Civil Society Organizations in Ukraine: The State and Dynamics

2002-2010

This publication presents the results of the annual survey of Ukrainian civil society organizations (CSOs) conducted in May 2010. The major goal of the survey was to study the capacity of Ukrainian CSOs for sustainable development during 2002-2010. Also, the publication presents the dynamics of CSO activity during last eight years (2002-2010).

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 May 2010, CCC Creative Center conducted an annual survey 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 2010 was to define the level of Ukrainian CSO development according to the main principles of sustainable development. The Ukrainian CSO sector was the primary object of the research. The research subject was the development of CSO sector of Ukraine.

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

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

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

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

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

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

The fourth part of the report presents conclusions with regards to changes that have been observed in CSOs from 2002 to 2010.

The appendix contains the questionnaire used for researching CSOs development in 2010, definitions and bibliography.

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

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

> Civil society plays different roles at different stages of the democratic process such as democratic transformations and democratic consolidation. At the stage of democratic transformations, the role of civil society is important for mobilisation of pressure for political changes. The key role of civil society in the process of democratic consolidation is to prevent abuse of power by the state, avoid concentration of power in the hands of one person, and encourage wider citizens' involvement and critical attitude to the government's activities. According to Diamond, civil society is more important for consolidation and respect for democracy than for its initiation (1994).

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 2010 the majority of respondents (61%) had taken part in one or more of the previous research projects carried out between 2002 and 2010.

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 (35%) had registered their status from 2000 to 2004. This can be explained by the favourable 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 principal sectors in which they work (44%), 27% cover the issues of *civic education*, 27% of CSOs work in the sphere of *human rights protection* and 25% deal with *solving social issues.*

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[1] For the purposes 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 organizations (Law of Ukraine "On Associations of Citizens") and charity funds (Law of Ukraine "On Charity and Charitable Organizations").

The main sectors of CSO activities and their description. The majority of CSOs working in *the children and youth* sector as well as in the civic *education* sector focus on t*raining and consultative support*, *educational activities* as well as *information dissemination*.

CSO working in the *human rights* sector usually protect the interests and lobby them, organize trainings and consultations, and provide legal assistance.

Activities CSOs engage in: The most common activity for CSOs is *training and consultative support* (37%)*, advocacy and lobbying* (37%)*, information dissemination* (36%)*, and educational activities* (32%)*.

Clients of CSOs: The most frequently cited client groups for CSOs are *youth* (46%), *the population as a whole* (26%), *organization members* (24%)*, children* (21%) *and students* (17%).

Existence of CSO websites: In 2010, 33% of respondents stated that they had their own websites.

2010 Survey Results

Since 2002 the organizational development of Ukrainian CSOs has been evaluated according to a model designed by INTRAC (The International NGO Training and Research Centre - UK) . 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, and it remained the same in 2010. The model consists of the following components.

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

The internal capacity is characterized by such features as availability of the mission and clearly defined activity areas, legitimacy, responsibility to the founders, the present of respective management structures in the organization, organizational culture, human and financial resources, and leadership.

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* (74%) and *willingness to help others* (66%). *Self-realization* on the part of the founders was chosen by 33% of respondents, whereas a *possibility to receive financing* was indicated only by 5% of the surveyed CSOs. 31% respondents mentioned *assistance to members of the organization* as the main purpose of establishing the organization. A total of 75% of CSOs have written mission statements that guide their activities.

Strategic planning

55% of civil society organizations have a written strategic plan. 70% of them have updated that plan during the last two years. 31% of the surveyed CSOs have a strategic plan for three or more years, 28% of respondents – for one year, and 20% of CSOs – for two years. In most cases, the CSO members are aware of the organization's strategic objectives (76%).

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 (73%) have a Board, one third of the surveyed CSOs (25%) — different types of councils, (Advisory Council, Supervisory Council, Board of Directors, Scientific Council, Organizational Council etc.). Participants who responded that their organization used an other

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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.

form of leadership body most frequently cited councils of different types, a meeting of members, or a presidium. 90% of CSOs have a written document that specifies the duties and responsibilities of that governing body.

Human resources in an organization

41% of reviewed CSOs have permanent staff. On average, a CSO has 3 permanent staff members. 32% of CSOs have written job descriptions. 48% of CSOs have written administrative policies and procedures, which were revised during the last year. Two thirds of organizations (66%) encourage professional development by contributing to the costs associated with activities such as attending conferences, workshops or education and training courses.

For the last nine years, the level of volunteer involvement in CSO activities has been static. 75% respondents in 2010 used volunteers' work, 76% in 2009, 2007 and 2006, 77% in 2005, 73% in 2004 and 78% in 2002[3]. The majority of CSOs have, on average, 28 volunteers. A typical volunteer contributes roughly six hours a week to the organization. In 71% of organizations surveyed, volunteers are usually students.

Membership in CSOs

79% of reviewed CSOs are membership organizations. Among them, 27% have between 11 and 30 members and 25% possess more than 100 members. The percentage of CSOs whose number of members increased compared to the previous year was 48%. New members were principally gained through the new own member's initiative (30%) and through the personal contacts of organization members (33%).

Material resources

93% of the interviewed organizations have offices (owned, given free of charge or rented), and 12% out of them have their own offices. 82% of CSOs have computers and 77% of CSOs have e-mail/Internet access. As of 2010, the majority of active CSOs could be reached by phone (76%), e-mail/internet (77%), and almost all could be reached via postal services.

Only 34% of CSOs have a written fundraising plan. An availability of the organization's written financial plan was mentioned by 31% respondents, 69% out of which have an organizations' financial plan for one year. In 2010, 32% of respondents mentioned that compared to 2009 they received new financing resources.

During 2009 the widest source of funding for Ukrainian CSOs came through international donor support (53%), citizens' charitable donations (41%) and business charitable donations (40%). Only 22% of CSOs receive state funds.

Management system of an organization

In most Ukrainian CSOs, the executive director and managing body are always responsible for decision-making (86% and 71% respectively of CSOs questioned). The involvement of organization members (10% of CSOs) and staff (15% of CSOs) in this process is quite rare. 84% of CSOs have a formal (printed or electronic) incoming and outgoing document registration system.

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[3] The difference is statistically significant at 5% level.

External relationships or the Capacity of CSOs "to relate"

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

Cooperation with government institutions

In total, 93% of CSOs cooperate with governmental agencies. 14% of CSOs contact governmental institutions on a daily basis while 34% of CSOs have weekly, 24% monthly and 9% quarterly contact with government bodies. Few CSOs contact governmental agencies on a *quarterly or yearly* basis or have *irregular* contact.

Cooperation between CSOs and governmental agencies is principally initiated by both parties according to 62% of respondents. Nearly twice less frequent they mention the desire to cooperate with the state only on the part of civic organizations (30% of CSOs), and the CSO representatives evaluate the state's desire to initiate cooperation rather low (3% respondents). Although some type of cooperation often occurs, the level of such cooperation is still not very high. During 2010, 26% of CSOs did not have any joint projects, 17% have worked in partnership with the government on 3 projects. 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 or local rather than at the national level.

Cooperation with other CSOs

Among the participants of the survey, the majority of respondents (90%) mentioned that their organization cooperated with other CSOs. 25% of CSOs reported that they are particularly familiar with the activities of CSOs that work on the same or similar issues at the international level. At a local and regional level, the familiarity of CSOs with the activities of other CSOs increases. Thus, over a half of the surveyed CSOs (79%) are particularly familiar with similar organizations at the local level. The leading manner of cooperation is information exchange, reported by 85% of CSOs, meetings (73%) and joint activities (72%). The provision of consultations, services, carrying out joint activities, and the implementation of partner projects are quite popular among Ukrainian CSOs. 34% of respondents cooperate with other organizations thorough provision of services to the latter.

The 2010 data suggests that cooperation among CSOs gives them an *opportunity to involve additional expertise* (67%), *enlarge the scope of their activities and improve program efficiency* (65%). 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, leader ambitions creating conflicts between organizations, and competition for resources.

Cooperation with business

About a third of CSOs (34%) do not cooperate with the business sector at all. 26% of CSOs cooperate with 1 to 2 business structures, 20% with 3 to 5 businesses, and 18% with more than 5 business institutions. A significant reason for cooperation with business for nearly a half of respondents is provision of financial or in-kind assistance whereas partnership was mentioned by only a third of organizations (33% of CSOs), and a possibility to receive new experiences – only by 16% of CSOs. Research data from the past nine years demonstrate that 82% of CSOs believe that cooperation between CSOs and businesses is limited.

According to respondents, the most influential barriers preventing CSO cooperation with businesses are *the unwillingness of business structures to cooperate, the businesses' lack of knowledge of CSOs activities*, 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

66% of surveyed 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* (16% of CSOs) or *implementing partner* (9% of CSOs). These 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 clients on a daily basis. The most popular way for disseminating information about CSO activities is through press releases and brochures/flyers (85% and 48% of CSOs respectively). 46% respondents disseminate information about CSOs through presentations, 40% of surveyed CSOs disseminate information through the web-page of other CSOs, and 38% - through their own web-sites.

Cooperation with mass-media

53% of CSOs cooperate regularly with mass-media and another 45% of CSOs cooperate sporadically. Thus, in total, 98% 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 depending on the mass media outlet. During 2010, most CSOs disseminated information about their activities through newspapers – 89%. The next popular mass media outlet is television (58%) and radio that are used by 46% organizations to disseminate information about themselves.

Programming Activity or the Capacity of a CSO "to perform"

Programming activities are characterized by provision of services and approaches to activities planning, evaluation of activities and reporting, partnership and participation in coalitions, awareness of legislative issues, availability of ethical norms and attitude to transparency in the organization's activities.

Service delivery

As it was mentioned above, the major activities of CSOs include provision of trainings and consultations, advocacy and lobbying, information dissemination, educational activities. In 2010 51% of CSOs implemented from 1 to 3 projects. The most active organizations (23% of respondents) implement more than 5 projects per year.

Planning program activities

In the majority of organizations, the executive director takes responsibility for planning programming activities (*always or almost always* in 86% of CSOs). The managing body is also involved in this process in most cases (96% 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 program activity

78% of CSOs normally conduct evaluations of their programming activities and 23% use external evaluators for this purpose. Among the reasons that prompted evaluations, *internal management purposes* (78% of CSOs) took the lead. Such reason as *donor requirement* was mentioned by nearly one second of organizations (47%), while *government requirement and client's requests* lead to evaluation of programming activities of the organization – only in 5% and 8% of organizations respectively.

Reporting

50% of CSOs published an annual report in 2010. 58% send it to government organizations, 55% - to members of organization, 51% - to donors, and only 16% send their report to the organizations' clients. 68% of CSOs have an accountant, 62% of organizations believe that their accounting system corresponds to national and/or international standards. 61% of CSOs have reported that their organization has a system of financial management in place for planning, implementation, and reporting. 26% of CSOs have undergone an external audit, and half (50% of respondents) have not undergone an audit yet, but are prepared to do so. 13% of CSOs claim that they are not ready to be audited.

Partnerships and coalitions

69% of CSOs are currently members of coalitions or working groups. Among the reasons for participation in CSO coalitions, the respondents indicated popularization of CSOs, planning of joint activities, and increased opportunities for meeting other CSO leaders.

Transparency. Accountability. Ethical norms

80% of all surveyed organization said their members can assess CSO financial reports if they wish to do so. 72% of organizations report to their members. 64% of all CSOs report to donors, 59% - to government institutions. Just 19% of all CSOs report to clients. 64% of surveyed organizations have their own written and defined ethical norms.

Legislation

The majority of CSOs (57%) believe they are well informed about laws and regulatory frameworks affecting CSO activities. Another 41% of representatives of CSOs believe they are somewhat informed. Half of the surveyed CSO representatives say the most serious factors impeding their activities in this sector are CSO inactivity in ensuring proper implementation of laws and regulations, tax law and overall legislation. The most effective source of information dissemination about updates to existing laws and regulations are the internet (84% of CSOs) and meetings and workshops mentioned by 56% of respondents.

Organizational Capacity Index
The Organizational Capacity Index is determined by the following seven components of CSO activity: 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 of the organization (more information about the Index can be found in Section 6 of this document).

The average score of those CSOs that responded on the Organizational Capacity Index in 2010 is **0.55**

(maximum value is 1), which identifies that the CSOs have a basic capacity for organizational growth and strengthening. 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, as well as management and leadership systems in place. Funds are attracted in a chaotic manner.

Each of the seven components to the Organizational Capacity Index has a different meaning. Ukrainian CSOs are good at establishing effectively functioning managing systems. This index component received the highest average score among all the components – 0.82. This demonstrates that the total majority of CSOs have an actively functioning managing authority with clearly defined functions and responsibilities. CSOs also have achieved higher than average score in the financial management component (0.61). This means that the majority of CSOs have clearly defined mission statements and strategic objectives, and principles and strategy are shared by staff and organization members. But in practice not all CSOs use long-term strategic planning, the periodic update of strategic plans is not currently widely practiced.

The weakest component assessed for CSO activities, scoring only 0.33 points in 2010, 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.

Advocacy Capacity of Index

The Index of the advocacy capacity of Ukrainian CSOs equalled 3.01 points in 2010 (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 above average. The Index consists of seven components that were identified as facilitating or impeding development of the CSO capacity to represent interests and protect rights. Comparison of both an average index meaning (3.04 points in 2009) and its parts characterizing individual components enables us to see an insignificant decrease of the capacity of Ukrainian CSOs in advocacy activities. The highest activism is demonstrated by Ukrainian non-governmental organizations in collection of information and receipt of assistance, feedback from their members and the public on a specific issue.

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 a medium level in these three components.

Coalitions Networks Effectiveness Index

In 2010 Coalitions/Networks Effectiveness Index equals **0.41.** In 2009, this index was 0.71. The majority of organizations (69%) which took part in the research are members of a coalition or a network. The surveyed CSOs regularly cooperate with each other. The most popular types of cooperation include: information exchange, meetings, joint activities, and the realization of common projects. Only a small percentage of CSOs provide services to other organizations.

The majority of CSOs are members of one coalition.

Legitimacy Index

In 2010, Legitimacy Index of CSOs equals **0.56** (maximum value is 1). The results from an examination of the different components revealed that in the majority of the surveyed CSOs at least one representative from the managing body represented a target group of the organization. The majority of the surveyed organizations study the needs of target groups of their projects (0.89), perform evaluations on their programs and projects (0.78), and have feedback mechanisms for their clients (0.69). The rating for ability to involve CSO clients in the project planning is quite low (0.05). One should also mention that compared to 2009 this index slightly decreased (0.67 in 2009).

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, *Survey Respondents*, provides description of the organizations that were interviewed in terms of the date and form of their registration, the sectors, types of activities performed, the client base, and the availability of a personal website for the organization.

1. Methodology of the Survey

1.1 The purpose of the research

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

The goal of the research was to define the level of CSO sector development in Ukraine[4].

Within the framework of the present research, the following *objectives* were implemented:
- To define the level of CSO organizational capacity
- To define the external relations of these organizations (including their cooperation with government, business, mass media, communities, and other CSOs)
- To define the efficiency of their program activities
- To define the level of CSO capacity and efficiency in the area of representation and protection of public interests
- To define the level of CSO legitimacy
- To define the level of CSO participation in coalitions/networks
- To define the trends in CSO activities for the last nine years (2002-2010) in the above areas

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

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

1.2 Description of the questionnaire

The questionnaire used for the 2010 survey this year can be found in Appendix 1 of the report. The questionnaire consists of 121 questions. While similar to past surveys, additional questions, in accordance to the project tasks of the UNITER project were added to the questionnaire in 2010. The questionnaire contains a statement of the survey goals and objectives, instruction on how to fill it out, and other necessary information for respondents.

Basic information about the organization

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

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

Organizational development

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

External relations

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

Program activity

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

Advocacy questions

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

Existing needs

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

1.3 Sample

There are about 63,000 registered non-governmental organizations in Ukraine (according to Ministry of Justice of Ukraine in 2010). Only about 3,000-4,000 of them are active (every year many CSOs cease functioning without providing formal notification)[5]. 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[6];
- 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.

The total number of active CSOs is about experience in 3,000-4,000. The survey sample consists of 623 CSOs. However, for the purpose of compiling the results, only 610 questionnaires were allowed for formal reasons. Some of the organizations, (61%) had previously participated in the survey process from 2002 – 2009. The remaining sample (39%) 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.

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

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5 In 2009 Were registered 4000 - 5000 active CSOs
6 This research was conducted within the scope of the "Ukraine National Initiatives to Enhance Reforms" project. Due to the project breadth, four CSOs, that were project grantees, were allowed to participate in the survey despite the fact that they had only registered in 2009.

1.4 Survey administration

Major phases of survey included:
- development of questionnaire, according with the tasks of the *Ukraine National Initiatives to Enhance Reforms (UNITER)* project;
- selection and training of regional coordinators;
- conducting survey in the field (questionnaire);
- coordinator's control measures, data editing, data entry;
- data analysis and report preparation.

Questionnaire development

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

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 conducted the field research. Training and instructions were provided to coordinators in April 2010. 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.

Fieldwork

The field phase of the survey began on May 1st, and finished on June 4th, 2010. The task of the regional coordinators was to question from 22 to 27 CSO-leaders in 24 oblasts, the Autonomous Republic of Crimea, and the city of Kyiv.

Coordinators received a list of CSO research participants from the last year surveys, verified compliance with selection criteria, added new organizations when needed, and compiled a final list together with the research coordinator from CCC Creative Center. Respondents completed their questionnaires independently. However, the coordinator was responsible for delivering the questionnaire and explaining how to complete it. After the survey had been completed, it was returned to the regional coordinator.

623 completed questionnaires were received from the regional coordinators in 2010. After verifying the quality of completed, 610 of them questionnaires only were admitted to the research analysis.

Control of the coordinators' work

The coordinators work was monitored by cross-checking with individual CSOs whether the survey had been received and also re-contacting respondents as needed. The completed questionnaires were checked for quality (tracking skip patterns, number of questions answered *don't know*, the degree to which the

questionnaire was completed) and an analysis of the answers. Surveys with a high percentage of skipped or *do not know* responses were not included in the survey results.

Coding

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

Data input

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

Data analysis

Data analysis was performed using Excel and OCA

Report preparation

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

During the report preparation, the objective was to present data that described the level of the Ukrainian CSO development in 2010 according to the principles of sustainable development, to demonstrate tendencies in third sector development.

2. Survey Respondents

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

Ukrainian sector of civil society organization were the object of the 2010 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 2002-2009, 61% had participated in one or more of the previous survey waves. The number of CSOs that did not participate in 2002-2009, corresponding to general characteristics and criteria of organizations that quit the panel, is 39%.

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
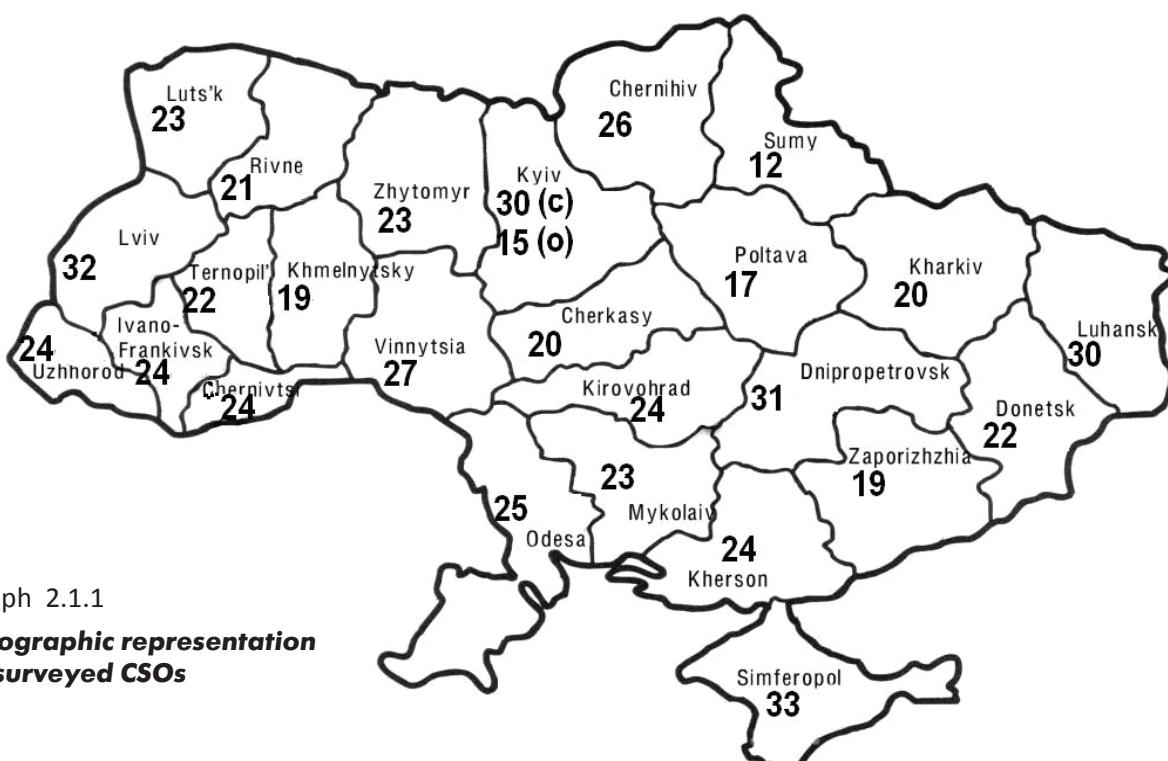
During the fieldwork phase, 623 CSO leaders in 26 geographic units in Ukraine (24 oblasts, the Autonomous Republic of Crimea, and Kyiv) were questioned.

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

The geographic distribution of the CSOs surveyed in 2010 by the four regions is shown in Graph 2.1.2.

Region	Value
Central	194
Western	189
Eastern	122
Southern	105
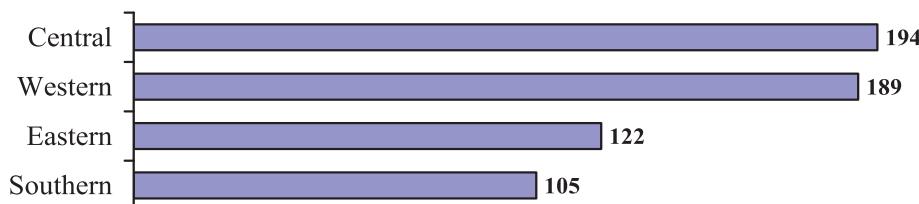
Graph 2.1.2

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 2010.

Charitable Organizations 11%

Public Organizations 89%
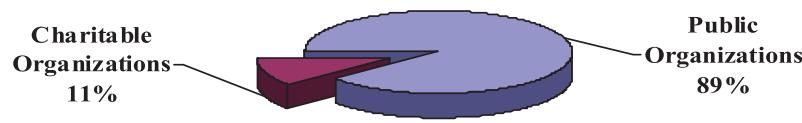
Graph 2.2.1

Type of CSO Registration

CIVIL SOCIETY ORGANIZATIONS (CSO) are associations of citizens created pursuant to the law upon citizens' initiative and based on their common needs and interests in order to achieve long-term goals related to the non-property rights and civil freedoms not aiming to receive profit. Such organizations can not be directly managed by the state. The following terms can be used with the same purpose; Civil Society Institutions, Non-Governmental Organizations, Third Sector Organizations. Such organizations may have different organizational and legal forms but: 1) be legally recognized by the state; 2) be self-regulated; 3) be not aimed at receiving profit for its further distribution among the participants; 4) have a certain structure; 5) have an identified internal procedures and rules of management and joint activities recognized by all participants of the organization.

According to the 2010 data, the majority of surveyed CSOs (89% or 543 organizations) are registered as public organizations and 11% or 67 organizations – are registered as charitable organizations.

Charitable Organization: 11, 11, 14, 15, 12, 10, 13

Public Organization: 89, 89, 86, 85, 88, 90, 87

Legend: ☐2002 ■2004 ☐2005 ☐2006 ■2007 ■2009 ■2010

According to the Graph 2.2.2 the CSO registration type did not change substantially during the period of 2002 to 2010. Compared to 2002, the quantity of charitable funds which took part in the survey has actually diminished by 2% (2010-11%, 2002-13%); difference is not statistically significant at 5% level.
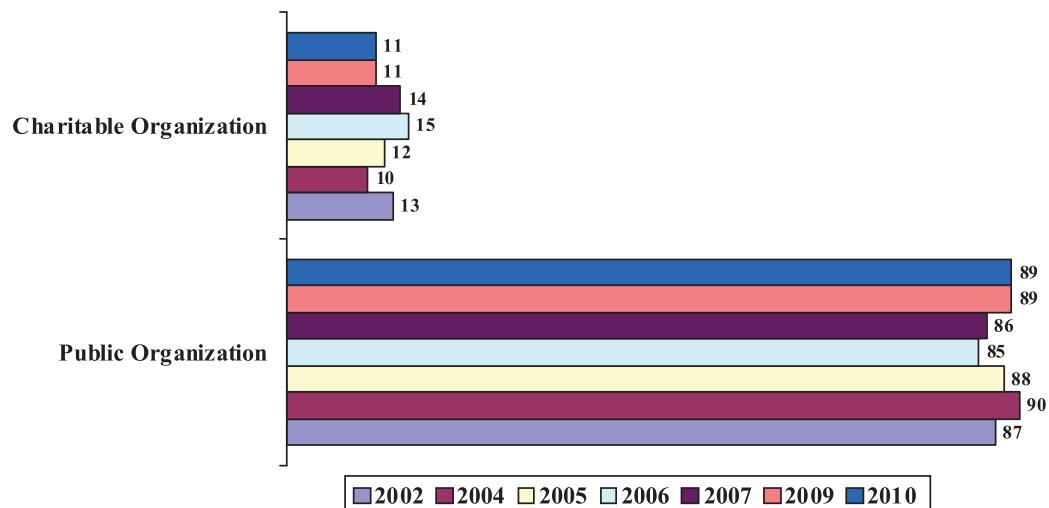
Graph 2.2.2.

Type of CSO Registration in 2002-2010 (in %)

Date of CSO registration

The shares of surveyed organizations in terms of the date of their registration in 2010 do not differ from the previous research data. Such distribution of shares of registered organizations can be explained by the external factors such as the laws governing CSO activities (specifically related to registration), the activities of international technical aid programs in Ukraine, and general trends of civil society development in Ukraine.

Graph 2.2.3 presents the distribution of CSOs based on their registration date.
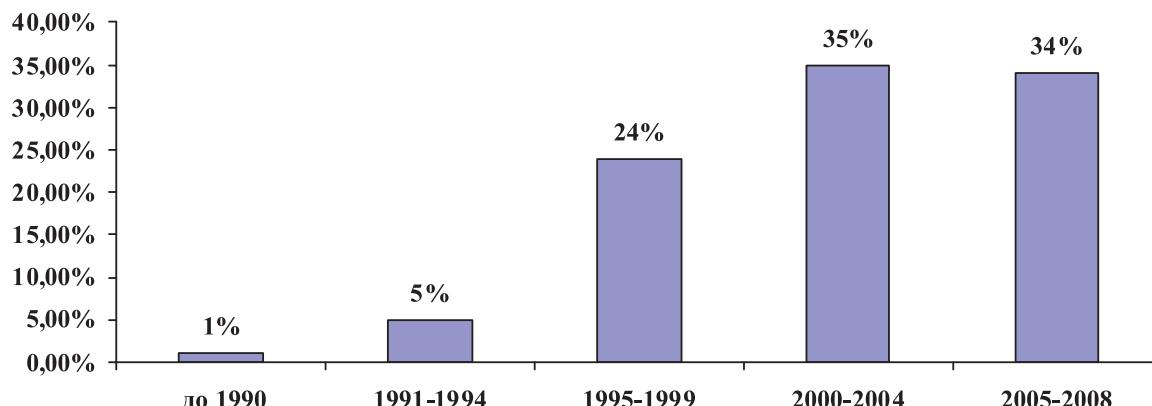
Graph 2.2.3[7]
Date of CSO registration

Graph 2.2.3 shows that 1% of CSOs had been registered by 1990 and 5% in the period of 1991 to 1994. 24% of respondents had been registered in a period between 1995 and 1999. Another 35% started activities between 2000 and 2004, and 34% 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 three major activity sectors from a list of 21. If the CSO's major activity sector was not included in the list, they had the opportunity to select other and specify in what activity they were engaged. Graph 2.3.1 shows the percentage of CSOs working in the specific activity areas.

Almost half of all respondents reported that *children and youth* is one of three major sectors in which they work (44%). The next major sectors of activities are *civic education issues* (27%) and *human rights* (27%). 25% of respondents surveyed in 2010 work in *solving social issues* sector.

Graph 2.3.1
*Major Sectors
of CSO Activity*[8]

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[7] Question # 7
[8] Question # 9

NGOs' roles in societies can be driven by demand or by supply. NGO not receiving a request for their services can develop demand for their services. In terms of provision of services, an NGO exists because organizations can provide them to the neediest members of society. The demand leads to a conclusion that NGOs may be best placed for the tasks of fostering popular participation which include articulating the needs of the weak, working in remote areas in the event of introduction of amendments to legislation and interaction with local authorities, and increasing the capacity of representatives of vulnerable groups to influence the state.

Delivery of goods and services is one of the most visible **functions of NGOs** that want and need to be active participants of the society. The NGO's function as a representative of the interests of the underrepresented is also seen as a critical NGO function. An NGO's advocacy work can be classified in three ways: 1) identifying problems; 2) developing new positions and policy alternatives, enlarging debates and broadening the range of solutions and options; 3) influencing local priorities in ways that make them coincide with the national priorities and objectives provided for in the international conventions.

Graph 2.3.2 shows the most popular sectors of CSO activities from 2003 to 2010. These sectors have remained popular for the last eight years. The most widespread types of activities among CSO are *children and youth, civic education, human rights, and solving social issues*. The analysis of the data presented on Graph 2.3.2. makes it possible to conclude that in 2003-2010 the number of organizations working in such sectors as *solving social issues* (25% in 2010, 36% in 2003[9]), *human rights* (31% in 2010, 27% in 2003[10]), *NGO sector development* (13% in 2010, 17% in 2003[11]), *politics, legislation, state* (14% in 2010, 18% in 2009[12]) decreased.
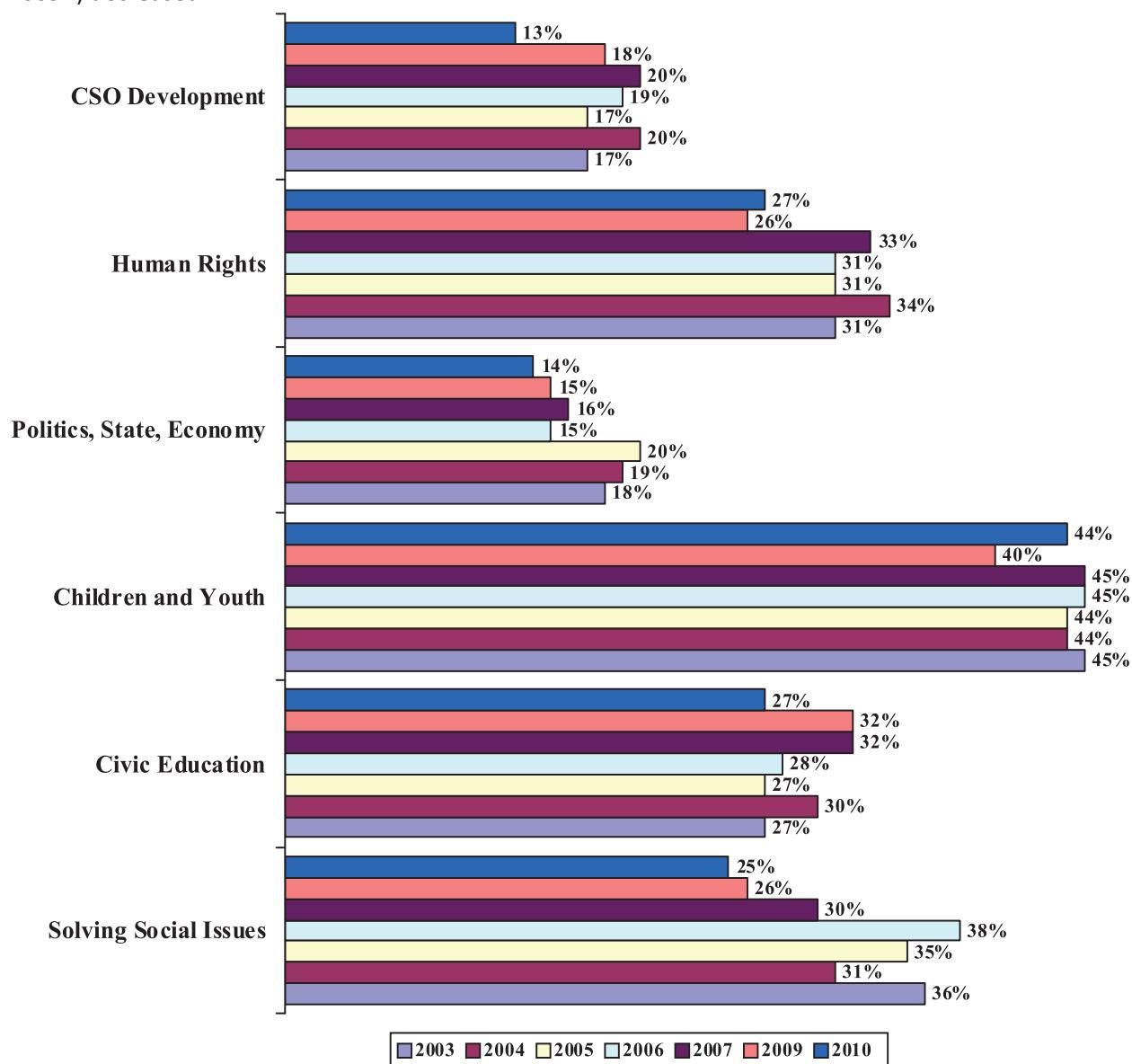
Graph 2.3.2.

Major Sectors of CSO Activity 2003–2010

[9] The difference is statistically significant at 1% level.
[10] The difference is statistically significant at 1% level.
[11] The difference is statistically significant at 1% level.
[12] The difference is statistically significant at 1% level.

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.

Graphs 2.3.3 and 2.3.1 illustrate the various activities in which CSOs that participated in surveys conducted in 2003-2010 engaged in. 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	37%
Advocacy and Lobbying	37%
Information Dissemination	36%
Educational Activities	29%
Research and Analysis	22%
Social Service Delivery	23%
Legal Assistance	18%
Charity	14%
Developing Policy Recommendations	11%
Grant Administration	8%
Rehabilitation	7%
Other	4%
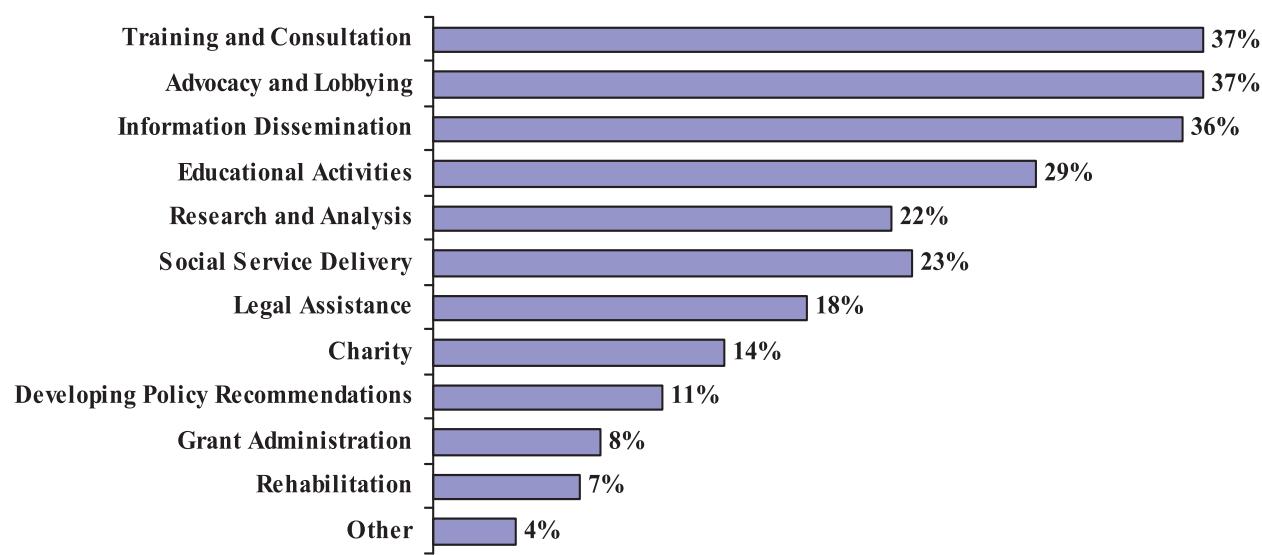
Graph 2.3.3

Types of CSO Activities [*]

The most frequent type of activities selected by CSOs was *training and consultation*, chosen by 37% respondents in 2010 (47% of surveyed CSOs in 2009 (the difference is statistically significant at 1% level), 42% in 2007) and *protection of interests and lobbying* selected by 37% respondents in 2010, 41% in 2009 (the difference is statistically significant at 1% level), and 26% respondents in 2007.

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 2010 and 2009, 8% in 2007, 35% of respondents in 2006, 38% in 2005, 39% in 2004, and 38% in 2003). Also organizations are actively engaged in *educational activities* - 29% of CSOs in 2010; to compare with 2009, the indicated index shrank by 3%. In 2009 it was 33%.

In 2010 research and analysis were chosen by 22% of respondents (24% in 2009, 9% in 2007, and 23% in 2006, 2004, and 2005).

The analysis of the research data gives us grounds to conclude that there were no significant changes in the types of CSO activities. However, compared to the data of the 2009 research, 2010 demonstrated a significant decrease of the number of CSOs providing training and consultative services, carrying out educational work, protecting and lobbying public.

[*] Question # 10
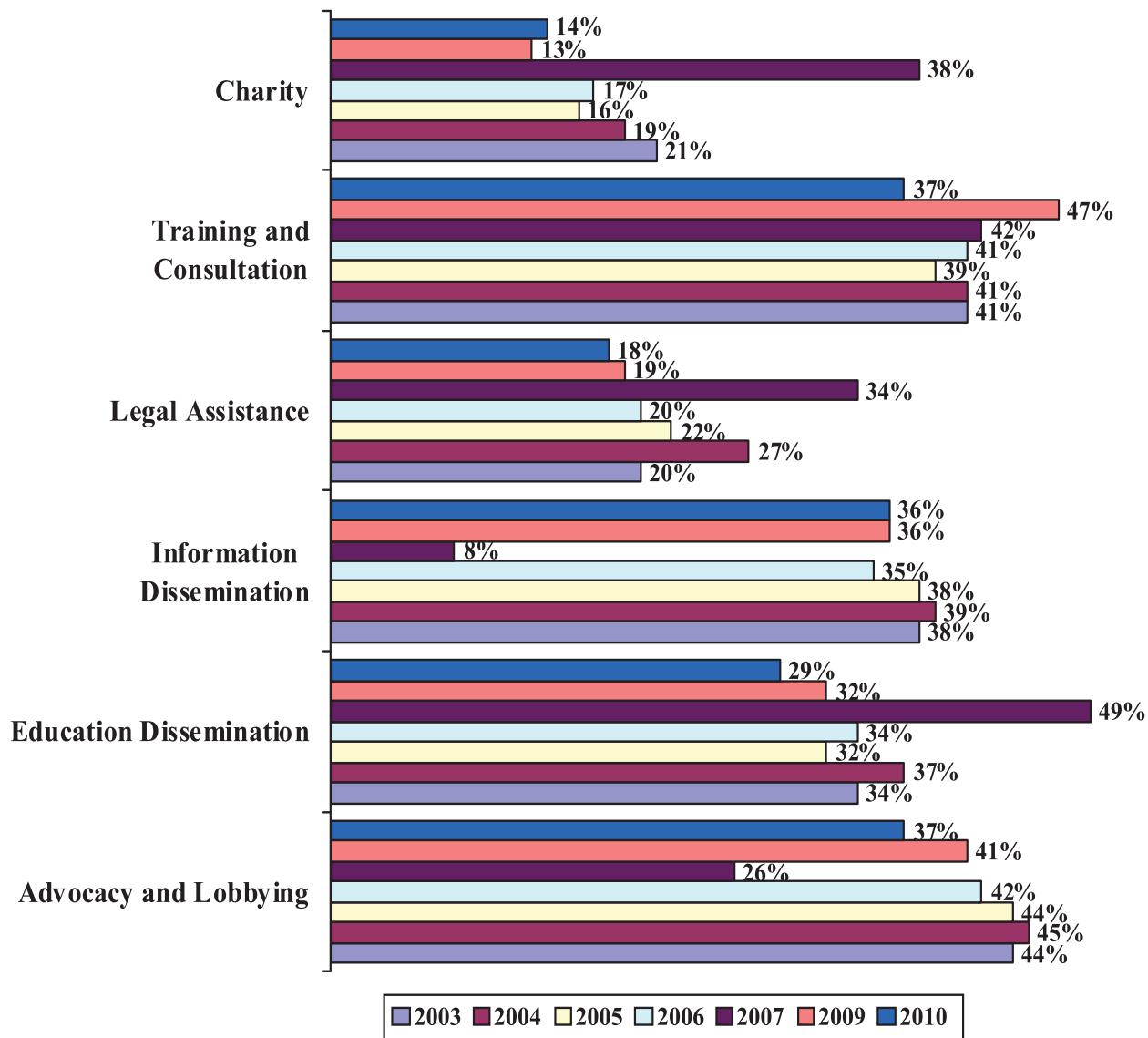
Graph 2.3.4.

Types of CSO Activities 2003–2010

CSO clients

Respondents specified their clients in the same way as they did their activities: choosing from one to three alternatives. The youth make up the largest represented group of CSO clients (46% of respondents). The next largest client categories were the *population as a whole* (26%), *organization members* (24%), *children* (21%), and *students* (17%).

CLIENTS are people who choose to use or not to use your services and members of your organization, etc. They are to be viewed as people whose needs should be satisfied. Each organization has several groups of clients: primary clients are those who use your services, and secondary – voluntary donations of people living in the given area, the Board members.
CSO clients:
  • Members of the organization
  • Individual groups of citizens
  • Other CSOs (in the same state, in other states, international CSOs)
  • Donors (national and international)
  • Governmental bodies (local, regional and national)
  • Reporting governmental bodies (tax authorities, social insurance, pension fund, etc)
  • Business
  • Mass media

Graph 2.3.5 shows the number of CSOs that worked with each group of clients in 2002-2010.
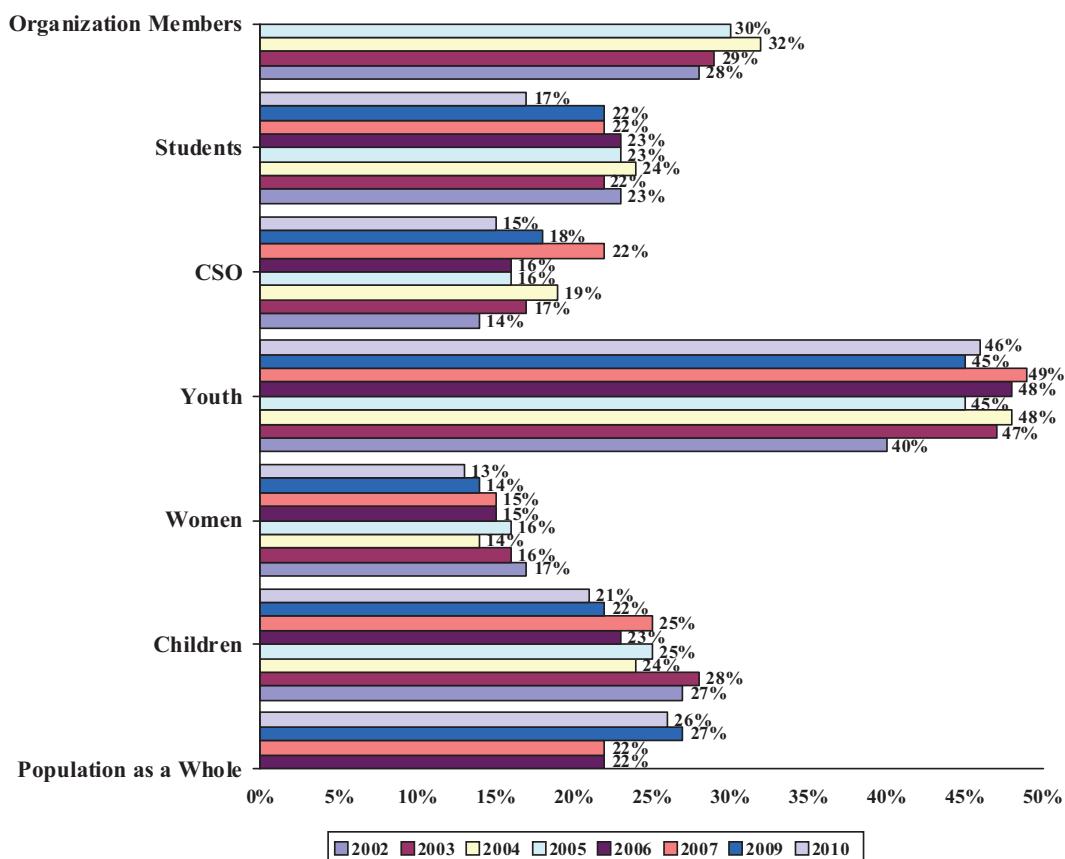
Graph 2.3.5

CSO Clients in 2002-2010*

In 2010 compared with the research in 2009, the number of CSOs with the main group of clients consisting of *organization members* increased (2010– 24%, 2009 - 21% of surveyed CSOs). At the same time, the number of organizations whose main clients are *students* (2010– 17%, 2009 - 22% of surveyed CSOs[13]) and *other* CSOs (2010– 15%, 2009 - 18% of surveyed CSOs) decreased.

When comparing the results of the 2010 research to 2002, one can see a trend toward a decrease of the number of CSOs whose clients are *children* (2010-21%, 2002– 27%[14]), and *women* (2010– 17%, 2002– 13%[15]). However, the number of organizations whose clients are the *youth* (2010– 40%, 2002– 46%[16]) increased.

Below there are results of a cross analysis of several questions conducted for the trends and relations between the sectors and types of activities non-governmental organizations were engaged in. Thus, it was

* Question № 11
13 The difference is statistically significant at 1% level.
14 The difference is statistically significant at 1% level.
15 The difference is statistically significant at 1% level.
16 The difference is statistically significant at 1% level.

discovered the types of activities practiced within each of the five, main spheres mentioned above.

The majority of CSOs working in the *children and youth* sector and *civic education* concentrate on providing trainings and consultations, conducting educational activities, disseminating information, performing advocacy and lobbying.

CSOs working in the CSO and *human rights* sector are typically involved in advocacy and lobbying, provide legal assistance, perform trainings and consultations.

CSOs working in the *solving social issues* sector focus on advocacy, provision of social services, dissemination of information, research and analysis, and on grant programs administering.

Conclusion. *In each of the above mentioned sectors of CSO intervention, advocacy and lobbying is the most frequently mentioned answer. 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 also training and consultation and information dissemination, and the majority of respondents work with the youth and population as a whole.*

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 having their own web-resources. In 2002, only 12% of CSOs identified their web addresses. In 2006, this number grew to 25%, in 2007 - 32%, and in 2009 and 2010 33% of CSOs stated that they possessed their own website.

Year	Percentage
2010 year	33%
2009 year	33%
2007 year	32%
2006 year	25%
2005 year	22%
2004 year	22%
2003 year	23%
2003 year	12%
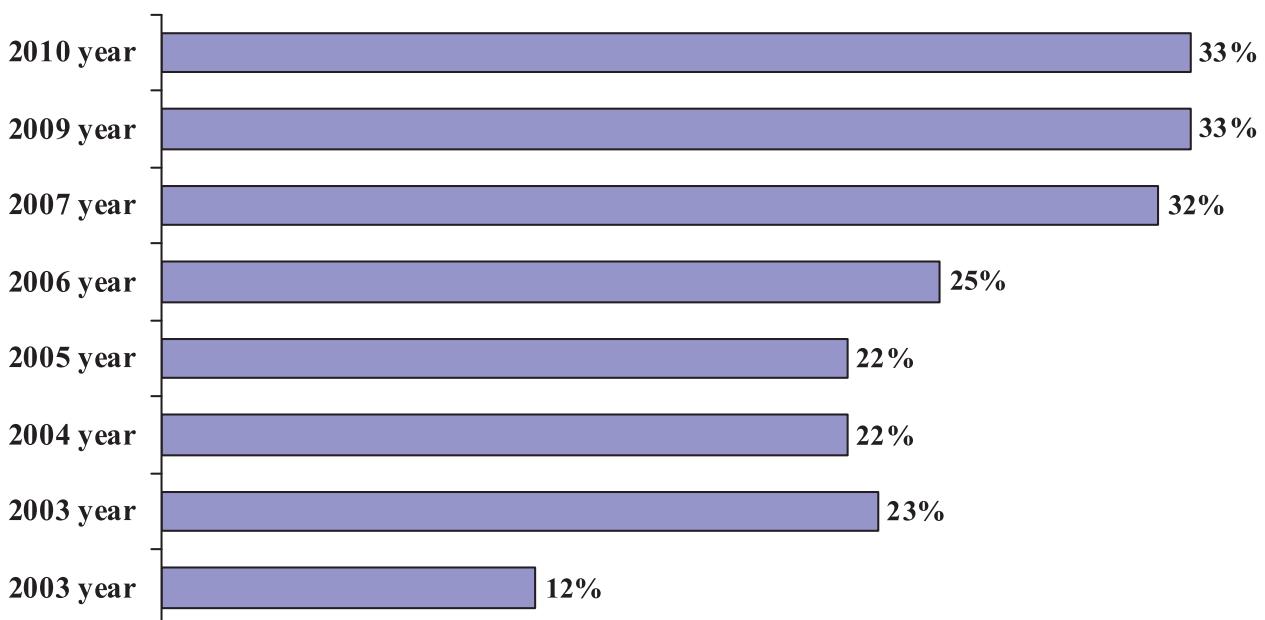
Graph 2.4.1.
Availability of Own Website

Part II.
Results of the Survey Using the INTRAC
Model for Sustainable Development

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

The 2010 survey results were compared with the results obtained from 2002 to 2010 in order to study the dynamics in civil society organization development during last eight years.

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

> **Nine Criteria of a Successful NGO by Peter Brinckerhoff**
> 1. Understandable mission
> 2. Board existance
> 3. Availability of a consolidated team of professionals
> 4. Availability of an established management system
> 5. Use of marketing in all spheres of organization's activities
> 6. Clear vision of the future
> 7. Presence of several alternative sources of financing
> 8. Social orientation of activities
> 9. Prompt reaction to the changed environment

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

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

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

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

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

In this section the analysis of the internal capacity of third sector organizations is presented. This was conducted based on 2010 research data from Ukrainian civil society organizations. An analysis of tendencies in internal capacity development from 2002 to 2010 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 program activity. 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* (74%) and the *desire to help others* (66%). 31% of the respondents chose to *support organization members*, 33% 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 2010 research, there were no significant changes during the last nine years in the respondents' answers regarding the purpose for establishing a CSO. *Self-realization of founders* is the only exception as from 2007 to 2010 the number of CSOs members, who choose this answer dropped by 7% (2002-41%, 2004-40%, 2005-37%, 2006-36%, 2007– 40%, 2009– 34%, 2010 – 33%) - difference is statistically significant at 1% level. Also, in 2002-2010 the number of organizations that selected *certain circumstances* as an answer increased (2010– 7%, 2002– 12%, the difference is statistically significant at 1% level).

The full distribution of the respondents' answers in 2010 as to the purpose for establishing their CSOs is presented in Graph 3.1.1.

MISSION is something, for the sake of which your organization works. It is the final result that you want to achieve in the organization. It determines why you are doing what you are doing, and its main purpose is to mobilize human resources in order to achieve the necessary results.

Four secrets of a successful mission

The mission of an organization should have four important characteristics – width, long-term orientation, challenge, and uniqueness. The statement is to be wide in terms of its contents since the mission is an "umbrella" that covers all types of programmes and services of the organization. It is to be long-term determining the leading way of the organization's functioning for the following twenty years. It is to represent an ongoing challenge for the management, staff, volunteers by identifying the expected results and means (what and how) for achieving it. The challenge lies in providing an opportunity for the clients to achieve their "full potential" and so in "every aspect of life". Finally, the mission is to distinguish your organization from others by separating its work from other similar organizations.

Use the mission for

- planning: to ensure that the plans are developed in the right direction refer to your mission as often as possible during the entire planning process;
- provision of services to the clients: to make clients feel comfortable and have a clear idea about your NGO you can hang the organization's mission where everyone can see it;
- marketing: in order to ensure that you represent your organization in a clear, correct and positive way in all circumstances, place the mission on the materials with marketing and general information as well as on the first page of the strategic plan and the annual report. It will make the public understanding of your NGO clear and correct;
- fundraising: in order to increase the positive impact of applications and requests for financing, add your organization's mission to them.
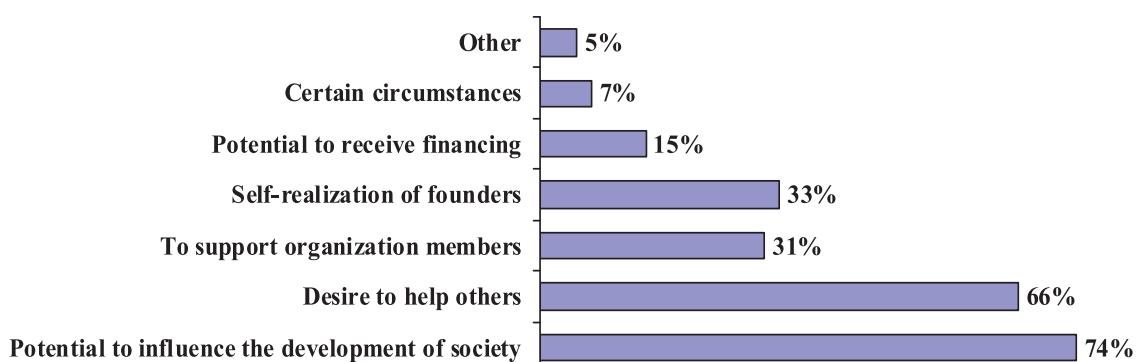
Graph 3.1.1
Purpose for Establishing a CSO[17]

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[17] Question # 12

Self-realization
- 33%
- 34%
- 40%
- 36%
- 37%
- 40%
- 41%

Certain cicumstances
- 7%
- 8%
- 9%
- 8%
- 8%
- 12%
- 12%

Potential to receive financing
- 15%
- 15%
- 18%
- 16%
- 16%
- 17%
- 15%

Potential ti influence the development of society
- 74%
- 73%
- 71%
- 75%
- 70%
- 72%
- 70%

To support oganization members
- 31%
- 36%
- 35%
- 34%
- 36%
- 38%
- 32%

Desire to help others
- 66%
- 67%
- 69%
- 71%
- 70%
- 69%
- 65%

Legend: ■ 2002 ■ 2004 □ 2005 □ 2006 ■ 2007 ■ 2009 ■ 2010
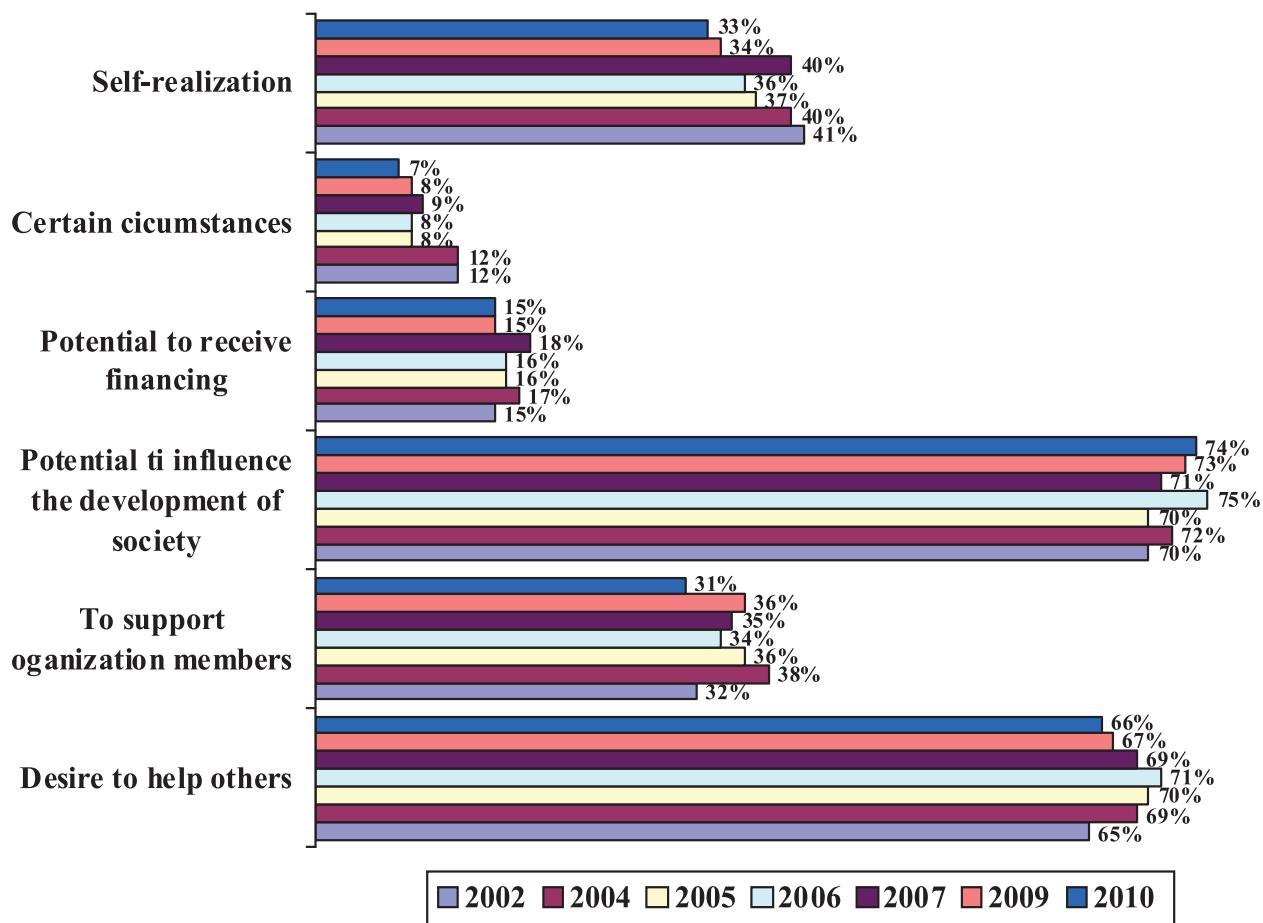
Graph 3.1.2
Purpose for Establishing a CSO: 2002–2010

CSO mission

Most CSOs (75%) stated in the 2010 survey that they have a written mission statement that determines the purpose of the organization existence (78% in 2009, 86% in 2006, 83% in 2005, 87% in 2004 and 89% in 2002 and 2003). Statistical analysis of the indicators of the studied years confirms a decrease in the number of organization that have a clearly formulated mission (the difference is statistically significant at 1% level).

Conclusion. *The 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 selected by twice as many CSO leaders than the number of those who selected self-realization of the founder or the benefit of organization members. At the same time, a small number of respondents recognized that the goal of creating the organization was possibility to receive financing or certain circumstances. The tendency over the last nine years is that CSOs are 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 sustainability of organization and demonstration of its efforts for development of its own capacity and the ability to foresee possible difficulties and threats. 55% of the respondents in 2010 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, one can notice a steady decrease in the number of organizations utilizing a strategic plan. In 2002, 75% of organizations wrote a strategic plan, but this percentage decreased to 61%[18] in 2005, and in 2006 it increased to 68%, whereas in 2007 it decreased to 59%; in 2009 it remained unchanged, and decreased to 55% again in 2010[19].

According to the 2010 survey results concerning the time period covered by the strategic plan (see Graph 3.2.1), 31% of the organizations have plans for three or more years, which is higher just by 1% than in 2009. In 2010, 28% of the organizations said they have a strategic plan for 1 year, 20% of surveyed CSOs have a strategic plan for 2 years, 9% - for more than 1 year but for less than 2 years and about 6%, 5% of respondents have a strategic plan for less than 1 year.
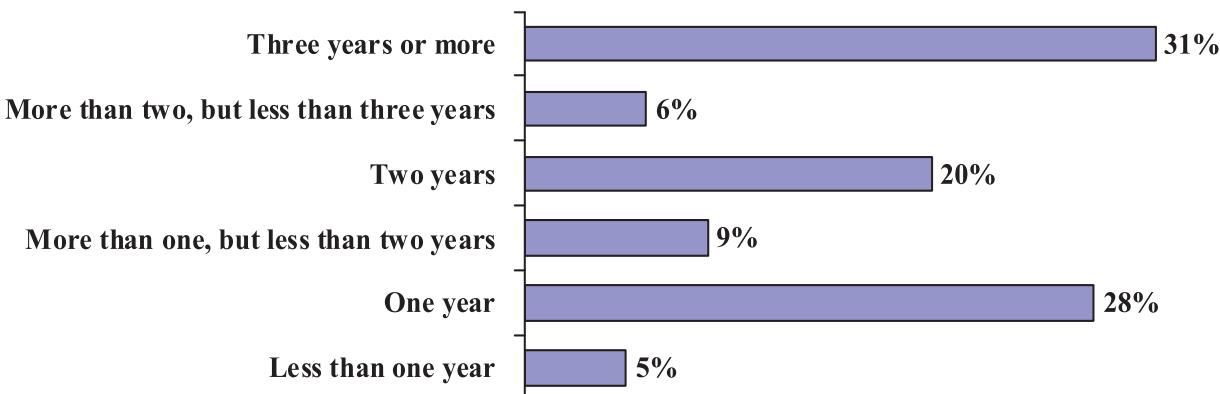
Graph 3.2.1

Time Period Covered by the Strategic Plan [20]

The analysis shows that CSOs with one year plans are primarily young organizations, registered in the following periods: 16% were registered from 1995 to 1999; 29% from 2000 to 2004; 44% registered after 2005, only 5% from 1991 to 1994, and only 1% registered before 1991. CSOs with a strategic plan covering three years or more are also young organizations founded in the following periods: 29% from 2000 to 2004, 29% from 1995 to 1999, 40% registered after 2005, 7% from 1991 to 1994, and only 2% registered before 1991.

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[18] The difference is statistically significant at 5% level.
[19] The difference is statistically significant at 1% level.
20 Question # 15
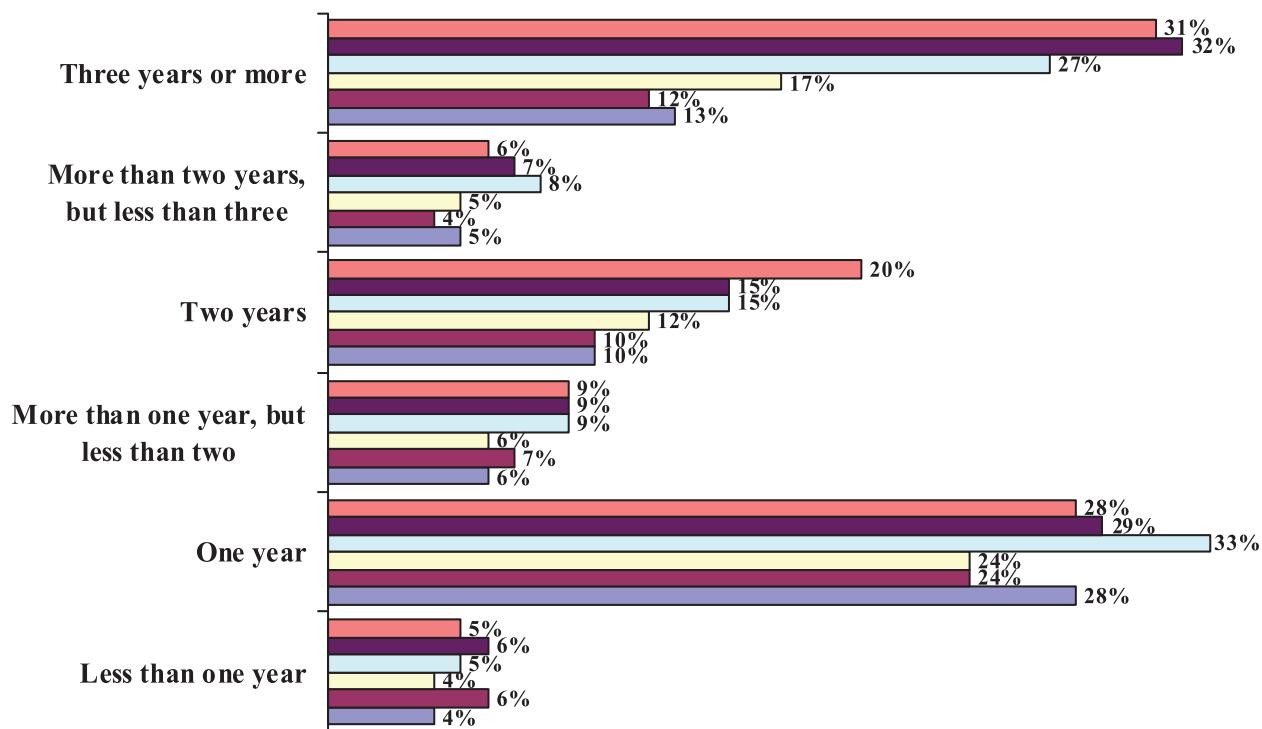
Graph 3.2.2.

Time Period Covered by the Strategic Plan, 2004–2010

Graph 3.2.2, below, specifies which individual(s) usually develops the strategic plan for the organization.
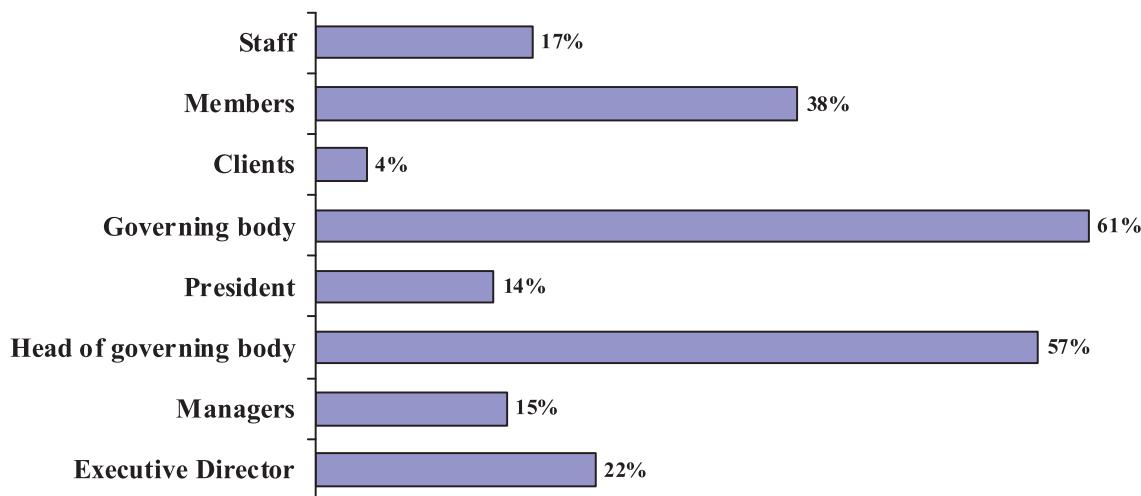
Graph 3.2.3

Individuals and Groups
Responsible for Developing the CSO's Strategic Plan [21]

Persons and bodies involved in the development of a strategic plan were defined only for those organizations that have it (55% of CSOs)

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[21] Question # 16

The collective governing body led by the head is the legislative power in most CSOs. Their high 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, Executive Director, Chair mean the top managing position but often they are called differently. Often only one person occupies all these positions. Thus, in 51% of surveyed CSOs that have such a plan the head of organization – either the President or the Chair or the Executive Director – 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 the strategic planning process involves the head of organization and its staff, clients and/or managing body. This is important because planning by one person is not sufficient for the development of a strategic plan capable to govern the internal capacity of the organization.

According to the data, not all organizations that develop a strategic plan update it at least every two years (70% respondents that answered this question). 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 chosen all those who participated in its development.

3.3 Structure, governance and leadership

89% of CSOs whose representatives were surveyed in 2010 have a collective governing body (see Graph 3.3.1). Each year, this index fluctuates by several percentage points. In 2009 this index consisted of 93% of CSOs compared to 89% in 2010 (difference is statistically significant at 1% level).
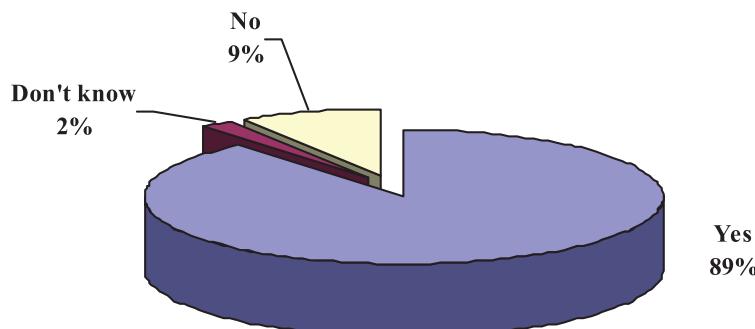
Graph 3.3.1

Governing Body in the CSO [22]

Collective governing body, its role and responsibilities

To define the direction:
- direct the COS activities and development according to the mission;
- identify the strategic direction of the activities and control adherence thereto;
- delegate and distribute the duties;
- clearly formulate, safeguard, document and advocate organization's values;

To provide with resources:
- identify human and material resources necessary for implementation of the mission;
- develop strategies for seeking such resources, including the strategies of participation of the Board members in this process;
- ensure access to the necessary resources;

To control:
- organize clear financial reporting;
- monitor legitimacy of the CSO activities and compliance with the ethical standards;
- monitor the progress and evaluate the results.

Among the 89% of CSOs that have a governing body: most (73%) have a board whereas one third of organizations (27%) have different types of councils (an advisory council, supervisory committees, a board of directors, scientific councils, public councils, etc.).

13% of CSOs chose the option *other* as an answer to this question having indicated the following types: various councils, meetings of the organization members, and the Presidium.

Notably, some CSOs also designated that *consultants* (1% of CSOs) or an *advisory council* (6% of CSOs) made up their governing body. In the latter case, *selected options are rather advisory than governing bodies for the CSOs.*

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[22] Question # 23

Graph 3.3.2

Types of Governing Bodies in CSOs[23]

90% of CSOs that have a collective governing body also have written functions and responsibilities defined for the collective governing body. In 35% of CSOs, the meetings of the collective governing body are held quarterly, 32% CSOs convene meetings more often than four times a year. The governing bodies convene twice a year in 17% CSOs, and once a year – in 16%.

In 99% 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 2009 – 80%, in 2006 - 78%,70% in 2003, 76% in 2004, and 73% in 2005[24]).

3.4 CSOs' human resources

In 2010, 41% of the respondents said their organizations had permanent staff. However, 48%[25] had permanent staff in 2009, 58% of CSOs in 2007, 61% in 2006, in 57% in 2005, and 64% in 2002.
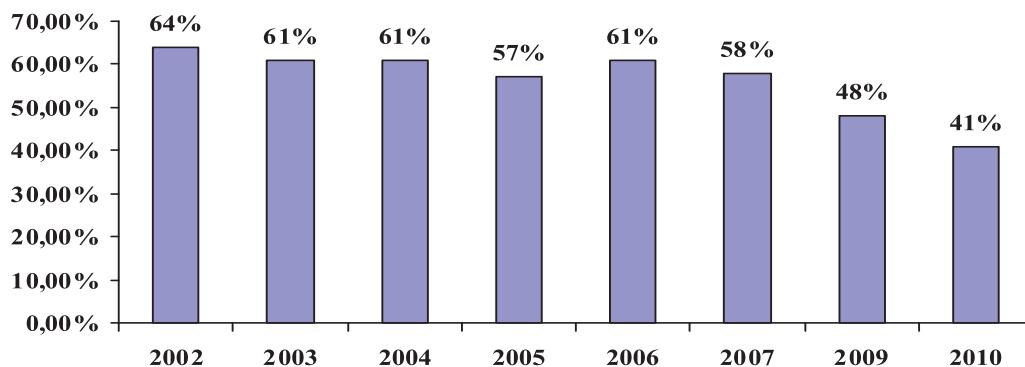
Graph 3.4.1.

Permanent Staff in CSOs

On average CSOs have three permanent employees. This indicator is the lowest for the last nine years, in 2006-2009 – 4 permanent employees, in 2005 – 5 permanent employees (difference is statistically insignificant at 5% level). Regarding the method of employment, 25% have permanent employees, 19% of CSOs contract workers, 15% hire part-time workers, 4% hire workers by the hour, and 14% employ workers for a single task or project.

The average monthly salary paid by CSOs ranged from $108 to $319 in 2009. This figure can be compared with the average salary of an employee of the social assistance sector, that was $179 month in 2009[26].

32% of CSOs have written job responsibilities for their employees. 48% of CSOs have written administrative rules and procedures (e.g. Employee manual).

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

44% 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 71% of those CSOs which have them. In 59% of CSOs, the collective governing body designs the rules while the members of organizations develop them in 19% of CSOs, the staff - in 9% of CSOs, and managers – in 10%.

Often, the collective governing body and CSO members take part in development of the administrative rules and procedures. This fact shows that management in the organizations is carried out involving all stakeholders and those whom it concerns.

66% 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 nine year study period. Also, in 2010 the number of permanent CSO employees decreased. Still no significant changes in other indexes for the human resources of the CSOs were observed.

3.5 CSOs' membership

79% 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.
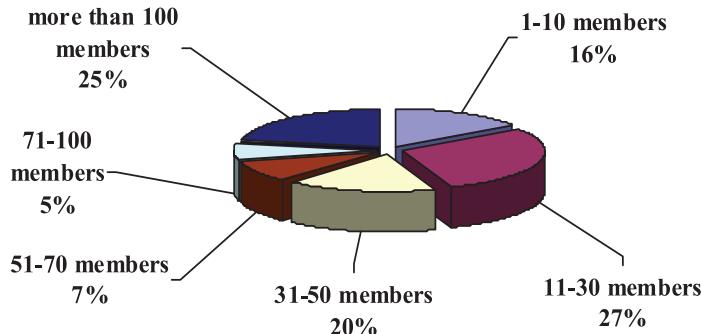
Graph 3.5.1
Number of members of CSO[27]

48% of those questioned in 2010 (36% in 2009[28]) reported that their membership increased compared to the previous year. 40% of organizations said that it remained the same and 10% of respondents said that the number decreased.

For 30% of organizations, the main way of attracting new members included initiative of new members as well as through personal contacts of CSO members (33% of CSOs). Additionally, 18% of CSOs conducted special events and 13% of CSOs attracted new members through colleagues. In only 8% of civil society organizations the number of members increased due to advertising or distributing information through mass media.

According to the answers of the CSOs' leaders in the 2010 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 2002-2009.

27 Question # 36b
28 Difference is statistically significant at 1% level

3.6 Work with volunteers

75% of organizations have worked with volunteers (the index has remained steady during the nine years of research). On average, 28 volunteers work in a single CSO. Such a high average index is due to the fact that some organizations have large numbers of volunteers. This in turn affects the average indicator for the sector. On average, a volunteer spends 6 working hours a week at the CSO. In 2010 an average number of hours worked by a volunteer in the organization increased in 17% CSOs, remained the same in 64% CSOs, and decreased in 12% of the surveyed organizations.

The number of volunteers in 42% of organizations remained the same during the last year; in 39% of CSOs it increased (in 22% in 2009[29]), and in 16% of CSOs the number of volunteers decreased during the past year.

A **volunteer** is someone who gives time, energy and talents to others, expecting nothing in return. Volunteers must have an open mind, be willing to embrace wisdom learned from others and also let the experience of volunteering lead to personal inner growth. Volunteers realize the importance of time and kindness. With the wide range of opportunities, volunteers have the freedom to find an organization that best suits their needs.
- A volunteer is someone who gives time, energy and talents
- A volunteer is someone who is willing to learn
- A volunteer is someone who has the freedom to choose

Why Do People Volunteer?
- To give back to a cause that helped them in the past
- To say thank you
- To meet new people
- To support a specific cause
- To gain experience
- To lower stress
- Because they have the time and want to!

Graph 3.6.1 presents the social portrait of volunteers in CSOs who took part in polling during 2002-2010. The result of the research during 2009 shows us that in most CSOs volunteers are students (71%). Only in some organizations, volunteers are service beneficiaries (35%), elderly people, unemployed people (15%), housewives (12%), and others (18%).
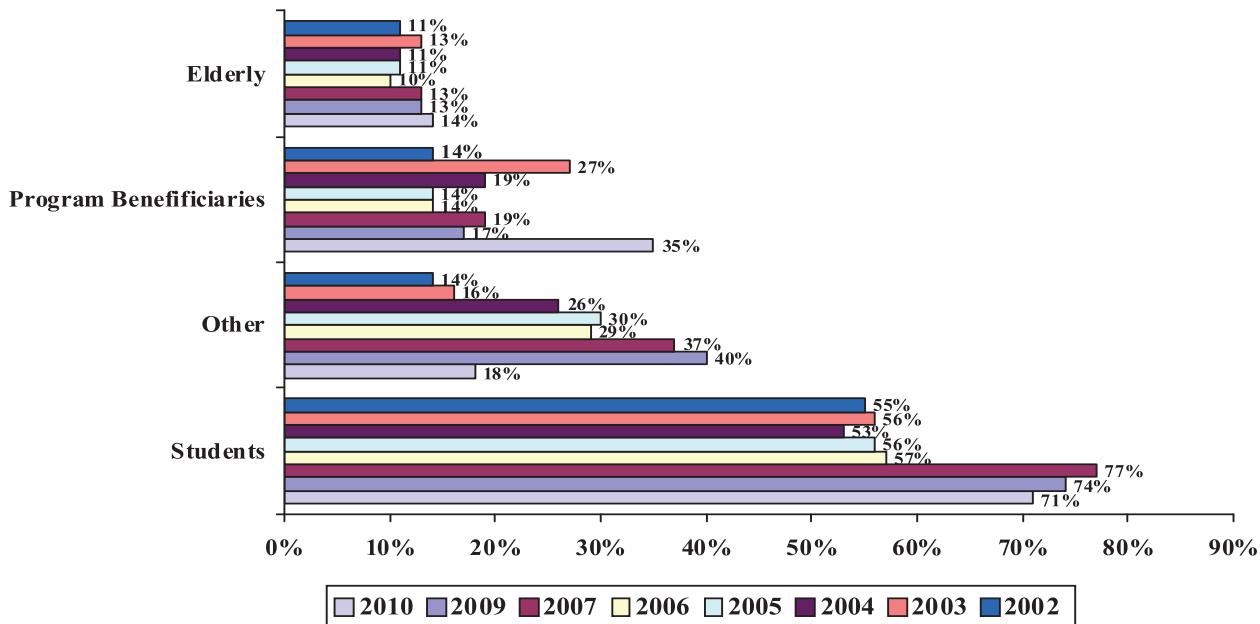
Graph 3.6.1

Persons who worked as CSO volunteers in 2002-2010

It is important to note the decrease in the percentage of CSOs that attract service beneficiaries as volunteers in 2010. In 2010 this index composed 35%, in 2009 it was 17%, in 2007-19%, in 2006 - 14% and in 2005 - 14%, in 2004 – 19%, in 2003 – 27%, in 2002 – 14%. Compared to the results of the 2002 survey, in 2010 the share of involvement of students in volunteer work increased significantly. However, this figure is lower than in 2009 (71% - in 2010, 74% - in 2009[30]). One can assume that the increase of the level of the youth involvement in 2002-2010 can be explained by the increased level of civic activism in the youth community, the increased unemployment level, and higher competition in the market.

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29 Difference is statistically significant at 1% level
30 Difference is statistically significant at 5% level

The index of elderly volunteers wavered from 10% to 14% during the period from 2002 to 2009. The lowest elderly index was in 2006 (10%) and the highest was 14%, reached in 2010 (difference is statistically significant at 1% level). 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. One should also mention that in 2010 the level of the unemployed involvement increased again to 15%.

The question about compensating volunteers was investigated in 2010. The result reveals that 67% of respondents provide some compensation to volunteers for their work. In the majority of such CSOs (91%) it was a possibility to receive knowledge, in 81% - to receive information, and in 39% - a career growth. For 19% of CSOs – volunteering provides the opportunity to support volunteers materially and for 10 % of CSOs it allows for volunteers to be supported financially. In comparison will the data for 2002-2010 it can seen that there were no significant changes in the CSO work with volunteers.

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 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 stated by CSOs leaders 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%	–	12%	⇑
Rented office space	40%	⇑	47%	–	44%	–	45%	–	48%	⇑	53%	–	46%	⇓
Office furniture	59%	⇑	70%	–	70%	–	71%	–	70%	⇑	73%	-	72%	⇓
Phone	65%	⇑	82%	–	79%	–	83%	–	84%	□	82%	-	76%	⇓
Fax	40%	⇑	50%	–	48%	–	51%	–	51%	⇑	59%	–	50%	⇓
Photocopier	37%	⇑	45%	–	43%	–	46%	–	47%	⇑	55%	-	59%	⇑
Computer	55%	⇑	76%	–	75%	–	79%	–	81%	⇑	82%	-	82%	–
E-mail/internet	47%	⇑	67%	–	65%	–	67%	⇑	75%	–	75%	⇑	77%	⇑
Car	9%	–	12%	–	11%	–	9%	–	12%	–	11%	–	11%	–

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].

Analyzed surveyed data, one can conclude that the number of CSOs, who had free office space fluctuated by about 12% from 2002 to 2010. In 2010 the number of CSOs that received the premises free of charge compared to 2009 did not change. The highest percentage of CSOs with free office space occurred in 2004 (37%) and during six years this figure gradually decreased until its became 30% in 2006, but it increased again to 35% in 2009 and 2010.

It is important to analyze number of CSOs with rented office space. This percentage has always fluctuated throughout the 2002-2010 research period. In 2002, 40% of CSOs claimed that they rented office space; in 2007 this index increased 7% (47% of respondents). From 2004 to 2006, insignificant fluctuations can be observed. In 2007 the index jumped on 5% (53% of CSOs). However, in 2010 the number of organizations which rented office space again decreased to 46%[36].

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

The number of computers as well as access to electronic mail and the internet greatly increased in 2003 and has not significantly changed for 3 years (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%. However, it decreased again in 2010 to 82%. The same dynamics can be observed in the analysis of the number of organizational websites[38] and e-mail addresses[39] for CSOs. In 2010 the figure characterizing access to the internet totalled to 77%, in 2009 - 79% of respondents while in 2007 it was 75%.

In 2006 the indicator of the internet access of Ukrainian CSOs increased –75% indicated this type of material resources available in their organizations. In 2005 this percentage was 67% (see Table 3.7.2). The number of contact e-mail addresses given in the 2010 questionnaires is a little bit 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).

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 presents the amount of the total budget of organizations. Thus, the variety and the intensiveness of attracting sources of funding by organizations, the value of each source and the size of donated funding were evaluated as well as dynamics of the annual budgets amount of CSOs surveyed was demonstrated.

Aside from purely financial information, the researchers were interested in the existence of a written fundraising plan for at least one a year ahead. Such plan demonstrates the presence of financial planning in the organization according to the organization's mission and its activity areas, and is not a mere response to the donors' announcement of competitions and grants. In 2010, only 34% of CSOs had written fundraising plans. This indicator decreased by 5% compared to 2009 (36%)[40].

The process of identifying individuals responsible for fundraising in CSOs showed that the fundraising responsibilities are not clearly defined in the majority of organizations or distributed between the organization's employees.

In 2010, the percentage of CSOs (77%) where the executive director *always* does the fundraising slightly decreased, compared to 2009 (79%) (the difference is significant at the level of 1%). In 14% of CSOs the Executive Director is involved in fundraising *in most cases*. The collective governing body *is always i*nvolved in the fundraising activities in 23% of the CSOs, *in most cases* in 25% of the CSOs, and *from time to time* in 16% of the CSOs. The organization members *always* do fundraising only in 7% of CSOs, in *most cases* – in 16% of CSOs, *from time to time* – in 27% of CSOs, and *sometimes* – in 20% of organizations. The degree of involvement of CSO representatives in fundraising has not changed significantly in the last nine years except for the growing role of the Executive Director in this process.

The situation regarding the availability of written organizational financial plans apart from project financial plans is approximately the same as that of fundraising plans. Only 31% of the surveyed CSOs in 2010 had written financial plans of their organizations separately from the project financial plans (in 2009, this share totalled 30%). 69% of CSOs have a financial plan developed for one year (in 2009 – 64%[41]). 8% of organizations surveyed in 2010 had a plan developed for less than one year, which is fewer than in 2006 – 17%, 2005 – 10%, 11% - in 2004 and 16% CSOs in 2003, and more than in 2009 – 7% respondents.

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[37] Difference is statistically significant at 5% level
[38] Question № 6b.
[39] Question № 6a.
[40] Difference is statistically significant at 1% level.
[41] Difference is statistically significant at 1% level.
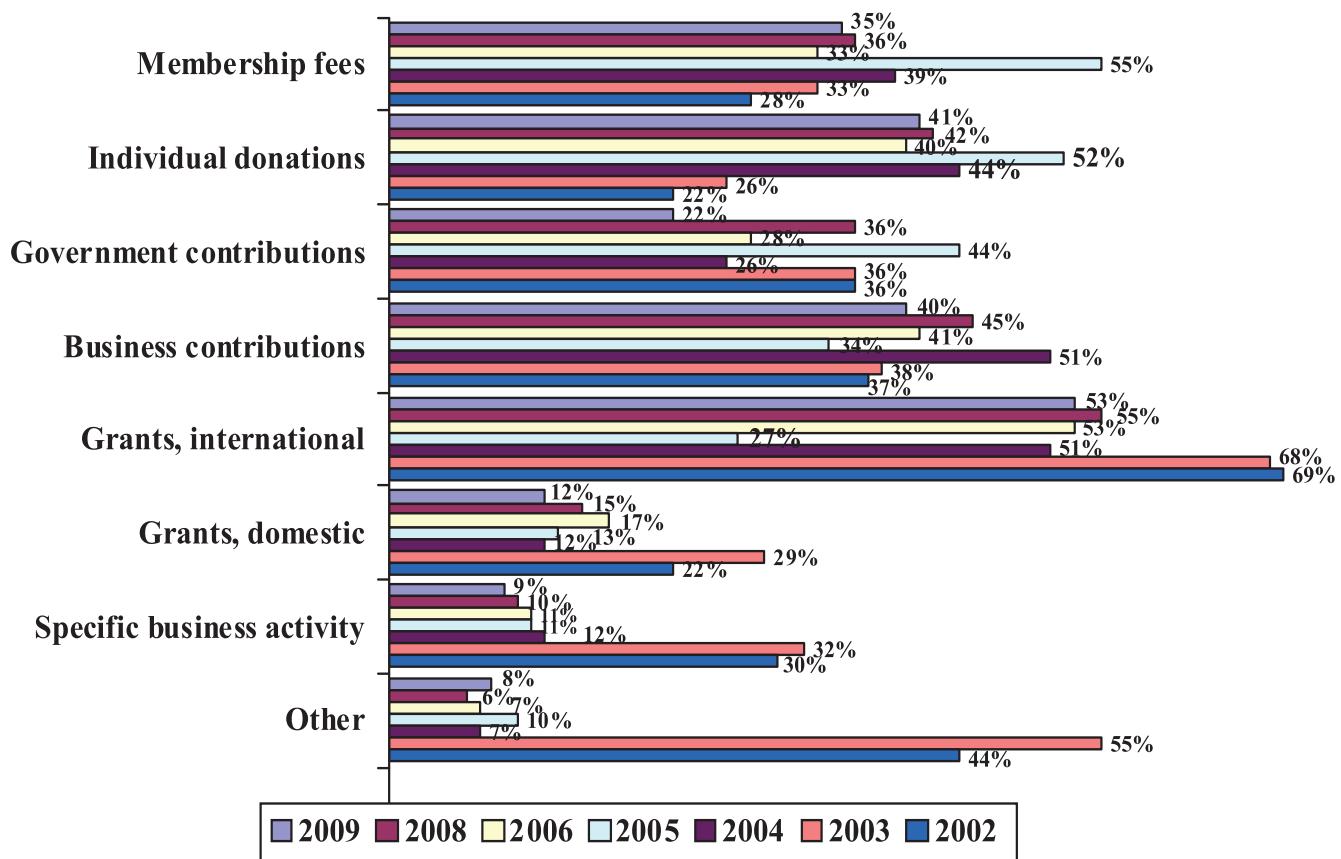
Graph 3.8.1

Types of CSO Funding Sources in 2009[42]

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 the calendar year 2009.

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 make certain conclusions concerning the budget of an average CSO. One can see that while, for example, the business sector was identified as a funding source by 40% of the surveyed CSOs whereas the share of charitable donations from business totals only 14% in the organization's budget. The number of CSOs that received financing from international donors is rather large and was indicated by 53% of the surveyed CSOs, but in the annual budget the share of grants received from international organizations is 43%. In line with this, government donations make up 22% of the respondents' incomes, but they account for only 9% of the CSO budgets. Contributions from citizens are received by 41% of the surveyed CSOs whereas their share in the budgets composes only 12%. Domestic grants are received by 12% CSOs, that contribute to 5% of their budget. Organization's business activities CSO is a source of financing for 9% respondents but this source only provides 3% of the budget for these organizations.

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 2009. The percentage of a certain source in the budget is given for those CSOs that use it.

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

Graph 3.8.2

Percentage of 2002-2009 CSO Funding from Specific Sources[43]

Compared to the results of the financial year 2008, there was a decrease in the volumes of financing received from the following sources: government contributions (2009 – 9%, 2008 – 13%[44]) and business contributions (2009– 14%, 2008– 16%).

Graph 3.8.3 shows the funding base of CSOs from 2002 to 2009.

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

Graph 3.8.3

2002-2009 CSO Funding Base [45]

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[43] Question # 49
[44] The difference is statistically significant at 1% level.
[45] Question # 50

During the period of 2002-2009 the number of CSOs which have annual budget under $500 is most fluid. In 2002, 26% of respondents marked that they had a budget under 500$, in 2003 – 25%, in 2004 – 24%, and in 2005 – 21%. In 2006, this index decreased to 7%, in 2008 it doubled and totalled 15% of the surveyed CSOs[46], and in 2009 this indicator amounted to 16%.

In 2009 compared to 2008 the number of organizations with the budget up to 1,000$ decreased (2009– 9%, 2008 – 11%[47], 2006 – 18%)[48]; and with an annual budget up to 20,000$ (2008 – 10%, 2006 – 15%)[49]. An annual budget over 50,000$ was indicated by 10% of CSOs surveyed in 2010.

When analyzing the data shown in Graph 3.8.3. one can conclude that there were no significant changes in the amount of annual budgets in the financial year 2009. It should however be mentioned that 6% of the surveyed CSOs did not provide information about the amount of their annual budgets in 2010.

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

In general, 576 CSO representatives provided information about their organization's budget (94% of all those surveyed).
Among the respondents who provided an answer, 104 respondents (18% of CSOs that responded) said the annual budget of their CSOs was from $1,000 to $5,000 (hereinafter referred to as the researched group). In order to have a full picture about the specific features 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 610 CSOs). Indicators are taken from the "Organizational Capacity" and "External Relations" sections of the survey.

94% of the research group of CSOs compared to 89% of all CSOs that took part in the survey are registered as civic organizations. 6% of the researched group compared to 11% of all CSOs that took part in the research are registered as charitable funds. A regional division (Central, Western, Eastern, and Southern) this year revealed an equal number of organizations with a budget from $1,000 to $5,000 in the Southern and Eastern regions (18 organizations in the South and 18 organizations in the East. The largest number of organizations from the researched group is located in the West, namely 36. 32 organizations with a budget from $1,000 to $5,000 are situated in the Central region).

The majority of organizations in the researched group (80 out of 104 surveyed) have a written mission statement; 47 or 45% out of 104 surveyed organizations do strategic planning (55% CSOs out of 610 surveyed organizations have strategic plans); 92 out of 104, which is 88% respondents have a collective governing body (89%[50] for all surveyed organizations).

CSOs with the budgets under $5,000 receive financing mainly in the form of charitable contributions from businesses – 54% (51 out of 104), citizens– 50% (52 out of 104)), and membership fees – 42% (44 out of 104). Differences between the funding base and the total amount of respondents were observed. 40% of all CSOs use charitable contributions from businesses (cf. 56% of the researched group of CSOs), 41% receive individual donations (cf. 50% in the researched group), and 35% of all CSOs receive financing in the form of membership fees (cf. 42% respondents in the researched group). There is also a difference in fundraising approaches.

Conclusion. *Among the organizations with budgets from $1,000 to $5 000, a civic organization as a registration form is more frequent than for the total number of surveyed organizations. The majority of CSOs in this segment have a written mission statement, strategic planning mechanism, and a collective governing body. Compared to the total number of CSOs that took part in the survey, the researched group demonstrates a difference in fundraising approaches.*

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[46] The difference is statistically significant at 1% level.
[47] The difference is statistically significant at 5% level.
[48] The difference is statistically significant at 1% level.
[49] The difference is statistically significant at 1% level.
[50] The difference is statistically significant at 1% level.

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

Among the respondents who provided an answer, 62 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 – 610 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 much more frequent than the average in the data set of 610 CSOs – 26% (16 organizations out of 62) compared to 11% CSOs. The division by four regions (Center, West, East and South) this year demonstrated an approximately equal number of organizations with a budget over $50,000 in the Central and West regions (21 organizations in the Central region and 24 organizations in the West region). The lowest number is reported in the Eastern region where there are only 8 such organizations, and in the South there are 9 such organizations.

The majority of organizations in the researched group 85% (53 out of 62 surveyed) have a written mission statement, and 69% of the researched organizations (43 out of 62) do strategic planning (only 55% CSOs of 610 respondents have strategic plans), and 97% (60 out of 62) organizations have a collective governing body (the total in the data set being 89%).

The most frequently mentioned sources of financing of the interviewed COS with the largest budgets in Ukraine are grants from international organizations – 89% (55 out of 62), individual donations - 42% (26 out of 62) and funding from the government 37% (23 out of 62). This actually is differing from the general situation among the non-governmental organizations. 53% of CSOs said they received funding from the international organizations (comparing with 89% of respondents in the research group), 42% of CSOs said they received funding from the individual donations (comparing with 23% of respondents in the research group).

Conclusion. *Among the CSOs with the budget above $50 000 a charitable fund as a form of registration is used more often than among all CSOs that took part in the survey. The majority of CSOs in this segment have a written mission statement, developed strategic plan, and a collective governing body. The researched group also demonstrates higher sums of financing received from donors and membership fees than for the entire group of the surveyed organizations.*

Funding from the government

This section of the report investigates financial and technical support provided by the state.

27% of CSOs said they received funding from the government in 2009. 28% of them received less than $500 (see Graph 3.8.4). One should mention a decrease of financial support in the amount - *$501 - $999* (11% in 2009, 15% in 2008[51], 10% in 2006), *$1,000 - $1,999* (19% in 2009, 13% in 2008[52], 17% in 2006[53]), *$2,000 - $3,999* (13% in 2009, 18% in 2008[54], 13% in 2006[55]) and *over $10,000* (8% in 2009, 13% in 2008-2006[56]).
25% of CSOs received in-kind contributions from the government or from local self-governing bodies (free office space, office furniture, etc). In 2009, 47% of organizations received in-kind contributions totalling

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[51] The difference is statistically significant at 1% level.
[52] The difference is statistically significant at 5% level.
[53] The difference is statistically significant at 1% level.
[54] The difference is statistically significant at 1% level.
[55] The difference is statistically significant at 1% level.
[56] The difference is statistically significant at 1% level.

Graph 3.8.4

Financial Support Received by CSOs from Government or Self-Government Bodies in 2002-2009

More than $10 000
- 6%
- 6%
- 5%
- 1%
- 13%
- 13%
- 8%

$4 000 - $9 999
- 6%
- 7%
- 12%
- 11%
- 15%
- 10%
- 15%

$2 000 - $3 999
- 8%
- 11%
- 12%
- 12%
- 13%
- 18%
- 13%

$1 000 - $1 999
- 12%
- 12%
- 14%
- 14%
- 17%
- 13%
- 19%

$501 - $999
- 12%
- 19%
- 16%
- 17%
- 10%
- 15%
- 11%

$0 - $500
- 50%
- 44%
- 38%
- 31%
- 25%
- 26%
- 28%

| ■2009 | □2008 | ■2006 | ■2005 | □2004 | ■2003 | ■2002 |
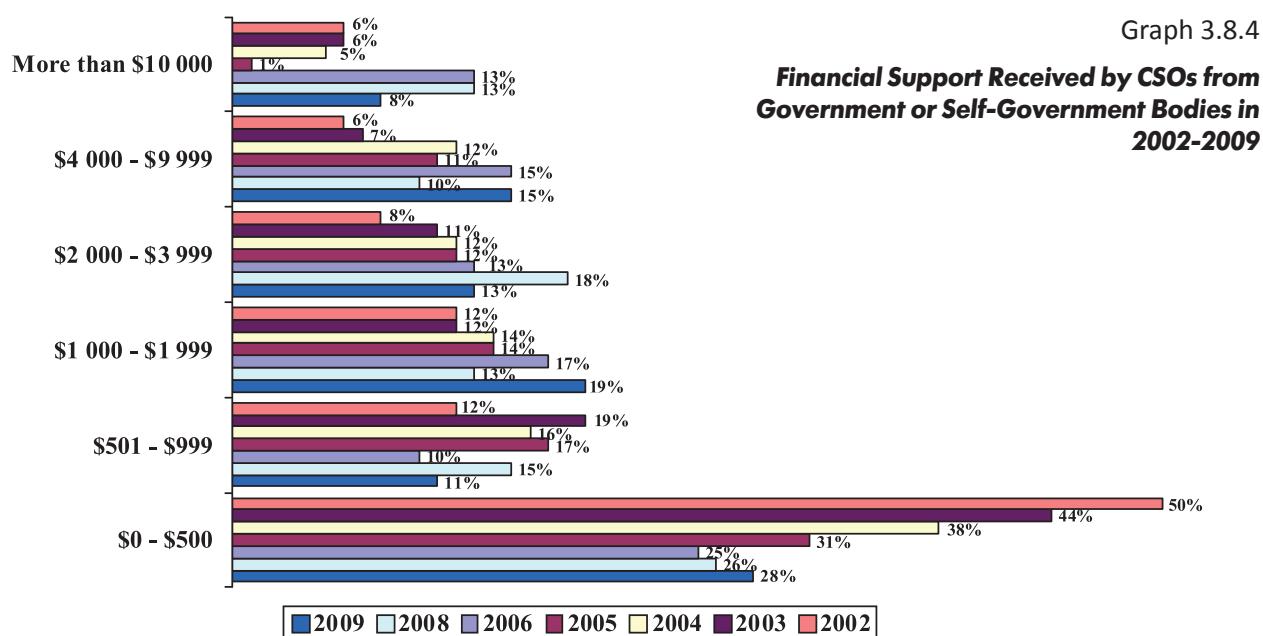
less than $500 (2008 – 41%[57], 2006-38%[58], 2005 - 49%, 2004 - 55%, 2003 - 64%, 2002 - 65%, see Graph 3.8.5). One should mention the increase of the number of CSOs that receive in-kind assistance from the government or self-government bodies (47% in 2009, 41% in 2008[59], 38% in 2006[60]).

Graph 3.8.5

Amount of In-Kind Contributions to CSOs from Government or Self-Government Bodies in 2002-2009[61]

More than $10 000
- 3%
- 1%
- 5%
- 5%
- 6%
- 4%
- 3%

$4 000 - $9 999
- 3%
- 4%
- 2%
- 3%
- 6%
- 5%
- 5%

$2 000 - $3 999
- 7%
- 1%
- 5%
- 8%
- 9%
- 9%
- 9%

$1 000 - $1 999
- 7%
- 13%
- 10%
- 12%
- 17%
- 12%
- 10%

$501 - $999
- 15%
- 15%
- 16%
- 19%
- 15%
- 18%
- 17%

$0 - $500
- 65%
- 64%
- 55%
- 49%
- 38%
- 41%
- 47%

| ■2009 | □2008 | ■2006 | ■2005 | □2004 | ■2003 | ■2002 |
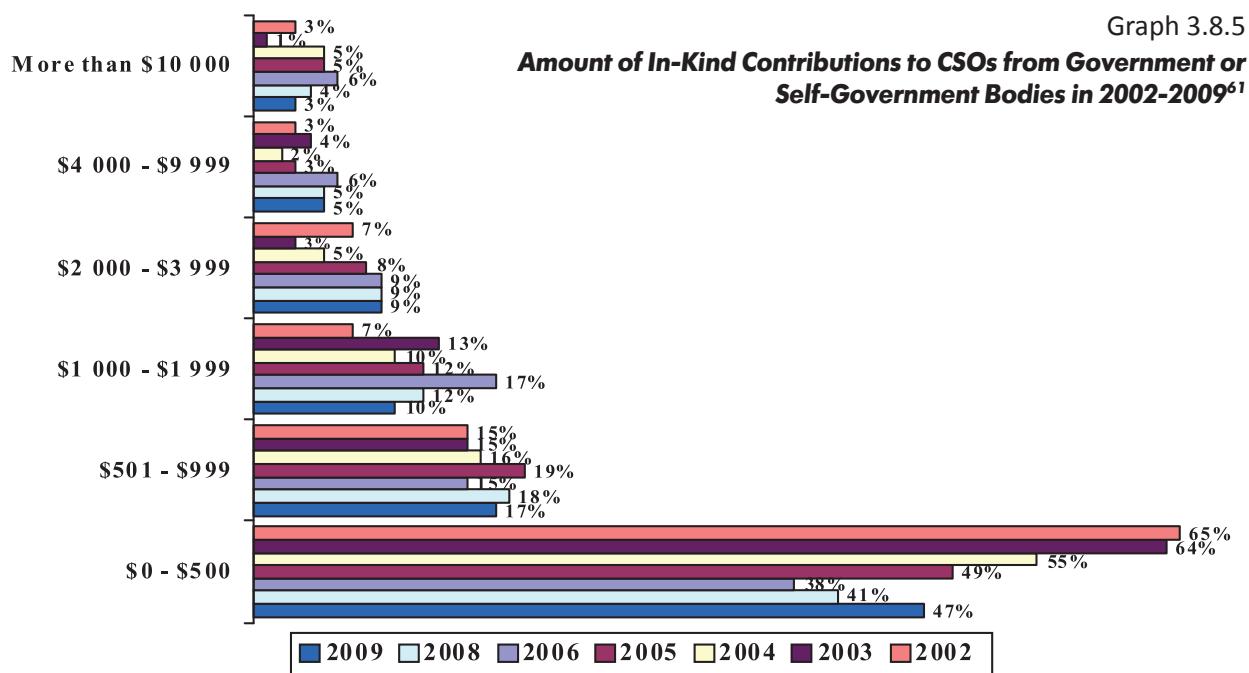
Conclusion. *In 2010 compared to the previous years the number of organizations that received financial and in-kind assistance from the government and self-government bodies decreased. One should also mention the overall decrease of the amount of financial contributions from the government bodies. In addition to the decrease of financing from the government one should mention the growth of volumes of in-kind up to $0-$500. The volumes of in-kind support from the government bodies remained approximately the same as in 2008.*

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[57] The difference is statistically insignificant at 1% level.
[58] Difference is statistically insignificant at 5% level.
[59] Difference is statistically significant at 1% level.
[60] Difference is statistically insignificant at 1% level.
[61] Question # 52b

Funding from business

CSOs received funding from businesses during the 2009 budget year which included both financial and in-kind contributions.

In 2009, 40% of CSOs received financial support from businesses. 45% of CSOs received support that didn't exceed $500 per year (38% in 2008[62], 36% in 2006), 12% of respondents received financial support from business in the amount of up to $1000. The number of CSOs that received financial support from the local business decreased (see Graph 3.8.6).

$1 000 - $1 999
- 10%
- 7%
- 10%
- 11%
- 17%
- 10%
- 12%

$501 - $999
- 20%
- 16%
- 13%
- 16%
- 12%
- 16%
- 12%

$0 - $500
- 54%
- 60%
- 52%
- 45%
- 36%
- 38%
- 45%

■2009 □2008 ■2006 ■2005 □2004 ■2003 ■2002
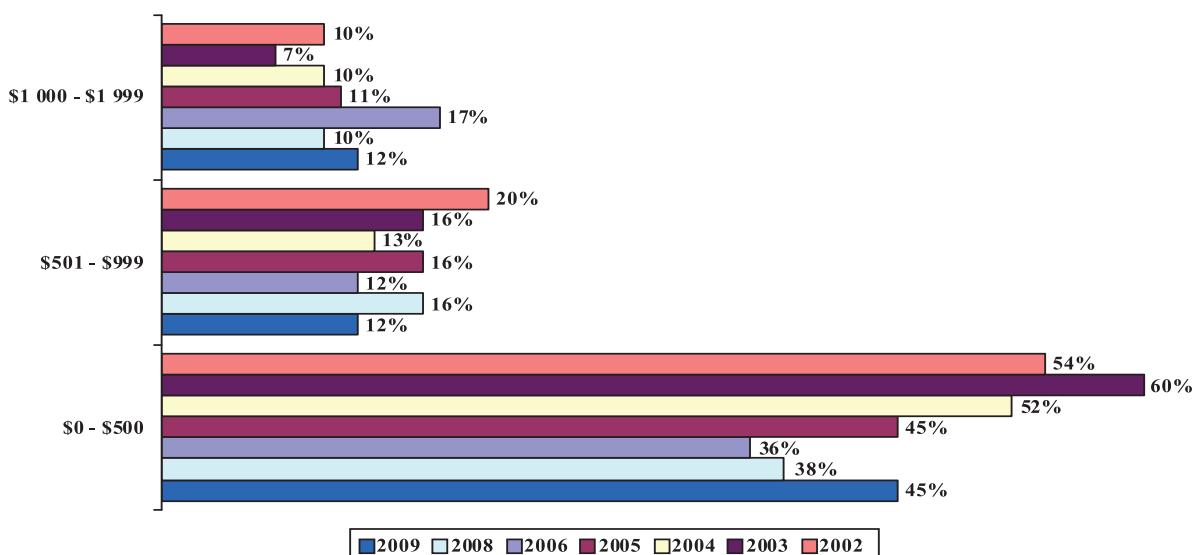
Graph 3.8.6
Funding from Business[63]

About 33% of CSOs received in-kind contributions from businesses in 2009 (for example: office furniture, phone, fax, photocopier, and email/internet). 50% of organization that received in-kind assistance from businesses received it in the amount up to $500 (47% in 2008 and 2006[64]). The size of these contributions is demonstrated in Graph 3.8.7

$1 000 – $1 999
- 10%
- 12%
- 9%
- 8%
- 15%
- 12%
- 12%

$501 – $999
- 16%
- 12%
- 14%
- 18%
- 20%
- 15%
- 14%

$0 – $500
- 63%
- 65%
- 57%
- 54%
- 47%
- 47%
- 50%

■2009 □2008 ■2006 ■2005 □2004 ■2003 ■2002
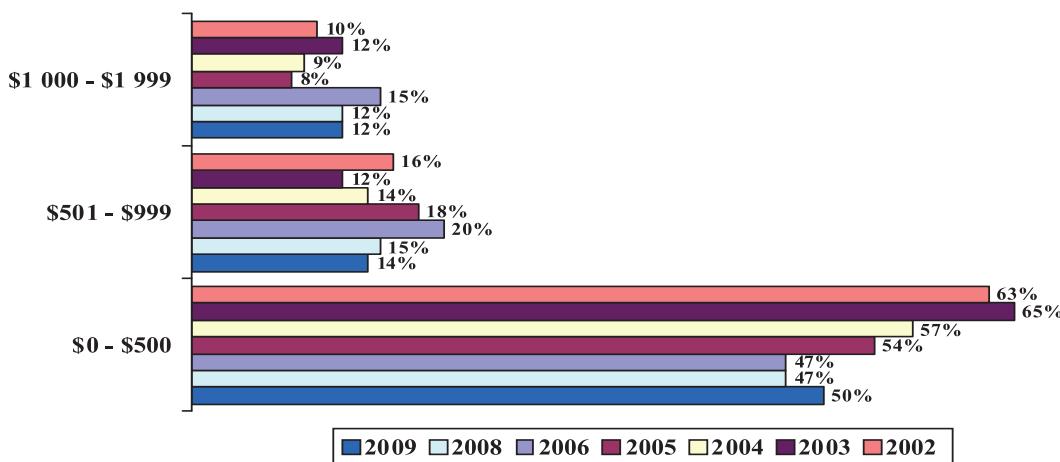
Graph 3.8.7
In-Kind Business Contributions[65]

Conclusion. *In 2010 compared to the 2009 research results, there was an insignificant decrease of the number of CSOs that received financial contributions from local businesses. The number of organizations that received financial contributions up to $500, between $1000 to $2000 increased. Yet, the number of organizations that received support to $1000 decreased. The amount of in-kind contributions from businesses remained the same.*

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[62] The difference is statistically significant at 1% level.
[63] Question # 53b
[64] The difference is statistically insignificant at 5% level.
[65] Question # 54b

3.9 Fundraising strategies

In 2010, 63% of CSOs updated their database of potential funding sources. In general, 38% of CSOs fundraise *in accordance with the strategic plan of their organization*, 26% raise funds *spontaneously*, and 23% *fundraise by conducting fundraising campaigns.*

32% of CSO report that new sources of financing appeared in comparison to prior year. The division of new financing sources is charted in Graph 3.9.1.

The percentage of CSOs stating that their funding increased remained almost the same (33% in 2010 and 34% in 2009 from 38% in 2006). The number of CSOs that said that the level of their financing decreased was from 27% in 2002 to 20% in 2005, and in 2006 this figure returned to the 2002 level (26% CSOs). In 2009[66] the receptive indicator totaled 35%, and in 2010 it decreased to 32%.

Membership fees 5%
Own economic activity 7%
State budget 8%
Individual donations 12%
Grants 46%
Business donations 22%
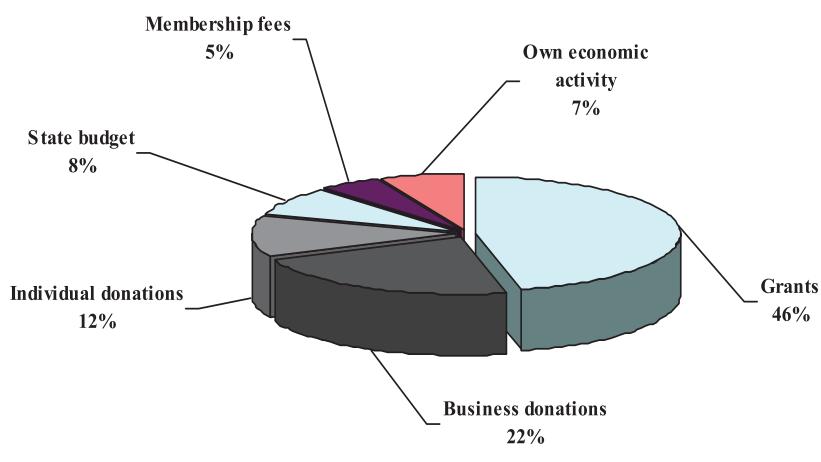
Graph 3.9.1

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. Organizations demonstrated the availability of certain financial planning practices and fundraising from different sources, but 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 facilitates its ability to implement projects and demonstrate sustainability.

CSO respondents were asked 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 86% of the surveyed CSOs.

The collective governing body is similarly involved in 71% of organizations. Staff is involved in making decisions – *in most cases* and *always* in 37% of organizations. Organization members are involved in making decisions in *most cases* and *from time to time* in 48% of organizations and a*lways* in 10%. Clients are involved in making decisions in *most cases* and *from time to time* in 12% of organizations and *always* in 2%. A full array of answers to this question (in percentages) is given in Table 3.10.1:

How a good Staff Manual can improve organization's performance?

The Staff Manual serves as means of communication between the CSO leader and its employees. The Staff Manual is to contain basis information about the organization, the main strategies and principles important for the employees' everyday work. The Staff Manual can become a powerful tool for team building and communicating the benefits of working in this very organization to its employees. The majority of new employees at the beginning of their work have numerous expectations as to their new working environment. First of all it is true with regard to employees that are new in the third sector. Non-profit organizations are oriented toward the "high" mission, and the majority of new workers come with idealized expectations as to the working environment. Such expectations can differ from the actual working culture and practices in the organization.

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

	Never	Rarely	Sometimes	Most of the time	Always	Don't know
Executive Director	0%	1%	10%	86%	0%	4%
Governing Body	3 %	4%	10 %	29%	42%	0%
Staff	16%	6%	11%	22%	15%	1%
Financial Director	21%	5%	7%	10%	15%	1%
Organization Members	8%	15%	24%	24%	10%	1%
Volunteers	19%	23%	19%	8%	4%	1%
Clients	29%	20%	9%	3%	2%	2%
Other	9%	1%	0%	1%	1%	1%

Table 3.10.1

Individuals and Groups Involved in Decisions Regarding CSOs Programs and Activities (%) [67]

In most organizations, the executive director, the collective governing body, and organization members are the ones responsible for making decisions. The involvement of the collective governing body in the decision-making process concerning project activities makes it possible to conclude 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 that the governing body is supposed to perform in the CSO.

A large number of organizations (86% of CSOs in 2010 and 2009, 84% in 2006[68], 61% in 2002[69]) in which the leader delegates responsibilities regarding program and/or administrative tasks to the staff also suggests an "involvement" approach in organizational management. On the other hand, during the analysis one should take into consideration the fact that the question about delegation of responsibilities was answered by the leaders of organizations.

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%[70], in 2003- 88%[71]).

Organizations demonstrated high indices characterizing existence of the formal system of documents registration. A formal (printed or electronic) system of documents registration exists in 84% organizations surveyed in 2010 (in 2009 – 81%, in 2006 – 81%[72], and in 2003 – 88%[73]).

Ukrainian CSOs also demonstrated high indices in the area of financial management systems and control. Over two-thirds of the organizations have an accountant (68%); 62% of the respondents consider their accounting system to correspond to national or international accounting standards. 61% of the respondents said their organizations have financial management systems for planning, spending, and financial reporting.

26% of respondents had done an external audit, and a half of the organizations (50%) has not done one but is ready to. The rest (13% 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 (52%).

78% of organizations evaluate their current activities. This clearly shows that CSOs are aware of the benefits and importance of evaluating their management systems. On the other hand, 23% of organizations invite external experts to do evaluations, that is slightly lower than in 2009 (28% of CSO[74]). 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 the systems of documents registration, systems for internal financial control, systems for decision making, and involving members in the decision making process concerning CSO programs and activities.*

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[67] Question # 94
[68] The difference is statistically significant at 5% level.
[69] The difference is statistically significant at 1% level.
[70] The difference is statistically significant at 1% level.
[71] The difference is statistically significant at 1% level.
[72] The difference is statistically significant at 5% level.
[73] The difference is statistically significant at 1% level.
[74] The difference is statistically significant at 5% level.

4. External Relationships of CSOs or the Ability of the Organization "To Relate"

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

4.1 Cooperation with the state institutions

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

In order to define the types and forms of cooperation between CSOs and government, the respondents were asked to answer a wide range of different questions. First, the objective of the research was to calculate the frequency of contacts between CSO representatives and government authorities (see Graph 4.1.1.)

Most CSOs (93%) noted regular contact with government authorities (formally or informally). 14% of respondents mentioned daily cooperation between CSOs and government authorities. 34% of organizations contact government authorities at least once a week, 24% do it once a month, and 9% - quarterly. Very few CSOs contact government authorities once a year. 16% of CSOs cooperate with the state on an irregular basis.

Graph 4.1.1.
Frequency of CSO Initiated Contact with Government Authorities Formally or Informally[75]

Today, most (62%) communication between CSOs and government structures is mutually initiated. In 2009 this percentage was 3% higher (65%) than in previous year. CSOs initiate such communication in nearly one-third of all situations (30%), and government authorities on their own almost never do (only 3% of all situations). In general, it can be said that there has been an increase in the frequency of contact that Ukrainian CSOs have had with the state in 2002-2010. However, the high frequency of contact does not imply anything about the quality or productivity of these relations.

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 (45%) reported that in 2010 they worked in collaboration with government authorities on implementing one or two projects. 26% of CSOs were not involved in any joint projects with the government at all while approximately a quarter of CSOs (17%) had worked in collaboration with the government on implementing more than at three projects during the last year. Only 9% worked in collaboration with the government on implementing more than five projects.

The framework of different forms of relationships between government and NGOs presented by Najam (2000) boils down to a question of ends and means. Institutional actors--governmental and nongovernmental--each pursue certain ends (goals) and have a preference for certain means (strategies). There are four ways of cooperation that are closely intertwined (4C's):

- seeking dissimilar ends with dissimilar means, or, in the other words, confrontation; c) seeking similar ends but preferring dissimilar means or, in the other words, complementary; or d) preferring similar means but for dissimilar ends, or, in the other words, co-optation.
- NGO and the government are seeking *similar ends with similar means* to achieve them
- NGO and the government are seeking *similar ends but preferring dissimilar means* to achieve them
- NGO and the government are seeking *similar means but dissimilar ends*
- NGO and the government are seeking *dissimilar ends with dissimilar means* to achieve them

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[75] Question # 68

The percentage of CSOs that did not have joint projects with government authorities has fallen from 36% in 2006 to 26% in 2010 (the difference is statistically significant at 1% level).

The level of cooperation between CSOs and government did not change very much compared to 2007 and 2009.

No cooperation
6%
6%
6%
7%
7%
7%

Limited cooperation
49%
49%
52%
50%
52%
50%

Some cooperation
33%
32%
32%
30%
30%
35%

A lot of cooperation
9%
11%
8%
12%
5%
5%

2010 · 2009 · 2006 · 2005 · 2004 · 2003
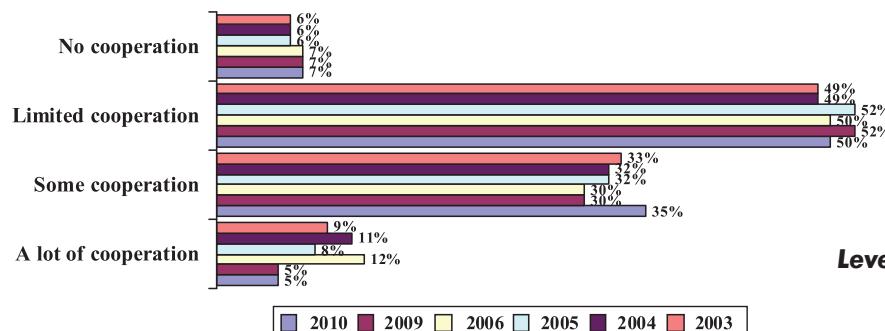
Graph 4.1.2.
Level of Cooperation Between CSOs and Government at the Regional or Local Level [76]

As to the question referring to the effectiveness of cooperation, 50% of respondents noted that the level of cooperation between CSOs and government at the national level is *low*. 2010 witnessed an increase of the number of CSOs that said that the level of effectiveness of their cooperation with the government at the national level was *average* (35% in 2010, and 30% in 2009-2007[77]). Only 5% of CSO representatives said that the level of cooperation between CSOs and government at the national level can be described as *high*. This indicator did not change compared to 2009 but decreased significantly compared to 2006 (12% in 2006[78]). The share of CSOs indicating no cooperation between CSOs and government was 7%, which indicator remained unchanged in 2010-2006.

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

No understanding of the benefit of such cooperation from the government side
65%
62%
63%
47%
63%

Lack of information about CSO activities
60%
55%
50%
51%
46%

Reluctance of national government to cooperate
47%
47%
49%
57%
47%

Lack of professionalism on the part of CSOs
38%
36%
36%
31%
38%

No understanding of the benefit of such cooperation on the CSO side
16%
13%
13%
12%
14%

Reluctance of CSOs to cooperate
9%
8%
7%
8%
9%

2010 · 2009 · 2007 · 2006 · 2005

Graph 4.1.3
Reasons for Limited Cooperation Between CSOs and Government at the National Level [79]

In 2005-2009 there was observed a trend toward a decrease of the number of respondents who among the reasons of limited cooperation at the national level between CSOs and the governmental bodies indicate *lack of understanding of the benefit of such cooperation from the government side* (2005 – 65%, 2006 – 62%, 2007 – 63%, 2009 – 47%[80]). However, in 2010 this reason of limited cooperation between the government and CSOs was selected by 63%, which is 16% higher than in 2009 (63% in 2010 and 47% in 2009[81]).

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[76] Question # 71
[77] Difference is statistically significant at 1% level.
[78] Difference is statistically significant at 1% level.
[79] Question # 72
[80] Difference is statistically significant at 1% level.
[81] Difference is statistically significant at 1% level.

The 2010 survey demonstrated a decrease of the number of CSOs that mentioned *the reluctance of the government to cooperate* (47% in 2010, 57% respondents in 2009[82], 49% respondents in 2007, 47% respondents in 2006 and 2005[83]). According to the 2010 survey results, the number of CSOs that selected *lack of professionalism on the part of CSOs* increased by 7% (38% respondents in 2010, 31% respondents in 2009[84], 36% respondents in 2006-2007, 38% respondents in 2005[85]). The number of CSOs that *selected lack of information about CSO activities* decreased (46% in 2010, 51% in 2009[86], 50% in 2007, 55% in 2006, 60% in 2005).

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).
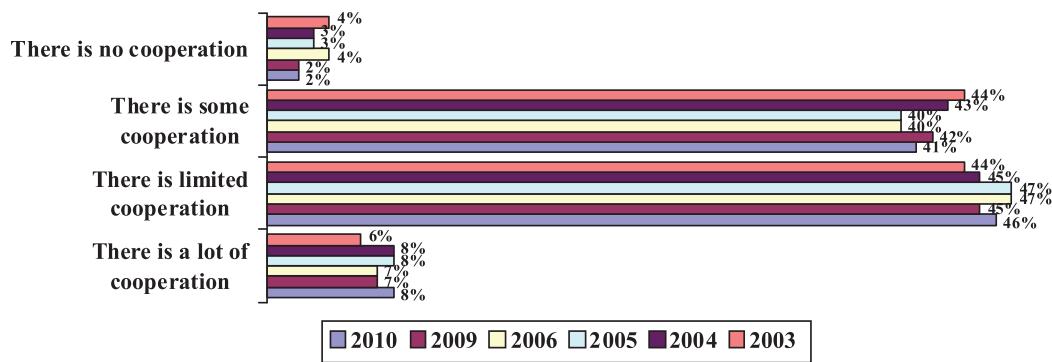
Graph 4.1.4

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. The share of respondents who mentioned the absence of cooperation at a regional level is lower than at the national level (2% versus 7%), and the share of CSO representatives who believe the level of cooperation is average is higher (46% versus 35%). The level of CSOs at a local level is also slightly higher than at the national level that mentioned a high level of cooperation (8% versus 5% respectively). Both differences are significant at 1%. 87% respondents indicated an average or a low level of cooperation between CSOs and the government at the regional or local level. Compared to the results of research conducted in the previous years, the level of cooperation between CSOs and the governmental bodies did not change very much. Compared to 2009, in 2010 the number of CSOs that mentioned a high level of cooperation between CSOs and the government at the regional or local level slightly increased (8% in 2010, and 7% in 2009). In 2010 the number of CSOs that stated that the level of cooperation between CSOs and the government at the regional or local level decreased (41% in 2010, 42% in 2009, 38% in 2007[87]).

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

The main barriers named by CSOs were: *no understanding of the benefit of such cooperation from the side of government* (58%), *lack of information about CSO activities* (45%) and *reluctance of national government to cooperate* (43%). Thus, CSO representatives in Ukraine tend to "blame" the governmental authorities for insufficient cooperation.

The dynamics analysis of the mentioned indicators during 2003-2010 leads one to conclude that the frequency of opting for *reluctance of national government to cooperate* is decreasing. In 2010, 43% of respondents chose this option while in 2009[88] - 2006, 47% of respondents chose this option as the main reason for the lack of cooperation between CSOs and government, and in 2005, 45% of respondents chose the same option.

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[82] The difference is statistically significant at 1% level.
[83] The difference is statistically significant at 1% level.
[84] The difference is statistically significant at 1% level.
[85] The difference is statistically significant at 1% level.
[86] Mentioned by 47% surveyed CSOs.
[87] The difference is statistically significant at 1% level.
[88] The difference is statistically significant at 1% level.

No understanding of the benefit of such cooperation from the side of government: 64%, 61%, 44%, 47%, 58%

Lack of information about CSO activities: 54%, 53%, 60%, 64%, 45%

Reluctance of national government to cooperate: 45%, 47%, 47%, 47%, 43%

Lack of professionalism on the part of CSOs: 39%, 34%, 37%, 33%, 35%

No understanding of the benefit of such cooperation on side of the CSO: 16%, 11%, 15%, 14%, 16%

Reluctance of CSOs to cooperate: 8%, 10%, 9%, 8%, 9%

Legend: ■ 2010 □ 2009 ■ 2007 ■ 2006 □ 2005

Graph 4.1.5

Reasons for Limited Cooperation Between CSOs and Government at the Regional or Local Level[89]

In 2010, the number of organizations that selected *lack of information about CSO* activities decreased (45% in 2010, 64% in 2009[90], 60% in 2007, 53% in 2006, and 54% in 2005).

The number of CSOs that choose *reluctance of the national government to cooperate* increased as well (58% in 2010, 47% in 2009[91], 44% in 2007, 61% in 2006, and 64% in 2005).

While analyzing the reasons of limited cooperation between CSOs and the government at the national and regional level one can see that at the regional level a smaller number of respondents mentioned *no understanding of the benefit of such cooperation from the side of government and reluctance of national government to cooperate*. It can be explained by closer cooperation between CSOs and the government at the local level. *Lack of professionalism on the part of CSOs* at the regional and national level is approximately equal (38% respondents at the national level and 35% - at the regional level).

Conclusion.

CSOs regularly contact government authorities. In most cases both sides are interested in cooperation. The data demonstrate that when the contact is initiated, it primarily comes from the side of the CSOs. In spite of the fact that some cooperation does take place, the level of such cooperation is usually not high. For example, only 17% of CSOs implemented more than three projects in collaboration with the state last year and 26% of the respondents did not have joint projects during this period at all. Hence, it can be concluded that the cooperation for project implementation is occasional and not yet widely practiced. In 2010, CSOs began to inform the government more efficiently about their activities at the national and local levels. This fact is proved by a significant decrease of the number of CSOs compared to the previous year that mentioned lack of information about CSO activities at the local and regional level. Another positive trend is a decrease of the number of organizations in 2010 that referred to reluctance of national government to cooperate at the national and local levels. In 2010 compared to 2009, the number of CSOs that mentioned lack of professionalism on the part of CSOs as a barrier for cooperation between CSOs and the government increased. The number of respondents that selected no understanding of the benefit of such cooperation from the side of government increased as well.

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[89] Question # 74
[90] The difference is statistically significant at 1% level.
[91] The difference is statistically significant at 1% level.

4.2 Cooperation with other CSOs

Knowing what other CSOs are doing is the first step towards cooperation. The respondents were asked about their level of knowledge about the activities of the CSOs that deal with the same or similar issues at the international, national, regional, or local level. 25% of respondents said that they know rather well about activities of other CSOs that work in the same or similar areas at the international level. 45% respondents are aware of CSOs activities at the national level. If the same question concerns the local or regional level the percentage of CSOs that are aware of other CSO activities increases. Thus, 79% respondents stated that their employees know rather well about activities of such organizations at the local level, and 68% – at the regional level.

90% respondents 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 (85%) 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 (34%). There has been an overall decline in the number of organizations that carry out joint projects from 2007 to 2010 (from 68% to 60%), provide consultations (from 64% to 56%) and practice information exchange (from 98% to 85%), joint activities (from 73% to 72%), meetings (from 82% to 73%). The trend for decreasing levels of cooperation between CSOs continues back through 2003-2010.

Cooperation between CSOs
American researchers identify two main reasons of CSO cooperation with other CSOs. First, CSOs cooperate because donors require it – cooperation as means to receive grants. Second, cooperation for CSOs implies new opportunities and potential, which exceed a simple sum of potentials of individual organizations.

Characteristics of good cooperation:
- good cooperation means common discussion of the most important strategic and other issues with the partners;
- good cooperation is based on the partners' trust;
- good cooperation is voluntary;
- good cooperation is long-term and is not limited by one project;
- good cooperation is difficult to build; it requires from the partners their time, effort and an ability to compromise;
- good cooperation does not depend on grant resources. When CSO leaders see benefits of cooperation they will cooperate with or without donor money;
- donors can not create good cooperation but they can help and strengthen cooperation that already exists.

Stages of "sound" partnership:
- *Inspiration*. The initial stage largely depends on the CSO leaders, their desires, willingness, vision of the ways and means of cooperation.
- *Structuring* starts with realization that cooperation that today already concerns many aspects of partner CSOs activities should be structured.
- *Sustainable functioning* is a stage th at can last for years. Cooperation becomes an indivisible part of partners' everyday activities.
- *Institualization or end of cooperation*? The response depends on whether CSOs are going to continue common activities when initiators of cooperation leave the organization.

Types of Cooperation	2003	2004	2005	2006	2007	2009	2010	
Service provision	43%	39%	35%	39%	44%	35%	34%	⇓
Partnership projects	54%	57%	51%	59%	67%	64%	60%	⇓
Consultations	64%	59%	58%	66%	64%	60%	56%	⇓
Joint activities	76%	70%	71%	70%	82%	73%	72%	⇓
Meetings	82%	78%	77%	79%	82%	78%	73%	⇓
Information exchange	89%	88%	85%	92%	98%	89%	85%	⇓

Graph 4.2.1
Types of Cooperation Between CSOs[92]

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[92] Question # 77

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

Graph 4.2.2
***Benefits of Cooperation Between NGOs [93]***

Legend: 2010 2009 2007 2006 2005 2004 2003

Added additional expertise to the program
68% / 68% / 70% / 73% / 81% / 77% / 67%

Increased activity or program's outreach
73% / 66% / 67% / 70% / 80% / 72% / 65%

Saved resources
28% / 34% / 29% / 33% / 34% / 34% / 32%
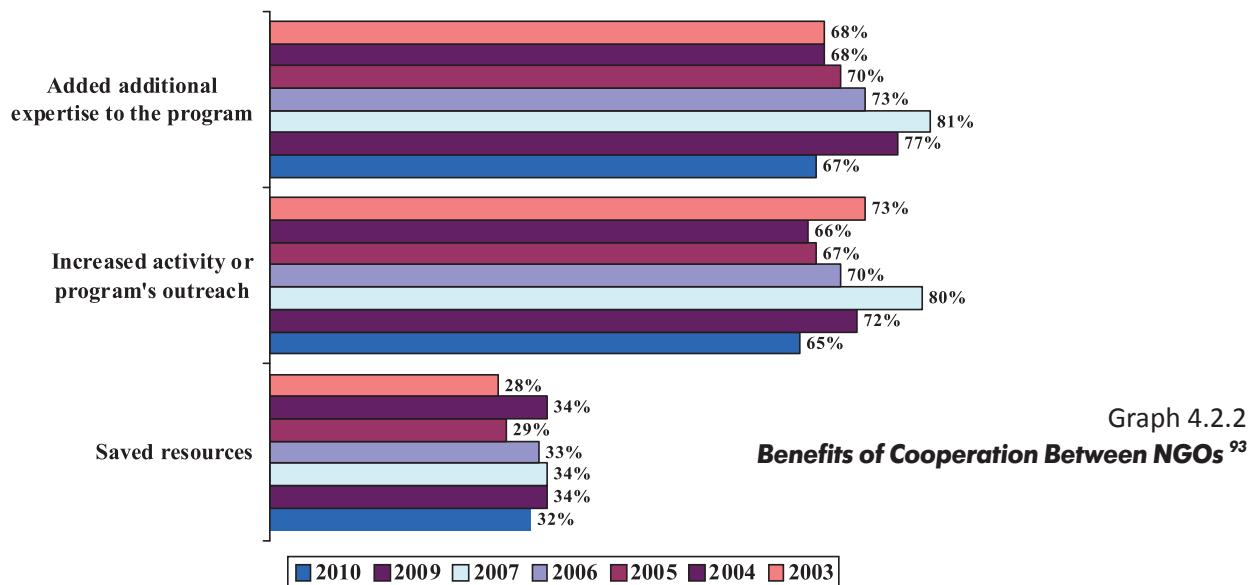
The majority of the respondents think that cooperation with other CSOs allows for *adding additional expertise* (67%) or *increased activity or program outreach* (65%). 32% respondents noted that partnerships and cooperation helps to save resources. However, according to the 2010 research results, the number of surveyed CSOs that named adding additional expertise and increase activity or program outreach as a benefit of CSOs cooperation decreased. The fact can be explained by the increased competition among Ukrainian CSOs for the sources of financing. Only 2% stated that cooperation was not useful.

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 [94]

Legend: 2010 2009 2007 2006 2005 2004 2003 2002

CSO leaders' ambitions create conflicts which prevent CSOs from cooperating with each other
34% / 47% / 48% / 44% / 40% / 39% / 42% / 37%

Lack of professionalism of CSOs prevents their cooperation
31% / 49% / 44% / 38% / 40% / 37% / 37% / 36%

Competition for funds and resources prevents CSOs from cooperating with each other
29% / 43% / 39% / 39% / 40% / 37% / 42% / 32%

Lack of information about activities or mission of CSOs prevent cooperation
28% / 38% / 32% / 30% / 32% / 28% / 33% / 27%

Difficulties appeared during cooperation with other CSOs
21% / 30% / 26% / 28% / 25% / 24% / 27% / 21%

There is no need to cooperate
5% / 4% / 2% / 3% / 4% / 3% / 4% / 6%

The results of the 2002-2010 data comparison give the grounds to talk about increased attention to this issue on the part of CSOs and decreased number of answers to each multiple choice in the questionnaire.

In 2010, 37% respondents mentions such obstacle CSO *leaders' ambitions* (42% in 2009[95], in 2007 – 39%[96], 2006 – 40%, 2005 – 44%, 2004 – 48%, 2003 – 47%, 2002 – 34%). Such reason *as lack of CSO professionalism* in 2010 was chosen by 36% respondents, 37% in 2009 and 2007, in 2006 – 40%, and in 2003 – 49%.

32% respondents in 2010 mentioned *competition for funds and resources* (in 2009 – 42%[97], 2007 – 37%[98], 2006 – 40%, 2005 – 39%, 2004 – 39%, 2003 – 43%, 2002 – 29%). Thus, one can assume that increased competition among the interviewed CSOs was caused by the reduced financing from international and national donors.

Difficulties appeared during cooperation with other CSOs increased in comparison to 2009 (27%[99]), 2007[100] (24%) and 2006 (23%), yet in 2005 (28%), 2004 (26%), and 2003 (30%) the respondents mentioned this reason more often. One can assume that this fact is related to the delicate balance of information sharing between NGOs as well as a hesitation to cooperate in overall.

Conclusion. *The level of cooperation between CSOs for nine years has remained high. CSO representatives exchange information, take part in joint activities and meetings. Such forms as information exchange, meetings and joint activities are most popular form of CSOs cooperation. There is a decrease of the number of respondents that chose such answers as leaders' ambitions and conflicts, competition for funds and resources, lack of information about activities and missions of other CSOs, and problems that emerge in the course of cooperation as the causes of limited cooperation between CSOs. As a result of cooperation with other CSOs, the majority of respondents added professional expertise, increased activity and program's outreach. One should also mention that the frequency of such answers increased in 2010.*

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.
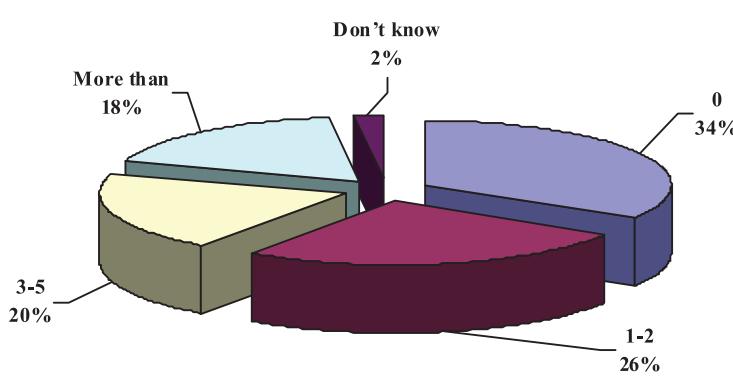

About one-third (34%) of civil society organizations do not cooperate with businesses. Research data shows that 26% of CSOs cooperate with one or two businesses and 20% work with three to five. 18% of the respondents said that they cooperate with more than five businesses (see Graph 4.3.1).

Graph 4.3.1

Number of Business Institutions that CSOs Cooperate With[101]

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.

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[95] The difference is statistically significant at 1% level.
[96] The difference is statistically insignificant at 5% level.
[97] The difference is statistically significant at 1% level.
[98] The difference is statistically insignificant at 1% level.
[99] The difference is statistically insignificant at 1% level.
[100] The difference is statistically significant at 5% level.
[101] Question # 83
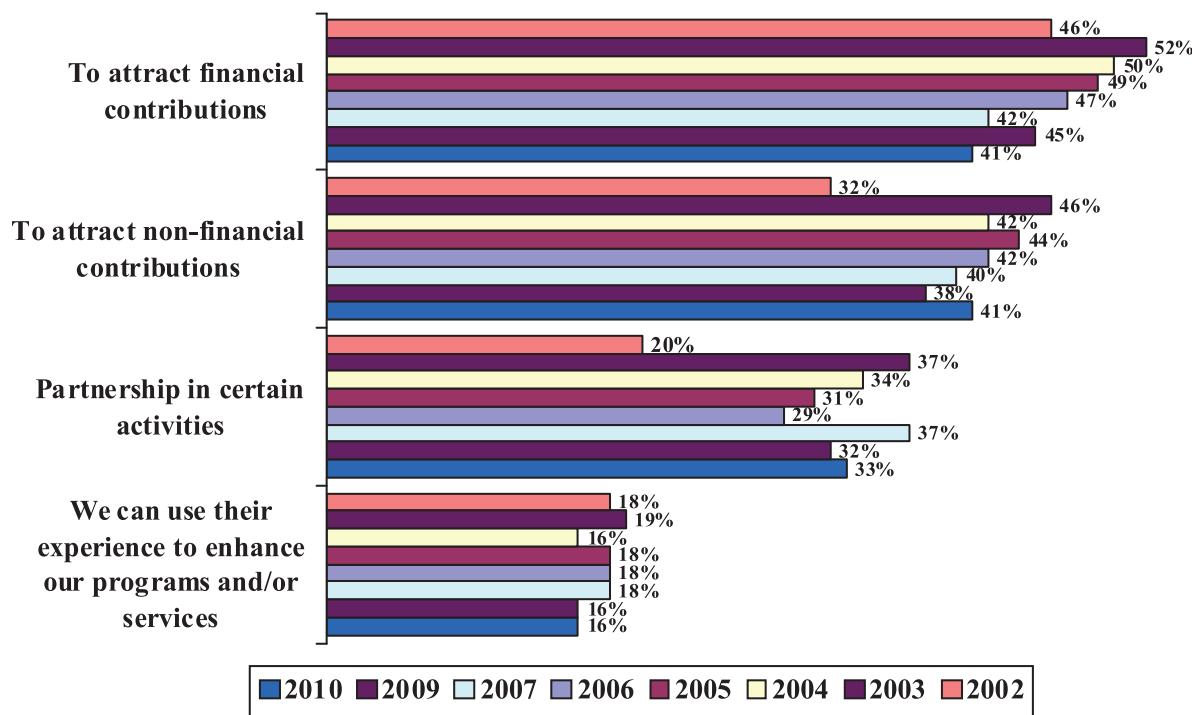
Graph 4.3.2

Reasons for CSO Cooperation with Businesses[102]

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 - 2010 (16% in 2010). Partnership with business in certain spheres was mentioned by 33% of CSOs that took part in the 2010 survey (in 2009 – 32%, in 2007 – 37%). The share of respondents that said they received in-kind contributions in creased (in 2010 – 41%, in 2009 – 38%). Financial support was received by 41% respondents, which is 4% less than in 2009. This fact can be explained by the decrease of business resources caused by the financial crisis.

The majority of CSO representatives interviewed (82%) 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.

**Motives for partnership between CSOs and the private sector**

for business sector

- emergence of new markets;
- CSOs influence in the community regarding controversial issues;
- the need for external control;
- mutual exchange of ideas;
- higher efficiency of distribution of resources;
- desire to prevent negative oppositions in the community;
- willingness to involve stakeholders;

for CSOs

- increased interest in the market;
- weaker government's role in problems solving;
- the need for more resources: financing, technical and managing expertise;
- higher trust between business and the government;
- mutual exchange of ideas;
- access, for instance, to the supply chain;
- increased financial solvency.
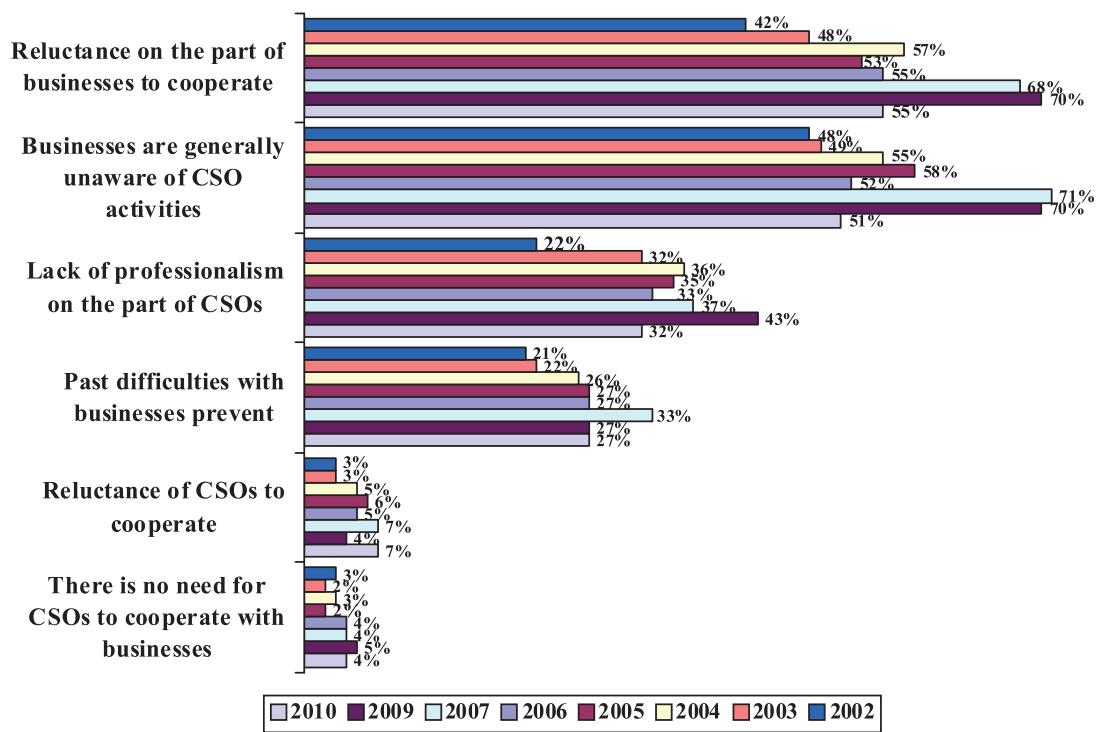
Graph 4.3.3

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* (51%) and *their unwillingness to cooperate with CSOs* (55%). In 2010, 32% of respondents thought that the *lack of professionalism on the part of CSOs* prevents such cooperation. It should be mentioned that in 2009 *lack of professionalism on the part of CSOs* was indicated by a significantly larger number of respondents (43%[103]).

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 th*e part of CSOs decreased.

CSOs' attitude to cooperation with businesses did not change very much. A large number of CSOs sees businesses not only as a source of financial support but as a potential partner as well.

Conclusion. *In 2010 like in the previous years CSOs see business organizations primarily as a source of financing. One should mention however that in 2002-2010 there could be observed a gradual growth of the number of CSOs that cooperate with businesses as partners. It should be also mentioned that the number of CSOs that chose receipt of financial and in-kind contributions as the main reasons of cooperation with businesses decreased. In 2010, CSOs cooperated with business more efficiently compared to the previous years. This fact is confirmed by a smaller number of respondents that mentioned reluctance to cooperate on the part of business, lack of knowledge of CSO activities, lack of professionalism of the pat of CSOs as the barriers for cooperation between CSOs and business. Sometimes CSOs are unwilling to cooperate with businesses that can be seen from the larger number of respondents compared to 2009 that chose reluctance to cooperate on the part of CSOs as a cause of limited cooperation between CSOs and business organizations.*

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

4.4 Cooperation with donors

According to the 2010 data, 66 % 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.
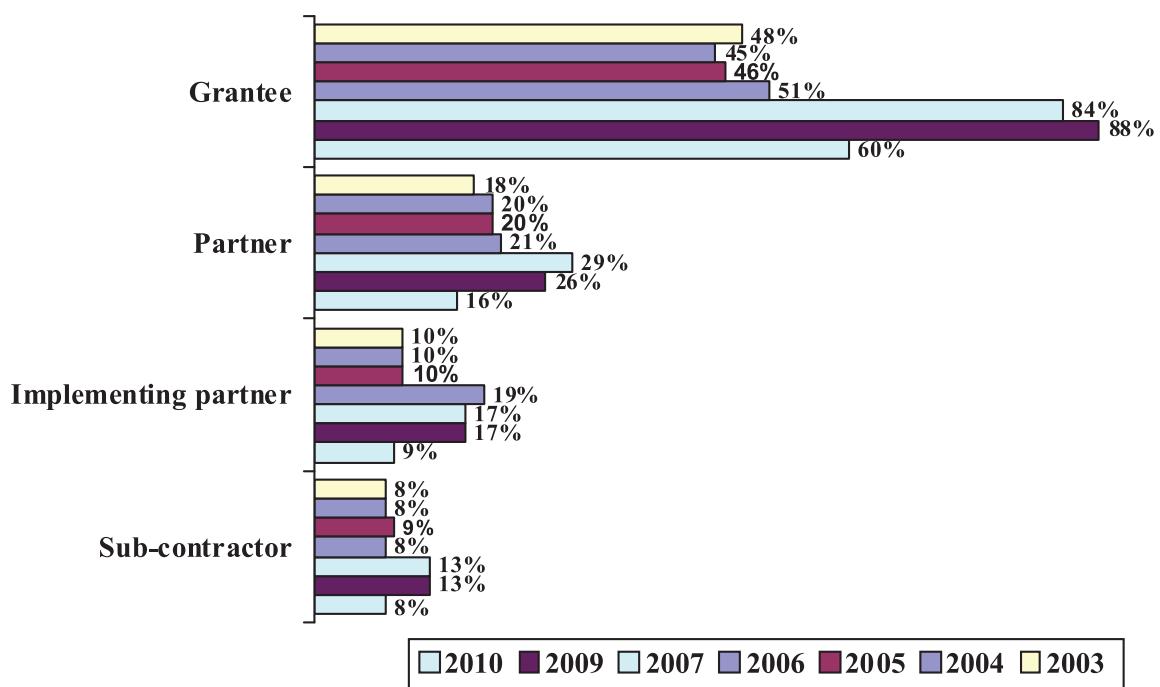
Graph 4.4.1
Types of Relationship CSOs Have With Donors[104]

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 2010 the percent of CSOs, who worked with donors as a partner decreased compared to 2009 (66% versus 26% respectfully[105]). The number of CSOs, who cooperated with donors as an implementing partners decreased twice (in 2010 – 9%, in 2009 – 17%[106]). Also, the number of organizations working with donors as subcontractors decreased (in 2010 – 8%, in 2009 – 13%[107]).

The number of CSOs that work with donor organizations as grantees decreased (60% in 2010[108], 88% in 2009, 84% in 2007, 51% in 2006, 46% in 2005, 45% in 2004, and 48% in 2003).

**Conclusion.** *In 2010 like in the previous years the majority of organizations were working with donors as grantees. However, compared to the previous two years the number of organization that work with donors as grantees decreased. One should also point out that the number of organizations that cooperate with donors as partners, implementing partners and subcontractors also decreased.*

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.

Every day, nearly half of CSO representatives (47%) meet the people to whom their activities are directed (see Graph 4.5.1). 41% of the interviewed CSOs meet their clients *daily*, the staff at 33% of organizations meets clients *weekly*, 16% - *monthly*, 4% and 5% - *quarterly* and *irregularly*.
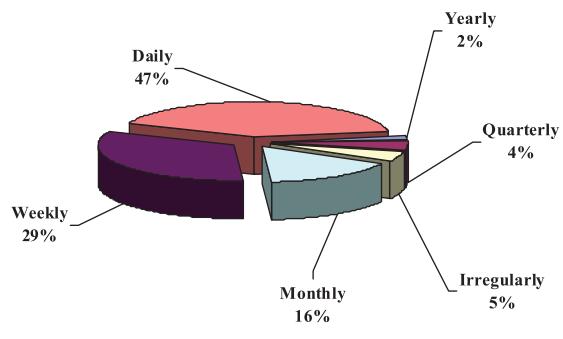
According to the results of research conducted by IFES in September 2010, 40% interviewed citizens said they knew about CSOs' activities in Ukraine. At the same time, 42% respondents said they did not know about CSOs' activities in Ukraine; 14% respondents said they had no idea what a CSO was.

Graph 4.5.1.
Frequency of Meetings Between CSO Representatives and Their Constituents[109]

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[110]. 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
2010	85%	48%	46%	40%	38%	18%	17%
2009	84%	55%	53%	39%	38%	19%	19%
2007	80%	51%	49%	35%	36%	22%	19%
2006	78%	60%	51%	33%	31%	22%	20%
2005	88%	53%	46%	28%	26%	21%	19%
2004	85%	50%	42%	27%	24%	23%	23%
2003	86%	52%	43%	23%	25%	24%	20%
2002	81%	48%	39%	18%	18%	19%	14%

Table 4.5.2
Method for Publicizing CSO Activities[111]

The most popular manner for publicizing CSO activities is by providing information to the press (85% of respondents in 2010, 84% of respondents in 2009, 80% of CSO in 2007[112], 78% in 2006, and 88% in 2005). 48% of surveyed CSOs in 2010, 55% of organizations in 2009[113], 51% in 2007 distributed brochures and flyers. 46% in 2010, 53% of CSOs in 2009[114], and 49% in 2007 held presentations. If the tendencies for the past nine years are analyzed, it can be observed that such publicity mechanisms as web pages and press releases to mass media 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, 45% said that the community is aware of their activity. 20% of the respondents answered that the community supports the CSO through involvement in its activities.

[109] Question # 89
[110] The difference is statistically significant at 1% level.
[111] Question # 90
[112] The difference is statistically significant at 1% level.
[113] The difference is statistically significant at 1% level.
[114] The 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, 53% do so regularly while 45% 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).
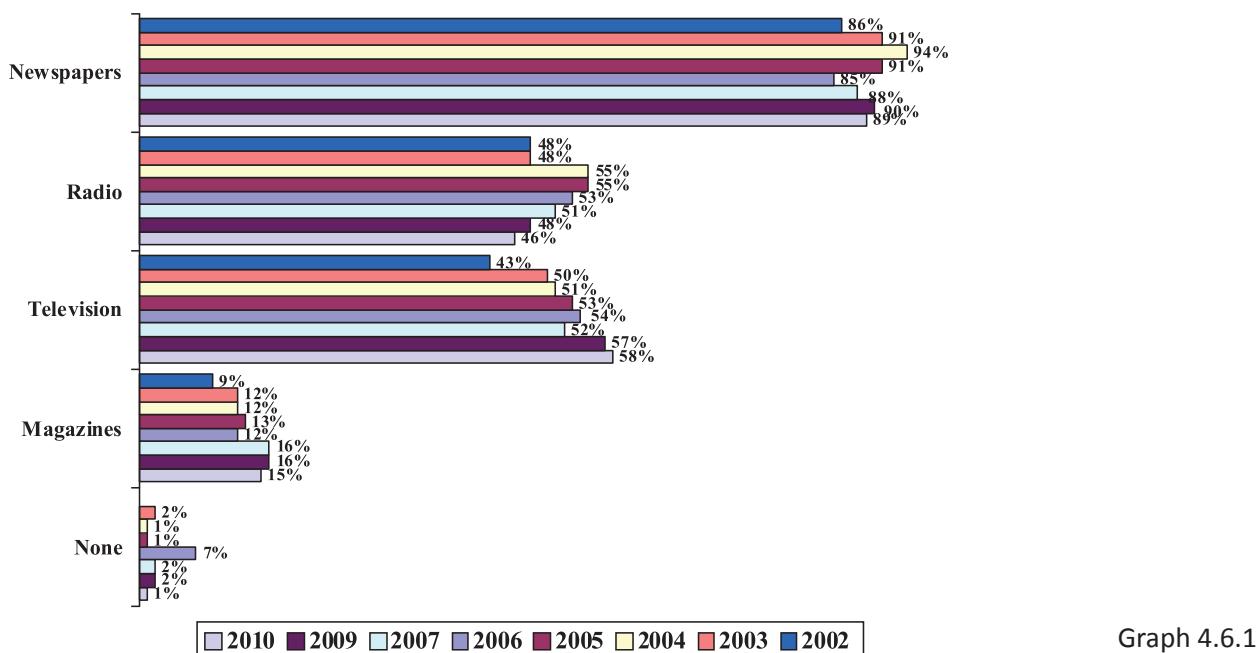
Graph 4.6.1
Media Sources Used to Disseminate Information

According to the data collected, newspapers are most often used by the CSOs to publicize their activities (89%). This indicator remained almost unchanged in comparison to 2009 but is higher than in 2007 – 88% and 2006, 2005 - 91% and 2004 - 94%. The next most popular means of information dissemination is television: 58% of CSOs use this medium to inform the public about themselves. The increase in CSOs cooperation with television during the last years is noteworthy. The frequency of using radio is less than in prior years (2010 - 46%, 2009 - 48%, 2007 - 51%[115], 2006 – 53%, 2005 and 2004 – 55%, 2003 and 2002 – 48%).
The frequency of using magazines for information dissemination has somewhat decreased compared with 2009 (15% - in 2010, 16% - in 2009).

Conclusion. *Ukrainian CSOs most often disseminate information about their activities through the mass media. This channel of dissemination of information about CSO work has been the most popular during nine years when survey was conducted. Quite popular channels of dissemination of information about CSOs are booklets, leaflets about the organizations, conduct of presentations and dissemination of information through the CSO's web-site or web-sites of other organizations. There is a trend toward the growth of the number of CSOs that disseminate information through their own web-sites or web-sites of other organizations. This trend can be connected to the growth of the number of organizations that have their own web-sites. Information about CSO activities most often is published in newspapers, on radio and television.*

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

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

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

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

5.1 Services and program development

Graph 5.1.1 shows the respondent's answers regarding the frequency of member, staff, volunteer, and client involvement in the planning and development of CSO program activities
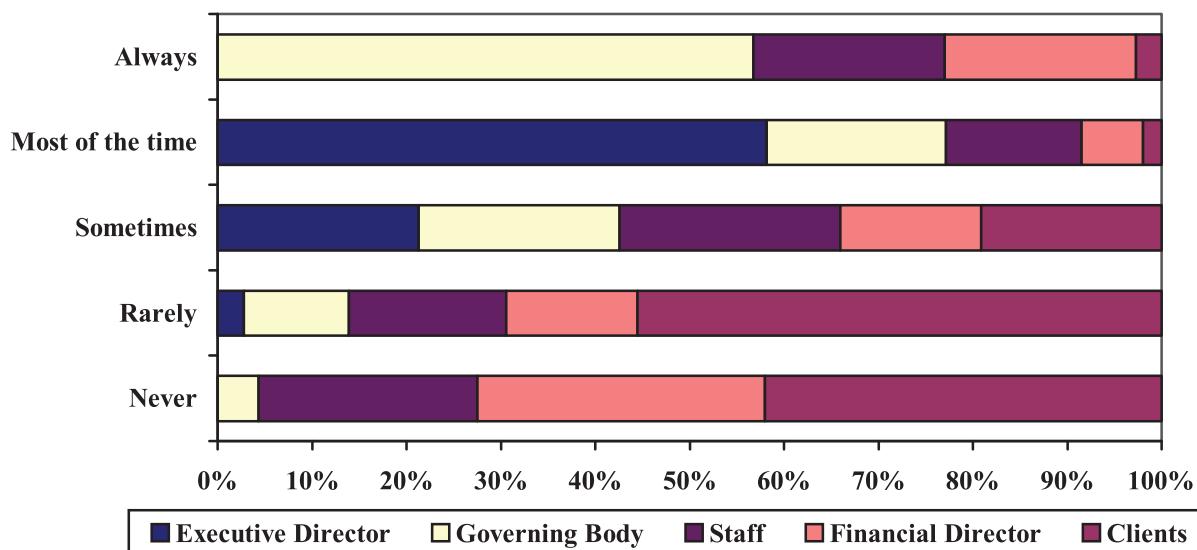
Graph 5.1.1
Frequency of Involving Different Groups into
Planning and Development of Program Activities[116]

According to the results, the Executive Director is the main person responsible for planning program activities in 96% of organizations (these respondents chose options such as *almost* and *most of the time*).

Similarly, in 71% of organizations, the collective governing body was largely involved in program activity planning in 2010. Thus, the indicator for collective governing body involvement in program planning is high.

Staff, the financial director, and members of the organization are involved in the process f*rom time to time*, *most of the time,* and *sometimes*. However, when analyzing the activity of the mentioned employees, the reasons for frequent choosing *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. 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 21% of cases.

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 12% of CSOs – *always/most of the time*

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[116] Question # 94

and in 19% of organizations - *sometimes*). Client involvement in planning and development of program activities turned out to be very low and lower compared to involvement level of volunteers (at 5% of CSOs- always/most of the time, and at 9%- sometimes).

According to the data on Graph 5.1.2, you can make conclude that a majority of CSOs (61%) conduct clients accounting of organization. But rather significant percent of CSOs (38%) does not conduct clients accounting of organization

Don't know
1%

No
38%

Yes
61%
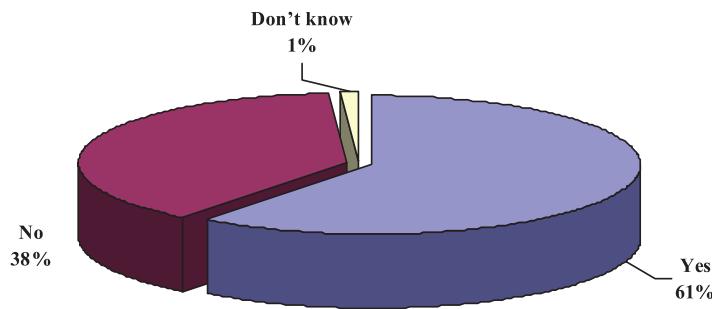
Graph 5.1.2
Does CSO conduct clients accounting of organization?
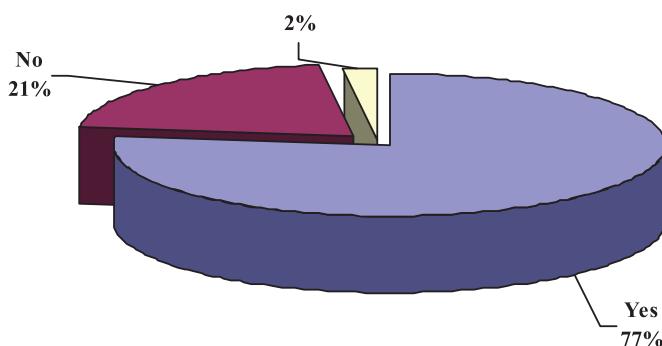
According to data from the 2010 survey, 77% of CSOs have debugged mechanism of inversely connection with organization clients. 21% of CSOs does not have mechanism of inversely connection with organization clients.

2%

No
21%

Yes
77%

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

Monitoring is the process of ongoing collection of information on all aspects of organization's activities in order to monitor the course of implementation of the identified activities. Monitoring explores the emerging problems and the necessary changes, and makes it possible to introduce timely corrections to the activities and events before they become too serious or uncontrolled.

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 6% of CSOs don't conduct a needs assessment of their target groups before the project.

78% of respondents said that their organization conducts evaluation of its programs/ projects in 2010. In comparison with 2009, the number of organizations that conduct activities evaluation decreased insignificantly (79% - 2009).

No
6%

Don't know
0%

Yes
94%
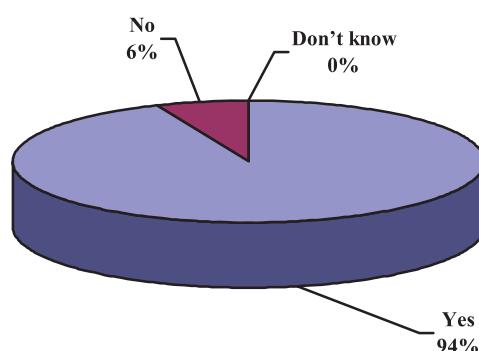
Graph 5.1.4
Number of Projects Implemented in the Previous Year[117]

117 Question # 95b

The data in Graph 5.1.5 compares the reasons that enforced CSOs to evaluate their own activity. The respondents could choose multiple variants. 78% of the interviewed CSOs said that their evaluation of activities was required by the internal management needs, 47% indicated that they conducted income mark for donors demand, only 8% conducted the mark of activity for clients demand and 5% for government demand.

Program evaluation is a systematic collection of information about activities, characteristics and results of the program in order to: (a) evaluate the program, (b) improve efficiency of the program and/or (c) make a decision on the further activities.
Project evaluation is a process of collection and analysis of information in order to determine the relevance of activities carried out during the project to the planned goals as well as confirmation of assistance of the said events in the achievement of the project goal.
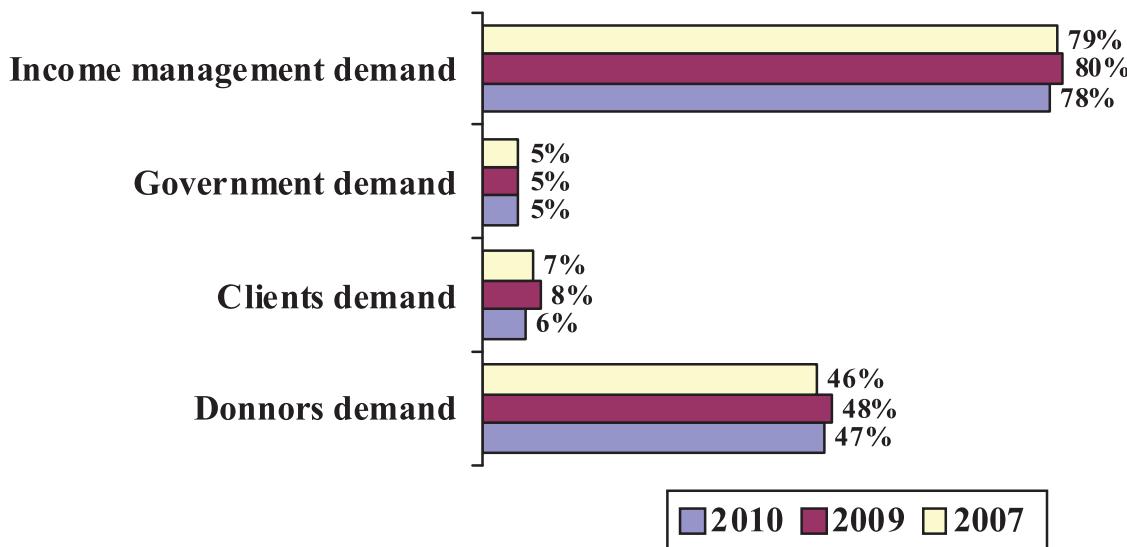
Graph 5.1.5

Causes that Necessitated Evaluation of Activities in 2010-2007 [118]

Graph 5.1.6 reflects the intensiveness of program activity of Ukrainian CSOs for 2010. More than half of the respondents implemented between one and three projects (51%). 20% of the organizations interviewed completed four to five projects and 23% of surveyed CSOs had the most intense program activity (implemented more than five projects during 2010). 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.
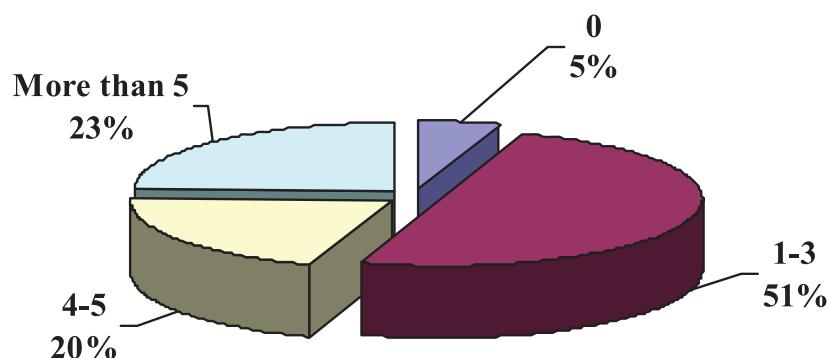
Graph 5.1.6

*Number of Projects Implemented in the Previous Year***

118 Question # 96
** 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.

> **Annual report** is a complete report on the organizations' activities during the previous year. The goal of such report is to provide information to the project's target groups and all stakeholders about organization's activities and financial status.

One can be sure that CSOs that publish their annual report are more open to informing the community about their activities. Thus, 50% respondents said their organization published an annual report in 2010.
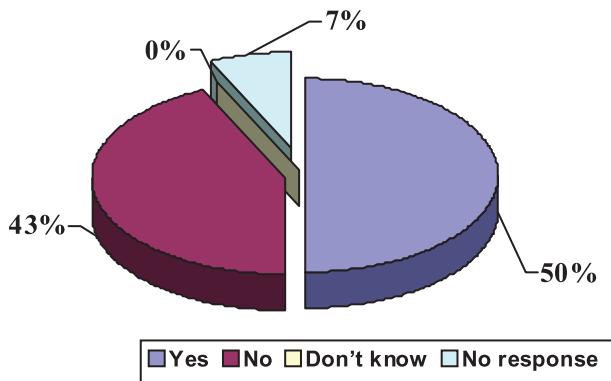
This figure is lower than in 2009 (58% in 2009[119]) but higher than in 2006 (31% respondents). The majority of the surveyed CSOs disseminate an electronic version of their annual reports though the CSO web-site (36%), electronic mailing lists (20%), and publication in the mass media (16%). 10% of the surveyed CSOS hand out their annual reports during the CSO events and on the web-sites of other CSOs. Printed annual reports of CSOs are most often disseminated during the CSO events (56%) and mailing links (6%).

Graph 5.2.1
Does the Organization Publish an Annual Report?

The survey results demonstrated that 58 % interviewed CSOs send their reports to the governmental institutions, 55% - to the organization members, 51% - donors, and only 16% respondents send their annual reports to their clients. .
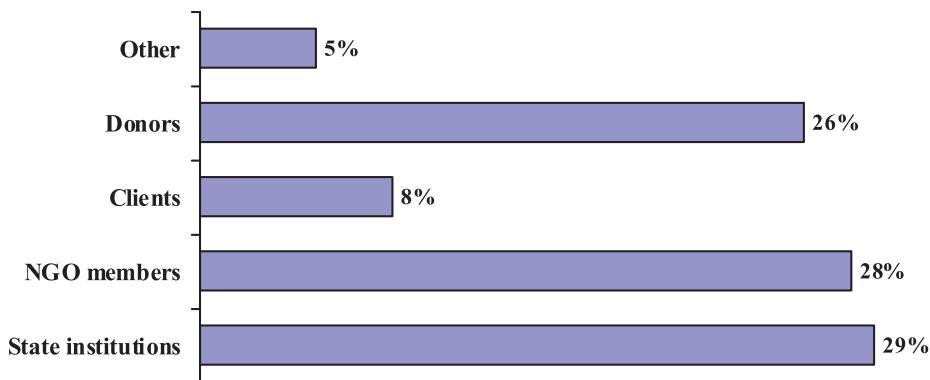
Graph 5.2.2
Annual Report Recipients

Ukrainian CSOs in general have stable systems of financial management and control. More than two-thirds of organizations (68%) have an accountant; 62% of organizations think that their accounting system corresponds with national and/or international standards. 61% of CSOs have a financial management system for financial planning, implementation and reporting.

In 2010, 54% of the interviewed CSOs conducted internal audit. However, only 26% underwent external financial. 50% did not but are ready to undergo audit, and 13% did not and are not ready to undergo audit.

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[119] 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.

69% 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.

Partnership is a form of cooperation between organizations based on an agreement between the partners that sets forth the goal of their cooperation, rights, responsibilities and liability of each party. Conditions of successful participation:
- trust and openness
- team work based on consensus and consultation
- respect for the mission of each partner
- concern for expectations and limits of each partner
- distribution of power, risks and responsibility
- joint investment of resources
- constant support for target groups and stakeholders
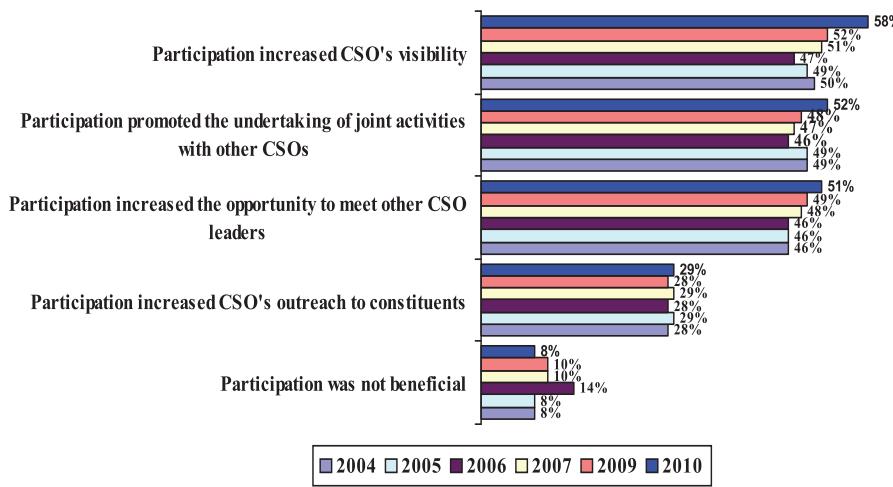
A **network** is a system of interrelated people or organizations that are united or connected by common interests or values.

Graph 5.3.1
Evaluation Past Participation in Coalitions or Working Groups[120]

Graph 5.3.1 shows that participation in coalitions or working groups was useful for the majority of CSOs. It helped them to become better known, to plan joint events with other organizations, to meet the leaders of other CSOs, and to involve clients more efficiently. Still, 8% of CSOs said that participation in coalitions or working groups was not useful for them. This percentage increased by 2% compared to 2009.

Comparison of the results of research conducted in 2004 - 2010 demonstrates that in 2010 the number of organizations that said that their CSO became better known as a results of cooperation with other CSOs increased (in 2010 – 58%, in 2009 – 52%[121], in 2007 – 51%, in 2006 – 47%, in 2005 – 49%, in 2004 – 50%). Also, in 2004-2010 the number of CSOs that selected an opportunity to meets the leaders of other CSOs increased (51% in 2010, 49% in 2009, 48% in 2007, 46% in 2004-2006[122]).

A **coalition** is a temporary voluntary formal or informal association of stakeholders, groups or organizations created in order to achieve a common goal or influence certain organizations or institutions based on common interests and resources as well as by means of adoption of certain rules and methods of management, coordination and mutual concessions, compromises on the basis of the balance of interests and equality of all partners regardless of their social status, numeric strength and the power of political influence.
Typical features of a coalition:
- common goal
- mutual consent on the goals and tasks among the coalition members
- voluntary membership
- absence of hierarchy
- coordination of activities
- activities based on partnership
- availability of sources of financing
- independence from the government
- preservation of autonomy
- non-partisanship
- transparency of activities

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120 Question # 78
121 The difference is statistically significant at 1% level.
122 The difference is statistically significant at 1% level.

5.4 Accountability. Transparency. Ethical Norms

In 80% of organizations with members, CSO members have access to the financial documentation of the organization if they desire it.
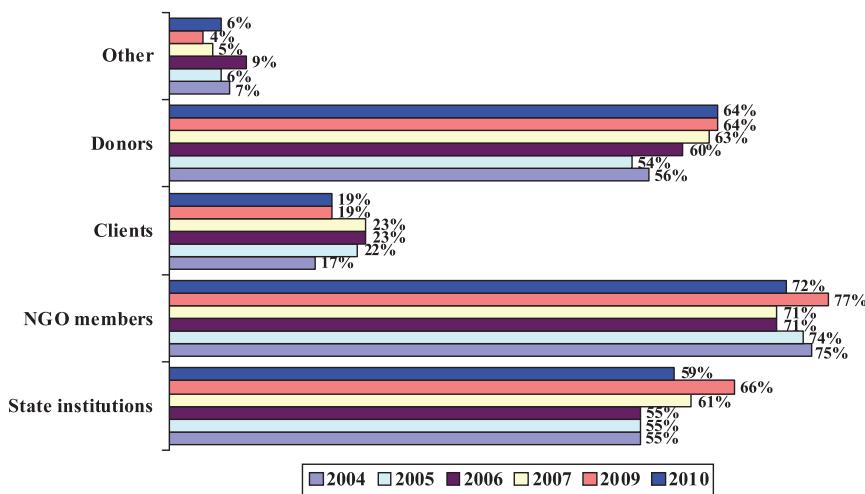
Graph 5.4.1
Institutions to Whom CSOs are Accountable [123]

The data given in Graph 5.4.1 shows that the majority of organizations with members (72%) report to their members, 64% of CSOs report to donors, 59% - government authorities, 19% of the organizations report to their clients. During 2004 - 2010, the number of organizations that report to the organization members and governmental bodies was fluctuating. Compared to 2004, the number of organizations that report to donors increased.

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

Accountability is a management aspect that is related to the governmental, non-governmental and private institutions and organizations. Accountability includes understanding and responsibility for actions, decisions and policy, including management, governing and implementation of duties assumed within the scope of authorities or job responsibilities that include the duty to report, explain and be accountable for the results and outcomes of activities

Transparency is an aspect of the organization's activities.s
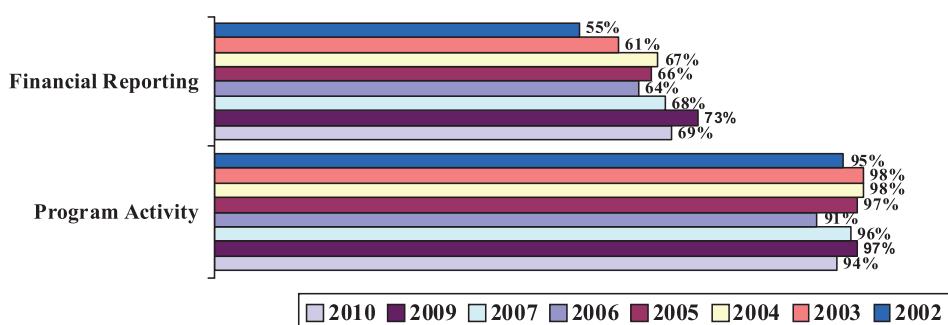
Graph 5.4.2
The Number of CSO Leaders Admitting a Need for Transparency in Financial and Program Activity [124]

The majority of CSOs, (94%) in 2010 admit that the community should be aware of CSO program activity, however this indicator is lower than in the previous years, and in 2009 it totalled 97%[125], in 2007 this percentage was 96%, in 2006 - 91%. From 2002 to 2005 this index did not change significantly (difference is statistically significant at 5% level). 69% of CSOs mentioned the need to inform the public about the CSO's financial activities. Compared to 2009, this figure decreased (73%[126]). However, it is higher than in 2002 (55%).

Ethics is a theory of the fundamental principles of morality and norms of human activities from the point of view of understanding of the good and the evil (F.Brokgauz, I.Efron, Encyclopaedic Dictionary); the moral aspect of organizations' activities; a system or code of behaviour. It is based on universal moral obligations that demonstrate how one should behave. Ethics is related to an ability to distinguish between the good and the evil, correct from incorrect, adequate from inadequate.

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[123] Question № 98
[124] Question № 99
[125] The difference is statistically significant at 1% level.
[126] The difference is statistically significant at 1% level.

41% of the respondents said that during the past year they themselves took part in 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 and 87% in 2010 (difference is statistically significant at 1% level).
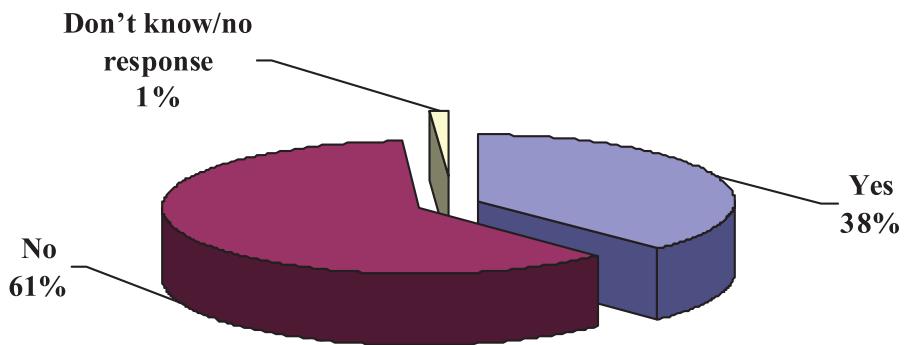
Graph 5.4.3*
CSOs Possessing Rules of Conduct or Codes of Ethics

According to the 2010 data, 38% of organizations have written and defined and written ethical norms for their organization.

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 (57%) consider themselves to be knowledgeable about current legislation that influences the activity of their civil society organization in a certain way. 41% of the respondents think that they are partially aware, and only 1% 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 fluctuating: 53% of the respondents in 2002, 64% in 2004, 58% in 2005, 60% in 2006, and 62% in 2009, 57% in 2010 (difference is statistically significant at 1% level).

In 2010, the main legislative obstacles for development of the third sector were: *CSOs' passiveness in ensuring that laws and regulations are implemented properly* (42% respondents), *tax legislation* (41% of the interviewed CSOs), *legislation in general* (40% respondents). The analysis of Graph 5.5.1 demonstrates that one of the most important legislative obstacles on the way of the third sector development in 2002-2010 is tax legislation (35% respondents in 2002, 55% in 2003, 50% in 2004, 54% in 2005, 45% in 2006, 43% in 2007, 47% in 2009, and 41% in 2010[128]). In 2010 the number of organizations that selected *insufficient enforcement of laws and regulations* as an answer (was 33% compared to 24% in 2002, 43% in 2003 - 2004, 46% in 2005, 41% in 2006, 35% in 2007, 37% in 2009[129]).

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* Question # 104

[128] The difference is statistically significant at 1% level.
[129] The difference is statistically significant at 1% level.
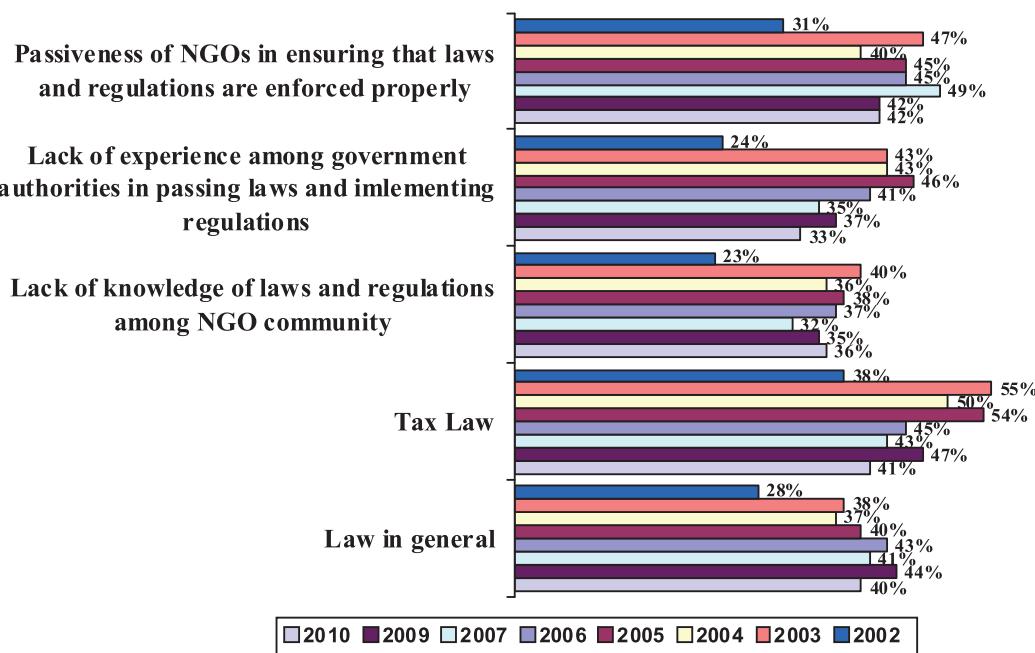
Graph 5.5.1

Main Obstacles to the Development of the CSO Sector 2002-2010

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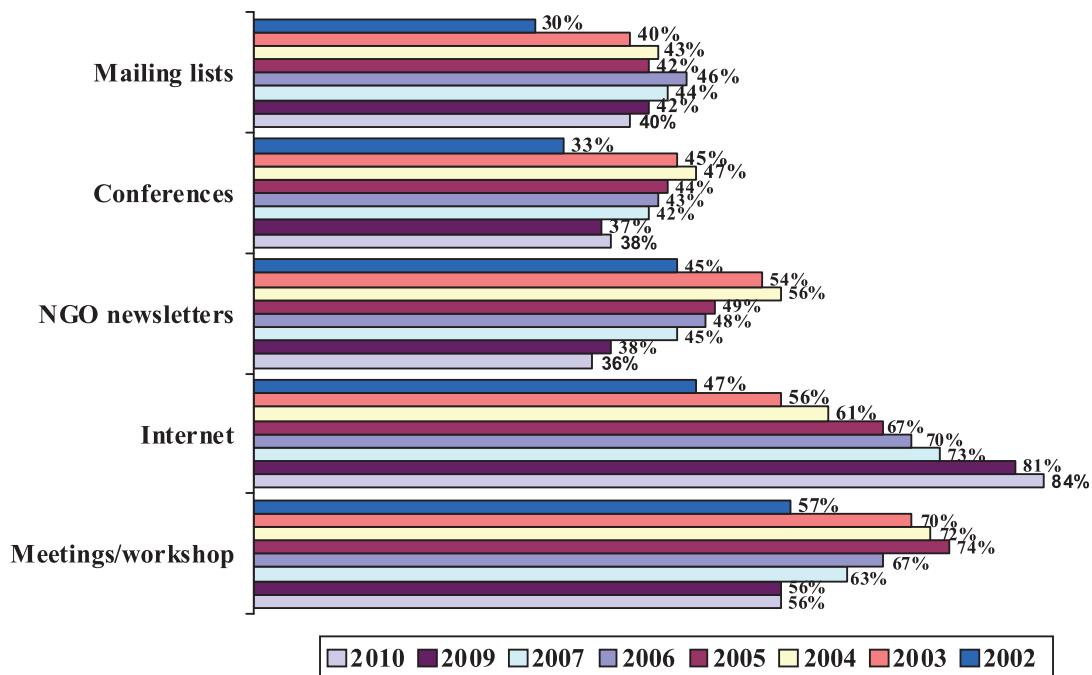
Graph 5.5.2

Sources of Information about Changes to Legislation*
2002-2010

In general, the number of organizations that use any of the listed information sources has increased dramatically in 2010. High indicators for each of the options illustrate that many organizations simultaneously use multiple sources.

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*   Question № 107.

In general, the number of organizations that use any of the listed information sources has increased dramatically in 2010. High indicators for each of the options illustrate that many organizations simultaneously use multiple sources.

In 2010, 84% of CSOs found the *internet* (81% in 2009[130]) and *meetings and workshops* – 56% (56% in 2009) to be the most functional information source on changes to current legislation and regulatory acts. 40% of CSOs utilize mailing lists, a slightly lower percentage than that recorded in 2009 - 42%. It should be noted that the role of the internet as the source of information for Ukrainian CSOs has increased over the past nine years. At the same time, informational newsletters and meetings and workshops became less popular among CSOs.

One other dimension of internet usage was studied in 2010. The option *internet* was added to the questionnaire as a method for spreading information about the CSO activities. Thus, in 2010, 85% of CSOs questioned used the internet as a method for spreading information about their organization (in 2009 – 77% of CSOs[131]).

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

Table 5.5.3.
Internet Usage by Ukrainian CSOs, 2002-2010

Table 5.5.3 demonstrates a trend toward an increase of the number of CSOs that have an e-mail address and their own web-page in 2002-2010.

	2002		2003		2004		2005		2006		2007		2009		2010
Absence of e-mail and internet access is an internal organizational barrier for the CSO	22%	−	18%	−	16%	−	15%	⇓	11%	−	8%	⇓	6%	⇓	4%
Access to internet is a needed support to CSO	22%	−	23%	−	21%	−	18%	⇓	15%	−	13%	⇓	8%	⇓	5%

Table 5.5.4.
CSOs' Needs for Internet Access/e-mail, 2002-2010

Only 4% of respondents reported that the unavailability of e-mail and internet access is a barrier for the CSO development. This figure decreased significantly in 2002-2010. In 2002 it totalled to 22%, and in 2010 it was just 4% . Similar situation is observed with regard to the need for the internet access. Analysis of the situation between 2002 and 2010 reveals that over the last nine years, the CSOs' needs increased by level of access to the internet and e-mail (the difference is statistically significant at 1% level).

Conclusion. *The main legislative obstacles on the way of the third sector development in 2002-2010 is CSOs' passiveness in ensuring that laws and regulations are enforced properly, tax legislation, and legislation in general. In 2010, the number of organizations that mentioned tax legislation and legislation in general as a barrier for their activities decreased considerably. Most often, respondents receive information about changes/updates of laws through the internet, meetings/workshops and electronic mailing lists. During the last nine years, there has been observed a trend toward an increase of the number of CSOs that receive information about legislative changes in the internet.*

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[130] The difference is statistically significant at 5% level.

[131] The 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.

6. The Organizational Capacity Index of Ukrainian CSOs

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

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

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

The results are based on empirical data on Ukrainian CSOs, received during the 2002-2010 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 2010
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.

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

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

Graph 6.1.
Trends in the Organizational Capacity of CSOs by Components, 2002-2007

Results in 2010: In 2010 the average score of the organizational index is 0.55 (1-point scale); this is an indication of the maintenance of an average capacity in Ukrainian CSOs. Compared to the 2009 results, this index decreased **(0.6** in 2009). 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 Capacity Index presented below helps us identify the strengths and weaknesses of Ukrainian CSOs according to the suggested model (Graph 6.3.)
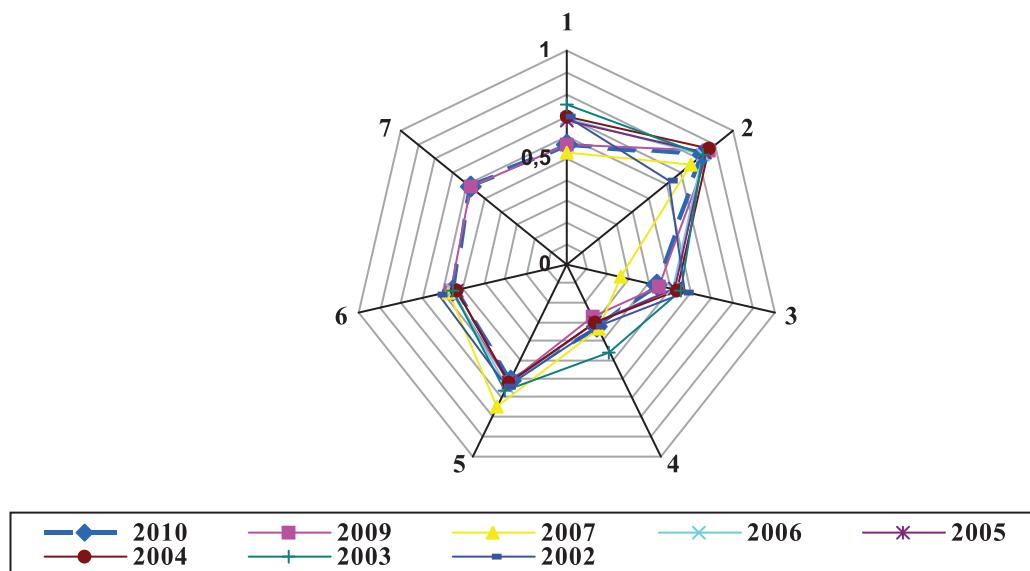
Table 6.2.
Organizational Capacity Index by Components in 2009 and 2010

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

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

Component	Index 2009	Index 2010
Component 1.CSO practices strategic management	0.56	0.56
Component 2.CSO has an effective governance structure	0.85	0.82
Component 3.CSO leadership and management style is participatory	0.44	0.43
Component 4.CSO has a fundraising strategy	0.27	0.33
Component 5.CSO financial management systems meet accounting standards	0.62	0.61
Component 6.CSO has sufficient human and financial resources management procedures	0.56	0.54
Component 7. CSO legitimacy	0.58	0.58
Average Index Score	**0.6**	**0.55**

Graph 6.3.
Organizational Capacity Index by Components, 2009-2010

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 2010. However, the functions of leadership and administration overlap in many organizations and hinder the effective development of those organizations. 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 and are members of coalitions or networks.

The presence of *effective management structures* is the strongest component in the organizational system index based on the data received in 2010. 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 is still not being implemented with maximum efficiency.

The second component that received the largest number of points characterizes CSO activities in terms of financial management of the organization. According to the research results, CSOs assessment with regard to this component was above average. 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.

According to the research results, the level of the legitimacy component is rather high. In the majority of surveyed CSOs at least one representative of the target group is represented in the collective governing body. 331 organizations out of 610 polled CSOs have a mechanism for receiving feedback from the organization's clients.

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 129 organizations out of the 610 polled have developed a financial plan spanning at least for one year. One should also mention that compared to the results of 2009 survey, this component slightly increased.

Conclusion. *The average score on the Organizational* Capacity *Index suggests that CSO capacity for organizational development is moderate and that generally CSOs do have stated standards of management. At the same time, one should mention a low level of the component characterizing the fundraising strategy. According to the 2010 research, 67% of CSOs don't have a fundraising plan in a written form and only 31% of CSOs have it. In 2010, the highest mark was that of the component concerning the effective governance structure. According to the results, 89% of CSOs have a governing body, 90% have a written document that confirms the function of the governing structure. 80% CSOs elect governing bodies. One can conclude that the interviewed 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

Advocacy means activities aimed at representing the citizens' interests through participation in decision-making for changing the state policies ar the local or national level; awareness of the participants of the process; legislation.
Advocacy consists of a number of interrelated steps aimed at ensuring long-term transformations in the society, community or the ways of approving political decisions by means of public mobilisation.
Lobbying means activities for representation and protection of the interests aimed at improvement or change of legislations – specific laws or regulations that are part of formal manifestation of the state policy. CSOs can prevent legislators from adoption of laws and demand they should finance important problems solving. Also, civil society organizations may suspend activities that harms the communities or may have an adverse impact on the problems solving process.

- 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 37% 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 3.01 in 2010, in other words, the CSOs have an average capacity to advocate and lobby for important issues and to influence the decision making process. This index decreased insignificantly compared to 2009 (3.04 in 2009). 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 for last nine years.

Three components: formulating and lobbying the position, conducting a viable policy position on the issue, and obtaining and allocating material, financial and time resources 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	Score 2010
1	CSO collects information and researches the issue	2.51	3.63	3.6	3.54	3.64	3.63	3,61
2	CSO systematically seeks input and response from its members and the public on the issue	2.55	3.28	3.24	3.22	3.28	3.26	3,27
3	CSO formulates a viable policy position on the issue	2.22	3.05	3.02	3.03	2.50	2.54	2,46
4	CSO communicate position/stand on the issue	2.2	2.73	2.69	2.72	3.04	2.99	2,94
5	CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue	2.3	3.07	3.05	2.95	2.71	2.72	2,64
6	CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue	2.02	3.12	3.04	3	3.02	3.04	3,02
7	CSO takes follow-up actions to influence policy and/or to maintain public interest.	2.17	2.56	2.54	2.52	3.12	3.13	3,14
	OVERALL INDEX	**2.28**	**3.06**	**3.03**	**3.00**	**3.04**	**3.04**	**3,01**

Table 7.1

Advocacy and Lobbing Index Scores by Components
2002-2010

This information is presented in Graph 7.1. The lines connect the average meaning of the index components for one year.
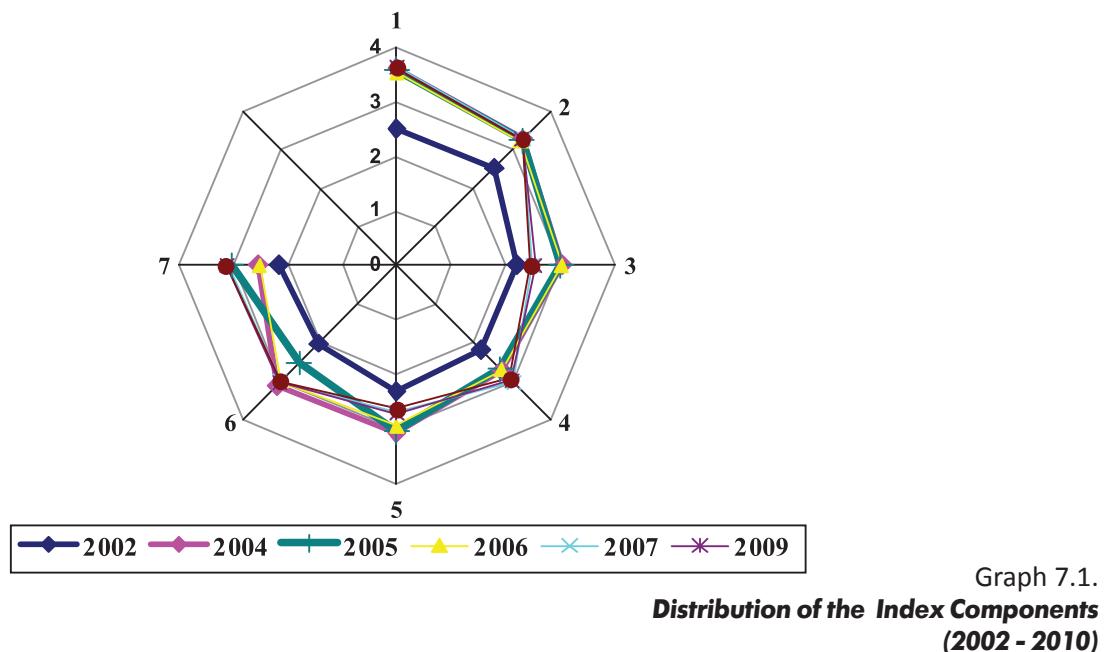
Conclusions. *70% of CSO always or in most cases collect and research issues that are very important to clients. 68% of the organizations always and in most cases identify the interests of all the interested parties while developing and identifying the socio-political positions. 63% of the CSOs always and in most cases research the corresponding government institutions and their role in solving issues that are of interests for CSOs.*

	West	East	Center	South	Average Index Score
Component 1. CSO collects information and researches the issue	3,64	3,51	3,61	3,64	**3,61**
Component 2. CSO systematically seeks input and response from its members and the public on the issue	3,33	3,09	3,25	3,33	**3,27**
Component 3. CSO formulates a viable policy position on the issue	2,44	2,10	2,57	2,55	**2,46**
Component 4. CSO communicate position/stand on the issue	2,88	2,70	2,98	3,16	**2,94**
Component 5. CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue	2,67	2,48	2,67	2,64	**2,64**
Component 6. CSO builds coalitions and networks to obtain cooperative efforts for joint action on the issue	3,02	2,73	3,08	3,17	**3,02**
Component 7. CSO takes follow up actions to influence policy and/or to maintain public interest	3,25	2,90	3,10	3,20	**3,14**
OVERALL INDEX	**3,03**	**2,78**	**3,03**	**3,10**	**3,01**

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, formulation of a sustainable and viable position concerning the issues that are important for their clients, monitoring the drafting and implementation of laws. CSOs initiate building coalitions and networks, but this does not mean that these coalitions are effective advocacy tools. CSOs role as advocates of the Ukrainian citizens' interests recently decreased considerably, but organizations still need to work on coordinating advocacy actions, to plan their activities correspondingly, 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	0.68
By membership in a coalition or network	0.15
AVERAGE SCORE	**0.41**

Table 8.1.
The Coalition/Network Effectiveness Index, 2010

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. It should be noted that in 2010 this Index decreased compared to 2009 (0.71).

Conclusions. *The results of the research in 2010 showed that the most popular types of cooperation among the interviewed CSOs was information exchange (85% of CSOs), meetings (73%), common activities (72%), and partnership projects (60%). 418 out of 610 organizations declared they participated in coalitions, and most of them participated in one coalition.*

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.

Legitimacy refers to perception by the key players in the society of the fact that existence, activities and impact of CSOs are legal and compliant with the values and institutions identified by the society.

Legitimacy means a right to exist and work in the society, i.e. organization and its activities are legal, perceived and eligible (*Edwards*)

Aspects of CSOs legitimacy
- **Legal legitimacy** (registration)
- **Normative legitimacy** (social values, norms and standards)
- **Pragmatic legitimacy** (provision of direct services or creation of better conditions)
- **Cognitive legitimacy** (compliance of the organization's activities with the society's expectations)

Sources of CSO legitimacy
- *Legislation (including accountability);*
- *Standards, codes and licenses;*
- *Activities of the organization*

Why CSO legitimacy is a problem?
Because of the CSO nature:
- CSOs mobilize people and resources demonstrating its commitment to social values and mission;
- Groups, with which CSOs work (staff, clients, governmental bodies, donors, etc), have competing requirements, and CSOs are to follow their missions;
- When solving the problems of their clients, CSOs may come across the interests of other groups with which they work.
Because of the external factors:
- The legitimacy problem became important for all institutions;
- Controversial behaviour of CSOs that caused doubts as to their stated and real missions and values;
- Questions from institutions that are the target of CSOs public advocacy campaigns.
PLUS the growing role of CSOs in social development and changes.

Ways to improve CSOs legitimacy
1. **Adjustment of the organizations to the already existing models of legitimate CSOs** (corresponds to the legal, normative and cognitive aspects of legitimacy);
Actions:
Adaptation of the organizational structure, procedures and systems to the structures, procedures and systems of organizations whose type or activities areas are similar and that are already legitimate.
2. **Provision of information to the external players in terms and standards that are acceptable for them** (corresponds to the legal, normative and cognitive aspects of legitimacy);
Actions:
Organization communicates with different groups using the terms associated with socially acceptable goals, activities and results
3. **Manipulations with myths, symbols and procedures in order to increase cognitive legitimacy;**
 Actions:
Organization creates and uses myths, symbols and procedures
4. **Development of new definitions and standards of legitimacy** (in teh conditions of changing environment caused by the challenges of the time).

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	0.76
Question 2. To what extent are beneficiaries of your organization involved in planning programs and projects for the organization?	**0.05**
Question 3. Does the CSO assess the needs of the project target group?	**0.89**
Question 4. Does the CSO keep a record of all the beneficiaries that received services from the organization?	0.54
Question 5. Does the CSO have a feedback mechanism in place for its services?	0.69
Question 6. Does the CSO normally conduct evaluations?	0.78
Question 7. Does the CSO usually use external evaluators?	0.23
AVERAGE SCORE	**0.56**

Table 9.1.
The Constituency Legitimacy Index, 2010

Conclusions. *The survey results demonstrated that the majority of the interviewed CSOs have at least one representative of the target group in their collective governing body (0.76). The majority of the surveyed organizations study the needs of target groups of the project (0.89), conduct the program and project evaluation (0.78) and have a feedback mechanism for communication with their clients (0.69). The level of clients' involvement to program activity planning is rather low (0.05). Cross analysis of the results received in 2009 and 2010 shows a slight decrease of this index (0.67 in 2009[133]).*

[133] The difference is statistically significant at 5% level.

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.

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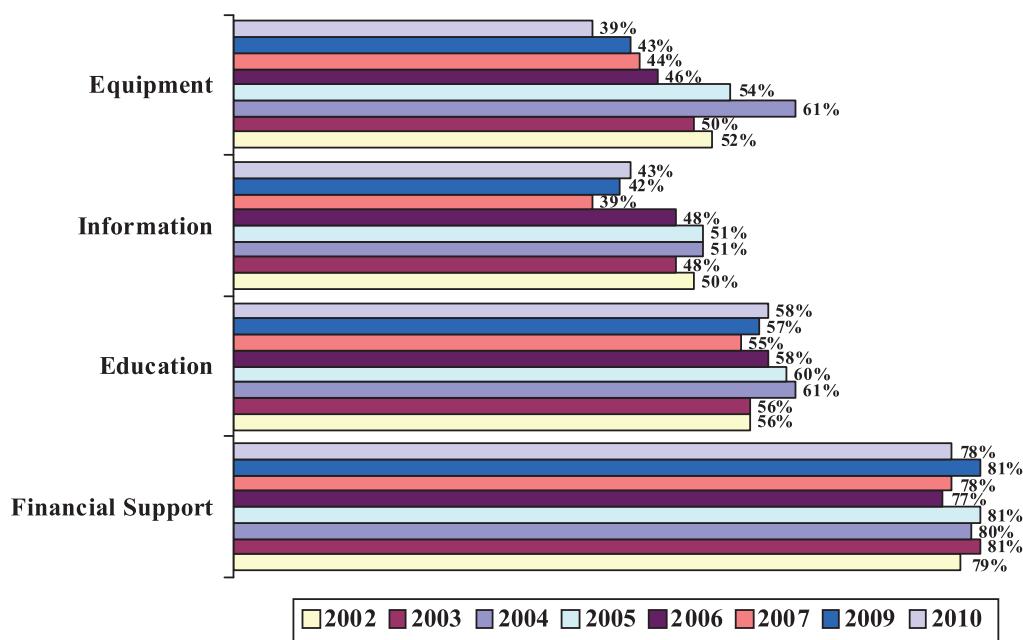
Graph 10.1
CSOs' Needs*

Data of 2010 research shows that 78% of CSOs choose Financial Support as the core need. This index is high and has remained stable during the last nine years. Compared with results from 2009, need for financial support decreased by 3% (difference is statistically insignificant at 5% level). 58% of respondents stated the need for training. 43% of CSOs pointed to the need for more information, this index decreased by 7% compared to 2002.

Analysis of the results of research for the last nine years brings us to a conclusion that the need for equipment has decreased compared to previous years. At 39%, the number of CSOs to specify this need was the lowest recorded percentage from the last nine years.

Internal Obstacles for CSOs. For the ninth consecutive year, insufficient funding remains the most serious problem facing Ukrainian CSOs. The need for funding exceeded all other internal needs by 16% in 2010.

* Question № 117
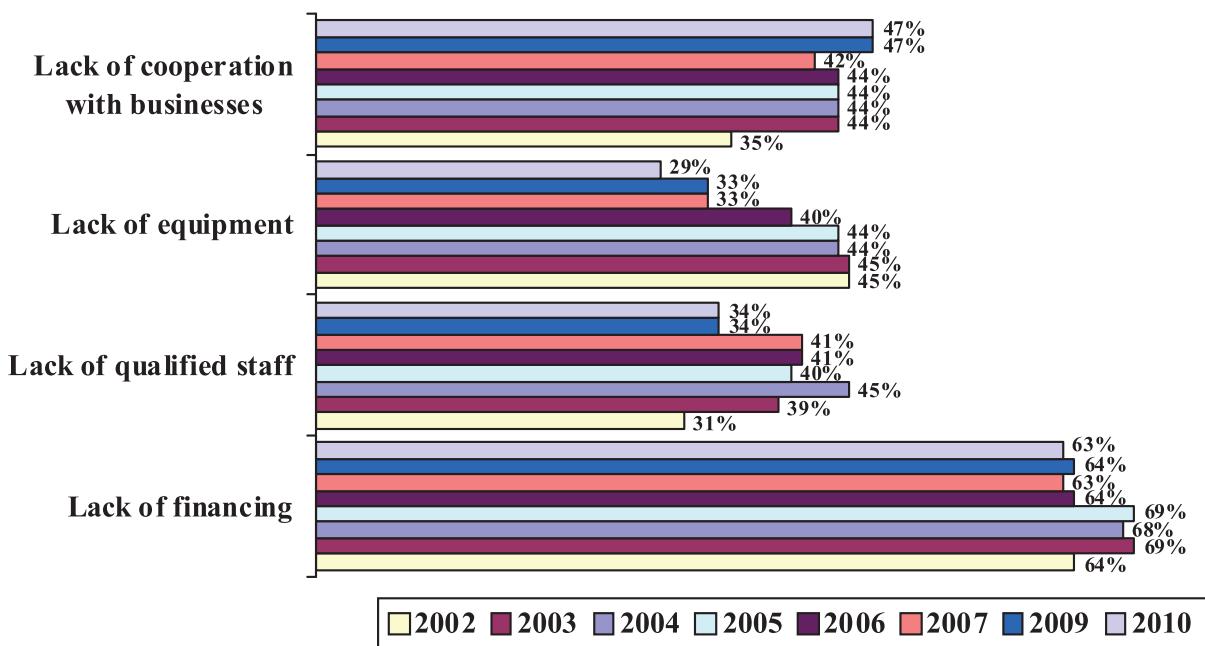
Graph 10.2
*Internal Obstacles for CSOs**

An analysis of increasing needs during 9 years shows grooving of problems with limit cooperation with businesses. One can assume that this fact can be explained by the absence of information about CSOs and lack of professionalism. Although in 2010 this figure remained the same as in 2009, there was still a significant increase compared to 2002 (the difference is statistically significant at 1% level).

Analysis of data gathered during 2002-2010 shows that the need for equipment has dramatically decreased over time. Compared to 2009, in 2010 it decreased by 4% (difference is statistically significant at 1% level).

Conclusion. *The most important internal problem for Ukrainian CSOs is insufficient financing. It should be said that compared to the previous three years this problem decreased significantly. One can also see a considerable decrease of the number of CSOs that demonstrated a lack of professional staff. The latter fact can be explained by an increased capacity of CSOs to involve highly professional employees due to the financial crisis and increased prestige of the work in nongovernmental organizations. During the last nine years, the level of insufficient cooperation with business and inadequate availability of equipment has remained rather high.*

External obstacles. The data, presented in Graph 10.2, indicated the main external obstacles which were defined during the 2002-2010 surveys. The main problem spheres are lack of interest on the part of businesses (47% of CSOs) and authorities (45% of CSOs), legislation in general (44%) and tax legislation (35% of respondents). The problem of low interest from government authorities decreased by 4% compared with 2009 (45% in 2010, 49% of CSOs in 2009)[134]. The reason for low interest on the part of government authorities can be explained by low awareness level of authorities as for CSOs activities. In 2002-2010 one could also observe a growth of the number of CSOs that mention low interest from business in CSOs activities. Such 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.

As can be seen on Graph 10.3. the number of respondents who selected Imperfect legislation decreased.

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* Question № 115
[134] Difference is not statistically significant at 5% level.
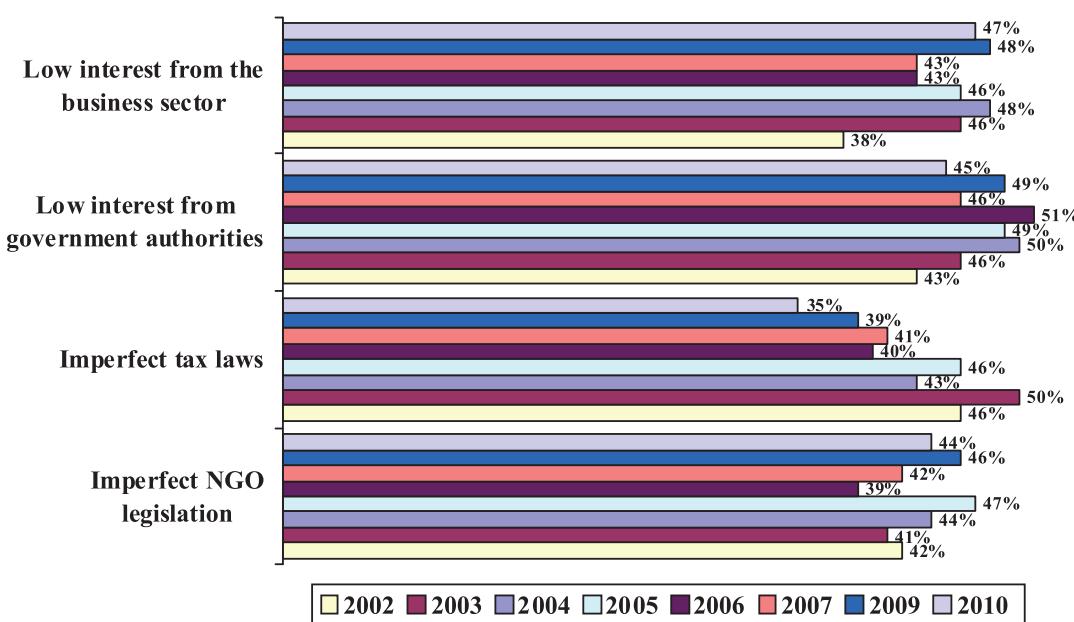
Graph 10.3
*External Obstacles for CSOs**

Conclusion. *The majority of the interviewed CSOs indicated that imperfect tax legislation is the major external problem for Ukrainian CSOs. It should be mentioned that compared to the previous years, the number of CSOs that mentioned low interest from business and the government in CSOs activities decreased significantly. This fact can be explained by the increased level of cooperation between CSOs and the governmental and business organizations.*

Need for training. As shown in Graph 10.4, the 2010 data showed a substantial growth of demand for training on project development, project management, fundraising skills and other skills.
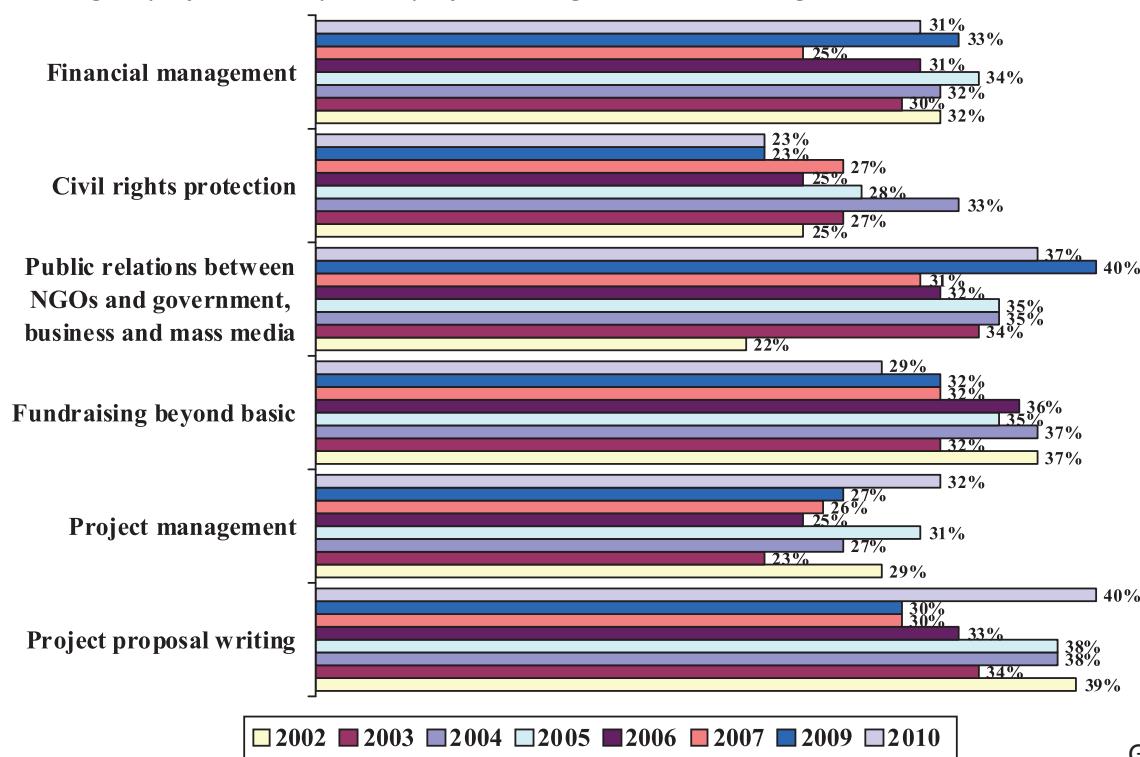
Graph 10.4
*Rating of Trainings**

Analysis of the data shown on Graph 10.4 gives us grounds to conclude that in 2010 the number of organizations interested in participating in training on **project development** increased (40%). This index is the heist for the period from 2002 to 2010. For instance, in 2002 there were 39% respondents who selected this option, in 2003 their share decreased to 34%, and then increased to 38% in 2004-2005; in 2006-2009 the rating of this training fluctuated from 30% to 33%[135].

The rating of training on **project management** also increased significantly (32% in 2010, 27% in 2009[136], 26% in 2007, 25% in 2006, and in it totalled 31%, in 2004– 27%, 23% - in 2003, and 29% in 2002).

The rating of training on financial management is sustainably high (31%) as well as that of training on relations with governmental and business organizations, and with the mass media (37%).

Conclusion: *The problems facing CSOs in 2010 remain the same as those facing CSOs in 2009. The main internal problem is insufficient financing, and the major external problem – imperfect tax legislation. In 2010 there was a decrease of the number of organizations that mentioned low staff professionalism and lack of financing as the main internal problem. The number of organizations that refer to imperfect tax legislation, lack of interest on the part of the government and business as the main external problems also decreased. In 2010, more respondents than in the previous years selected training on project development, fundraising skills and other skills. At the same time, the number of organizations interested in training on public and business relations of CSOs with governmental and business organizations, and the mass media decreased.*

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[135] Difference is statistically significant at 1% level.
[136] Difference is statistically significant at 1% level.

Part IV.
**Conclusions on the
Ukrainian CSO Development: 2002 – 2010**

A comparative analysis of the results of the research on the state of CSO development in Ukraine from 2002-2010 allows certain conclusions to be drawn as to the dynamics of non-governmental organization development during this nine year period. No significant difference is observed between the majority of indicators for 2009 and 2010. In most cases, the situation has been stable for the past nine years. The 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 2010.

Survey respondents

The decreasing number of CSOs providing training and consultation services is of special interest in 2010. In 2003 this type of service was provided by 41% of CSOs, in 2009 – 47%, in 2010 – only by 37% of CSOs. Also, there is a decrease of the number of CSOs involved in advocacy and lobbying (37% of respondents in 2010, 41% – in 2009) and educational activities (29% of CSOs interviewed in 2010, and 33% of respondents in 2009).

2010 witnessed a decrease of the number of organizations working on the CSO sector development (13% of respondents in 2010, 18% respondents in 2009, and 17% in 2003) and in the civic education sector (27% of respondents in 2010, 32% in 2009-2007, and 27% in 2003). It should be mentioned that in 2010 the number of CSOs that work with children and youth increased again (44% in 2010, 40% in 2009, 45% y 2007-2006, 44% in 2005-2004, and 45% in 2003).

In 2002-2010, there was a growth of the number of organizations that have their own web-site (33% respondents in 2010-2009, 32% of CSOs surveyed in 2007, 25% in 2006, 22% in 2005-2004, 23% in 2003, and 12% in 2002).

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, the main reason for establishing a CSO, 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 - 2010 - 74%. 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, in 2009 - 34%, in 2010 – 33% of respondents specified this option.

A statistical analysis of the percentage difference in 2002-2010 proves the existence of a negative trend in this number of organizations with a formulated mission (difference is statistically significant at 1% level). In 2010, 75% of CSOs had a written, in 2009 - 76%, in 2006 - 76%, 83% in 2005, 87% in 2004 and 89% in 2002 and 2003.

Analysis of the research conducted during the previous years shows a trend toward a decrease of the number of organizations that do **strategic planning**. 75% of organizations had, and gradually the percentage decreased to 61%[137] in 2005, in 2006 this percentage increased to 68%[138], in 2007 it decreased to 59%[139], in 2009 there was no change, and in 2010 this index decreased again and totalled 55%[140].

Of the CSOs surveyed, 89% of respondents had a **collective governing body** in 2010, whereas in 2009 this index totalled 93%. During the last nine 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 nine years the number of CSO staff has decreased. In 2002 64% of CSOs had staff while only 41% reported having staff in 2010[141]. In 2010 the number of full-time employees decreased to three

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[137] The difference is statistically significant at 1% level.
[138] The difference is statistically significant at 5% level.
[139] The difference is statistically significant at 1% level.
[140] The difference is statistically significant at 5% level.
[141] The difference is statistically significant at 1% level.

staff members, which is the lowest number of employees for the last nine years.

The survey results demonstrated that compared to 2009 there was an increase of the number of CSOs in 2010 with a larger number of organization members than in the prior year (48% in 2010, and 36% in 2009[142]).

Material resources in CSOs
Significant changes in **material resources** were observed over the 2002-2010 period. The number of CSOs having their own office space increased. Compared with the data received in 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 13% (from 59% to 72%). The number of CSOs that have technical devices, such as telephones (by 20%), fax machines (by 10%), photocopiers (by 12%), and computers (by 27%) increased. The number of organizations with access to electronic mail and the internet increased by 30% (from 47% in 2002 to 77% in 2010). In 2010, virtually all organizations can be contacted and consulted by phone and e-mail, and almost all of them stated permanent postal address.

The percentage of organizations receiving funding from **governmental structures** (36% in 2010, 28% in 2009[143]), and business organization (40% in 2010, 45% in 2009[144]) decreased.

There have been **changes in the level of CSO funding**. Compared to 2009, the number of CSOs in 2010 that indicated a higher level of financing remained virtually unchanged. In 2010 there was a decrease of the number of CSOs that mentioned that their level of financing decreased compared to the previous financial year (32% of respondents in 2010, 35% of the interviewed CSOs in 2009, 38% in 2006, the difference is statistically significant at 1% level).

Comparatively with 2002, in 2009 the number of CSOs that have an annual budget of more than $50,000 increased considerably (10 of surveyed CSOs in 2010, 6% in 2002[145]), and the number of CSOs that have an annual budget of $500 decreased to 16% in 2009 versus 26% in 2002[146].

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. The percentage of those organizations that would like to undergo an audit almost doubled (from 26% in 2002 to 50% in 2010[147]).

External relations

In general, it was observed that the frequency of contact between the *Ukrainian CSOs and government* structures increased during the 2002 - 2010 period. Since then, this indicator has stabilized. Nowadays, most communication (62%) between CSOs and government structures is mutually initiated by both sides. In 2002 this percentage was significantly lower – 17%[148]. CSOs initiated such communication in one-third of all situations (30%) and government authorities almost never initiated contact (only in 3% of all situations).

The number of CSOs that did not have joint projects with government structures decreased from 43% in 2002 to 26% in 2010. The number of CSOs that conducted more than three joint-government projects increased. In 2002, this number was only 13% of all organizations surveyed. In 2010 it increased to 17% (the difference is statistically significant at 1% level).

Compared to 2006, the share of respondents who believe that the level of cooperation at the regional and local level is average decreased (46% in 2010, 45% in 2009, and 40% in 2006[149]), and respectively

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142   The difference is statistically significant at 1% level.
143   The difference is statistically significant at 1% level.
144   The difference is statistically significant at 1% level.
145   The difference is statistically significant at 1% level.
146   The difference is statistically significant at 1% level.
147   The difference is statistically significant at 1% level.
148   The difference is statistically significant at 1% level.
149   The difference is statistically significant at 1% level.

a larger number of respondents believe that this level is low (41% in 2010, 42% in 2009, and 47% in 2006[150]). Compared to the results of research conducted during the previous nine years, in 2010 there was a decrease of the number of respondents that selected *reluctance of the government to cooperate.* In 2010, 43% selected this answer to describe the main reason of limited cooperation between CSOs and the government at the local or regional level whereas in 2009 - 2006 this indicator totaled 47%, and in 2005 this option was selected by 45% respondents.

Relations **between CSOs** also changed slightly over the last nine years. Increase of the percentage of CSOs that carry out partnership projects (from 54% to 60%) during 2003 - 2010 is statistically significant at 1% level. At the same time, the number of organizations that implement partnership projects decreased compared to 2009 (60% respondents in 2010, and 60% in 2009[151]). In 2003-2010 the number of organizations, that provide consultations (56% in 2010, 64% in 2003[152]), conduct meetings (73% in 2010, 82% in 2003[153]), provide services (34% in 2010, 43% in 2003[154]), implement partner projects (60% in 2010, 54% in 2003[155]) and practice information exchange (85% in 2010, 89% in 2003) decreased.

The majority of the respondents think that partnership and cooperation with other CSOs allows for *increased activity and program efficiency improvement, and saving resources.*

The results of the 2002 – 2010 data comparison reveal meaningful changes in the answers of respondents concerning reasons for limited cooperation between CSOs. For example, in 2010, 37% of respondents chose *CSO leaders' ambitions and conflicts between them* as a reason for lack of inter-CSO cooperation, while in 2009 this option was chosen by 42%, in 2003 – 47%[156]. In 2010, 32% of CSOs said that competition for funds and resources disrupted cooperation between CSOs while in 2009 this indicator was 42%, in 2002 - 29% (difference is statistically significant at 1% level). In 2002 the *lack of professionalism of CSOs* was not so often mentioned as key deterrent to cooperation (31%), as in 2010 (36%)[157].

Compared to the results of previous surveys, the 2010 survey demonstrated a decrease of CSOs that selected reluctance of businesses to cooperate and lack of knowledge about CSOs activities on the part of business as well as insufficient CSOs professionalism as the major causes of limited cooperation between *CSOs and business*. A significant number of CSOs view businesses not only as a source of financial assistance. The number of CSOs, that view business structures as potential partners increased (20% in 2002 versus 33% in 2010[158]). The share of respondents that mention involvement of business experience has not changed very much over nine years (16% in 2010).

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 2010, the share of CSOs that cooperate with donors as implementing partners decreased by a half compared to the 2009 research (9% versus 17%, respectively[159]). In 2010, 16% of the interviewed CSOs worked as implementing partners compared to 26% in 2009[160]. Also, there was a decrease of the number of organizations cooperating with donors as subcontractors (in 2010 – 8%, in 2009 – 13%[161]).

The 2010 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 40% in 2009 and 41% in 2010. As to the rest of responses, the difference is insignificant.

Mass media is the most popular means of spreading information about CSO activity (85% in 2010, 84%

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[150] Difference is statistically significant at 1% level.
[151] Difference is statistically significant at 1% level.
[152] Difference is statistically significant at 1% level.
[153] Difference is statistically significant at 1% level.
[154] Difference is statistically significant at 1% level.
[155] Difference is statistically significant at 1% level.
[156] Difference is statistically significant at 1% level.
[157] Difference is statistically significant at 1% level.
[158] Difference is statistically significant at 1% level.
[159] Difference is statistically significant at 1% level.
[160] Difference is statistically significant at 1% level.
[161] Difference is statistically significant at 1% level.

of respondents in 2009 and 80% in 2007, 78% in 2006 and 88% in 2005). 48% of the interviewed CSOS in 2010 distributed flyers and brochures (used by 55% of the organizations in 2009, 51% in 2007[162]). In 2002 - 2010, the number of CSOs that disseminate information through web-sites of other CSOs (in 2010 – 40%, in 2002 – 18%[163]) increased as well as the number of those that disseminate information through web-sites CSOs (38% in 2010, 18% in 2002[164]). Compared to 2009, the number of CSOs that conduct presentations decreased (46% in 2010, 53% in 2009[165]).

53% of CSOs work with **mass media** outlets on a regular basis while 45% do so only periodically. Within the mediums available to CSOs for spreading information, they most frequently revert to newspapers to distribute information about themselves - 89% in 2010. Television is the second most popular means of spreading information about CSO activity (58%). Looking at the period from 2004 to 2009, it is observed that the popularity of radio has decreased.

Program activity

The majority (72%) of membership organizations **report** to their members. More than half of all CSOs (59%) 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 2002-2010. 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%[166] in 2009 and didn't change in 2010.

The majority of CSOs (94%) in 2010 admit that the community should be aware of CSO program activity. In 2009 this percentage was 97% of CSOs, in 2007 – 96% (difference is statistically significant at 1% level). The number of respondents who think that **transparency** will benefit the financial activity of the organization is 69% (73% in 2009[167]).

In 2002-2010, there was an increase of the number of organizations that publish **annual reports**. However, in 2010 this indicator was slightly lower than in 2009 (50% and 58%, respectively).

The number of the third sector organizations **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 60% in 2006, 62% in 2009, 57% in 2010 (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 Internet, meetings and seminars. In comparison with 2009, the number of CSOs that used Internet as a source of information increased – 84% in 2010 versus 81% in 2009. It should be mentioned that during nine years the role of the Internet as a source of information for Ukrainian CSOs has been constantly growing. The popularity of informational bulletins and conferences for CSOs somewhat decreased.

Participation in **coalitions or net work** was useful for the majority of CSOs. 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 was not useful for them, and this share remained unchanged compared to 2009 (8%), but it decreased compared to 2006 – 14% (the 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%, in 2009 - 65%, in 2010 – 69% (difference is statistically significant at 1% level).

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[162] Difference is statistically significant at 1% level.
[163] Difference is statistically significant at 1% level.
[164] Difference is statistically significant at 1% level.
[165] Difference is statistically significant at 1% level.
[166] Difference is statistically significant at 1% level.
[167] Difference is statistically significant at 1% level.

The Organizational Capacity Index of Ukrainian CSOs
In 2010, the index totalled 0.55 (the maximum value being 1), which is slightly lower than in 2009. The highest organizational capacity index was reported in 2003 – 0.63, and the lowest in 2007 – 0.53. *The presence of effective governing structures* is the strongest component of the organizational capacity index according to the results received in 2010. The weakest component is f*undraising strategy.*

The Advocacy and Lobbying Index
The advocacy and lobbying capacity of Ukrainian CSOs in 2010 totalled to 3.01 points according to the 5-point scale, which is slightly lower than in 2009. The highest respective index was reported in 2004 – 3.06, and the lowest in 2002 – 2 28. The strongest component of this index for nine years when the research was conducted is *collection of information and research of the specific issues*. For three years in a row, the weakest element of the advocacy and lobbying index was *formulation of a sustainable and viable position on a specific issue*.

The Coalition/Network Effectiveness Index
This index was first studied in 2009. In 2010, the coalition/network effectiveness index totalled to **0.41**. In 2009, this index was higher and amounted to **0.71**. The most popular types of cooperation among the interviewed CSOs were information exchange (85% of respondents), meetings (73% of respondents), joint activities (72% of respondents) and partnership projects (60% of respondents). 418 out of 610 interviewed organizations said they were members of coalitions, and the majority of them are members of one coalition.

The Constituency Legitimacy Index
This index was first studied in 2009. CCC studied this index for the first time in 2009 and determined its value at the level of **0.67** (the maximum meaning being 1). In 2010, it decreased and totalled **0.56.** The highest component in this index is the study of the needs of target groups – **0.89**, and the lowest is participation in planning of the organization's activities.

ID Number:	

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

Your organization is invited to in the 2010 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 2002-2009, 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!

<u>Information about Your Organization</u>
(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 <u>3 sectors</u>**_)_

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*
❏   *Self-realization of founders*
❏   *To support organization members*
❏   *Potential to receive financing*

❏   *Potential to influence the development of society*
❏   *Certain circumstances*
❏   *Other* (please specify) _____

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

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

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

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

❑   *Yes*   ❑   *No*   ❑   *Don't know*

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

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

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

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

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

❑   *Yes*   ❑   *No*   ❑   *Don't know*   ❑   *Does Not Apply*

21. *Does the NGO have a governing body?*

❑   *Yes*   ❑   *No* (*Skip to q. 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*   ❑   *Supervisory committee*   ❑   *Board of directors*   ❑   *Don't know*
❑   *Consultants*   ❑   *Board*   ❑   *Other* (please specify)
                                                                          _____

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

❑   *Yes*   ❑   *No*   ❑   *Don't know*

24. *How often does the governing body meet?*

❑   *More than 4 times a year*   ❑   Quarterly
❑   *Bi-annually*   ❑   Never / Does not meet at all
❑   *Annually*   ❑   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   ❑   51-70 members
❑   11-30 members   ❑   71-100 members
❑   31-50 members   ❑   More than 100 members

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

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

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

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

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

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

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

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

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

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

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

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

46. Does your NGO have a written financial plan for the organization as opposed to financial plans for projects and activities?
❑   Yes   ❑   No (Skip to q. 48)   ❑   Don't know

47. If the NGO has a written financial plan, what is the time period covered by this plan?
❑   Less than one year   ❑   Between one and two years   ❑   Between two and three years

❑   One year   ❑   2 years   ❑   Three and more

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

- ❑ Membership Fees
- ❑ Individual donations
- ❑ Government contributions
- ❑ Business contributions

- ❑ Grants, International
- ❑ Grants, Domestic
- ❑ Specific business activity such as social enterprise
- ❑ 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 2009 calendar year that came from each source? *(Please make sure that the sum adds up to 100% and do not use fractions or decimals. Please round the numbers for percentages. Proper response for example can be 1% or 25%)*

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

50. What was your funding base during the 2009 calendar year?

- ❑ $0 - $500
- ❑ $501 - $999
- ❑ $1,000 - $4,999

- ❑ $5,000 - $9,999
- ❑ $10,000 - $19,999
- ❑ $20,000 - $29,999

- ❑ $30,000 - $49,999
- ❑ more than $50,000
- ❑ Don't know

51a. Did the NGO receive any matching funds from government sources during the 2009 calendar year?

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

51b. If yes, what was the value of these contributions for the 2009-calendar year?

- ❑ $0 - $500
- ❑ $501 - $999
- ❑ $1,000 - $1,999

- ❑ $2,000 - $3,999
- ❑ $4,000 - $9,999
- ❑ more than $10,000

- ❑ *Don't know*

52a. Did the NGO receive any in-kind contributions from the government or local self-government bodies during the 2009 calendar year?

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

52b. If yes, what was the value of these contributions for the 2009-calendar year?

- ❑ $0 - $500
- ❑ $501 - $999
- ❑ $1,000 - $1,999

- ❑ $2,000 - $3,999
- ❑ $4,000 - $9,999
- ❑ more than $10,000

- ❑ *Don't know*

53a. Did the NGO receive matching funds from local businesses during the 2009 calendar year?

- ❑ *Yes*
- ❑ *No (Skip to q. 54a)*

53b. If yes, what was the value of these contributions for the 2009-calendar year?

- ❑ $0 - $500
- ❑ $501 - $999
- ❑ $1,000 - $1,999

- ❑ $2,000 - $3,999
- ❑ $4,000 - $9,999
- ❑ more than $10,000

- ❑ *Don't know*

54a. Did the NGO receive any in-kind contributions from local businesses during the 2009 calendar year*?*
- ❑ *Yes*
- ❑ *No (Skip to q. 55)*
- ❑ *Don't know*

54b. If yes, what was the value of these contributions in 2009-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 in 2009?

❑   *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 2008 through 2009?_____

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*

❑   *No, NGO hasn't undergone an audit but is*   *prepared to do so.*
    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*

                                                 _____

- ### <u>Cooperation with Other NGOs</u>

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 _____

- ### <u>Cooperation with Business</u>

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
❏ To attract non-financial contributions
❏ Other *(please specify)*

❏ We can use their experience to enhance our programs and/or services
❏ 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
❑ Reluctance on the part of businesses to cooperate
❑ Lack of professionalism on the part of NGOs
❑ There is no need for NGOs to cooperate with businesses

❑ Past difficulties with businesses prevents cooperation
❑ Businesses are generally unaware of NGO activities
❑ Other *(please specify)*
_____

- **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
❑ Grantee
❑ Implementing partner

❑ Partner
❑ Other *(please specify)*_____

- **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
❑ By publishing newsletters
❑ Distributing brochures and flyers
❑ Through our organization's website

❑ Through websites of other NGOs
❑ Through presentations
❑ Through annual reports
❑ 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 knows or is aware of the NGO's activities

❑ The community supports the NGO by participating in events
❑ 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
❑ Magazines
❑ Radio

❑ Television
❑ None
❑ 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. What form your share the annual report? Please check all that apply.

Form	NGOs website	website another NGO	Via e-mail	Via media	via post mailing	NGOs activates	Another (please specify)
Electronic form	☐	☐	☐	☐	-		
Printed form	-	-	-	-	☐	☐	

100aa. 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*
     ❏   ❏   ❏   ❏   ❏

115a. **To which extent were your recommendations/proposals to the regulatory legal acts (RLA) taken into consideration? (please, check ALL answers that apply)**
❏ All proposals were included in draft RLA   ❏ No proposals were included in draft RLA
❏ Most proposals were included in draft RLA   ❏ Proposals are under consideration
❏ Only some proposals were included in draft RLA   ❏ Other _____
                                              ❏ Don't know

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

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

❑ Other variant

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

❑ Organization of a media campaign

❑ Organization of events

❑ Submission of expert proposals

❑ Development of a campaign

❑ Monitoring of changes

❑ Other _____

❑ Don't know

EXISTING NEEDS AND ASSISTANCE NEEDED

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

❑ No clear mission

❑ Chaotic activity

❑ No planning of activities

❑ Lack of financing

❑ Poor management skills

❑ Internal conflicts

❑ Poor financial management skills

❑ Lack of qualified staff

❑ Insufficient technical skills

❑ Lack of equipment

❑ Absence of email and internet access

❑ Lack of cooperation with mass media

❑ Lack of cooperation with government authorities

❑ Lack of cooperation with businesses

❑ Poor public image of organization

❑ Other, *please specify* _____

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

❑ Imperfect NGO legislation

❑ Imperfect tax Law

❑ No opportunity to sell services

❑ Poor NGO public image

❑ Non-coordinated NGO activity

❑ High competition for financing among NGOs

❑ Low interest from mass media

❑ Low interest from government authorities

❑ Low interest from the public

❑ Low interest from the business sector

❑ Other, *please specify* _____

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

❑ 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)* _____

119. **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

120. 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)*

  _____

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

- ❏ Information
- ❏ Financial support
- ❏ Moral support
- ❏ Not to interfere

- ❏ Accommodation
- ❏ Partnership on projects
- ❏ Other *(please specify)*

_____

Thank you for your time in completing this questionnaire!

Date "____"_____2010
Person in charge_____

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

Comments:

_____

_____

_____

Definitions

Interest groups are all those outside the government and interested in the decision that is being adopted. These are mainly institutionalized groups that are not only interested in but also have the tools for influencing the situation.

Stakeholders are all those related to the resolution of the decision-making problems (both in and outside the government) whose positions should be taken into consideration because they can influence the process of decision making and implementation.

Interested parties/groups are people or organizations whose situation can change as a result of adoption of a certain decision, and whose experience and position is to be taken during the decision making.

Conflict is an absence of agreement between two or several actors, a collision of opposing parties or forces that can be individual or groups of employees, it can also mean internal discomfort of one person.

Public means a socially active part of the society that voluntarily takes part in the social life of the county and the community. The public is characterized by the need for communication; focus on collective activities; prevalence of public interests over individual interests, active presentation of its social position, etc. An important characteristic of the public is its participation in the state and legal activities, and management of the local community affairs.

Civil society is a sphere and a type of interaction, a certain model of social organization; hence, this term is to be used to refer to a structurally defined institutionalized subsystem of the society (A.Kolodii).

Civil society is a totality of institutions members of which are mainly involved in the complex system of nongovernmental activities.

"Civil society" term is usually taken to mean a realm or sphere of institutions, organizations, networks and individuals (and their values) located between the confines of the family, the state and the market, which is bound by a set of shared civic rules, and in which people associate voluntarily to advance common interests (CIVICUS 2001). Civil society organizations include associations, movements, networks, citizens' groups, consumer organizations, small business associations, women's groups and NGOs.

Public monitoring means a planned, systematic, expert and unbiased study of a selected part of civic activities carried out according to the chosen scheme in order to achieve changes. Any monitoring is aimed at changing the situation for better and thus its results are always presented to the citizens and those persons that can in any way influence resolution of the problem.

Public monitoring of executive bodies is a system comprehensive study of their activities with regard to techniques of preparation and adoption of decisions as well as control of implementation thereof. The goal of civic monitoring is to indentify socially important problems and expectations; to resolve the problems that require prompt interference. The results of civic monitoring form a basis for adequate reaction on the part of governmental bodies in their current work, during strategic planning and identification of the priority development areas of functioning and activities of the government.

Public monitoring is carried out by means of:
- representative opinion poll with the previously identified criteria;
- monitoring of the governmental policy process, its dynamics and trends as well as the situation in respective spheres;
- collection and accumulation of information, analysis of the mass media materials about public opinions about the government activities.

Endowment means financial or material resources (real estate, works of art, etc) transferred to an institution for resolution of certain problems provided that such resources remain untouched for good or during a specified period. This makes the influence of such resources long-term instead of being used in s single step. The total value of the institution's capital constitutes its institutional endowment.

Public services refer to the variety of services that public agencies provide to the people. They include protection and justice services, infrastructure and utility services, economic development, and social services. "Social services" are part of public services and refer to services such as education, healthcare, support for aging population groups and orphans, etc. (UN 1999). Pinto (1998) recognized three basic functions of public services, namely, provision, production, and delivery. However, in order to eliminate any confusion for this research, only "delivery" is used.

Corporate charity is provision by a business company of funds, material in-kind assistance, services, volunteers and other resources to nongovernmental or charitable organizations for achieving their mission.

Charity means material contributions by individuals to support the poor, orphans and other people (Ukrainian Language Dictionary).

Charity means voluntary social work related to a transfer of material values free of charge, including those created in the process of such work by the charitable organization itself.

Charity is voluntary impersonal contribution made by individuals and legal entities in the form of provisions of material, financial, organizations and other charitable assistance to the recipients; specific forms of charity are patronship and sponsorship (Law of Ukraine "On Charity and Charitable Organizations").

Charitable activities mean voluntary impersonal work of charitable organizations that does not imply receipt of profits from the said activities (Law of Ukraine "On Charity and Charitable Organizations").

A charitable organization is a nongovernmental organization whose primary goal is to carry out charity in the interests of the society or individual social categories (Law of Ukraine "On Charity and Charitable Organizations").

Charity providers are individuals and legal entities that carry out charity in the interests of the charity recipients (Law of Ukraine "On Charity and Charitable Organizations").

A civic organization (also used as nongovernmental organization (NGO) or civil society organization (CSO) is a voluntary public association created on the basis of common interests for the joint exercise of rights and freedoms by the citizens (Law of Ukraine "On Associations of Citizens").

Recipients of charitable assistance are individual and legal entities that need and receive charitable assistance (Law of Ukraine "On Charity and Charitable Organizations").

Patronship means voluntary impersonal material, financial, organizational and other support provided by individuals to the recipients of charitable assistance (Law of Ukraine "On Charity and Charitable Organizations").

Sponsorship is voluntary material, financial , organizational and other support provided by individuals and legal entities to the recipients of charitable assistance in order to advertise only their name (brand), its trademark for goods and services (Law of Ukraine "On Charity and Charitable Organizations").

Philanthropy (Greek – benevolence) means patronage, material assistance provided by wealthier groups of population to the poorer; charity (Ukrainian Language Lexicon).

Philanthropy refers to the promotion of the well-being of human beings by individuals and groups who contribute their services or dedicate their property and money. Philanthropy differs from charity in that it usually helps a large group or an institution, rather than one or a few individuals (The World Book Encyclopedia - Vol.15.- P. 368).

State policy is a combination of goals, laws, rules and priorities in financing that are adopted by the governmental bodies and reflect the needs and problems which the government is going to use and for which the public money will be spent. State policy is drafted by members of parliament at the national, oblast and local levels within the framework of the legislative process. The goal and tasks of state policy are defined by law. Budget and tax policy are adopted by the legislative bodies that also identify the priorities in the budget incomes at all governmental levels.

It is the meaning, in which state policy is understood as well as its areas (foreign, domestic, economic, social). *Policy in the meaning of the course of action is the subject of policy analysis.*

Public (local) policy is a relatively stable, organized and conscious action/inaction of the government, which it implements directly or indirectly with regard to a certain social problem or group of problems and which influences the society's life.

Why do we need policy analysis?
 • To determine the influence of certain policy on the society and its individual groups
 • To receive arguments for justification of the position of your organizations on this issue
 • To be able to influence the process of formulation and decision-making
 • To be able to involve the mass media and the public

Questions to be answered by policy analysis means:
 • What are the positive and negative features of the existing policy?
 • What precisely do you want to change? Why?
 • What are the decision-making levels that you can influence?
 • What are the most important factors (variable) that have to be taken into consideration for successful policy development?
 • Which tools do you have to influence the decision-making?
 • Which resources do you have to exercise such influence?
 • How can you use these resources most efficiently?

Influence places are the places where state policy is created. Lobbying most often is aimed at the legislative bodies – the Verkhovna Rada, parliamentary committees, oblast, city and raion councils as well as other local bodies. The administrative system of the government is also the place where amendments are made to administrative rules and procedures. Some decisions are made by courts, and NGOs can prevent decision-making by initiating legal action. NGOs have to be able to wisely chose the influence places in order to be able not only to solve the necessary problems positively but also to receive the maximum benefit from their effort.

Margulies and Wallace (1973) defined **organizational culture** as the learned beliefs, values, and patterns of behavior that characterize an organization. Peters and Waterman (1982) saw culture as the shared system of values that manifests itself through different cultural artifacts. Organizational culture is seen as an important component of organizational success, and is characterized by members' shared ability to

understand specific concepts within the organization (Karathanos 1998). The key feature is that culture is taught to new members as the correct way to behave, thus perpetuating organizational survival and growth (Maull et al 2001). A most accepted definition of organizational culture is: "**The pattern of basic assumptions** - invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration – that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (Schein 1985).

Schein (1985) noted, "**Organizational culture** can determine the degree of effectiveness of the organization, either through its 'strength' or through its 'type,' and continued: "My own experience and many of the recent writings in the field of organizational theory, strategy, and organization development all suggest that an examination of cultural issues at the organizational level is absolutely essential to a basic understanding of what goes on in organizations, how to run them, and how to improve them" (Schein 1985).

Martin (1994) defines **philanthropy** as voluntary private (nongovernmental) giving for public purposes, whether gifts are large or small, money or time, local or international in scope, for purposes that are humanitarian, cultural, religious, civic, environmental, or that provide mutual aid. However, Mark Dowie (2001) defines philanthropy as the process of using money to create change, for the betterment of humanity or not, depending on the project in question.

Anheier (2001) has adopted the following working **definition of foundation** in order to capture a common set of organizations across different countries and regions: "Foundation is an asset-based, financial or otherwise, institution that is private, self-governing, nonprofit-distributing and public-serving." This definition is used in further discussion of the European foundations.

A less formal definition for the U.S. was proposed by Andrew in 1956 and is as follows: "A foundation is a nongovernmental, nonprofit organization with its own funds and program managed by its own trustees and directors, established to maintain or aid educational, social, charitable, religious, or other activities serving the common welfare, primarily by making grants" (Foundation Center 1993).

Anheier (2001) argues, foundations can serve four basic functions:
- Redistribution, i.e., foundations channel funds from the better off to the less affluent parts of the population, thereby either directly or indirectly adding to the redistributive efficiency of the taxation system.
- Efficiency, i.e., foundations offer services and allocate philanthropic funds more efficiently than markets and government agencies could. Cost-to-benefit ratios for foundations are higher.
- Social change, i.e., foundations, unbound by market considerations and the constraints of the political process, can trigger and support desired change processes, and
- Pluralism, i.e., foundations promote diversity and differentiation in thought, approach and the practice of advocacy, service provision and "search procedures," looking for causes and solutions to a variety of problems and issues.

"An **enabling environment** is a set of interrelated conditions – such as legal, bureaucratic, fiscal, informational, political, and cultural – that impact on the capacity of … development actors to engage in development processes in a sustained and effective manner" (Thindwa 2001). There are commonly agreed-upon features of the enabling environment that are divided into five categories of factors: economic, political, administrative, socio-cultural, and resources (Lusthaus et al 1995).

> *"A charity foundation's role in delivering public service means the capacity of these organizations to provide services, aggregate and represent interests and policy advocacy and monitoring."*

In this paper, the following definitions of **charity** were used. Charity is the easiest way to take part or accept a present that is useful for the society in general, or an institution created for supporting those in need, or a fund created to the extension of public wellbeing.

For convenience, the term **charity sector** is used to describe a group of charity organizations and foundations, while **NGO sector** is used to describe a set of unions of citizens. The third sector includes both types of organizations, charities and NGOs. The term civil society organization refers to collective and organized forms of civil society and may include other than the third sector organizations.

Charity means voluntary social work related to a transfer of material values free of charge, including those created in the process of such work by the charitable organization itself.

<div align="right">**Appendix 3**</div>

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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.

Program Areas:

- Support of the development of civil society organizations in Ukraine
- Enhancement of community development
- Promotion of 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

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- Civil Society Organizations
- Regional Communities
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