

**CODE-NGO Capacity Assessment Tool (CAT)**

**Local and Sectoral Advocacy Effectiveness of Member Networks (MNs)**

Capacity Building Area	Local and Sectoral Advocacy Effectiveness
<b>Definition</b>	Advocacy is a deliberate process of influencing those who make policy decisions. Advocacy is effective if it brings greater awareness about a certain issue, thereby broadening the support/constituency on the issue; and leading to desired policy change and actual implementation of the policy.
<b>Underlying Principles and Assumptions</b>	<p>Advocacy is rooted in the development principles being espoused by the network, as stated in its Covenant on Philippine Development:</p> <ul style="list-style-type: none"> <li>• People-centered</li> <li>• Rights-based</li> <li>• Participatory</li> <li>• Promotes Filipino cultures</li> <li>• Respects the independence and autonomy of civil society organizations viz government</li> <li>• Guided by a clear development agenda, that is based on evidence and clear assessment of the political, social and economic environment that influence the actions of the organization.</li> <li>• Guided by clear responsibilities of development CSOs to its various stakeholders – their staff, the communities they work with, fellow CSOs, funding agencies, government and business sector.</li> </ul> <p><i>Constructive Engagement<sup>1</sup> – as differentiated from advocating for social accountability from government, Constructive Engagement is a range of processes that brings together stakeholders to act on a concern put forward by the public/citizen in an organized fashion to produce reforms in governance for positive change. It is an exercise of power by organized citizens, which result to the benefit of the common good. ConEng goals are three-fold: (1) improving governance; (2) increased development effectiveness – through improved public service delivery and informed policy design; and (3) empowerment of the people, especially the poor – by increasing and aggregating their voice to increase chance of greater responsiveness from government to their needs.</i></p>

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<sup>1</sup> As clarified in this context, Constructive Engagement is not limited to relating with government, but with various stakeholders to produce reforms in governance for positive change.

	<p>(Reference: InciteGov Curriculum on 'Constructively Engaging Government for Democratic Politics, Governance and Development).</p> <p>Capacity-building initiatives for advocacy effectiveness in this context are intended for the Board members, Executive Director and Advocacy Officers of networks.</p>
<b>Desired Outcome</b>	<p>Member Networks are effective, influential and visible in reducing poverty and improving governance in the organization's scope or area of operation or the sector it works with.</p> <ul style="list-style-type: none"> <li>• Laws/ Administrative Orders/ Ordinances/ Resolutions/etc. are passed/implemented, resources are accessed and programs/ projects implemented as a result of the advocacy.</li> <li>• Leadership in the CSO sector in convening, mobilizing, and harnessing resources for local/sectoral CSO coalitions (not only for its base organizations but also for other CSOs) is exhibited.</li> <li>• The organization is able to integrate emerging key concerns that are critical to the implementation of its programs and projects.</li> <li>• With clear constituency/support; a significant number of active member organizations are consolidated.</li> </ul>
<b>Intervention Options</b>	<p>Training for Trainors  Coaching / mentoring  Peer-learning exchanges  Regular communication (e-mail, e-groups)  Online community of practice  Sharing of tools / templates</p>

<b>Dimensions</b>	<b>Indicators</b>	<b>Means of Verification</b>
<p><b>Knowledge</b></p> <p>1. Policy research and analysis (gathering policy and political information) - Analyzing policies and political institutions (understanding government processes – legislative, executive); understanding the political environment,</p>	<p>1. Clear, pro-poor development agenda:  a. The network is able to able to craft a clear development agenda for its sector or region  b. The agenda is a result of a participatory, consultative process.</p>	<p>Development agenda/Basis of unity document; Minutes of meetings</p>

Dimensions	Indicators	Means of Verification
<p>and power relations; Understanding community/sectoral concerns</p> <ol style="list-style-type: none"> <li>2. Advocacy methods and campaign planning</li> <li>3. Risk assessment – making informed judgments about possible sources of risks or violence; or possible perception of bias vis-à-vis desired policy outcome</li> <li>4. Building strategic relationships - Establishing connections with policy-makers; Networking with other groups; Consensus-building;</li> <li>5. Establishing credibility as an advocate – building up expertise to establish credibility among policy-makers; building up relationship with community to establish credibility to the public</li> <li>6. Maintaining focus – ability to prioritize policies, most efficient strategies</li> </ol> <p>References:  <a href="http://www.care.org/getinvolved/advocacy/tools/english_01.pdf">http://www.care.org/getinvolved/advocacy/tools/english_01.pdf</a></p> <p><i>Goal 16 Advocacy Toolkit.</i> TAP Network, Transparency, Accountability and Participation for 2030 Agenda. 2015.  <a href="http://www.tapnetwork2030.org">www.tapnetwork2030.org</a></p>	<ol style="list-style-type: none"> <li>c. The agenda is used as a basis for the network’s engagement with its stakeholders.</li> </ol> <ol style="list-style-type: none"> <li>2. Representation and participation in decision-making: <ol style="list-style-type: none"> <li>a. Leaders of the network are able to represent the interests of its sector or area (geo-political) in relevant development councils or multi-stakeholder consultative bodies.</li> <li>b. The network is able to influence the decision-making processes of these councils or bodies.</li> <li>c. The network is able to identify legislative and executive champions to sponsor “people’s resolutions or agenda.”</li> </ol> </li> <li>3. Clear constituency: <ol style="list-style-type: none"> <li>a. The network leads its members, other CSOs, other sectors (government, development partners, church, academe, business, media) on the advocacy</li> <li>b. The network is a member of other coalitions on the advocacy</li> </ol> </li> <li>4. Pro-poor policies are enacted and implemented as a result of the advocacy:</li> </ol>	<p>Membership/accreditation papers;</p> <p>Minutes of meetings of relevant bodies;</p> <p>Copies of laws, policies passed</p> <p>List of programs, projects implemented and amount of funds allocated</p> <p>Lists/profiles of members, supporters of the advocacy</p> <p>Interviews with members</p> <p>Membership or accreditation papers in coalition or groups</p> <p>Interviews with partners</p>

Dimensions	Indicators	Means of Verification
<p><b>Skills</b></p> <ul style="list-style-type: none"> <li>– Research and managing information/ Policy development</li> <li>– Stakeholder analysis and engagement</li> <li>– Consensus-building and negotiations</li> <li>– Managing and facilitating meetings</li> <li>– Organizing/Networking</li> <li>– Innovating (thinking out-of-the-box)</li> <li>– Coaching/Mentoring</li> <li>– Delegating</li> <li>– Communicating your message – mass media, alternative media, social media; public speaking</li> <li>– Social marketing</li> <li>– Advocacy/Lobbying</li> </ul> <p><b>Attitudes/Values/Mindset</b></p> <ul style="list-style-type: none"> <li>- Critical thinking and analysis</li> <li>- Participation</li> <li>- Innovation/ Creativity/ Resourcefulness</li> <li>- Inclusiveness; Non-discrimination</li> <li>- Culture-sensitive</li> <li>- Cooperation and synergy versus parochialism</li> <li>- Empowering</li> <li>- Principled</li> <li>- Persistence</li> <li>- Openness/ Listens</li> <li>- Empathy</li> <li>- Diplomacy</li> </ul>	<ul style="list-style-type: none"> <li>a. Relevant laws, policies, ordinances, programs and projects are passed.</li> <li>b. Programs, projects and activities are funded and implemented.</li> <li>c. Implementation of policies and their results/effects are monitored.</li> </ul>	

## **CAPACITY ASSESSMENT TOOL (CAT) FOR NETWORK ADVOCACY EFFECTIVENESS**

### **Rationale**

To assess the level of capacities of CODE-NGO Member Networks (MNs) in relation to clarifying and pushing for their respective advocacy agenda, it is important to develop a tool which will measure the MNs' current level of capacities, define the gaps and provide basis for the MNs to further clarify their advocacy plans and strategies, as well as to inform CODE-NGO's capacity building interventions for its Member Networks in terms of local and sectoral advocacy effectiveness. This tool is inspired by the Capacity Assessment Tool (CAT) developed by the "Strengthening the Capacity of Philippine CSOs Project" of the Ayala Foundation and its Consortium Partners – Association of Foundations, CODE-NGO, Philippine Business for Social Progress, Philippine Council for NGO Certification and University of the Philippines National College of Public Administration and Governance.

### **Purpose of the Tool:**

1. To allow Member Networks to assess their level of capacities in clarifying and pushing for their respective advocacy agenda;
2. To identify gaps in ensuring that MNs' advocacy strategies are effective;
3. To establish the basis for MNs to develop their advocacy plans;
4. To aid CODE-NGO in developing appropriate capacity building interventions for MNs in terms of local and sectoral advocacy effectiveness, and,
5. To lay the ground for monitoring and evaluating the development of MNs in terms of advocacy effectiveness over time.

**Kindly specify your network's core advocacy/ies to be assessed:** [ Example: Participatory Governance in DRRM-CCA ]

**Identify priority positions or calls of the network related to this advocacy issue:**

[ Examples:

- Locally-led humanitarian response
- CSO (particularly POs and vulnerable groups) participation in local and national DRRM councils (through amending RA 10121 and/or its IRR) and community-based DRRM planning and budgeting processes
- Transparent and responsive use of the DRRM Fund
- Increase CSO access to the People's Survival Fund ]

**Please encircle the appropriate rating per indicator based on the description of each rating:**

Capacity Building Area / Indicators	Rating	MOV	Remarks
<b>Local and Sectoral Advocacy Effectiveness</b>			
<p><b>1. Clear advocacy agenda</b> - The network is able to craft a clear, relevant, pro-poor advocacy and development agenda, with the following critical elements:</p> <ol style="list-style-type: none"> <li>a. The agenda is consistent with the Vision, Mission, Goals and Values of the network/organization.</li> <li>b. Key sectoral or geographical stakeholders who will benefit from the advocacy agenda are identified.</li> <li>c. The agenda is a result of a participatory, consultative process with key stakeholders.</li> <li>d. Agenda is supported by empirical evidence/data and analysis.</li> <li>e. The agenda includes not only general statements, but also specific policy/ program recommendations for government or other decision or policy makers.</li> </ol>	<p>1 No clear and written agenda.</p> <p>2 With written agenda, and only one element present.</p> <p>3 With written agenda and any two (2) elements present</p> <p>4. With clear, written agenda, with three (3) elements present.</p> <p>5 With clear, written agenda, with four (4) elements present.</p> <p>6 With clear and written agenda and all five (5) elements are present.</p>	<ul style="list-style-type: none"> <li>• Copy of Vision, Mission, Goals</li> <li>• Written agenda or basis of unity document</li> <li>• list/map of key stakeholders</li> <li>• minutes of meetings/ consultation processes</li> <li>• relevant data, research studies;</li> <li>• Communication plan and key messages for the advocacy agenda</li> </ul>	
<p><b>2. Participation and Engagement</b> - Leaders of the network are able to represent the interests of its sector or area (geo-political) in relevant</p>	<p>1 Network is not represented in relevant consultative or decision-making bodies</p>	<ul style="list-style-type: none"> <li>• Certificate of recognition / membership / accreditation in relevant bodies or copy of invitations to all the meetings/</li> </ul>	

Capacity Building Area / Indicators	Rating	MOV	Remarks
<p>development councils or multi-stakeholder consultative and decision-making bodies, with these critical elements present:</p> <p>a) The network is able to actively participate in the decision-making processes of these councils or bodies.</p> <p>b) The network is able to identify and work with legislative and executive champions who can sponsor resolutions/ ordinances/ plans/ budgets and who lead in the approval of these by concerned councils or bodies.</p> <p>c) The network representatives are able to regularly consult with and report to their members re their representation.</p>	<p>2 Network is represented in at least one relevant consultative or decision-making body.</p> <p>3 Network is represented in at least one relevant consultative or decision-making body, with at least one element of representation present.</p> <p>4 Network is represented in at least one relevant consultative or decision-making body with at least two elements of representation present</p> <p>5 Network is represented in at least one relevant consultative or decision-making body, with all 3 elements of representation present.</p> <p>6 Network is represented in at least two (2) relevant consultative or decision-making bodies, with all 3 elements of representation present.</p>	<p>consultations of these relevant bodies;</p> <ul style="list-style-type: none"> <li>• Minutes of meetings, documentation of the network consultation with/ reporting to members.</li> </ul>	
<p><b>3. Clear constituency</b> - The Network has clearly identified its members which support its advocacy/ies.</p>	<p>1 The Network's constituency is not clear.</p> <p>2 The Network has identified its constituency, but the majority</p>	<ul style="list-style-type: none"> <li>• List of active members</li> <li>• Execom, Board and GA resolutions supporting the Network's advocacy agenda.</li> </ul>	

Capacity Building Area / Indicators	Rating	MOV	Remarks
	<p>are inactive or they do not regularly meet.</p> <p>3 The Network has a core of active members which meets regularly re their advocacy agenda, but they are not able to implement their advocacy plans.</p> <p>4 The Network has a core of active members which is able to implement advocacy activities, but these are limited to signing petitions/letters supporting the advocacy agenda.</p> <p>5 The Network and its core of active members plan and implement sustained activities in its area or sector to advocate for their agenda or parts of the agenda, but these involve only a minority of its members.</p> <p>6 The Network and its core of active members plan and implement sustained activities in its area or sector and these involve a majority of its members to advocate for their agenda or parts of the agenda.</p>		

Capacity Building Area / Indicators	Rating	MOV	Remarks
<p><b>4. Leadership and Influence</b> - The Network is able to lead other CSOs and influence other sectors (government, funding partners, church, academe, business, media) in its advocacy and is able to maintain such influence.</p>	<p>1 The Network does not have any external partner in its advocacy agenda.</p> <p>2 The Network is a member of coalition/s advocating for the same agenda, but it is not active.</p> <p>3 The Network is an active member of coalition/s advocating for the same agenda.</p> <p>4 The Network leads a coalition with external partners advocating for the same agenda.</p> <p>5 Leadership of the network in the coalition/s in advocating for the same agenda is recognized by its members and external partners.</p> <p>6 The Network is able to lead other CSOs and influence other sectors (government, funding partners, church, academe, business, media) in its advocacy and is able to maintain such influence.</p>	<ul style="list-style-type: none"> <li>• Certificate or other proof of membership of the network in relevant advocacy coalitions</li> <li>• Proof of leadership or active participation of the Network in advocacy coalition work (role of Network in the coalition's organizational structure; minutes of meetings; support/signature in the coalition's position papers, etc.)</li> </ul>	
<p><b>5. Advancing the Agenda</b> - Priority policies, programs or projects related to the agenda for the</p>	<p>1 The Network has not drafted policy recommendations relevant to its advocacy agenda.</p>	<ul style="list-style-type: none"> <li>• Copies of policies, ordinances passed.</li> </ul>	

Capacity Building Area / Indicators	Rating	MOV	Remarks
<p>sector or region served by the Member Network are enacted and implemented as a result of its advocacy.</p>	<p>2 The Network has drafted relevant proposed laws, policies, ordinances, programs and projects.</p> <p>3 The Network has submitted its relevant proposed laws, policies, ordinances, programs and projects to concerned policy- and decision-making agencies/bodies.</p> <p>4 Relevant proposed laws, policies, ordinances, programs and projects advocated by the Network are passed/adopted by concerned agencies/bodies.</p> <p>5 Laws, policies, ordinances, programs, projects and activities advocated by the Network are funded and/or and implemented by concerned agencies/bodies.</p> <p>6 Implementation of laws, policies, ordinances, programs, projects and activities and their results/effects are monitored and evaluated by the Network and the Network's advocacy has been replicated and scaled-up.</p>	<ul style="list-style-type: none"> <li>• Interviews with relevant stakeholders for programs implemented or funds allocated as a result of advocacy.</li> <li>• Monitoring and evaluation reports related to adoption and implementation of policy, ordinances, program or projects as advocated by the network.</li> </ul>	

Capacity Building Area / Indicators	Rating	MOV	Remarks
<p><b>6. Sustaining the Gains of Advocacy</b> - The Network's advocacy has been adopted, replicated and scaled up through the years.</p>	<p>1 The Network has achieved results for its advocacy work but has no concrete plan or program for sustainability</p> <p>2 The Network has a sustainability plan or program to sustain its advocacy</p> <p>3 The Network has implemented its plan to sustain its advocacy.</p> <p>4 The Network has regularly monitored and evaluated the results or impact of its advocacy.</p> <p>5 The results and impact of policies, programs, projects and activities resulting from the advocacy work by the Network are documented and shared.</p> <p>6 The Network's advocacy has been replicated and scaled-up through the years.</p>	<ul style="list-style-type: none"> <li>• Copy of advocacy plan or program and strategies.</li> <li>• Case studies/ good practices / documentation of advocacies that have been adopted or translated into programs or have been replicated and scaled up.</li> <li>• Outcome / impact studies of programs resulting from successful advocacy.</li> </ul>	