

**Increasing Citizen Participation
through Advocacy Efforts**

A Guidebook for Program Development

**National Democratic Institute for International Affairs
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The National Democratic Institute for International Affairs (NDI) is a nonprofit organization working to strengthen and expand democracy worldwide. Calling on a global network of volunteer experts, NDI provides practical assistance to civic and political leaders advancing democratic values, practices and institutions. NDI works in every region of the world to build political and civic organizations, safeguard elections, and promote citizen participation, openness and accountability in government. This guidebook was made possible by a grant from the United States Agency for International Development.

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Preface

This publication is one of the products resulting from a three-day meeting convened by NDI in Cape Town, South Africa and from subsequent sessions in Washington D.C. The conclusions of those meetings are reflected in this guidebook on how to improve the organization, implementation and evaluation of advocacy programs, as a means of increasing citizens' political participation.

The Cape Town meeting brought together 36 civil society development practitioners, including NDI resident representatives working in 19 countries, five executive directors from local non-governmental organizations (NGOs) that NDI has partnered with, and seven NDI senior regional program managers working in Washington (**See Appendix 1** for participant list). This diverse group worked to improve NDI's ability to organize, conduct and assess citizen participation programs by identifying lessons learned to date and best practices. The seminar principally focused on public policy advocacy programs as a means of increasing sustained citizen participation (**See Appendix 1** for seminar agenda). NDI selected advocacy programs because they often include elements of civic education, minority participation and coalition building.

When organizing the meetings on what does and does not work, NDI assumed that the path to democratic development is a shared one and – although cultural, historical, and political differences do have an impact on program design – there are commonalities between individuals and organizations working in different countries. NDI's experience demonstrates that increasing organized and sustained citizen participation in political processes often involves similar steps and considerations. Citizens invariably need knowledge of democratic principles and practices, shared aspirations about change, skills to solve problems and make decisions collectively and effectively, and the willingness to express their interests and hold public officials accountable. At the same time, civil society organizations, that act as intermediaries between citizens and the state, require a clear sense of mission, democratic structures and procedures, the ability to raise and manage funds, and the capacity for ongoing program development and assessment.

Some of the larger conclusions expressed in this guidebook include: acknowledgment that sustainable advocacy work must have an organizational development component for civic groups; recognition that instilling societies with a culture of advocacy is long-term in nature and requires a guided, learning-by-doing approach; recognition that civic groups and citizens learn advocacy best through programs that build in action steps and include concerted follow-up; and a determination that ongoing assessment is programmatically necessary and requires up-front planning and realistic benchmarks.

This guidebook is not intended as the only word on how to promote sustained citizen participation in political processes. It is one of many vehicles that help explain how to increase citizen participation. Other NDI documents include *Democracy Education Civic Forum Style*, *How Domestic Organizations Monitor Elections*, assessment reports from Kenya, Slovakia, and West Bank and Gaza, and advocacy training manuals from Latvia, Romania, Slovakia, and West

Bank and Gaza. NDI will continue to monitor its programs to identify and disseminate lessons learned through these and other means.

This document was prepared principally by Aaron Azelton and Keith Jennings with the assistance of several other NDI staff members and volunteers. Your comments and suggestions can be directed to Aaron Azelton and Ashley Orton in Washington, DC.

Aaron Azelton
Senior Advisor for Citizen Participation
202-797-4318
aaron@ndi.org

Ashley Orton
Program Assistant for Citizen Participation
202-797-4962
Aorton@ndi.org

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Introduction

This guidebook offers suggestions to NDI staff members and practitioners in donor agencies and implementing organizations responsible for designing, implementing and evaluating programs to strengthen citizen advocacy practices. The guidebook is intended for use after a decision has been made to encourage and support advocacy as a means of increasing citizens' political participation. For instances, in cases where an assessment has determined that there is a need to strengthen civil society's advocacy capacities, this guidebook will be useful in organizing programs to address such needs.

This introductory section describes briefly why there is a need to promote and strengthen citizen participation. The remaining five sections of the guidebook focus on conducting preliminary assessments of civil society groups, managing partnerships and developing citizen-centered advocacy programs, working cross culturally, increasing women's participation, and conducting ongoing program evaluation. Each section includes a list of objectives and a description of suggested approaches and practices. Some sections also contain short case studies from NDI programs. The guidebook's appendices also provide examples drawn from NDI experiences and select programming tools.

Why Embark on Citizen Participation Programs?

NDI conducts programs to increase informed citizen participation in political processes and to establish strong civic cultures, because the citizen is the heart of a functioning and meaningful democracy. Citizens give life and meaning to principles and institutions. For democracy to develop and endure, citizens need to exercise their rights and responsibilities. Without the active involvement of citizens in political life, government power can be abused and the basic rights and freedoms of democracy can go unrealized. Because a successful democracy requires informed participation, citizens must first understand ideas about citizenship, politics and government. They need knowledge to make decisions about policy preferences and the proper use of authority, along with the skills to voice their concerns and to hold government officials accountable. And then, they need to want to exercise their rights, and they need the political space to do so without unreasonable resistance or harassment from authorities or others.

Advocacy is defined as a political process through which citizens and citizen groups take collective action to bring desired changes to public policies or processes. Advocacy initiatives shift political power into the hands of citizens, demystify political processes, establish precedents for government responsiveness, transparency and accountability, and can lead to social betterment.

Promoting citizen advocacy is one approach used by NDI to help increase citizen participation. However, even as democratic development proceeds and opportunities for citizen participation expand, citizens may still feel more and more disconnected because trends like globalization and economic restructuring can take decisionmaking away from the hands of citizens. For these reasons, empowering citizens must mean more than encouraging participation or providing opportunities for participation. It also must mean helping citizens develop the tools to solve complex problems, to work collectively, and to become leaders in their own right.

NDI's Approach

In most cases, programs to strengthen local advocacy efforts involve an in-country NDI presence. Trained representatives are then able to provide the consistent support that is often necessary when citizens and citizen groups begin organizing and participating in political processes. Although knowledge and skills could be conveyed to citizens through periodic visits to a country, or through seminars and publications, NDI has found that the envisioned citizen participation is often best facilitated by consistent, engaged coaching and assistance.

To help develop sustainable local practices, NDI often partners with local civil society groups. NDI also looks for unconventional opportunities to enlarge existing citizen organizing and participation initiatives. For instance, NDI may initiate work with student democratic movements, or with NGOs that previously worked actively on human rights issues. In so doing, NDI often is able to build on existing political will among groups, as well as build on pre-existing organizing experiences. Each of these reasons makes it easier for NDI to help groups take on broader, more sophisticated initiatives sooner rather than later. In other words, it is not always necessary to start at ground zero when helping citizens and citizens groups organize advocacy efforts. With NDI's assistance, civil society partners have made important contributions to initiating and managing political change. For example, the Coalition of NGO's in Kyrgyzstan successfully advocated to the parliament for "friendlier" NGO legislation. The Croatian group GONG lobbied successfully for the passage of the "Orange Amendment" to the Election Law, which allowed for nonpartisan domestic monitors to Croatia's elections. The Women's Manifesto Network in Namibia has consistently raised government awareness about gender issues and has become a recognized nationwide voice for these issues. The Union of the Disabled in West Bank and Gaza worked to win legislative approval of a law providing access to public places for the handicapped.

NDI endeavors to increase the direct connections between citizens and public officials, in order to establish an appropriate balance of power between citizens and the institutions of government. Since civil society organizations are comprised of citizens, NDI works to increase the political participation of citizens, not just of organizational leaders. In other words, NDI works to help broaden the level and quality of citizen involvement. As essential ingredients for successful democratic development, broader citizen participation and empowerment necessarily undergirds all NDI civil society programs.

Building advocacy capacity involves empowering people at all levels, and often outside the capital cities. When possible, developing links between NGOs in the capital city and community based groups in regional areas, and building community-based networks between these areas, can be an effective way to broaden impact and involve citizens at the grassroots. However, there often is a tremendous lack of advocacy capacity among organizations at all levels. Citizens and citizen groups in new democracies require a range of skills to engage effectively in policy advocacy. These skills may include learning how to communicate with constituencies, reach out to other groups and form coalitions, evaluate policy documents, draft laws, or policies and propose alternatives, educate fellow citizens on issues and ideas, raise funds, develop strategic campaign plans, make participatory decisions, and recruit and mobilize allies and volunteers. The development of these types of skills can itself constitute movement toward a more democratic political culture within groups and communities, even when specific policy goals may not be realized. In the past, NDI has also produced nuts-and-bolts advocacy campaign organizing manuals that assist training in these areas and help groups plan advocacy campaigns from start to finish.¹

Working Definition of Civil Society

A **Civil society** includes a multitude of associations representing a wide range of interests and ties around which citizens voluntarily organizes themselves to achieve a common objective. These organizations can include: national umbrella federations, religious institutions, cultural associations, women's organizations, business or trade associations, fraternal orders, professional associations, rural grassroots community based organizations, environmental groups and labor unions. A strong and vibrant civil society also is seen to nourish vast quantities of **social capital**. In general, social capital is the added value to society that is brought about when linkages and democratic values (e.g., tolerance, inclusion, reciprocity, participation and trust) among individuals and groups helps facilitate cooperation for mutual benefit.

NDI does not, however, view civil society development or citizen-centered advocacy programs as an alternative to political party development. Political parties are a necessary element of a strong and vibrant democracy. Parties are unique organizations that fulfill a number of different, yet related, functions that are central to the democratic process. Parties vet political leaders and contest elections, form accountable and representative government, and consolidate public

¹ These manuals and additional materials are available through NDI's on-line (www.ndi.org) **Access Democracy** library : "Getting Things Done in the West Bank and Gaza," West Bank and Gaza, 1998; "Policy Project Proposal Development Workshops," Romania, 1997; "Organizing and Advocacy in Slovakia," Slovakia, 1998; "Making Your Voices Heard," Latvia, 1997.

interests. Since most citizens and civil society groups have more specific parochial interests, parties are necessary intermediary institution capable of balancing and aggregating competing interests in a broader political arena. NDI works to inform citizens and civil society organizations about the importance of strong democratically organized parties, and likewise works to inform parties about the complementary roles of civil society organizations.

Conclusion

When working with citizens and CSOs, NDI's comparative advantage lies in helping increase their participation in political processes. Advocacy is one of the primary political tools that citizens in a democracy can use to influence public policies and processes. This guidebook offers advice to NDI staff members and other practitioners organizing programs to strengthen the practice of citizen-centered advocacy in new democracies.

SECTION 1

Assessing Civil Society: Identifying Opportunities and Building Relationships

Section Objectives

- 1) Provide reasons why assessments should be conducted.
- 2) Outline a process of assessment.
- 3) Introduce the process of building strategic partnerships.

Reasons for an Assessment

Developing citizen participation programs begins with a thorough understanding of the political landscape, and the organization and capacity of civil society. This includes understanding basic citizen attitudes toward government and political change, how power is used and understood by individuals and institutions, how the government is selected, and the extent of political participation opportunities. Although NDI may perceive from the outset that advocacy practices are weak or non-existent in a country, this does not immediately suggest a pre-packaged program. Systematic baseline assessments are essential for meaningful program design, implementation, monitoring and evaluation. Specifically, baseline assessments help:

- Focus plans and resources by identifying needs and opportunities.
- Determine program starting points (baseline) and appropriate approaches.
- Provide information on potential partners and existing citizen participation initiatives.
- Help build relationships with citizens, citizens groups, political parties, and government officials.

The Process of Assessment

The process of assessment amounts to information gathering (what is presently the scope and quality of citizens' political participation? Why?), problem-solving (what needs to be changed or strengthened to increase participation, e.g. knowledge of democracy, organizing skills, legal environment?), and decision-making (who should NDI work with and how?). NDI assessments generally involve discussions and consultations with a wide range of actors. Information can be obtained through participatory means, such as interviews and focus group discussions. Information can also be obtained by reviewing news articles, NGO reports, conference proceedings, or studies conducted by other institutions. The time this process takes cannot be underestimated. To be effective, the process should be participatory. In other words, NDI

representatives should develop an assessment process that substantively involves local actors in the information gathering, problem-solving, and decisionmaking. However, this level of involvement is often a function of the relationships that the implementing organization has and is able to develop. Newly arrived expatriate representatives should not expect to sit down with local civic or political leaders and have candid conversations on day one. Often, more than one meeting or discussion will be necessary to ensure that enough trust exists for accurate and useful assessment information to emerge.

Take the time to develop relationships built on mutual respect and trust. Potential civil society partners should understand that NDI is itself a non-governmental organization and there are often opportunities for learning from each others' experiences. Demonstrate to potential partners that NDI wants and needs to learn from them as well as that NDI can bring them useful ideas, techniques, and people. Visit branches of the organizations if they exist, or observe some of the organization's program activities, or participants. The baseline assessment process provides an opportunity to sit down with leaders and activists at various levels and collect their perspectives on the current political situation and development needs of their community. From these activities, the relationship can then advance toward shared decisionmaking and program planning with partners. The tone of these early interactions will affect the nature of the relationship for a long time afterwards.

A baseline assessment will often focus on both the **political landscape** (e.g., the political and economic environment surrounding an activity, or those factors that may facilitate the political participation of civil society like supportive laws and regulations, adequate resources and skills, broad understanding of the differing roles of the state, private sector and civil society in a democracy, as well as the relationship between the local conditions and the global environment) and on the missions, vision, and overall **organizational development** of civil society groups.

Political Landscape

The following list offers suggestions for learning about the climate for citizens' political participation initiatives.

- Identify and talk with the different forms of existing leadership (formal, informal, and traditional) about the local political/economic situation and needs.
- Consult with citizens, including members of minority groups, about perceptions and expectations related to democracy.
- Determine how decisionmaking takes place at different government levels and whether citizens have meaningful access to the selection of government officials.

- Talk with government representatives about their plans, policies and perceptions of civil society.
- Find out how the dominant population treats minorities and how minorities treat outsiders to their community.
- Review structures and statutory instruments, rules and regulations, practices, and procedures that potentially could help to create a better enabling environment if enforced (should they already exist) or that may need to be repealed or further developed .
- Determine what social, political and economic roles women and minorities play.
- Talk with political party leaders about their perceptions of civil society's role.
- Discover whether any examples of citizen advocacy exist at the different levels of government. It may be more appropriate to broaden existing initiatives, rather than introducing something completely new.
- Determine if a trade union movement exist and if it is supportive of broader civil society development and activism.
- Figure out what role religious communities play and who they may represent.
- Talk with other international development organizations and donors about their programs and priorities. It may be possible to complement existing programs or draw resources from some level of collaboration.
- Figure out how security may affect program activities. If the government does not allow freedom of assembly, then program participants could be at risk.
- Determine if the press operates without interference from the government. If the press is a tool of the government or other particular interests, then they are probably an unlikely ally in many citizen initiatives.

Focus Groups

Focus groups are semi-structured discussions conducted by a trained moderator with groups of six to 15 participants with certain characteristics. Groups are generally homogeneous, in order to obtain information about that particular segment of the population (e.g. women, union employees, youth, pensioners, disabled, business professionals). Focus groups are not scientific surveys and cannot constitute a "random sample." However, results from focus groups can reveal underlying values and orientations, thought processes, emotions, reactions and understanding.

NDI has a tradition of conducting “focus groups” as a means of collecting information about citizens attitudes toward and understanding of democracy and development. Focus groups have not only helped NDI design appropriate programs from the outset, but they have also helped NDI periodically monitor changes in citizen attitudes, understanding, and behavior over the course of a program. Often NDI works with local NGOs to help organize and moderate the focus group sessions. NDI has conducted focus groups as a program planning and evaluation activity in Bosnia, Cambodia, Croatia, Guatemala, Kenya, Kosovo, Malawi, Mozambique, Namibia, Panama, Russia, South Africa, West Bank and Gaza and Yemen.

Organizational Development

Assessing the organizational development of civil society groups can serve two interrelated purposes. On the one hand, the process can help assess the function, form and efficacy of individual organizations, which would constitute a baseline measurement. On the other hand, if done in a participatory manner, the process can help organizations develop the important ability of assessing periodically their own strengths and weaknesses.

The following activities will help determine the organizational development of civil society groups.

- Determine the purpose and background of the organization.
 - 1) Where is the organization located? Does it have offices in other parts of the country?
 - 2) Why and when was the organization formed?
 - 3) What is the organization's mission/mandate? What is it trying to achieve?
 - 4) How does the organization perceive its role? Is it as change agent, service provider, social club?
 - 5) Is the organization local, regional or national?
 - 6) How does the organization describe its relationship with government?

- Examine the leadership structure.
 - 1) Who are the original leaders/founders of the organization and what is their background?
 - 2) How is the organization structured to carry out its work? Do they have an organizational chart or other ways for everyone in the organization to understand their relationships to one another?
 - 3) Is the leadership democratically selected and accountable to a board or to a membership?
 - 4) To what extent does the organization promote participatory decision making at all levels?
 - 5) Is there a board of directors (or other governing body)? How often do they meet? How active are they in leading the organization?

- 6) Does organization have regular staff meetings, or other devices for sharing information or building consensus?
- Determine who the organization represents.
 - 1) Who is the constituency (e.g., does it include women, minority groups, people from the rural areas)?
 - 2) Does the staff reflect their constituency? Does the board reflect their constituency?
 - 3) If the organization is membership based, how many members do they have?
 - 4) Is there a process (annual meetings, etc.) of soliciting feedback from primary constituencies on a regular basis?
 - 5) Does organization assess constituency needs in a participatory manner?
 - 6) Does the organization maintain a regular mailing list for its publications? What is the scope of this distribution?
 - 7) Are there media articles done on the organization's work?
 - 8) How many press statements or public documents has the organization released?

 - Examine the organization's program development and implementation processes.
 - 1) Has the organization assessed the needs of its constituency and are programs developed accordingly?
 - 2) Does the organization have a strategic plan?
 - 3) Who participates in program planning and implementation?
 - 4) Are the organization's scope of program or other activities appropriate to its financial and management capabilities?
 - 5) What is the nature and extent of collaboration with other NGOs? How well are the functions of key organizations defined and separated?
 - 6) What are the main communication channels among organizations?
 - 5) Does the organization produce an annual report, newsletter, or periodic reports that explain programs to the public and the organization's members?
 - 6) Does the organization systematically evaluate programs? Who does evaluation? How is that information utilized by the organization?

 - Consider how the organization manages and maintains human resources.
 - 1) How many staff are full-time, part-time, or volunteer?
 - 2) Does the organization have personnel policies and procedures in writing? Is staff knowledgeable about these policies and procedures? Are there written job descriptions?
 - 3) Does the organization employ professionally trained staff with the necessary expertise to conduct the work of the organization?
 - 4) How is staff morale characterized? Is it ever evaluated?

- 5) What training opportunities are available to staff?
 - 6) What are the organization's staff recruitment procedures?
- Examine the organization's infrastructure.
 - 1) Does the organization have permanent office space?
 - 2) Does the organization have computers, fax machines, or copiers?
 - 3) Does organization use the internet? Have an e-mail address? Have a website?
 - Investigate the financial capabilities of the organization.
 - 1) Does the group have budgeting, accounting and auditing systems?
 - 2) Are there systems and procedures to protect against mismanagement? Does the organization produce financial statements on a regular basis?
 - 3) Does the organization have a fundraising plan? What are the primary source of funding?
 - 5) Have the sources of support changed over the last few years?
 - 6) What plans do they have to diversify their funding base? What percent of funding is self-generated or from local sources?
 - 7) Does the organization have both operating and program budgets?
 - 8) Have all reports to donors or regulatory agencies been filed in a timely manner?
 - 9) Does the organization have a bank account that can handle both local and foreign currency?
 - 10) How do donors describe the organization's financial capacities?
 - 11) Are regular financial audits conducted?

See Appendix 2 for a NDI Assessment Report for Russia that lays out the civil society landscape, possible program options, and recommendations. The report was drafted by NDI representative Alina Inayeh, a Romanian national, who previously served as the Executive Director of the Romanian NGO Pro-Democracy Association (PDA).

See Appendix 3 for a "Guide to Conducting Focus Groups" that was used to organize focus groups when planning and assessing a civic education program in South Africa.

See Appendix 4 for a "Sample Workplan and Timeline" that lays out NDI work in Albania during 2001.

SECTION 2

Working Cross Culturally to Build a Culture of Participation

Section Objectives

- 1) Explain the need for cultural sensitivity.
- 2) Describe ways to minimize cultural misunderstandings and increase program effectiveness.

Introduction

An acknowledgment and appreciation of cultural differences is necessary when organizations conduct development programs, since these programs are often conducted in a variety of cultural settings, each with distinct historical and political traditions. Effectively working cross culturally entails knowing how to interact with others that may have different belief systems, traditions of participation and power, languages, perceptions of time, and learning styles. It is important that NDI staff members and other practitioners gain a local perspective on how a program will be perceived, and what cultural factors may need to be taken into account before program activity begins. It is also important to understand how local culture can be leveraged to promote democratic values. Most cultures contain some beliefs and practices that can help underscore democratic principles like tolerance, accountability, consensus and participation.

Tips for Being “Culturally Prepared”

- To help with acclimation and to avoid cultural misunderstanding, hire local people as members of the NDI team. Hiring and consistently consulting local team members can significantly facilitate on-the-ground, cross-cultural work. The knowledge and first-hand experience of local team members from the culture(s) in question can help an expatriate resident representatives better interpret program participant needs, questions, and comments. In addition, consulting local team members can also help resident representatives determine when changes in the political environment may necessitate programmatic adjustments.

Hiring and Developing Local Staff Members

Local staff members play important substantive roles in NDI’s programs, and their ongoing development is also an important program component. When hiring local staff, attempt to balance race, ethnicity, gender, etc. A diverse local staff, representing different groups, can contribute significantly to implementing the program in a culturally sensitive way. It also helps model equity and inclusiveness. Importantly, attempt to create regular opportunities for local staff members to develop new skills and broaden their experience with programming and democratic practices.

- Often, regional and country specialists can complement the knowledge of program staff members and resident staff members by presenting different or more elaborate perspectives on how cultural factors can affect the design and implementation of a program. In many cases, these folks may be found working in-country as journalists, academics, researchers, embassy staff members, donor representatives, business advisors, or development aid workers. Lunch or dinner with some of these people early in a program may be helpful. Be careful, however, to obtain a couple points of view, so as not to buy into anyone's particular bias or circle of friends, and to avoid raising suspicions about partisanship or other form of exclusivity.

Communicating Across Cultures

- Always attempt to understand what a person may be trying to relay to you, in light of their cultural background (i.e., values, beliefs, customs). Given the culture and the topic of discussion, some people may be more direct and open or even appear confrontational, whereas others may be indirect and subtle. Likewise, it is important to consider how what you say may be understood by someone from a different culture. Remember that mannerisms, appearance, tone of voice, and choice of words also influence how people understand and react.
- When professional translation is necessary, work with the translator in advance of an activity or meeting to help ensure that words and concepts are clearly understood and can be translated correctly. This will also help ensure that word choice is culturally acceptable. When possible, try supplementing the verbal delivery of complex information with visual aids, or printed materials.
- At the same time, help reduce possible tension by attempting to learn local language basics. For instance, learn general salutations. These can act as an ice-breaker when meeting and interacting with local people. Communicating in the host language, even to a small extent, can enhance the receptivity of host citizens toward you because it shows an initiative to learn more about their culture. It also demonstrates, to a certain degree, familiarity with their culture, and suggests an openness to learn more.
- Create materials in the local languages and, when possible, test the materials to ensure the meaning is properly conveyed. Informal focus groups, for instance, can be used to get

A Word on Translation

Before entering meetings or delivering training activities that are to be translated, make sure the translator understands that s/he is not expected to interpret, paraphrase, or respond on your behalf; unless otherwise instructed. In many cases, it will be very important that all information is delivered and received. For this reason, a translator should not determine what is and is not useful information.

feedback on materials. Also, pilot activities might be conducted, during which time materials are continuously refined.

Planning and Organizing Participatory Program Activities

- Remember that the messenger may be more influential than the message. Local sensibilities, for example, may advise using a trainer of a particular age, or from a specific ethnic, racial or gender perspective. For instance, some cases may require an older trainer to add credibility to what is being said, and increase participants' appreciation for what the trainer is trying to get across. In other cases, such as in the training of women, it may be necessary to have a women trainer so that participants are not intimidated by a male trainer. And yet, in some cases, a man conducting training for an all-female audience may help increase women's empowerment by demonstrating that they merit the same attention as men.
- Make sure that you place all local holidays on your calendar and plan events accordingly. In some cases, just as in the United States, some holidays are particularly good for some activities but not for others. It is important to consider local holidays, as well as typical work schedules, when planning events for a couple of reasons. First, it shows that you recognize and respect the local customs that affect the lives of local team members and local program participants. Secondly, it helps ensure an adequate turnout for an activity.
- Use traditional settings and forms of communication to deliver training activities. For example, in Liberia "tea shops" are the traditional setting for small group discussions on politics. In Yemen, afternoon Qat chews are traditional venues for men to discuss community issues.
- Make sure that balances, such as gender, race, and ethnicity are taken into account when planning and organizing activities. Involving participants from different groups allows for greater representation and understanding of different perspectives, increased dialogue among different groups, and demonstrates, through example, that inclusiveness is important. In some

General Rules of Thumb

- There is no such thing as being off the job when in the field and in the company of partners.
- Try to eat what is on offer (local cuisine) and use the local modus operandi (e.g. fingers, chopsticks).
- Alcohol may be offensive to some. Unless there is certainty that it will not cause offense, it should be avoided publicly.
- Take care not to appear overly negative about conditions in the country (e.g. roads, water, electricity etc.) or about the impediments of doing business (e.g., public bureaucracies, corruption, changing regulations).

situations, however, this may not be not possible, given the political context or other cultural sensitivities that may make homogenous groups more appropriate. Nonetheless, it is important that activities reach all groups when possible, particularly those politically marginalized, even though this may sometimes mean conducting separate activities.

Conclusion

Open-mindedness, respect, and an interest in the local culture will help staff members overcome many cross-cultural challenges. Drawing on local team members for advice and regularly considering cultural implications of ideas and activities will also help minimize cross-cultural difficulties.

SECTION 3

Managing Partnerships and Developing Citizen-Centered Advocacy Programs

Section Objectives

- 1) Explain the nature of mutually respectful partnerships.
- 2) Describe the relationship between baseline assessment information and work plan development.
- 3) Outline some considerations when planning and implementing programs.
- 4) Describe how partnerships develop and endure.

Introduction

Advocacy initiatives help shift political power into the hands of citizens and can establish precedents for government responsiveness, transparency and accountability. These initiatives also help citizens and citizen groups take collective action to bring desired changes to public policies or processes.

NDI's advocacy programs provide citizens with training and guidance on the use of advocacy techniques, such as framing issues, determining appropriate strategies and tactics, building coalitions, recruiting volunteers, fostering community deliberations, working with the media, and educating others. NDI advocacy programs are also concerned with strengthening the organizational capacities of civil society organizations. Better structured and better managed organizations operate more effectively, helping citizens identify and articulate their priorities and participate in political decision-making.

NDI is committed to working in partnership with local civil society organizations as a means of increasing citizen participation through public policy advocacy. Although creating a new group to conduct advocacy may be nonsensical if many groups already exist, NDI might work to foster a coalition of existing groups around a cross-cutting issue (e.g. NGO law, freedom of information act, election law, constitutional reform). In every instance, however, partnerships ought to be based on mutual respect and trust, with an emphasis on solidarity, rather than paternalism.

Program Design Considerations

NDI does not have a one-size-fits-all approach to promoting citizen-centered advocacy. Instead, the baseline information is used to determine the appropriate path along which NDI can help citizens and citizen groups move to action under the given circumstances. As indicated earlier,

baseline assessments generally provide information on the political context, organization and scope of civil society, as well as on the organizational development of select groups.

Depending on the baseline assessment information, several different program paths may be chosen in consultation and cooperation with those organizations NDI is seeking to assist. In some instances, there may be a preliminary need for educating communities in a comparative way about citizen roles and responsibilities and those of democratically elected officials. There may also be a need to help citizens and citizen groups understand that they can necessarily act as change agents and can affect policy decisions through collective actions like advocacy. In these cases, initial program activities may have to focus on providing basic knowledge and skills as a prerequisite for future collective action. On the other hand, a situation may exist where citizens already understand their roles and the possibility of action (there may even exist some good local examples), but they still need to develop more advanced skills that would enable them to form coalitions and be more influential advocates.

The baseline information gathered is used to determine starting points and provide a level against which future developments can be gauged. Generally, annual workplans are developed which provide detailed explanations of how the program will work. This process also includes creating benchmarks (intermediate objectives) denoting what will be achieved at different points of the program. Essentially, a workplan is a management tool that breaks a program down into a sequence of “bite-size” pieces, reflecting a programmatic beginning, middle and end. As such, the workplan can help throughout a program in determining whether the program is progressing, if it has stalled, or if it is moving off course. Workplans can also help with delineating roles and responsibilities, and with anticipating when and how resources (e.g. human, financial, material) will be used.

Sustaining Advocacy and Other Citizen Actions

Moving citizens to advocacy generally requires a concerted effort and strong collaborative relationships. Hit and run training sessions on advocacy do not work as well as programs that assist citizens and citizen groups with moving systematically and knowingly through all phases of an advocacy effort. In most cases, citizen-centered advocacy initiatives are a new form of political participation. This often necessitates a “guided” approach that helps citizens develop a range of skills deliberately – and a sense of their own power – through learning-by-doing. Only through practice, does advocacy become an institutionalized behavior.

Partnership Considerations

The term partnership basically refers here to relationships where NDI works collaboratively with local group(s) to fulfill some mutually agreed upon program objectives. At the same time, NDI attempts to transfer a variety of programmatic and organizational skills to local partners (this differentiates NDI from donors that simply provide financial assistance). True, mutually

respectful partnerships exist when local organizations are involved with NDI in setting the priorities, making decisions about program design and implementation, and take equal responsibility for the success of an initiative.

As a partnership begins to develop, make certain that organizations understand that NDI's mission relates to politics and political participation. In other words, potential partners need to be aware that NDI is about increasing citizen involvement in politics. Likewise, NDI staff members need to be respectful of the mission of a partner group. Groups should not feel pressured to redirect their organizational focus or to place their reason for existing second to NDI's agenda. When groups redirect their focus to suit a donor-driven agenda, these groups often grow dependent and become less inclined to represent the interests and concerns of actual citizens. Ideally, groups should feel compelled to work with NDI because they acknowledge that NDI is willing and able to support *their* agenda. In the case of coalitions, for instance, NDI has been more successful when groups have begun to coalesce naturally and NDI then steps in to provide targeted assistance. In these situations, the political will already exists and NDI can help enhance its expression. A good example of this situation is found in NDI work with the VOICE coalition in Russia.

It is essential that local partners are involved in program planning. If citizens and citizen groups are expected to conduct advocacy campaigns (i.e. taking unprecedented political action with NDI assistance), it is rather important that they are involved in these decisions and understand the implications. The collective development of specific objectives and a description of what constitutes success need to be determined jointly. NDI should not drive planning decisions and override the missions of partner organizations with an NDI or donor program agenda. Ideally, workplans, or at least the germane portions, are developed with the participation of local partners. This participation helps NDI and the partner clarify expectations and responsibilities, and also helps to empower the partner and ensures that the program is being responsive to local needs.

As part of this process, NDI should help partner groups assess their own capacities and set some organizational developmental objectives, as well as the shorter term program objectives. For some organizations, this may mean a full-fledged strategic planning process to determine how the organization envisions the future, what role the organization wants to play in helping create that future, how advocacy fits into the organization's broader thinking, and what skills, resources, and time the organization needs to fulfill its vision.

All programs with civil society organizations should be viewed as an opportunity for strengthening those organizations, as well as for institutionalizing the practice of citizen advocacy. Supporting the capacity needs of emerging civil society organizations is a must to assure real programmatic ownership and sustainability of advocacy practices. Capacities range from the operational (e.g., the know-how and systems needed to conduct an advocacy campaign) to the organizational (e.g., the ability to plan, manage programs and people, raise and account for funds,

hold a board meeting, etc.). If the objective of an NDI program is to increase organizational capacities and create sustainable advocacy practices, steps must be taken to build an organization's leadership, management, fundraising, and human resource development abilities from the outset.

Some partnerships may be formalized through cooperative agreements, which provide financial assistance to groups. This assistance corresponds to and complements NDI's technical assistance activities. Since NDI does not exist principally to be a donor, most sub-grants are used by NDI as a means to provide funds while helping groups develop their organizational and operational capacities. For example, a grant might be given to help a group with their advocacy activities, and at the same time to help the group learn how to budget, and better manage and account for funds. NDI should not, however, unilaterally dictate what ought to occur programmatically simply because NDI controls access to certain funds.

Some Basic Considerations for Managing Partnerships

- Send a consistent message about NDI's intentions and expectations. Also, be explicit about NDI's relationship to its funders (e.g., NED, USAID) and notify local partners when changes in those relationships occur.
- Be clear about what NDI can and cannot do so that groups will not be surprised when NDI says no to some request. Even under the best circumstance, some give and take will be required.
- Leave space for groups to make some mistakes from which they can learn, especially if they expect to continue the work independently in the future. At the same time, build in opportunities to evaluate experiences with the partner, and to help them learn lessons for the future.
- Recognize local expertise and the existing capacities of a partner organization. This "appreciative" approach makes it easier for partners to build upon recognized strengths.
- A good partnership requires developed relationships. For this reason, try to make sure that any succession of staff members is well-managed, in terms of sufficient overlap between old and new, etc.
- Maintain a clear time frame. How is NDI going to leave this project without causing ripples in its relationship with its partner?
- When sub-grants are involved, general accounting training and coaching at the front end can help the group develop financial management capacities and make them more accountable. Also, NDI must be cognizant of how partners view the money and NDI's role. NDI should not be viewed necessarily as "the decisionmaker" or as just a donor.

Memorandums of Understanding (MOU) are also used to clarify and confirm the obligations and expectations between NDI and partner groups. An MOU reflects a partner group's political will to engage in specified types of organizational development and programmatic activities (e.g., a partner commits to developing a strategic plan, improving organizational management and decisionmaking, recruiting more volunteers, and organizing an advocacy effort). For a partner, a MOU also articulates the level and type of support NDI will provide them in their organizational development and program effort (e.g., NDI will assign a full-time representative with organizing and non-profit management experience to provide advice and a series of regular training sessions on certain topics for 12 months).

See Appendix 5 for “Training Agendas” that have been used to provide a comparative introduction to advocacy practices.

See Appendix 6 for a sample “Memorandum of Understanding” used between NDI and the Center for Civic Initiatives in Bosnia.

See Appendix 7 for “Sub-Grant Management Information” from NDI's accounting department.

CASE STUDY

Mobilizing Service Providing Organizations as Public Policy Advocates: Access for the Disabled in West Bank and Gaza

In 1996, Palestinians in the West Bank and Gaza Strip exercised their political will by electing a Palestinian executive and the Palestinian Legislative Council (PLC). These institutions provided a basis for representative and accountable government in the Palestinian territories for the first time. To reinforce this important first step, NDI conducted a program during 1997 and 1998 to help civil society organizations conduct advocacy campaigns. More specifically, the Civic Activities Project (CAP) was designed to move existing civil society organizations to policy advocacy at the PLC level.

To implement the CAP program, NDI placed a veteran resident representative in West Bank and Gaza Strip for the nine-month period of the program. The representative had prior NDI experience working with citizen advocacy groups in Malawi, Russia, Slovakia and elsewhere. Based on this experience and the results of consultations with civic and political leaders in the West Bank and Gaza Strip, the representative and other team members made a variety of decisions about how to organize the program to achieve the desired result of policy advocacy.

Identifying Potential Partners

- Potential partners had to have a membership base and a potential volunteer base.
- Potential partners needed a variety of leaders at different levels of the organization, because groups with national, provincial, and local leadership and volunteers generally provide more training opportunities.
- Potential partners needed an existing capacity to manage people, money and time.
- Potential partners needed a long-term issue agenda, or a multi-issue agenda.
- Potential partners needed to have a strong interest in achieving a concrete result. It could not be about just raising awareness, with no end-game in mind.

Finding an Issue

- The policy issue had to affect a broad number of people.
- It had to be something that the government would likely take up with enough pressure.
- It had to be something with no identifiable or organized opponents.
- It could not be an issue that would necessarily require a protracted multi-year battle.

With the criteria in mind, NDI began an assessment process to identify viable partners. In the end, NDI chose to work with General Union of the Disabled (GUD). The GUD is a territory-wide group of more than 5,000 members, organized into local chapters which focus on local issues. Traditionally, GUD chapters dealt mainly with casework – assisting disabled Palestinians to gain

access to medical care, education and employment opportunities on an individual basis. Recognizing that these issues are part of the civil rights afforded all Palestinians, whether disabled or not, the GUD became interested in organizing a national effort to address disability access. Rather than continuing to work with separate schools, hospitals or places of employment, the GUD sought to lobby government officials – in the PLC and in various ministries – to mandate access and opportunities for disabled Palestinians. With NDI assistance, the GUD decided to begin this advocacy campaign with the issue of access to buildings.

NDI training with the GUD was conducted at the national and regional leadership level and included: prioritizing goals; planning meetings; promoting national legislation or resolutions; utilizing the media; and developing an ongoing relationship with the Palestinian Legislative Council, the various ministries, and elected officials on issues of concern to disabled Palestinians.

NDI initially began training members of the GUD in preparation for Disability Week in December 1997. The training began with an initial meeting with the GUD two months beforehand in which 22 members attended. This meeting was followed by a two-day policy and message development workshop in November, which brought together members of the Union's central and branch offices to discuss the development of a national policy and message, and methods for bringing the message to decision makers in the PLC. NDI recruited PLC member Azmi Shu'abi to meet with the group to counsel them on how to define their needs, outline problems and solutions, and identify supporters. The outcome of these meetings was a week-long advocacy effort in which extensive media outreach and public demonstrations occurred, which was hailed as a major success by the media and other observers.

Following Disability Week, NDI sponsored a "Lobby Day" with the GUD that focused on the lack of legal rights for disabled people. Using a locally-produced advocacy manual "Lobbying the Council," the Institute trained 30 members of the GUD on lobbying skills and provided them with a form they could use to keep records of their interaction with PLC members. The Union prepared talking points and drafted a brochure entitled "What is Access?" to be handed out to PLC members. GUD members then spent a day attending a plenary session at the PLC, lobbying members about the issues of the disability rights and access.

As a follow-up to Lobby Day, NDI sponsored a GUD National Rights Leadership Retreat in December, which focused on the pros and cons of focusing on major rights versus the issue of disability access. At the retreat, the group determined the specific pieces of access (rights in employment, education, and non-discrimination), and defined the nature of access in terms of making buildings - both old and new - accessible to the handicapped. With assistance from NDI, the group then developed an action plan for passage of access legislation, focusing on how to influence decision makers, mobilize allies, neutralize opponents, and how to effectively use the media in their access campaign. Following the retreat, volunteer forms and petitions on access issues were created and circulated to collect names of potential members and to influence government.

With NDI guidance, the GUD began working with a lawyer to draft access legislation. In March, 1998, a GUD conference was convened to present the legislation to GUD members from the West Bank and Gaza Strip. Copies of the law were then distributed to all GUD members for review. NDI trainers worked with the GUD on strategies for building allies, both within the PLC and in their communities; relations with the media; and how to write press releases and petitions in preparation for the legislation's public unveiling in May.

In the weeks leading up to the conference, NDI worked intensively with GUD membership to provide assistance in drafting invitations, speeches and press releases; logistical support; provision of the draft law in Arabic, braille, and audio; and training GUD leaders in conference organization and preparation.

On May 22, 1998, NDI and the GUD convened a conference in which the disability access legislation was formally unveiled. The law and the conference alike represented the first time the disability community asked for their rights to have access to public places like government buildings, hospitals, schools, and businesses. In attendance were over 300 people, including officials of the Palestinian Authority, Fathi Arafat (president of the Red Crescent Society and brother of Yasser Arafat), and Azmi Shu'abi, chairman of the newly established disability caucus in the PLC. At the conference, Council Member Shu'abi commended the work of the GUD, pointing out that the GUD's work represented the first time that an outside group had drafted legislation for consideration by the Council, as well as the first time a caucus was created in the Council. He noted that the legislation would be the first of its kind in the Middle East, and commended the GUD for setting an example by using the legislature as a vehicle for their advocacy issues, representing a foundation of democracy.

One week after the conference, the PLC passed the "zero" reading of the access legislation. It was then referred to the Social Affairs Committee for review.

SECTION 4

Increasing Women's Participation

Section Objectives

- 1) Explain some basic tactics for involving women into all aspects of a program.

Introduction

To broaden women's political participation, NDI and other implementing organizations should look for every opportunity to enhance the organizing and leadership skills and experiences of women.

Women are citizens. Yet, women in every political system in the world are under-represented at all levels. Moreover, when there is involvement, it is often at the level of elites. Even in places where women's groups have flourished, many — community-based groups in particular — do not realize their political potential. Oftentimes, women are forced to operate in cultural, socio-economic, legal and political environments unfavorable to their political participation as citizens with equal rights and responsibilities. A lack of collaboration among women and women's groups, combined with a lack of awareness among men, diminishes the potential of women to be capable advocates, political players, leaders and active citizens.

Steps to Involve Women in Programs

- As part of the baseline assessment process, form an understanding of women's roles and responsibilities in different contexts (i.e., social, economic, political). Also become informed of the relevant laws, conventions and practices that may provide incentives and disincentives for women's participation.
- Examine the gender relationships, or those standard cultural conceptions that may prescribe separate roles and behavioral norms for men and women within society. At the same time, other issues to focus upon, in terms of understanding women's potential for participation, include the type of power women already may have as decision-makers in the home and community leaders (e.g, healers, midwives, instructors, merchants, creditors). This information will help determine points of entry and ways to leverage existing practices.

- Talk with representatives of existing groups, including political parties, women's parliamentary caucuses or labor unions, that have an interest in promoting women's political participation and consider possible ways to collaborate (e.g., inclusion of women from other groups in training programs in exchange for access to their networks to expand outreach capacity).
- Encourage and recruit women as participants in all programs activities. When working with local partners, try to stipulate a certain number of women participants when initial program planning and decisionmaking occurs.
- Sensitize both men and women to the issue of women's political participation, in order to increase wider social acceptance of politically active women. Since men often expect women to remain marginalized and under-represented in leadership positions, men and women both must be challenged to consider democratic alternatives and the meaning of *citizen* participation.
- Involve opinion leaders in the design and implementation of programs that are geared toward increasing women's political participation. Obtaining their buy-in can facilitate the program's implementation and increase receptivity toward the program.
- Use both female and male trainers whenever possible to reinforce the role of women as activists and potential leaders. This can help condition men to accept women in these types of roles. Moreover, attempt an equal mix of men and women trainers all NDI activities, not only those which target women as participants.
- Develop a criteria for the types of women to involve in a program, and then extend invitations directly to the targeted women. Also, make sure that program activities are held at accessible locations for women and at a time that fits their work and home schedules.
- Help women develop an awareness of the power they already exercise in their daily lives (e.g., caring for children, running a home and making related household decisions, working in partnership with other women to produce and sell goods). By raising women's awareness that they already have and practice power and are involved in power relationships everyday, self-confidence in their individual capabilities will increase.
- Leave legacies in the form of case studies that can help motivate additional women and

provide other practitioners with information describing best practices and lessons learned. Documenting and disseminating lessons learned should be viewed as a critical part of the program process.

CASE STUDY

Women Taking Action: One Step at a Time in Namibia

Background

During the ten years since independence, Namibia has generally enjoyed stability as a multi-party democracy based on the rule of law and regular elections at national, regional and local levels. The Namibian Parliament has made significant strides towards becoming the independent and deliberative branch of government that was envisioned in the nation's constitution and civil society is beginning to engage in many important public policy issues facing the country. However, women's participation in the political process remains low. Despite the fact that they constitute fifty-one percent of the population, only fifteen percent of the national leadership is female, while four percent of regional councilors are women and only one of thirteen governors.

As part of NDI's effort to foster the development and practice of citizen advocacy and broaden the political participation of women, in August 1999, NDI's resident representative began working as technical advisor to one of the country's best-known women's organizations, Sister Namibia. The campaign activities described below illustrate the evolution of a nation-wide grassroots movement, characterized by a progressive advancement in the quality of organizational skills and advocacy tools.

Finding an Opening

As a signatory to the United Nations Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), the Beijing Platform for Action and the Southern Africa Development Community Declaration on Gender and Development, the Namibian government committed itself to increasing women's participation at all levels of politics and decision making. Though largely symbolic, this move by the government created an environment conducive to increasing women's participation and provided a centric point around which advocates began to coalesce.

Writing a Manifesto

Working from this national commitment, Sister Namibia and its partners borrowed the structure of the Declaration on Gender and Development and wrote a manifesto clearly outlining their demands and vision of the future. The *Manifesto* was developed through an extensive process of consultation. This involved the distribution of three consecutive drafts to over 200 women activists and representatives of NGOs, political parties, parliament and all levels of government. The final document reflected subsequent comments and resulted in a comprehensive,

straightforward and accessible tool built upon a broad base of ownership. Additionally, the involvement of many women in the development of the *Manifesto* served to educate and mobilize them on gender issues from the very inception of the campaign.

Creating a Coalition

Initially, the coalition behind the movement consisted of participants from a workshop on “Women in Politics and Decision Making”. At this event, participants agreed that Sister Namibia would lead NGOs, women’s wings of political parties and other organizations in a campaign to promote the participation of women in the 1999 general election and beyond. This group and those that joined in response to the *Manifesto*, constituted a coalition of more than 30 civil society organizations and parties spread throughout the country. This group became known as the Women’s Manifesto Network (WMN).

Picking Your Time and Target

The WMN kicked off a nation-wide, pre-election advocacy campaign with the publication of the document in six indigenous languages and its distribution in all thirteen Namibian regions. In preparation for the release of the document, regional and town facilitators participated in a national training-of-trainers workshop which provided for a transfer of skills in media advocacy, organization of workshops, information dissemination and political mobilization as experienced in countries such as Botswana and South Africa. The regional and town facilitators subsequently organized workshops and launching events where they distributed the *Manifesto* to local inhabitants. This raised visibility and awareness to a national level and set the scene for lobbying political parties and conducting voter education in preparation for the elections.

Win Support and Neutralize

WMN invited all political parties contesting the 1999 elections to the *Manifesto*’s national launch event. Representatives of three parties attended and expressed unanimous support for the aims and contents of the document which addressed the following universal issues:

- Women’s political participation;
- Women’s human rights;
- Education and training;
- Women’s health and reproductive rights;
- Women and the economy;
- Women and poverty;

- Women and the environment;
- Women and the media; and
- Women and peace.

Representatives of the ruling party were conspicuously absent from the launch, which followed a public denouncement of the *Manifesto* by their own Women's League. The Women's League spokesperson claimed that the *Manifesto* confused Namibian women by including a call for the recognition of the human rights of gay and lesbian people. According to their logic, the human rights of these individuals were not part of the "gender issue". Despite this denunciation, WMN succeeded in winning multi-party support at the beginning of its campaign, which helped mitigate widespread political opposition.

Building Understanding

In order to build a base of common understanding around the *Manifesto*, WMN conducted a train-the-trainers workshop for women's activists from each of Namibia's thirteen regions, in addition to members of NGOs based in the capitol city, Windhoek. The workshop familiarized the participants with the goals of the *Manifesto* and equipped them with the skills necessary to organize workshops and public launch events in their home regions. This corps extended the campaign nation-wide and fostered continuity in understanding and resolve among activists, which provided greater strength to the network.

Winning Small, Winning Early, and Winning Often

Encouraged by the extensive media coverage the coalition had received around the elections, after an evaluation of their campaign, the WMN decided to organize a month-long series of advocacy activities around International Women's Day in the month of March. WMN's *Gender Awareness Month* promoted awareness at both regional and national levels and included opportunities for citizens to lobby the public officials on areas of concern to women. In the regions, many WMN facilitators organized their own events to mark International Women's Day, while in Windhoek, the following activities were held in progression:

- Women and Poverty Forum (March 4, approximately 80 attendees);
- International Women's Day Event (March 8, approximately 100 attendees);
- Women and HIV/AIDS Discussion (March 11, approximately 50 attendees);
- Girl Child March and Rally (March 16, approximately 3000 attendees); and
- Ecumenical Worship on Violence against Women and Children (March 26, approximately 90 attendees).

The WMN followed the *Gender Awareness Month* campaign, which received broad coverage on international and Namibian radio stations and in the written press, with a campaign organized in conjunction with a parliamentary petition. The petition demanded that the Ministry of Justice finalize and table the Domestic Violence Bill and that the Parliament pass the Child Care and Protection and the Child Maintenance bills. The WMN and several other groups coordinated a march and rally at Parliament to present the petition to the Deputy Speaker of the National Assembly. The petition was signed by nearly 1000 people, many of whom had been approached and recruited at *Gender Awareness Month* activities. The petition event was also extensively covered by the media and included a major television news piece.

The final WMN campaign initiated with direct NDI assistance sought to require, by law, women to hold fifty percent of elected decision-making positions at all levels of government. In preparation, NDI assisted WMN in delivering a workshop to launch the campaign and develop appropriate advocacy tools. NDI also trained WMN leaders in focus group moderation skills, which subsequently enabled them to conduct focus groups to pre-test posters developed as advocacy tools. Based on the information collected during 11 focus groups, they were able to refine their posters prior to publishing. The coalition then printed copies of two different posters and a pamphlet. Both posters exhorted the public to: "Demand laws that put women in 50% of all elected government positions." The pamphlet outlined the rationale for and demands of the campaign. One section explained the current situation of women in government, another described what the Constitution and international agreements stated regarding gender equality, while a third detailed the demands of the campaign. WMN consulted approximately 45 organizations and 42 individuals on the pamphlet. Consequently, 37 organizations and political parties had their names printed on the back to signify their support for the campaign goals. Numerous regional workshops followed, as WMN held events around the country to discuss the materials and launch the campaign.

The activities culminated in a WMN-sponsored march and rally at the Parliament. There the Speaker accepted a petition that was signed by nearly 3000 persons and demanded that women occupy 50% of elected government positions. In response, the National Assembly formed a Petitions Committee and later, WMN leadership was granted an audience with the Parliamentary Government Affairs Committee. This was the first time they had ever met with a parliamentary committee. They also held numerous meetings with the leadership of different political parties and the Directorate of Elections to discuss campaign demands.

Isolating, Infiltrating, and Integrating

An effective organizational technique utilized by the WMN in the parliamentary petition march and rally was the involving the *Multi-Media Campaign on Violence Against Women and Children* and the *Khomas Steering Committee of Men Against Violence Against Women* as partners in sponsoring the event. The buy-in of men and the media not only guaranteed coverage of the

event, but also bridged the gender gap, increasing support from the general public. The involvement of students and faculty from several universities augmented participation and disseminated the message to a wider audience as well.

Initial Results of WMN Activities

Within a year and a half, WMN made significant strides in the advocacy arena. WMN's advocacy work brought them into contact with the National Assembly, the National Council, various ministries, political parties, other civil society organizations and international bodies, such as the UN Commission on Human Rights and Amnesty International. The variety of political advocacy tools repeatedly applied, created the conditions for the expansion of skills and wider results. The techniques have included: marches to the Parliament; rallies at the Parliament; petitions presented to the Parliament; invitations to MPs of both Houses to participate and speak in WMN events; meetings with Parliamentary committees; and media work (i.e., press releases, letters to the editor, radio and TV debates and press conferences).

According to leaders of the WMN, NDI's technical and financial assistance yielded a number of important results:

- Improved content and formatting of the *Manifesto*, posters, and pamphlet.
- Improved distribution systems for the *Manifesto*, posters, and pamphlet.
- Better defined campaign goals.
- Stronger time management/program planning skills.
- Better structured training-of-trainers workshops.
- More comprehensive reporting to donors.
- Increased contacts with Parliament.
- Increased contacts with the Executive.
- Improved problem resolution skills.
- Increased confidence in conducting advocacy programs.
- Decreased reliance on external technical assistance.

SECTION 5

Ongoing Program Evaluation

Section Objectives

- 1) Describe the purpose of evaluation.
- 2) Outline strategies for building ongoing evaluation into programs.

Introduction

Regular evaluation – by both NDI and local partners – is a critical element of well-functioning and effective programs. By illuminating strengths and weaknesses, evaluation activities help promote continual programmatic improvement. Evaluation also assists program planners and implementers with decision-making. The evaluation results help determine if the program is working (i.e., reaching objectives), if it is still practical and pertinent, if adjustments should be made, and if it merits future resources.

At the conclusion of an advocacy program, citizens and citizen groups should be better able to participate in political processes as a direct result of the program intervention. Therefore, evaluation is a process of determining exactly what changed and what is the evidence for the changes. An ongoing evaluation process provides a record of program developments that can be used to illustrate actual impact at the end of the program. In order to provide this type of information, an evaluation process needs to be in place from the program's outset. This requires program managers and implementers to design clear plans for how developments will be monitored and measured. It also requires careful consideration of how evaluation results will be fed back into the program.

Building Ongoing Evaluation Into the Program

Developing an ongoing evaluation process starts as baseline information is gathered, programmatic starting points are determined, and program objectives are defined. The objectives are the end points against which a program's impact is evaluated. Hopefully, every activity moves a program closer to the stated objectives. The question then becomes: How will we know this is happening effectively.

Do not wait until the end of a program to determine if the sum of all activities adds up to programmatic success. For example, if a program consists of five-step activities sequence intended to move citizens from inaction to sustained action, then the achievement of each step needs to be assessed before proceeding to the next step. An ongoing evaluation process will allow the program's pulse to be taken regularly from start to finish. This requires asking constantly: Which activities are working? Why? Why not? What changed as a result? The

actual monitoring process can be as simple as observing the implementation of activities, talking with program participants, and collecting anecdotes for use in periodic reports.

For an evaluation process to work, it is necessary to determine what information is needed, how it will be gathered, who will gather it, when it will be gathered, and how it will be used. This first requires a commitment to an ongoing process of evaluation and program improvement.

Suggestions for building an evaluation process into a program include:

- Involve program partners in determining what constitutes success and in the process of monitoring and measuring progress.
- Start with clear, realistic, and measurable program objectives. From the objectives, it should be possible to describe what will change as a result of the program. Will participants be more knowledgeable about advocacy, will they be able to plan a campaign or build a coalition, will they be able to manage funds, or will they actually organize themselves and change a public policy. Different objectives, require different levels of time and effort to achieve. Getting groups to organize an advocacy campaign and successfully change a public policy, for instance, does not generally happen in just a couple months.
- Define a programmatic beginning, middle and end, and define benchmarks that denote progress. (e.g., issue defined, recruitment of women members, coalition formed, campaign plan drafted, first action taken, volunteers recruited, allies identified, etc.). Larger program objectives can be broken down in the workplan, so that the program is a step-by-step process.
- Based on the objectives, benchmarks and activities, determine the specific types of

Select Monitoring Methods

- Track the number of training sessions conducted, participants attending, consultations held, materials distributed, etc.
- Collect participants testimonials using focus groups or informant interviews and compare to past information.
- Discuss the direction and usefulness of the program with citizens and partner organizations.
- Discuss the program's impact with other local and international organizations.
- Systematically collect anecdotes about how participants are applying what they learn.
- Gather media reports related to program activities and results.
- Collect any materials (e.g., newsletters, citizen questionnaires, volunteer recruitment forms) created by citizens or citizen groups as a result of NDI activities.
- Review financial reports from sub-grantees.

qualitative and quantitative information that need to be gathered. For example, if the objective is strengthening an organizations capacity to organize an advocacy campaign, it may be necessary to monitor whether a plan was created, allies were identified, volunteers recruited, etc.

- Formalize the system of analyzing and distributing information about program developments. For example, will there be weekly meetings with partners to discuss progress and make adjustments? When will reports be drafted and who should receive them? Will there be any type of periodic external evaluation? Perhaps NDI colleagues from other countries should visit occasionally and give feedback on the program.

Monitoring and Measuring Progress and Feeding Information Back Into the Program

Evaluation is easiest and most effective when designed as an integral day-to-day component of a program. Several methods can be used to monitor program developments regularly. Of course, the best mix of methods will depend on what needs to be monitored and measured.

The information generated through the monitoring process should then be reviewed in light of objectives, benchmarks, activities and underlying assumptions. The analysis and conclusion should then be disseminated through regular field reports and should also be used as a basis for periodic program development discussions.

When analyzing assessment information, be mindful of changes in the operating environment and program assumptions. Occasionally, external factors impinge upon a program's ability to function properly. This may require a rethinking of objectives, prompting consequent changes in the program approach.

NDI staff members ought not to take total responsibility for evaluating a program. Program partners and participants can be directly involved in program assessment and development. Work with partners to help them establish a system to assess themselves and their accomplishments periodically. The system could comprise monthly roundtable discussions with organizational leaders and primary program participants, followed by written reports of select accomplishments to be published in a newsletter, or on a website. Any information generated during these

Assessing Training Activities

Since most programs are built upon a series of consultations and training sessions, it is necessary to assess the effectiveness of these activities. Formal evaluations should be administered at the end of training activities to determine if the participants actually learned anything and if they intend to use their new knowledge or skills. These evaluations may include questionnaires that gauge participants *reaction* to the training and also activities that oblige participants to *demonstrate* what they learned (e.g., role plays, simulations, discussions, or actual practice where they write a plan or develop a press release).

evaluation activities can then be fed back into the program and can also be used to measure impact.

Through mechanisms, such as Memoranda of Understanding (MOU), NDI and its partners define specific developmental objectives and activities, and delineate implementation responsibilities. These types of mechanisms place ownership of the program in the hands of the local partners and foster their commitment to learn and apply new practices. This participation and commitment should be carried over into the process of evaluating what is and is not working programmatically. It should also encompass the area of sub-grant management on the part of NDI and the partner group. NDI should be prepared to provide groups with constructive feedback on their accounting and reporting procedures. Likewise, partner groups should be encouraged to discuss partnership issues with NDI. NDI's partners should feel empowered to discuss financial relations in an open, honest and professional manner, as this will help both groups manage and sustain future partnerships.

Conclusion

Since program evaluation is not an exact science, there are many ways to go about it. Every program will require a slightly different approach. Be creative and flexible when designing a process in the beginning. Over the course of the program, an effective evaluation process will help promote improvement and will provide a step-by-step account of developments.²

See Appendix 8 for a “Program Evaluation Framework” that offers a way to consider the different levels of program evaluation.

See Appendix 9 for “Program Reporting Guidelines and Example”

See Appendix 10 for “Sample Program Review/Exit Memo”

² For more information on evaluation techniques, see the following websites:
<http://www.arts.gov/pub/Lessons/index.html>; <http://www.mapnp.org/library/>; <http://www.mncn.org/>

APPENDICES

Appendix 1

Cape Town Seminar Participant List and Agenda

NDI GLOBAL SEMINAR ON ADVOCACY AND DEMOCRATIC DEVELOPMENT: LESSONS LEARNED AND BEST PRACTICES

March 31-April 3
Cape Town, South Africa

PARTICIPANT LIST

Southern Africa

Augusto Santana, *Angola*
Joxean Fernandez, *Angola*
Adrian Muunga, *Malawi*
Pero Nampila, *Namibia*
Kate Head, *South Africa*
Foster Mijiga, *South Africa*

Central, East and West Africa

Frimpong Addo, *Ghana*
Clement Nwanko, Transitional Monitoring Group, *Nigeria*

Asia

Sarah Malm, *Thailand*
Evelyn Balais-Serrano, Forum-Asia, AMN, *Thailand*

Central and Eastern Europe

David Sip, *Bosnia*
Ken Hashimoto, *Bosnia*
Igor Stojanovic, Centers for Civic Initiatives, *Bosnia*
Chuck Hirt, *Slovakia*
Alicia Allison, *Washington, D.C.*

Eurasia

Ken Morley, *Armenia*
Nugzar Ivanidze, International Society for Free Elections and Democracy, *Georgia*
Dawn Del Rio, *Kyrgyzstan*
Nicole King, *Ukraine*
Katie Fox, *Washington, D.C.*

Middle East and Northern Africa

Joe Hall, *West Bank & Gaza Strip*
Margaret Zaknoen, *Washington, D.C.*

Latin America and Caribbean

Jean Freedberg, *Guyana*
Peter Harvey, *Haiti*
Matt Dippell, *Washington, D.C.*

Functional, Citizen Participation Programs

Keith Jennings, *Washington, D.C.*
Aaron Azelton, *Washington, D.C.*
Sylvia T. Panfil, *Washington, D.C.*

Functional, Governance Programs

Susan R. Benda, *Washington, D.C.*

NDI Consultants

Edward C. Brown

Kelvin Sealey

Other NDI Participants

Patricia Keefer, *Southern Africa*

Erin Martin, *South Africa*

Raymond Schuller, *South Africa*

Draft Facilitators Agenda

**NDI Global Seminar on Advocacy and Democratic Development:
Lessons Learned and Best Practices Seminar
March 31 through April 3, 1999
Cape Town, South Africa**

Goal

- Improve NDI's ability to organize, conduct, and evaluate democratic development programs by generating information for use in resource handbooks.

Objectives

- Determine lessons learned and best practices from advocacy programs.
- Outline lessons learned and best practices when working with local citizen organizations.
- Increase awareness of effective programmatic strategies and techniques.

Processes

- Plenary Discussions
- Working Groups
- Unstructured Informal Discussions

Wednesday, March 31

- All Day Participant Arrivals and Registration (Sylvia)
- 4:00pm Seminar Orientation (Keith and South African Program Staff Member)
- 7:00pm Welcome Buffet Dinner

Thursday, April 1

- 7:00am Breakfast
- 9:00am Opening Remarks and Housekeeping (Keith and Sylvia)
- 9:15am Agenda Review: Seminar Purpose and Process (Aaron)
- 9:30am Introductions and Expectations (Keith)
- 10:00am Panel Presentations of Regional Civic Programming Activities and Facilitated Plenary Discussion of the Purpose of NDI's Civic Work (Ed Brown)
- What does NDI want to see as a result of work with civil society?

11:00am Break

11:10am Four Working Groups on Program Development

Group 1 (Aaron)

- What are strategies for assessing civil society's development needs?

Group 2 (Margaret)

- How does NDI select local partners?

Group 3 (Matt)

- What is the link between NDI's civic work and political processes?

Group 4 (Katie)

- How can NDI ensure the active participation of women in civic programs?

12:30pm Lunch/Informal Networking

2:00pm Report-Back and Discussion of Working Groups (Keith and Sylvia)

3:00pm Break

3:10pm Four Working Groups on the Design of Advocacy Programs

Group 1 and 2 (Aaron and Katie)

- When and how should advocacy work be started? What are the practical objectives of advocacy work?

Group 3 and 4 (Margaret and Alicia)

- How should NDI design advocacy programs that take into account cultural considerations (i.e., differing cultural values and practices)?

5:30pm Report-Back and Discussion of Working Groups (Keith and Sylvia)

6:15pm Review of the Day (Ed Brown)

Evening Open

Friday, April 2

7:00am Breakfast

9:00am Review Agenda/housekeeping (Keith and Sylvia)

9:15am Four Working Groups on Program Assessment

**Groups 1,2,3, and 4 (divided according to different types of program objectives)
(Aaron, Alicia, Margaret, Matt)**

- How does NDI monitor and evaluate advocacy programs?

11:00am Break

11:10am Report-Back and Discussion of Working Groups (Keith and Sylvia)

12:30pm Lunch/Informal Networking

2:00pm Panel Discussion With NGO Leaders on Civic Programming and Partnerships
(Bosnia, Georgia, Nigeria, South Africa, Thailand)

3:30pm Break

3:40pm Four Working Groups on the Challenges and Opportunities When Working with
Local Citizen Group Partners

Groups 1 and 2 (Aaron and Matt)

- How should NDI structure and manage partnerships with local citizen's groups?

Groups 3 and 4 (Alicia and Katie)

- What are the lessons learned for creating independent local citizen's groups?

5:00pm Report-Back and Discussion of Working Groups (Keith and Sylvia)

6:00pm Review the Day (Ed Brown)

Evening Open

Saturday, April 3

7:00am Breakfast

9:00am Review Agenda/housekeeping (Keith and Sylvia)

9:15am Facilitated Plenary Discussion on Anti-Corruption Approaches and Advocacy (Susan Benda)

- What role can citizens groups play in controlling corruption.

10:15am Four Working Groups on Sustainability

Group 1 (Matt)

- What are lessons learned when working to sustain coalitions?

Group 2 (Margaret)

- How should NDI develop local team members?

Group 3 (Alicia)

- How do NGO regulations affect programs?

Group 4 (Aaron)

- How can information technology impact advocacy programs?

11:30am Report-Back and Discussion of Working Groups (Keith and Sylvia)

12:30am Lunch/Informal Networking

2:00pm Facilitated Plenary Discussion of NDI's Comparative Advantage in Civic Work (Ed Brown)

3:30pm Seminar Evaluation (Aaron)

4:00pm Closing (Keith)

Appendix 2

Sample Civil Society Baseline Assessment Report (Russia 2000)

NDI Civic Work in Russia

I. CURRENT SITUATION

The slow pace of democratic changes, the uncertain political situation and the presidential form of government have shaped the NGO sector and its ways of action differently than in most other ex-communist countries. The size of the country, perhaps the most important factor, is also constantly influencing the effectiveness of Russian civic organizations. The Russian civic organizations' specific features confer the whole sector a different profile than that of its ex-communist counterparts.

A. Individual civic organizations

- *Managerial skills*

Despite the fact that the NGO sector has been active in the country for more than a decade, there are a few professional Civic organizations, and a few professional NGO managers. The role of the Board and that of the staff is unclear – and in most cases the most prominent activists are both Board members and staff. Small important rules – presentation materials, agendas for meetings – are often ignored. More sophisticated rules – strategy, work plan and evaluation – are used even less. The civic organizations are run by a group of dedicated activists – who ARE the organization – in an emotional manner: they decide on activities they would like to do, when they would like to do them. Moreover, especially in the regions, one person is a member of several organizations and political parties at the same time, sometimes with antagonistic interests, and s/he represents this or that organization, as need be.

- *Advocacy work*

Although there are many Civic organizations whose mission should lead to seeking an impact on public policy, very little advocacy work has been carried out. Civic organizations do influence public policy makers, and at times they manage to get things changed or solved, but it is only through personal, informal and accidental ties. In their advocating effort, the civic organizations rely on the core of activists, and do not try to involve their members, supporters, not to mention interested citizens.

- *Contact with constituents*

The civic organizations have very little contact with their constituents and/or supporters. The general public is suspicious of civic organizations, as their role is unclear, their effectiveness uncertain and their operations poorly publicized. The members are not seen as a valuable resource, and therefore they are not used as such. The civic organizations do little to expand their membership base, or to seek input from their constituents. Many leaders of civic organizations act as if they would like to keep control over the operations and resources.

- *Moscow vs regions*

There are a few well known and respected organizations, with visible activity. Most of them are based in Moscow or St. Petersburg. The organizations in the regions are, some of them, also very active and somewhat impressive. They have very little national visibility, and little is known about their work. Most of them are coopted as partners in the networks of important, Moscow based organizations. As the regional civic organizations become more and more sophisticated, the tension and competition on resources between the Moscow based organizations and the regional ones increase. While the financial support and technical assistance do reach more and more regions, still the bulk of the funding and assistance goes to Western Russia, with very little reaching its Eastern side.

- *The civic organizations' role and means of activity*

In general, especially in the regions, the Civic organizations seem to have little understanding of their role and specific, as civic organizations. The civic history of the country has led to excessive reliance on methods employed primarily by political parties, and to little trust in or use of methods specific to civic organizations. The main avenue used by civic organizations to influence public policy is by endorsing candidates, either their own, running as independents, or candidates of friendly parties who are looking for the organization's support and electoral services. It is hoped that, once these candidates elected, they will promote the civic organizations' interest and cause, and thus the NGO would have reached its goal. Little thought is given to how the NGO will continue to control and influence the candidates after they are elected, or what the organization could do if the candidates fail. Thus the main work is done in relation to elections, and around election time.

In all this electoral game, little attention is given to the public, from a civic point of view. While both parties and civic organizations campaign, little, if any, civic and voter education is carried out. People are told who to vote for, but not why – what the respective person is supposed to do in the elected position, what to expect, what to demand, what to change.

- *National networks*

There are a few civic organizations with a national network. However, these networks are characterized by loose ties, both between a “branch” and the center and between various branches. There are no formal procedures on communication or, even less, programming or evaluation. In many cases, the branches are, in fact, one person. There are very few nationwide programs or activities; even the organizations with developed networks do not implement coordinated, nationwide projects.

- *Use of resources*

Impressively, Russian civic organizations work with very limited resources. They access funds from foreign foundations and have also managed to tap into local resources, but their operations are modest. They maintain low key offices and pay small salaries, and, in general, they do not display lavish equipment or facilities, as seen in other neighboring

countries. Some organizations use volunteers, but this method is rather the exception than the rule.

- *Enthusiasm and genuine interest in the cause*

As mentioned before, the work of civic organizations rely on the enthusiasm and dedication of a core of activists. In itself, this is a plus for the organizations, although the exclusive reliance on enthusiasm, not doubled by professionalism, leads to limited results.

- *Use of Court Cases*

The organizations that do not employ political methods – running their own candidates – use legal methods extensively. They file Court Suits against local, regional or even Federal administrations and legislatures. In some instances, the cases have been won, but the legal decisions have had to be implemented by some administrative bodies – so the whole process boomerangs to the administration and the lack of mechanisms to put pressure on its activity. As a general note, the civic organizations seem to initiate various advocacy activities, but never follow them through until the ultimate goal has been reached. Rather, they undertake the respective activity (support candidates, file a law suit etc) and then expect that somebody else takes over the problem (the elected official, the Court) and solves it.

B. Civic organizations amongst themselves

- *Working in coalition*

Civic organizations in Russia do form coalitions around issues of common interest – migrants, ecological issues etc. The same loose relation, however, is characteristic of these coalitions. The issue and the hardships keep them together, despite shortcomings in communication and program implementation. Very few coalitions are formed around issues of interest to civic organizations from various sectors.

- *Information on civic organizations' activity*

Civic organizations know little of each other. Despite the multitude of Resource Centers all over the country, the successes and failures of Civic organizations are not popularized, and they do not benefit of each other's experience. In most cases, the information is available, but the civic organizations do not know why and how to look for it.

C. Civic organizations and official bodies

- *Transparency of government*

There is little transparency in public decision making, at all levels. The legislative process is closed and difficult to access for civic organizations, and the implementation of laws or regulations – even more so. Punctually, some administrators have opened up the process, and the civic organizations did get involved and did prove to be valuable resources. But all this is depending on the administrator's good will and knowledge.

- *Relation with government*

The relation between administrations, legislatures and civic organizations is characterized by informal and punctual ties. The relation is almost exclusively at a personal level, and depends on the two persons involved. It thus depends on the re-election of the transparent administrator, or the continuing leadership of the persuasive NGO activist. Moreover, while the importance of maintaining a good relation with the administration is obvious, the relation with the legislature is more subtle and longer-term vision is needed to understand its benefits.

- *Inheritance of concepts and models*

The Soviet model “encouraged” the administration to maintain a formal relation with the “civic organizations” through the creation of various councils on different issues – youth, women etc. The councils played no other role but to maintain the illusion of some sort of participation, openness and fairness. The model has been inherited and adapted by some governors or the City Administration, who have created Councils of Civic Organizations to act as consultants for the administration. In an environment unfriendly to NGO influence and advocacy, these councils work against the interest of civic organizations. The only result is the use, by the administration, of the Civic organizations as channels to the public, which offers the decision making process and the decisions a fake image of transparency and care for public input. The local civic organizations are split by the creation of these councils, with some organizations trusting them and joining in, while others reject any participation.

D. Civic organizations and political parties

- *No constructive opposition*

Organizations, as well as political parties, have little knowledge of constructive opposition. Many civic organizations are against the party and/or person in power, and it is their goal to change them. The only mean employed to this end is running candidates. There is little collaboration between Civic organizations and political parties in opposition, between elections.

- *Uncertain political situation*

In the last decade, political situation changed several times, unexpectedly. Each change generated surprising developments. The political situation changed once again, recently. Civic organizations do not know what to expect from the new politicians, some are pessimistic, some are optimistic, but nobody knows what changes the new politicians will bring about. While this situation is not unique, and changes do happen in other countries as well, the lack of any checks and balances makes it somewhat dangerous in Russia. Civic activists are well aware of the dangers, even if they do nothing to prevent them.

II. FUTURE NDI WORK

In the last years, NDI’s civic work has focused on providing training to various civic organizations, especially the “national” ones, on organizing skills, advocacy campaigns

and working in coalition. To a less extent, the work has included collaboration between political parties and civic organizations. The practical side of the work has been materialized by the assistance provided to the creation and development of the VOICE coalition.

Taken into consideration the new environment and the characteristics of civic organizations, NDI needs to structure its civic work on two levels – (1) national and (2) local, and employ two complementary approaches – (a) theoretical (training and exchange of information) and (b) practical (work with the VOICE coalition, assist organizations in their dialog with the administration and promote examples of successful influence on public policy).

(a) TRAINING AND TECHNICAL ASSISTANCE

(1) NATIONAL LEVEL

NDI will continue to work with the national organizations, focusing on training and assisting them in better using their main asset – the network. While some theoretical elements are needed, and examples from other countries would be welcome, the practical spin has to be put on this activity, as well. The training will be constructed around issues which are of interest to the entire network of these organizations, and will attempt to help the organizations design and implement nationwide activities and/or campaigns.

(2) LOCAL LEVEL

- *Role of civic organizations and the relation with “the Power”*

Civic organizations have been provided training on skills – how to advocate, how to strategize etc – but not on fundamental issues – the Civic organizations’ role, their means of action, their relation to “the Power”, at all levels. The training should address these issues – help NGO activists get a broader picture of their activity and potential. As this picture is also poorly understood by the administration and legislatures, their representatives should be part of the audience. Examples of means employed in other countries to ensure an official, permanent and effective dialog between Civic organizations and administration will be shared with the participants.

- *Russia's government and legislative system*

Although many NGO activists know – or at least have been taught – the Western organizing techniques, they do not know the realities and intricacies of the Russian governing and legislative system. They do not know how to influence the decision making process, because, to a certain extent, they do not know this process. They might know, in broad terms, how a bill becomes law, but they do not know the specific ways in which they can interfere in the process. The training should incorporate these issues, and try to help the NGO activists have a better understanding of the specific of the Russian government. Taken into consideration the specific of the Russian government, the focus should be on the administrative system, without excluding the legislative one.

- *Training on issues*

So far, the training of the NGO activists has been approached skill-wise. This should be changed and the training should be approached issue-wise, focusing on the three issues

that VOICE is undertaking (free and fair elections, transparency of the budget, formation of the corpus of jurors) and those undertaken by the parliamentary program (anticorruption,). In this format, the training will include a presentation of the issue, the current situation, decision making factors, potential allies and opponents etc. Participants should be activists of those civic organizations who work on the respective issue. At the end of the training, the participants will have a better understanding of the real situation, and an idea of various tactics to address the issue. To the extent possible, the civic work should enhance and reiterate the messages and the issues approached by the political party and parliamentary NDI programs in Russia.

TRAINING TECHNIQUES

- *Use of Russian case studies*

There are enough success stories within the Russian civic organizations which could be used in training. However, the failures are also a wonderful training tool, and they should also be used. The more Russian case studies used, the more the training will be Russian adapted, and the more NDI could contribute to the spread of information about the activity of civic organizations' amongst themselves.

- *Comparison with "similar" countries*

There are also lots of good and bad examples in countries in the region. When presenting an issue, a better perspective could be gained by comparing solutions adopted in neighboring countries, as well as in Western democracies.

PARTICIPANTS

- *Focus on regions*

More attention should be given to the civic organizations in the regions, irrespective of their affiliation with a Moscow based organization. At the same time, it is important that the effort is not dissipated but concentrated on chosen regions. For better results and a coherent approach, the regions should be the same ones where NDI implements its political party program. The civic program, however, will try to bring together NGO activists from regions with different levels of sophistication of their civic life, in order to enable participants to learn from each other and exchange meaningful experience. In case the difference in skills and knowledge between the participants from various regions and organizations requires it, NDI will try to offer additional training, on organizing skills, to the less prepared civic activists.

In time, other regions may become the focus of the program. While it is difficult to foresee now which ones these will be, a few criteria will be used to determine them:

- few or no civic activity of other international organizations
- NGOs active in the region, in various fields
- No major, uncontrollable conflicts (i.e., war) or local disputes in the region
- A less efficient or no dialog between local civic organizations and administration in the region

- *Local, regional and federal government officials*

As one important topic would be the role of Civic organizations and their relation with “the Power”, representatives of administration and legislature should be part of the audience. They do not have a clear understanding of this role, and it is one reason of their mistrust in the civic organizations’ activities and efficiency. The Civic organizations and the administration/legislature representatives together could discover common goals and ways to cooperate.

(b) PROMOTION OF PRACTICAL EXAMPLES

(1), (2) NATIONAL AND LOCAL

Besides training, NDI should try to promote (and/or help create) examples of successful Civic organizations, which have managed to have an impact in public decision making.

- *VOICE Coalition*

The coalition should be the best translation into practice of all notions and techniques promoted by NDI. The Institute’s continuous cooperation with the coalition should aim to help VOICE become a nationwide grassroots organization, with successful activity in promoting participation and accountability.

- *Successful advocacy campaigns in Vestnik*

The newsletter has become more and more widely read by the civic organizations. It is a good mean to distribute information about successful advocacy campaigns in Russia, in order to continuously prove the practical possibility of success in such an endeavor. Each issue should include a description of one Russian organization’s success in influencing public policy.

- *Assist organizations in their dialog with „The Power”*

In many regions, even the ones closer to Moscow, the practice of public hearings or town meetings is unknown. NDI will teach and assist local organizations and/or administration in organizing – not running – events of these types.

III. RELATION WITH OTHER NDI PROGRAMS IN RUSSIA

- *Political parties*

Some of the issues adressed in training concern representatives of political parties, both those in power and those in opposition. Sections of the seminars should address a mixed audience, both Civic organizations and representatives of political parties. However, emphasis should be put on the participants’ official capacity, rather than that of party member/leader.

At the same time, sections of the training for political parties address the issue of relating with Civic organizations. The use of case studies – examples of successful Civic

organizations and successful dialog – will make the party members understand the importance of Civic organizations and the benefits of relating with them. The civic and the political party programs should share the successful examples and use them.

- *Parliamentary*

The issues used for training the NGO activists could be those addressed by the parliamentary program. While through the parliamentary program the Institute will assist MPs in communicating with constituents on these issues, the civic program will encourage Civic organizations to communicate with their MPs. This will ensure two complementary approaches to the same end.

Similarly, while the civic program will teach Civic organizations how to influence the legislative process, the parliamentary program should persuade MPs of the importance and benefits of allowing for Civic organizations' input.

Appendix 3

Guide to Conducting Focus Groups (South Africa 1998)

I INTRODUCTION

The following manual is to serve as an aid in the design and implementation of focus group projects. The purpose of the manual is to serve as a road map to individuals and organizations charged with conducting focus groups. As the term road map indicates, there are many ways to get to the end point of a completed focus group project. The purpose of this road map is to offer one way based on the knowledge and experience of the National Democratic Institute for International Affairs (NDI) in conducting focus groups in the Southern Africa region.

The NDI experience draws specifically upon the work of NDI in South Africa and Lesotho. However, these programs benefited greatly from the knowledge and expertise of the programs in Malawi, Namibia and Mozambique. All told, NDI has been conducting focus groups in the Southern Africa region since 1992. The content and purpose of these focus groups have focused on voter education and democratic development issues. The methodology employed by NDI is based on standard focus group techniques recognized as legitimate social science research. The NDI approach does focus on and strive to reach individuals in rural and deep rural areas. Often in newly developing democracies, these people have the least access to knowledge and are the most difficult to reach with information. Thus, the following manual concentrates on reaching the most hard to reach and difficult groups; however, standard techniques for reaching all audiences are discussed.

The layout of the manual is divided into to separate sections. The first section concentrates on the stages of a focus group project. This section divides a focus group project down into five sections: training, guide development, preparation, fieldwork, reporting. The manual will go into depth in each of these sections about practices that NDI employs and the practices to avoid. Due to the type of research that NDI conducts, race and language skills play a prominate role in the process. For this reason, a major component of the NDI program is to train individuals to conduct focus groups. The second section concentrates on the staffing of a focus group project. This section details the different roles and responsibilities of each person in a focus group project. In this section, one must remember that NDI is not a professional research house and handles the staffing in a unique manner. The staffing structure relies heavily upon contractual employees who are trained in NDI workshops.

II SECTION ONE: FIVE STAGES OF THE FOCUS GROUP PROCESS

A. TRAINING

The unique difference to the NDI approach versus a professional research firm is the training component of the program. In a professional research firm the focus group moderators are generally retained on a contractual basis and may or may not have been trained by the firm itself. NDI found in various instances in Southern Africa professional research firms did not exist or did not have race or linguistic capabilities to conduct research in these countries. For example, in South Africa the research firms had existed for long periods of time but had predominately focused on white households for research. In this instance, the firms were ill equipped to implement research in deep rural coloured and black areas in South Africa. Not only did these firms not have access to these areas, but, more importantly they were unable to have skilled moderators conduct the groups in these areas.

After many attempts with professional research firms, NDI applied the research program conducted in Malawi and Namibia to South Africa. In this instance, NDI affiliated itself with a local South African organization to conduct research. In this regard, NDI would provide the financial backing to the local organization and the local organization would provide people to serve as moderators and contacts into rural communities. In the case of South Africa, NDI selected the organization Street Law because of its national reach and ties to local communities. After selecting Street Law then NDI went about implementing the focus group program.

The training of individuals to be focus group moderators is based on a three day workshop at the local Street Law office. In this instance, Street Law would secure a venue for the focus group work and NDI would conduct the training. The focus of the training is to train focus group moderators from university law students that Street Law uses to conduct workshops in the formerly disadvantaged communities in South Africa. The use of students is key for a number of reasons. First, the students are used to receiving and digesting large amounts of information in a short period of time. Second, the students, as opposed to the person in the street, will tend to be highly motivated. Finally, student labor is much cheaper than using professional freelance moderators.

The basic training tools of the training workshop are a professional lecturer or similar person on focus groups, a moderators, checklist for the selection of moderators and two NDI produced training manuals. The two training manuals serve two separate purposes. One manual is basic material and tips about what focus groups are and how to conduct one. The second manual is a set of discussion guides and screener guides. The discussion guides are from past focus groups and one is specifically tailored for day three of the workshop. These two manuals no matter if the workshop is extended would need little change.

Day one of the workshop is a basic lecture in focus group methodology. This section of the workshop should be conducted by a professional with a

knowledge or basis in statistical research methodologies. The task of the Street Law and NDI staff is to assist this person in conducting the workshop by supporting the workshop. The Street Law and NDI staff set up the venue and provided the materials. Also, the Street Law staff recruited the students. At this point in time, the appropriate amount of students for the workshop is roughly 15 to 20. The error should always be made on the upside of 15. The reason behind having at least 15 students is for choice. One wants to be able to choose the best moderators at the end of the day.

More importantly, the students chosen must match the racial and linguistic backgrounds of the region or country. For example, in South Africa, 11 official languages are spoken and 4 racial groups exist. In order for a major focus group project to occur then moderators from each of these racial groups must be trained. In addition, the sex of the moderators is important so in addition to 11 languages and 4 racial groups then male and female moderators for these groups must be chosen. In opposition to South Africa, in Lesotho over 90 percent of the population is SeSotho speaking and of the same race. Thus, the breakdown of moderators only needed to be one race, different sexes and SeSotho speaking. The best situation is to pick moderators who are multi-lingual.

In addition, beside linguistic and racial selection, attention should be paid to the grade the students are attending. The ideal moderator would be a first or second year student because of this would greatly reduce training costs for future years. In effect, a first year student trained provides at least two more years of productivity while a third year student is a large investment because they leave the program. In some cases, choosing a third year student cannot be avoided by the selectors due to skill and necessity. However, in a choice between equally matched or slightly less able first to third year students, then the first year student should be chosen because they will have the opportunity to improve.

The professional conducting this section of the workshop should strive to lay a theoretical foundation for students about field research. At this point in time it is critical to differentiate between quantitative and qualitative research. Focus group research is qualitative research because larger generalizations cannot be drawn from the research. The introduction of research methodologies allows students to understand the entire picture of the process. Also, it is the first chance for students to drop out of the workshop if they are not interested in research.

Day two of the workshop is centered around the actual conducting of a focus group and small group exercises. In effect, students see what a focus group is after the theoretical background and then get to practice. At the initial workshop, NDI hired a professional focus group moderator to participate in the workshop. After the theoretical lecture, the moderator added valuable insights into the small group process and the final selection of moderators.

In addition, the Angola program used the same moderator in their workshop there. However, after the initial training and focus group project, NDI used the student moderators that it had trained. By using student moderators, NDI saved costs and built a valuable skill back into the program. In effect, the training was utilized to save on latter parts of the workshop.

The small group activities focused on familiarizing students with various parts of the focus group process. Generally, students practiced amongst themselves in groups of three people. During this practice time period, the students were observed by the NDI, Street Law, lecturer and moderators. Tips were given to the students to assist them in the process. In addition, the observers started to pick the various students who seemed to excel at the process. This initial screening was in preparation for the final day in which moderators were chosen from amongst the workshop. The informal process allowed for a close observation of the various students who stood out as exceptional.

On the final day of the workshop, NDI and Street Law arranged for the students to conduct actual focus groups. In this manner, students were observed conducting an actual focus group and then were chosen on the merits of who were the best four to six students. Initially, this exercise was conducted in a township located somewhere close to the university. This exercise gave the students a bit of field experience. However, due to cost the program was adapted to simply conduct the focus groups at the university where the workshop had occurred. In this situation, students still conducted focus groups under easier conditions. Also, more attention can be placed on the small group activities.

Only on the final day of the workshop should the final students be selected to become moderators. The reason why one should wait until the last day rests in the fact that some students might not excel at day two of the workshop, but, might be exceptional in the actual focus group. In allowing for selection until the final day, the workshop format allows for late bloomers to be taken into the project. For example, if a student does not stand out on day two, but, the student goes home that evening and studies the guide and practices then that student might stand out on day three. Also, by selecting a student that is more willing to put time in during a workshop then one is selecting a better student for future work because they are committed to the process. In the initial training workshop, selection was only done on the final day, however, a trend towards second day selection has started to develop. This trend must be stopped. In addition, the selection template developed by Susan Booyesen should always be utilized in the process. The template for selection has been steadily refined over the course of three training and is an excellent tool to select moderators.

One major component of the focus group training workshop that has been lacking is training on conduct in the field. Initially, so much attention was

placed on the selection of moderators that the idea of the field work was secondary. However, the selection of moderators has become much easier due to the acquired experience collectively of NDI and Street Law. In this learning curve, the issues surrounding field work have become the major pitfalls in the processes or the remaining stumbling blocks to the success of the field work. In this instance, a session should be added to the workshop during the last part of the third day. The section should focus on the students' roles in the field and the chain of command. Students will have a greater understanding of the requirements of field work and what is expected of them once in the field. In addition, a section concerning the field should be added to the manuals that form the basis of the workshop.

In addition, the program must make a concerted effort to attract more students from different racial categories. Especially, white, Indian and coloured students. These races are lacking in the current group of moderators and severely hamper the ability of NDI and Street Law to conduct work outside of the black community. At present the project has only one female Indian moderator and four coloured moderators. The program completely lacks any trained white moderators. The Indian moderators are only in Durban and the coloured moderators only in Cape Town. Thus, if coloured or Indian groups want to be conducted outside of these two respective provinces then the moderators must be transported to the various provinces.

Finally, a fourth day should be added to the workshop for the students who have been selected as moderators. The workshop allows each student the ability to do one focus group. The students chosen as moderators should get a chance to do one more focus group. The university provides a ready pool of students and at a minimal cost moderators can receive additional training. The focus on additional training will produce a better core of moderators, who can receive additional inputs to their technique. During the first focus group, the selectors do not have time to carefully review and critique all the moderators because of the time demands. On the fourth day of the workshop, each moderator can be critiqued and given tips to improve upon for later work.

In addition to the initial training being conducted by at the workshop, a critical component of the training approach is to refresh the moderators' skills from time to time. A recommended level of training would be that a moderator conduct at least one focus group every four months or three focus groups a year. In cases where the program has actual work to undertake, then no refresher focus groups need to occur. Again, the fact that Street Law is located on university campuses makes the process of retraining very easy in that a pool of students exists from which to draw focus group participants. For the sum of roughly 20 to 30 rand, Street Law can arrange the exact number of focus groups that it has moderators to conduct and hold focus groups late in the day. The coordinator of the program and even NDI staff

can assist in monitoring the focus groups to ensure that they moderators are conducting them properly. The same guide can be used from a past focus group. Remember these groups are just to allow moderators to keep their skills sharp.

B. GUIDE DEVELOPMENT

The development of the focus group guide or research instrument should occur before the actual fieldwork begins. One of the major problems with the NDI focus group fieldwork has been that the guide was not finalized until the groups were in the field. This situation is counter productive to the mission of the field work because valuable time must be spent translating the discussion guide instead of preparing for the field work component of the work. In addition, the guide is often changed at the last minute or after fieldwork has begun, which brings methodological challenges to the fieldwork because in the report writing process comparison is made more difficult. The finalization of the focus group guide should be complete two weeks before fieldwork begins and translation should be complete before any debriefing occurs.

The development of the guide depends largely upon the subject area that is being explored. If the guide being developed is on issues such as voter education or democracy development then former NDI guides should serve as the basis. A collection of old focus group guides has been photocopied and provided to Street Law for future reference. In the guide being developed is not on the above mentioned topics then the guide must be developed in conjunction with an expert in that issue area. For example, if the guide is being developed around the issue area of local government then a local government expert needs to review the guide. Anyone can write a guide as long as the guide is reviewed by others with a greater knowledge of the focus group process.

The length of a guide is of critical importance because participants are real people and may become tired of the activity. Based on extensive experience, a guide should be roughly around two hours in length. A guide shorter than two hours might not give the report writer enough information or detail. A guide around two and a half hours will eventually lead to a three hour discussion. By this period of time people are tired and participation has significantly dropped. An important point to remember is that the structure of the guide builds towards answering the more important or critical questions at the end of the discussion. In this instance, if a guide is too long then the critical questions are paid the least amount of attention.

A guide must be methodologically sound as a document. What is meant by this statement is that a guide must be careful to exclude leading questions because this can bias the research. A focus group is based upon asking the

views of the participants in an open manner. However, a focus group guide can be constructed to lead participants to give a specific answer through the form and development of questions. Thus, a focus group guide must not only be checked for content but methodologically. A guide must begin the discussion but in no manner should a guide lead participants in any particular direction. In addition, the methodology of the guide includes making a concerted effort to match various racial groups with same race moderators. Finally, moderators conducting groups should always be the same sex.

If a guide includes any type of activity besides simple discussion then serious thought must be given to the placement of the activity in a guide. For example, in the Lesotho focus group project, the guide included an activity in which participants voted on the voter education materials that they liked the most. In this situation, the activity was directly in the middle of the focus group. After a series of practice groups, the field work team found that the discussions were severely hampered by the activity in the middle of the discussion and the activity was moved to the end. Activities in focus groups are extremely useful; however, they can hamper or even stop the momentum of the group. Thus, if an activity is planned in the focus group then test groups must be conducted. In addition, in an activity all materials must be labeled in a standard manner. Each focus group must use the same materials with the same labels. Again in Lesotho, the voter education materials were divided into sets and uniformly labeled. This standardization is necessary for the purpose of report writing.

Finally, all guides produced by NDI are in English. In this situation, all guides should be translated into the native languages that will be used in the focus group project. The NDI and Street Law has a spotty record of translation of the guides. Initially, the students wanted translated guide. However, after the initial process of translation, students who were the native language speakers complained that the guides were translated by non-native language speakers. In this instance, the guides had to be retranslated by the students. The translation of the guides should occur before the groups begin and by a native language speaker of that area. For example, the guides used in the Northern Province should always be translated by people there because the native languages spoken there are in a different form than those spoken by someone in Cape Town. Again, translation is critical so that all moderators are asking the same indential questions for the report writing process.

While not generally practices by NDI and Street Law the guides should be tested in one group before the actual field work begins. Again this activity can occur on the university campus and contain students. The practice group should be conducted in front of the writer of the guide and the report writer. The aim and purpose of the practice group is to ensure that the intent of the guide is being understood, that the guide flows smoothly, and that the questions are not above the audience. If one is using university students and

they are having a hard time understanding or answering questions then when the guide is applied to the general population it is safe to assume they will experience more difficulty with the guide. For example, the NDI and Street Law project on the constitution developed a very complicated guide on the constitution which ordinary people had a hard time understanding. Had a pattern of testing been in place before the groups started then difficult sections of the guide could have been changed.

C. PREPARATION

The process of preparation for focus groups breaks down into four key components: group selection, administration/logistics, recruiting and debriefing. These four components build upon each other and ensure the success of the fieldwork stage. Without careful preparation then the fieldwork stage will fail, which in the field work stage translates into the focus groups costing considerably more money. In this situation, the focus group project must adhere strictly to the preparation principles or the fieldwork component suffers and hampers the final stages of the process. The preparation stage should begin as soon as the focus group guide is in the developmental stages. The selection of where and when the groups will occur is critical to setting the availability of moderators and staff. This stage should be integral to the development of the guide. The administration and logistics stage should start as soon as the guide is developed. The recruiting stage of the project should occur once the project has been commissioned. Recruiting is the key component to the success of fieldwork and poor recruiting equals poor focus groups. The last stage of the preparation cycle is a moderator briefing and run through of the guide.

Group Selection

The setting of dates and commitment of staff is a critical up front activity. In the setting of dates, moderators schedules need to be given strong consideration as do staff schedules. However, if Street Law is to ever run the program as a money making enterprise then top priority must always be given to the client. At no time can the academic calendar interfere with the fieldwork of focus groups or else clients will not be able to rely upon Street Law to deliver results. In the setting of schedules, three critical factors come into play. The language, race and sex of the moderators needed is critical to the scheduling of the groups. Moderators for coloured groups in Johannesburg or white groups in Cape Town must be factored into the mix because at present these moderators only exist in various provinces and will need to be transported to the focus group sight.

In addition to the selection of dates and staff commitment, the project needs to set the number of groups and where the groups will occur. The number and location of groups is critical to the logistics and the recruiting. The

number of groups relates to factors such as equipment and the number of moderators needed as well as money and time commitments. The location of the groups relates directly as to how much time is necessary for recruiting. The late selection of the number and location of the groups will hamper the entire fieldwork process. Due to the contacts of Street Law, focus groups can occur anywhere and within any racial as well as socioeconomic category in South Africa. However, in order for groups to occur proper time and planning must be given.

Administration and Logistics

The administration and logistics function of the preparation cycle ensure that everything is ready for the field and the everyone can get to where they need to go. The structure of the NDI and Street Law program is supposed to put logistics to a minimum by having moderators in each province; however, this situation may not be functioning at all times. The initial step in the administration and logistics function is the development of a budget to cover the costs of the fieldwork. The money must be ample enough to cover the groups with enough wiggle room to ensure that the fieldworkers are not shorted. Once outside of the major urban areas in the region, the economy is based on cash, without cash, the fieldwork project will suffer or even fail.

The budget must include the cost per group of paying participants, the cost per group of turning away participants, cost per group of paying for venue rental and the cost per group of paying recruiters and others in the community such as chiefs. In addition, the costs must cover food and drink for the groups as well as petrol and tolls for the fieldworkers. Also, the money must be enough to cover the costs of per diem for the fieldworkers moderators. The per diem may include the costs of lodging at various hotels as well. Finally, the budget should include payment of the moderators. An accounting system for the money must be developed so that fieldworkers can track expenditures properly to ensure that the money has been utilized within the structures of the Institutes. The accounting system will be covered later in the manual.

The administration aspects focuses on three things. First, all equipment must be readied and all materials must be purchased or produced. The equipment in question is the translation devices and the tape recorders. The translation equipment must be checked to ensure that the report writer can use it if necessary. The tape recorders are central to the success of the project. If they do not work then the project has basically failed. In addition, microphones were purchased for past focus group projects but stolen from the NDI office. These should be purchased again because they greatly assist the tape recorders in capturing everything. In addition, the photocopying of materials must be undertaken in order to prepared screener guides, moderating debriefing forms and blank invoices. In this situation, the

materials photocopied can then be divided into the proper amounts for the various field work sights.

Second, the materials for the focus group process must be purchased including: tapes, batteries for the tape recorders, batteries for the translation equipment, name tags and markers. This group of equipment is extremely hard to purchase once outside of the major urban areas. Other things such as food and drink for the groups can be purchased in the field. Finally, a check must be cut and money for the groups allocated to an individual in total. This step is critical. Fieldworkers cannot be allocated less than the total amount of money before going into the field.

The logistical arrangements depend upon where the groups will occur and who is involved with the groups. In this situation, hotels will have to be booked for overnight stays. The general rule of the program is to book hotels as close as possible to the sight of the actual focus groups. This rule was developed to avoid excessive travel that occurred on a focus group project. In addition, flights will have to be arranged if staff and moderators need to be transported around the country. The arrangement and booking of flights should abide by institutional rules. Finally, the rental of vehicles needs to occur. In the past, the general rule followed was to hire a combi and a car. However, a better alternative might be to use cars instead or a venture and a car. A series of KwaZulu-Natal groups were conducted using two small cars. This scenario saved money and did not hamper the success of the project.

Recruiting

The most critical component to successful fieldwork is the recruiting of participants! If this stage has been neglected then the entire program is at risk. In addition, an initial up-front investment in recruiting can save major amounts of money once in the field. Poor recruiting can set back a focus group project days and cost major amounts of money in rescheduling and keeping people in those locations. A group is bound to fail from time to time; however, proper recruiting can keep this to a minimum. Recruiting should occur at the very least 14 days before the group is to occur! The optimal recruiting timeframe is 30 days before the groups is to occur because in this manner then the schedule of activities for the project can be shifted to include target groups.

The recruiting process must always begin with a visit to the gatekeeper of the community. In this instance, the aim and purpose of the research should be defined to this individual or group. Upon meeting the gatekeeper, then the recruiter can go to other groups within that community to set-up the actual focus group. The gatekeeper can be any number of people or groups within the community. For example, the local councilor, principle of the school, pastor at the church, community NGO worker, chief or political party activist to name a few. This person will gain you entrance into the

community and without their assistance you may not even be able to work in the community. In addition, some money may need to be spent in assuring the gatekeepers goodwill and assistance. In the case of a chief, some form of payment is customary in South Africa in order to work in the community.

After an initial meeting with the gatekeeper, the secondary meetings can be scheduled with the various actors who will take you into the community. As examples to successful recruiting lets look to the Lesotho focus group project and the KwaZulu-Natal traditional leaders project. These examples are not to say that groups did not occur, but, that by using gatekeepers then mistakes are kept to a minimum. In Lesotho, NDI used the Lesotho Council of Nongovernmental Organizations (LCN) as the gatekeeper. An initial meeting was set with the president and executive members of the board of the LCN four weeks before the fieldwork began. After describing the project, another meeting occurred in which NDI was introduced to the directors of various NGOs within the LCN. These individuals then institutionally agreed to assist NDI. At that time an additional meeting was set for the return of NDI four weeks later. During the follow-up meeting, NDI was introduced to the various people within each NGO who would be taking use into the communities. At this meeting, exact times, dates and locations were established for the focus group project.

In KwaZulu-Natal, a series a meetings occurred at every political level to ensure the success of the project. NDI was introduced to various high ranking members of the Inkatha Freedom Party (IFP) at a national level and members of the African National Congress (ANC) at the provincial level by the Chief Directorate of Traditional Leaders of the Ministry of Provincial Affairs and Constitutional Development. The ground work for a project that occurred in December 1997 began in April 1997. A series of five meetings began with the members of the IFP and the ANC in order to process the request and get to the proper people. These meetings lead to provincial concensus by the ANC and the IFP that NDI could conduct this research in the province. After the political concensus was given then NDI met with the provincial MEC for Traditional Leaders. He issued the directive that the Department of Traditional Leaders would assist NDI by all means necessary. Finally, the Director of the Department agreed to the NDI plan of action and worked with his staff to develop a plan of action. These activities occurred from April until September 1997. Finally, the day before the fieldwork was to start, NDI met with the Director and his staff to establish times, locations and dates for the fieldwork in various areas.

In each of the above examples, the success of the project, despite all the others problems that arose, was vested in the recruiting process. In Lesotho only one of 22 focus groups was canceled and in KwaZulu-Natal only two of 20 were canceled. In each case, the cancelations were due to the recruiters and not NDI. This average exceeds the focus groups that NDI conducted a professional research firm to conduct in South Africa. Looking at the

KwaZulu-Natal groups, the cancelation only forced the groups to stay an extra day and the Lesotho group canceled was made up another day and caused no extra expenses.

Critical to the recruiting process is the socioeconomic status of ones group. Any group that is more well off will be harder to recruit and will take more time. A group of professional Indians will take more effort to recruit than a group of unemployed Indians. Likewise someone in Sandton will be harder to reach regardless of color than a person in squatter camp in Soweto. In instances where employed or educated people want to be recruited then the schedule of the field work might have to conform more to the participants schedule than the schedule of the research team. Also, employed and educated people will need to be recruited using the at least 14 days principle. In an wealthy neighborhood, people will not leave their houses to be involved in a focus group and might not be available until after working hours. In a squatter camp, people will be available during a weekday afternoon.

Finally, during the recruiting process, a venue must be secured. In the process, one can rely on the gatekeeper or later people along the recruiting path to secure a venue. A venue should be the last thing secured because the gatekeeper might collect a group of people far from the initial venue sight. If one chooses a venue and is not flexible then participants might not show-up at the focus group. Also, an attempt should be made to ensure that the venue has a roof and is quiet for the tape recorder. Only under the most desperate of circumstances should a focus group be held outside because of the tape recorders will have difficulty recording the entire group clearly. However, if a focus group needs to be held outside then ensure that the group is as far as possible from noisy areas.

Briefing

The final stages of the preparation process is the moderator briefing that needs to occur. The briefing is to acquaint the moderators with the guide and explain the meaning of sections within it. Also, if any activities are to occur then these can be explained as well. The briefings should be roughly one to two hours long and conducted by the NDI or Street Law staff. The briefing is essential to the moderators and should be conducted the day before field work begins. The importance of the briefing the day before is so moderators can review the guide the night before. During this time, any critical sections or confusing terms need to be explained.

In an event where moderators have not conducted groups in at least four months then the briefing should be lengthened to allow moderators to have a practice focus group. In this situation, students can be used from the university as practice groups. Not all the time does a moderator need a

practice group before undertaking a group. Only in those situations where the moderator has not conducted a group is a practice group necessary.

D. FIELDWORK

The first three stages of the road map are the foundation for a solid period of fieldwork. The basis of fieldwork is actual collection of material and information via focus groups. This section on fieldwork will only concentrate on those things that are of importance once a fieldteam has been deployed. Fieldwork can constitute being deployed in KwaZulu-Natal for 11 days in an effort to undertake 20 focus groups or driving to Langa for the afternoon to conduct one. What ever the end result the principles are the same. Fieldwork is defined by the following issues: moderator packets, screening, room set-up, conducting the group, clean-up, tape collection, debriefing forms and moderator focus group.

Moderator Packets

The moderators packet is a bag that contains the following pieces of material: tape recorder, microphone, blank tapes, batteries for tape recorder, name tags, marker and any activity material for the focus group. This bag is under the control of the moderator for the day. The moderator signs the bag out from the field director and is responsible for the contents of the bag. If the bag is returned missing a tape recorder then the moderator will be responsible for the missing equipment to the point of the cost of the tape recorder being deducted from final payment. The purpose of the bags is to properly and safely track the equipment so that someone is always responsible for it. A sign out sheet should be used. In addition, the packet will ensure that a proper accounting of tapes occurs. At the end of a day, the packet should be returned to the field director including the tapes for the day.

Screening

The process of screening should occur as soon as the team arrives at a site and people are present. Screening is critical in order to get the exact specifications of the group. In all cases a focus group is attempting to have a total of 10 participants, but, for group cohesion eight participants can make up a group. Under the current system, a group of less than eight is generally not acceptable. The screening should be conducted by the assistants to the moderator. The moderator should help screening only after they have prepared for the group.

In the recruiting process, the recruiter should always try to attract 12 to 15 people for a 10 person group. This over-recruiting will allow the fieldteam to pick the eight to 10 best people for the group.

Appendix 4

Sample Workplan and Time-line (Albania 2001)

ALBANIA
POLITICAL PARTY DEVELOPMENT AND
PROMOTING CITIZEN PARTICIPATION

WORKPLAN

JANUARY 1 – DECEMBER 31, 2001

I SUMMARY

The National Democratic Institute for International Affairs will extend its USAID-funded Albania democratization program for 12 months, from January through December 2001. As described in its August 2000 Program Description, NDI will continue to conduct its Civic Forum program and will adapt its political party program to reflect developing political circumstances in Albania. In accordance with USAID strategic objectives, NDI will conduct a program that empowers citizens with advocacy skills and trains political parties in party development and voter contact to better equip them to represent citizen's concerns. NDI will also conduct an assessment to ascertain the need for a political parties in parliament program.

II PROBLEM

Although Albania has succeeded in removing the worst aspects of communism, the reform momentum in the early 1990s has flagged under extended political conflict and poverty and further dissipated amidst violent civil unrest in 1997 following the collapse of pyramid schemes. Political factionalism, weak state structures, and economic woes continue to impede Albania's transition process. Citizens are disengaged from a political process that appears overly partisan and unconnected from their daily lives.

A short-lived political consensus occasioned by the Kosovo crisis evaporated with the 1999 congresses of the two largest political parties, the Democratic Party and the Socialist Party. Both congresses saw a younger, more moderate generation of rising leaders rebuffed by the leaders who have spearheaded Albania's political polarization. A Democratic Party insurgency failed to remove Chairman Sali Berisha during its September congress. The following month saw former Prime Minister Fatos Nano defeat then-Prime Minister Pandeli Majko for the leadership of the Socialist Party. Democratic Party dissidents have tentatively reached out to smaller parties on the right in order to create a broad coalition.

Albania's political geography shifted significantly with the October 2000 local elections in which the Socialist Party gained majority control of municipalities throughout the country. The Democratic Party charged the government with election manipulation and boycotted the second round of these contests. The PD may also boycott the 2001 parliamentary elections in protest. These events have further exacerbated tensions between the two largest parties.

Albania's political party structure and youth involvement are weak but improving elements in Albania's democratic development. In addition, citizens are detached from a political system that does not address their daily concerns. To address these challenges, and responding to requests from Albanian political parties for youth training, NDI began its Political Leadership Development program in 1999 with the goal of enhancing the ability of emerging political leaders to communicate with each other and with citizens. Through this program, the Institute strengthened and increased its ties with all major political parties represented in parliament. NDI is the only international organization to offer multi-party political skills development training in Albania and these seminars have allowed youth activists to develop relationships across party lines. Through its political party program, NDI received requests from leaders and activists to conduct training in preparation for 2001 parliamentary elections.

NDI's Civic Forum, as laid out in its 2000 workplan, has sought to have citizens become more aware and engaged in cooperating with each other by organizing to address common problems for the benefit of the communities in which they live. Through its first year, NDI's Albania Civic Forum program has made substantial progress towards this mission in conducting discussion groups on the following topics:

- Democracy and the Rule of Law
- Rights and Responsibilities of Citizens
- Rights and Responsibilities of Elected Representatives
- Structures and Functions of Government
- Decentralization Process in Albania
- Democratic Elections and How to be an Informed Voter

NDI completed each of these discussion topics, but also added modules on the Stability Pact for Southeastern Europe, the Role of Political Parties in a Democratic Society, and the Role of Media in a Democracy. In addition, NDI Civic Forum took an active role in promoting voter education related to the local elections in October 2000. Through Civic Forum, citizens are prepared to increase their role and participation to ensure more political and governmental transparency and constitutional strengthening of institutions for the good of the community. NDI's Civic Forum program has taken root in the communities around Durres and Tirana. NDI will expand this program in 2001 to another locale to increase the quantity and quality of citizens' involvement in the political process.

III. GOALS AND OBJECTIVES

In order to counteract authoritarian traditions that have characterized Albania's political system for decades, NDI is promoting citizen participation in the political process. The Institute is also working with emerging political leaders to facilitate and provide training in cross-party communication, leadership development and communication with the Albanian citizenry. By working both from the bottom up and the top down, NDI hopes to effect change in both the leadership and citizen classes. In

accordance with USAID's Albania Strategic Objective 2.1 which calls for, "Increased, Better-informed Citizens' Participation in Political and Economic Decision-making", NDI's long-term goal in Albania is that:

Albania's multi-party system is characterized by internal party democracy and structured public outreach such that citizens, informed of democratic principles and structures, are able to participate in the political process.

To achieve this goal, NDI's 2001 objectives are that:

- Citizens understand and engage in the political process; and
- Approximately 120 emerging political party leaders and activists acquire party building and election preparation skills that favor their development as future political leaders.

A. OVERVIEW

Resident Representatives

Mary Margaret Dineen, NDI's current Resident Representative for Civic Forum will continue to implement the program in Tirana.

Gillian Gloyer will also maintain her status as Resident Representative, directing NDI's Political Party program in Albania.

VI. ACTIVITIES AND IMPACT INDICATORS

Objective 1: Citizens understand and engage in the political process

Introduction

Civic Forum

NDI will go through the following stages to implement Civic Forum in 2001:

Activity: Identify expansion Civic Forum site (January 2001)

NDI will expand the current reach of its Civic Forum program to reach more Albanian citizens by identifying a community close to the original two sites of Tirana and Durres where 20-25 new discussion groups will be established. The criteria used to select program sites includes: access to information, experience during the recent crisis, number of active civic structures, attitude of the local government, security and accessibility. Upon expanding the program, NDI will open a satellite office for field coordinators in this locale.

Activity: Albanian staff training and development (February – March 2001)

NDI will hire and train up to four Albanians to moderate the discussion groups in the expansion site. These four new field coordinators will join the original eight assigned to Tirana and Durres and receive instruction in: facilitation, democratic political structures and processes; educational methodology; community organizing and program development. NDI will encourage exchange among the experienced and new field coordinators to ensure that information and lessons on program development are shared constructively. Continued training over the life of the project will provide the field coordinators with the opportunity to enhance their educational expertise and subsequently increase their responsibility for the program. NDI will develop a newsletter to enhance communication among the Field Coordinators that can also be distributed among citizen group participants.

***Activity:* Kosovo field coordinator exchange (June 2001)**

Based on the efficacy of previous staff exchanges between Tirana and Pristina, NDI will conduct a field coordinator mission to Kosovo with new and experienced staff members.

***Activity:* Monthly Discussion Groups**

NDI will maintain two tracks of discussion groups in its Civic Forum program. Track one will focus on discussion groups developed in the first wave of program development, in and around Tirana and Durres. Track Two will be composed of those participants from the expansion site.

The Track One Field Coordinators will work with established discussion groups in the communities around Tirana and Durres. Each discussion group will meet twice per month, focused primarily on community organizing initiatives. NDI will also conduct discussion topics with the Track One participants on new and relevant issues throughout the year, related to:

- Democratic Elections and How to be an Informed Voter
- The participation of women in democracy
- The Role of the Albanian school system in democracy

The second track would comprise the expansion groups in a yet to be determined location. Groups may be formulated from scratch or may build on existing organizations, such as student associations, women's groups, or a variety of NGOs. Efforts will be made to ensure diversity among the participants, particularly with regard to gender and age. Discussions will take place according to a way that encourages democratic participation; that is, the participants will themselves govern the procedures for each session. The democratic process is therefore reinforced within the groups. Field Coordinators, working in pairs, will guide the discussions, present factual information and follow up on requests that the groups make for additional assistance. NDI will hire four new field coordinators that would focus on discussion group topics like:

- Principles of Democracy
- Democracy and the Rule of Law
- Rights and Responsibilities of Citizens
- Rights and Responsibilities of Elected Representatives
- Structures and Functions of Government
- Decentralization Process in Albania
- Democratic Elections and How to be an Informed Voter
- Stability Pact for Southeastern Europe
- Role of Media in a democracy
- Role of political parties in a democracy
- Human Rights in a democracy
- The participation of women in democracy
- The Role of the Albanian school system in democracy

***Activity:* Public Advocacy**

As individual groups demonstrate interesting public advocacy, NDI will work with them in Civic Forum sites to organize around issues important to their communities and constituents. Most of these groups will likely be found among the first track of NDI's Civic Forum discussion group team. Building on training conducted in 2000, NDI staff will train program partners on the fundamentals of community organizing. This activity will: (i) provide advocacy skills and experience to grassroots citizens groups; (ii) strengthen the internal capacities of citizens groups that want to organize to solve community problems (ability to plan strategically, recruit volunteers, raise grassroots funds) and external capacities (ability to conduct surveys, organize town meetings, use media and negotiate with elected officials); and (iii) improve cooperation between the community groups, municipalities and higher levels of government.

NDI field coordinators will work with members of each discussion group that advances from the education cycles to organizing, to identify problems and prepare issue campaigns. As a first step, NDI organizers, local leaders and citizens will conduct village meetings with community members in order to identify issues important to the community. Once the priority issues are identified, the citizens, in cooperation with local leadership, will develop a strategy for action, which may include administering community surveys, or approaching their municipal councilors and international organizations in order to achieve their goal.

***Activity:* Informal Assessment**

At the end of two years of the Civic Forum program, NDI will recruit a team to conduct an informal assessment of the program. This assessment will examine the impact of the program in Albania and identify useful lessons for future programming.

Indicator: Using Civic Forum advocacy skills, citizens initiate contact with their elected officials on issues of local concern.

Measurement: Citizens meet with their elected officials on a regular basis to discuss issues of local concern.

Indicator: Citizens demonstrate an increased level of knowledge and analysis about democratic processes and Albanian government and political structures.

Measurement: Civic Forum moderators assess initial attitudes of participants through discussion and informal surveys, and will monitor and record the degree to which participants in more than 90+ discussion groups use their knowledge to take an active role in their communities over the course of the program.

Objective #2: Approximately 120 emerging political party leaders and activists acquire party building and election preparation skills that favor their development as future political leaders.

B. Regional Political Leadership Development (RPLD) Program

In the two rounds of the Political Leadership Development (PLD) Program conducted in 1999 and 2000, NDI trained 54 emerging political leaders representing all major political parties from throughout Albania. With this training, participants implemented projects that developed the voter contact, membership, media communication, and infrastructure capabilities of their parties. In addition, the PLD gave emerging political parties leaders the opportunity to interact with their colleagues in a neutral environment removed from the polarized political environment. For logistical reasons, all the seminars were held in Tirana, and participants who lived outside the capital had to travel there to attend.

In 2001, the Institute will continue to work with this core group of 54, but will also broaden the reach of the PLD Program and enable the participation of a larger number of young activists from local party branches. As in previous rounds of the PLD Program, training will be conducted in multi-party seminars; however, the selection procedure will take account of Albania's political geography in the aftermath of the October 2000 local elections, and the content of the training course will be adapted somewhat to reflect the specific needs of party activists at local as opposed to national level. The multi-party nature of the training will be enhanced by the participation, as co-trainers, of graduates of the first two rounds of the PLD Program.

For the purposes of the Regional PLD Program, NDI proposes to divide Albania into four geographical areas, two in the north and two in the south. Training will be conducted in different towns in each area, and participants from within that area will

travel to seminars as necessary. This will give a larger number of those taking part to "host" a seminar in their home town for their fellow-participants, thus increasing the possibility of sustained cooperation between them after formal training is concluded. As in previous rounds of the PLD Program, participants will be expected to develop concrete ideas for strengthening their parties, and NDI staff will work with them as they implement these projects.

The geographical areas proposed are: Northern Albania (including Shkodër, Kukës, Lezhë, and Dibër); North-central Albania (including Durrës, Kavajë, and Lushnja. The small towns around Tirana may also be included in this group if there is interest among young politicians there); South-Eastern Albania (including Elbasan, Pogradec, Korça, Gramsh, and Librazhd); and South-Western Albania (including Fier, Vlorë, Gjirokastër, Përmet, and Sarandë). Participants from Berat and Skrapar may elect to attend training in either the "North-central Albania" course or that in "South-Western Albania".

Participants in the Regional PLD Program must be active in a political party that is represented in Parliament or in local government, and the upper age-limit will be 40. Two parallel selection methods will be used to identify potential participants: applications to the two "national" rounds of the PLD Program will be analyzed, and those from the districts who were not selected for either of these will be contacted to establish their continuing interest and availability; and, simultaneously, NDI's Resident Representative will consult with the national leaders of the main parties and, at their request, with local branch leaders, with a view to identifying potential participants who, for whatever reason, did not apply in 1999 or 2000. Between 30 and 35 young activists will be selected in each region and interviews may be conducted if the seminar courses are over-subscribed.

Training will commence in mid-January in North-central and South-Western Albania, and in late February in Northern and South-Eastern Albania, or possibly slightly later in the event of another hard winter which would make it difficult for participants to travel.

NDI will go through the following steps to conduct the Regional Political Leadership Development program:

Activity: **Selecting participants for Regional Political Leadership Development Program**

NDI will adapt its selection procedure from the PLD I and II programs to recruit and identify participants for the Regional PLD program.

Activity: **Training: Building relationships with the electorate**

NDI will conduct training on effective voter contact techniques, such as door-to-door campaigns, voter surveys and leafleting. NDI will also conduct a seminar on effective communication through the local media.

Activity: **Training: Election preparation and political message development**

NDI will conduct single party training on election preparation skills in all four geographic areas in preparation for parliamentary elections, expected in June. Due to the volume of training, NDI will send a political party trainer to assist in these seminars.

Activity: **Training: Party poll watcher training**

To prepare parties for parliamentary elections, NDI will conduct political party poll watcher training. This training will provide party activists the skills to protect their votes at the polling station and can also be used as a party development tool. This training will be conducted within the thirty day period in advance of elections.

Activity: **Training: The Politics of Compromise**

NDI will send a political communications expert to Albania to conduct training on effective conflict resolution and negotiation techniques among political parties, including codes of conduct and ethics training.

Activity: **Training: Political life between elections**

NDI will conduct training on political party development and activity outside of an election season. Topics will include developing local initiatives and working with civil society. NDI will send a political party expert to assist in this training.

Activity: **Follow up consultations with Regional PLD participants on project proposals**

NDI will meet with Regional PLD participants to assess project proposals and offer consultation on implementation.

Activity: **Training of Trainers**

NDI will conduct training in all geographic areas on training skills with participants so that they can replicate training with party colleagues.

Indicator Program participants utilize techniques from NDI training in their respective campaign plans such as voter contact and party membership development.

Measurement: NDI program participants conduct voter contact campaigns through leafleting, door-to-door canvassing, citizen questionnaires,

and other activities that impart party information and generate new members.

V. EVALUATION

NDI's self-evaluation procedure, in addition to the program-specific indicators and measurements presented below, will be used to evaluate the project. Typically, the NDI self-evaluation procedure includes: weekly staff review of program development, including all members of the Central and Eastern Europe team, members of NDI's functional teams, grants management and accounting; analysis of evaluation forms submitted after NDI-sponsored training events; regular reports from the NDI resident representatives in Tirana, including reactions to recent political events and trends, the status of current and proposed projects, and other relevant information; regular conference calls with resident representatives and local staff; and a semi-annual Central and Eastern Europe program team retreat to evaluate programs.

The NDI resident representatives will also help gauge NDI's effectiveness at the local level. They will be responsible for providing feedback to NDI/Washington to help ensure that programs continue to be demand-driven and responsive to community concerns and recent political developments.

Upon conclusion of the entire project, NDI will issue a final report assessing to what extent NDI accomplished its proposed goals and objectives. The report will include an assessment of the overall program and recommendations for future programs.

VI. BENEFICIARIES OF NDI'S ALBANIA PROGRAM

NDI's Regional PLD program will benefit a wider group of emerging leaders in political parties as they acquire leadership, cross-party communication and party development techniques. Albanian political parties will be strengthened and enhanced by membership trained by PLD participants in party building and internal party democracy skills. Albanian constituents also benefit from this program as they will have emerging political leaders who are more likely to work together to address their problems.

The Civic Forum program addresses three primary audiences, resulting in three principal beneficiary groups: discussion group participants (approximately 1000 people), their immediate circle of acquaintance (estimated at 10,000) and the general public. To that list might be added the moderators (12 people) who work on the program. NDI's approach to civic education is both narrowly focused, in order to provide a core of citizens with in-depth information, and widely based, to expose a large number of people to the basic principals of democracy. Those people with whom NDI engages directly and intensively derive a greater benefit because they develop and practice skills, in addition to absorbing information. The principal benefits to the general public are exposure to principals of good government and citizen responsibility and improvements in community life accrued as a result of the work of civic activists.

VI TIMELINE

January 2001	RPLD	Recruit and select participants Training: The Politics of Compromise (NC, SW)
	Civic Forum	Expansion site assessment Community Organizing Initiatives w/ 1 st Track
February 2001	RPLD	Training: Building Relationships with the Electorate (NC, SW) Training: Single party seminars on Election preparation and message development (N, NC, SE, SW)
	Civic Forum	New Field Coordinator recruitment Community Organizing Initiatives w/ 1 st Track
March 2001	RPLD	Training: Building Relationships with the Electorate (N, SE) Training: Single party seminars on Election preparation and message development (N, NC, SE, SW)
	Civic Forum	New Field Coordinator training Ongoing Organizing Initiatives w/ 1 st Track Newsletter distributed
April 2001	PLD I & II	Training: Advanced Seminar on media and presentation skills
	RPLD	Training: Single party seminars on Election preparation and message development (N, NC, SE, SW)
	Civic Forum	Principles of Democracy (Track 2) Democracy and the Rule of Law (Track 2) Ongoing Organizing Initiatives w/ 1 st Track
May 2001	RPLD	Training: Political Party Poll Watcher training Project follow-up
	Civic Forum	Democratic Elections and How to be an Informed Voter (Tracks 1 & 2) Ongoing Organizing Initiatives w/ 1 st Track
June 2001	ANTICIPATED PARLIAMENTARY ELECTIONS	
	RPLD	Project follow-up
	Civic Forum	Kosovo Information Sharing Meeting (NDI Field Coordinators and staff) Rights and Responsibilities of Citizens (Track 2) Rights and Responsibilities of Elected Representatives (Track 2) Ongoing Organizing Initiatives w/ 1 st Track

		Newsletter distributed
	RPLD Civic Forum	Training: The Politics of Compromise (N, SE) Structures and Functions of Government (Track 2) Decentralization Process in Albania (Track 2) Ongoing Organizing Initiatives w/ 1 st Track
August 2001	RPLD Civic Forum	Training: Political Life Between Elections (NC, SW) Training: Political Life Between Elections (N, SE) Stability Pact for Southeastern Europe (Track 2) Role of Media in a democracy (Track 2) Ongoing Organizing Initiatives w/ 1 st Track
September 2001	PLD I & II Civic Forum	Training: Political Life Between Elections (N, SE) Role of political parties in a democracy (Track 2) The participation of women in democracy (Tracks 1 & 2) Ongoing Organizing Initiatives w/ 1 st Track Newsletter distributed
October 2001	RPLD Civic Forum	Project follow-up The Role of the Albanian school system in democracy (Tracks 1 & 2) Human Rights in a democracy (Tracks 1 & 2) Ongoing Organizing Initiatives w/ 1 st Track
November 2001	RPLD Civic Forum	Training: Training for Trainers (N, SE) Ongoing Organizing Initiatives w/ 1 st Track Begin organizing initiatives w/ 2 nd Track
December 2001	RPLD Civic Forum	Training: Training for Trainers (NC, SW) Informal Program Assessment Ongoing Organizing Initiatives w/ 1 st & 2 nd Track Newsletter distributed

Appendix 5

Sample Advocacy Workshop Agendas (Cambodia 2000, Russia 1996)



Fifth Floor
1717 Massachusetts Ave., N.W.
Washington, D.C. 20036
Telephone: (202) 328-3136
Fax: (202) 745-2914

1st Kolojovskiy Pereulok, 3rd Floor
108051 Moscow
Telephone: (095) 956-6337
(095) 299-6882
Fax: (095) 299-8520
E-mail: ndimoscov@glas.apc.org

Civic Advocacy Curriculum Guide

Prepared by:
K.P. Pelleran

Additional Materials:
Benoit Wirz

Translation by:
Natasha Rulyova

September 1996

Civic Advocacy - Training Guide

REGISTRATION:

15-30 minutes

- Have registration forms and all materials available for participants
- Name tags
- Use same method to split participants into different groups to work in for duration of seminar.
 - code name tags
 - hand out numbers
 - other

[NOTE: Try to get people into groups where they are not familiar with each other. This helps them to emulate real-life situations where they will be working with strangers. Also, it helps to eliminate friendly chatter and to keep participants focused on the programs.]

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<p>WELCOME: 5 minutes</p> <p>INTRODUCTIONS: 30 minutes</p>	<ul style="list-style-type: none">• Invite one of the local leaders to open your program by welcoming participants and welcoming you. This should be about 5 minutes in length or less... it is only a welcome, not a speech.• Thank the local leader for the welcome, introduce yourself, ask participants to introduce themselves by name, and organization (and city that they are from--if not from the same city.) If you have limited time, this is a quick introduction. If you have more time, you may wish to ask them to add other information like:<ul style="list-style-type: none">- how long they have been an NGO- goals of their organization- what they hope to learn from the seminar <p>[NOTE: This is a good opportunity for leaders to network with each other. Suggest that they many want to connect with other participants at the break/lunch/dinner.]</p>
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PROGRAM OVERVIEW:

5 minutes

- Define advocacy
- Civic leaders and activists will learn the elements of planning and implementing an advocacy campaign, how to set concrete goals, and target decision-makers who can give them what they want.
- Develop and present an actual strategic plan.

**STRATEGIC STEPS OF AN
ADVOCACY CAMPAIGN -
ADVOCACY:**

15 minutes

- Brainstorm with participants on their definition of Advocacy (use butcher block paper, overhead projector or blackboard.)

 - Define Advocacy - it is more than pleading and urging on behalf of people. For many civic organizations, advocacy means mobilizing their members and the public to work with local, state and national leaders to spark changes in programs and policies that benefit people.

 - Advocacy campaigns that civic groups get involved in usually reflect one of the following:
 - public education on an issue
 - public policy development
 - candidate campaigns for people who support the organizations priorities
- [NOTE: The processing of these definitions out of the brainstorming is the most effective training technique.]

**continued: Strategic Steps of an Advocacy Campaign:
Choosing the issue and setting goals:**

15 minutes

Ask the question: "Why do people fail?" Solicit responses and zero in on:

1. lack of a good plan
2. lack of concrete goals

EXERCISE:

60 minutes total

10 minutes

Give participants ten minutes to determine 5 major issues in their community. Ask them to prioritize them and write them on butcher block paper if they have some.

20 minutes

Ask each small group to present their issues to the entire group. (Take notes on what they are saying so that you can help process matters better during goal-setting.)

5 minutes

Now ask each group to identify a top priority issue of their community. Let them know that this issue will be the one that they will use for the entire program. They should keep in mind to pick an issue that:

- is winnable and measurable
- brings real change to people's lives
- causes its membership to support the goal
- will increase their membership

10 minutes

Groups present their goal.

[NOTE: You may let participants know that as they go along, they may feel the need to redefine their goal to make it more concrete. They will struggle if it is not concrete. As the trainer, you can help them process it.]

**continued: Strategic
Steps Of An
Advocacy Campaign:
Issues/Goals**

Goals - Lecture

- Advocacy campaigns have a beginning, middle and end. In developing strategic plans for action, groups can focus on advocacy campaigns that have a beginning, middle and end.

In developing strategic plans for action, groups can focus on long-term, intermediate and short-term goals.

Long-term goals reflect the overall objectives of the campaign (give an example).

Intermediate goals reflect victories that might be accomplished midway through the campaign that could lead to achieving long-term goals (give an example).

Short-term goals are smaller steps to achieve your intermediate goals (tactics, discussed later on, are also in many cases short-term goals).

- End this section by letting participants know that whatever their long-term goal, it and their short-term and intermediate goals should be concrete and winnable. Each should build on each other creating small to big “wins/victories” for their group. This will keep members enthusiastic and involved.

<p>STRATEGIC STEPS OF AN ADVOCACY CAMPAIGN -</p> <p>ALLIES AND OPPONENTS:</p> <p>Brainstorm - 5 minutes</p>	<ul style="list-style-type: none"> • Brainstorm with participants about characteristics of an ally, then characteristics of opponents. Help to facilitate out of the session the following characteristics: <p>Allies:</p> <ul style="list-style-type: none"> - Benefit from your issue's success - Can bring you their resources (free or small fee): <ul style="list-style-type: none"> > volunteers > money > celebrities > experts: lawyers, doctors, scientists, university programs, etc.. > office space > office equipment <p>Opponents:</p> <ul style="list-style-type: none"> - Threatened and often stand in a position to lose something if your issue is passed. - Can actively oppose you and derail your efforts. <p>[NOTE: While brainstorming, you may wish to have someone write ideas on butcher block paper or chalk board.]</p>
<p>EXERCISE:</p> <p>60 minutes total:</p> <p style="padding-left: 100px;">10 minutes</p> <p style="padding-left: 100px;">10 minutes</p> <p style="padding-left: 100px;">40 minutes</p>	<p>RELATING TO THEIR LONG-TERM GOAL:</p> <p>Ask each group to develop a list of allies and which resources these allies might bring to the campaign.</p> <p>Ask each group to develop a list of opponents and what the opponents could/might do to derail the campaign.</p> <p>Ask each group to present their lists</p>

<p>continued: Strategic Steps of an Advocacy Campaign: ORGANIZATIONAL RESOURCES</p>	<p>STATE: "Often times having a good issue is not enough to win. Organizations need to be realistic about their resources and those of potential allies."</p>
<p>10 minutes</p>	<p>Ask participants to discuss among themselves in their small groups the following:</p> <ul style="list-style-type: none">• Does your NGO have the resources to lead this advocacy campaign?• Are you able to commit funds or to raise money to promote the issue?• Do you have sufficient membership support? Members who will volunteer time, expertise and/or money to promote the campaign? Members who belong to other groups or who are involved in other sectors (business, government) who will support the effort?
<p>Exercise</p>	
<p>10 minutes</p>	<p>Ask participants to list their organizational resources and those of their allies. (They do not need to duplicate the effort from "Allies" where they <u>listed</u> resources that potential allies bring. They may refer to the list from that exercise in their presentation.</p>
<p>30 minutes</p>	<p>Each group presents a list of organizational resources.</p> <p>[NOTE: A resource is <u>not</u> an ally. It is something that an ally brings(donates) to the campaign to support the effort -- office space, office equipment, money, volunteers, experts, celebrities, etc.]</p>

continued: Strategic Steps of an Advocacy Campaign :
Targets "Decision - Makers"

STATE: "Targets are decision-makers who are people that can give you what you want. They are on two-levels:

1. Primary - those who have the power or resources to give you what you want; and
2. Secondary - those who can get you to primary targets when you cannot get to them directly. Secondary targets are conduits to the main target. They might be an associate, friend, relative, neighbor, etc., of the primary target.

[NOTE: You may wish to draw this diagram on board or paper for a group.]

EXERCISE:

10 minutes

Keeping in mind their Priority Goal, ask groups to list their Primary and Secondary Targets.

30 minutes

Ask groups to present their results.

<p>CREATING A SOLID FOUNDATION:</p> <p>RESEARCH</p> <p style="text-align: right;">5 minutes</p> <p>Brainstorm:</p> <p style="text-align: right;">10 minutes</p>	<p>State:</p> <ul style="list-style-type: none">• Successful advocacy campaigns require solid, factual research to sustain the campaign effort.• Share an example of an issue dying or losing support due to misrepresentation or poor research. <ul style="list-style-type: none">• Ask participants to share their thoughts on:<ol style="list-style-type: none">1. How good research lends to credibility of an organization and issue.2. Where they can find good research• Facilitate out of this session the following:<ul style="list-style-type: none">> Good research lends to credibility of the organization and the issue.> Media will look to you for your expert position on the issue and will most often call you for a reaction/response when your opponent presents the media with an allegation.> You increase the comfort-level of decision-makers to support you.> Good research becomes the basis for strategic planning. It can help you to simplify the issues:<ul style="list-style-type: none">- put it into human terms- make it a "pocket-book" issue- develop visuals and graphs that reflect the essence of the issue- establish the basis for a clear, concise message> Good research usually can lead you to the major reasons why your issue would be opposed.
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**Creating a Solid Foundation:
RAISING MONEY**

10 minutes

- How many of you ask people for money? If "yes," ask them to say why and what it does for their organization. If "no," ask them how they can run their organization and how they can promote their issues if raising money is not a priority.
- **STATE: FUNDRAISING NEEDS MUST MATCH OUR CAMPAIGN PLANS.**
- **STATE:** The greatest reason why people don't raise money is because they **DON'T ASK**. The second greatest reason why people don't raise money is they ask the wrong people. The third greatest reason is that they don't have a concrete goal for their advocacy campaign.

What happens when you ask the wrong people for money?

[Write their ideas on butcher block paper or a chalk board.]

Facilitate the following and you process this:

1. You aren't successful
2. You burn-out your volunteers

Brainstorm
5 minutes

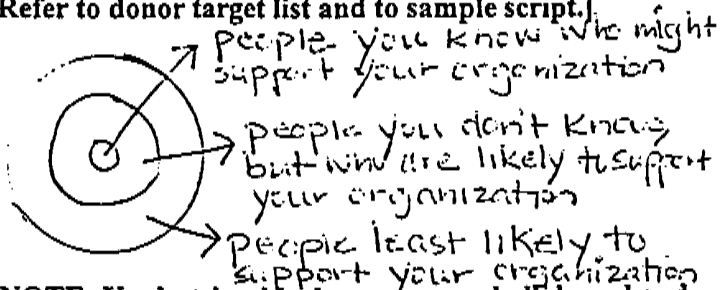
What are some ways that you can be more successful in raising money?

Summary
2 minutes

Facilitate the following as you process this:

1. Develop a list of targets who are people you know are:
 - able to give
 - stand to benefit from the advocacy campaign
 - have a history of supporting such causes
2. Do the same for people who you do not know.

[Refer to donor target list and to sample script.]



[NOTE: Use butcher block paper or a chalk board and draw a target.]

Brainstorm
5 minutes

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<p>Creating a Foundation: RECRUITMENT AND CANVASSING</p>	
<p>Brainstorm 5 minutes</p>	<p>Reasons why people volunteer? (Put on butcher block paper or a chalk board.)</p>
<p>Process 10 minutes</p>	<p>Facilitate the following as you process this brainstorm:</p> <ul style="list-style-type: none">• Identify with the issue/candidate.• Recognition<ol style="list-style-type: none">1. Public2. Professional3. Friends/Family• Peer Pressure - everybody else is doing it.• Social - to meet other people.
<p>Brainstorm 5 minutes</p>	<p>Keeping volunteers motivated? (Put on butcher block paper or a chalk board.)</p>
<p>Process 10 minutes</p>	<p>Facilitate the following as you process this brainstorm:</p> <ul style="list-style-type: none">• Clear/meaningful tasks• Recognition/appreciation• Sense of accomplishment<ol style="list-style-type: none">1. measurable goals (organizational importance of the task)2. winnable goals• Activity versus boring meetings• Involvement<ol style="list-style-type: none">1. pair newcomers with established members2. ask to participate in ways comfortable to them3. provide them with organizational information (give them the "big" picture)<ul style="list-style-type: none">> mission statement and fact sheet> membership and leadership list with address and telephone numbers> calendar of events> newsletter4. immediately assign volunteers an activities role and put them into the telephone tree <u>immediately</u>

<p>Brainstorm 5 minutes</p>	<p>Where and how can you get volunteers? What are some ways to recruit and volunteer?</p>
<p>Process 10 minutes</p>	<p>Facilitate the following as you process this brainstorm:</p> <ul style="list-style-type: none"> • Ask • Target those people/groups who stand to benefit from an issue or the election of a particular candidate. Ask them over the telephone or door-to-door. Door-to-door canvassing is working across Russia. It's a way to identify supporters and to develop them into volunteers or donors (refer to canvassing tips and canvassing sheet). • Mass media - Ask at press events, articles in paper, advertisements in paper, ask on radio/TV talk shows. Seize the opportunity. • Schools - High School, University - Ask • Regarding your literature or fact sheets - let people know where to call or write to your organization - Ask (refer to sample fact sheet) • KEEP ASKING - it's an ongoing process!
<p>Summarize Tools 5 minutes</p>	<ul style="list-style-type: none"> • Have volunteer cards available for your members to recruit people who show interest. Recruitment is every members task. [Refer to NDI volunteer handout] • Have volunteer sign-in sheets at all events and when canvassing.

DESIGNING A MESSAGE

5 minutes

STATE: This section helps to design a good message for mass media and public. Every message, whether it is a response to some news or represents news itself, contains news for mass media - you are sending a message. Every message helps to promote an issue and is a source of information about your organization, its goals, and activities.

Brainstorm

5 minutes

Ask participants what are the characteristics of a good message?

Process

10 minutes

Facilitate the following (refer to page 85 of Advocacy Campaign):

Seven Characteristics to consider in making a strong message include:

- It must be short.
- It must be truthful.
- It must be important to the audience you wish to reach.
- It must present a clear contrast.
- It must speak to the heart.
- It must speak to the attitudes and concerns of your target audience and not others.
- A good message must be repeated and repeated and repeated.

We all know several civic organizations which have become popular throughout Russia. This popularity occurred only because they developed a clear and concise message and repeated it every time at every opportunity.

Exercise

15 minutes

Ask each group to write one paragraph on their issue.

5 minutes

Then ask the group to write the essence of the paragraph in one sentence. It should not be written as a slogan. [For example, "My organization was called Arizona for a Healthy Future." Our message was - "Tobacco taxes for health care."]

Presentation

10 minutes

Ask each group to present their message. Ask the audience to give comments after each presentation.

TOOLS FOR REACHING MEMBERS:

Brainstorm

5 minutes

What are some methods for reaching members?

Process

10 minutes

Facilitate the following out as you process this:

- Regular, weekly/monthly or quarterly meetings
- Phone tree - go over this method [refer to phone tree]
- Regular newsletters
- Mail
- In some campaigns, coalition members have fax machines. It's fast communication.

Exercise

5 minutes

Ask each group to write a script to inform their members about a campaign event.

Presentations

30 minutes

Ask groups to present their scripts. Seek comments from the audience following each presentation.

<p>TOOLS FOR REACHING THE COMMUNITY</p>	
<p>Total Time - 1 and a half hours</p>	<p>STATE: Increasing public awareness on your issue/candidate throughout your advocacy campaign will keep people involved and knowledgeable. If you don't do it, you <u>will</u> lose. People are more likely to support your effort if they are familiar with your issue and message.</p>
<p>Brainstorm 5 minutes</p>	<p>What are some ways that we can keep the public informed?</p>
<p>Process 10 minute</p>	<p>Facilitate the following methods as you process:</p> <ul style="list-style-type: none"> • Media (print, TV, Radio) • Flyers [refer to fact sheet] • telephone polling [refer to sample script] • leaflets/brochures • letters • door-to-door canvassing • public speeches
<p>Exercise 30 minutes</p>	<p>Ask participants to develop a sample leaflet on their organization/issue. [Write on butcher block paper or a chalk board] Important components include:</p> <ul style="list-style-type: none"> • Mission statement • Compelling facts • Quotes from media and/or celebrities • Reasons why people should support the organization/issue • Ways to get involved
<p>Presentation and Commentary 45 minutes</p>	<p>Ask each group to present their leaflet, soliciting commentary after each presentation. Trainer to add comments.</p>

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USING THE MEDIA Total time: 10 minutes	
Brainstorm 5 minutes	What can the media do for you in your advocacy campaign? [Write these on butcher block paper or chalk board]
Process 10 minutes	Facilitate the following as you process this session: <ul style="list-style-type: none">• Help to give wider publicity to your organization's activities• Increase the credibility of your organization• Inform the public and decision-makers• Help to influence public opinion
Short Lecture 15 minutes	STATE: Some people think they need a professional public relations expert. That usually requires money that few NGOs have to spare. However, NGOs across the country are finding that volunteers within their organizations are successfully fulfilling their media needs. There are five basic steps that NGOs can use to initiate and develop their ability to work well with the media. <ol style="list-style-type: none">1. Identify media who's who for each outlet (keep a list).2. Establish contacts.3. Advise media on your group's upcoming events.4. Develop press release kits and fact sheets.5. Follow-up after press/organization events.
Exercise 10 minutes	Ask participants to write the first paragraph of a press release on something related to their advocacy campaign.
Presentation 30 minutes	Ask participants to present their press releases and for audience to comment. [NOTE: Facilitator can further process these.]

**PLANNING AN
ADVOCACY
CAMPAIGN**

**Total time 1 and
a half hours**

Exercise

30 minutes

Let participants know that they have actually planned an advocacy campaign during the prior workshops. [Briefly review elements of strategic planning.]

During this next exercise, ask each group to plan an advocacy campaign. Give them each a concrete goal based on elements from discussion over the entire seminar. [NOTE: It is good to have a scenario and goal typed up ahead of time to give to them.]

Presentation

1 hour

Group presentations and commentary.

Close

Close by assuring them that they have proven they can put together advocacy campaigns and now they just need to do it!

**Evaluation and
Thanks**

Thank participants.

WORKSHOP AGENDA
Public Policy Advocacy on
the Cambodian Communal Elections
for Cambodian Civil Society Activists

Objectives

- to impart systematic knowledge and skills to Cambodian civil society leaders for critiquing and advocating for the legal framework for communal administration and election laws; and
- to prepare an action plan for undertaking public consultation and advocacy on these vital issues.

List of Participating Organizations

Committee for Free and Fair Elections in Cambodia (COMFREL)
Coalition for Free and Fair Elections (COFFEL)
Neutral and Independent Committee for Free Elections in Cambodia (NICFEC)
Cambodia Defenders Project (CDP)
Cambodia Institute for Human Rights (CIHR)
Center for Social Development (CSD)
Human Rights & Community Outreach Project
Human Rights Vigilance of Cambodia
Khmer Institute for Democracy (KID)
Khmer Youth Association (KYA)
Legal Aid of Cambodia (LAC)
LICADHO
Star Kampuchea
Women's Media Center of Cambodia (WMC)

Day 1: March 21, 2000

08.00 – 08.30	Registration
08.30 – 09.00	Introductions and opening remarks (goals, objectives) <i>Tarikul Ghani & Keith Jennings</i>
09.00 – 09.20	"Introducing Advocacy: The International Definition" <i>Keith Jennings</i>
09.20 – 09.30	Questions, answers and comments

- 09.20 – 09.50 “Advocacy: The Cambodian Context”
Kassie Neou, Vice Chairperson, NEC &
President, Cambodian Institute for Human Rights
- 09.50 – 10.15 Open discussion
- 10.15 – 10.30 Coffee break
- 10.30 – 11.30 “Effective Advocacy: Strategies, Ways & Means – An International
Perspective”
Keith Jennings
- 11.30 – 12.00 Questions, answers and comments
- 12.00 – 13.00 Lunch break
- 13.00 – 13.30 “Managing an Advocacy Campaign in Cambodia”
Nanda Pok, Executive Director, Women for Prosperity &
Board member, COFFEL.
- 13.30 – 14.00 Questions, answers and comments
- 14.00 – 15.30 “Strategies and Tactics for Conducting Effective Advocacy in
Cambodia,” group discussions
(Three break-out groups, each with a Cambodian facilitator)
- 15.30 – 15.45 - Tea break
- 15.45 – 16.30 - Group presentations, questions & answers
- 16.30 – 17.00 - Day's summary; concluding remarks
Keith Jennings
- Day – 2: MARCH 22, 2000**
- 08.30 – 08.45 Opening remarks
- 08.45 – 09.15 “Commune Council Laws and the Role of Civil Society”
Thun Saray, President, ADHOC & First Representative, COMFREL
- 09.15 – 09.30 Open discussion, questions & answers

09.30 – 09.45	Coffee break
09.45 – 10.30	"Advocacy Experience from Bangladesh" <i>Tarikul Ghani.</i>
10.30 – 11.00	Open discussion, questions & answers
11.00 – 11.30	"Planning an Effective Advocacy Campaign in the Context of the Cambodian Commune Council laws" <i>Keith Jennings</i>
11.30 – 12.00	Open discussion
12.00 – 13.00	Lunch break
13.00 – 15.30	Preparing an action plan for advocacy on the Commune Council laws Group discussion on activities, timeline, resources, implementation strategy and follow up / monitoring
15.30 – 15.45	Coffee break
15.45 – 16.30	Group presentations of action plan (10 minutes each group)
16.30 – 17.00	Workshop summary, concluding remarks

ADVOCACY CAMPAIGN TIME FRAME

8 Months	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.
Events	Khmer New Year	Labor Day Visak Bucha Royal Ploughing Day	Children's Day Queen's B'day			Pchum Ben	King's B'day Paris Peace Accord	Independence Day Water Festival	Human Rights Day Xmas
Publicity Media	Material dev. TV, Radio, Newsletter, press. Involve WMC	Press release Press conference Newsletter	Joint statement Posters Newsletter	Posters Newsletter Financial review includes budget projection	TV spot Radio campaigns Newsletter	TV / radio WMC Posters Newsletter Financial review	TV / radio WMC Posters Newsletter	TV / radio WMC Posters Newsletter Financial review	TV / radio WMC Posters Newsletter
Resource Dev./fund raising	Prepare project proposal, submit to Donors	Follow up application. Get funding		Financial review includes budget projection Meet the King		Financial review			
Outreach consultation (target groups)	Meet Council of Ministers	MPs NEC C of Ministers	MPs Governors Senate	Meet the King	MPs Senators NEC Ministers	MPs Senators NEC Ministers	MPs Senators NEC Ministers	MPs Senators NEC Ministers	MPs Senators NEC Ministers
Public Education Forums/work shops etc.	Prepare ed. materials on local Gov.	Train Trainers on Local Gov.	Launch LGEd. Public Forum for Women (WFP)	LGEd. Public Forum Com Elect. Law	LGEd.	LGEd. Public Forum Com Elect. Law	LGEd. Public Forum Women's participation in Com. Elect	LGEd. Public Forum Women's participation in Com. Elect	LGEd. Public Forum Com Elect. Law
Lobbying (supporters)	Meeting with pol. Parties, NGOs	Meet international community		Meet women's groups Pagoda	Meet with legal experts	Meet with student association	Meet with other associations		
Special Events		Shadow puppets (NICFEC)	Grand Rally		Mass Petition		National Convention		
Monitoring/Evaluation	Set up NGO Working Group to meet monthly	Meeting with NGO working group	Meet with business and teachers assoc.	Meeting with NGO working group	Meeting with NGO working group	Meeting with NGO working group	Meeting with NGO working group	Meeting with NGO working group	Meeting with NGO working group

Appendix 6

Sample Memorandum of Understanding (Bosnia 2000)

**MEMORANDUM OF UNDERSTANDING
BETWEEN THE NATIONAL DEMOCRATIC INSTITUTE FOR INTERNATIONAL
AFFAIRS
AND
THE CENTERS FOR CIVIC INITIATIVES**

The intent of this memorandum of understanding (MOU) is to set forth the terms and conditions under which the National Democratic Institute for International Affairs (NDI) and the Centers for Civic Initiatives (CCI) shall agree to cooperate for the period of April 1, 1999 through December 31, 1999.

The purpose of this MOU is to structure the relationship and specify the areas of responsibility and obligations of each partner, and to outline the focus of each partner's activities during the period of this agreement.

The following are the terms and conditions under which NDI and CCI shall cooperate. The fulfillment of these terms and conditions is contingent upon both NDI and CCI securing funds which cover the period of this agreement.

NDI and CCI shall work cooperatively to successfully implement a grassroots citizen participation program in Bosnia-Herzegovina (BiH) and an institutional development program intended to ensure the long term sustainability of CCI. The mission of CCI is to encourage citizen participation in BiH political affairs. CCI has three main project areas: public awareness, local advocacy development, and advocacy coalition development

The following outlines the areas of responsibility of the partners to each other:

The Centers for Civic Initiatives (CCI)

- CCI will develop a comprehensive workplan and projected calendar of activities for the period of this MOU by April 1, 1999.
- CCI will set realistic, clear organizational development objectives that can be achieved by the end of this MOU period, December 1999.
- CCI will develop and submit to NDI a comprehensive long-term strategic plan by November 31, 1999 for review and comment.
- CCI will develop and submit to NDI a fundraising plan by September 31, 1999 for review and comment.
- CCI will establish the appropriate personnel policies and administrative procedures needed to effectively meet their program and organizational development goals.
- CCI will conduct all major program activities outlined in its workplan as submitted to NDI, assuming the political situation remains stable.

- CCI will adhere to all the administrative requirements and regulations associated with receiving and managing an NDI subgrant.
- CCI will provide NDI with monthly programmatic reports and financial reports.

The National Democratic Institute for International Affairs (NDI)

- NDI will provide CCI a subgrant for the period of April 1, 1999 through December 31, 1999 to enable CCI to carry out the specified program activities as identified in CCI's workplan.
- NDI will assist CCI set realistic, clear organizational development objectives that can be achieved by the end of this MOU period, December 1999.
- NDI will provide technical assistance throughout the period of this MOU through the following methods and in the following areas:
 - 1) One NDI expert staff representative will be based in Sarajevo working with CCI throughout the period of this MOU on routine organizational development matters, such as strategic planning, board relations, and fundraising;
 - 2) NDI staff based in DC will provide administrative and programmatic support to CCI. Between members of the Accounting, Grants, Strategy and Evaluation and the Central and Eastern European teams, DC support will be equivalent to the staff time of approximately one and a half NDI staff members;
 - 3) NDI will include CCI staff, board, and general assembly in appropriate democratic studies missions and other training programs abroad;
 - 4) NDI staff will conduct periodic visits to BiH at times that are mutually agreed upon to monitor and evaluate program progress, and to provide additional assistance as necessary and appropriate;
 - 5) At the end of the period of the MOU (December 1999) NDI will conduct.....
 - 6) Any costs associated with the NDI field representative or trainers will be incurred by NDI.
- * NDI office equipment used by CCI at the signing of this MOU will be provided to CCI for its use. To the extent allowable under USAID regulations, all NDI office equipment will be given to CCI.

- * NDI will assist in facilitating the development of relationships between CCI and selected donors and/or international organizations.
- NDI will assist CCI with program evaluation during and at the close of the period of this MOU.
- NDI will at all times respect the internal decision-making process of CCI.
- NDI will at all times remain cognizant of the potential obstacles to program implementation presented by the difficult political environment within which CCI seeks to conduct program activities and develop institutionally. These potential obstacles include, but are not restricted to, government imposed closures and other travel restrictions, political unrest and instability, government interference with NGO activity and general issues related to the ongoing peace process. NDI will, to the extent of its ability, seek to assist CCI in overcoming these obstacles.

GENERAL

- Official communication shall be channeled between the CCI Executive Staff and the NDI Central and Eastern Europe Team.
- All decisions related to the subgrant shall be arrived at jointly between NDI and CCI.
- The relationship between NDI and CCI will be one built upon mutual respect and trust, wherein both partners will strive to enhance each other's activities. Any and all complaints or disagreements between NDI and CCI arising as a result of the interpretation of this MOU or of the infringement of its terms, by one or both parties, shall lead to both organizations taking every step to resolve the matter as quickly as possible, and in a manner that will not jeopardize the success of the program.
- NDI and CCI fully intend to continue cooperative efforts to encourage democratic political citizen participation among the citizens of BiH beyond the expiration of this memorandum of understanding.

Signed,

Executive Staff Member, CCI

Robert Benjamin,
NDI CEE Regional Director

date:

date:

Appendix 7

Sub-Grant Development and Management Guidelines

ESTABLISHING A COOPERATIVE AGREEMENT WITH NDI

- PROCEDURES MANUAL -

Updated 6/00

Welcome to NDI!

As a component of its program activities, the National Democratic Institute for International Affairs (NDI) from time to time enters into cooperative agreements with foreign civic associations, nonpartisan institutes or similar organizations. The agreements are designed to enhance the organization's capabilities and NDI's democratic development programs in the country. In all cases, NDI works in cooperation with the organization to plan and implement program work in the field of political party building, civic education, election monitoring, or governance, and thus the arrangement is a "cooperative agreement" as opposed to a grant.

This manual is divided into five sections:

- I. APPLICATION PROCEDURES**
- II. COOPERATIVE AGREEMENT PROCEDURES**
- III. GRANT MONITORING PROCEDURES**
- IV. AUDIT**
- V. CLOSE-OUT PROCEDURES**

I. APPLICATION PROCEDURES

Before submitting a proposal, speak to an NDI representative to determine if NDI is planning to work on a specific project with a local organization and how much funding would be available for those activities. Once this is completed, prepare a proposal. The proposal should include:

- o proposal summary
- o relevant background information on the country
- o description of project objectives
- o description of activities
- o an evaluation plan
- o background on the organization
- o a budget

Special attention should be given to describing the type and level of cooperation that is to exist between the organization and NDI. Please refer to Attachment A for a more detailed explanation of what should be included in each section of the proposal and to Attachment B for a sample line item budget.

A. Proposal. In developing the proposal, special attention must be paid to developing an activity plan and budget that are realistic. The proposal should state clearly the project goals and

objectives, its cost, and methodology. The budget must adequately reflect the costs of successfully conducting the proposed activities. Preparation of the budget is extremely important because the budget defines the project activity.

B. Restrictions. All organizations that receive funds from NDI must accept and follow certain procedures and guidelines. This is to ensure an open and transparent accounting of activities and expenditures. This document defines these procedures and guidelines.

C. NDI Approval. Final approval authority for all proposals rests with NDI senior officers in Washington, DC. Once all documents are received by NDI Washington it often takes from one to 3 months for the proposal to receive final approval and for funds to be disbursed. Once final approval has been given, an NDI Grants Officer will be assigned to monitor the grant and assist the organization in understanding and following specific grants requirements. All documents should be sent to:

Subgrants Manager
National Democratic Institute
1717 Massachusetts Ave., NW
Washington, DC 20036
USA

II. COOPERATIVE AGREEMENT PROCEDURES

Review of Cooperative Agreement with Potential Subgrantee. Once the proposal has been approved by NDI Washington, the subgrantee will receive a copy of the cooperative agreement and appendices. It is important that you read this document thoroughly and contact the NDI Grants Officer if you have any questions before signing it. The final agreement document will explain the various conditions and requirements of the cooperative agreement. The organizational questionnaire is extremely important as it provides NDI information on your organization's ability to manage funds. Particular attention is paid to internal control mechanisms and the ability of the organization to properly account for all funds.

The following forms must be filled out and sent to NDI Washington before the cooperative agreement can become official any funds can be disbursed:

- organizational questionnaire
- two copies of the signature page of the cooperative agreement, signed by the organization's authorized representative
- verification of separate bank account form (see Attachment H)
- a copy of the authorization to request drawdown form (see Attachment D)
- request for drawdown form - for first drawdown (see Attachment E)

- articles of incorporation and by-laws of the organization

Upon receipt of these documents, the president of NDI countersigns the cooperative agreement and the cooperative agreement takes effect. A final copy of the cooperative agreement will be returned to the subgrantee.

The following is a breakdown of the sections within the cooperative agreement that you should be aware of and review with the Grants Officer:

A. Duration of Cooperative Agreement. Duration of the agreement should provide ample time for the subgrantee to conduct and report on proposed activities, but not allow for substantial delays in activities or for program funds to remain idle.

B. Drawdowns. For the purposes of NDI's cooperative agreements, a drawdown is the transfer of funds from the grantor, in this case NDI, to the subgrantee. Funds shall be disbursed to the subgrantee on an as-needed basis. NDI shall have no obligation to disburse funds until, in NDI's sole judgement, the subgrantee is in need of such funds. NDI will not be obligated to disburse any funds before the dates specified. All drawdowns will be requested in the manner stipulated in the cooperative agreement.

Drawdowns are usually made in the form of wire transfers from the grantor's bank to the subgrantee's bank. Only in extreme rare emergency cases that the transfer of funds is acceptable in the form of cashier's checks, traveler's checks with an NDI staff person who is going on to the subgrantee's country, or in the form of cash. These cases require approval well in advance from the president or vice-president of NDI.

Review carefully the dates and amounts for the drawdown of funds. A sample drawdown schedule is shown in Attachment C. Drawdown dates and amounts should accurately reflect the subgrantee's cash flow needs, so that grant funds do not remain idle. Before transferring the next drawdown, the subgrantee should send in both financial and narrative reports. **LATE FINANCIAL AND/OR NARRATIVE REPORTS WILL RESULT IN THE DELAY OF FUTURE DRAWDOWNS.**

C. Authorization to Request Drawdown. This form should contain the signatures of all persons authorized to request cooperative agreement funds on behalf of the subgrantee. One copy is completed and returned to NDI and the other is completed and kept with the subgrantee's records.

Any change in the persons authorized to request funds on behalf of the subgrantee must be conveyed to NDI in writing and a revised authorization to request drawdown form must be submitted. A copy of the authorization to request drawdown is shown in Attachment D.

D. Request for Drawdown. The request for drawdown (refer to Attachment E) is to be completed and returned to NDI in advance of the requested date for transfer of funds. A copy of each request for drawdown must be kept with the subgrantee's records. As stated

previously, requests for drawdowns shall be completed in the manner stipulated in the cooperative agreement.

E. Procurement Regulations. All goods and services procured with funds provided under the cooperative agreement must conform to regulations set out in OMB Circular A-110 and the requirements of the agreement. Be sure to review OMB Circular A-110 carefully, as it provides guidelines on what expenditures are allowable and what are not. Purchase of non-expendable equipment such as furniture and office equipment, with a life expectancy of more than one year and a per unit purchase price of more than US \$500, other than as specifically named in the Project Budget, is not allowable under the terms of the cooperative agreement without prior written approval from NDI.

F. Reporting Schedule. All reports are due to NDI 15 days after the reporting period ends. All final reports, project evaluation and nonexpendable goods report are due to NDI within 30 days after the completion of the agreement.

In some instances, such as when the duration of the cooperative agreement is for a short period of time, like one or two months, only a final report is required. Your requirements will be described in the reporting schedule.

G. Description of Reports. Attachment F contains a description of the various required reports.

H. Nonexpendable Goods. As used for the purpose of this cooperative agreement, a non-expendable good is an article of tangible property having a useful life of two years or more and an acquisition cost of \$500 or more per unit. All equipment which meets the above description is considered a nonexpendable good. All nonexpendable goods must be fully documented according to the enclosed form (refer to Attachment G). A completed list of all nonexpendable goods must accompany the first financial report and any updates along with the next report. A final copy should be sent along with your final financial report.

I. Banking Information. All funds awarded under cooperative agreements must be kept in a separate bank account and cannot be mixed or co-mingled with any other sources of funding. A sample verification of separate bank account form is included in attachment H. This form must be completed and returned to NDI before any grant funds will be paid to the grantee. If an initial deposit must be made to open the required separate bank account, the Grantee may use non-Grant funds for this purpose, and withdraw the non-Grant funds following receipts of the initial advance of Grant funds.

J. Other Relevant Subgrantee Information. NDI will gather other relevant subgrantee information, such as the organization's charter, articles of incorporation or other documents legally constituting the organization, its by-laws and its board of directors.

K. Amendments and Modification. All amendments or modifications to the cooperative agreement shall have no effect until they are in writing and signed by representatives of both NDI and the subgrantee organization. All notices to NDI are effective upon receipt.

L. Prohibited Activities. The subgrantee shall not engage in or use grant funds for the following activities: lobbying, political activity in the U.S., support for political campaigns, violation of law, support for violence and/or intelligence activity.

M. Other Provisions. The subgrantee agrees to accept indemnity of NDI both its officers and directors, cost of litigation, and no partnership or agency.

III. GRANT MONITORING PROCEDURES

The Grants Officer maintains regular contact with the subgrantee in order to effectively monitor the status of program activity and funds. This contact is in the form of on-site visits, review of reports, and phone and fax contact.

If NDI should determine that the subgrantee is in noncompliance with or in violation of any part of the agreement, NDI shall inform the subgrantee of its noncompliance in writing. The subgrantee shall have ten (10) working days after receipt of the notification to respond, indicating steps taken to remedy the noncompliance. Should NDI determine the subgrantee's actions are inadequate, NDI has the right to terminate the agreement.

NDI may terminate the cooperative agreement if, in its sole discretion, it determines that the subgrantee has failed to comply with the terms and conditions of the agreement or is no longer willing or able to carry out the program proposed by the agreement. In the event of termination, the subgrantee shall return any, and all unexpended or unobligated funds to NDI.

All cooperative agreements are governed by the laws of the United States and the District of Columbia. Any litigation arising from the agreements will take place in the District of Columbia.

A. Maintenance of Records. The subgrantee shall establish policies and procedures, maintain accounts and records and assign personnel to keep track of all activities and expenditures made with cooperative agreement funds. The financial procedures established by the subgrantee shall be consistent with generally accepted accounting procedures and shall enable NDI or its representative to audit or verify the accounts of the subgrantee to ensure compliance with the agreement.

The subgrantee shall maintain for a period of five (5) years all records and documents necessary to conduct a full financial and compliance audit of the activity supported by the cooperative agreement.

B. Subgrantee's Narrative Reports. The subgrantee shall submit a narrative report for each reporting period during the term of the cooperative agreement. The narrative reports shall describe a chronology of events that took place during the reporting period. The report should

specifically address the purpose and activities described in the purpose of the subgrant. Particular achievements and obstacles to the success of the project shall be reported in specific terms. If no activity occurred during the reporting period, the subgrantee shall still submit a narrative report stating that no activity occurred and the reasons why no activity occurred.

Reports shall be reviewed and any question or ambiguities shall be discussed directly with subgrantee. If further description or more clarification is necessary, the subgrantee shall submit additional narrative text.

The subgrantee will also list any programs that were assisted or made possible by support from the cooperative agreement funds. This is most relevant in instances where the cooperative agreement provides infrastructure support, which in turn allows the subgrantee to conduct various program activities. Any activities done in conjunction with NDI, such as participating in NDI sponsored conferences or seminars, must also be mentioned.

C. Subgrantee's Financial Reports. The subgrantee shall submit a financial report for each month or quarter during the term of the agreement. A sample monthly financial report is appended as Attachment L. If no expenditures were made during the reporting period, the subgrantee shall submit a financial report so demonstrating. Reports shall be reviewed and any questions or ambiguities shall be discussed directly with the subgrantee. Should there be changes to the report, the subgrantee shall submit to NDI a revised report.

Financial reports and documents shall also be reviewed for the following items:

1. Receipts. Each expense should be supported by an original receipt, pay sheet, or invoice. Photocopies or faxed documents will be accepted in instances where local laws require that original documents must be retained in the country. Any expenses that do not have one of these supporting documents will not be allowed and the organization will be responsible for reimbursing these claimed expenses.

2. Authorization and Internal Control. All payments must be authorized in advance and must be accompanied by a signed authorization form. In addition, mechanisms to ensure internal control will be evaluated.

3. Line Item Budget. All funds shall be spent in accordance with the approved line item budget. The subgrantee determines that it will be necessary to increase the expenditures in one line item (i.e. Salaries, Printing, etc.) and concurrently decrease the expenditures in another line item; and this increase and decrease exceeds 15% and \$5,000 of the original expenses of either of the line items affected, as indicated in the Project Budget, then prior written approval must be obtained from NDI before such expenditures are made.

4. Allowability of Costs. Unless otherwise stated, costs incurred under a cooperative agreement shall be in accordance with OMB Circular A-122 (see Attachment R). Under no circumstances shall subgrant funds be used for the following:

- * advertisements other than for recruitment of personnel and procurement of goods and services;
- * contributions to contingency reserves for unexpected expenses or occurrences;
- * contributions, gifts, or donations to other organizations or individuals;
- * entertainment including, but not limited to: amusements, diversions, social activities, ceremonials and costs related thereto, such as meals, lodging, rentals, transportation, and gratuities;
- * interest on borrowed capital;
- * fund-raising activities;
- * investment counsel to enhance income from investments;
- * repayment of loss due to excess of costs over income on any other projects;
- * fines, bad debts, alcoholic beverages, or tobacco.

5. Travel and Per Diem. Travel and per diem costs shall be at a rate that is reasonable for the country. Travelers' subsistence expenses which exceed the per diem rates included in the Project Budget may not be paid with subgrant funds without prior written approval from NDI. In addition, a Travel Authorization Form bearing the individual subgrantee name in the title, must be completed each time a person leaves the home city. It must be filled out in detail and signed by both the traveler and the authorizing official. (see Attachment I).

6. Exchange Rate. The subgrantee must include with its financial reports the exchange rate used in the preparation of the financial report. As stipulated in the cooperative agreement, the exchange rate shall be the applicable official exchange rate prevailing at the time the funds are converted into local currency.

7. Personnel and Salaries. Each employee must have an employment contract. All permanent employees must complete a contract and have it signed by the executive director before any employee can be paid. The contract should be placed in his/her personnel file. (see Attachment J). A timesheet should be completed by each paid employee at the end of every pay period and signed by both the employee and the executive director prior to the employee being paid. (Attachment K). The daily consultant fee may not exceed the amount approved in the project budget, without prior approval from NDI.

8. Expense and Receipt Log. A sample chart (see Attachment M) will help keep track of total expenditures and individual line item expenses on monthly/quarterly expense reports. **It is very important that grantees obtain all receipts relating to each transaction.**

9. Bank Statement. A copy of your bank statement is to be sent along with your financial reports.

10. Property Records. The subgrantee's property records should be maintained accurately. The records must include among other things a control system to prevent loss, damage, or theft of property, adequate purchase documentation, and periodic physical inventory information.

IV. AUDIT

The Grantor reserves the right to conduct, or have conducted, audits of the subgrantee's records. The books and accounts of the subgrantee pertaining to the funds granted under the terms of the cooperative agreement shall be open for inspection by an independent certified public accountant or any other duly authorized representative of the grantor with five days written notice, and said books of account shall be legible, kept current and available for copying.

In addition, the National Endowment for Democracy, the United States Information Agency and the Comptroller General of the United States, or their duly authorized representatives, shall have access for the purpose of the audit and examination to any books, documents, papers, and records of the subgrantee that are pertinent to assistance provided by NDI.

The report of any such audit shall be provided to NDI. Should the audit disclose any material instances of noncompliance or indication of fraud, abuse or illegal acts, such information shall be included in the report.

V. CLOSE-OUT PROCEDURES

A. Final Narrative Report. A final narrative report is due to NDI not more than 30 days after the completion of the cooperative agreement. This report contains a detailed description of all activities undertaken with the cooperative agreement funds, including names of key participants, number of participants or attendants, and dates and locations of activities. Copies and examples of materials produced with grant funds, such as radio and television spots, brochures, manuals, posters and public opinion polls are also included with the final narrative report.

As with all other reports, the final narrative report includes a description of all subgrantee activities assisted or made possible by the grant funds.

B. Final Financial Report. A final financial report is due to NDI not more than 30 days after the completion of the cooperative agreement. This reports shall contain a complete line item breakdown of all expenditures paid with cooperative agreement funds.

The applicable exchange shall be included and any unspent or unobligated funds are documented in this report.

C. Project Evaluation. A project evaluation is due to NDI 30 days after the completion of the cooperative agreement. This report contains the subgrantee's analysis of the degree to which the subgrant activities are achieving the project objectives. The items identified as key indicators are described in the subgrant agreement. Based on these indicators, the results of project activities must be analyzed, and conclusions drawn as to the degree to which they contributed to meeting the objectives. This shall include an examination of the effectiveness of current actions and a discussion of future actions to be taken to strengthen success or correct weaknesses. Whenever possible, specific examples of project impact should be described and documented, noting short-

term results and expected long-term changes as well as any unexpected outcomes which have become evident.

D. Nonexpendable Goods Report. A nonexpendable goods report is due to NDI 30 days after the completion of the cooperative agreement. The report must be submitted on the Nonexpendable goods Equipment List (see Attachment G), along with the final financial report.

E. Final Audit. As required by OMB Circular A-133 (see Attachment Q) and stipulated in the cooperative agreement, an independent organization wide audit must be conducted to U. S. Based organization receiving a cooperative agreement totaling \$300,000 or more. This audit shall go beyond the normal financial steps to conduct tests to determine whether subgrantees are complying with applicable laws and regulations related to the grant. As mentioned previously, the audit shall be conducted in accordance with Government Auditing Standards and in the manner stipulated in the cooperative agreement. The report of any such audit shall be provided to NDI.

In the event that no independent audit is conducted, the grantor reserves the right to conduct an agreed upon procedures audit.

F. Audit by General Accounting Office. The General Accounting Office (GAO) has the right to conduct an audit of any subgrantee's financial transactions each fiscal year. As with any audit requested by NDI, the subgrantee shall permit the GAO access to all books, accounts, record, reports, files, and other papers, things or property pertaining to the cooperative agreement and necessary to facilitate the audit. The GAO shall also be granted access to the locations where the subgrantee's accounts and records are normally kept.

G. Return of Surplus Funds. Upon the termination or completion of the cooperative agreement, the subgrantee shall immediately return any unspent and unobligated funds. The subgrantee must repay to NDI any portion of the funds provided herein which is not used for the purposes of this agreement. Any subgrant funds which are not supported by valid documentation in accordance with the subgrant, or which were expended for purposes other than those of the subgrantee, must be returned to NDI upon termination or completion of the cooperative agreement.

H. Return of Interest. All interest earned in excess of \$250 per year shall be remitted to NDI on an annual basis.

I. Disposition of Property. Final disposition of all nonexpendable property purchased with cooperative agreement funds shall be in accordance with OMB Circular A-110, and any subsequent regulations stipulated by the funding source grant. Generally, the title to such items purchased with agreement funds is vested in the subgrantee.

J. Best Interest. If the National Endowment for Democracy, the United States Information Agency, or any of NDI's grantors deem it in the best interest of the United States to terminate its agreement with NDI, NDI may terminate this subgrant by giving the subgrantee thirty (30) days' notice in writing. In the event this subgrant is terminated under this provision, the subgrantee shall immediately terminate any obligations that it may have entered into involving funds provided under this subgrant and shall settle all outstanding liabilities and all claims resulting from the termination of its obligations. Any balance of funds received from NDI that is unused and found to be unnecessary to liquidate outstanding obligations shall be returned to NDI.

Appendix 8

Program Evaluation Framework

PROGRAM EVALUATION MATRIX

Levels of Evaluation	Measurements	Sources	Collection Information	Timing
1. Participant Reactions				
2. Knowledge and Skills developed				
3. Attitudes and Behavior				
4. Results: What did Participants do differently				
5. Impact: What changed as a consequence				

Appendix 9

Program Reporting Guidelines and Sample Report (Albania 2000)

NDI FIELD REPORTING GUIDELINES

SUMMARY

A short section summarizing program accomplishments and other significant events occurring during the reporting period. When preparing this section, staff should think about how they would give a two-minute presentation to a NDI Board meeting or a Member of Congress. What are the program highlights/successes/challenges?

POLITICAL DEVELOPMENTS

This is an opportunity to update Washington on the country's political developments and current events. This section should also give the reader a sense of the context for NDI's program in country (why is NDI in this country, what are the problems/issues NDI's work is designed to address and how does our program address those problems). Describe political, cultural or economic developments that might directly or indirectly affect the program. What events, decisions or statements shaped programming during this reporting period? (E.g. Is our work getting more difficult? Are we more welcome?)

PROGRAM ACTIVITIES

Discuss program activities for the period. This section should describe or summarize all program activities. Remember, this is the section that allows us to answer the question: how did you spend U.S. taxpayer's dollars this period? If there has been a substantial event like a workshop or seminar during the period, describe the methodology, program format, and agenda. If working with a number of groups or parties, write a paragraph on activities with each of the individual groups.

PROGRAM ANALYSIS

This section should provide an update on the status of our program. What is working well and what is not working well? Why? Are we "barking up the wrong tree"? Is our original program's premise -- e.g. key people in this legislature want our help -- still accurate? Identify problems or complexities that have emerged in programming and how you handled them or could avoid them in the future. Identify program strengths and assess overall outcomes and effectiveness. This section should also include a description of plans for the future, outlining any programmatic changes under consideration. Finally, this section should include any information related to progress in meeting program goals and objectives. This "tracking system" feedback may be qualitative or quantitative (e.g. interviews, surveys, press coverage, etc).

PIX, CLIPS, QUOTES AND ANECDOTES

If pictures speak a thousand words, so do news clips, participant quotations and program anecdotes. This section should include these gems captured during your daily routine—immediately record quotes or anecdotes when someone says something positive about NDI's work and the corresponding names/dates so that you can eventually weave them into quarterlies/final reports. A recent final report abounded with quotations that the author footnoted from the notes he kept from meetings/conversations, and laudatory correspondence. Testimonials/anecdotes about why NDI's work matters as related by participants/partners/officials/etc. can add life and color to NDI's general written materials. And, don't forget those photographs—they still speak volumes. Each report should include one or more picture, clip, quote or anecdote.

ADMINISTRATION Describe any administrative matters addressed during this period, new leases, accounting, local hires, staff departures, etc. Also include other significant non-program events, e.g. visits by Congressional delegations or Administration officials and AID/Embassy/USIS contacts, etc.

BACK PAGE A page for any program/administration/country/personnel items requiring separate consideration.

**ALBANIA REPORT
CIVIC FORUM PROGRAM
October 2000**

**Mary Margaret Dineen
Tirana**

Summary

October was the first month in which Civic Forum Albania (CFALB) began in earnest to prepare for the community action/advocacy phase of our work, while continuing to facilitate discussions. During this month the country experienced, by most accounts, its best elections since the democratic transition began.

Program Background

NDI has been working in Albania since 1991, mostly through its link with the local NGO, the Society for Democratic Culture, which conducts civic education and election related activities. After the evacuation in August 1998, an NDI field representative did not return to Tirana until May 1999. That autumn the Political Leadership Development program was launched to train emerging political leaders from across the party spectrum. This program continues today.

In late October 1999, NDI's Civic Forum program began with the arrival of a second field representative. After the completion of a site assessment in December 1999 to determine the best location to begin the program, the decision was made to conduct Civic Forum in the adjacent districts of Tirana and Durres in the center part of the country.

We were conscious of the possible misperceptions of working only in the north or south of the country, given the traditional "divide" that exists. Political, cultural and linguistic traditions have contributed to some animosity between the north and south halves of the territory. Other deciding factors were the lack of communication and transportation infrastructure outside of Tirana and Durres. We wanted to begin the program in an area with demonstrated need and enough functioning infrastructure and community support to build a strong foundation for the program. Recognizing that a democratic system of governance can only take hold with the active engagement of the citizenry Civic Forum seeks to increase citizen participation in the democratic process. This is achieved through engaging citizens at the grassroots level in small group discussions about democratic principles, which over time will lead to citizens becoming

involved in community problem solving and advocacy on issues of importance to them.

The program is currently being conducted in the districts of Tirana and Durres. At any given time, we are working with at least 50 different groups of 10-15 citizens, primarily in the rural areas on a bi-weekly basis, facilitating discussions and guiding participants into more actively exercising their roles in the political process.

Political Developments

Since Gillian's report is sure to contain all of the political and October 1 local election related details, I will only highlight areas related to our work. Some of our work was hampered by the increase political polarization and contentious election atmosphere. Citizens were geared up to talk only about politics and the field coordinators (FCs) had a difficult time helping them refocus and integrate their comments into the discussion topics.

After the elections, in which more left leaning candidates won, some citizen groups with more right side leanings were angry and asked the FCs why they came back, since the election was over and nothing more could be done now. So the FCs had to deal with changing dynamics and attitudes within several groups depending on the participants' political viewpoints.

Program Analysis

Friday Meetings and Continuing Training

In October, the FCs began working on learning/developing community organizing and advocacy skills. During this time they also continued facilitating group discussions. The discussion topic series had been "interrupted" with the election related discussion. We also introduced a new topic, the Role of the Albania Education System in Democratic Development and had an open review discussion of all of the topics covered thus far.

Our new FC, Elton (Toni) Islamaj, started work at the beginning of the month. I took this opportunity to engage the veteran FCs in some reflection. Since they are the authorities on much of the work we have done, I solicited feedback from them on what we are doing, how we are doing it, why and what has worked and what has not. This way they had to give some thought to both the macro and micro aspects of our work and Toni had a good forum for questions. We also reviewed the materials we have used and distributed and identified which of them are most meaningful/useful and why. Thus we are slowly beginning to

identify some best practices and tools, which will be helpful for improving the program model in Albania and elsewhere and facilitate our expansion efforts next year.

We spent a day and half working on advocacy and community organizing with the assistance of Koebel Price and Violeta Hamidi from Civic Forum Kosovo. We had already done some preliminary work evaluating the terms used in community organizing work (action, volunteer, cooperation, power etc). Many of these terms/words were also used during the communist regime. We wanted to make sure that we clearly understood the “democratic” meanings and could articulate them to citizens. We also reviewed the basic elements of a community action strategy focusing on why citizens would/should organize themselves.

The FCs did an activity that I found in reports for the Bosnia Civic Forum program. It is important that the FCs experience some of what the citizens will be doing during the community organizing process. The better they can relate their concerns to those of the participants the stronger their position to help citizens advocate.

The FCs, working individually, identified three things they liked about the community in which they live. When asked why they thought I asked them to identify what they liked, they said it was a positive start, it helped narrow down what they don't like and showed them that good things exist along with the bad. Next, they each listed three things, as citizens that they would like to see improved in their communities. Although they identified differing things they like – near the city center, calm, good neighbors, near shops/market, their desired improvements were much the same – better environment/hygiene, better roads, better electricity service, better water system and more cultural events. Finally, they were asked what they would improve if they were mayor of their community. Those listed above were mentioned, in addition to, job creation, increased tourism, improved tax system, improved urban planning and providing more assistance to poor families.

During his training session, Koebel elaborated on the approach we are going to use to work with citizens to help them improve their communities. We began with defining advocacy and all of its elements and discussed why people advocate. The training session continued with learning how to identify issues and how they are different from problems (in the model we are using). We “walked through” the strategy development process from listing goals, objectives and resources to identifying allies, opponents and target and finally tactics and methods.

This was a lot of information for the FCs to assimilate in one day, so we met again for half-day on Saturday. We reviewed what we had covered on Friday and realized there was some confusion about the issue identification process. Given that this is a key element in the development of the overall strategy, Koebel went through, what turned out to be, a rather arduous attempt to clarify issue identification.

At this particular point some acute problems with the Civic Forum group dynamic were clearly revealed. The group lost its focus and degenerated into side discussions and verbal battles of who was right and who was wrong. Koebel snapped them back to attention, but not before I realized I had some adjustments to make. Over the past month or so, I have had to stop the group and remind them of the discussion guidelines we established for our interaction. I was not surprised by the difficulties, but I was troubled that it happened in front of a guest trainer. Part of it might have been that the group feels comfortable with Koebel and that we were in a different setting. Although contributing factors, these are not excuses. Koebel was helpful in making suggestions on how to rectify to situation. We have since worked to develop a common understanding of the issue identification process and we have talked about the changes, which need to be made to have a more effective group dynamic. We will continue to work on this in future meetings.

In what seems to be the Albanian way, we went from a contentious situation to a great lunch and afternoon at the beach. It is always amazing to me how people here can be yelling and screaming at each other one minute and happily drinking raki together the next. The lunch proved to be just the kind of informal, relaxed experience I think we have needed for a long time. Everyone was present, including team drivers. People told stories, sang traditional songs and shared some good laughs. It was a good demonstration of the spirit of camaraderie in the group and the confidence they have developed in each other.

Increasingly, while FC teams are reporting on their weekly field activity their colleagues pay less and less attention. To combat this we spent some time discussing why they give verbal field reports, who/what they are for and how we can improve them. In some ways, it seemed as though they were reporting to me directly, when in fact, as I remind them, they should be sharing information and experiences with each other. They are in the field, not me.

At times there are spontaneous group analyses of one team's difficulties or successes, but not often enough. Through questions and helping make connections among different reported scenarios, I am able to help them talk more with each other. To force the issue a bit, I had the teams in each district spend some time talking in the field with their counterparts about their week and then

report on each other's activities. Depending on how this goes the next step is to have them spend a day together going to each other's meetings and discussions. Since each team needs to increase the number of groups with which it works, we decided to focus some effort on establishing groups in urban areas as well. So far all but a few discussion groups are in rural villages. Many of which seem like they are another world, although they are only a half hour drive from the capitol city. The FCs took the last Friday of the month to canvas urban areas and come back with strategies for establishing new groups.

Field Reports

The first discussion series of the month, as it was just after the October 1 local elections, was an open discussion about citizens' election/voting experience. We thought it was important for citizens to have a forum for a constructive dialog about their voting experience and to relate it to other discussion topics. We also administered a survey to see whom, among CFALB participants voted and who didn't (results in early December).

Not surprisingly, citizens had plenty to say about the elections. The overwhelming majority of CFALB participants said that they had voted. The general consensus, from field reports, seemed to be that the elections went better than ever before. Most of the negative comments were related to problems with the voters' lists and even those were limited to the groups located closer to the city. In the villages the process was reported to have gone smoothly. It wasn't clear if citizens differentiated between technical problems and manipulation.

Several groups claimed that there was no manipulation in their area but they had heard of all kinds of problems in the neighboring community. Others sited cases of men voting for women, people calling from abroad to say who they wanted elected and others voting for them and unregistered citizens who were recognizable in the community being allowed to vote.

We are waiting for things to settle down after the October 15 run-offs to see who is in office. There were several contested races and a situation where the ex-mayor of the Vore municipality is refusing to hand over the keys to city hall (for some reason he has the only set!). There are other instances where the former mayor is working with the new mayor to transfer knowledge. In general, on the local level, although the Socialist Party won most seats from the Democratic Party, there are more amicable relations among candidates and officials.

There is some concern among FCs that we could lose some participants who were disgusted and/or disillusioned by the elections. We are sure to have limited participation from some of the groups formed from the commune

administrations, since there is undoubtedly going to be some personnel changes. Needless to say, the FCs have realized that this was not the best group to target for continued participation. Initially, it seemed like a good idea, since they need as much, if not more education than citizens and they are, in theory, already committed to the community. Now we will have to reevaluate and see if the new administrations (4 year mayoral term) would be valuable to include.

During the second half of the month, for those groups that were "on schedule" (discussing the most recent topic) the FCs facilitated a review session. Most groups remembered between eight and ten of the thirteen topics introduced to that point. Those most often recited were Rule of Law, Constitution and Elements of Democracy. Citizens said they had learned many new things they weren't even interested in before, like the decentralization process. They commented that they read the materials that are distributed and usually pass them on to other people. During these meetings, we also conducted a citizen opinion survey (results in early December) asking citizens about how democratic Albania is, how they see their role in the process and community and their views on their elected representatives.

In my September report I highlighted several rather daunting questions and challenges we are going to have to answer/over come in order to continue to make progress. I repeat them here and add another one.

Although the FCs fully understand the goal of the program is to guide citizens through the process of organizing themselves around a community problem of common concern and working to solve it, I suspect there are some groups which will either not be interested in taking the initiative or with a good faith attempt will not manage to coalesce. What do we do with these groups?

The opposite of that situation is when we find ourselves with all of the groups wanting to organize around building water systems, electrical grids and roads. The reality of our work involves working on big projects. I am not sure of the success rate of organizing citizens to build roads, but I do know that no one cares about working with their local government to have a stop sign put up when they have no roads. How do we help "guarantee" citizens that their organizing initiatives will have some success?

Finally, and perhaps most importantly, where will the money come from to support citizen/government initiatives? Even in the best case scenario, where citizens and local government work together, the government has no money. Most communes in which we work, where there have been any community problems solved/improvements, it has been with foreign money. What role do I/we play in helping citizens and government fundraise?

Is it the kind of citizen engagement we are striving for if citizens make financial contributions to their community improvement initiatives or does supporting this action send a confusing message?

Materials/Information

FCs continued to distribute materials relevant to the discussion topics. IRI completed production of a citizens' guide to the parliament and, as we requested, gave us 700 copies to distribute. It talks about the structure and functions of the parliament and legislative process and will be a good complement to the Structures and Functions of Government discussion series and as preparation for the Spring 2001 parliamentary elections.

Personnel

Our new field coordinator, by all indications, has settled well into his new position. Before going into the field he and I spent a day reviewing methods, materials and concepts. Then after a few days in the field with his teammate they both came to the office and spent several hours with me talking about the work, answering questions and doing a few activities. The following week they observed their fellow Durres team's facilitation of citizen group discussions, so Toni could see the process in action.

One Friday I had two FCs who failed to show up for work. They had called the day before, when I was out of the office at a meeting and left a message informing me that they wouldn't be coming because they had been invited to an NGO meeting and "had to go" because one of them is a former representative of the Albanian NGO Forum and the other is president of his own NGO. This was the Friday after the unprofessional behavior by the FCs during Koebel's training session in which these two FCs played a pivotal role. So I needed them to be present for the follow-up discussion. In addition, their action was in clear violation of our personnel policies. Staff needs to get off days approved by their supervisor before hand and their outside activities cannot interfere with their work.

On Monday I met with them in my office and expressed my dismay at their action and explained how it violated the personnel policies, which I have an obligation to uniformly enforce. They said they understood, even though they thought that I would have said it was okay for them not to come to work, and accepted responsibility for their actions.

Although there is nothing mentioned in the personnel policies (which I am in the process of changing) I needed to impose some kind of sanction, so since they didn't work I docked them one day's pay. I complimented them on their work in general and their professionalism in this situation. There doesn't appear to have been any negative ramifications from my action thus far.

One of the Tirana team drivers succeeded in getting a visa for himself and his wife to go visit their son in the U.S., who they haven't seen for three years. He took a leave of absence until early December, but before leaving he found a temporary replacement who is doing a good job.

Evaluation

As mentioned above we administered citizen surveys to see who voted and who didn't and to gauge citizens' views on their government, community and the democratic process. We plan to have the results compiled by early December.

Each FC team is in the process of preparing a discussion series. They have all selected topics and begun research. After consulting with me, they will have time on a given Friday to train their colleagues on the topic and introduce the series guide they wrote. This will give me an opportunity to work more closely with each team and assess them and it will give them an opportunity to practice their skills.

Meetings

Nexus

The monthly USAID Nexus meeting of all grantees and contractors was, as is often the case, not so useful. Given the fact this is the only time we are all in the same room, the time could be spent in a more meaningful way. We learned that it is no longer necessary to send travel notifications to the Embassy and that Don Priestly (sp?) USAID Assistant Regional Administrator would be in town.

USAID Dinner

I was invited to a "democracy" dinner by Howard Sumka, USAID Albania Mission Director and Don Priestly (above). Also in attendance were Juliana Hoxha, ORT, Andrea Stefani, IREX, Zef Preci, Albanian Center for Economic Research and Genc Ruli, Institute for Contemporary Studies. We briefed Mr. Priestly on our program's activities and had a lively and interesting discussion about the state of democracy in Albania. At one point or another in the discussion, all of the invitees, with out any prompting from me, highlighted the

importance of direct citizen participation in the democratic process (beyond voting) in Albania, which of course, I echoed and supported with statistics and anecdotes from Civic Forum. Mr. Priestly really seemed to be genuinely intrigued (even taking into account, my wishful thinking and his "acting") by Civic Forum, to the point where he asked when we were planning on expanding throughout the country! (He is not the first person to suggest this, only the highest placed so far)

Administration

My internal modem died and we still haven't found a shop that is willing to examine and try to repair it. In the meantime we have an external modem, which means I cannot check email when there is no power.

Power problems have started. There was one week that was particularly bad, otherwise, the outages are "scheduled" and we work around them as best we can.

I moved into a new apartment, which is a monumental improvement over my other one. This one had sealed windows and heaters. Very welcomed.

We had a visit from a representative of the tax authority asking for a copy of our office lease. She showed up while the office was full of FCs in action, so I found out what she wanted and why and asked her to come back at a different time. Partially because often times people here don't make appointments, they just show up and it drives me mad and because I needed time to research and make sure we weren't in violation of any laws. I learned that by law our landlord is to pay a ten percent tax on the monthly rent payment, which he hasn't been doing. I met with the landlord to inform him of the situation. He asked me not to give the tax woman a copy of the lease or to redo the lease to say that we pay less than we actually do. Naturally, I told him I could do neither and when she returned I was obligated to give her a copy of the actual lease. The day she came back I saw him intercept her on the sidewalk and "invite" her for a coffee. She showed up for our appointment a bit late for obvious reasons, saying how the landlord had been pressuring her. We had no power so I didn't have the copy of the lease ready for her. She said she would come back again. I have the copy ready, but haven't seen her.

Appendix 10

Sample Program Review/Exit Memo (Bosnia 1999)

Exit Report

To: Ken, Jean, Susan, Rob, Dana, Chrissy, NDI CEE Team, S&E Team

From: David Sip

Date: June 15, 1999

Bosnia-Herzegovina Citizen Participation Program Civic/Political Education, Organizing, & Coalition-Building

I. Summary

In the cities of Tuzla, Banja Luka, and Mostar in Bosnia-Herzegovina (BiH) the National Democratic Institute for International Affairs (NDI) is continuing assisting in the creation and development of a national level Bosnian NGO from what was formerly NDI's Civic Participation Program. The work of the Bosnian NGO, the Centers for Civic Initiatives (CCI) is to: strengthen public awareness; develop local organizing and advocacy efforts; and develop an advocacy oriented coalition on the national level. CCI's program areas came out of the work that NDI local program staff had been conducting through NDI's Civic Participation Program.

Although the evolution of CCI as an organization is an interesting story and process in and of itself, the evolution of NDI's Civic Participation Program, from which CCI sprang, also merits attention and explanation. This exit report will focus on the development and evolution of NDI's Civic Program in BiH.

II. Background & Introduction

In November 1995, the Dayton Agreement and its annexes formally established structures, institutional roles, and recognition of democratic principles in Bosnia-Herzegovina (BiH). In addition to these institutional prerequisites, however, a functional democracy requires an active citizenry. *With the goal of increasing the level of civic awareness and participation among citizens* of BiH, NDI conducted civic participation programs in three regions of BiH-in the Tuzla-Podrinja and Herzegovian-Neretva Cantons of the Federation of BiH, and in Western Republika Srpska.

When I joined this project in February 1998, there was much internal discussion about the values of conducting civic education and community organizing. Which was it? Education or organizing? Are we, as NDI's civic field staff, performing the work of professional educators or professional organizers? Or both? Coming into the project with a neighborhood organizing background as well as an ESL teaching background, and fresh from organizing a coalition of NGOs in Slovakia, I drew on the lessons learned from my own experiences, as well as those of past mentors and present colleagues.

Saul Alinsky, Myles Horton, and Paulo Freire are three leaders whose collective experiences serve to help shape and describe the model of education and organizing created and utilized by NDI's civic program in BiH.

Alinsky said that people are educated through the process of organizing. Yes, Horton would respond, but it is only through education that organization can be created.

Freire thought it impossible to organize without educating and being educated by the very process of organizing. Furthermore, he thought that we could take advantage of the process of organizing in order to develop a very special process of education.

The model was one that we continued to use, test, play with and mold into something that was appropriate for the needs of citizens in BiH. We began by organizing citizens around conducting civic/political education groups, and later incorporated community organizing into the program. We essentially took our combined experiences and blended into it the best we've learned from organizing models from WBG, Czech Republic, Slovakia, and Haiti.

The civic education sessions and organizing work were separate compartments in the beginning. Eventually, after much reassessing and reevaluating with the field staff, we developed a program model that staff was using that combined the best of civic/political education, organizing, coalition-building, and country wide network development. This rural organizing of local groups, and the subsequent networking of these groups at the regional and national level is what CCI continues to build on and develop even further.

The point of the model was, therefore, to provide a baseline beginning point, and to mold and adapt the model as appropriate. Even Alinsky had a notion of some model that he would use to create the Back of the Yards Neighborhood Council in Chicago.

Additionally, and perhaps more important, was to pay close attention to the realities of the current conditions and needs on the ground in BiH, as well as to be able to draw from the experiences of Ken Hashimoto and Nick Green, NDI's already-on-the-ground Field Representatives for the civic program. Hashimoto and Green had been directing and leading NDI's civic program in BiH since early in 1997, a full year before I joined them.

We began building our base by organizing small groups (10-20) of citizens in over 60 villages around topical education discussion cycles. The groups were culled from local communities associations, pensioner groups, veterans associations, youth groups, women's associations, and refugee/displaced persons groups, and other interested citizens in the villages. The topics of discussion ranged from individual rights to power and organizing.

These meetings gave us the opportunity to both build a wide base for the future organizing efforts, and also presented the opportunity for us to further assess the level of the community's commitment to creating change through organizing. Starting with thirty field staff covering a broad and wide area across the country, allowed us to evaluate and reassess whether to sink further resources into certain groups, or whether to exit intense working with groups, but keep

them involved for future broad-based mobilization efforts. We thought of it as a funnel with a wide opening at the top, and narrowing and filtering down gradually to less.

III. Program Goals and Objectives

NDI's original civic proposal to USAID (in October 1996) stated the following:

This program (Civic Forum) intends to promote citizen participation in the political process by providing information and real opportunities for collective examination of democratic issues.

In 1997, the goals of NDI civic program were to encourage Bosnians to participate in political life, especially within their own communities, and to enhance their confidence in a democratic political system. Specifically, the objectives of the program were to:

**increase the civic program participants' knowledge of key democratic principles, structures and processes;*

**develop civic program participants' skills to engage more effectively in political processes;*

**inspire in civic program participant's an attitudinal shift that their participation in the political process can have a positive effect;*

**train a core group of Bosnian educators to illustrate to civic education participants the behavior necessary to actively participate in their communities and in the political process;*

**train a core group of Bosnian organizers to assist Bosnian citizens and local NGOs in defining and implementing grassroots, local level, issue-based advocacy and organizing campaigns.*

IV. Program Design & Process

In each of these three regions (Tuzla-Podrinja Canton, Western Republika Srpska, and Herzegovina-Neretva Canton), NDI hired, trained, and supervised the work of thirty Bosnian organizers who assembled over 270 groups of citizens in 34 municipalities in both entities of Bosnia and Herzegovina. Conducting regular house-style meetings, the Bosnian organizers worked with citizen groups to impact their knowledge of the Bosnian system of democracy and their participation in it. This was the process used to begin building a broad base of citizen participation with the intention of reactivating this broad network for future mobilization efforts depending on the conditions and opportunities.

Beginning to work with an extremely high number of groups to begin with, we knew that we would lose many through attrition. Some groups would not want to work any further, some were not appropriate to continue working with, and others lost interest. The organizers later worked to assist the more motivated groups of citizens conduct local issue based advocacy campaigns. Over 40 citizen groups throughout the country have begun campaigns of this type. This was the winnowing down process we used in order to determine where to best sink our resources in an intensive way.

In July of 1998 the organizers initiated four regional coalitions of nongovernmental organizations, citizen groups, youth groups, women's associations and activists drawing from the broad network to monitor the voting and counting in the September 1998 BiH elections. Four regional coalitions, based from Tuzla, Banja Luka, Mostar, and Sarajevo, engaged over 135 Bosnian organizations to form a national network.

The work of the coalitions was to recruit and train a network of local citizens who would act as official monitors of the polling stations during the two days of voting, and observe the counting processes afterwards. The coalitions recruited nearly 3,000 citizens; enough observers to cover over one-half of all the polling stations around the country; resulting in the largest citizen mobilization effort in post war BiH.

The coalitions produced four regional and one national level report based on the direct observational findings of the polling station monitors. After the elections, the regional and national coalitions began to focus on continued advocacy on electoral and other nonpartisan issues such as the development of a permanent election law in BiH.

Also in July of 1998, NDI's Bosnian staff members established the Centers for Civic Initiatives (CCI) a Bosnian non governmental organization, which works to stimulate and encourage effective citizen participation in the democratic and political process. CCI is operating as a national organization with three site offices: Tuzla, Banja Luka, and Mostar.

On April 1, 1999, NDI entered into a formal cooperative agreement relationship with CCI. The cooperative agreement provides CCI with base funding and organizational development consultative services through the end of 1999.

V. Methods, Impacts & Outcomes (Intended and Unintended)

Methods: The field work of the staff consisted of conducting their education and organizing efforts in villages ranging from populations of 500-10,000 – mainly rural settings. Staff worked with a broad scale of citizens, associations, and NGOs in order to build new citizen groups willing to acquire knowledge and skills, and change attitudes and behaviors.

All staff members were trained in facilitating citizens in political discussion groups; conducting baseline assessments and analyzing community power; developing and

implementing surveys; identifying issues; planing strategy and building networks, coalitions, and partnerships. All basic tools of community education and organizing.

Staff first conducted a baseline assessment of the town or village that was being considered as a target area of their work. The assessment consisted of conducting interviews with community/political leaders as well as conducting research of the existing organizations in the area.

Once a determination had been made to work in a particular town or village, the staff member would begin to seek out people within the community who would be willing to commit some volunteer time into being the point contact person for the area. This person was called a Volunteer Local Coordinator. Essentially, the VLC would be the person who could assemble a group of people for purposes of forming a discussion group.

When a core group was assembled, the staff member would begin to conduct political/civic education discussion cycles. In the early part of NDI's civic program, each group would participate in several discussion cycles. The topics for discussion were:

- Organization of Small Groups and Processes/Individual & Human Rights
- Significance and Process of Municipal Elections
- Structure of Government/Accountability of Elected Officials
- Role of Media & Political Parties in a Democracy
- Role of Citizens & NGOs in a Democracy
- Power & the Organizing of Citizens

When the cycles were completed, staff would conduct an evaluation, and the group would discuss whether they were interested in continued involvement by beginning to discuss and organize around local issues. If so, the group participated in designing and conducting community surveys; issue identification; strategy/action planning and implementation of their plan.

Intended Outcomes and Impacts:

In Banja Luka alone, the staff organized and conducted their citizen participation efforts with 46 informal groups of citizens. Additionally, staff worked with 42 NGOs and Citizen Associations including 11 women's association and 5 youth associations. These program efforts covered 20 municipalities mostly in Western RS.

Those municipalities are: Banja Luka; Prijedor; Laktasi; Srpski Sanski Most; Krupa na Uni; Novi Grad; Kozarska Dubica; Gradiska; Srpska Kostajnica; Knezevo; Srbac; Prnjavor; Kotor Varos; Celinac; Ribnik; Mrkonjic Grad; Sipovo; Jezero; Teslic; and Dobojski.

Conservative estimates show that staff has worked with 1,000 citizens directly with over 5,000 citizens being indirectly impacted through materials distributions.

Unintended Outcomes and Impacts:

- **Working with NGOs, Youth Groups & Women's Associations:** When I joined the project, additional BL staff members were hired to be trained as community organizers, and at the same time, the BL staff conducted an assessment of their work and how they would like to shift direction. Through their program work, four of the staff members had previous relationships with several formally registered NGOs, six women's associations, and four youth groups. In fact, some of these organizations were created from NDI's programmatic work..

Staff expressed a desire to continue working with these groups even though the groups had been through all of the discussion cycles. Their continued work amounted to assisting these groups with their organizational development issues. Primarily the work consisted of assisting with formal registration, drafting of statutes, reviewing funding proposals and assisting in getting these proposals funded. Although it was not the most systematic way of conducting organizational development work, it was important to continue working with these groups, building and maintaining the relationship begun earlier. These groups became important participants in future coalition work.

The staff initiated and organized several preliminary regional coalition meetings, starting with the women's associations and adding the youth groups at a later time. These meetings were some of the earliest indications that organizations were interested in holding joint meetings for informational purposes. These meetings provided the testing ground for whether they would be willing to work together for project related or advocacy purposes, and they became the base for the RS's regional coalition work.

- **Training of Trainers (Krug D):** While four members of the staff in BL focused on organizational development and networking, three other staff members designed a small scale training of trainers program called "Krug D" or Circle of Democracy. These staff members realized that they could both extend their reach to new groups and do something more sustainable by passing on to community members the skills needed to conduct the work of organizing groups. This was a more deliberate model of leadership development.

The three recruited 24 community members from various municipalities of Western RS, and trained them to organize and conduct discussion education cycles. The three staff provided the 24 with initial training and on-going mentoring. This piece of BL's program created both a model of a T of T program, as well as a small cadre of community trainers who were instrumental in carrying out the recruiting & training piece of the domestic monitoring effort and coalition work.

This model also served to remind staff and myself that this is the way we should be working; training others to perform this work, thus making sure that we are leaving our learning, experiences, and methods behind. Even if we are not using a training of trainers

model, each staff member working in the field should be deliberately transferring their skills and knowledge to local citizens in order to encourage leadership to develop. Then we need to continually challenge citizens to go beyond the bounds of their skills and knowledge. Myles Horton called this a "two-eye" approach. Keep one eye on where people are and the other on where they could be.

- **Domestic Monitoring:** This work was not part of the original proposal, but presented an opportunity for NDI's civic program staff to participate in another aspect of citizen participation. This had the effect of broadening their skills, experiences, and abilities by having them design the model, conduct the recruiting and training of polling station monitors, and provide a final evaluative report. It also had the effect of broadening the public reputation of NDI's (and later CCI's) civic program work.
- **Coalition-Building:** The first domestic monitoring effort in 1997 was the first time that NDI specifically worked with another local organization in order to accomplish the work. The four staff members in BL who began to organize coalition meetings for the several youth groups and the women's associations followed this.

The 1998 elections presented an opportunity for NDI to organize four regional loose-based coalitions made up of the many citizen's associations, youth groups, women's associations, and NGOs. The four regional coalitions were based out of Tuzla, Banja Luka, Mostar, and Sarajevo. This effort created and furthered CCI's relationships with over 150 local organizations around the country. Presently, CCI is working more strategically with the coalitions to work on the electoral law issue. Through this work, there is hope that the coalition will participate in advocacy work as well as other forms of citizen participation.

- **CCI:** The formation and development of the Centers for Civic Initiatives is yet another unintended outcome of NDI's civic program. CCI was formed with former NDI staff, and is developing into a recognized NGO performing citizen participation work all around the country. CCI (along with the Slovak organizations and CFED in Croatia) is one of the few local organizations created from NDI's civic work that was not born from domestic monitoring or other election related work.

Just as CCI was not an "intended" outcome of NDI's civic program in BiH, the creation of CCI was not an inevitability of the civic program. It was an evolution of NDI's civic program. The creation of CCI (or other local organizations) also has little to do with sustainability. In fact, CCI as an organization may never be fully self-sustainable. The point is, we should not confuse creating an organization with sustainability. NDI can and does much by way of sustainability without leaving behind a formalized local organization.

VI. Stories from the Field

We Forgot Our Local Official: A group of citizens in a village of 500 in Western RS began to organize, conduct meetings and discuss problems in their community. These

meetings were attended by 10-15 people at first, and gradually grew to 30-40 people over time. Through these meetings, they decided that their burning issue in the village involved the repair of the water mill, which had been out of service for at least six years.

In order to mobilize community wide support for this issue (and to learn of other issues) the group designed a simple citizen survey, went door to door with this survey, collected and analyzed the results. They found that not only were many more people interested in fixing the water mill, but that many offered to help in some way, including donating small amounts of money.

The group organized and conducted a volunteer clean up of the river bed. The group contacted some local business people, who agreed to help them find a local company who could provide river-dredging equipment. They needed to dig around the river bend where the mill was in order to get just the right amount of flow back to the mill.

A small fundraising drive was conducted by a group of leaders going door to door asking for small donations. Enough money was collected to repair the pump; the river was dredged; and the mill restored to good working order.

*All of this well-planned and executed organizing work took place without any communication, without any meeting, without any type of confrontation, and in fact without the knowledge of any local public official.

Lesson Learned: After discussing this, the staff made the commitment to making sure that the citizen groups engage the local officials no matter what issue they were working on. Their goal would be to get some commitment from their official. In organizing, there must be some altering of the balance of power between citizens and public officials. In this example, there was no altering of this balance of power.

Lesson Learned: We cannot measure our success purely by our accomplishments or by what we get done. If we do, then this case would have been a resounding success. But in fact, this effort missed the whole point of organizing. The point is that organizing is a process by which people learn the tools needed to actively participate in a democracy.

Lesson Learned: NDI's civic program in BiH was conducting a wide variety of citizen participation work. Community organizing (altering the balance of power) was just one type of activity. Community development, advocacy, coalition-building, and civic education cycles being other activities. NDI's work was broad based, civil society development work, and did not focus solely on community organizing alone.

Canvassing the Village: A group of citizens in a village of 3,500 began to organize around the issue of improving their water supply. Water was no longer being pumped adequately to people's homes.

The group conducted some research, and determined what it would cost to repair their malfunctioning water pump which previously supplied water around to the village. They also identified someone in the village who could work on the pump and restore it.

A core group of seven organized a village "cavass" whereby they went door to door in an effort to raise the awareness of this and other issues, and to fundraise for the costs of repairing the pump. Within a two week period, they had collected enough money to have the pump repaired and put in good working order.

Lesson Learned: People can and do go door-to-door for purposes of implementing surveys, finding issues, and small-scale fundraising. We also heard many times over how it wouldn't work, but in fact it did work. Keep pushing. Keep trying new ways.

Clearing the Road: A group of citizens in a village of 4,000 began to organize around three separate issues. One of them involved repairing their network of roads. This village has seven official roads under their municipality's jurisdiction, and each road has a commission of people for decision-making purposes.

The first step was to secure the permission of all of the landowners, which was accomplished in a reasonably short period of time. When it could not be decided which road should receive priority and be developed first, the leaders put out a competition to the people. Which ever road was first cleared of rock, brush, and debris, would get priority. Volunteers worked for days clearing their respective roads in order to win the competition.

Lesson Learned: When motivated by self-interest, people will volunteer to do many things. Although the overall concept of volunteerism is quite different in BiH, there are many people who will volunteer their time and energy when they see that they will benefit from it.

VII. Observations, Recommendations & More Lessons Learned

Program Design, Implementation & Evaluation:

Most, if not all of these suggestions/recommendations are just common sense, and are likely (hopefully!) in some way institutionalized in most organizations in which we work. They are important to keep in mind, however, when establishing and opening an office, developing a field program, and training new staff, which is essentially what is expected of field representatives. In a sense, we are creating an organization from scratch including the recruiting, hiring, training, mentoring, and managing of staff who in most instances have never performed this type of work before. The management of a large staff (and the related administrative work) who are unaccustomed to this work will require the majority of a field representative's time and efforts.

1. Train Staff in All Aspects of Field Work:

The program in Tuzla and Banja Luka evolved in such a way that after staff was in place conducting discussion cycles for approximately one year or more, additional staff was hired to conduct organizing efforts. This required that the new staff be trained to perform different functions from existing staff. In Banja Luka, this had the effect of perpetuating "camps" within the office and of creating an atmosphere where the work of some staff was considered more important than that of others. It added to the "balkanization" of the staff. Eventually, we were able to reach a point where all the staff were trained and experienced in all aspects of field work and could perform the variety of duties required of them.

We eventually trained the staff in: facilitating civic/political education discussions; conducting baseline assessments and analyzing community power; developing and implementing surveys; identifying issues; planning strategy, and building networks, coalitions, and partnerships. Some of the staff received additional training in developing project proposals.

With the amount of ground we wanted the staff to be able to cover, there didn't seem to be much sense in having staff "specialize" in areas of either facilitation and organizing.

2. No Separation of Duties between Facilitators and Organizers:

This goes back to my first point, and has more to do with "titles" that staff was using more than anything else. Staff was clear that the different title meant that they were performing different functions, and it took a while for me to get the idea across that no matter what their title, they had to be able to handle all types of situations in the field. Often, staff felt that if they were "facilitators", then they were not competent to conduct action planning and assist a group to organize around local issues. Similarly, if an "organizer" was working with a group of citizens that wanted to conduct discussion cycles, the organizer's first reaction was to pass the group over to a "facilitator" instead of working with them through discussion cycles.

The Banja Luka CCI staff (once the NDI staff completed their work) felt it important for everyone in the field to work independently with citizen groups, and to be flexible in their work according to the needs of the group. All field staff needed to be able to facilitate discussion education cycles as well as help the group organize, strategize, and take action around local issues.

This was particularly important for the BL staff, who previously saw themselves as either **educators (facilitators)** or **organizers** but not both. With the reduction of staff members, they felt they could no longer afford to continue to work in teams, nor could they function as only educators or organizers. Instead, they determined that they needed to add to their bag of skills/experiences by becoming professional field staff capable of combining all aspects of education, political analysis, and organizing into their work with citizens. They needed to be able to respond in different ways in order to meet the needs of the group.

In Mostar, the entire staff was trained from the beginning in all aspects of field work, thereby eliminating the situation of having to hire staff add-ons and having them trained in a different task. It also made it easier for staff to transition with their groups from discussion to action.

3. Field Staff Work in Teams vs. Work as Individuals:

I felt that working in teams allowed people to hide behind the work of the team, and didn't encourage independent learning, experiences, and accountability. I also felt that staff could cover much more ground by working independently. It also made it difficult to evaluate the performance of each staff member. They wanted to be evaluated based on the performance of the work of the "team", not as individuals. Their writing of joint team reports further emphasized this. It became clear early on that within the teams, one person generally performed more work than the other did. One person was writing the reports, one person was the driver, and so on.

In order for staff to be evaluated individually, each member had to have an individual work plan developed and monitored. Additionally, each staff member had to have their own target areas (or target groups) in which to work.

That being said, working in teams initially is a good idea for staff to become comfortable in their new roles. They can learn from each other and gain confidence quicker when they are with a partner. There are also times when it is entirely justified to have people working in teams, i.e., when the political environment is such that working alone doesn't make sense. Just break them up sooner.

4. Conduct Regular Program and Staff Evaluation:

Evaluation (both program and performance) should be incorporated into the program from the beginning. Have staff participate in the evaluation processes from the beginning as well. Performance evaluations will continually challenge the staff to not only do their best work, but to grow professionally by helping them set their own goals. It also emphasizes staff members' accountability to each other, to themselves, as well as to their directors. Both performance and program evaluation will also help staff to take a critical look at their work and the impact of their work, and to make adjustments when necessary.

5. Clarify Timelines for Work:

In order to encourage the staff to work more efficiently, they should have a stated time frame in which certain work should be accomplished. The timelines must be flexible enough to allow for cancellations, postponements, etc., yet rigid enough to challenge the staff to continue to move forward.

6. Clarify Ways/Formats for Staff Reporting:

Work with the staff to establish a program regular reporting format. The reporting format should fit the program's goals and objectives, and will assist the staff when it comes time to conducting the evaluation. The timing of reports, the content, and the format takes on

great significance when managing a staff of 10 people who are working in upwards to 10 different areas each!

7. Original Proposal's Goals and Objectives:

The staff should be well versed in the NDI program's goals and objectives so that they fully understand how what they are doing fits into NDI's original proposal. It will also help them to be critical of their work when it comes time for program evaluation. It is worth it to spend time going over the original proposal with the staff in the early stages of their employment.

8. Create Assessment Tools for Staff:

Staff should be assisted in creating some type of baseline assessment tool for them to use when they are determining which areas or which groups to work with. They should have some established criteria (that should relate to the program's goals and objectives) for beginning their work, as well as some criteria for determining when to stop working with a group.

Organizational & Capacity Development:(See Also CCI Organizational Assessment)

1. Create Staff Leadership Structures:

In the beginning, all three sites had a flat organizational structure with all staff reporting to the NDI field representative. This may be fine for NDI's program on a temporary basis, but a better way to develop the local capacity for this and other type of work, (and if there is an idea to create a local organization), is to have local staff leadership in place. Once we created the positions of staff managers, the local staff began to take more control of the program and the day to day activities of running the office.

2. Recruit Volunteers for Potential Board Members:

Our civic model began with a staff of at least ten to twelve positions. The field staff were working with volunteer local coordinators in the field, and many other volunteer activists. If the creation of a local organization is envisioned, then many of these volunteer local coordinators are potential board members. We should be thinking of them in this way, and possibly organizing them for periodic training sessions as well.

I felt that the lack of volunteer leadership fully connected with NDI's program was one of the challenges when it came time to create CCI, the local organization. CCI was essentially initiated by NDI's staff members, completely out of financial self-interest. Creating an organization in this way was the reverse of my experience, which to date has been to assemble a committed group of volunteers from the organizing base. These volunteers create the organization and in turn hire staff to conduct the work.

This is not to say that this model cannot work, but only to mention the challenges facing an organization that is initiated by paid staff, who later must recruit and train and nurture a volunteer board of directors and general assembly to provide the organization with

governance. We (and CCI) are still paying the price of not focusing on this from the beginning. I cannot emphasize this enough.

3. Conduct Comprehensive Strategic Planning:

Better still, train the staff in putting together an appropriate strategic planning process and get them to begin planning as early as possible. Get as many staff and volunteers engaged in the process/input of planning. Get them to plan, commit their plan to writing, follow the plan, make adjustments as necessary. The planning should be sure to address broad comprehensive issues such as program work, organizational development, and fundraising.

4. Turn over Responsibilities:

As soon as it makes sense, begin to turn over program and administrative responsibilities over to staff. Even if a local organization is not being created, staff will learn more skills by being able to perform a variety of duties associated with greater responsibilities. It also follows *Organizing's* Golden Rule of not doing things that others can do.

5. Turn over Contacts:

Again, make sure that staff have all the contact information you have. It makes as much sense (if not more!) that local staff know the mission staff of USAID than myself. I could use my influence to help with arranging meetings, but it was always better for staff to speak about the needs and their work in their language directly with officials, potential funders, and representatives of NGOs both local and international.

6. Local Staff Must have a Budget:

I felt that a huge change came over the staff once they had their own budget and were the masters of it. They became very conscious of what was being spent, who was spending it, and how much was being spent. Their program made much more sense to them once they actually had a budget directly connected to it.

7. Initiate Fundraising Training, Planning & Implementation Efforts Early:

Incorporate fundraising planning in everything the organization does. Train staff in building a donor base, building relationships, developing proposals, and maintaining contact with present and potential donors. The earlier the better!

8. Consider Your Decision-Making Structure:

Try to maximize on the participation of as many people as possible. Shoot for a wide and loose structure at least initially in order to encourage broad participation.

Other:

Develop a Movement from Local to National: NDI's civic programming has an opportunity to move from local to national level impacts. In order to have national level impact, however, NDI needs to begin with the grassroots and work up through the grassstops and beyond. NDI needs to begin the process of building long-term,

sustainable relationships based on trust and confidence at the local level before attempting anything on the regional or national level. If NDI wishes to achieve broad scale impact on a national level, then NDI should consider the future of their civic programming to deliberately include network development and coalition-building at the local, regional, and national level.

It takes longer time to move in this direction, but it is creating something more sustainable in the long run.

VIII. Attachments

CCI Training Trip Proposal and Terms of Reference (to potential NGO hosts)

CCI Training Trip Terms of Reference Part II (to CCI Management Team)

Citizen Advocacy and Moving from Local to National Impacts (Slovakia and BiH)

OKO Domestic Monitoring Final Report and Banja Luka Report (not attached)

CCI Organizational Assessment – May 1999 (Ken and David)(not attached)