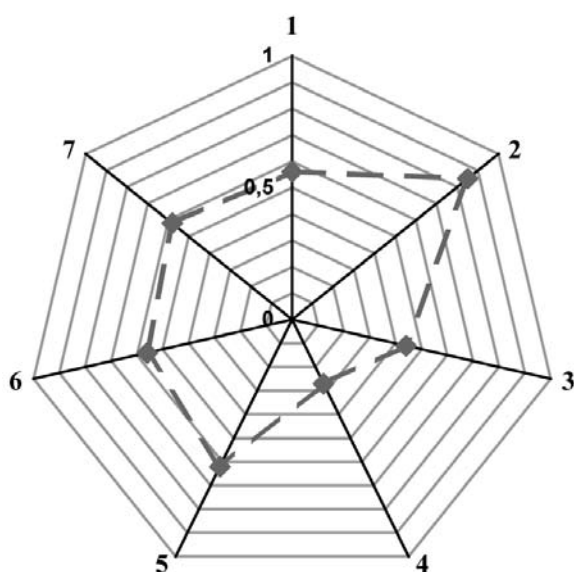*Organizational Capacity Index by Components, 2002-2007*

In Graph 6.2, the average score for the organizational system index for 2002-2007 is presented.

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	2.90	3.14	2.93	2.87	2.91	2.65	⇓

Table 6.2.
Regional Trends in the
Organizational Capacity of CSOs
Measured by the Organizational System Index (2002-2007)

Results in 2009:
The average score on the of the organizational index is 0.6 (1-point scale) in 2009 this is an indication of the maintenance of an average capacity in Ukrainian CSOs. In general, CSOs have relevant management and fundraising procedures.

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 occasionally; and the fundraising is rather sporadic.

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 6.3.
Organizational Capacity Index by
Components, 2009

The same information is presented in Graph 6.3. 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 6.4 shows the Organizational Capacity Index for separate components in 2009.

Component	Index
Component 1.CSO practices strategic management	0.56
Component 2.CSO has an effective governance structure	0.85
Component 3.CSO leadership and management style is participatory	0.44
Component 4.CSO has a fundraising strategy	0.27
Component 5.CSO financial management systems meet accounting standards	0.62
Component 6.CSO has sufficient human and financial resources management procedures	0.56
Component 7. CSO legitimacy	0.58
Average Index Score	0.6

Table 6.4
Organizational Capacity Index by Components, 2009

The survey demonstrated that CSOs in Ukraine have mastered strategic management skills and have a high indicator of the various management structures for organizations in 2009. However, the functions of leadership and administration overlap in many organizations and hinder the effective development of those organizations. Moreover, we observe that the system of financial management for CSOs complies with national and international standards and that basic financial procedures are observed. The majority of CSOs did not undergo an external audit but they are fully prepared for it. The level of legitimacy of organizations is also very high. The majority of organizations have printed an annual report.

The presence of *effective management structures* is the strongest component in the organizational system index based on the data received in 2009. The Ukrainian CSOs have active governing bodies that follow well-defined and stated rules and regulations. The governing bodies take part in strategic decision making process. The organizations have relevant mechanisms to change and rotate representatives of the governing bodies. This component received the highest average score when compared to other activities implemented by the CSOs, though it was not widely applied.

The second highest component presents the activities of CSOs as concerned with *the strategic management of the organization*. Based on the report, CSOs demonstrated respectable results in this respect.

The majority of those surveyed have a professional bookkeeper and considered that their financial system corresponded to national or international standards. Not all of CSOs had undergone an audit, but the majority of respondents were ready to participate in one. 348 CSOs have a system of financial management but do not use this instrument as a strategic plan.

The weakest component of CSOs is the *fundraising strategy*, which implies a long-term fundraising plan, awareness of fundraising opportunities, and the availability of various funding sources. Only 221 organizations out of the 579 polled have developed a financial plan spanning at least for one year.

	South	East	Center	West	Average Index Score
OVERALL INDEX	0.57	0.54	0.54	0.54	0.6
Component 1.CSO practices strategic management	0.61	0.56	0.53	0.59	0.56
Component 2.CSO has an effective governance structure	0.86	0.82	0.85	0.86	0.85
Component 3.CSO leadership and management style is participatory	0.45	0.44	0.42	0.42	0.44
Component 4.CSO has a fundraising strategy	0.29	0.26	0.27	0.26	0.27
Component 5.CSO financial management systems meet accounting standards	0.65	0.60	0.59	0.56	0.62
Component 6.CSO has sufficient human and financial resources management procedures	0.58	0.52	0.58	0.51	0.56
Component 7. CSO legitimacy	0.58	0.57	0.58	0.58	0.58

Table 6.5

Regional Trends for the organizational Capacity of CSOs
Measured by the Organizational System Index

Conclusion

The average score on the organizational system index suggests that CSO capacity for organizational development is moderate and that generally CSOs do have some performance standards for organizational systems and as a whole should have state standards of management. You should admitted about the low level of CSO financial management systems meet accounting Standards. According to the research in 2009, 56% of CSOs don't have a financial management plan in written form and only 36% of CSOs have a financial management plan in written form. In 2009, the highest mark have component about effective governance structure. 80% CSOs elected governing bodies. According to the results, 94% of CSOs have a leadership organ, 87% have a written document that confirms the function of the governance structure. Most CSOs have a standard governance structure, election mechanism, and documents that distinctly regulate of their activity.

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.

Advocacy 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 on 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
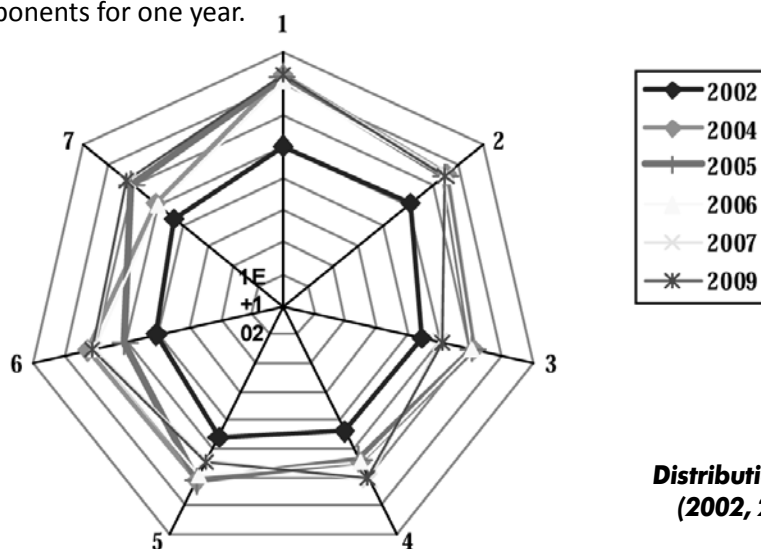
The results

The received data demonstrates that advocacy and lobbying are the most common activities of CSOs. Around 41% of organizations consider these activities to be one of three of the most important. This is an indication that CSOs are aware of their role as the representatives of their clients. The capacity index of the Ukrainian CSOs for advocacy and lobbying was 3.04 in 2009 (on a 5 point scale) in other words, the CSOs have an average capacity to advocate and lobby for important issues and to influence the decision making process. Table 7.1 provides information on the involvement of CSOs in advocacy and lobbying according to each component of the model.

Seven components have been identified that either promote or prevent the development of a CSO's capacity for advocacy and lobbying. The comparison of the total average index (in 2002 the index was 2.3) and the constituents of the index based on separate components demonstrate significant growth by Ukrainian CSOs in of the realm of advocacy and lobbying. Only three components: formulating and lobbying the position, conducting a viable policy position on the issue, and obtaining and/or allocating resources (especially time and money) for advocacy didn't receive a score of 3. In these areas Ukrainian CSOs have not yet reached an average performance level.

	Component	Score 2002	Score 2004	Score 2005	Score 2006	Score 2007	Score 2009
1	CSO collects information and researches the issue	2.51	3.63	3.6	3.54	3.64	3.63
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	CSO formulates a viable policy position on the issue	2.22	3.05	3.02	3.03	2.50	2.54
4	CSO communicate position/stand on the issue	2.2	2.73	2.69	2.72	3.04	2.99
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
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
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
	OVERALL INDEX	2.28	3.06	3.03	3.00	3.04	3.04

Table 7.1
Advocacy and Lobbing Index Components Score
2002/2004/2005/2006/2007/2009

This information is presented in Graph 7.1. The lines connect the average meaning of the index components for one year.

Graph 7.1.
Distribution of the 7 Index Components
(2002, 2004, 2005, 2006, 2007, 2009)

Conclusions. Around 71% of CSO always or in most cases collect and research issues that are very important to clients. Over half of all CSOs (56%) always and in most cases conduct a detailed research before formulating a sustainable socio-political viewpoint. 69% of the organizations always and in most cases identify the interests of all the interested parties while developing and identifying the socio-political positions. 60% of the CSOs always and in most cases research the corresponding government institutions and their role in solving these issues.

	West	East	Center	South	Average Index Score
OVERALL INDEX	3.04	2.90	2.98	3.23	3.63
Component 1. CSO collects information and researches the issue	3.50	3.59	3.60	3.87	3.26
Component 2. CSO systematically seeks input and response from its members and the public on the issue	3.24	3.18	3.17	3.40	2.54
Component 3. CSO formulates a viable policy position on the issue	2.60	2.27	2.52	2.67	2.99
Component 4. CSO communicate position/stand on the issue	2.88	2.78	2.97	3.34	2.72
Component 5. CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue	2.81	2.50	2.63	2.94	3.04
Component 6. CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue	3.08	2.94	2.99	3.11	3.13
Component 7. CSO takes follow up actions to influence policy and/or to maintain public interest	3.18	3.02	3.00	3.25	3.04

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

Conclusions. Ukrainian CSOs quite regularly collect information and research issues important to their clients. They also conduct additional events to influence the socio-political situation and attract public interest. At the same time, Ukrainian CSOs are weak at formulating a viable policy position on the issue and at systematically attracting the CSO's members and the public to review and renew their viewpoints according to changes in the environment. CSOs excel at doing those types of advocacy work that coincide with providing day-to-day services (e.g. organizing meetings and seminars, getting feedback from the community, monitoring the external environment). However, they are not yet regularly used to conducting more difficult advocacy activities (e.g. working with legislators, government employees, monitoring the formation and implementation of laws). CSOs initiate building coalitions and networks, but this does not mean that these coalitions are effective advocacy tools. CSOs still need to work on coordinating advocacy actions. They need to plan their activities, allot resources, constantly monitor, and adjust to changes in the external surroundings.

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?

Component	Index
By types of cooperation	0.55
By membership in a coalition or network	1.16
AVERAGE SCORE	0.71

Table 8.1.
The Coalition/Network Effectiveness Index

You should observe that the effectiveness Index of CSO participation in coalition and networks can have minimal meaning if the CSO doesn't cooperate fully and isn't a member of networks or a coalition.

Conclusions. The results of the research in 2009 showed that the most popular types of cooperation among CSOs polled was information exchange (89% of CSOs), meetings (79%), common activities (73%), and partnership projects (64%). 377 organizations declared they participated in coalitions, and most of them participated in at least two coalitions.

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?

Component	Index
Question 1. Our Board of Directors includes at least one former or current direct beneficiary of our program	0.78
Question 2. To what extent are beneficiaries of your organization involved in planning programs and projects for the organization?	0.06
Question 3. Does the CSO assess the needs of the project target group?	0.92
Question 4. Does the CSO keep a record of all the beneficiaries that received services from the organization?	0.55
Question 5. Does the CSO have a feedback mechanism in place for its services?	0.69
Question 6. Does the CSO normally conduct evaluations?	0.79
Question 7. Does the CSO usually use external evaluators?	0.22
AVERAGE SCORE	**0.67**

Table 9.1.
The Constituency Legitimacy Index

Conclusions. Result of measuring of constituency legitimacy showed that only one CSO does not include at least one former or current direct beneficiary of its program on its Board of Directors. The majority of organizations led the program and project marks (0.79) and have a feedback mechanism in place on their services (0.69). The level of clients involvement to program activity planning is rather low (0.06).
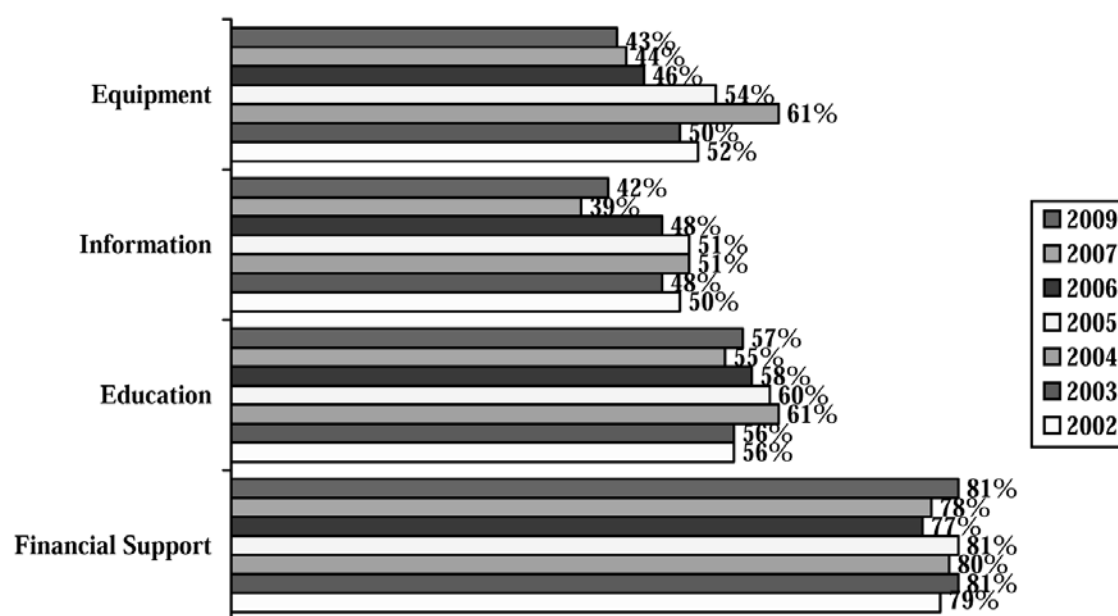
10. Problems and Needs Analysis of Ukrainian CSOs

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 cooperation 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.

CSOs' needs. Graph 10.1 illustrates the trends in CSO needs for the last eight years.

Graph 10.1
CSOs' Needs*

As in previous years, 81% of CSOs choose *Financial Support* as the core need for 2009. This index is high and has remained stable during the last eight years. Compared with results from 2007, 3% more CSOs designated Financial Support as a primary need (difference is statistically significant at 5% level). This can be caused by the general decrease in the number of donor organizations. Education emerged as the next most vital need, as specified by 57% of CSOs.

42% of CSOs pointed to the need for more information, this index increased at 3% compared to 2007 (difference is statistically significant at 5% level). However, the need for improved information has decreased overall by 7% since the first survey wave in 2002 (difference is statistically significant at 5% level).

The 2009 research demonstrated that the need for equipment has decreased compared to previous years. At 43%, the number of CSOs to specify this need was the lowest recorded percentage from the last eight years.

Internal Obstacles for CSOs. For the eighth consecutive year, insufficient funding remains the most serious problem facing Ukrainian CSOs. The need for funding exceeded all other internal needs by more than 17% in 2009. Slight changes in the percentages of CSOs, emphasizing the need for additional funding, difference is not statistically significant at 5% level.

* Question № 117

Graph 10.2
*Internal Obstacles for CSOs**

An analysis of increasing needs during 8 years shows grooving of problems with limit cooperation with businesses. There is a perhaps that the main reason of this absence of information about CSOs. Compare with 2007 in 2009 this index raised 5% (difference is statistically significant at 1% level).
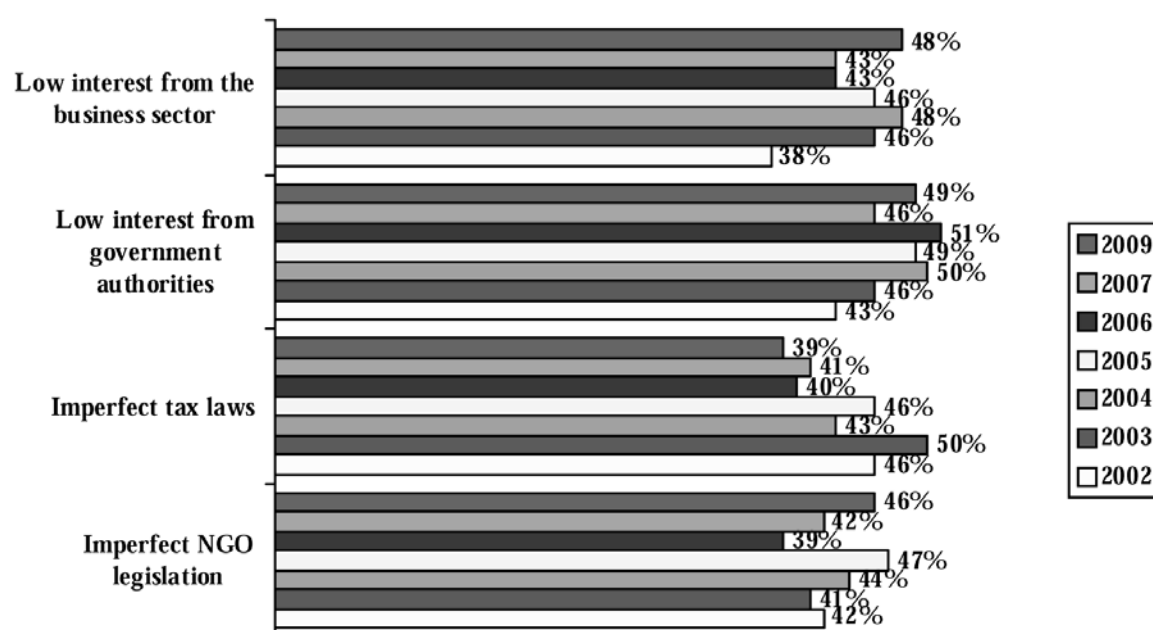
An analysis of data gathered during 2002-2009 shows that the need for equipment has most dramatically decreased over time. Compared to 2007, in 2009 the need for experienced staff also decreased by 7% (difference is statistically significant at 1% level). This could testify to growth in the number of qualified staff or an increasing popularity of public organizations among the population which leads individuals to consciously choose to work in a public organization.

External obstacles. The data, presented in Graph 10.2, indicated the main external obstacles which were defined during the 2002-2009 surveys. The main problem spheres are lack of interest on the part of authorities (49% of CSOs) and businesses (48% of CSOs), and poor NGO (46%) and tax legislation (39% of respondents).

The problem of *Low interest from government authorities* increased by 3% compared with 2007 (49% of CSOs in 2009 and 46% in 2007)[100]. But this index decreased by 2% compared with 2006 (51% of CSOs in 2006). The reason for low interest on the part of government authorities can be explained by decreasing levels of authoritative information about CSOs activities. Low interest from the business sector can be explained by the financial crisis and the low level of information about CSOs activities that the business sector can access.

Imperfect NGO legislation has reemerged as a dynamic problem facing NGOs. This can be partly explained by the decreasing number of CSOs that are dedicated to working on problems created by the Ukrainian legislative acts that regulate CSO activity.
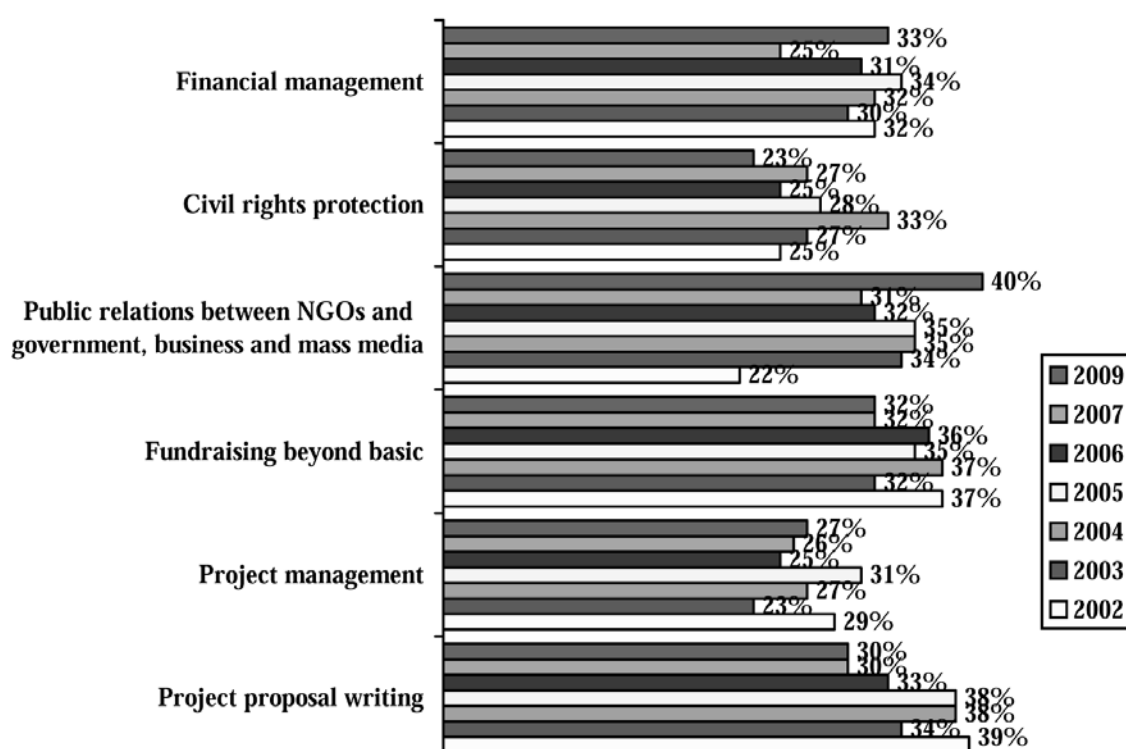
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* Question № 115
100 Difference is not statistically significant at 5% level.

Graph 10.3
External Obstacles for CSOs*

Need for training. As shown in Graph 10.4, 2009 data showed substantial growth in public relations training between NGOs and government, business and mass media training. Training in financial management practices was also popular.

Graph 10.4
Rating of Trainings*

As shown in Graph 10.4, 12% more CSOs in showed an interest in public relations training courses in 2003 as compared to 2002. Between 2003 and 2007, there were no significant changes for this indicator, though it did decrease slightly

* Question № 116

In 2009, interest in public relations training increased 9% (40% in 2009 and 31% of CSOs in 2007[101]). This is directly linked with the increasing interest on the part of Ukrainian CSOs to cooperate more with authorities and businesses, demonstrating the growing understanding of the benefits gained from mutual cooperation with external graphs.

Also, the interest in financial management training has increased (33% of CSOs in 2009 compared to 25% in 2007[102], 31% in 2006, 34% in 2005, 32% in 2004, 30% in 2003, and 32% in 2002). The interest expressed in this sphere demonstrates the desire of CSOs to improve their financial management systems and conform to national or international standards.

In 2009, interest in civil rights protection decreased (23% of CSOs in 2009 versus 27% in 2007[103]). This should come as no surprise since the population as a whole has been steadily gaining ground in basic legal knowledge of their rights.

The remaining training categories have remained stable for since 2006.

Conclusion. The problems facing CSOs in 2009 remain the same as those facing CSOs in 2007. However, problems pertaining to poor legislation governing the CSO sector remain pressing and may be augmented by low interest on the part of government authorities and business. The majority of CSOs continued to indicate a lack of financial assistance as a key concern. This indicator has remained stabled from 2002 to 2009.

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[101] Difference is statistically significant at 1% level.
[102] Difference is statistically significant at 1% level.
[103] Difference is statistically significant at 1% level.

Part IV.
**Conclusions on the Dynamic of
Ukrainian CSO Development: 2002 - 2009**

A comparative analysis of the results of the research on the state of CSO development in Ukraine from 2002-2009 allows certain conclusions to be drawn as to the dynamics of non-governmental organization development during this eight year period. No significant difference is observed between the majority of indicators for 2007 and 2009. In most cases, the situation has been stable for the past five years. Some sections of this publication give a more detailed description of the tendencies in each of the researched aspects of CSO development in Ukraine. This section presents conclusions about the changes that have taken place in the internal management systems, external relations, and program activities from 2002 to 2009.

Survey respondents

The increasing number of CSOs providing training and consultation services is of special interest. In 2003 this type of service was provided by only 41% of CSOs. In 2009[104] -47% of CSOs indicated that they provided training and consultation services. At the same time, a decreasing number of organizations are providing legal consultations. This trend can be explained by the increasing level of general legal education on the part of the population.

Internal management system

There have been no significant changes **in the stated aims for establishing a CSO** or in the practices for formulating missions. However, such reasons for establishing a CSO, such as *the ability to influence societal development*, have become less popular. In 2005 this option was chosen by 70% of respondents as opposed to 77% in 2003. In 2006 this indicator did not differ from 2003 data, in 2009-73%. Also, the number of CSOs which choose the "the self-realization of founder" has decreased. In 2007 this variant was chosen by 40% of CSOs, and in 2009 only 34% of respondents specified this option[105].

A statistical analysis of the percentage difference in 2002, 2003, 2005, 2006, and 2009 proves the existence of a negative trend in this Index (difference is statistically significant at 1% level). In 2009, 76% of CSOs had a written mission statement directing the work of the organization (in 2006-86%, 83% in 2005, 87% in 2004 and 89% in 2002 and 2003).

The level of strategic planning in CSOs has decreased over a four-year period. The number of organizations with a **written strategic plan** in 2002 75% of CSOs has also been gradually decreasing: to 61% in 2005, in 2006 this percentage increased to 68% in 2007 it decreased to 59%[106], and in 2009 there was no change.

Most CSO write a one-year plan while some do create plans for a three-year period. This has been the situation for the past eight years. The percentage of CSOs that wrote long-term plans (3 years or more) increased in 2009 to 32%.

Of the CSOs surveyed, 93% have a ***collective governing body*** (88% in 2006[107]). During the last eight years, the tendency has been that an increasing number of CSOs have adopted a collective governing body as their managerial structure.

Human resources in CSOs

During the past eight years the number of CSO staff has decreased. In 2002 64% of CSOs had staff while only 48% reported having staff in 2009[108].

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[104] Difference is statistically significant at 1% level.
[105] Difference is statistically significant at 1% level.
[106] Difference is statistically significant at 1% level.
[107] Difference is statistically significant at 5% level.
[108] Difference is statistically significant at 1% level.

Changes in **material resources** were observed over the 2002-2009 period, especially regarding CSOs who own their own office space. Compared with the data from 2002, the percentage of CSOs who have their own office space increased from 80% to 93%. Since 2002, the number of organizations with office furniture increased by 15% (from 59% to 74%). The number of computers, as well as telephones (at 20%), fax machines (at 14%), photocopiers (at 19%), and computers (at 29%) all increased. Access to electronic mail and the internet also increased. The increase in access to electronic mail and the internet is significant – from 47% in 2002 to 79% in 2009. In 2009, virtually all organizations can be contacted and consulted by phone and e-mail.

The number of internet resources available to, and supported by, Ukrainian CSOs increased. In 2002 only 12% of CSOs stated they had a website and identified its address while in 2009 the number increased to (33%). Difference is statistically significant at 1% level.

It is important to note that though the percentage of organizations receiving **funding** from governmental structures and business was relatively high (36% and 45% respectively), the quantity of funds was not great. In most cases such support was nominal and consisted of 15% or 18% of the annual budget of CSOs. In comparison to the 2002 data, there are no changes in the funding ratios relative to each source. The only exception was the contributions from international organizations. The increase in the percentage for grants is significant in statistical terms (from 49% in 2002 to 55% in 2008). In 2003, the category *grants* was divided into two subcategories: *grants from international organizations and grants from local organizations*, so that it is possible to compare not only the types of financial aid, but also the geographic characteristics of the funding sources. Such an approach enables significant differences in funding between international organization (41% in 2008) and local organization grants (making up 15% of CSO budgets in 2008) to be tracked.

There have been positive **changes in the level of CSO funding**. The percentage of CSOs with higher funding has increased, 38% in 2006 compared to 34% in 2009 (difference is statistically significant at 1% level.).

Comparatively with 2002, in 2008 the number of CSOs that have an annual budget of more than $50,000 has doubled (12% of CSOs in 2009 versus 6% in 2002[109]), and the number of CSOs that have an annual budget of $500 decreased to 15% in 2008 versus 26% in 2002[110].

The data proves that CSO leaders recognize the influence of **auditing** on improving financial planning and accountability within the organization. CSOs say that they are more open to such procedures, which demonstrates a change in leaders' attitudes. Though the percentage of CSOs that have undergone an audit stayed the same, the percentage of those who would like to undergo an audit almost doubled (from 26% in 2002 to 48% in 2009). In comparison with 2006, a significant percentage of NGOs have gained experience by passing through an audit (52% in 2009 versus 27% of CSOs in 2006

The majority of CSOs (79%) evaluate their own activities. This clearly demonstrates that CSOs are aware of the benefits and importance of evaluating their management systems. On the other hand, only 28% of organizations attract external experts to do evaluations, this percentage is smaller than in 2006 (31% of respondents[111]).

External relations

In general, it was observed that the frequency of contact between the Ukrainian CSOs and **government structures** increased during the 2002-2009 period. Since then, this indicator has

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[109] Difference is statistically significant at 1% level.
[110] Difference is statistically significant at 1% level.
[111] Difference is statistically significant at 1% level.

stabilized. Nowadays, most communication (65%) between CSOs and government structures is mutually initiated by both sides. In 2002 this percentage was significantly lower – 17%[112]. CSOs initiated such communication in one-third of all situations (32%) and government authorities almost never initiated contact (only in 1% of all situations).

The number of CSOs that did not have joint projects with government structures decreased from 43% in 2002 to 24% in 2009. The number of CSOs that conducted more than three, joint-government projects increased greatly. In 2002, this number was only 13% of all organizations surveyed. In 2009 it increased to 15% (difference is statistically significant at 5% level).

The level of cooperation between CSOs and the representatives of government structures in 2003 grew in comparison with the survey results in 2002. According to the data, the level of cooperation between CSOs and government authorities at the regional or local level is higher than at the national level. When talking about regional cooperation the number of respondent who believed that the level of cooperation at the regional and local level was average versus those who believed that the level of cooperation was low, was split (45% in 2009 and 40% in 2006 and 42% in 2009 and 47% in 2006 respectively).

The dynamics of the indicators from the past three years leads one to conclude that there is a pervasive *reluctance on the part of the national government to cooperate in 2009*. In 2009, similar to the previous year, 57% of respondents chose this option as the main reason for the lack of cooperation between CSOs and government; while 49% of respondents chose the same option in 2007 (difference is statistically significant at 1% level). An increase in the number of answers indicating *lack of understanding regarding the benefits of such cooperation on the part of government and lack of government awareness* can also be noted.

Relations **between CSOs** also did not change greatly over the last eight years. The percentage of CSOs that carry out partnership project has increased (from 54% to 64%), during 2003-2009 with a significant 1% changes. The number of CSOs that provide consultations (from 64% to 60%), conduct common meetings (from 82% to 78%), provide services (from 43% to 35%) and practice information exchange (from 76% to 73%) is increased. The majority of the respondents think that cooperation with other CSOs allows for *increased activity or program outreach* and improves the quality of service provision by the means of *involving additional expertise.*

The results of the 2002 – 2009 data comparison reveal meaningful changes in the answers of respondants concerning reasons for limited cooperation between CSOs. For example, in 2009, 42% of respondents chose *CSO leaders' ambitions and conflicts between them* as a reason for lack of inter-CSO cooperation, while in 2003 this option was chosen by 47%[113]; in 2009, 42% said that competition for funds and resources disrupted cooperation between CSOs while in 2002 this indicator was 29% (difference is statistically significant at 1% level). In 2002 the *lack of professionalism* of CSOs was a key deterrent to cooperation (31%), and in 2009 this indicator was 37%[114].

Changes in cooperation between CSOs with **business structures** did not appear to be significant. A growing number of CSOs view businesses not only as a source of financial assistance, but also as potential partners (20% in 2002 versus 32% in 2009[115]). The percentage of such CSOs has remained fairly stable for one-third of all interviewed organizations during the last eight years (16% in 2009).

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[112] Difference is statistically significant at 1% level.
[113] Difference is statistically significant at 5% level.
[114] Difference is statistically significant at 1% level.
[115] Difference is statistically significant at 1% level.

In spite of the fact that the most widespread type of CSO cooperation with donors is the provision of financial or technical assistance, some organizations cooperate with donors at a higher level: as a partner or implementing partner (10% in 2002 and 19% in 2009). In 2009, 17% of CSOs opperated as implementing partners versus only 10% in 2003. This demonstrates that CSOs are attempting to take a more active part in cooperating with donors and participate in donor policy development. As for the other options, from 2003 the percentage reflecting CSO/donor cooperation did not change significantly.

The 2009 survey also failed to reveal any major changes in the indicators that characterize cooperation **between CSOs and the public**. The number of CSO leaders that referred to daily meetings between CSO representatives and clients was about 55% in 2002, 49% in 2003 (difference is statistically significant at 5% level.), 53% in 2004 and 47% in 2005 and in 2006, and 40% in 2009.Within the mediums available to CSOs, the fluctuation of this index is not notable.

Mass media is the most popular means of spreading information about CSO activity (84% of respondents in 2009 and 80% in 2007, 78% in 2006 and 88% in 2005). Aside from media outlets, CSOs also spread information about their activities through flyers and brochures (used by 55% of the organizations in 2009, 51% in 2007). It is worth mentioning that there were no great changes observed in any of the options compared to the previous year. If we analyze trends during the past five years, we can conclude that such means of spreading information about the organization, through presentations, websites, the press, brochures, and flyers, are becoming more and more popular.

The majority of CSOs, 51%, work with **mass media** outlets on a regular basis while 48% do so only periodically. Within the mediums available to CSOs for spreading information, they most frequently revert to newspapers to distribute information about themselves - 90%. This index is higher than in 2007-88% (difference is statistically significant at 5%). Television is the second most popular means of spreading information about CSO activity (57%). Looking at the period from 2004 to 2007, it is observed that the popularity of radio has decreased.

Program activity
The majority (77%) of membership organizations **report** to their members. More than half of all CSOs (66%) report to government structures and donors (64%). Clients receive reports from 19% of the organizations. This indicator is not stable based on an observation of data across 2002-2006. The number of the CSOs that reported to their clients grew from 19% in 2002 to 27% in 2003 and in 2004 again dropped to 17%. In 2006 the number of CSOs that report to their clients rose to 23%, staying constant through 2007, but dropped to 19%[116] in 2009.

The opinion of respondents regarding the need to be **open** regarding program and financial activities changed little in 2009. The majority of CSOs (97%) admit that the community should be aware of CSO program activity. In 2007 this percentage was 96% of CSOs (difference is statistically significant at 1% level). The number of respondents who think that transparency will benefit the financial activity of the organization remains the same (73% versus 68% in 2007[117]).

The number of the third sector representatives **aware of the current legislation** is constantly changing: 53% in 2002, a gradual increase to 64% in 2004 and then a drop to 58% in 2005 and 2006, and returning to 62% in 2009 (difference is statistically significant at 5% level.).

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[116] Difference is statistically significant at 1% level.
[117] Difference is statistically significant at 1% level.

The most popular source of information about **the changes to current legislation and regulatory acts** among CSOs are meetings and seminars. In comparison with 2007, the number of CSOs that used mailing lists as a source of information about changes to legislation increased from 42% in 2007 to 44% (difference is statistically significant at 1% level). At the same time, the popularity of informational bulletins for CSOs decreased somewhat.

While the majority described participation in coalitions or work groups as useful – citing that it allowed them to plan common activities with other organizations, to promote the organization, and to meet with leaders of other CSOs, 8% of CSO noted that the participation in coalitions or works groups isn't useful for them. This percentage decreased from 2006 – 14% (difference is statistically significant at 1% level).

The tendency revealed since 2002 is an increase in the percentage of CSO leaders who are **coalition** members. In 2002 only 35% of CSO leaders reported that they were members of coalitions or working groups. In 2004 this indicator was 41%, and grew to 63% in 2005, in 2006 quantity was recorded as 59% and in 2009 65% (difference is statistically significant at 1% level).

The Organizational Capacity Index of Ukrainian CSOs
From 2002 to 2007 the organization capacity index was measured with the help of a 5-point scale and with the help of six components. In 2009 the organizational capacity index was estimated on a scale from 0 to 1 with the help of seven components and equaled 0.6.

The Advocacy and Lobbying Index
The capacity of Ukrainian CSOs to engage in advocacy activities equals 3.04 points in 2009 (according to the five-point scale).

The Coalition/Network Effectiveness Index
This index was first researched by CCC Creative Center in 2009 and equaled 0.71.

The Constituency Legitimacy Index
This index was first researched by CCC Creative Center in 2009 and equaled 0.67.

Appendixes

ID Number: _____

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

Your organization is invited to in the 2009 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 2002-2007, 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? _____ _____

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	❑	Human Rights	❑
Business Development	❑	Mass media	❑
Chernobyl	❑	Politics, state, economy	❑

Children and Youth	☐	Professional Association	☐
Civic Education	☐	Religious Association	☐
Consumer Rights	☐	Women	☐
Culture and Art	☐	Solving social issues	☐
Ecology and Environmental Protection	☐	HIV/AIDS	☐
Health	☐	Charity Development	☐
CSO development	☐		
Agricultural Development	☐	Other *(please specify):* Don't know	☐ ☐
Business Development	☐		

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

Advocacy and lobbying	☐	Educational activities	☐
Research and analysis	☐	Information dissemination	☐
Grants administration	☐	Charity	☐
Training and consultation	☐	Social service delivery	☐
Rehabilitation	☐	Legal assistance	☐
Developing policy recommendations	☐	Other *(please specify)* _____	☐

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

Children	☐		
		Youth	☐
Women	☐	Students	☐
Orphans	☐	Artists	☐
Consumers	☐	Professional Groups	☐
Government representatives	☐	Business people	☐
Pensioners	☐	Farmers	☐
Elderly People	☐	Scientists	☐
Disabled	☐	Mass Media	☐
Poor and needy people	☐	NGOs	☐
Refugees and migrants	☐	Population as a whole	☐
Organization members	☐	Other *(please specify)* _____	☐

ORGANIZATIONAL DEVELOPMENT

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

☐   *Desire to help others*   ☐   Potential to influence the development of society
☐   *Self-realization of founders*   ☐   Certain circumstances
☐   *To support organization members*   ☐   Other (please specify) _____
☐   *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. 18)*   ☐   Don't know

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
- ❏ Managers
- ❏ Head of governing body
- ❏ President
- ❏ Governing body
- ❏ Members
- ❏ Clients
- ❏ Staff
- ❏ 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
- ❏ Managers
- ❏ Director
- ❏ President
- ❏ Governing body
- ❏ Members
- ❏ Clients
- ❏ Staff
- ❏ 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. 28a)
- ❏ Don't know

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

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

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. How often does the governing body meet?

- ❏ More than 4 times a year
- ❏ Bi-annually
- ❏ Annually
- ❏ Quarterly
- ❏ Never / Does not meet at all
- ❏ Don't know

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

- ❏ Yes
- ❏ No
- ❏ Don't know

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

- ❏ Yes
- ❏ No
- ❏ Don't know

27. Does the governing body provide input into the strategic plans, goals, and/or activities of the NGO?
❏   Yes   ❏   No   ❏   Don't know

27a. Is at least one member of your target audience represented in your managing body?

❏   Yes   ❏   No   ❏   Don't know

28a. Does your NGO have any paid staff?
❏   Yes   ❏   No (Skip to q. 30a)

28b. How many full-time paid staff does your NGO have?
- ❏ Steadily employed   _____
- ❏ By contract   _____
- ❏ Combination   _____
- ❏ Hourly   _____
- ❏ Task dependant   _____

28c. What are the salary limitations for staff (in UAH)?
From (minimum) _____ to (maximum) _____

29. Does the NGO have written job descriptions for employees?
❏   Yes   ❏   No   ❏   Don't know   ❏   Does not apply

30. Does your organization have written administrative policies and procedures?
❏   Yes   ❏   No (Skip to q. 32)   ❏   Don't know

31a. Who is expected to follow administrative policies and procedures? *From the following list please identify ALL that apply.*

❏ Executive Director	❏ Staff	
❏ Governing body	❏ Managers	
❏ Members	❏ Other	

31b. 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
- ❏ 11-30 members
- ❏ 31-50 members

- ❏ 51-70 members
- ❏ 71-100 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*
- ❏ *Information in the mass media*
- ❏ *Conduct special outreach campaign*

- ❏ *Through staff*
- ❏ *Through personal contacts*
- ❏ *Don't know*

- ❏ *Other (please specify)*
  _____

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
- ❏ Housewives
- ❏ Elderly
- ❏ Unemployed

- ❏ Program Beneficiaries
- ❏ Other *(please specify)*_____
  _____

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. If the NGO has a written financial plan, what is the time period covered by this plan?
- ❏ *Less than one year*
- ❏ *One year*

- ❏ *Between one and two years*
- ❏ *2 years*

- ❏ *Between two and three years*
- ❏ *Three and more*

48. What were the sources of the NGO's funding in the 2008 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*_____

49. 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 2008 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	

50. What was your funding base during the 2008 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	

51a. Did the NGO receive any matching funds from government sources during the 2008 calendar year?

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

51b. If yes, what was the value of these contributions for the 2008-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 2008 calendar year?

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

52b. If yes, what was the value of these contributions for the 2008-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 2008 calendar year?

☐ Yes   ☐ No *(Skip to q. 54a)*

53b. If yes, what was the value of these contributions for the 2008-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 2008 calendar year?
☐ Yes   ☐ No *(Skip to q. 55)*   ☐ Don't know

54b. If yes, what was the value of these contributions in 2008-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. How many people living in your region have given any financial or non-financial contribution or assistance to your NGO?

❏ *0* ❏ *6-10* ❏ *21-50* ❏ *More than 100*
❏ *1-5* ❏ *11-20* ❏ *51-100* ❏ *Don't know*

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 2007 through 2008?_____

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

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

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

❏ Grants ❏ Individual donations
❏ Membership fees ❏ Own economic activity
❏ Government ❏ Other *(please specify)*
❏ 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 (please specify)_____	
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*

63a. Does your organization conduct inner financial audits?

❏ 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 has not undergone an audit and is not prepared to do so.*
❏ *No, NGO hasn't undergone an audit but is 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*

66a. Does your organization prepare an annual budget?

❏   *Yes*   ❏   *No*   ❏   *Don't know*

67. 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

68. How often do NGO staff members or volunteers contact government authorities formally or informally on behalf of the NGO?

❏   *Yearly*   ❏   *Quarterly*   ❏   *Monthly*   ❏   *Weekly*
❏   *Daily*   ❏   *Irregularly*   ❏   *Never*   ❏   *Don't know*

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

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

70. On how many projects would you say the NGO has worked in partnership with government agencies over the past year?

❏ *0*   ❏ *1-2*   ❏ *3-5*   ❏ More then 5   ❏ *Don't know*

71. In your opinion, which of the following statements best describes the level of cooperation between NGOs and government at the national level?

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

72. What are the reasons for limited cooperation between NGOs and government at the <u>national</u> level? *Please select ALL that apply.*

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

73. 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   ❏ There is some   ❏   There is limited   ❏   There is no
   cooperation   cooperation   cooperation   cooperation

74. What are the reasons for limited cooperation between NGOs and government at the regional or local level? *Please select ALL that apply.*

❏   Reluctance of NGOs to cooperate   ❏   No understanding of the benefit of such
❏   Reluctance of the national government to   cooperation on the government side
     cooperate   ❏   No understanding of the benefit of such
❏   Lack of professionalism on the part of NGOs   cooperation on the NGO side
❏   Lack of information about NGO activities ❏   Other, *please specify*

                                              _____

- ## Cooperation with Other NGOs

75. *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				

76. Do you cooperate with other NGOs?

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

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

❑ Information exchange	❑ Partnership projects
❑ Joint activities	❑ Service provision
❑ Meetings	❑ Other *(please specify)*
❑ Consultations	

78. *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) _____

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

❑ Yes ❑ No *(Skip to q. 81)* ❑ Don't know

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

❑ Competition for funds and resources
❑ NGOs leaders' ambitions creates conflicts
❑ Lack of professionalism of NGOs
❑ Other_____

❑ There is no need for NGOs to cooperate
❑ Past difficulties with other NGOs
❑ Lack of information about activities or mission of NGOs

81. Is your NGO currently a member of a coalition or working group?
❑ Yes ❑ No ❑ Don't know

82. How would you characterize your NGO's previous experiences in participating in a coalition or working group? *Please check ALL that apply.*
❑ Participation was not beneficial
❑ Participation promoted the undertaking of joint activities with other NGOs
❑ Participation increased NGO's visibility
❑ Participation increased NGO's outreach to constituents
❑ Participation increased opportunity to meet other NGO leaders
❑ Other _____

- ## Cooperation with Business

83. How many business institutions do you cooperate with?

❑ 0 (Skip to q. 85) ❑ 1-2 ❑ 3-5 ❑ More than 5 ❑ Don't know

84. What are the reasons for your NGO's cooperation with businesses? *Please check ALL that apply.*
❑ To attract financial contributions ❑ We can use their experience to enhance our

❑ To attract non-financial contributions programs and/or services
❑ Other *(please specify)* ❑ Partnership in certain activities

85. *Do you think in general there is limited cooperation between NGOs and business?*

❑ *Yes* ❑ *No (Skip to q. 87)* ❑ *Don't know*

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

❑ Reluctance of NGOs to cooperate ❑ Past difficulties with businesses prevents
❑ Reluctance on the part of businesses to cooperation
  cooperate ❑ Businesses are generally unaware of NGO
❑ Lack of professionalism on the part of NGOs activities
❑ There is no need for NGOs to cooperate with ❑ Other *(please specify)*
  businesses _____

- ## NGO-Donor Relations

87. Do you have any type of relationship with donors?
❑ Yes ❑ *No (Skip to q. 89)* ❑ Don't know

88. What type of relationship do you have with your donors? *From the following list please check ALL that apply.*
❑ Sub-contractor ❑ Partner
❑ Grantee ❑ Other *(please specify)*_____
❑ Implementing partner

- ## Cooperation with the Community
89. How often do NGO representatives meet with their constituents?
❑ *Yearly* ❑ *Quarterly* ❑ *Monthly* ❑ *Weekly*
❑ *Daily* ❑ *Irregularly* ❑ *Never* ❑ *Don't know*

90. How does the organization usually disseminate information about itself and its activities? Please identify from the list ALL that apply.
❑ Through press releases to the mass media ❑ Through websites of other NGOs
❑ By publishing newsletters ❑ Through presentations
❑ Distributing brochures and flyers ❑ Through annual reports
❑ Through our organization's website ❑ Other *(please specify)*_____

91. Which of the following statements best describes the community's awareness or knowledge of your NGO?
❑ The community knows the NGO exists ❑ The community supports the NGO by
❑ The community knows or is aware of the NGO's participating in events
  activities ❑ Don't know

- ## Cooperation with Mass Media
92. In your opinion, how frequently does the NGO cooperate with mass media?
❑ *Regularly* ❑ *Episodically* ❑ *Never* ❑ *Don't know*

93. From the following media sources, which ones have disseminated information about your activities in the past year?
❑ Newspapers ❑ Television
❑ Magazines ❑ None
❑ Radio ❑ Other *(please specify)*_____

PROGRAM ACTIVITY

- ## Program Development
93a. In which media sources has information about your NGO activity been published during the past year?

❑ *Yes* ❑ *No* ❑ *Don't know* ❑ *The object of the theme is absent*

94. 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)_____						

95a. Does the NGO assess the needs of project target groups?
❏   Yes   ❏   No   ❏   Don't know   ❏   Do not apply

95aa. 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 _____

95ab. On average, how many direct clients does your organization serve?
- Weekly _____   ♦ Yearly _____
- Monthly _____   ♦ Other _____

95bb. Does your organization register the clients to whom you provide services?

❏   Yes   ❏   No   ❏   Don't know   ❏   Do not apply

95ba. Does your organization have a feedback mechanism in place for its services?
❏   Yes   ❏   No   ❏   Don't know   ❏   Do not apply

95b. How many projects did the NGO implement in the last year?
0   ❏   4-5   ❏   Don't know
❏   1-3   ❏   More than 5

95c. Does the NGO normally conduct evaluations? *(for example, evaluation of projects, organizational development, or others)*
❏   Yes   ❏   No   (Skip to q. 98)   ❏   Don't know

96. If yes, what prompted the NGO to conduct the last evaluation? *Please indicate ALL that apply from the following list.*
❏   Donor requirement   ❏   Government requirement   ❏   Other_____
❏   Client's request   ❏   Internal management purposes   ❏   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. From the following list, to whom do you normally send an annual report?

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

101. Have you or your executive director received training on developing professional standards in the last year?

❏ Yes ❏ No ❏ Don't know ❏ Do not apply

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

❏ Yes ❏ No ❏ Don't know

103. Are you a member of a professional association?

❏ Yes (how many?____) ❏ No ❏ Don't know

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

❏ Yes ❏ No ❏ Don't Know

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

❏ Very informed ❏ Somewhat informed ❏ Not informed

106. 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
❏ Tax law
❏ Lack of knowledge of laws and regulations among the NGO community
❏ Lack of experience among government authorities in passing laws and implementing regulations

❏ Passiveness of NGOs in ensuring that laws and regulations are enforced properly
❏ There are no obstacles
❏ Other_____
❏ Don't know

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

❏ NGO newsletters
❏ Internet
❏ Mailing lists

❏ Meetings / Workshops
❏ Conferences
❏ Other (please specify)_____

ADVOCACY INDEX

108a. Does the NGO collect information and research issues of vital concern to its constituent groups?

❏ Always ❏ Most of the Time ❏ Sometimes ❏ Rarely ❏ Never ❏ Don't know

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?

❏ Always ❏ Most of the Time ❏ Sometimes ❏ Rarely ❏ Never ❏ Don't know

108c. Does the NGO identify the interests of stakeholders on issues of concern to constituents?

❏ Always ❏ Most of the Time ❏ Sometimes ❏ Rarely ❏ Never ❏ Don't know

108d. Does the NGO conduct detailed analysis for establishing a policy position for issues of concern to constituents?

❏ Always ❏ Most of the Time ❏ Sometimes ❏ Rarely ❏ Never ❏ Don't know

109a. *Do NGO members meet to discuss information collected about issues of concern to constituents?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

109b. *Does the NGO solicit pubic input via public meetings, focus groups, surveys, call-in programs, or other such methods?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

109c. *How often does the NGO target a number of media outlets for one of its positions?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

109d. *Does your NGO changes its strategy as a response to input received from its constituents, open membership, or the public?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

110a. Does your NGO have a practice of writing down its policy goals and objectives?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

110b. Does the NGO differentiate between various audiences on specific issues of concern and customize its policy goals and objectives for the different groups?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

110c. Would you say that the NGO utilizes data collected from different sources in order to support its positions, goals, and objectives?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

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?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

111b. *Does the NGO allocate and expend internal resources, such as time or money, for advocacy efforts?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

111c. Does the NGO use and manage volunteers for its advocacy efforts?

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

111d. *Does the NGO try to collect funding from outside sources such as donors, businesses, local organizations, or others for its advocacy efforts?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

112a. **Does the NGO usually seek the involvement of other groups and individuals with similar interests in promoting issues of concern to constituents?**
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

112b. How often does the NGO become a part of a coalition or network through formal or informal means?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

112c. Do you form a coalition, network, or joint working group to promote issues of concern and interest to constituents?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

113a. How often does the NGO prepare a communication plan?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

113b. *Does the NGO work with the media such as newspapers, radio, or television as a means to inform the public about its activities?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

113c. Does the NGO hold meetings, seminars or other events to inform the general public about its activities or position?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

113d. Does the NGO usually undertake follow-up activities to solicit further input on positions of interest to constituents or gauge public response?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

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?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

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?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

114b. Does the NGO actively lobby for its policy position or interests of constituents by testifying in hearings, conducting visits to government officials, etc.?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

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?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

114d. Does the NGO mobilize the public around decisions undertaken by local or national government bodies on issues of concern to constituents?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

114e. *Does the NGO allocate and/or spend resources on policy monitoring activities?*

❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

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?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

114g. Does the NGO revise its approach for promoting a policy issue, goal or objective should actions prove unsuccessful in achieving desired outcomes?
❑ *Always*   ❑ *Most of the Time*   ❑ *Sometimes*   ❑ *Rarely*   ❑ *Never*   ❑ *Don't know*

EXISTING NEEDS AND ASSISTANCE NEEDED

115. 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* _____

116. 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* _____

117. 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.*

- ❑ Financial support
- ❑ Equipment
- ❑ Facilities
- ❑ Information
- ❑ Education

- ❑ Cooperation with government
- ❑ Cooperation with other NGOs
- ❑ Opportunity to share experiences with other NGOs
- ❑ Internet access
- ❑ Other *(please specify)* _____

118. The following is a list of potential areas of support for your NGO. *Please indicate from the following list, ALL areas of support your NGO would be interested in.*

- ❑ Information about NGOs
- ❑ Access to a database of NGOs in Ukraine
- ❑ Information about donor programs

- ❑ Information about partner organizations abroad
- ❑ Consultations
- ❑ Program/project evaluations on your NGO

- ❑ Organization development evaluation
- ❑ Publications

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

- ❑ Public Relations between NGOs and government, business and mass media
- ❑ Principles of NGO Project Proposal Writing and Project Management
- ❑ NGO Management
- ❑ Social Enterprise Development
- ❑ Training of Trainers – TOT
- ❑ Strategic Planning
- ❑ Financial Management
- ❑ Working with Volunteers - Sustainability
- ❑ Conflict Resolution
- ❑ Work with Personnel
- ❑ Advocacy
- ❑ Lobbying and Coalition Building
- ❑ Strategies of Working with the Mass Media
- ❑ Effective Communication, Presentation, Negotiation
- ❑ Report Writing
- ❑ Human Resources Management
- ❑ Art of Sales
- ❑ Sales Management
- ❑ Social Marketing
- ❑ Time Management
- ❑ Needs Assessment
- ❑ Team Building
- ❑ Project Monitoring
- ❑ Project Evaluation
- ❑

- ❑ Project Monitoring and Evaluation
- ❑ Models of Effective Governance
- ❑ NGO Governance: From Theory to Practice
- ❑ Governing body of Directors: For What and How
- ❑ Mission, Vision, Structure, Leadership
- ❑ PR Techniques during Election Campaign (Level I and Level II)
- ❑ Fundraising: Beyond the Basics
- ❑ Introduction to the Election Campaign
- ❑ Cooperation of NGOs and Mass Media During an Election Campaign
- ❑ Civil Rights Protection
- ❑ Voter's Education
- ❑ Voter's Mobilization
- ❑ Peculiarities in Working with Socially Unprotected Groups of Society
- ❑ Employment Principles
- ❑ Organization of Work with Families with a Disabled Child
- ❑ Psychological and Social Rehabilitation of Children and Youth with Special Needs
- ❑ Practical Law
- ❑ Children's Rights
- ❑ Human Rights
- ❑ Participatory Evaluation
- ❑ Other *(please specify)*

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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

Our clients:

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

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